NAVIGATING CHANGE: A STUDY OF COORDINATED CHANGE IN HIGHER EDUCATION

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CHAPTER I

DESIGN OF THE STUDY

> Life is the continuous adjustment of internal relations to external relations.
>
> --Herbert Spencer

Almost as soon as American higher education began to hire faculty and enroll students, calls for change began as well. From complaints about the food and the narrow classical curriculum at the colonial colleges (Rudolph, 1990) to urgent calls for campuses of the 1990s to stretch shrinking budgets ("Inequities," 1992; Tan, 1990), higher education has faced recurrent demands for change and adjustment.

Unfortunately, a tangled web of interactions between the internal and external environment and among staff, faculty, and students determines the fate of higher education's attempts at change (Bobbitt & Behling, 1981; Chamberlain, 1979; Fullan, 1990; Levine, 1980; Lindquist, 1978; Zammuto, 1984). As a result, teasing out the strands of this complex web into a coherent map to guide planned change can be difficult. The process can be further complicated if an institution has several branch campuses with diverse missions,

programs, and student populations, whose operations must nevertheless be coordinated with those of the base campus to economize or incorporate common changes in technology or policy (Jefferson, 1986; Konrad, 1982; Lee & Bowen, 1975; Whetten, 1981). To further confuse matters, Konrad (1982) notes that at the same time that branch campuses need to function cooperatively it is equally essential for them to maintain autonomy (Louis & Sieber, 1979), which Lee and Bowen (1975) define as "sufficient authority to manage their own internal affairs" (p. 6). As a result of these complexities, successful coordinated change across several branch campuses may not be an easy matter, at best. The task requires "high sensitivity ... flexibility ... tolerance for ambiguity ... and considerable personal trust" (Lee & Bowen, 1971, p. 387).

Surprisingly, despite the complexity of the task and the clear need for information to guide the study and/or conduct of planned change in multicampus universities, a void opens up before the investigator looking for systematic research on issues of multicampus administration. To begin with, the U.S. Department of Education no longer distinguishes between branch campuses and independent campuses (personal communication, USDE staff, October 1992); therefore, no current federal data base on multicampus institutions exists. In addition, few journal articles specifically

address multicampus university administration; those that do, frequently reflect anecdotal information, rather than systematic study (Commission, 1975; Jefferson, 1986; Konrad, 1982; Lindahl, 1975; Provost, 1975; Scherman, 1985; Womack & Podemski, 1985).

Exceptions to this casual approach are Lee and Bowen's seminal surveys (1971, 1975) of multicampus organization and interaction, conducted for the Carnegie Foundation. They constitute most of the systematic descriptive research on multicampus administration in higher education. Since the publication of Lee and Bowen's research in the 1970s, however, only a handful of articles have reported research on the administration of multicampus universities in general (Baker, 1974; Creamer & Creamer, 1988 and 1991; Henry & Creswell, 1983; Zusman, 1989) or on planned change in multicampus administration in particular.

Several elements may contribute to this dearth of research. One is that multicampus administration may seldom be anyone's first priority. Lee and Bowen discovered in 1971 that few universities were assigning coordination to an individual hired specifically as catalyst and/or coordinator. Since no current information exists to the contrary, it is likely that multicampus coordination remains just one of many duties juggled by the provost or president of the base campus of most multicampus institutions; therefore, finding

time to develop coordinated planning may be a problem. Another factor is the perennial fear of losing autonomy that branch-campus provosts express (Jefferson, 1986; Konrad, 1982). It is possible that fear of losing autonomy may effectively suppress interest in the systematic study of coordinated change among many branch-campus leaders.

Statement of the Problem

Still, in recent interviews, the provosts of one multicampus research university in the Sunbelt expressed strong interest in coordinating planned change. Each praised the high level of autonomy practiced in branch administration of the institution; yet each also recognized that autonomy was maintained at the expense of coordination, possibly resulting in duplication and wasted effort in an era of shrinking resources. Their concerns highlighted a problem: Branch campus administrators need to cooperate in planning systemwide changes in policy or technology. At the same time, branch-campuses also need autonomy to achieve branch-campus goals and efficiencies. Thus, multicampus institutions succeed in large degree to the extent that they balance their competing needs for cooperation and autonomy in navigating change. Therefore, the problem of this study was to identify the components necessary to navigate multicampus change in higher education.

Purpose of the Study

As Lee and Bowen (1975) point out:

> To the extent that campuses, single or in concert, can effectively shape their destiny, consistent with the wider needs of the system and the state, higher education is the better (p. 147).

Therefore, the purpose of this study was to map the components of the process used by the provosts of a multicampus university in coordinating planned change. Specifically, this study:

1. describes the relationships and change processes used by the branch-campus provosts at a multicampus research university;
2. compares the change processes of this group to a systematic change model; and
3. generates advice for practice, based on discrepancies between current practice and the model.

Theoretical Framework

The specific change model selected for this study was the paradigm developed by Fullan (1982, 1990), based on its unique combination of characteristics. These included the model's grounding in extensive field research, its flexibility, clarity, and emphasis on collegiality in decision making--which made this model

particularly appropriate for examining multicampus coordination of change.

Briefly summarized, Fullan's change theory (1990) rests on a three-phase process:

1. initiation and adoption [idea suggested and decision made to change];
2. implementation [idea put into practice]; and
3. institutionalization/rejection [idea either becomes routine or practice reverts to former method].

According to Fullan (1990), the three phases are interactive, sometimes recursive; in other words, the process is not necessarily sequential or linear. Steps may need to be repeated or addressed out of sequence. In addition, each phase is process-based. The first phase, initiation, requires:

1. relevance [the idea is perceived as practical, needed, and clear];
2. readiness [the organization recognizes that it has the capacity and a need for the change]; and
3. resources [human and financial support for the change are available].

Phase two, implementation, rests on six key factors:

1. vision-building and leadership,
2. evolutionary planning,
3. power sharing,
4. resources/staff development,

5. monitoring/problem-coping, and
6. restructuring.

Finally, Fullan (1990) lists two factors necessary for the third phase, successful institutionalization of change:

1. resources [including a budget and funding for staff development] and
2. leadership [sustained pressure and assistance] from the central administration.

This flexible paradigm offers a useful guide for the examination and interpretation of multicampus change processes and relationships. Therefore, the Model (1982, 1990) serves as a lens through which to examine four research questions that form the nucleus of this study.

Research Questions

To accomplish the purpose of the study--that is, to map the relationships and procedures used by a group of university branch-campus administrators in coordinating planned change--the following questions were asked:

1. What relationships exist among branch-campus administrators at a selected multicampus university?
2. What are the processes used to achieve coordinated change among semi-autonomous branches at a selected multicampus

branches at a selected multicampus university?

3. How does this process differ from the Fullan Model?
4. What advice can be generated for practice from this study?

Answering these questions generated a baseline perspective from which to identify points of divergence from the Fullan Model (1982, 1990), and thereby allowed recommendations for improvement in the branch-campus change process. As Burke (1978) has pointed out, "To change an organization, one must first understand how it works and why it works the way it does and, second, understand the step-by-step process of planned change" (p. 92).

Procedures

To answer the four research questions, the study used qualitative research methods, including systematic (clinical) observation, individual interviews, a group interview, and organization development techniques. Application of these procedures revealed the relationships and processes extant among branch-campus administrators. Then the resulting data was examined and interpreted, using the Fullan Model (1982, 1990) as the frame of reference.

Limitations of the Study

Qualitative research does not claim to produce precisely replicable or generalizable results (Glaser, 1967; Stainback & Stainback, 1988). Instead, its aim is to understand a particular situation or set of circumstances through in-depth study. Still, it is worth noting that Lee and Bowen's (1975) study of nine multicampus systems found that "major, internal issues are common to each" (p. xiv).

In addition, qualitative research acknowledges that human perception and understanding are inevitably colored and limited by a frame of reference (Glaser, 1967; Stainback & Stainback, 1988). Therefore, in order to reduce investigator bias as much as possible, information and insights should be developed according to a systematic approach (Michael, Luthans, Odiorne, Burke, & Hayden, 1981). For this reason, the Fullan Model was consciously selected as a frame of reference for examining and interpreting the data that emerged from the study.

Data Needs

Because perceptions determine actions, judgment, and commitment (Chiarelott, Reed, & Russell, 1991; Locke, 1976), the following perceptual data (Schmidt & Kochan, 1977) was needed:

1. perceptions among branch-campus provosts

regarding relationships and processes used to coordinate planned change;

2. interactions and processes of the provosts in the conduct of planned, coordinated change.

Gathering perceptual data, however, depends on the selection of a population or sample to tap for data. The next step was to define that population.

Institutional Setting

The site selected for this study was a single, multicampus, public research university in the Southwest, which will be referred to as Sunbelt University [SBU]. Under the typology designed by Alpert (1985), SBU is comprised of a base campus and four branches, providing two-year technical education, two-year community college education, upper-division and graduate education, and graduate professional education.

The institution is also a land-grant college, meeting all criteria for a Division I Research University, as defined by the Carnegie Classification, in that SBU awards 215-220 doctoral degrees annually and receives nearly $50 million in annual federal support (personal communication, SBU administration, April, 1992).

According to the 1993-94 university catalog, programs at SBU reflect its legacy as a land-grant institution, focusing on applied subjects such as

agriculture, mechanical arts, business, and education. Sunbelt University offers 85 bachelor's degree programs, 66 master's degree programs, 46 doctoral degree programs, and 5 specialist degrees. The university offers many of these degrees to the 18,500 students enrolled on the base campus. Some degree programs--such as upper division courses in public administration, or associate/technical degrees, or a medical degree--may be pursued or completed at specialized branch campuses, which include:

1. two campuses in a metropolitan area--one providing graduate professional education to 300 medical students [Medical Branch] and a separate campus providing upper-division, undergraduate coursework and graduate-level coursework, primarily in education and engineering fields, to 825 students as part of a four-college consortium [Senior Branch];
2. a smalltown campus [2,300 students], located 95 miles southeast of the flagship campus, which provides two-year technical education in such specialized areas as engineering graphics and electronic technology [Technical Branch];
3. and a metropolitan campus [4,300 students], located 65 miles southwest of the main campus, which offers traditional community college education and technical engineering courses

[Juco Branch].

Student enrollment across the system's four branch campuses and its base campus totals roughly 26,400. Eighty-nine percent of the undergraduates are in-state students; 7 percent come from other states and 4 percent from more than 90 foreign countries. Men comprise 54 percent of the undergraduate population, while women account for 46 percent. Minorities comprise 11 percent of the undergraduate student body.

At the graduate level, a total of 4,422 students are enrolled; 57 percent are men, 43 percent women; 62 percent are in-state residents; 13 percent come from other states; 25 percent from foreign countries; 8 percent are minority students. From these figures emerges a composite picture of a university that is primarily engaged in educating undergraduate students, a majority of whom are both male and native to the state.

Sample

The choice of a limited population for the study and the qualitative nature of the research dictated the selection of a purposive sample (Kerlinger, 1973) of administrators at the institution studied. In other words, the sample was deliberately chosen, consisting of the highest on-campus administrator of each branch in the university studied. These individuals were selected for two reasons:

1. They are directly accountable for initiating and coordinating systemwide change in the selected multicampus university; and
2. The higher the management level studied in an organization, the more likely that basic "norms ... can be observed in operation" (Schein, 1969, p. 90), due to the strong influence of top-level administrators (Schmidt & Kochan, 1977).

The highest-ranking branch-campus administrator for three of the four branch campuses in the study's population holds the title of Provost. The fourth administrator, who heads the university's segment of the metropolitan consortium [Senior Branch], holds the title of Academic Coordinator and reports to the Multicampus Provost on the university's main campus. The four branch administrators, all men, were the primary subjects of both interviews and observation. Their tenure as chief academic officer of their respective branches ranged from a low of one-and-a-half years to a high of 10 years, and each holds a terminal degree.

For clarity and brevity, the four branch-campus administrators are generally referred to as "the provosts" in the study, although, as explained above, one administrator does not literally carry this title.

A signed letter of consent [see Appendix A] indicated the willingness of all subjects to participate

in the study, and Sunbelt University's Institutional Review Board approved the use of human subjects for the study [See Appendix B]. Due to the small number and purposive nature of the project's participants, true anonymity was an unrealistic goal; however, participants, branches, and the institution itself were assigned fictional names; and all requests for confidentiality were honored.

Researcher

The research was conducted as a doctoral student and fulltime administrator at Sunbelt University's base campus, where I had earlier obtained undergraduate education, a master's degree, and taught as an instructor for several years.

I left SBU to work as a newspaper reporter, a job that included serving two years as higher education editor. In this role, I regularly reported on the administration of Sunbelt University. In 1988, I returned to the SBU base campus as a fulltime support service administrator. Soon, I also began working toward an Ed.D. in higher education administration.

As a result, I have closely observed the university from a variety of perspectives, both inside and outside the institution, as professional observer, interviewer, and critic, alumnus, student, faculty member, parent of students, and, finally, as an administrator within the

institution.

Data-Collection Methods

To achieve dependable and trustworthy data (Bernard, Killworth, Kronenfeld & Sailer, 1984; Herriott & Firestone, 1983; McCracken, 1988; Miles & Huberman, 1984) in studying SBU, I used three primary data-gathering procedures, individual interviews, a group interview, and clinical observation.

Research criteria. The combination of three procedures facilitated cross checking (Guba & Lincoln, 1989), or qualitative triangulation, a metaphor stemming from navigation in which multiple reference points are used to locate a target (Jick, 1979). Similarly, qualitative triangulation is the practice of gathering information by using multiple sources and strategies, rather than just one (Wolcott, 1988), thus helping address the research criteria of credibility, dependability, and trustworthiness (Guba & Lincoln, 1989). I chose individual and group interviews, along with clinical observations, as the data-gathering methods most likely to promote transportability in this study for several reasons: 1) the small number of subjects [four] in the designated sample; 2) the qualitative nature of the data needed; and 3) a complete absence of documentation on the group's activities.

Individual interviews. The first of the data

gathering methods used was a series of individual interviews (Kirk & Miller, 1986; McCracken, 1988; Spradley, 1980; Wolcott 1988) conducted with each provost/chief executive officer of the branch-campuses participating in the study. This method was selected because, according to Spradley (1980), it permits inferences based on "both explicit and tacit ... knowledge" (p. 19) more quickly than can be done solely by observation.

Interview Protocol. Participants were asked a semi-structured list [See Appendix C] of initial questions (Briggs, 1986; Herriott & Firestone, 1983; McCracken, 1988; Stainback & Stainback, 1988); Wolcott, 1988) regarding the change process, based on recommended questions on change initiation adapted from Fullan (1990) and Dalziel and Schoonover (1988). Interview questions targeted the provosts' perceptions of the processes, roles and relationships with each other and with the base campus, along with questions regarding the environment in which systemwide change is initiated.

During each interview, I recorded all responses in shorthand and afterward personally transcribed and organized the notes (Briggs, 1986; Spradley, 1980). Questioning was informal (Mishler, 1986; Spradley, 1980; Wolcott, 1988) in that additional questions, which arose during the course of an interview, were pursued if deemed useful to the study (Mishler, 1986; Spradley,

1980). Questions were added on site to clarify vague or confusing responses and to fill in gaps in information as they appeared, as recommended by Mishler (1986) and Spradley (1980).

Follow-up interviews. After initial interview data had been transcribed and organized according to topic, a transcript was mailed to the subject of the interview for review; then a follow-up telephone interview was conducted with each provost, both to correct errors (Guba & Lincoln, 1989) and to ask any additional questions that had arisen during other interviews [See Appendix D]. Thus, all provosts answered all relevant questions asked of any provost (Briggs, 1986; Mishler, 1986; Stainback & Stainback, 1988). In addition, by reviewing a draft of the interview with me during the follow-up telephone interview, participants were able to improve the transcript's clarity and accuracy (Briggs, 1986; Guba & Lincoln, 1989; Mishler, 1986; Stainback & Stainback, 1988).

Clinical observation. The second data-gathering procedure used was clinical observation, a controlled observation technique (Key, 1991) in which an observer gathers data by directly observing and recording the number, content, and sequence of contacts between participants (Cogan, 1973; Goldhammar, 1969, 1980; Interaction, 1971; Martin, 1982; Spradley, 1980). My observation sessions took place during two regular

meetings of the provosts and utilized the four-step process of pre-observation preparation recommended by Harris (1985). To document interaction, I constructed an observational diagram of verbal interaction (Wright, 1989), which employs a low-inference system of categorizing behaviors (Cogan, 1973). Copies of the diagrams generated during two separate observation sessions for this study appear in Appendix E.

Group Interview. A group interview (Kirk & Miller, 1986; McCracken, 1988; Spradley, 1980; Wolcott 1988) of the provosts of the branch-campuses participating in the study was planned to resolve issues of contradiction and/or inconsistency in individual responses, to curb the tendency of respondents to report cultural norms rather than actual events, and to allow an opportunity to verify and clarify participant responses (Bernard, Killworth, Kronenfeld & Sailer, 1984; Spradley, 1980). However, because individual interview responses differed significantly on only one issue, the group interview shrank to a single request for participants to consider and attempt to resolve differing statements on this issue [See Appendix F]. I recorded responses to the request to comment on the inconsistency in shorthand and personally transcribed the notes from this group interview (Briggs, 1986; Spradley, 1980).

Organization Development. During initial discussions with the provosts to secure permission for

the study and to determine its scope and focus, the provosts decided to use my interest in coordinated change as a springboard to initiate action on one of two previously recognized needs for systemwide change. Therefore, my request to study the provosts' change processes overtly influenced the timing, at least, of the initiation of a particular coordinated change. Also, in exchange for the participation of the provosts in the qualitative, descriptive study, I offered to serve as a consultant to each campus on an as-needed basis during initiation of the selected change project.

All my interactions with the provosts and my branch-campus consulting activities were guided by organization development (OD) theory and practice, a "problem-solving process for organizations" (Kurpius, 1979). I relied on process consultation techniques, which Margulies (1978) says, encourage "organizational diagnosis of the ... processes that affect the organization's behavior and subsequent performance" (p. 61). OD consulting techniques constituted an important, though subtle, component in the conduct of my research because, as Schein (1969) has pointed out, "Every act on the part of the process consultant constitutes an intervention, even the initial act of deciding to work with the organization" (p. 98). Therefore, beginning with my initial approach and throughout my contacts with the branch-campus provosts,

I consciously selected interventions based on principles and recommendations from OD theory and practice, which are designed to improve organizational processes (Ellison & Burke, 1987, p. 386). My specific interventions were as follows:

1. acquainting the provosts and branch-campus participants with the Fullan Model (1982, 1990) via theory memos (Schein, 1969), as depicted in Appendices G, H, and L;
2. providing branch-campus participants with a written series of questions to address (Dalziel & Schoonover, 1988; Fullan, 1990) in initiating change (See Appendix M);
3. gathering responses to these questions via telephone interviews [See Appendix M] with the branch-campus participants engaged in the process of initiating change;
4. providing branch-campus participants and the provosts with specific recommendations (See Appendix N and Appendix O, respectively) for improvement in the change processes, based on a comparison of my findings with the Fullan Model (1982, 1990).

These interventions generated data, which was not included in this study due to the secondary nature of the material. But that exclusion does not mean that the use of OD was unimportant. On the contrary, OD

delivered invaluable practical guidance in designing and conducting the final, on-campus consulting phase of the study. I was able to develop a systematic, theoretically sound approach to meet the information needs and address the professional and ethical concerns of the SBU provosts regarding each aspect of the research project. As a result, I won their full cooperation in conducting the central, unprecedented, study of multicampus planned change at SBU.

The consulting activities in which I engaged may have altered interactions and/or the change process, particularly at the one branch-campus which used my services. Certainly, that was a desired goal of the participating campus; and I believed the promise to be available for consulting activities necessary to gain permission to conduct the central study of coordinated multicampus change.

Data Analysis Techniques

To gain a better understanding of multicampus change processes, the data gathered had to be analyzed for its relevance and significance to the research questions posed in the study. A total of three data analysis techniques were used, as needed, to distill relevant information from the data collected.

Inductive Analysis. One process used to achieve meaningful and dependable analysis of data from both

interviews and verbal interaction during the two observations was the three-stage, inductive process of data reduction, data display, and conclusion-drawing delineated by Miles and Huberman (1984). The process rests on considered use of 12 techniques of data verification, six data display variations, and 12 conclusion-drawing tactics, thus systematically incorporating a variety of techniques recommended by qualitative researchers for drawing meaning from data (Bernard, Killworth, Kronenfeld & Sailer, 1984; Briggs, 1986; McCracken, 1988; Mishler, 1986; Wolcott, 1990).

Content analysis (Akinbode & Clark, 1976) of interview responses was achieved by inductively determining what, if any, thematic patterns of policy, process, relationships, and/or perception exist, again by using the Miles and Huberman process (1984) and comparing these to the Fullan theory and Model (1982, 1990).

Data gathered through clinical observation was also inductively analyzed by determining what, if any, patterns of verbal interaction existed, as evidenced by topic initiation, frequency, tone of voice, and direction of communication among participants (Goldhammar, 1969).

Participant Review. Procedures and data were defined and refined through discussion and written communication with participants. The process began when

I met with the provosts at their regular meeting in November, 1992, providing them with an information packet [See Appendix G] explaining change theory, the Fullan Model (1982, 1990), and the rationale for its use in this study. We reviewed the packet together, then considered the possible scope and focus of the study. We decided that the study should develop an information base from which to recommend changes in the coordination process, and I agreed to participate, upon request, as a a consultant for individual campuses in the initiation phase of a systemwide change. The provosts then decided to coordinate revision of their local, campus policy manuals with the university's policy manual as the specific change project they would initiate during the study.

Other opportunities for participant review and influence included the following:

1) providing each provost with a transcript of interview notes for review;
2) follow-up telephone interviews [See Appendix D] to clarify interview responses and correct transcript errors; and
3) a brief group interview [See Appendix F] to achieve consensus (Bernard, Killworth, Kronenfeld & Sailer, 1984; Wolcott, 1988);

Conclusions, and recommendations. Finally, the findings resulting from data analysis were synthesized

into a coherent snapshot of the change process (Herriott & Firestone, 1983; McCracken, 1988; Wolcott, 1988); that is, a logical explanation was developed to account for the conduct of planned change among the branch campuses. This pattern was compared to the Fullan Model to learn what, if any, recommendations to make to improve the provosts' change processes.

Reporting

Chapter I has presented an overview of the study, including the four specific research questions raised and the procedures used to examine and describe the conduct of planned change among branch-campus administrators at a multicampus university.

Chapter II reviews the relevant literature, including the development of education change models, interorganizational relations, and organization development. Chapter III reports and interprets the data collected from interviews and observations conducted in the study. Chapter IV presents the findings arising from analysis of the data, and Chapter V presents the conclusions, recommendations, and implications resulting from the study.

CHAPTER II

REVIEW OF SELECTED LITERATURE

Several related research areas are relevant to the study of coordination of planned change at multicampus universities. The review of literature for this chapter is therefore divided into five sections: 1) Background, 2) Theoretical Change Models, 3) Interorganization Relations, 4) Organization Development, and 5) Summary.

Background

To be effective, higher education administrators need to understand the forces and elements that determine the success or failure of the changes they attempt (Tetenbaum & Mulkeen, 1991). But as recently as 1982, a sweeping review of change literature for the American Association for Higher Education (Nordvall) reported that "there is no comprehensive, verified theory of how change occurs in higher education" (p. 10). That conclusion stemmed from the fact that analysis of change on college campuses relied upon research and theories developed in other contexts (Levine, 1980; Lindquist, 1978; Tetenbaum & Mulkeen, 1989), such as "businesses, communities, national systems of higher education, elementary and secondary

schools" (Nordvall, 1982, p. 42).

Theoretical Change Models

Historically, the study of change by researchers in other fields gave rise to four competing theoretical models, each with proponents who argued for its applicability to higher education. These models were: rational planning, problem solving, social interaction, and political (Nordvall, 1982).

Rational planning. Advocates of the rational planning model argued that researching, developing, and presenting a compelling idea would result in its acceptance in a higher education setting. However, critics of the model pointed out that it did not take into account inescapable nonrational aspects of human and organizational interactions (Havelock, 1973).

Problem-solving. In response, the problem-solving model focused on human relations as the source of problems in organizations. The model "emphasizes ... nonrational elements" (Nordvall, 1982, p. 1) affecting organizational behavior, such as employee job satisfaction, trust in supervisors and/or peers, de facto authority (as opposed to bureaucratic position authority), and so on. Drawing upon the human relations school of business administration, which began with Elton Mayo in the 1930s (Nordvall, 1982), the model first delineates problems, then improves communication,

trust, and one-on-one interaction (Baldridge, 1972; Lindquist, 1978; Paul, 1977) to both "solve current problems (and) build the capacity for solving future ones" (Nordvall, 1982, p. 12).

The adaptation of this model for higher education targeted the creation of trust, good communications, and strong peer groups by using "outside consultants ... to diagnose organizational problems" (Nordvall, 1982, p. 1). But critics said the model never directly related changed attitudes and relationships to improved organizational performance (Lindquist, 1978).

Social interaction. Another attempt to explain the change process, known as the social interaction model, suggested that organizations could spread new behavior among groups by using opinion leaders to try technological innovations, assuming that others would emulate the leadership. According to Nordvall (1982), this model identifies and targets information to opinion leaders, known as "innovators and early adopters" of change (p. 14). The results of this tactic are highly touted: "Once the adoption process begins, it follows a pattern ... so predictable that mathematical models of the adoption cycle can be constructed" (Lawton & Lawton, 1979). However, critics claimed that this model fit neither the environment nor the roles prevalent in education organizations (Bennis, Benne, Chin & Corey, 1976).

Political. Even more controversial was adaptation of the theory known as the political model to education. This model delineated processes used by interest groups inside the university to press authorities for change with such strategies as faction building and pressuring key leaders. The model's critics pointed out that a paradigm which promotes visualizing the campus as a battleground could weaken the organization's ability to focus on, and direct resources to, more constructive goals (Baldridge, 1971). Moreover, none of these descriptive models explained how to apply their principles in educational settings in order to succeed at change (Nordvall, 1982).

Change Models for Education

What public and higher education administrators still needed was an understanding of principles that, when applied, would lead to successful change, specifically in educational organizations. A foundation for this development was laid by Havelock's Linkage Model (1973), which gave education its own change model by synthesizing key elements of the four previous models.

Havelock's Linkage Model. Havelock's model drew on research in higher education, business, sociology, and common education in formulating its vision, thus continuing the tradition of using change principles

developed from research in a variety of organizational settings to adapt planned change models to education. In describing his model, Havelock took care to cite studies from both higher and public education in his annotated bibliography. Thus, by synthesizing the earlier models and emphasizing the Linkage Model's broad applicability, Havelock avoided the criticism of earlier models, which offered "too limited a perspective" (Nordvall, 1982, p. 18). Still, the Havelock model remained abstract; and five more years were to pass before Lindquist's Strategies for Change (1978) brought about the next major advance.

Lindquist's Adaptive Development Model. Like Havelock (1973), Lindquist (1978) developed a synthesis of earlier models; but he added the concept that planned change is always localized; that is, it must always be adapted to local conditions. Aptly, he named his model, "Adaptive Development"; and instead of focusing on its premises, Lindquist spelled out the step-by-step processes necessary to accomplish successful educational change through adaptive development in higher education. Lindquist also backed up his claims with field research, which both strengthened the foundation for applied change theory in education and underscored similar findings in studies of both business organizations by Hackman and Lawler (1971) and in educational organizations by the Rand Corporation (Berman, 1980).

Equally important, Lindquist's model was specifically directed to higher education; like Havelock (1973), his bibliography (which cited Havelock) made liberal use of sources exploring change in public education, business and social psychology, thus illustrating the generic adaptability of effective principles of change from one organization to another.

Levine's Institutionalization-Termination Model. Levine's book, Why Innovation Fails (1980), marked another breakthrough in providing a comprehensive framework for planned change in education. Like Lindquist (1978) and Havelock (1973), Levine also drew upon earlier studies, refining and synthesizing useful elements from research in higher and common education, sociology, and business into a practical model for higher education. The book overtly referred to the generic nature of principles of change, noting that its principles were "applicable to organizations in general" (p. vii), although its locus was effective change in higher education. Most important, Levine's institutionalization-termination model added empirical evidence of two previously unidentified, but essential, criteria for successful institutionalization of change in educational organizations: Value congruence and profitability.

Clearly, a body of literature was beginning to develop that encouraged more effective planning for

educational change. However, despite these and other improvements in the understanding of change and change models in education, Nordvall concluded in 1982--after exhaustively reviewing the state of the art of change--that no single theory could detail the specific steps for every situation where change is attempted. "At best," he wrote, "the theory would probably list the factors that have been proven crucial in a broad range of change activities" (p. 42).

Enter Michael Fullan (1982).

Fullan's Model. In his book, The Meaning of Educational Change, published in the same year that Nordvall issued his call for a broadly applicable model, Fullan (1982) did in fact delineate a comprehensive theoretical change model, distilling the essence of 500 theoretical, research-based, and practical references into a systematic process. Fullan (1982), as had Levine (1980), Lindquist (1978), and Havelock (1973), cited some studies of change in higher education, although most of his bibliographic entries were drawn from studies of the change process conducted in common schools.

What distinguished Fullan's (1982) contribution from previous ones was that the paradigm resolved the criticisms of models developed for higher education by effectively synthesizing the findings of both organizational and educational change to date. This

synthesis did not discriminate between types of education organizations, such as public versus private or higher education versus common education. Instead, the Model (1982, 1990) was generic; Fullan (1990), defined the process he devised as "powerful usable strategies for powerful usable change" (p. xiii) in education organizations.

As Nordvall (1982) had prophesied, the Fullan Model (1982, 1990) identified six essential themes that research had demonstrated must be confronted and dealt with in order for change to succeed in education organizations: Vision-building and leadership, initiative-taking and empowerment, evolutionary planning, monitoring/problem-coping, restructuring, and staff development/resource assistance.

Building on this framework, Fullan (1982, 1990) created a virtual handbook to guide the change process by focusing on two highly practical elements:

1. crucial factors determining success or failure and
2. flexible techniques to use in each stage of the process.

Like its predecessors, the Fullan Model (1982, 1990) continues the tradition of synthesizing organizational theory and research in higher and common education, business, and sociology. However, the model (1982, 1990) relies on the language and metaphors of

education, rather than the metaphors of commerce, social science, or another field. This is an important feature, for "models are metaphorical representations of reality, used to create concrete structures for what is largely an abstraction or image" (Chiarelott, Reed, & Russell, 1991; Chisholm, 1989). As a result, language and metaphor can shape or reshape vision, and vision can shape or reshape reality for better or for worse--vocabulary and syntax used can strongly affect credibility--can even determine the degree to which communication occurs (Dalziel & Schoonover, 1988; Ewell, 1985; Watzlawick, Weakland, & Fisch, 1974). Therefore, it is a distinct advantage that the Fullan Model (1982, 1990) uses language and metaphors that are both familiar to and considered appropriate by educators (Chiarelott, Reed, & Russell, 1991).

Of particular interest to multicampus institutions, the Fullan Model (1982, 1990) also acknowledges the complexity of the change process, the necessity for shared authority, and the inevitability of conflict and negotiation in accomplishing effective change (Creamer & Creamer, 1988; Dalton, Lawrence, & Greiner, 1970; Millin, 1988), factoring all these elements into the Model's design. As a result, the Fullan Model (1982, 1990) appears to be a particularly appropriate lens through which to examine coordination of planned change in multicampus higher education.

Interorganization Relations

As vitally important as an appropriate change model is to understanding how successful change occurs, two other facets of organizational theory literature must also be reviewed to understand how successful multicampus coordination of change occurs. First is the literature of interorganization relations (IOR), because it examines interdependence, coordination, and collaboration among organizations (Whetten, 1981). As one observer has noted, cooperation among organizations depends on simple mathematics: "Do the gains from dropping certain interests/goals in the name of cooperation outweigh the losses?" (Kanter, 1983, p. 260). Unfortunately, little IOR research has examined how this calculation is made in successful higher education coordination (Rogers & Whetten, 1979). However, research in other fields has identified categories of organizational relations, types of coordination, and possible responses when a need for coordination is recognized (Whetten, 1981). Studies have also identified conditions necessary for effective coordination and cooperation (Akinbode & Clark, 1976; Johnson & Johnson, 1989; Wendling, 1980), generated a theory of organizational balance (Litwak & Meyer, 1966), and a rather sketchy proposed model for interorganization coordination (Whetten, 1981).

However, the only comprehensive studies of multicampus higher education coordination were surveys conducted in the 1970s. Lee and Bowen (1971, 1975) produced two of these studies, based on surveys of multicampus universities in nine states. Their first (Lee & Bowen, 1971) described administrative roles and organizational patterns found in the nine university systems. They concluded that three characteristics--origin, organization, and size--shape a multicampus university's patterns of coordination and its approach to change.

The 1975 Lee and Bowen study again focused on nine multicampus systems, this time primarily to assess each university's experiences in coping with change. The authors concluded that "a cooperative planning process" (p. 92) among the branch campuses is vital to success. Both the Lee and Bowen studies (1971, 1975) also hammered home the need to maximize branch autonomy in multicampus administration and to minimize centralized authority. That recommendation culminated in the development of a flexible model for balancing autonomy and coordination in a multicampus system, which was presented in the 1975 study.

A roughly contemporary study (Baker, 1974), which was based on survey responses by 255 institution executives, also produced a model for multicampus planning and administration (Baker (1974); however,

Baker's (1974) model was far more prescriptive than the one developed by Lee and Bowen (1975), even though Baker (1974) acknowledged that multicampus coordination is highly complex and therefore requires "a delicate interplay" (p. 2) to succeed.

Subsequent studies of IOR in higher education, while more limited in scope, have confirmed Lee and Bowen's (1971, 1975) findings regarding both the advantages and the limitations of multicampus coordination (Chisholm, 1989; Louis & Sieber, 1979, Zusman, 1989). Such studies have continued to confirm the importance of balancing campus autonomy with cooperation to promote successful coordination (Chisholm, 1989; Louis & Sieber, 1979). As a result, while few IOR studies have focused on higher education, those few reinforce the theory and research findings undergirding the change model developed for education organizations by Fullan (1982, 1990).

But in order to diagnose and resolve the tangled, competing issues that arise in coordinating multicampus planning and administration, one needs specific, systematic activities designed to identify and change systems and behavior. A systemic approach to improving organizational coordination calls for "a planned response to a diagnosed need for change" (Michael, Luthans, Odiorne, Burke, & Hayden, 1981), which is, in fact, a definition of Organization Development (OD).

Organization Development

The branch of organization theory known as OD sprouted in response to calls for improved "quality of work life" (Bobbitt & Behling, 1981, p. 39) for employees, which grew out of management studies that linked organizational performance to employee satisfaction (Herzberg, Mausner, & Snyderman, 1959; Wanous, 1974). As a result, early OD practice and literature focused primarily on identifying and meeting individual human needs in a corporate or industrial context (Kurpius, 1979; Porras & Hoffer, 1986; Weisbord, 1978), using group dynamics research to develop techniques such as sensitivity training (Michael et al., 1981). The problem-solving approach to organization change described by Nordvall (1982) reflected these early OD principles.

As research continued, however, many OD theorists and practitioners shifted their focus to planned activities designed to improve the social and/or technical systems operating in organizations, including educational organizations (Fullan & Miles, 1979; Kurpius, 1979; Michael et al., 1981; Porras & Hoffer, 1986, Schein, 1969). The shift occurred because research findings showed that: 1) systematic, process-based efforts, rather than merely individual efforts, were necessary to accomplish lasting change (Berman, 1980; Fullan, 1990, Schein, 1969; Sieber, 1976) and that

2) these processes applied to change in organizations in general, rather than merely to industrial settings (Bobbitt & Behling, 1981). As this shift in focus from individual to systems occurred, the literature on OD theory began to mirror and merge with organizational change theory literature (Chamberlain, 1979; Ellison & Burke, 1987; Hall & Hord, 1984; Kurpius, 1979; Michael et al., 1981; Porras & Hoffer, 1986; Schein, 1969; Sieber, 1976). As a result, by 1986, the primary goal of OD practice had shifted to improving organizational performance, relegating OD's early focus on improving the quality of life for individual employees to decidedly secondary status (Porras & Hoffer, 1986).

OD research to improve organization performance has occasionally targeted educational settings. For example, Chamberlain (1979) proposed nine core variables to consider in attempting higher education change, and Ellison and Burke (1987) developed a four-step intervention selection strategy for OD in schools. More often, though, OD literature identifies or refines specific intervention techniques, such as the Nominal Group Technique, for use in virtually any organization (Thomas, McDaniel, & Dooris, 1989); or offers a broadly applicable process for coping with a common problem, such as organization politics (Kumar & Thibodeaux, 1990); or identifies behavioral outcomes that will signal successful change intervention in any type of

organization (Porras & Hoffer, 1986).

Another type of OD literature periodically gathers together the wisdom of the field, organizing these procedures and techniques into handbook format (Dalziel & Schoonover, 1988; Schein, 1969). Another practical guide, labelled an "intervention taxonomy" by the authors (Hall & Hord, 1984, p. 275), is directed specifically at planned change in "schools and colleges" (p. 276). Hall and Hord (1984) identify six levels of intervention, each defined by its scope, duration, and the number of users affected in the organization. The taxonomy thus targets specific points of entry to infuse planning and monitoring of the change process into all levels of an organization, as is recommended by effective change models such as Fullan's (1990) [See p. 7]. Indeed, Fullan's (1990) book setting out his theory of educational change and the Fullan Model (1982, 1990) synthesize and incorporate current OD theory and practice, creating a virtual handbook for accomplishing change in education organizations.

Summary

Thus, three streams of organization research--theoretical change models, interorganization relations, and organization development--eventually converge in the successful navigation of multicampus change. Change theory generates the models, such as Fullan's (1982,

1990), which present a step-by-step process to guide attempts at change in education organizations; IOR offers additional insights specifically aimed at cooperating organizations; and OD provides a body of specific intervention techniques and guidelines to facilitate change in systems that will, in turn, generate and sustain individual behavior changes. This triad of organization research--change theory, IOR, and OD--can therefore directly benefit multicampus higher education administration. Yet, few studies target multicampus higher education, even though a clear need exists to enhance this knowledge base. For example, conditions of retrenchment in the 1970s, which led to higher education mergers, consortia, and increased branch coordination (Lee & Bowen, 1971, 1975), are again ascendant in the 1990s, with little expectation of improvement ("Community," 1993; "Inequities," 1992; "Most," 1993; Tan, 1990). Therefore, the purpose of this study was to expand the knowledge base regarding planned change in multicampus higher education by using a change model to map the processes, policies, and relationships of those coordinating planned change at a multicampus university. Chapter III, which follows, reports and interprets the data obtained for the study through interviews and observation of the processes, policies, and relationships among the branch-campus provosts at the selected multicampus university.

CHAPTER III

PRESENTATION AND INTERPRETATION OF DATA

The general purpose of this study was to describe and explain the conduct of change coordinated by the branch-campus provosts at a multicampus higher education institution, based on data gathered from interviews with the provosts and direct observation of their coordination meetings. Consequently, the study entailed three phases: 1) initial contacts and definition of the project; 2) interviews conducted individually and with the group of provosts; and 3) clinical observation of the provosts' meetings. The resulting data is therefore presented in three sections: "Initiation," which describes the initiation of the study; "Interviews," which describes the data gathered face-to-face, in telephone interviews, in a brief group interview, and from supporting records; and "observations," which presents the data collected via two observation sessions.

Definition of the Project

The possibility of conducting a study of coordination in the multicampus university that I will

call Sunbelt University first arose during a conversation with an SBU administrator, who suggested that this research topic might be of interest to the university's branch-campus provosts. The administrator recommended that I check with the four branch-campus provosts to determine whether his perception was accurate. I did so, and the four branch-campus provosts responded with interest to my preliminary telephone calls asking for their reaction to the idea. Consequently, in November, 1992, I sent each provost a letter (See Appendix H) outlining the proposed focus for the study and explaining the demands it would make on them as participants. At the close of the letter, a tear-off form allowed each provost to mail a response back to me, agreeing or declining,to participate.

Upon receiving approval of the proposed research from all provosts, I arranged to meet with the provosts at their next monthly breakfast meeting. There, I gave each of them an information packet [See Appendix G] that included a brief explanation of change theory, a statement of my goals for the research, and a summary of Fullan's Change Model (1982, 1990). Together, we reviewed this information to develop a mutual conceptual base, vocabulary, and context for the research I hoped to conduct with their cooperation. As we talked, the fact emerged that the branch campuses had--until only a few months previously--operated virtually as independent

institutions without any coordination. The group therefore had no oral or documented history, no traditions, and few precedents. As a result, the provosts suggested that the study should lay out an informational baseline that would describe and analyze the evolution of coordinated change, with particular focus on the initiation phase [due to time limitations.

After determining the focus of the study, we then considered which of two change projects suggested by provosts on their response forms [See Appendix H] might be initiated to facilitate my research. The suggested projects were to: 1) initiate a systemwide revision of campus policy manuals or 2) initiate a systemwide compressed video network. A brief discussion of the pro's and cons of initiating each of these changes while my research was underway led the provosts to decide on policy manual revision as the coordinated change they would undertake in concert. At the conclusion of our meeting, I told the provosts that I would be calling each of them after the Christmas holidays to set up individual interviews as the next step in the study.

Interviews

In January, 1993, I telephoned each of the four branch-campus provosts [Technical, Medical, Senior, and JuCo] to set up a date and time for an interview and developed a semi-structured list (Mishler, 1986) of

interview questions [See Appendix C]. This interview protocol was based on principles of ethnographic interviewing (Mishler, 1986; Spradley, 1980; Wolcott, 1988) and organization development (Schein, 1969). The goal of questioning was to elicit a description of the relationships among the provosts and the coordination process they employed to accomplish change systemwide; specifically, I wanted to determine the steps in the process, key roles and relationships in the process, provost attitudes toward the process, and flaws in the process. Appendix C depicts the specific interview protocol developed to elicit this information.

During each interview, if other questions pertinent to the research arose, I asked these questions in addition to those listed in the protocol. I recorded each provost's interview responses in shorthand and later transcribed them, organizing the information by topic into a coherent, preliminary written account of the interview.

The next step was to send a typed copy of each provost's remarks, along with a cover letter (See Appendix I), to the provost interviewed. This letter asked the provost to review the preliminary notes for errors and promised that I would call the following week for a follow-up telephone interview of approximately 15 minutes in order to get corrections to the copy, to clarify confusing comments in the interview, and to ask

any additional questions necessary to ensure that all provosts were asked all relevant questions that had arisen during any of the personal interviews.

As promised, the following week I conducted a follow-up telephone interview with each provost. The list of questions asked during this series of interviews may be seen in Appendix D. Responses to these questions comprised the raw interview data, which fell into four categories of information about SBU when viewed through Fullan's (1990) conceptual lens:

1. structure of the organization
2. climate
3. roles and relationships and
4. coordination.

Below, the data that emerged in each category during interviews is summarized, illustrated and supported by typical examples of interview responses.

Organizational Structure

In interviews with its provosts, Sunbelt University was commonly referred to as a branch-campus system with branch-campus provosts. However, this terminology can create a somewhat misleading picture of the actual SBU system as it emerged in interviews. The problem is one of imagery; the word, "branches," implies a sturdy trunk feeding resources to limbs that 1) draw their lifeblood from the trunk and which 2) replicate the trunk in

miniature. At Sunbelt University, however, this is the case only in regard to Senior Campus, which is a direct extension of base campus upper-division programs. The remaining three branches [Technical, JuCo, and Medical] are, however, independent state budget agencies; that is, each branch gets its own lump-sum appropriation directly from the state coordinating board. Moreover, all four branches serve student populations that differ markedly from the base campus student profile. The Medical Branch provost summarized the situation this way: "The budget development process [for each branch] is entirely separate; and the programs at this branch are completely distinctive from all others." Thus, the homogeneous image conjured up by referring to the outlying campuses as "branches" of the base campus is less than accurate.

On the other hand, interviews also revealed that the campuses of Sunbelt University do share a common name, governing board, motor pool, legal counsel, architectural and auditing service, purchasing, payroll, inventory, personnel services, and--with some exceptions--a common policy manual. Ultimately, the structure ordained by these legal boundaries and cultural links, coupled with changes in the top leadership of Sunbelt University, emerged from interviews with the branch-campus provosts as key factors in shaping the organizational climate, the

provosts' relationships, and the processes used to achieve progress from virtual autonomy to coordination.

Organizational Climate

To begin with, until very recently virtually no branch-campus coordination existed at SBU. Instead, as the Senior Branch Provost noted, systemwide "policies were formulated without the input of the provosts ... they just made an appointment to see the [base campus] president or the academic vice president when a problem came up." This climate of benign neglect was a source of considerable dissatisfaction to the provosts, who repeatedly used the terms "frustrating" or "ineffective" in describing their previous status and relations with the base campus. The system limped along, however, until a change of top administration brought with it a climate of opportunity for change. Viewed through the lens of the Fullan Theory, the resulting sequence of events illustrates the initiation, adoption, and implementation of a shift from autonomy to coordination.

Initiation of coordination. Fullan (1990) defines the initiation phase as "the process that leads up to and includes a decision to adopt or proceed with" (p. 47) change. The initiation process may be triggered and propelled by at least eight factors, three of which emerge clearly from the data on the evolution of coordination at SBU. These three factors are: advocacy

from the central administration; new federal, state, and/or local policies or funding decisions; and external change agents (Fullan, 1990).

First, in the fall of 1988 a new president arrived at SBU. This key event triggered a series of small but significant changes in relations between the base campus and its branches that ultimately resulted in the creation of a climate leading directly to the initiation of branch-campus coordination. Figure 1 [pp. 50-51] summarizes these events, which were documented in minutes of meetings of the SBU board of regents. (This source was not referenced in order to preserve the anonymity of the institution and its administrators.) To clarify information contained in these documents, I also conducted a telephone interview with the SBU president (personal communication, September 30, 1993). Together, these written and human information sources revealed that the new SBU president envisioned a university system in which full articulation and course transfer could be accomplished. But the old, loose confederation of satellite campuses he inherited had, by all accounts, failed to achieve even effective communication, much less coordinated action. In the words of the Technical Campus provost, "Essentially, there was no communication and not much substance [in intra-campus relations] under the previous administration." Clearly, the system had to change if the new president's vision were to be

realized.

Yet, interestingly, only the Senior Branch provost perceived the SBU president as the change agent responsible for the advent of branch-campus coordination.

> Not until [name] came on as president were the outlying campuses elevated to branch status," he said; the new president "called for more coordination, integration, and cooperation in order to develop a true multicampus system. He made the effort to integrate the branches.

Later, the same provost noted that "the specific impetus for the monthly [provosts'] meetings was the desire to articulate degree programs with the branches." But his was an isolated perspective among the branch-campus administrators.

Of the remaining three branch-campus provosts, two were on the job when the presidency changed hands. Neither in their initial interviews nor during the group interview did either man credit the new president with concerted action to develop coordination or even with fostering articulation and transfer, which would thereby have facilitated coordination. In fact, in a group interview [See Appendix F] designed to clarify discrepancies in data, the two provosts specifically denied that either the president's philosophy in general or the need for articulation among the branches in

Figure 1

Key Event Time Line for
SBU Branch-Campus Coordination

July	1988	New SBU President named
Sept	1988	New SBU President assumes office
Oct.	1988	SBU regents initiate strategic planning
Dec.	1989	State Higher Education Regents call for a strategic planning meeting with SBU in mid-March, 1990; SBU regents want draft plan from SBU administrators by March 1, 1990
1989-1990		SBU President decides to push for integration of branch campuses to improve course transfer
May	1990	SBU branches and chief academic officers retitled to reflect an integrated system
July	1990	Base campus academic vice president retires
Oct.	1990	SBU board approves president's request for new position replacing former vice president: Multicampus Provost/chief academic officer for SBU system; JuCo branch-campus provost tells SBU board of need for full articulation and transfer between JuCo and base campus.
July	1991	internal budget cuts begin in expectation of legislative appropriations cuts; SBU Multicampus Provost's position filled
Fall	1991	Branch-campus provosts ask for regular meetings with Multicampus Provost; Technical Branch faculty-staff group asks for and wins approval to join SBU Faculty Council
Feb.	1992	Monthly provosts' meetings begin
July	1992	Second year of internal budget cuts begins in expectation of more cuts in appropriations
Aug.	1992	SBU regents set mid-October deadline for development of new mission statements and strategic development plan by all branches
Oct.	1992	SBU submits strategic plan naming five top priorities for each branch and base campus; but all campuses ask for more time to develop mission, role, and scope statements

Figure 1 (cont.)

Feb.	1993	State higher education consultant publishes report urging break-up of the SBU governance system; at Multicampus Provost's request, branch-campus provosts speed up & coordinate responses, integrating their mission, role & scope statements
May	1993	State higher education regents approve request by JuCo branch to offer associate degrees (replacing applied degrees) in three programs unique to the campus, opening a path to full articulation/transfer with base campus and other four-year institutions
June	1993	SBU regents approve branch-campus mission, role, and scope statements; internal budget review begins in expectation of third year of reduced legislative appropriations and to re-allocate $2 million internally to meet strategic planning priorities
Aug	1993	SBU regents approve JuCo associate degree program in three areas for three-year trial
Sept	1993	SBU president resigns; Regents name Multicampus Provost interim president; he then names an interim Multicampus Provost

particular resulted in the evolution of coordination among the SBU branches, although there would have been little need for a "multicampus" provost if no coordinated academic planning were envisioned. Moreover, the JuCo Provost had participated with the new SBU president in a concerted effort to educate the SBU board on the need for improved coordination and articulation at the October, 1990, board meeting [See Figure 1, pp. 50-51].

When confronted with the views of his colleagues regarding the role of the president in initiating coordination, the Senior Branch Provost did not retract his view of this matter; he simply remained silent in the face of the unity expressed by the two other branch-campus provosts. This divergence of opinion constituted

virtually the only notable break in the homogeneity of the provosts' perceptions regarding the SBU administrative system and the evolution of coordination. Despite the fact that the Senior Branch Provost's view is singular among the provosts, two other sources of information suggest that his perception may nevertheless be the more accurate one. First, Fullan (1990) points out that "initiation of change never occurs without an advocate" [p. 54]; and the new SBU president appears to have been such an advocate. According to the president's own recollections, "I was very interested in

improving articulation and transfer and reducing duplication by fully integrating the branches in the system" (personal communication, September 30, 1993). This statement tends to support the Senior Branch Provost's perception that the president did indeed begin working to promote full articulation and branch-campus coordination very early in his administration. In addition, a time line [See Figure 1, pp. 50-51] illuminates a sequence of small changes introduced by the president, which by their adoption fostered a climate friendly to branch-campus coordination.

Successful initiation always involves adoption, which Fullan (1990) says occurs when a decision is made "to proceed with a change" (p. 47). And several small adoption decisions propelled movement toward coordination at SBU. First came the president's request to rename the branches and their Chief Academic Officers, thus providing the "shared language" (Fullan, 1990, p. 55) necessary to convey the concept of an integrated system comprised of equal components. In the president's own words, "We changed the names to give greater connectivity with [SBU]" (personal communication, September 30, 1993). Each branch was renamed SBU/(city name), and the Chief Academic Officer of each campus was renamed "provost." SBU regents approved both requests in May, 1990.

The next step in creating a climate friendly to

coordination occurred the following October [1990], when, supported by the SBU president, the JuCo provost spoke to the SBU regents of the need for full articulation and transfer between the two-year, JuCo Branch campus and the four-year base campus. At the same meeting, the President sought and won approval from the regents to create the post of Multicampus Provost.

According to the Senior Branch Provost, the new position of Multicampus Provost was created as part of the president's effort to weld the branches into a true multicampus academic system. The opportunity arose when the SBU vice president for academic affairs retired. This event removed a roadblock to coordination, according to the president. He considered the retiring vice president "an elitist ... who wanted to keep the branch-campus students second-class citizens" to maintain the base campus as a "closed shop for true freshmen," excluding most transfer and nontraditional students (personal communication, September 30, 1993). As soon as this vice president retired in July, 1990, the president re-designed the vacant position, and the governing board approved the new role of Multicampus Provost, filling the position in the summer of 1991. This title clearly suggests that the person in the position would oversee academic affairs across the entire system, and the president says that he saw his own role as president primarily as a fundraiser for the

institution (personal communication, September 30, 1993).

But most of the branch-campus provosts did not perceive a deliberate quality in the moves of the president toward a coordinated system; they all simply agreed that the arrival of the university's first designated Multicampus Provost signalled their first real opportunity to effect branch-campus coordination, and they grabbed at the chance. They decided to meet immediately prior to the monthly SBU board of regents meetings that each provost had to attend anyway.

Implementation of coordination. The disagreement over the impetus behind SBU attempts at coordination includes disagreement on the specific impetus for the monthly coordination meetings attended by the provosts. As the JuCo Branch provost remembers it, the idea sprang from a conversation between him and the Technical Branch-campus provost: "It came up during a discussion we had that began when we wanted to discover how the others were handling budget cuts. I mentioned that we used a task force ... on my campus. [He] liked that idea, so we took it to [the Multicampus Provost], and we all agreed to go ahead [to form a sort of provosts' task force]."

The Technical provost agreed with this assessment; however, it conflicts with the pattern of events [See Figure 1, pp. 50-51] and the president's own

recollections (personal communication, September 30, 1993), which clearly indicate that the new president's desire for articulation and a true, multicampus system was the actual spark generating coordination meetings. This evidence includes the JuCo Branch provost's own speech [See Figure 1, pp. 50-51] to the regents in October, 1990, on the imperative need for articulation [and thus coordinated academic planning to achieve it], as well as the recollections of the Senior Branch administrator, who stated with certainty: "The specific impetus for the monthly meetings was the desire to articulate degree programs with the branches." This disagreement could not be resolved. The final count was three-to-one against articulation as a key factor in generating the provosts' meetings. Only two branch-campus provosts even acknowledged that articulation "was one of the topics but certainly not the driving force to get the group organized," as the Medical provost phrased it. Thus, despite suggestive events and at least one account to the contrary, almost none of the provosts viewed the president and his desire for an academically integrated system as a key factor in the creation of intra-campus coordination meetings.

Although the views of the provosts on this matter appear contradictory at first glance, the conflict may simply reflect observations of the same phenomena from different perspectives. The primary focus of three of

the branch-campus provosts was engaged then and now in running independent and complex budget agencies at sites remote from the base campus. Moreover, they had only intermittent communication with the base campus administration at the time these events transpired. As a result, these provosts did not perceive any particular pattern to events. They simply saw an opportunity "to improve communication and working together," in the words of the Technical Branch provost, when a Multicampus Provost was hired or when the president sought better transfer agreements.

On the other hand, the Senior Branch administrator perceived a more systematic, rational process taking place from his vantage point. At the time, he was meeting regularly with the president and Multicampus Provost on the base campus, rather than occasionally glimpsing the central administration from afar. In addition, his academic study of public administration may have encouraged insights into the activities of the new administration. At any rate, the idea for regular meetings took root, and in February, 1992, all the provosts assembled for their first scheduled meeting.

Roles and relationships

Fullan points out that "the relationship between initiation and implementation is loosely coupled and interactive," (p. 64). This means that "poor beginnings

can be turned into successes" or that "promising startups can be squandered" (p. 64.) Therefore, the roles and relationships among the people attempting to effect change are central to its success; and the perceptions of the provosts regarding their own roles and relationships in the change process are important to note.

According to interview data, the provosts struck a careful balance: Informality was from the beginning, and remains, the watchword for the gatherings of the SBU provosts. As the Medical Provost explains, at their meetings "no formal agenda exists; it is an information-sharing meeting for consensus development." They also create an atmosphere of professional collegiality and cooperation, avoiding competition with each other. Paradoxically, in order to maintain their status as colleagues voluntarily cooperating because they can afford not to compete, each provost fiercely guards his autonomy. The data that emerged regarding these roles and relationships is summarized and illustrated with typical comments below:

Collegiality and cooperation. The provosts repeatedly described themselves as peers or equals or colleagues. In the Medical Provost's words, "We are all equal and bring something to the table ...." The informal and collegial nature of the meetings in which no minutes are taken, no agenda published, and no

requests for recognition necessary is greatly appreciated by officials who "have enough bureaucracy to deal with ... without adding unnecessary complications," according to the blunt assessment of the Technical Provost. One such unnecessary complication that SBU provosts avoid in their meetings is competition. They are spared this divisive element because the branches do not compete against each other for bites of a common resource pie. "We don't compete for resources because the branches are separate state agencies for budget development purposes," the Senior Branch Provost explains. This fact permits quite congenial relations, since the branches believe they can choose the issues on which they wish to cooperate, rather than feeling forced to do so.

The Medical provost explains the cooperative nature of relations among the provosts best: "Even though we are geographically separate, we are part of the same structure and [under the same] board ... We all share ideas, proposals, etc." Even in an informal and congenial setting, however, concerted or phased action requires facilitation; again, the Medical Provost says it best: "... we need a process of working on [common issues] through the administrative system."

The provosts agree that the appointment of a Multicampus Provost provided a fulcrum for coordinated action, and he is recognized as the prime enabler for

branch-campus change. "Coordination of follow-up, such as recommendations for what action might be taken next, or whether we need to talk with [SBU president], falls more to [the Multicampus Provost] simply due to the nature of the beast," explains the Technical Provost. And by all accounts, the Multicampus Provost does a good job at this. All four branch-campus provosts agree with the assessment of the JuCo provost, who says the Multicampus Provost "has worked hard to make the council of provosts work." But this comment raises a question: Why should an innovation so universally welcomed take "hard work" to make it succeed? According to those interviewed, the answer lies, once more, in the nature of the beast.

Autonomy. The fact is that the base campus is overwhelmingly larger than the outlying campuses in sheer physical plant, number of students, and budget. The largest branch [JuCo campus] has only one-third as many students and a miniscule budget [the lowest per capita in the state] in contrast to its big brother, the base campus. All the branch-campus provosts express, one way or another, a strong sense of this disparity, either pointing out the differences in size, as did the Medical Provost: "Our campuses are smaller and departments are smaller; we have a smaller administrative and staff group in almost every division, as well"; or acknowledging the difference in perspective

that size can create, as did the Technical Provost:

> I'm not sure that the base campus really understands at the top-three-person administrative level just how much broader is our scope of responsibilities [at the branch campuses]. [Names the Multicampus Provost] can focus on administrative issues entirely; I may deal with housing, the library, the expulsion of a student, the police, plus other matters all in a single day. You don't have the number of specialists at a smaller [campus] that you have on the base campus.

As a result of the powerful contrasts between the base campus and the branches, the branch-campus provosts often feel as if they are dancing with a tiger in working with the central administration. The Technical Provost describes the common wariness clearly: "The first thought is not to take anything to the base campus, right up to the edge, in order to maintain autonomy."

Moreover, at least one provost has felt the need to act decisively to preserve branch-campus autonomy. This provost requested that the specific incident remain confidential, but the broad pattern was this: The then-new multicampus provost unilaterally revoked a major decision made by a branch-campus; at this, the branch-campus provost telephoned the multicampus provost to explain in no uncertain terms that cancellation of this

decision was not a legal prerogative of the base campus. As a result of this conversation, the base campus retreated, and the branch-campus decision was implemented as originally scheduled. Although the incident demonstrates the legitimacy of the ancient fear felt by a small fish in the wake of a big fish, it was apparently an isolated example; the provosts generally share the opinion expressed by the Medical Provost that the multicampus provost is "very easy to work with." One reason for this perception may be that circumstances conspired to demand coordination almost immediately after the provosts began to consider holding regular meetings, thus encouraging the group to bond.

Coordination of Intra-Campus Change

The experience of developing coordinated, planned change across the entire university system is still so new to this group that, at first, no one could even recall an instance of doing so. Typical of the responses to queries about previous coordinated change was the Medical Provost's remark: "I don't believe we've conducted a coordinated change previously." However, the Technical Provost eventually recalled an example, which the other provosts then confirmed as the first--and only--previous coordinated planned change they had implemented. Considering the group's very brief history of conscious efforts to coordinate when interviews

began, this fact is not surprising. Moreover, the chance to coordinate a change systemwide sprang from a source outside the provosts' circle.

Initiation/Adoption. The administrative changes accomplished by the president that created a climate friendly to coordination at SBU first ran parallel to, then converged with strong, external pressures for coordination. These elements correspond to several of the factors Fullan (1990) associates with initiation and adoption of change, such as external change agents, new policies or funding levels, and/or community pressure. For example, powerful external change agents included the state coordinating board and the SBU regents, as well. A strategic planning process initiated by the SBU regents in October, 1988, [See Figure 1, pp. 50-51] was aggressively pushed by the state coordinating board, as well as the SBU regents. As the new SBU president changed campus names and job titles and created new positions, the two sets of regents issued a series of increasingly pointed calls for strategic planning by SBU [See Figure 1, pp. 50-51].

SBU officials set a leisurely pace in responding. "There was a systemwide planning committee with token representation from each branch," the Technical Provost recalled vaguely; the others had to be reminded before recalling these events at all. Nearly four years later, the regents, impatient with the snail's pace of

progress, surprised SBU administrators in August, 1992, according to the Technical Provost, with an October deadline for: 1) defining the specific mission of each campus in the SBU system; 2) naming the top five over-arching priorities for each campus to accomplish its mission; and 3) designating specific dollar amounts to re-allocate to meet the over-arching priorities set by each campus. Furthermore, the regents mandated inclusion of virtually every segment of the university community in the planning process [Multicampus Provost, personal communication, September, 1992]. These marching orders galvanized the provosts: "A deadline [for our input] was set, and it was quick because of the need for meetings with the faculty and so on necessary to complete the task," recalls the Technical Provost.

But the regents' strategic planning deadline was not the only, or even the sharpest, goad the provosts felt to coordinate. Advance copies of a consultant's report to the state coordinating board showed that he would recommend breaking up the SBU system. The alarm expressed by the SBU board of regents at this recommendation had two effects: it united the provosts and kicked them into high gear. In the words of one who asked for anonymity: Our regents reacted very strongly to the consultant's proposals. It was clear that if you wanted to keep your job, we needed to mount a strong defense of the current system. We all agreed to broaden

the mission, role, and scope statement of SBU to include all the branches to prevent the assumption that we didn't care if we were separated.

This common threat triggered, almost unconsciously, accomplishment of the provosts' first coordinated, planned change.

Implementation. The perceived threat welded the provosts together, and the coordinated actions they took to implement change set a number of precedents. First, the Multicampus Provost led the effort. It was a simple matter of expediency, according to the Technical Provost. "At the system level, the multicampus provost must deal with MRS [the mission, role, and scope statement requested by the regents]." Therefore, the Multicampus Provost "brought up the topic and told us what the base campus was doing," explained the JuCo Provost.

Next, the branch campuses agreed on a time table; then each organized a local response mechanism, reported their progress at the intervening monthly meeting, and eventually presented to the regents an integrated set of mission, role, and scope statements for the SBU system. In sum, "The other campuses followed suit ... [and] we revised our own campus mission statements to fit in with the [base campus MRS statement]," the JuCo Provost explains. The provosts adapted their response as they went along, as well.

In assessing this, their first experience of coordinated change, the provosts expressed satisfaction. "I liked the way the process worked because it was not directive in nature; that is, it allowed us at the campus level and within the framework of the established format to establish content that specifically fit our campus without orders from the base campus on what should be included," the Technical Provost recalled, expressing the group's consensus. In sum, a response born of necessity proved viable in initiating and implementing a coordinated, systemwide change.

The provosts had improvised their coordination model under the stress of a perceived threat to their own job security, fueled by a looming deadline for systematic planning by both the state coordinating board and SBU regents.

Institutionalization. The next step, according to the Fullan Model (1982, 1990) would have been to institutionalize the process. But even before the original coordination effort wrapped up, the initiation phase of the model was re-activated to respond to a second common need. Once again, a perceived threat and an overt call for action combined to generate a change, planned and coordinated by the branch-campus provosts.

Replication of the process. The source of stress which generated the next coordinated change attempted by the provosts was a grievance filed by a fired employee

of the JuCo Branch campus, an action which almost cost the JuCo Provost his job. He recalled, "I am convinced my experience with a faculty member's grievance last year triggered the provosts' interest as a group in discussing systemwide policy manual review and a telecommunications system to connect the campuses" as the next possible coordinated, planned change project. As late as November, 1992, the JuCo provost commented to his peers, "The fact is, I may still lose my job over it [the grievance]."

Briefly, the controversy arose over the application of conflicting and confusing personnel policies and procedures contained in voluminous manuals, some of which applied only to base campus personnel, others only to branch campus personnel, and some to all personnel, even though "there is not a good fit between the base campus and this branch," according to the JuCo provost. After consulting "all five volumes" of policies, the JuCo Provost followed what he believed to be the appropriate process and fired a faculty member.

After more than a year of controversy in which the JuCo provost was at first censured by the faculty council, a final report issued by a bi-campus faculty and staff committee ultimately resolved the controversy by confirming the original decision by the JuCo Provost. However, he notes, the report also "called for us to clean up" problems identified with policies and

procedures. The policy manual issue concerned every provost because each recognized that a similar incident could occur on his own campus due to the gaps and conflicts between local and system policy manuals that were a pastiche of state, university, and branch-specific regulations. As the Technical Provost explained, "You tend to build a Sears-Roebuck over time, without ever throwing out unnecessary or outmoded portions." Then, as their colleague from the JuCo Branch struggled through his ordeal, month after month, into a second year of controversy, the other provosts began to share a common vision of the threat posed by the unexamined policy manual volumes, which lay like letter bombs gathering dust on their office shelves. In the words of the Medical Provost, "The question that has arisen for all the provosts as a result of this controversy is ... How do we secure decentralized autonomy and authority, at the same time allowing for appeal to the president and the board?"

At this juncture, just as the provosts were questioning the wisdom of continuing to ignore the myriad policies inherited, mandated, and grafted onto their campuses, I arrived on the scene, asking for a research topic involving planned change. As he had in the previous coordination process, the Multicampus Provost acted as facilitator, suggesting the possibility of improved branch-campus coordination as the focus for

my research and recommending direct contact with the branch provosts to weigh their interest in the topic.

Once the branch provosts agreed to participate in the research, they again used their coordination meetings to shape the project, then to report progress in developing an integrated set of revised policy manuals, just as they had in producing an integrated set of mission, role, and scope statements. While the development of new policy manuals was not completed at the close of my research, the process by which the provosts initiated coordinated change appears to be identical in both cases; a pattern had emerged [See Figure 2, p. 70].

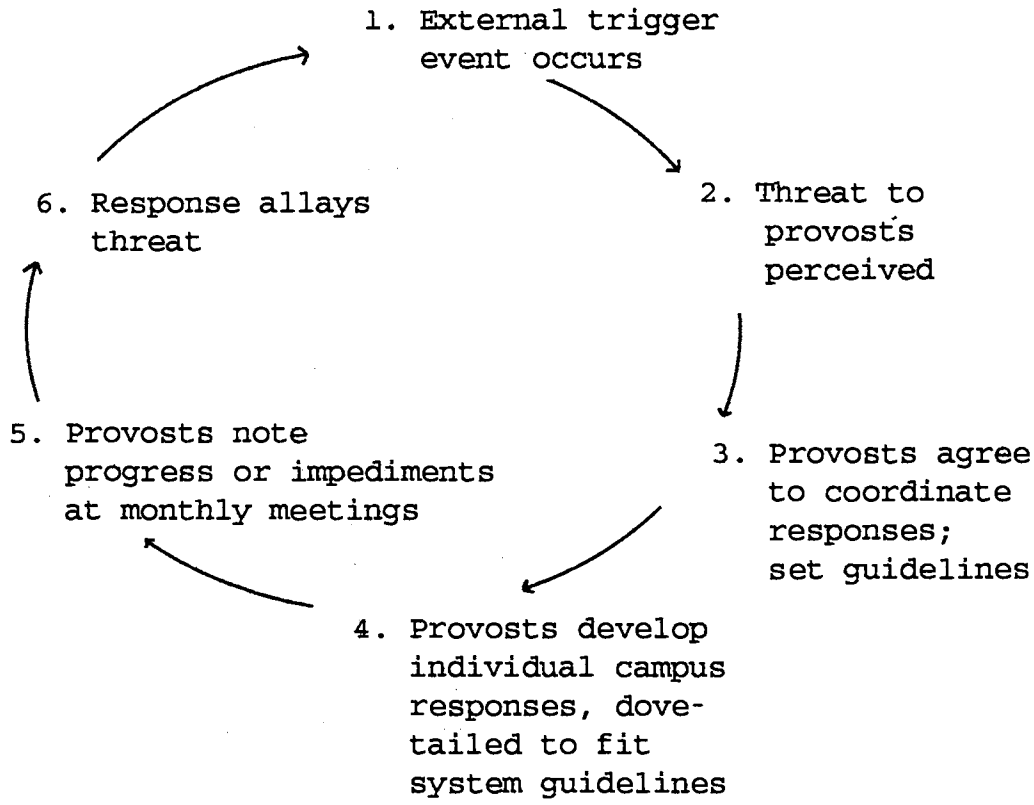

Figure 2. Provosts' Pattern of Initiating Change

The on-campus process. In addition to describing the systemwide coordination process during interviews, the provosts also described the internal process each branch used to effect the desired change on that campus. Another weakness emerged from these descriptions: None of the branches regularly used a systematic, theory-based approach--such as Fullan's Model (1982, 1990)--that expressly incorporated the factors required for successful change. This does not mean that the branches had no mechanisms set up to accomplish change. On the contrary, the JuCo campus, for example, had a standing committee for "the annual review of the local policy manual on day-to-day policies ... It is a democratic group, and the vice-provost for academic affairs handles it." Each campus has an equivalent mechanism. But none of these mechanisms regularly employed a systematic process to achieve its goals; and the mechanisms in place were obviously ineffective in delivering substantive change in regard to the policy manual.

Only occasionally did a branch use a systematic process. For example, the Technical Branch brought in a consultant who, according to the Technical Provost's description, probably used a change model to take that campus through the strategic planning process:

> He talked first with various people on campus and in the community. From that, he identified about 40 faculty and staff to work with us on the

> strategic planning process for MRS. Third, he organized a three-day retreat off campus, followed by several half-day meetings on campus. Next, we developed a rough draft that was circulated through the institution, which included accountability measures. Finally, we changed the format to fit the MRS format [and vocabulary] of the [Base Campus] MRS statement.

Clearly, the consultant used a systematic, interactive process to achieve change on the technical campus. But this experience was an exception rather than the rule on the branch campuses.

In looking back at the brief history of their coordination efforts, all the provosts shared the perception that holding regular provosts' meetings had strengthened the SBU administrative system, even though only one coordinated change--developing a set of mission, role and scope statements--had been completed at the time interviews were conducted; only the initiation phase of their second coordinated change--revision of the policy manual--had been addressed by the time research ended. Therefore, the provosts' coordination meetings served other purposes, including providing a much-needed forum for direct information exchange. As the Medical Provost summed up, "The monthly meetings have been an excellent vehicle for sharing ideas and concerns." Still, no one was claiming

perfection; several coordination weaknesses were identified by the provosts during our interviews.

Weaknesses in Coordination

The provosts welcomed the opportunity to communicate directly and regularly as a group because they perceived a need for accurate, timely information and feedback from their professional peers. As a result, the weaknesses that they perceived in the coordination process were difficulties in communication and management of information.

Information management. Interviews revealed three types of barriers to effective information management. Of course, there were the serious weaknesses in the clear communication of policies and procedures, both systemwide and on-campus, which the provosts were attempting to address. The provosts also mentioned weaknesses in the completion and transmission of intra-campus paperwork; and they spoke of problems, even with regular monthly meetings in place, in communicating with each other and with the Multicampus Provost.

Policies and procedures. Several problems described by the provosts stemmed from gaps and conflicts noted earlier between personnel policies and procedures designed for the base campus and applied in quite different branch campus situations. Such a situation invites selective application and

exploitation, either by administrators or, as noted by the Medical Provost, by employees: "Faculty at the base campus consider the branch faculty as their faculty; but the ones here only recognize that when problems occur in which it would be to their advantage to be regarded as part of the main campus faculty." Conflicting sets of policies and procedures therefore posed a clear hazard.

Intra-campus paperwork. As the JuCo Provost pointed out, increasing enrollment means increasing paperwork; thus, information management was a pressure point of growing concern to successful branch-campus coordination. "We have already peaked in our ability to get stacks of POs [purchase orders] to Base Campus ... The fiber optic cable to ... link the branch campuses is desperately needed." His assessment overtly expressed a common fear among the provosts that the branch campuses could sink under the weight of an avalanche of paperwork. Electronic communication capability was therefore perceived by the provosts as the approximation of a St. Bernard on its way to the rescue.

Interpersonal communication. Impediments to clear and full communication between the provosts occurred due to four types of weaknesses: geographic isolation, unexpected curtailment of their scheduled meetings, and a lack of knowledge concerning results of some coordinated change efforts. First, the provosts repeatedly noted during interviews that their geographic

separation from the base campus created barriers to effective communication. "At the broadest level, the greatest problems are simply due to distance," explained the Medical Provost, "It's just easier to stop and talk with someone in the hall than to write or call long distance." In other words, the physical isolation of the provosts inhibited full and frequent communication. Sometimes, distance also inhibited effective time management: "I don't like to have to drive to the base campus any more than is already necessary--once or twice a week--so I would like to have electronic communication, including E-Mail, FAX machines, and compressed video, all of which will be available if we get the fiber optic cable network installed," said the Technical Provost. This statement illustrated the frustration of the provosts over the sheer amount of travel time necessary to communicate face-to-face with the central administration and with each other.

Moreover, even when the provosts do meet face to face, the regular breakfast meeting ends when the SBU regents summon them to present their campus reports at the board meeting. The provosts' own meeting can therefore be cut short--or even unceremoniously cancelled, as happened on several occasions--when the regents abruptly decided to meet with the provosts earlier than usual. Such dislocations can be "very frustrating" in the words of more than one provost.

Developing shared goals, defining issues, and problem-solving require time for information disclosure, reflection, and discussion.

A third shortcoming in interpersonal communications was a lack of knowledge of outcomes, or final results, of the provosts' efforts. For example, when the provosts engaged in an intense and lengthy process to revise and integrate their mission, role, and scope statements for the regents, one point of concern to at least two provosts was inclusion of a reference to technical education. Yet, months later, neither provost knew whether that effort ultimately succeeded. As the JuCo Provost recalled, he and the Technical Provost "had an opportunity to talk about technical education during the process of developing the MRS statement. We ... tried to get it written into the mission of the university--But I'm not sure whether it worked." The Technical Provost said much the same thing, noting that even though the branches worked hard to develop an integrated mission statement the Multicampus Provost "wasn't even sure he could get it through" the base campus faculty or the regents. Like his colleague, the Technical Provost did not know whether their dual efforts succeeded. Information management weaknesses are worrisome because they limit the provosts' access to accurate, timely information, thus distorting the scope and clarity of vision, and, at times, hindering the

ability to literally get jobs done. As a result, the JuCo Provost, for one, eyes the future of coordination with some concern: "The current communication vehicle is working but will need a larger block of time to be effective over the long haul. When we have 9,000 students at this branch, for example, what is going to happen?"

Summary

Using the lens of the Fullan Model to organize and examine the interview data, a history emerged in which SBU branch campuses moved from virtual autonomy and neglect to sustained and regular, though limited and imperfect, coordination of change as members of a university system. Interviews, however, were not the only procedure used to gather data. Observations of two provosts' meetings were also conducted as a means of cross-checking and amplifying interview data regarding the nature and function of the provosts' meetings and the participants' roles and relationships. Observation data gathered at these meetings is presented below.

Observation Overview

As soon as I finished conducting individual interviews, I arranged to observe the provosts during one of their regular monthly meetings. Five months later, I observed the provosts for a second time. The

provosts' meetings are generally held monthly, usually at 9 a.m., although occasionally at 7:30 a.m., and immediately precede the SBU regents' meeting.

In preparation for the first observation session, I sent a memo [See Appendix J] to each provost, noting that I would--if no objections were forthcoming--attend their next meeting as an observer. The memo also described and explained the purpose of the activities I would perform during observation, including the use of Goldhammar's (1969, 1980) clinical observation method and the diagramming of verbal interaction for analysis. Finally, the memo also set the stage for a group interview, mentioning that I would be setting up a group interview later and explaining the rationale for this technique.

No objections were raised to prevent observation, so I first traveled to the Medical campus to observe the February, 1992, provosts' meeting. My second observation session took place on the base campus at the July, 1992, meeting. Data from these observation sessions is presented below.

Observation Data

The outlines of both observation sessions were quite similar. Each time I arrived in the meeting room to observe the provosts, I took a seat a few feet from the table at which the provosts would sit, placed a

timepiece in my line of sight, then quickly sketched the layout of the conference area and seating pattern chosen by the provosts [See Appendix E]. As the provosts entered, we greeted each other while they poured themselves cups of coffee. At the first observation session, they made an anxious joke or two about censoring my notes; I reassured them that I would not be writing down specific comments but only broad topics of discussion and reiterated that they would have the opportunity to review the resulting artifact[s]. At the second observation session, however, no anxiety about being observed was apparent; by that time, of course, the provosts had seen the artifacts resulting from my initial observation, and no one at the July meeting expressed any concern about the content of my notes. The provosts also appeared more relaxed and spoke with less reserve at the second meeting I observed; they made more emphatic comments and occasionally even peppered their comments with mild profanity to emphasize a point, something that did not occur during the first observation session.

Each of the two meetings observed began promptly at 9 a.m. and lasted roughly an hour, with the first session running one hour and 15 minutes, and the second, 56 minutes. Both sessions ended when the SBU regents sent word that they were ready to meet with the provosts. At both sessions, the Multicampus Provost

initiated the first topic of discussion and, as the provosts began to converse, I began to diagram the chronological sequence of verbal interactions [See Appendix E]. I noted the general topic, who initiated it, the number of remarks by each provost, and to whom each remark was addressed. Each remark was recorded as either a greeting, comment, question, response to a question, suggestion, direct request for action, or exclamation. Tables 1-5 summarize and display the data.

Table 1 [p. 81] displays the number and type of remarks made by or to each provost [Base = Multicampus] during the meeting. Table 2 [p. 82] displays the same type of data, as observed during the second provosts' meeting. Table 3 [p. 83] summarizes the total number of remarks made by each provost during the two meetings observed. Tables 4 and 5 [pp. 84 and 85] describe the types of matters discussed during each coordination meeting, note who brought up the issue and the time spent on the topic by the group. The observation data summarized in Tables 1-5 is described more fully below:

Roles and relationships. Data obtained from observing only two meetings cannot bring to light definitive patterns in roles and/or relationships. However, the data can support or call into question parallel interview data. For example, the observation data underscored information obtained in interviews regarding the role of the Multicampus Provost.

Interviews indicated that he was perceived by the other provosts as the prime facilitator of coordination. Observation confirmed this role, as considerably more questions and comments were addressed to him and far more responses and comments were made by him than by any of the others (See Tables 1, 2, and 3). In addition, only the Multicampus Provost made direct suggestions and/or direct requests for action to other provosts during the meetings (See Tables 1 and 2).

On the other hand, the Multicampus Provost was also more likely than anyone else to address remarks to every other provost and to the group at large, with the result that he regularly drew all others into contributing to the rhythm of conversation (See Tables 1 and 2). These actions illuminated his vital role in the smooth functioning of the coordination process.

Observation diagrams (See Appendix E) and data grouped in Tables 1, 2, and 3 also highlighted the centrality of the Multicampus Provost as a fulcrum for discussion, information, and occasional direction in coordinating change. For example, the pattern and direction of commentary during both meetings shows the Multicampus Provost repeatedly gathering and sharing information to promote successful intra-campus relations. His pattern of evenly distributing his attention among the other provosts at both meetings also underscored the perceptions of his colleagues that he

makes a sustained effort to maintain equilibrium in relations between the huge base campus and each of its far smaller, geographically distant satellites.

The observation data summarized in Table 3 [p. 85] shows with equal clarity that the Senior Branch administrator participated rather marginally in the meetings, making fewer remarks and responding to fewer questions than any of the other branch provosts. The marginal role he played at these meetings underscored his status as a campus coordinator whose authority, though real and encompassing an entire campus, was delegated to him at the pleasure of the base campus. Therefore, the Senior Branch administrator worked closely from week to week with the Multicampus Provost and university president, and few questions or problems in coordination remained unresolved until the monthly group meetings, according to interview data.

Observation data underscored another facet of interview data, as well. Emphatic statements, a type of remark made only by the JuCo Provost at the February meeting [See Table 1, p. 83], dramatized the marked stress he was undergoing at the time. Moreover, twice during his emphatic commentary, the JuCo Provost directed asides to me, urging me not to record what he said, something none of the other provosts did at either meeting. In stark contrast, during the July observation session, the JuCo Provost made no emphatic comments at

TABLE 1

VERBAL INTERACTIONS
SBU PROVOSTS' MEETING
FEB. 19, 1993

Provost Branch	Initiated Topic With...	Asked Question of...	Answered Question by...	Directed Suggestion to...	Emphatic Comment by...	Directed Comment to...	Total Remarks
Base (B)	M:1/All:1	M:2/J:3/S:2	M:2/J:2/T:1	J:3	-0-	M:6/J:3/T:4 S:1/All:6	37 (36 %)
Medical (M)	B:2	B:5/J:1/S:1	B:2	-0-	-0-	B:4/J:1/T:2 S:1/All:3	22 (21%)
JuCo (J)	B:1	B:2/M:1	B:1/T:1/All:2	-0-	A:3	B:8/M:4/T:1 All:2	23 (22%)
Technical (T)	B:1	B:2/M:1/J:1	J:1	-0-	-0-	B:3/M:3/All:3	15 (15%)
Senior	-0-	M:1/J:1	-0-	-0-	-0-	B:1/M:3	6 (6%)

TABLE 2

VERBAL INTERACTIONS
SBU PROVOSTS' MEETING
JULY 16, 1993

Provost Branch	Initiated Topic with...	Asked Question of...	Answered Question by...	Directed Sugges-tion to...	Emphatic Comment by...	Directed Comment to...	Total Remarks
Base (B)	T:1/S:1/All:2	J:1/T:3/S:1 All:1	J:3/T:6/S:3	J:1/S:1	T:2/S:3	J:14/T:12 S:1/All:3	59 (43%)
Medical (M)	-0-	-0-	-0-	-0-	-0-	-0-	-0-
JuCo (J)	-0-	B:4/T:1	B:1/T:1	-0-	M:1	M:13/T:7 All:3	31 (23%)
Technical (T)	M:3	M:5/J:1	M:1/J:1	-0-	M:1	M:13/J:3 All:5	33 (24%)
Senior (S)	M:1	M:3	M:1	-0-	-0-	M:8	13 (10%)

TABLE 3

Observation Sessions 1 & 2
Total Number of Remarks
by Provost

Provost	Total # Remarks
Base	40
Medical	25
JuCo	24
Technical	16
Senior	8

TABLE 4

Observation Session No. 1
SBU Provosts' Meeting
Feb. 19, 1993

Topic Discussed	Time on Topic	% of Total	Topic Initiator
Budget Matters: possibility of raises, possible cuts, & one branch campus budget	34 min.	47%	Technical JuCo
Possible coordinated aviation project for Senior & Medical branches	19 min.	26%	Medical
A controversy over a personnel decision at JuCo campus	8 min.	11%	Base
A Higher Ed. regents' quest re: fiber optics	6 min.	8%	Medical
Concern over student loan paperwork transfer from Medical to Base Campus	5 min.	7%	Medical
Base campus librarian's concern over computer links to Medical branch	1 min.	1%	Base
Total Time on Money Matters	34 min.	47%	
Total Time on Coordination	31 min.	43%	
Total Time on Administration	8 min.	10%	

TABLE 5

Observation Session No. 2
SBU Provosts' Meeting
July 16, 1993

Topic Discussed	Time on Topic	% of Total	Topic Initiator
Proposed new degree program at Senior campus	8 minutes	15%	Base Provost
Consultant's report on Base campus	5 minutes	9%	Base Provost
Researcher's group interview questions/responses	2 minutes	4%	Base Provost
Budget matters, including Proposed Architectural Services backcharges & potential for salary adjustments	30 minutes	56%	Base Provost, then Technical Provost
progress in developing a major capital campaign	6 minutes	11%	Technical Provost
Proposed research center for Senior campus	3 minutes	5%	Senior Provost
Total Time on Money Matters	36 min.	67%	
Total Time on Academic Issues	11 min.	20%	
Total Time on Administration	5 min.	9%	
Total Time on Coordination	2 min.	4%	

all [See Table 2, p. 84]. This fact underscored interview data that the long-running conflict responsible for his earlier distress had been resolved. Tables 4 and 5 [pp. 86-87] highlight the importance of financial matters to top-level administrators. Verbal interactions at both meetings most frequently focused on concern over budget matters, such as funding for faculty raises and expected legislative budget cuts; the provosts spent 55 percent of their time on such money matters; 26 percent on coordination matters; 10 percent on administrative issues; and 9 percent on academic issues [See Tables 4 and 5, pp. 86-87].

Few other generalizations can be made from the small number of observation sessions conducted. For example, the Medical Provost attended only one of the two meetings observed; as a result, no recurrent pattern of interactions could be discerned from a comparison of his participation in both meetings. At most, one can say that the Medical Provost participated actively and did not hesitate to initiate topics of concern to him at the February meeting, as did the other provosts during one or both meetings. This tends to support claims of collegiality and equality in relations among the provosts.

As for the Technical Provost, his far more active participation at the second meeting than at the first

tends to support his comment--made during the consulting phase of my research--that he had "built up a backlog of items" for discussion at the July meeting.

Observation follow-up. Following each observation session, I constructed a chronological record of verbal interactions in the meeting [See Appendix E], which clarified the observation diagram [See Appendix E] and coded notations of the general subject and tenor of conversation made on notepaper during observation. Then, within a week of observing the provosts, I sent copies of the observation diagram [See Appendix E], the chronological record of verbal interactions [See Appendix E], and an explanatory cover memo [See Appendix K] to each of the men. These records formed the basis for the data presented above.

Summary

Overall, the observation data supported interview comments by the provosts regarding their roles and relationships; that is, the Multicampus Provost emerged as the primary facilitator of coordination, while the Senior Branch administrator played only a marginal role. The remaining three provosts [Technical, Medical, and JuCo] participated in each meeting to a greater or lesser degree, depending on their individual need for information and/or advice from their colleagues. Thus, interview and observation data do not notably conflict.

But that is not the full story revealed by observation; for there were clearly evident, but intangible, elements in the gatherings of the provosts that should be conveyed.

Perhaps the best way to describe the impression created by the atmosphere of the meetings and the interplay of the provosts is through analogy, as recommended by Miles and Huberman (1984). The analogy that springs to mind in describing the interaction of the provosts is that of a five-man basketball team: Their monthly meetings can be summed up as roughly analogous to team meetings in which the members draw support from each other and learn their separate assignments. To extend this analogy, the Multicampus Provost clearly serves as team captain and Center; he is the big man, the one who makes the tipoff each time and the one to whom the conversational ball always returns. The rest of the team lineup includes the Senior Branch administrator, whose primary function is as a substitute for the Center and who often warms the bench; the Technical, Medical and JuCo Provosts serve as guards and forwards, passing the conversational ball up and down the court, each contributing substantially to the team score. Sometimes, someone off court--the president or the board of regents, for example--sends in an unwelcome play; occasionally, a teammate almost fouls out, as did the JuCo Provost. And, for the most part, the players

are caught up in the fast-paced action on court, with little time spent on planning a coordinated offense, so far. This is a team that--again, so far--has specialized in come-from-behind wins.

Summary

Chapter III has presented the data produced by personal interviews and clinical observation of SBU provosts. The goal of this research was to develop an information baseline on the conduct of planned change at SBU. Chapter IV, which follows, analyzes and interprets the findings generated by analysis of the data.

Chapter IV

ANALYSIS AND INTERPRETATION OF DATA

To describe branch-campus coordination at Sunbelt University, data that emerged from interviews and clinical observations was organized into sections depicting the evolution of a process of coordinated, planned change. This data, presented in Chapter III, answered two of the four research questions posed by this study. In this chapter, the third research question is answered by comparing the Sunbelt University change process to the Fullan Model (1982, 1990) to determine points of convergence and divergence and a possible rationale for the results of the comparative analysis.

Analysis of Initiation Phase

Fullan's Model (1982, 1990) of the change process includes three, interactive and recursive stages. This means that steps in the process may occur out of sequence and/or may need to be addressed more than once; each individual step is also process-based. Therefore, while all the steps in the Model (1982, 1990) are necessary to generate successful change, they are nonlinear and loosely coupled. Further, the steps may occur without conscious planning or active initiation on the part of an institution's administrators (Fullan,

1990). But when unplanned, phases of the change process may ultimately lead to success or, just as likely, to a dead end. Therefore, the concept of planned change rests on the belief that organizations should actively attempt to incorporate each step that research has learned contributes to successful change. For example, in planning to initiate change via the Fullan Model (1982, 1990), administrators would promote organizational:

1. relevance (the idea is perceived as practical, needed, and clear);
2. readiness (the organization recognizes that it has the capacity and a need for the change); and
3. resources (human and financial support for the change are available).

Does the SBU data show that the SBU change process incorporates active planning for these three components of successful change initiation? Analysis of the data led to the following insights:

Relevance. In contrast to the active initiation of change advocated by Fullan (1990), at SBU relevance for the provosts was achieved only when their own jobs or authority was threatened by external events or agents. Specifically, the provosts failed to revise what were commonly acknowledged as badly dysfunctional, multi-volume policy manuals on the branch campuses until one provost nearly lost his job over his interpretation of

conflicting, poorly designed policies and procedures. Delay had not been caused by a lack of awareness of need. The Technical Provost, for instance, acknowledged that the need for revision of the policy manual had been "an unresolved issue" on his campus for 10 years. This fact suggests that the organization's frontline employees clearly perceived the relevance of policy manual revision; but the administrators did not perceive relevance, that is, a clear need or practical benefits of, policy manual revision for their work as did the branch-campus faculty and staff. This lack of personal relevance for key decision makers seems to have been the determining factor in the failure to initiate timely change.

Readiness. To effectively initiate change, Fullan (1990) says that organizations must also recognize that they have the capacity and need for change. There was certainly no lack of capacity on the JuCo campus where the most serious consequences of neglecting to revise the policy manual occurred; there was a mechanism in place to review policies and procedures. "We have a standing committee for review of the faculty and staff handbook," the JuCo Provost noted. And members of the organization on the Technical Branch had recognized the need for change for upwards of 10 years. Why, then, were the clear difficulties in using the policy manual allowed to fester? Did the JuCo

campus committee members charged with policy manual review fail to perceive personal relevance and/or a clear need--for systematic revision of the manual? These questions were not answered, because I did not interview the committee. But on the Technical Campus, where I served as a consultant and observed the initiation phase of the change process and where the need for change was clear, at least one reason for delay was lack of resources.

Resources. Fullan (1990) says adequate human and financial support/resources for the change must be available for initiation to succeed. Is this element adequately addressed by the provosts' change process? At both the Technical campus and Medical campus, when resources were finally allocated by the provosts to revise the policy manual, a single person was charged with revising the manual on a part-time basis. Because the Medical Branch did not request my services as a consultant, I did not ascertain whether one person was able to adequately manage policy manual revision at that campus. But on the Technical campus, six months of part-time effort by one individual made no discernible progress.

Only when the provosts agreed to focus in coordinated fashion on this project during my research, and the Technical Provost personally took charge of the branch-campus efforts, did progress occur, because only

then were adequate resources provided to accomplish the change. In the end, a committee of 12, headed by the provost, was required to divide the work into manageable segments, which were then parceled out among subcommittees for review and revision. Regular progress meetings, chaired by the provost, ensued; and, finally, steady headway began to be made.

The same situation appears to have occurred at the JuCo campus. Although a standing committee existed to deal with policies and procedures, according to the JuCo Provost's interview, virtually no progress in revising the manual occurred until the provosts agreed to coordinate the change. At that time, the JuCo Provost personally called for a task force on his campus to accomplish full-scale policy revision, thus significantly expanding the commitment of human resources to the job. In his own words:

> The [JuCo Branch] executive council is appointing a campus task force, including the chair of the faculty council and vice provost for academic affairs. This committee will interview faculty and make recommendations that the administration will attempt to implement.

Committing too few resources to adequately initiate change until forced to do so appeared to be a pattern among the provosts.

On the other hand, this pattern may be changing.

Just as my research was ending, the provosts were actively initiating planning for their next coordinated change, the electronic communications network to link all five campuses. This marked the first active, rather than reactive, initiation of coordinated change by the provosts. This shift is illustrated by the Technical Provost's comment: "We've begun working on coordinated planning to develop a budget for installation of compressed video [the electronic communications network to link the branch campuses]." His statement also illustrates that the provosts had begun active planning to ensure adequate resources for future coordination projects.

Summary

Overall, the process used by the provosts to initiate coordinated change was reactive, rather than active, drawing adequate resources only when external agents were perceived as a threat to the provosts themselves, as opposed to being recognized as a threat, or problem, by the faculty and/or staff. As a result, the initiation phase of the SBU coordinated change process had obvious gaps in comparison to the active process recommended by Fullan (1990) [See Table 6].

This pattern may have begun to change, however. At the inception of my research, two change projects were initially proposed by members of the group. One of

TABLE 6

A Comparison of Initiation Processes

Planning Component	Development in Fullan Model	Development in SBU Change Process
Relevance	Active	Reactive
Readiness	Active	Reactive
Resources	Active	Emerging Active

these, policy manual revision, was dealt with by mutual agreement during my research, thus clearly demonstrating a "Hawthorne Effect" (Locke, 1976) of researcher interest in the change process.

But, for the first time, the provosts then went on to independently plan another coordinated change, the electronic communications link between all the campuses. What caused the shift from reactive to active planning for change? Two factors seem most likely to account for the shift:

1. A possible factor in the shift from reactive to active planning is a Hawthorne Effect (Locke, 1976) generated by improved knowledge of the change process in general and Fullan's Theory (1990) in particular among the provosts and resulting from my acquainting them with the Model (1982, 1990).

2. A key influence in the shift to active planning was undoubtedly the development of a shared vision among the provosts during earlier coordinated change efforts. The existence of a shared vision of coordination needs is evidenced by the full agreement on the need for both coordinated policy manual revision and for an electronic communications link between the branches. Neither idea required <u>any</u> justification when, at my request, the provosts selected a change project to initiate. This fact indicates that a shared vision of the value of these projects to all the campuses had already

crystallized, perhaps during implementation of a previous change.

Analysis of Implementation Phase

Implementation, phase two of the Fullan Model (1982, 1990), rests on six key factors:

1. vision-building and leadership,
2. power sharing,
3. restructuring,
4. resources/staff development,
5. monitoring/problem-coping, and
6. evolutionary planning

"All six themes are required for substantial change to occur," Fullan writes (1990). Active, or deliberate, inclusion of each element will therefore characterize the most successful change processes. How does the SBU coordination process measure up?

Vision-building and leadership. Because the provosts had been meeting regularly and attempting coordinated change only for a few months when this study took place, they had had little time to build either a common vision of specific goals for coordination or a common vision of specific processes they wished to use to achieve those goals. Nevertheless, they twice succeeded in initiating coordinated change (mission, role, and scope statements and policy manual revision), once they perceived the change to be personally

relevant. As a result, they do share a vision that coordinated change can repeatedly succeed. In addition, they apparently developed a common vision of the next change they wished to coordinate, as indicated by their active and independent decision to commit branch-campus resources to a new cooperative project linking the campuses electronically with fiber optic cable. Finally, each provost returned to his branch campus to lead a successful effort to enact campuswide change.

Resources/staff development. Previously, the reactionary change pattern used by the provosts precluded advance budgeting or staff development to encourage successful change. For example, little, if any, active planning to provide human and financial resources to implement change occurred during the provosts' first coordination project. Initially, they allocated so few resources in creating coordinated mission, role, and scope statements that the process spanned four years without noticeable results. Even when confronted with a deadline by the regents, they had to request an extension of several months (see Figure 1, pp. 50-51) to produce the desired results, suggesting that adequate human and financial resources still had not been shifted to the project. However, the provosts did actively provide my optional consulting service as a human resource during the next change process, policy manual revision. One campus utilized the service; as a

result, the provosts and one branch-campus working group received some staff development in utilizing a planned change process.

Then, when the provosts actively initiated planning for the next coordinated change project, they also began planning for advance allocation of financial resources; but it remains an open question whether the provosts will also actively provide adequate resources for the extensive staff development that will be necessary to fully utilize the technological change they envision. In contrast, the remaining elements necessary for successful implementation were far more obvious as active components in the SBU coordinated change process.

Power sharing. The provosts clearly share power, as illustrated by the terms in which they described their relationships--collegial, autonomous, non-directive, peers--in their interviews. Their power-sharing relationships are sustained and supported by the financial autonomy of the branch campuses, as illustrated by the incident in which a branch-campus provost forced the base campus to accept a major spending decision which the base campus administration attempted to overturn.

A more collegial kind of power sharing/autonomy was also evident each time the provosts coordinated a systemwide change, when each campus independently developed its own response to the systemwide need for

change. "I liked the way the process [of coordination] worked, because it was not directive in nature," the Technical Provost commented.

Restructuring. The provosts' earliest active step was to restructure by setting up their regular monthly coordination meetings to improve communication and facilitate coordination with each other and the base campus. This action created a mechanism to support and sustain coordination, which has allowed the provosts to actively address two other implementation steps, monitoring/problem-coping and evolutionary planning.

Monitoring/problem-coping. Observation of the provosts' meetings showed that the Multicampus Provost not only led the meetings but also assumed the role of monitor, inquiring regularly about the progress on planned change across the system. In addition, regular coordination meetings facilitated problem-solving because the branch-campus provosts were able to probe alternative solutions and explore mutual concerns in developing coordinated change. "We try to discuss these issues [problems] at meetings and come to some consensus," the Medical Provost noted.

Evolutionary planning. Another component of active implementation evident in the provosts' change process was their willingness to engage in evolutionary planning, such as their attempt during the first coordination effort to broaden the university's mission,

role and scope statement: "We used informal discussions ... to try to get [technical education] written into the mission of the university ..." recalled the JuCo Provost. He said the plan evolved during the first coordinated change process undertaken by the provosts. This suggests that the provosts recognized the need for active revision of plans, as warranted by new information and/or opportunities.

Summary

In sum, simple restructuring to allow regular meetings of the provosts permitted at least two other components necessary for an active process of successful change implementation, monitoring/problem-coping and evolutionary planning. Power sharing and evolutionary planning have also been actively incorporated in the SBU change process. Vision-building appears to be taking place actively, and active incorporation of human and/or financial resources for implementation appears to be evolving. Now, all phases of implementation show some evidence of active development in the SBU change process [See Table 7, p. 105]. This makes implementation the strongest phase of the current SBU change process, since the final stage, institutionalization, is somewhat weak.

Analysis of Institutionalization Phase

The third phase of Fullan's Model (1982, 1990)

TABLE 7

A Comparison of Implementation Processes

Planning Component	Development in Fullan Model	Development in SBU Change Process
Vision Building	Active	Emerging Active
Power Sharing	Active	Active
Resources/ Staff Development	Active	Emerging Active
Restructuring	Active	Active
Monitoring/ Problem Coping	Active	Active
Evolutionary Planning	Active	Active

TABLE 8

A Comparison of Institutionalization Processes

Planning Component	Development in Fullan Model	Development in SBU Change Process
Continuing Resources	Active	Reactive
Leadership Pressure/ Assistance	Active	Active

includes two factors for successful institutionalization of change:

1. resources [including a budget and funding for staff development] and
2. leadership [sustained pressure and assistance] from the central administration

Both resources and leadership are required to ensure that the change is maintained until it becomes routine, part of the fabric of organizational life. Thus, active support in the form of a budget and staff development funding to institutionalize the coordinated change process would characterize the most successful change processes.

Resources. Continuing resources to institutionalize the coordinated change process systemwide have not been allocated at SBU. For specific change projects, each branch independently decided what funding and staff development, if any, were necessary and figured out a way to pay for the process. This may be due to several factors: 1) the separate budgets of the branches; 2) the precarious balance between autonomy and cooperation that might be disturbed by attempts to control a common budget for change projects; 3) lack of experience in coordinating change; and/or 4) lack of understanding of the change process.

Leadership. On the other hand, the Multicampus Provost has provided some leadership to encourage

institutionalization of coordination by exerting sustained pressure on, and providing practical assistance to, the other provosts. Pressure occurs simply because the Multicampus Provost regularly inquires about each branch's progress in accomplishing its segment of coordinated change; and in order for the provosts to maintain their status as peers, each must make comparable progress to the others in achieving the common goal. In addition, the Multicampus Provost's occasional direct and practical suggestions [See Appendix E] to resolve difficulties encountered by individual branch-campus provosts during the change process constitute some evidence of assistance to the branches to institutionalize change.

The coordination leader's role appears to have fallen to the Multicampus Provost primarily by mutual consent. All the provosts agreed that leadership of the group was appropriate for the Multicampus Provost, as the representative of the parent campus. Thus, one of the two components needed for institutionalization shows some evidence of active incorporation in the SBU change process [See Table 8, p. 106].

Summary

When compared to the Model (1982, 1990), the process twice used to coordinate change across the SBU system [See Figure 2, p.70] appears to incorporate many,

but by no means all, of the elements vital to the most consistently successful change processes distilled in Fullan's Model (1982, 1990). The greatest weakness in the SBU process stems from the lack of conscious, active planning to incorporate into the change process each necessary component identified by current educational change research. For one thing, the provosts do not yet have an active, planned process of initiation in hand. The data from interviews and observation shows that the provosts have incorporated in their change process only the hastiest planning to actively initiate coordinated change. No evidence exists that they examined various innovations for their relevance to the organization, or considered and prioritized changes urged by the institution's constituencies, or planned ahead to provide the necessary resources to accomplish clearly prioritized changes. On the contrary, the agenda in the past was set reactively; they engaged in coordinated change only when personal relevance or an external mandate has forced them to do so. For all these reasons, the initiation phase of the provosts' change process is the weakest of the three phases of planned change described by Fullan (1990).

The provosts have, however, incorporated leadership [one of the two steps for effective institutionalization of the change process] and four of the six steps, which Fullan (1990) says are required for an effective

implementation process into their own process of planning coordinated change. But they have not set aside a budget for staff development to diffuse and institutionalize a systematic planned change process across all the branch campuses. Given the complex nature of change, the time and effort necessary to develop widespread organizational understanding of the change process, and the provosts' demonstrated penchant for failing to recognize growing pressure points, this deficiency leaves a serious gap in the SBU change process.

Thus, overall, comparison of the current SBU branch-campus change process with the Fullan Model (1982, 1990) shows that the current change process used by the provosts lacks active incorporation of several elements essential to the most effective change processes.

CHAPTER V

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Branch-campus university administrators need to cooperate to successfully plan systemwide changes in policy and/or technology. But at the same time, branch campuses need maximum autonomy to accomplish coordinated change most effectively (Lee & Bowen, 1971, 1975). Therefore, it is important to use an appropriately designed change process that balances cooperation and autonomy. Teasing out the separate elements contributing to, or impeding, a change process to determine its strengths and weaknesses can be a complex job, though, requiring a series of research decisions. Describing such a multicampus change process was the focus of this study.

Summary of the Study

This study was conducted at a single, multicampus research university located in the Sunbelt by interviewing the university's branch-campus provosts, who are the administrators directly responsible for coordinating change across the university system, and by observing their meetings with the Multicampus Provost.

Purpose

The study mapped the relationships, policies, and procedures of branch-campus provosts engaged in an evolving process of coordinated change and compared the change process to a theoretical model. The change model selected as the conceptual lens for examination of multicampus change was the Fullan Model (1982, 1990). The specific purposes of the study were to:

1. Describe the policies, roles, relationships, and change processes impacting branch-campus coordination at a multicampus research university;
2. compare the change process of this group to a systematic change model; and
3. generate advice for practice, based on discrepancies between current practice and the model.

To accomplish these purposes, several kinds of data were needed.

Data Needs and Sources

To map the branch-campus change process used by a group of branch-campus administrators required the following types of data:

1. Perceptions among branch-campus provosts

regarding policies, roles, relationships, and processes affecting coordinated change; and

2. interactions and processes of the provosts in planning and coordinating change.

To collect this data, several procedures were employed.

Data Collection

Data collection was accomplished primarily by three methods: individual interviews, a group interview, and clinical observation of the provosts' coordination meetings. Using a variety of data collection methods permitted cross checking, or triangulation, to achieve dependable, trustworthy data.

The first of the data-gathering methods used was a series of individual interviews with each provost/chief executive officer of the branch-campuses participating in the study. Participants were asked a semi-structured list of initial questions regarding the change process. These questions targeted the provosts' perceptions of the processes, roles, and relationships with each other and with the base campus, along with questions regarding the environment in which systemwide coordination occurs. A structured core of questions was asked, and other questions were added during the course of an interview, as needed to clarify vague or confusing responses and to fill in gaps in information.

During each interview, I recorded all responses in

shorthand, then personally transcribed, organized, and edited the notes, and mailed a copy to the individual interviewed for review. Shortly thereafter, I conducted a follow-up telephone interview to correct errors in each transcript and to ask any additional questions that had arisen during other interviews; as a result, all provosts answered all relevant questions asked of any provost. All face-to-face and follow-up interviews of the provosts took place in January, 1993.

The second major data-gathering procedure used was direct, clinical observation of provost interactions. This process involved observing and recording the number, content, and sequence of contacts between participants during two observation sessions. These took place during regular coordination meetings of the provosts in February, 1993, and in July, 1993. Observed verbal interactions were diagrammed and categorized.

The third method of data collection used was a group interview of the provosts. This method was included to attempt to resolve contradictions and/or inconsistencies in individual responses, to curb the tendency of respondents to report cultural norms rather than actual events, and to verify individual responses. I recorded all responses in shorthand and transcribed these notes following the group interview. Data inconsistencies that remained following the group interview were cross-checked by comparison with data

contained in the minutes of meetings of the SBU board of regents and by obtaining data for comparison via a telephone interview with the SBU president.

In addition, all my interactions with the provosts were guided by organization development theory and practice. Specifically, I relied on professional process consultation techniques in approaching and working with the provosts at every stage of the study. The data collected was then interpreted and categorized according to the Fullan Model (1982, 1990).

Data Categories and Interpretation

Viewed through the lens of the Fullan Model (1982, 1990), the data collected from interviews and clinical observation sessions fell into four categories of information about the branch-campus administrators and their organization: 1) structure and climate, 2) roles and relationships, 3) coordination and 4) weaknesses in coordination. This data was then inductively analyzed.

Data Analysis

Data from interviews and observation sessions was inductively analyzed for content and patterns relevant and significant to the study. Conflicting interview data, which participant review and a group interview failed to resolve, was then compared to documentary evidence [minutes of the SBU regents' meetings] and to

recollections by the university's president (personal communication, Sept., 1993). From this analysis of data collected for the study, four major findings resulted.

Summary of Findings

Four major categories of findings emerged from this study:

1. a description of campus and climate, along with the relationships among the branch-campus provosts coordinating change at a multicampus research university;

2. a description of the process the branch-campus provosts use to achieve coordinated change at a multicampus research university;

3. weaknesses in the coordinated change process at a multicampus university; and

4. advice for practice, based on discrepancies between current practice and the model.

Description of climate and relationships

Because the organizational climate in which change is attempted--along with the relationships among the people attempting to coordinate multicampus change are central to its success or failure--the study described the climate and relationships charting the course of coordination at SBU.

Climate. The study found that SBU branch campuses

recently emerged from years of neglect by the base campus to begin regular, but limited, coordination as a true multicampus system. The catalyst for this new relationship was the arrival of a new president, who introduced a series of small changes that actively encouraged coordination. These steps included: 1) changing the title of the chief executive officer of each branch campus from "director" to" provost"; 2) creating a new position of "multicampus provost" on the base campus; and 3) establishing a new presidential policy of actively encouraging cooperation, academic articulation, and transfer throughout the multicampus system. The cumulative effect of this pattern of small changes by the new SBU president created a climate friendly to branch-campus coordination.

Roles and Relationships. Only one of the four branch-campus provosts interviewed perceived the deliberate pattern in the president's activities. This "provost" was actually a branch-campus coordinator, whose authority and span of control was delegated by the multicampus provost, rather than being a true provost with statutory authority. The significance of this is that he worked directly with the president and multicampus provost on a regular, weekly basis, developing a perspective on the advent of coordination that differed greatly from the perspective of the other provosts. He recalled the president's desire for

articulation across the system as the specific impetus for coordination meetings. But the other provosts credited themselves with initiating coordination. "We took it [the idea for coordination meetings] to the Multicampus Provost, and we all agreed to go ahead [with the idea]."

Documents [minutes of the SBU regents' meetings] and statements by the SBU president (personal communication, Sept., 1993), clearly show a pattern [See Figure 2, p. 70] of presidential leadership in creating the organizational climate that allowed the branch-campus provosts to begin coordinated planning and change.

In matters of coordination, by mutual consent the Multicampus Provost assumed the role of leader, running the meetings, exerting subtle, but persistent, pressure for progress reports, and giving advice and information to the branch provosts when necessary to ensure progress toward change.

The provosts' perceptions of their own interactive relationships were highly consistent, and the general accuracy of these perceptions was reinforced by observation data. These relationships struck a careful balance between fiercely guarded autonomy and wholehearted cooperation. On one side of the equation, statutory financial autonomy ensured partial independence for each campus and peer status for the

provosts. In addition, distinctive missions of the branches allowed the provosts to avoid competition for resources and students.

On the other side of the equation, shared mandates delivered by state and system governing boards, the university president, and/or common problems encountered by the provosts ensured a strong interest in coordination. The product of this equation is a sometimes uneasy but generally stable balance between autonomy and cooperation in the relations of the provosts that seemed roughly analogous to the relationship among the branches of the U.S. government in which the executive, judicial, and legislative branches strike a balance between cooperation in achieving the aims of democracy and carefully guarded autonomy in their relations with each other.

This kind of balance in multicampus relations has twice led the SBU provosts to successfully coordinate change across the system under stress, thus strengthening SBU the bond among the provosts and the integration of the university's branch components. However, the process the provosts improvised under pressure to accomplish these coordinated changes was less than perfect.

Description of the change process

The process of systemwide change entails two

stages, a intra-campus process by which the provosts initiate, implement, and institutionalize change and the on-campus process used to accomplish change on each individual campus.

The pattern of coordinated change. The process used by the SBU provosts to accomplish systemwide change followed a reactive rather than an active pattern of project selection and accomplishment. The process was this: 1) an external trigger event occurred, which was 2) perceived as personally threatening to the provosts; after which, they 3) reacted, agreeing to coordinate a systemwide response to the threat and setting guidelines for each campus in making the change; after which, 4) each campus developed its own portion of the response, dovetailed to fit systemwide guidelines for the change; after which, 5) monthly coordination meetings were used to note progress on each campus and to work out problems encountered in making the change; after which, 6) the coordinated change took effect, neutralizing the threat to the provosts.

The process summarized above, like coordination itself, was relatively new, having been improvised to meet a regents' deadline for mandated change. It had been fully activated only twice by the time the study ended and had a number of weaknesses.

Weaknesses in Coordination

In viewing the SBU change process through the lens of the Fullan Model (1982, 1990), two broad categories of weaknesses emerged from interviews: weaknesses in information management, both intra-campus and on-campus; and weaknesses in the change process, both intra-campus and on-campus.

Information Management

Interviews revealed three types of barriers to effective information management. There were weaknesses in policies and procedures, both intra-campus [systemwide] and on-campus [localized]; weaknesses in intra-campus paperwork; and weaknesses in interpersonal communication among the provosts. These weaknesses are detailed below:

Policies and procedures. A barrier to effective communication of policies and procedures, both systemwide and on-campus, was the five-volume manual that the branch campuses had been using for years, with increasing difficulty, to inform and guide employees across the system. Systemwide and local policies sometimes conflicted; others were simply outdated; and stated procedures for implementing policy were sometimes unintelligible. This situation impeded accurate communication and effective application of both

systemwide and local policies. Confusion reached a zenith when one provost almost lost his job over a controversial interpretation of the policy manual. This incident led to the provosts' decision to coordinate revision of the policy manual, a change project in which each branch campus revised all its policies and procedures to eliminate conflicts and gaps between local, systemwide, and state policies.

Interpersonal communication. Three impediments to clear interpersonal communication among the provosts emerged from interviews: 1) Geographic distances between campuses, 2) cancellation or curtailment of coordination meetings to accommodate the SBU board of regents, and 3) a lack of knowledge of outcomes/results, following cooperative efforts by the provosts.

Intra-campus paperwork. Interviews revealed two barriers to effective management of intra-campus paperwork: One of these was a gap in control over on-campus completion of appropriate documentation of intra-campus administrative actions; the other was a gap in control over the flow of these supporting documents between campuses. These weaknesses impeded change due to disruptions in administration caused by oversights and errors in documentation.

Finally, the study found that the provosts hoped to address all information management weaknesses in coordination via their next cooperative project,

electronic networking of all five campuses to permit video conferences, electronic data transfer, and other communication innovations.

The intra-campus process. The current change process used by the provosts lacks active incorporation of several elements present in the most effective change processes. Specifically, when compared to the three-stage process of the Fullan Model (1982, 1990), each phase of the change process exhibited weaknesses [See Table 9]. On the other hand, a more active, planned change process appeared to be emerging; several weak spots appeared to be shrinking as the provosts gained experience at coordination [See Table 9]. Specifically, the findings were as follows:

Initiation. The study found initiation to be the weakest of the three phases of the change process used by the branch-campus provosts. External pressures, rather than the provosts, had twice determined the focus of coordinated change. Also, even though the capacity and need for change existed, the provosts had consistently failed to allocate sufficient resources to effect the needed changes until the need for them became directly and personally relevant to the provosts. This initial phase of coordination was reactive, rather than active, in both previous instances of coordinated change. However, the provosts actively chose their third coordination project--development of an electronic

TABLE 9

A Comparison of Change Processes
for Sunbelt University and the Fullan Model

Change Components	Development in Fullan	Development at Sunbelt Univ.
Initiation		
*relevance	active	reactive
*readiness	active	reactive
*resources	active	emerging
Implementation		
*vision bldg.	active	emerging
*power sharing	active	active
*resources	active	emerging
*restructuring	active	active
*monitoring	active	active
*evolutionary planning	active	active
Institutionalization		
*continuing resources	active	reactive
*leadership	active	active

communications network systemwide--and active planning to pool resources to initiate this change was underway, suggesting a more active initiation phase was emerging.

Implementation. All phases of implementation showed some evidence of active development in the SBU coordinated change process, making implementation the strongest segment of the current SBU process. First, restructuring to permit regular provosts' meetings encouraged at least two other components necessary for an active process of successful change implementation: monitoring/problem-coping and evolutionary planning. Power sharing and vision-building were also actively incorporated in the intra-campus change process, while active incorporation of human and financial resources to encourage successful implementation was emerging in the coordinated change process.

Institutionalization. One of the two components necessary to institutionalize change was active in SBU coordination, since leadership was exercised by the Multicampus Provost. By mutual consent of the other provosts, he assumed responsibility for exerting sustained [but low-key] pressure for progress and for providing practical assistance to the others. In contrast, however, the study found no evidence of active planning for the second component necessary to institutionalize change, a continuing budget and staff development for diffusion and incorporation of an

effective change process, either vertically or horizontally across the SBU system.

The on-campus process. In addition to the intra-campus process necessary to coordinate systemwide change, each individual campus had a local process for accomplishing change on that campus. This process for accomplishing change internally differed at each branch, and none of the branches employed a systematic, consciously designed process to accomplish change locally.

Having identified the components in the process used by the provosts to achieve coordinated change and the weak spots in the process allowed a number of conclusions and recommendations to be drawn, as follows.

Conclusions

Based on the findings presented above, the following conclusions can be drawn regarding the policies, roles, relationships, and change processes described by the study:

Leadership

Although the model used for comparison does not list leadership as a step necessary for initiation of change, [presidential] leadership was found to be essential in creating a climate that permitted the initiation of branch-campus coordination. Therefore, a

conclusion reached by the study was that leadership is an unacknowledged component of successful initiation of planned change.

Roles

The only administrator whose role differed significantly from that of the other three men interviewed in the study was also the only provost interviewed who discerned the pattern of [presidential] leadership behind the initiation of coordinated change across the university system. As a result, a conclusion reached by the study confirms the need for varied perspectives among information sources in conducting qualitative research; sources who share homogeneous roles and points of view may also share the same blind spots.

Relationships

Another conclusion reached by the study confirms the need for maximum shared power/autonomy in relationships among the participants in coordinated change. The old saying, "Good fences make good neighbors," best expresses the concept undergirding the success and general collegiality of provost interaction at SBU. Statutory financial autonomy was found to be the key to prevention of small-branch coercion by the large base campus, and mission autonomy prevented competition among the branches for the same students.

As a result, coordination was perceived by the provosts to be voluntary and democratic, a process that they themselves initiated, even though the first actual changes they coordinated were forced upon them. A conclusion reached by the study is therefore that the perception by participants that coordination is voluntary and democratic promotes genuine cooperation and successful implementation of change, despite external mandates and/or weaknesses in the process itself.

The Pattern of Coordinated Change

The study found that external events that personally threatened or enhanced the position of the provosts determined the agenda for coordinated change. A conclusion reached by the study is therefore that either personal relevance [the change is perceived by decision-makers as practical, needed, and clear] to the central administration is required for initiation of coordinated change, or that effective environmental scanning for increasing pressure points is required. A need therefore exists for further research to determine the appropriateness of these alternative conclusions.

The intra-campus change process. The process used by the provosts to coordinate systemwide change is not systematically designed. Nor is active planning to incorporate each step of a change model a part of the

pattern of coordinated change in the SBU system. Although some active planning appears to be emerging, other reactive elements remain unchanged. Therefore, a conclusion reached by the study is that a need exists to actively develop an SBU coordination model that deliberately incorporates all the steps research has found to encourage successful change.

On-campus change processes. Each branch campus had its own local process for accomplishing change on that campus, none of which was systematically planned to incorporate all steps research has found necessary to consistently succeed at change. Only one branch-campus was even experimenting with a systematic planned change process. Therefore, a conclusion reached by the study is that the provosts should allocate resources for systemwide staff development to diffuse a systematic change model throughout the system, vertically and horizontally.

Information Management. The study found that weaknesses in policies and procedures, paperwork, and interpersonal communications impeded information management in coordinated change at SBU. The study also found that the provosts were addressing the need for clear policies and procedures with their second coordinated change project. In addition, the study found that the provosts were planning an attempt to address both the need for improved control of paperwork

and improved interpersonal communications in their third coordinated change project, the electronic communications network linking the branch campuses. However, the study also found that no systematic change process incorporating all necessary steps is in use; thus, a need exists to apply planned change principles to ensure efficient, effective use of pooled resources in accomplishing this complex, coordinated change project.

Another finding was that no effort was underway to ensure that the provosts had an opportunity to physically meet together for an adequate length of time each month, regardless of last-minute schedule changes by the board of regents. Yet, the study found that the meetings not only served as an information clearinghouse but provided a peer support system for the provosts. Therefore, a conclusion reached by the study is that the physical gathering of all the provosts provides needed support and feedback that may not be possible with electronic communication; a need exists to ensure that the monthly meetings of the provosts take place, even if they must be rescheduled later or earlier in the day than originally planned.

Summary

The findings that emerged from the study generated a number of conclusions that may be summarized as

follows:

* Leadership is an unacknowledged component of successful initiation of planned change;
* the need for varied perspectives among information sources in conducting qualitative research is confirmed;
* the need for maximum shared power/autonomy among branch-campuses participating in coordinated change is confirmed;
* the perception that coordination is voluntary and democratic promotes collegiality and successful implementation of coordinated change, despite weaknesses in the process itself;
* either personal relevance to top-level administrators is an unacknowledged component required for initiation of coordinated change, or effective environmental scanning for rising pressure points may be required to actively plan and initiate change.

Advice for Practice

Based on the findings and conclusions reached by the study, the following advice for practice at Sunbelt University can be made:

* a need exists to apply planned change principles in accomplishing the complex, coordinated project to link the campuses electronically to ensure the

most efficient and effective use of pooled resources.

* a need exists for the SBU provosts to allocate resources for systemwide staff development to diffuse a planned change model throughout the system, vertically and horizontally;
* a need exists to ensure adequate time for the monthly meetings of the provosts, even if the meeting must be rescheduled earlier, or resumed later, in the day to ensure adequate communication of information and peer support to achieve coordination.

Implications

This study's findings, conclusions, and advice for practice reflect the circumstances of a single, multicampus higher education institution in the Sunbelt. It would therefore be inappropriate to sweepingly declare that the study's findings and conclusions do or do not apply to higher education organizations in general. However, as the review of literature illustrated in Chapter II, principles of change theory have frequently been determined to apply to a wide variety of organizations. Considering this pattern, several recommendations that could augment theory and guide future research seem appropriate.

First, a number of findings and conclusions reached

by the study have implications for change theory and research in the conduct of planned change. These implications stem from findings regarding: 1) the role of leadership in the initiation phase of higher education change and 2) the role of external pressure in the process of higher education change. These findings suggest that 1) there is a need to augment the Fullan Model for adaptation to higher education and 2) there is a need to develop an administrator's guide, or handbook, which adapts and explains change theory for higher education organizations. These recommendations are discussed below.

Recommendations

Leadership. The role of the president in initiating coordination that emerged from this study was unanticipated by the Fullan Model (1982, 1990). Two possible avenues of research could be stimulated by this fact: First, a gap may exist in the initiation phase of the Fullan Model (1982, 1990). Leadership, or a champion, may be necessary to achieve organizational readiness, just as a champion is recognized by the Model (1982, 1990) as necessary for institutionalization; additional research is needed to confirm or disconfirm leadership as a component in the successful initiation of change.

External pressure

The SBU provosts repeatedly failed to respond to rising pressure points; they had to experience a sense of personal threat before addressing changes that had clear and oft-expressed relevance to their organization and/or governing board. Is personal relevance always necessary before top decision-makers initiate change? Or can top decision-makers learn to effectively scan the environment, identify rising pressure points, and address them before a crisis looms? There is a need for additional research to determine if the influence of external pressure in initiating higher education change may be inadequately recognized by the Model (1982, 1990).

Augmenting the Model

A need exists for a more action-oriented model depicting components of a successful planned change process for higher education. Such a model would encompass and go a step further than the Fullan Model (1982, 1990), which reflects the steps known to occur when change succeeds, whether the steps were actively planned or not.

A proposed model for higher education planned change, which utilizes the findings of this study, is depicted in Figure 3 [See p. 135]. This planned change

Planned Change Model

Initiation: Successful initiation of planned change requires active attention to--

* organizational relevance [the change should be perceived by employees as practical, needed, and clear]
* central administration relevance [the change should be perceived by top-level decision-makers as practical, needed, and clear]
* leadership [development of organization readiness; active allocation of sufficient human and financial resources to accomplish the change]

Implementation: Successful implementation of planned change requires active attention to--

* vision building
* power sharing
* restructuring
* evolutionary planning
* resources/staff development
* monitoring/problem-coping

Institutionalization: Successful institutionalization of planned change requires active attention to--

* leadership
* resources

Figure 3. Proposed Higher Education Planned Change Model

model uses the three phases identified by Fullan as necessary for effective change to occur--initiation, implementation, and institutionalization--but it also reflects a planned approach to change, extensively revising the initiation phase to reflect conscious planning. In the planned change model, the three steps required for effective initiation are: 1) organizational relevance, 2) central administration relevance, and 3) leadership.

Fullan's components of readiness and resources have been included as activities accomplished within the broader component of leadership. The third step in the Fullan Model (1982, 1990), organizational relevance, has been augmented by a twin component, top-level decision-maker relevance. The remaining two segments of the Fullan Model (1982, 1990)--implementation and institutionalization--are augmented merely by articulating the need for active attention to each step in these two phases for the change process to more consistently succeed. Research is needed to test and refine this planned change model for higher education.

Administrator's handbook

Finally, a need exists to increase access to, and knowledge of, effective planned change principles and processes in higher education organizations. Lindquist (1978) has noted that change models must always be

adapted to the circumstances at hand, an observation underscored by conclusions drawn from this study. Therefore, a need exists to develop a guide to planned change, which explicates change theory in the vocabulary, titles, and situations common to higher education. This handbook would continue the work of higher education researchers, like Havelock, Lindquist, and others, filling a niche among those books that have adapted change principles for use in public education organizations (Fullan, 1982, 1990) and for business organizations (Dalziel & Schoonover, 1988).

Conclusion

Addressing the needs outlined above would clearly serve the best interests of American higher education. In an era of shrinking resources, college administrators need a way to target their limited human and financial resources more effectively. As this study demonstrates, using a change model offers an opportunity to increase the odds of success in a way that is both practical and within reach.

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APPENDICES

APPENDIX A

CONSENT FORM

CONSENT FORM

I, _____, hereby authorize Sharon S. Wright to perform the following procedures during the spring and summer semesters of 1993:

1. A research project in branch-campus change, including initiation of change in higher education administrative policy, based on a systematic theoretical change model

2. The project may require participants to allow the observation of group meetings and individual and/or group interviews over the course of a few weeks or months; no risk to the physical or mental health of subjects is anticipated.

3. Due to the purposive nature of the sample, true subject anonymity is an unrealistic goal. However, subjects and their institution will be assigned fictitious names; and requests for confidentiality of specific comments during meetings or interviews will be honored.

4. Possible benefits of the study include improved understanding of the change process in higher education and a better balance between autonomy and cooperation among branch campuses in coordinating multicampus change.

This research project is part of an investigation titled:

Navigating Change: Coordinating Change in Higher Education Branch-Campus Administration

APPENDIX B

INSTITUTIONAL REVIEW BOARD

APPROVAL FORM

OKLAHOMA STATE UNIVERSITY
INSTITUTIONAL REVIEW BOARD
FOR HUMAN SUBJECTS RESEARCH

Date: 08-23-93 **IRB#:** ED-94-007

Proposal Title: NAVIGATING CHANGE: COORDINATING PLANNED CHANGE IN MULTICAMPUS HIGHER EDUCATION

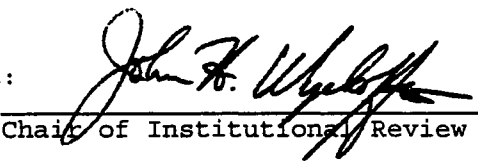
Principal Investigator(s): Adrienne Hyle, Sharon Wright

Reviewed and Processed as: Exempt

Approval Status Recommended by Reviewer(s): Approved

APPROVAL STATUS SUBJECT TO REVIEW BY FULL INSTITUTIONAL REVIEW BOARD AT NEXT MEETING.
APPROVAL STATUS PERIOD VALID FOR ONE CALENDAR YEAR AFTER WHICH A CONTINUATION OR RENEWAL REQUEST IS REQUIRED TO BE SUBMITTED FOR BOARD APPROVAL. ANY MODIFICATIONS TO APPROVED PROJECT MUST ALSO BE SUBMITTED FOR APPROVAL.

Comments, Modifications/Conditions for Approval or Reasons for Deferral or Disapproval are as follows:

Signature:  Date: August 31, 1993

Chair of Institutional Review Board

APPENDIX C

INTERVIEW PROTOCOL

INTERVIEW PROTOCOL

1. Using a previous project as an example, could you describe the process of coordinating that change on the branch campuses?*
2. Did you participate in coordinating this change?
3. Could you describe your role and the steps involved?
4. How was this process defined?
5. Did others have specific roles in the process?
6. Was one individual in charge?
7. Was a timetable fixed, generally or specifically, for accomplishing the change?
8. How did that work out?
9. How did people in the organization respond?
10. Was a specific person designated as trouble shooter?
11. What, if any, problems were encountered?
12. Did this experience affect your perception of your institutional autonomy?
13. Why, or why not?
14. Could you describe the process used to coordinate, or cooperate, involved in accomplishing the change across all the branch campuses?
15. Overall, do you rate the balance of autonomy and cooperation in the project satisfactory or unsatisfactory?

**Question Nos. 2-15 will be asked only if answers to these questions do not emerge from Question No. 1.

APPENDIX D

FOLLOW-UP INTERVIEW PROTOCOL

FOLLOW-UP INTERVIEW QUESTIONS

1. One person interviewed thought that the provosts' meetings were originally set up to facilitate articulation of degree programs between branches.

   a) Do you agree or disagree that this was the impetus for regular meetings?

   b) Why?

   c) If you agree, then why do you think there has been no movement yet on this issue?

   d) If you disagree, what do you recall as the actual impetus for the meetings?

2. The process of revising the Mission, Role, and Scope statements of the university has been mentioned as a previous coordinated change.

   a) Do you agree with this characterization?

   b) why/why not?

   c) if your campus participated in this process, how did your campus go about developing its own Mission, Role, and Scope statement?

   d) How did your campus go about developing suggestions for the system's MRS statement?

3. Would you describe the process your campus will use in examining and revising its policy manual?

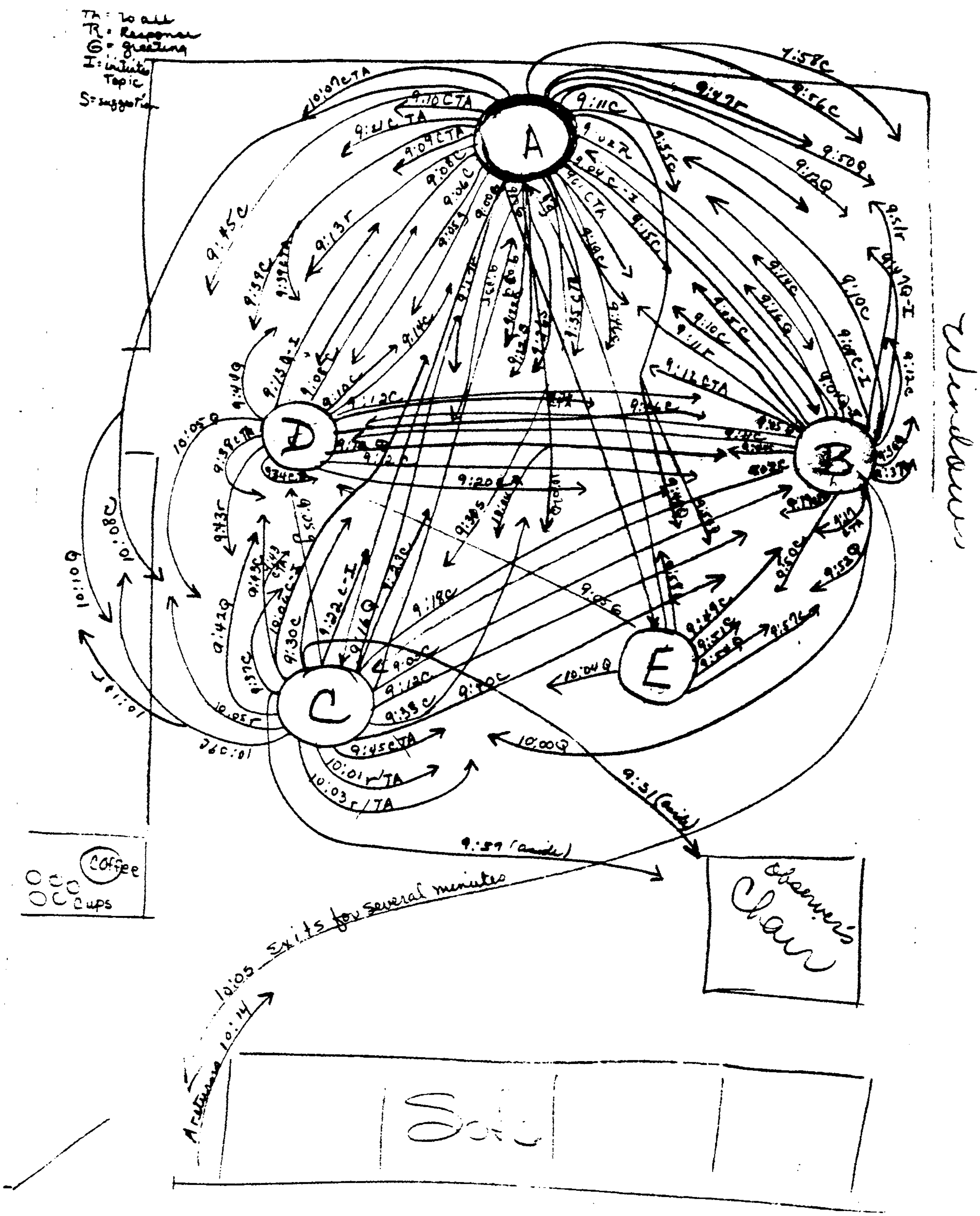
4. Do the branch campuses compete with each other for resources, such as financing or personnel?

   a) If so, in what way(s)?

   b) If not, why not?

APPENDIX E

OBSERVATION DIAGRAMS



Observation Diagram 2/19/93

Clinical Observation Data
Provosts Meeting
Feb. 19, 1993

key to symbols: g=greeting ?=question r=response
c=comment !=emphatic comment s=suggestion

A=Multicampus Provost B=Medical Campus Provost C=JuCo Campus Provost

D=Technical Campus Provost E=Senior Campus Provost All=Entire group

9:00 A---C (g)
A---E (g)
E---A (g)

9:01 A--All (i) initiates business meeting with information on a H. E. Regents request re: fiber optics
B--A (?)
A--B (r)
B--C (c)
C--B (c)
C--A (?)
A--C (r)

9:04 A--B (i) relays librarian's concern re: electronic coordination
B--A (c)

9:05 D arrives and is greeted by all others
A--D (recaps discussion on Higher Education Regents request), while E and C leave the table, get coffee, & return to their seats

9:08 B--A (i) opens discussion re: student loan paperwork coordination between Medical and Base campuses
A--D (c)
D--A (c)
A--All (c)
B--A (c)
D--A (c)
A--All (c)
B--A (c)
A--B (c)
B--D (c)
A--B (?)
D--B (?)
B--A (r)

```
      D--B (c)
         B--A (c)
         B--All (c)
      C--B (c)
      D--B (c)

9:13  D--A (i) Question re: possibility of employee
               raises
         A--D (r)

9:14  B--A (c) describes a circumstance re: Medical
               Branch budget
      D--A (c)
         A--B (c)
            B--A (?)
      C--A (?)
         A--C (r)
      B--All (c)
      C--B (c)
         B--All (c)
      A--B (c)
      D--B (c)
      A--All (c)

9:22  C--A (i!) comments re: possible JuCo Branch
                budget cuts
         A--C (c)
         A--C (s)
            C--A (!)
               A--C (s)
      D--All (c)

9:30  C--A (!)
         A--C (s)
            C--A (c)
      C--observer (directs an aside to the observer)
      D--All (c)
      A--All (c)

9:36  B--A (?)
      C--A (c)
      C--observer (directs an aside to the observer)
      B--A (?)
      D--All (c)
      A--D (c)
      A--All (c)

9:40  C--B (c)
      D--A (?)
      C--D (?)
         D--C (r)
            C--D (c)
            C--All (c)
```

9:44 B--D (c)
C--All (c)
A--D (c)
D--B (c)
A--C (c)

9:47 B--A (i) Question re: coordinated aviation project between two branches
A--B (r)
A--E (?)
E--B (c)
B--E (c)
A--B (?)
B--A (r)

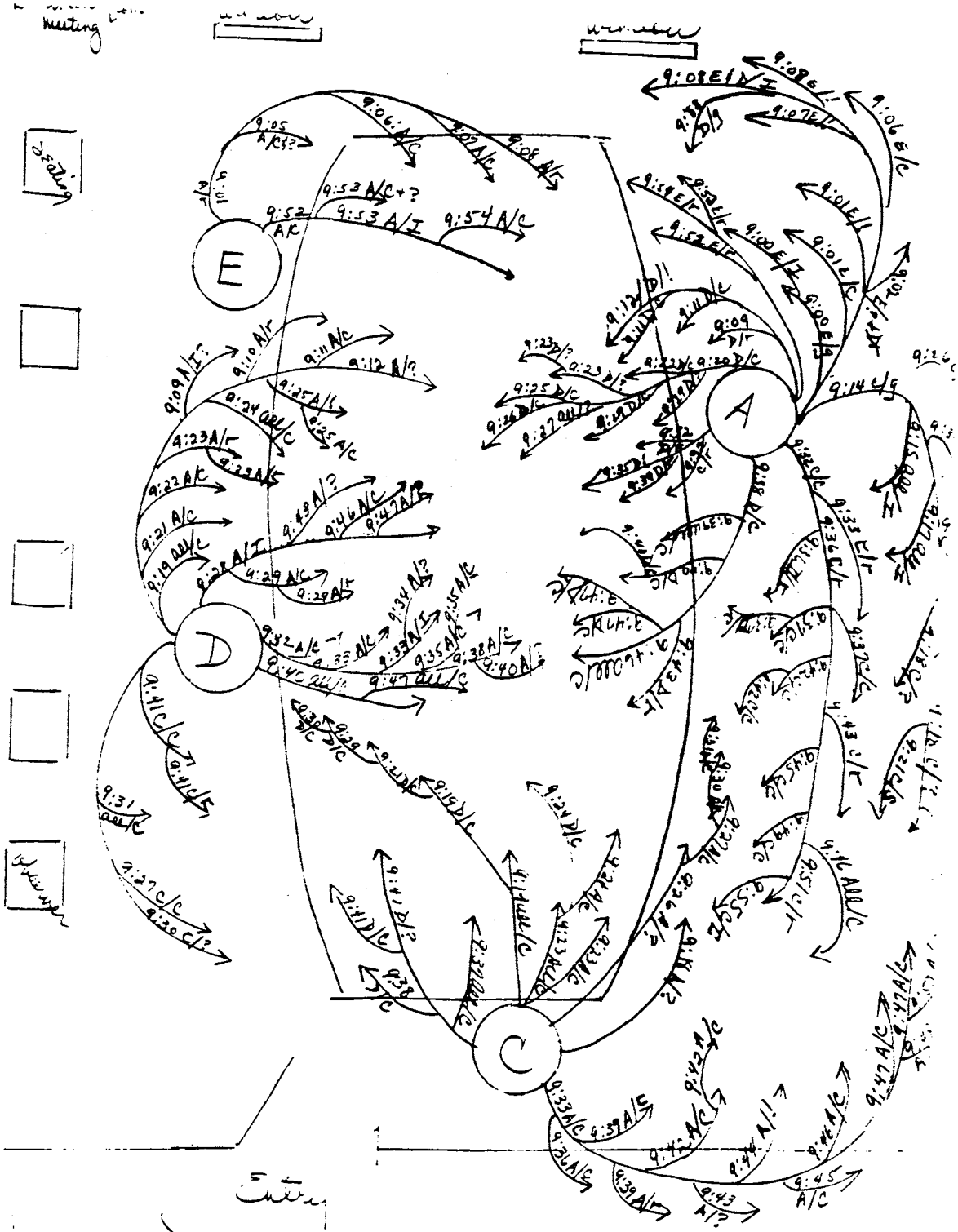
E--B (c)
B--E (?)
A--E (?)
E--B (?)
A--E (c)

9:56 A--B (c)
E--B (c)
E--A (c)
A--B (c)
B--C (?)
C--All (r)
A--C (?)
C--All (r)
E--C (?)
A--C (?)
(B receives a note from a secretary & leaves room for several minutes.)

D--C (?)
C--D (r)

10:06 C--A (i) initiates discussion re: JuCo campus personnel-policy manual controversy
A--All (c)
A--C (c)
C--A (c)
A--C (?) question re: JuCo campus policy manual revision
C--A (r)

10:14 B returns to the room & meeting winds up



Discussion Diagram 7/16/93

Clinical Observation Data
Provosts Meeting
July 16, 1993

key to symbols:

g=greeting	?=question	r=responds	c=comment
s=direct suggestion	!=comments emphatically	dr=direct request	i=initiates topic

A=Multicampus Provost
B=Medical campus Provost
C=JuCo campus Provost
D=Technical campus Provost
E=Senior campus Provost

9:00 A--E (g)
E&D--A (g)
A--E (Initiates topic re: proposed telecommuni-cations degree at Senior Campus)
E--A (r)
A--E (? and dr)
E--A (c/?/c)
A--E (c)
E--A (c)
A--E (!)
E--A (c)
A--E (!)
E--A (c)
A--E (!)

9:09 A--D (Initiates topic by teasing other 2 re: consultant's report on base campus administration)
D--A (?)
A--D (r)
D--A (c)
A--D (c)
D--A (c)
A--D (c)
D--A (?)
A--D (!)

9:14 Provost C arrives and is greeted by A, D & E [Note: the other branch-campus provost (B) is out of state; does not attend.]

9:15 A--All (Initiates topic re: researcher's two remaining questions for the group re: consent forms & need resolve differences in responses to one interview question)
Researcher--All (?)
C--All (c)
A--All (c)

K--All (c)
Researcher--A (c)

9:17 A--All (Initiates topic re: proposed architectural services back charges)
C--A (?)
A--C (?)
D--All (c)
C--D (c)
A--D (c)
A--C (s)
D--A (c)
A--C (c)
A--D (c)
D--A (c)
C--A (c)
A--D (?)
D--A (r)
A--D (?)
D--A (r)
C--All (c)
C--D (c)
D--All (c)
C--A (c)
A--C (c)
C--D (c)
D--A (!)
A--D (c)
D--A (c)
A--D (c)
C--A (?)
A--C (r)
A--All (?)
C--A (r)
D--C (c)

9:28 D--A (Initiates topic by re-opening the issue of backcharges from Architectural Services)
A--D (c)
D--A (c)
A--D (?)
D--A (r)
C--D (c)
D--C (?)
C--D (r)
A--C (c)
C--A (c)
A--C (c)
C--A (c)
D--All (c)
A--D (r)
D--A (c)
A--C (c)

```
9:33 D--A (Initiates topic of salary adjustments)
     C--A (c)
        A--C (c)
     D--A (?)
        A--D (r)
           D--A (c)
              A--D (!)
                 D--A (c)
                    A--D (c)
     C--A (c)
        A--C (c)
           C--A (c)
              A--C (c)
                 C--All (c)
              A--C&D (c)
                   D--A (c)
                      A--D (c)
                 C--D (c)
                    D--C (c)
                    D--A (c)
                       A--All (c)
     C--A (c)
     D--A (?)
        A--D (r)
           D--A (c)
              A--D (c)
     C--D (?)
        D--C (r)
           C--D (c)
              D--C (c)
                 C--A (c)
                    A--C (c)
                       C--A (c)
                          A--C (c)
                             C--A (?)
                                A--C (r)
     D--A (?)
        A--D (r)
     C--A (!)
        A--C (c)
           C--A (c)
              A--C (c)
     D--A (c)
        A--All (c)

9:47 D--A (Initiates topic re: progress of capital
           campaign)
        A--D (r)
           D--All (c)
     C--A (c)
        A--D (c)
     C--D (c)
     C--A (c)
```

C--A (?)
A--C (r)
E--A (c & ?)
A--E (r)
E--A (c)

9:53 E--A (Initiates topic re: proposed Senior Campus research center)
A--E (r)
E--A (?)
A--E (r)
E--A (c)

9:56 Secretary enters to inform the provosts that the Board of Regents would like to meet with them at 10 a.m. Meeting breaks up with A teasing C about consultant's report on administrative cuts

APPENDIX F

GROUP INTERVIEW

PROTOCOL

GROUP INTERVIEW QUESTION

1. What was the impetus for setting up regular monthly provosts' meetings?

APPENDIX G

PROVOST INFORMATION

PACKET

Fullan's Change Model

a Summary

for

SBU Branch-Campus Provosts

Sharon S. Wright
doctoral candidate
EAHED

Background--

A change model is deceptively simple--like the Relativity formula, $E=MC^{2}$--Just looking at it, you can't believe it took a genius like Einstein or, in this case, analysis of over 500 studies to come up with such a simple sequence of steps. But, like the Relativity Theory, Fullan's Change Theory distills a very complex process to its essence. Actually putting it into practice requires systematic, conscious attention and an awareness of the subtle interplay of factors that can create unpredictable complications. As a result, what we have is a model that works well, but not infallibly, to promote successful organizational change. (By successful, I mean change that is accomplished humanely and with lasting results). My goals are to:

1) describe the process of coordination of change among the provosts at a multicampus university and

2) describe and assist in a pilot application of the Fullan Model in the initiation of multicampus change.

An Overview of the Fullan Change Model

The Fullan model incorporates research findings from more than 500 studies of organizational theory in business, sociology, and education, distilling from these findings six themes demonstrated to be necessary for change to succeed in educational organizations. From this framework, Fullan has created a virtual handbook to guide the organizational change process, focusing on two highly practical elements, e.g., crucial factors in determining success or failure and flexible techniques to use at each stage.

Briefly summarized, Fullan's change theory (1990) rests on a three-phase process:

1. initiation and adoption (an idea is suggested and a decision made to change)
2. implementation (the idea is put into practice)
3. institutionalization/rejection (the idea either becomes routine, or practice eventually reverts a to former method)

The first phase, initiation, requires:

1. relevance (the idea is perceived by the organization as practical, needed, and clear)
2. readiness (the organization recognizes that it has the capacity and the need for the change)
3. resources (human and financial support for the change are available)

Phase two, implementation, rests on six key factors:

1. vision-building (synthesis and articulation of a widely shared view of the system)

2. evolutionary planning (adaptation to fit on-site conditions, blending top-down initiative and bottom-up innovation)

3. power sharing (establishment of cross-hierarchical steering groups, a collaborative work culture, delegation of authority)

4. resources/staff development (continuous interaction, support services, and training during implementation)

5. monitoring/problem-coping (observation and measurement of what is most important; use of deep problem-solving methods--redesign, creating new roles, more assistance--to improve results)

6. restructuring (changes in roles, finance, formal policies to create working conditions to facilitate implementation

Finally, Fullan points out two factors necessary for the third phase, successful institutionalization, of change:

1. resources (including a budget for continuing support services and orientation/in-service training for newcomers)

2. central administration leadership (including early, active, and consistent support for retention of implemented changes)

Development of this model also revealed four major insights about successful change:

1. a specific impetus (a champion or an organizational bias) for action is necessary)

2. both pressure and support (as in peer coaching, for example) are necessary

3. an implementation dip will occur (changes in behavior precede changes in understanding; therefore, things get worse before they get better and clearer to people who are learning new skills and/or concepts)

4. a true sense of ownership is a result of successful change, an incremental process of adaptation and internalization, not a gift that

can be conferred

Although the Fullan paradigm was not specifically designed for branch-campus universities, it continues a lengthy tradition of synthesizing and adapting principles of planned organizational change into flexible guidelines useful in a wide variety of educational settings. Considering the diversity of branch-campus missions among multicampus institutions, this flexibility is an important feature of the model. Perhaps even more notable for multicampus institutions concerned with maintaining autonomy while fostering cooperation, however, the Fullan Model acknowledges the complexity of the change process, factoring in the necessity for shared authority and the inevitability of problems during change. Therefore, this Model appears to be particularly appropriate for a multicampus system.

APPENDIX H

EXPLANATORY MEMO

TO STUDY PARTICIPANTS

Nov. 24, 1992

Dear Dr. _____,

Several months ago I spoke with you and the other branch-campus provosts by telephone about a possible case study in planned change that might improve coordination among the branch campuses without sacrificing autonomy. (The project would form the basis of my dissertation for a doctorate in higher education administration.)

During these initial conversations, all four provosts expressed interest in such a project, and I am now able to pursue it. So I am writing to determine whether you are still interested in participating.

The central research question is this: Will the application of a planned change model impact provost satisfaction with the balance between coordination and autonomy in implementing change across a branch campus system?

In order to answer this question, we will need to:

1. target one specific change in policy or technology that all four campuses plan to implement in the near future.

2. next, schedule an interview with each provost to:

   a) describe in detail the current process of implementing a planned change;

   b) identify factors that affect provost satisfaction and dissatisfaction with the change process

3. familiarize the provosts with the planned change model

4. apply the model in implementing the selected policy/technology change

5. conduct follow-up interviews with each provost to determine whether using the model impacts satisfaction with the balance of coordination and autonomy

Since this is a qualitative research project, the

in-depth interviews will be crucial to its success; and the insights and conclusions drawn from the interviews will be submitted to each participant for amplification, verification, and/or clarification in order to arrive at a final product that will be valid and valuable to each of you as administrators dealing with change.

If you are willing to participate in this research, I would like to meet with you briefly during the 9:00 a.m. provosts' meeting in the _____ Conference Room, preceding the December 11 Regents' meeting. At that time, I will ask you to decide on a planned change in policy or technology that you would like to implement for this project.

If you will be kind enough fill out and return the information sheet below, I will know whether to pursue this research proposal any further and, if so, which upcoming change(s) you want your colleagues to consider implementing through this case study.

Sincerely,

Sharon S. Wright

Name_____ Institution_____

1. I will/will not be able to participate in the project.

2. I suggest implementing the following policy or technological change for this research project:_____

_____

APPENDIX I

PROGRESS MEMO TO

PROVOSTS

MEMO

DATE: Feb. 19, 1993

TO: Branch-Campus Provosts

FROM: Sharon Wright

ABOUT: Preliminary Interview Notes

Attached are the notes from our recent interview, which I hope you will look over carefully for errors. Please feel free to mark the copy in any way. Also, please note that I have inserted in parenthesis and boldface my own questions for clarification.

Next week, I will call each of you for a brief follow-up interview, designed to:

1) get your corrections of errors in the notes

2) get answers to the boldfaced questions in the notes

3) ask a few follow-up questions to align all the interviews and flesh out the concepts discussed

I anticipate about a 15-minute, follow-up telephone conversation will cover these concerns; I promise to be as brief as possible.

At this point, I have no idea if any particular piece of information from any specific interview will be used verbatim in the dissertation. So, what I'm looking for right now in your corrections of the notes is simple accuracy and clarity. You will each continue to have an opportunity to review everything as we proceed. Thanks very much for your help.

the insights and conclusions drawn from the interviews will be submitted to each participant for amplification, verification, and/or clarification in order to arrive at a final product that will be valid and valuable to each of you as administrators dealing with change.

If you are willing to participate in this research, I would like to meet with you briefly during the 9:00 a.m. provosts' meeting in the _____ Conference Room, preceding the December 11 Regents' meeting. At that time, I will ask you to decide on a planned change in policy or technology that you would like to implement for this project.

If you will be kind enough fill out and return the information sheet below, I will know whether to pursue this research proposal any further and, if so, which upcoming change(s) you want your colleagues to consider implementing through this case study.

Sincerely,

Sharon S. Wright

Name_____

Institution_____

1. I will/will not be able to participate in the project.

2. I suggest implementing the following policy or technological change for this research project:_____

APPENDIX J

OBSERVATION PREPARATION

MEMOS

MEMO

DATE: Jan. 29, 1993

TO: Branch-Campus Provosts

FROM: Sharon Wright

ABOUT: Branch Campus Coordination Research Project

This note is just to let you know that _____ has given me a schedule of the dates and locations of your remaining
9 a.m. meetings this spring and summer so that I can observe several of them. At the Feb. 19 meeting, I will use Goldhammer's clinical observation technique, which simply means that I'll sketch the layout, then diagram the number, type, and direction of participant interactions. The result looks something like the diagram of a football play (just think of me as John Madden). The exercise will help me eliminate observer bias and develop a clearer understanding of the way the multicampus system operates.

At some later meeting, I hope we can hold a group interview on issues related to the development of your policy manuals, since research shows that group interviews produce high-quality information and serve as a strong element of triangulation to achieve validity.

I am looking forward to seeing you again on Feb. 19. Just give me a call at _____ if you have any questions about the procedures, rationale, etc.

MEMO

DATE: April 27, 1993

TO: OSU Provosts

FROM: Sharon Wright

ABOUT: Planned Change Project

I hated to miss your meeting in , but I was hosting a professional conference for writing center administrators. I still hope to be able to observe another provosts' meeting or two, but in the meantime we can move on to another facet of the project.

As you may recall, Fullan's change model requires three elements for successful initiation of planned change: relevance, readiness, and resources; so I'm enclosing a list of questions (Fullan, 1990; Dalziel & Schoonover, 1988) that we should address in order to assure that the campus deals with these issues as the process of re-designing the policy manual proceeds.

If feasible, I would like to work directly with the person/committee in charge of policy manual revision on each campus in answering these questions, for a couple of reasons:

1. to help diffuse knowledge of the planned change process in your organization

2. to coordinate the change process across the three campuses

I'll give each of you a call next week to see if this is agreeable and to answer any questions you may have.

APPENDIX K

OBSERVATION FOLLOW-UP

MEMO

MEMO

DATE: Feb. 25, 1993

TO: Branch-Campus Provosts

FROM: Sharon Wright

ABOUT: Observation data

I thought you might enjoy seeing a copy of the first diagram of verbal interactions at your Feb. 19 meeting, along with a sequential outline of the comments, which makes the original more comprehensible.

The main purpose of this type of exercise in qualitative research is to promote validity by providing another source (direct observation), to confirm/call into question the broad patterns and themes identified during individual interviews as significant to the change process.

As soon as I make your corrections to the interview transcripts and analyze the data from the enclosed record of observation, we can focus on the policy manual review.

As a I mentioned earlier, I plan to observe several meetings, with your continued permission. There are a couple of reasons for this: 1) data redundancy is reassuring to researchers 2) it will help me stay current on your perceptions regarding the change project. 3) qualitative research is, by nature, exploratory; so repeated observations are strongly encouraged before drawing conclusions

Please don't hesitate to call me at _____ if you have any questions or comments; and thanks very much for the first-rate interviews and corrections to the notes, both of which have been extremely beneficial.

APPENDIX L

BRANCH-CAMPUS WORKING GROUP EXPLANATORY MEMO

MEMO

DATE: June 4, 1993

TO: Policy Revision Committee Members

FROM: Sharon Wright

ABOUT: Questions to address in successfully initiating organizational change

It was a real pleasure to meet all of you at your first committee meeting, and I hope the process we are working through together will give you some useful guidelines for initiating change.

As you may recall, Fullan's model says three issues--relevance, readiness, and resources--need to be addressed in order to ensure a successful initiation phase for any change project.

But how do we know whether we've adequately addressed these issues?

Fullan and other change experts say our best bet is to answer some specific questions, which I have enclosed. These questions are not difficult, per se; they just require our attention sooner or later if a change project is to succeed; that is, meet an organizational need effectively and humanely in the long run.

As you look over the questions, you will notice that several deal with perceptions, which determine attitudes and actions; and discovering people's perceptions requires clear communication. Since the committee has already begun to think about ways to get feedback from colleagues, you have made a great start.

Please call me if you need any additional information or suggestions for ways to get answers to the questions enclosed. My telephone number is: _____. I would also appreciate receiving a copy of any documentation your committee produces. My mailing address is:_____.

QUESTIONNAIRE

PLANNED CHANGE INITIATION

1. What are the results you want to achieve by this change (revising the campus policy manual)?

2. Are these results clearly congruent with the organization's values? How?

3. Is there a plan to gather information, opinions, and feedback from employees about the proposed change?

4. Do those planning the change (revised policy manual) and those who will have to live with it perceive this value congruence and a need for the change?

5. Do employees believe that the central administration is strongly committed to this change?

6. Do the faculty, staff, and administrators who will have to live with the change perceive that it will have practical benefits for them, as well as for the university?

7. Do those planning the change believe that they have enough human and financial resources to get the job done?

8. Have potential problems been determined and stated up front?

APPENDIX M

QUESTIONS AND RESPONSES FOR TECHNICAL CAMPUS WORKING GROUP

BRANCH-CAMPUS WORKING GROUP

TELEPHONE QUESTIONS AND RESPONSES

(responses to each question numbered randomly)

Question #1: What are the results you want to achieve by this change (revision of the campus policy manual)?

Responses :

1) "To have a workable policy and procedures manual because we haven't had one that we could utilize."

2) "Overall, it is imperative we have one ... that addresses current needs, a definitive sourcebook."

3) "First of all, the manual we had for many years fell into neglect and was so outdated that it needed revision and clarification; I would like to get a clear, well communicated and up to date policy and procedures manual for our employees to use. Also, there is a running confusion between the (base campus) policy manual made for that campus and those policies and procedures that are unique to our campus, which makes a weird situation. So it (the revised manual) needs to be integrated and harmonious.

Under the administration of the previous campus director, the campus was almost autonomous. The current provost likes a little more integration and all branches enjoy more closeness with the main campus than 10 years ago. I think there is just more interest in integration as far as possible, given the inherent differences among the various campuses)."

4) "I think (my goal is) a policy (manual) that is fair and equitable to all employees, that is available to all employees, and that is understood by all, whether faculty, staff, or administrative and professional."

5) "A complete and total policy book with matching procedures available for reference by any campus employee."

6) "From my perspective it would be the formation of a document to use as a guideline for individuals who work on the campus to move the institution forward with the same approaches; and continuity in process.

7) "Clarity and conciseness; I want people to be able to get a clear-cut answer without a half-day of research."

8) "The ultimate goal is to make the manual readable for everybody and to update it. A lot of the faculty and staff have problems understanding it."

9) "The results that I would hope all of us want to gain by the revision is guidance in philosophy on matters that affect the team as a whole."

Question #2: Are these results clearly congruent with the organization's values? How?

Responses:

1) "Yes and no. I am not sure that I have the same values here as the management system. The management structure here has always been highly authoritarian. I am looking for ... policies that will allow more latitude for faculty and employees in the everyday work environment to create a better work environment. My main goal is to take all the problems that are created through a lack of workable policies to that it isn't based on personality and will last for a long time. I want to be the vocal portion of the faculty to make sure that they get a fair shake."

2) "I think it is pretty clear that we want to make policy and procedures fair; if people have a concern right now, there is often no one who can give them good advice."

3) "I think so; I think all our employees--administrative, faculty, and staff--want clear, concise statements."

4) "Yes, I believe so; I think it is a necessary process and means by which employees can communicate and work on a level playing field."

5) "Yes; as a representative of the faculty-staff council, for several years the people here have been in need of a manual to conduct their business. If they are getting ready to do something, the main thing will be consistency across campus from supervisor to supervisor on how things are done; the discretionary system now makes people angry sometimes."

6) "Yes; I feel the institution's mission in providing technical education and services to students can only be accomplished if they know the rules necessary to move forward. Without a policy and procedure manual in place, it is somewhat like playing a game without rules. I think we have had employees and students alike who

have been somewhat frustrated. I would say 90 percent of the policies in the current manual are dated 1982 and before. If nothing else, just more relevant information would be an improvement."

7) "I think so; they are labor-saving for management but also a morale builder because you can find clear answers to questions without three interpretations. It will be beneficial for the whole organization from the top to the bottom."

8) "Yes. Based on discussions with the subgroups, everybody seems to be on the same track."

9) "I believe the intent of this session to revise is to obtain the best written guide for matters that affect the majority and, yes, that would be congruent with my understanding of the organization's expectations and values. The intent was to record the values and achieve congruence for the team."

Question #3: Do the people who are planning the change (revision of the policy manual) and those who will have to live with it, perceive this value congruence and a clear need for the change?

Responses:

1) "The perception on campus is that the employees want the policy and procedures maybe even more than the administration because there have been no clear guidelines for behavior. There can be trouble rationalizing decisions."

2) "I think so; it (the need) is so obvious--faculty-staff council is on record as requesting it; and I personally was appalled when I came here five years ago.

3) "Yes."

4) "I think there is not enough diversity within the committee; it is too heavily loaded toward faculty and administration at the present time and not enough classified or low-level representatives were included. Therefore, it may not carry the weight that it should without the input from those people; they are, after all, on the front lines, where these policies and procedures have to be carried out, and they know the problems with them firsthand. However, I think that all employees perceive a need for the change because they want to know where to go to get answers."

5) "Yes, yes."

6) "Definitely, yes; the need is evidenced through the desire of the committee and the faculty and employees association, which has requested on numerous occasions to have it (the policy manual) updated."

7) "Definitely so; our subcommittees will give us balance, an overall feel for the first time ever; and I have been here (number) years; I have never known that policy manual to be more than a joke."

8) "Yes, I believe so; there are more, as always, who see the need for the change than are participating in the process, though. Most people here are complacent, or apathetic like voters, because they are not feeling that they can affect the outcome."

9) "I believe the users, that is, the ones who will have to live with it see [the policy manual] as the 'Six Commandments,' where the people planning the change see it as a guide, or tool, to assist the team in being consistent in the job well done. However, I feel they both [planners and users] see the revision as long overdue."

Question #4: Do the people--faculty, staff, and administrators--who will have to live with the change perceive that policy manual revision will have practical benefits for them?

Responses:

1) "Yes; as I mentioned (in the response to Question #3) some will want it for a more authoritarian source and some will want it loosely interpreted."

2) "Actually, I think everyone's somewhat idealistic about it; for example, when we went through renaming classified titles and adjusting salaries, some did not get a raise and were of course disappointed."

3) "Yes; part of it is that we made the decision to include procedures, which will help people accomplish their day-to-day work; plus, the results of the survey/questionnaire will help us with feedback on how to meet their needs."

4) "People want answers, as I said (in answering Question #3); for example, some policies are very old, some apply only to the base campus or only to this campus; it is confusing."

5) "Definitely, as my answer earlier (to Question #2)

indicates."

6) "I think my answer to Question #2 about covers it."

7) "Definitely so. We have had real open policy on it, wide open. Feedback has been positive on that."

8) "Yes, I think so because that is one of our main goals, particularly in simplifying its language. The group referred to in question #3 will be (reduced to) chronic complainers."

9) "Definitely; I feel we all would like some guidance when it comes to doing our jobs."

Question #5: Do the people who are planning the change and those who will have to live with it perceive that the central administration has demonstrated its commitment to the change?

Responses:

1) "I think there is a strong commitment to it--using an external source (i.e., the consultant/researcher), for instance, creates something of a Hawthorne Effect; the fact that somebody keeps looking, keeps things going."

2) "The only rumble that had been heard was that perhaps when the team was formed there were not enough staff represented. Staff felt underrepresented; peer selection would have been better. The way it is, we had three or four faculty and one staff; so we added (name) to try to correct it. I'm not sure whether adding the head of the physical plant operations, where so many classified employees work, did (take care of the problem), but it should have taken care of the concern."

3) "I think the questionnaire is a tangible demonstration of commitment, plus the personal involvement of the central administration indicates commitment."

4) "I think some will (perceive that commitment has been demonstrated) and some won't; at the present time, some of those who will have to live with it (the revised policy manual) feel that it will be dictated down to them, that they won't have a part in contributing to the revisions). So I would have recommended more lower level representation; it might have helped (generate a better response to) the survey that was sent out--there needs to be better communication; but I don't know how you could approach that."

5) People on campus are concerned because the revision had been recommended for several years by the faculty-staff council without any action taking place. As a result, people are still somewhat gun-shy (of the administration's sudden interest after all this time). Therefore classified employees sometimes don't want to be bothered with that stuff."

6) "They are pretty aware--I took it back to my council and will anticipate the outcome--the intent was demonstrated two years ago, but never reached fruition; now, people are a little skeptical--quite correctly--but are willing to wait and see."

7) "I would think at this point if you asked the general staff, the answer would be, "No," because we have seen no updating take place or change take place; however, that perception will soon change, I believe, when we begin the committee work of actually developing the policies and procedures."

8) "Generally speaking, the entire campus vote would agree; the majority are in support of it. Otherwise, the complainers would be heard loudly."

9) "Seeing that we have done a survey, etc., I think they see us committed to it; but in reading the results, I am not sure they see that we are covering the daily tasks. The staff thinks it will be more detailed--like departmental procedures--we all need to understand these differences."

Question #6: Do the people planning the change perceive that adequate human and financial resources have been allocated to get the job done?

Responses:

1) "Yes. The perception is that the resources will come from somewhere."

2) "Yes. I truly think this is one time that, even though it is slow, we will make progress."

3) "I think so; the involvement of the central administration and their willingness to involve a cross-section of the campus community and the community at large and the willingness to make the commitment of time and energy (gives us the) resources (we need)."

4) "I think the committee members do, in general; my personal feeling is that there needs to be more professional writers to work on the product with us.

For example, in the business, finance, and personnel committee, unless they get some input from people affected by each policy we could end up with unworkable policies again. Right now, policies are so outdated people don't know where to get answers, so people feel like they get the run around. So I think the make-or-break point will occur in the committee meetings, where the actual policies are hashed out."

5) "Human (resources have been adequate), yes. Right now, no financial resources are necessary; that will not be answered until a decision is made on how many copies of the policy manual will be made available on campus. That will decide the answer to the second part of the question."

6) "With the formation of the committee, adequate human resources have been committed. Financial commitment has been demonstrated by the investment of the group's time, which represents a sizeable commitment."

7) "I think so; we have even had administration willingness to provide staff help set aside and assigned to help us bring the final parts together in the document."

8) "So far. At the last meeting, someone asked if we have a time deadline; I think that the response was good in that it gives us no specific limitation; that gives us more freedom to keep a steady pace without undue pressure for quick results that might undercut the process."

9) "Yes, I believe that, with the survey expectation, that they would feel it is a job well done, unless it doesn't say what they want."

APPENDIX N

CONSULTANT'S RECOMMENDATIONS FOR TECHNICAL BRANCH CHANGE PROCESS

Recommendations for Technical Branch Change Process

Context

Because research is still discovering what components are required and what questions have to be addressed to develop a consistent and effective change process in higher education organizations, most change processes in use on college campuses have not been systematically and consciously designed. As a result, most campus change processes have some weak spots. These weaknesses are not necessarily severe enough to actually prevent change; but because we do not, as a rule, consciously examine the change process we use in order to identify and eliminate weaknesses, these gaps tend never to be eliminated, repeatedly reinforcing mistakes that dilute organizational energy.

Breaking this cycle requires consciously examining and designing the change process, which I have been helping your campus to do. Since my observations and interviews on campus have focused on a single major change, revision of the policy manual, it would be inappropriate to draw sweeping conclusions about the campus change process. But in reflecting on this experience, I do think it appropriate to recommend incorporating in your change process two or three

safeguards to avoid possible weaknesses:

1. Perception Gaps. This gap occurs when a need for change is perceived by frontline employees or by administrators but not by both groups. Perception gaps occur because separate groups do not share the same experiences or have identical needs. For instance, administrators may not perceive a rising sense of concern among frontline employees over one issue or another. Then, when employees cannot get clear directions from administrators in handling the issue, they become increasingly fearful, frustrated, and even angry. Their feeling is akin to attempting to fly an aircraft through thick fog and being unable to get landing instructions from air traffic controllers in the airport tower.

The perception in the tower is, however, entirely different; the air traffic controllers looking at the radar screen see only an aircraft flying without notable incident. A perception gap in the change process can have far-reaching consequences, particularly because the fear of losing one's job is very strong among higher education employees today. Many have already seen friends' jobs eliminated on their own or other campuses. This fear, combined with decisions that are perceived as arbitrary or deliberately ambiguous, can cause near paranoia among frontline organization employees and create a climate of distrust. Eventually, when

employee-sought changes are repeatedly postponed or ignored, the faculty and/or staff may become embittered, concluding that the administration is either incompetent or completely self-serving.

Recommendation

To ensure a climate of trust and timely response to organizational needs perceived by faculty and/or staff, the organization should incorporate a mechanism in its planning process to act on change proposals arising outside the central administration. This will encourage better environmental scanning and forestall as much crisis management as possible.

2. Information Gaps. Another pattern that weakens organizations is this: decision-maker(s) perceive a need for change, plan it, and announce it without:

a) sharing the criteria and rationale for giving this change priority over others that faculty/staff may believe to be important;

b) inviting faculty/staff input, and/or

c) preparing employees for

   1) imperfect results and

   2) an implementation dip [i.e., things will get worse before they get better when we're trying to learn something new] as a natural and expected part of the process of change.

Without adequate information, administrators, faculty, and/or staff affected cannot determine whether they agree that the change is needed, that it is logical--advances campus missions and goals--or that it

will be profitable to them in some way.

Several undesirable consequences can result from an information gap. Employees may feel that they have been "set up" to make mistakes--which they fear could cost them their jobs--although in reality they are merely experiencing an implementation dip. Another possible reaction is that employees may perceive the change as entirely self-serving to the decision-maker(s) and actually sabotage it, with the result that the more things change, the more they stay the same.

Overview

Most of the pitfalls described above have been avoided in the change process used by the campus working group revising the policy manual, although it remains to be seen whether employees will be prepared for an "implementation dip" and for imperfection in the final product, both of which can be expected despite all the work expended to develop a new policy manual.

So far, the working group has done an outstanding job of engaging each phase of the change process, conscientiously carrying out each step of the change process to date. The group has also recognized and moved to correct at least one weakness by adding broader frontline employee representation to the committee.

Recommendation

Now, to ensure that unrecognized weaknesses do not sabotage any part of the organization in the future, the working group and central administration should cooperate to diffuse a consistent, step-by-step process for accomplishing change, both vertically and horizontally through the organization. The process should include:

1. A brief explanation of the need for conscious planning of each step in each phase of the change process
2. a checklist of questions to answer in working through the change process.

These two steps could help any group work through a change process by ensuring recognition of differing perceptions and priorities, widely shared information to develop mutually acceptable priorities for change, and, as a result, a better likelihood of consensus across all levels of the organization.

Diffusion can be accomplished by demonstrating the process, as opportunities occur and/or by directly coaching others, such as departments and committees, in the process. Questions that should be addressed in this planned change process include the following:

1. Has the person/group planning the change ensured adequate input from a cross-section of employees at each level of the organization?
2. Do administrators and frontline employees recognize the proposed change as congruent with the campus mission and values?

3. Do administrators and frontline employees see any profit in the change for them, personally (does it have some personal relevance for them)?

4. Do administrators and frontline employees know the results, or outcomes, they want to achieve from the change?

5. Do administrators and frontline employees recognize that the change will probably not result in perfection (not every situation can be covered, or at least not for very long)?

6. Do administrators and frontline employees recognize that there will likely be an implementation dip (things will get worse before they get better as people learn new ways of doing things)?

7. Do administrators and frontline employees believe that the central administration has demonstrated its commitment to the project by allocating adequate human and financial resources to accomplish the change?

In the end, all change is localized (Lindquist, 1978); that is, we have to adapt questions and steps to our own circumstances. What is most important, therefore, is to critically examine the process and develop one that works for your campus.

Finally, a personal note: Sharing your progress through this major undertaking has been an invaluable experience for me. I hope my small contribution to your project will prove to be of some value to you, as well. Thanks very much for your unfailing help and kindness.

_____

Sharon Wright

Summary of Recommendations

1. The organization should incorporate a mechanism in its planning process to implement change proposals arising outside the central administration, encourage better environmental scanning, and forestall as much crisis management as possible.

2. The working group and central administration should cooperate to diffuse a consistent, step-by-step process for accomplishing change, vertically and horizontally, throughout the organization. The process should include the following:

a. A brief explanation of the need for conscious planning of each step and phase of the change process

b. a checklist of questions to answer in working through the change process.

Questions that should be addressed in this planned change process include the following:

1. Has the person/group planning the change ensured adequate input from a cross-section of employees at each level of the organization?

2. Do administrators and frontline employees recognize the proposed change as congruent with the campus mission and values?

3. Do administrators and frontline employees see any profit in the change for them, personally (does it have some personal relevance for them)?

4. Do administrators and frontline employees know the results, or outcomes, they want to achieve from the change?

5. Do administrators and frontline employees recognize that the change will probably not result in perfection (not every situation can be covered, or at

least not for very long)?

6. Do administrators and frontline employees recognize that there will likely be an implementation dip (things will get worse before they get better as people learn new ways of doing things)?

7. Do administrators and frontline employees believe that the central administration has demonstrated its commitment to the project by allocating adequate human and financial resources to accomplish the change?

APPENDIX O

CONSULTANT'S RECOMMENDATIONS TO IMPROVE BRANCH-CAMPUS COORDINATION

Because research is still refining the components necessary for consistently effective change in higher education organizations, most change processes in use on college campuses today have not been systematically and consciously designed. As a result, most of these processes have some weak spots. The weaknesses are not necessarily severe; but because we do not, as a rule, consciously examine the process we are using to identify and eliminate weaknesses, the gaps and bottlenecks that exist tend never to be eliminated, thus consistently diluting organizational energy and resources.

Revising this pattern so that we can 1) open up bottlenecks in branch-campus coordination and 2) better use available resources requires conscious examination and design of coordination and change processes; and that is why my study explored the development and process of branch-campus coordination here.

In my earliest conversations with the provosts regarding the study, each expressed a desire to improve branch-campus administration by more effective and more efficient use of available resources. With that goal in mind, then, here are some options to consider, based on information obtained during interviews, observation of provosts' meetings, and examination of documents.

Recommendation #1

Shared administrators. The branches already share an audit team, motor pool, architectural and legal services [and possibly others]. This system appears to work well and thus could be expanded. Specifically, the study recommends a pilot project in the use of a circuit-riding administrator. This administrator would spend time on each campus, setting up a desired service and/or supervising existing services. Some possibilities for shared administrators among the branch campuses include: disabled student services, affirmative action, learning resources, writing across the curriculum and/or writing centers; math learning resource centers, counseling services, and fitness/wellness services. In short, the pilot project would select a service to coordinate, and let one administrator replicate it and/or run it for all participating branches.

Because of the amount of time on the road necessary for a circuit-riding administrator, he/she would need a desk and secretarial support, plus a portable car phone, notebook computer, and motor pool vehicle to succeed; but these costs represent only a fraction of the cost of separate salaries for identical administrators on each campus.

Advantages possible from the pilot project are twofold:

1. Reduction of the total number of administrators systemwide, while at the same time giving all branches access to a desired or mandated service headed by an administrator with a successful track record; and

2. Reduction of overall administrative costs by spreading the expense of the circuit rider across the participating branches and eliminating duplicated salaries.

Recommendation #2

In conducting research on change in higher education this past year, two major flaws, or "gaps," in planning and implementing change were found to account for most difficulties in succeeding at change, whether on-campus or across a system of branch campuses. Therefore, a second recommendation is that the provosts consciously work at closing these gaps.

Perception gaps. A potential problem for any college administration is that needs perceived by internal and external constituencies, such as students, frontline employees, the legislature and/or board of regents may not be perceived as significant by the central administration. I call this difference in viewpoints the perception gap.

Perception gaps in the change process can have far-reaching consequences, sabotaging change ordered by the administration, or forcing crisis management when changes strongly desired by internal/external constituencies are ignored too long by a university

administration. To eliminate perception gaps, the provosts need to actively develop a planned change model incorporating:

* environmental scanning to regularly determine high priorities among groups external to the provosts

* a timely program of change that forestalls crisis management by acting on these external priorities

Information gaps. The second flaw likely to dilute effective administration results from what I call information gaps. Again, these gaps can create serious problems for university administrators. Most people want to do a good job, but they don't always know all the steps that need to be taken in the process or all the questions that need to be answered to do the job right. This is why diffusing a systematic change process throughout the institution can make a great impact; it gives people the tools they need to make change proceed more successfully. Right now, however, no systematic change process is in regular use at this university, which virtually assures recurrent problems in implementing major changes across the system. Therefore it is recommended that the provosts:

* allocate adequate resources to diffuse, vertically and horizontally, a step-by-step process for accomplishing change effectively throughout the organization.

* To diffuse this process, the provosts should either appoint a change coordinator as a circuit-riding administrator or hire a process consultant

Diffusing a systematic change process throughout campus

administration can significantly reduce the number and extent of the perception gaps and information gaps.

Finally, the study also found that the provosts occasionally experience information gaps, themselves when their monthly meeting is cut short or skipped due to last-minute schedule changes by the board of regents. Because the provost's meetings serve as an essential information clearinghouse and source of peer support and feedback for the participants, it is recommended that:

* the provosts ensure a full monthly meeting, even if it must be resumed or re-scheduled in the day.

Conclusion. In an era of shrinking resources, college administrators need a way to target their limited human and financial resources more effectively. Using a planned change model offers that opportunity in a way that is both practical and within reach. Therefore, I have developed and attached a model for planning and implementing change, including a series of specific questions to address in working through the change process, which I hope you will find useful.

Let me conclude by saying how very much I appreciate your generous cooperation in the course of my research; it was a great pleasure to work with each of you, and if I can be of any help to you in return, please do not hesitate to call on me.

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Sharon S. Wright

Higher Education Planned Change Model

A planning model, which utilizes the findings of this study, is depicted in Figure 1 [See p. 2]. This planned change model uses the three phases identified by Fullan as necessary for effective change to occur--initiation, implementation, and institutionalization--but it reflects a planned approach and higher education needs, extensively revising the initiation phase, accordingly.

In the higher education model, the three steps required for effective initiation of planned change are: 1) organizational relevance, 2) central administration relevance, and 3) leadership. Fullan's components of readiness and resources are reduced to activities accomplished within the broader component of leadership. Fullan's third step in initiation, organizational relevance, has been augmented in the higher education model by a twin component, top-level decisionmaker relevance.

The remaining two phases of change depicted in the Fullan Model (1982, 1990)--implementation and institutionalization--are augmented in the higher education model merely by articulating the need for <u>active attention</u> to each step in these two phases for the change process to more consistently succeed.

Higher Education

Planned Change Model

Initiation: Successful initiation of planned change requires active attention to--

* organizational relevance [the change should be perceived by employees as practical, needed, and clear]
* central administration relevance [the change should be perceived by top-level decision-makers as practical, needed, and clear]
* leadership [development of organization readiness; active allocation of sufficient human and financial resources to accomplish the change]

Implementation: Successful implementation of planned change requires active attention to--

* vision building
* power sharing
* restructuring
* evolutionary planning
* resources/staff development
* monitoring/problem-coping

Institutionalization: Successful institutionalization of planned change requires active attention to--

* leadership
* resources

Figure 1. Higher Education Planned Change Model

QUESTIONS FOR EFFECTIVE HIGHER EDUCATION CHANGE

Questions that should be addressed in this process should include the following:

1. Have the planners ensured adequate input from a cross-section of employees at each level of the organization?

2. Do all internal and external constituencies of the organization recognize the value of the proposed change to the mission of the organization?

3. Do all internal and external constituencies know the results, the outcomes, the proposed change is supposed to achieve?

4. Do decision-makers and end-users see any profit in the change for them, personally?

5. Do administrators and end-users recognize that the change will probably not result in perfection (not every situation can be covered, or at least not for very long)?

6. Do administrators and frontline employees recognize that there will likely be an implementation dip (things will get worse before they get better as people learn new ways of doing things)?

7. Do all constituencies perceive that the central administration has committed adequate human and financial resources to accomplish this change?

Higher education change is accomplished most effectively when these questions have been conscientiously answered.

VITA

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Doctor of Education

Thesis: NAVIGATING CHANGE: A STUDY OF COORDINATED CHANGE IN HIGHER EDUCATION

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