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A case study of organizational change: College restructuring in response to mandated department eliminations

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A CASE STUDY OF ORGANIZATIONAL CHANGE: COLLEGE
RESTRUCTURING IN RESPONSE TO MANDATED
DEPARTMENT ELIMINATIONS

by

Brandy Dyan Smith

A dissertation submitted in partial fulfillment
of the requirements for the

Doctor of Philosophy in Educational Leadership

Department of Educational Leadership
College of Education
Graduate College

University of Nevada, Las Vegas
December 2011

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THE GRADUATE COLLEGE

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December 2011

ABSTRACT

A CASE STUDY OF ORGANIZATIONAL CHANGE: COLLEGE RESTRUCTURING IN RESPONSE TO MANDATED DEPARTMENT ELIMINATIONS

by

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Faced with unprecedented budget cuts, Western University had implemented vertical cuts in the Spring of 2010 resulting in the elimination of two departments within their College of Education. Western University was not alone in its struggle. Institutions nationwide were coping with similar financial constraints, with freezes, consolidations, and eliminations becoming commonplace and threatening institutional quality.

The issue of how colleges and the leaders, groups, and individuals within them cope, process, and reorganize following eliminations has quickly gained importance, although there are few empirical studies to guide such changes. The existing literature on restructuring, particularly adaptability and change processes, has focused on the institutional and individual levels (Rubin, 1983; Eckel, 2003). A need for the development of more detailed theoretical frameworks, gaining perspectives of individuals at multiple levels, and addressing outcomes in addition to processes emerged (Astin, Keup, and Lindholm, 2002; Eckel, 2003; Lattuca, Terenzini, Harper, & Yi, 2009; Rhoades, 2000). The incorporation of the Burke-Litwin Causal Model of Organizational Performance

and Change yielded perspectives of individuals at different levels as well as a detailed frame.

A qualitative, explanatory case study was employed as the method for this investigation. The unit of analysis for this case is Western University's College of Education, with embedded subunits conforming to the levels of the Burke-Litwin model. In-depth, semi-structured interviews were conducted for this study, along with observation and document analysis.

Results reveal several propositions which can be applied both theoretically and practically. Individual perceptions, of both faculty/staff and leadership, differ based on their espoused roles, impacting the concerns and focus of the reorganization, their feelings toward reorganization, and the perceived magnitude of the change. The influence of the external environment, particularly key figureheads, may unfavorably impact the perceptions of the individuals experiencing the change, thereby shifting focus away from the change process. Also, processes and actions within a change process are symbolically important and should be aligned with leaders' actions and potential solutions.

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CHAPTER 1

INTRODUCTION

The president of Western University¹, after facing the most serious round of budgetary cuts in state history, directly addressed the Dean of the most impacted college on campus during a town hall meeting:

It is not time for a cosmetic change. It's time for a serious look at your organizational structure and I encourage you and the leadership of the college and the faculty to work together to give me back a plan on how to preserve those functions as best you can, recognizing they may be limited in scope, but that it is somewhat incumbent on us to try to keep a kernel of those activities alive in hopes of better financial times in the future.

(Western University, June 8, 2010).

This charge, following the elimination of two of the college's six departments, officially began the reorganization of the College of Education at Western University. The reorganization would be requisite not only for addressing the eliminations, but also for ensuring stability during anticipated fiscal cuts in the near future.

Change in any organization, including a college, is a dynamic process that can be viewed through multiple lenses. Examination of the various types, magnitudes, and levels of change contribute to an understanding of the process of organizational change. Additionally, the incorporation of models during the examination process can provide a more thorough comprehension of the actual

¹ Western University is a pseudonym for the institution of study.

components of the change, including that of individuals, groups, and systemic elements.

Many writings, both conceptual and empirical in nature, have been completed on change. Within the higher education literature, six distinct types of change have emerged: evolutionary, teleological, lifecycle, dialectical, cultural, and social cognitive (Kezar, 2001). Because change is complex, it can fall neatly into one of these categories or it may contain elements of multiple types simultaneously. In addition to encompassing characteristics of these different types, change also occurs at different magnitudes. Transformational change includes a “paradigmatic shift” while transactional changes include those “minor improvements and adjustments that do not change the system’s core” (Levy & Merry, 1986, p. 5). The dimension of levels depicts how change impacts, or is impacted by, individuals, groups, and systems.

Understanding change, particularly from a multi-faceted perspective, can yield important benefits to organizational leaders. Leaders may learn how their organization may be affected by change and what approaches may be the most effective for their environment. The application of a comprehensive framework which addresses multiple elements of change can reveal additional insights that may not emerge from the use of a single perspective. In this case, the Burke-Litwin Causal Model of Organizational Performance and Change is applied to the restructuring of Western University’s College of Education.

Background

Western University is an urban research university serving approximately 28,000 students and 3100 faculty. The institution has experienced tremendous growth during its relatively short history and now offers 220 degrees from 13 colleges/divisions and two professional programs (Western University, 2010). Western University is a resource for the surrounding community, providing more than 5500 degrees annually (Western University Institutional Analysis and Planning, 2010). The University's growth is similar to that experienced by the city and surrounding areas in which it resides, serving a population of 1.95 million people (Western State Demographer, 2010). The local economy predominantly serves the tourism and construction industries (Miller, 2010).

Western University found itself in the midst of tremendous financial strain during and after the Great Recession of 2007 - 2009. The effects of the economic woes could be seen by the decrease in housing and discretionary spending, which particularly hit Western University's state industries rather intensely. The earliest news of state revenue reductions were aimed at transportation construction, child welfare, and K-12 education, with rumors of cuts to the higher education system refuted by the governor (Governor, March 28, 2007; Governor, April 6, 2007). By the beginning of 2008, a revenue shortfall of approximately \$517 million prompted the governor to initiate budget adjustments for all state agencies, including higher education. In addition to borrowing from several state funds and halting one-time and improvement expenditures, a 4.5% reduction in overall spending was proposed (Governor,

January 11, 2008). In mid-summer, a special legislative session was convened in order to address “the worst financial crisis in the history of the state” (Governor, June 13, 2008). This session resulted in state budget cuts of \$275 million (Whaley & Vogel, June 27, 2008). A second special session was held in December of 2008 to address an addition shortfall of \$340 million in the state’s general fund (Ball & Vogel, December 9, 2008).

Higher education was becoming a topic of concern within the state, particularly as potential effects of the budget cuts were realized. The system of higher education was acting as a budget balancer because it was a state agency with the ability to tap into sources of revenue outside of the general fund (Governor, February 11, 2009; Hovey, 1999). The legislature began its regular session in 2009 with a proposed budget deficit of \$2.3 billion. Higher education’s portion of the cut, once the budget was balanced, was \$91 million, or a 13.4% reduction from the previous biennium (Board of Regents, February 2, 2010). The legislature concluded its session in June, but the state was cautious of future budget reductions in the upcoming year.

Entering 2010, the system of higher education was facing a reduction of funds in the amount of \$110 million, which is a cumulative reduction of 29.4% (Board of Regents, February 2, 2010). Western University administrators began to anticipate cuts of approximately 12 to 22 percent, which is in addition to the 24% cuts the university had already endured (Western University, February 2010). To date, the University had implemented horizontal reductions across campus, such as furloughs, reduced class sections, non-reappointments, and

decreased services (Board of Regents, July 7, 2008). Additional cuts would be difficult and require vertical cuts - the elimination of entire departments.

The third special legislative session convened in late February 2010 to address \$887 million in shortfalls for the state (Vogel, March 1, 2010). Cuts to higher education amounted to 6.9% overall, or \$11 million for 2009-2010 and \$34 million for 2010-2011. Western University would be responsible for eliminating \$5.7 million from administrative support and \$4 million from academic programs (Board of Regents, March 4-5, 2010; Western University Presidential Review Committee, 2010). The University began the process of program review early in the spring semester, in an effort to meet the deadline requirements of the Board of Regents, by identifying the 20 most expensive units within the University (Lake, March 3, 2010). Further examination by the Provost's office generated recommendations for elimination which were "guided by factors including, but not limited to, cost, graduation rates, number of majors, student credit hours and FTE produced, scholarship/research/creative activities, external funding, and importance to the University's mission" (Provost Email, March 22, 2010). The "hit list" included eight units and eight sub-units altogether, two departments (Education Administration and Education Research²) of which fell within the span of control of the College of Education (Lake, March, 24, 2010; Provost Email, March 22, 2010).

These recommendations were not final until approved by the Presidential Review Council (PRC), the Faculty Senate, and the Board of Regents. The PRC was comprised of a group of university administrators and faculty, whose

² All department names have been replaced by pseudonyms.

purpose was to review the Provost's recommendations in adherence to legislatively mandated and American Association of University Professors (AAUP) guidelines for program elimination. In early May, the PRC made revisions to the Provost's list of recommendations, submitted a similar recommendation which included discontinuance of six programs/departments, including two within the College of Education (Western University Presidential Review Committee, 2010). The Department of Education Research had been removed from the "hit list" and replaced by the Physical Education Department. The Western University Faculty Senate accepted the new recommendation of the PRC. Western University's President then submitted the PRC's recommendations to the Board of Regents in early June, which approve the recommendations. At the Board of Regents meeting, following the public testimony of the Dean of the College of Education and several key stakeholders, several regents expressed interest in maintaining programs within the eliminated departments, a request which was acknowledged by Western University's President (Board of Regents, June 3-4, 2010).

In the first town hall meeting following the eliminations, the president of Western University expressed the difficulty of the elimination process and recognized the impacts on the campus by remarking, "it was incredibly sad that, for the first time in our history, we made moves backwards...there was nothing good about what we've had to do" (Western University, June 8, 2010). In an effort to move forward, as previously quoted, the President of Western University charged the College of Education to transform itself into a viable unit, one which

could withstand potential cuts in the future while maintaining integrity and quality. It is the College of Education's attempt at a transformation process which is being examined within this dissertation.

Problem Statement

The Chronicle of Higher Education recently listed cuts at 80 different institutions of higher education (Chronicle of Higher Education, 2010). It is clear that Western University is not alone in its financial struggle. Nationwide, the landscape of higher education is changing in drastic ways. Freezes, consolidations, and eliminations are becoming commonplace and are now threatening institutional quality. The issue of how colleges (and the units and individuals within them) cope, process, and reorganize following eliminations has quickly gained importance, although there are few empirical studies to guide such changes.

Overall, change within higher education has been studied from a multitude of angles, including causes, structures, characteristics, cognitions, processes, and outcomes. Restructuring is often discussed within the scope of retrenchment, within which the focus has been at the institutional level, rather than college, departmental, or individual levels. Gumport (1993) explored alignments of individuals within an institutional setting while Eckel (2003), also at the institutional level, focused on processes and outcomes. Rubin (1979) investigates adaptability of units to change at the institutional level. The lack of empirical studies at the college level indicates that a gap is present within the literature.

Existing research within higher education has also described a need for increased depth derived from empirical studies of change. Eckel (2003) echoed this sentiment when he commented that “it would be interesting to explore the impact of program discontinuance more deeply” (p. 166). The studies mentioned previously have been primarily conducted on the surface of change even though change is not a single dimension. New information is needed that addresses outcomes in addition to processes (Astin, Keup, & Lindholm, 2002). The incorporation of perspectives of people at multiple levels, particularly as leaders emerge, could enhance the depth of the literature as well (Rhoades, 2000).

Purpose Statement

The purpose of this research study is to examine the restructuring process of the College of Education at Western University following mandated department eliminations. One shortcoming mentioned regarding the current higher education change research is that “a full appreciation of the dynamics of organizational change may require finer-grained theories and research than those currently available or in widespread use” (Lattuca, Terenzini, Harper, & Yin, 2009, p. 37). Examining Western University’s College of Education through the lens of the Burke-Litwin Model can yield a deeper perspective of organizational change than is found within the current literature. This model will be particularly useful for examining the role and impacts of different individuals and groups within the college, the role of transformational and transactional components, and the change in performance of the organization. Additionally,

this study is conducted at a college level, which is not present within current literature.

Theoretical Framework

Kezar and Eckel (2002a) assert that “using theoretical or conceptual frameworks that show dynamic interactions can prove useful. Yet, the literature on change in higher education is typically atheoretical” (p. 296). This dissertation will contribute to the depth of the higher education literature, particularly the scope of reorganization, with its incorporation of a dynamic theoretical framework: the Burke-Litwin Causal Model of Organizational Performance and Change (Burke & Litwin, 1992).

The Burke-Litwin Model takes an open system approach to organizational change, addressing multiple components of an organization in the context of the changing environment. The framework is comprised of three dimensions which contribute to the dynamic nature of the model: levels, magnitudes, and weights. The model can be divided into systemic, group, and individual levels, allowing for consideration of each of these levels within one bounded organizational context (Burke & Litwin, 1992). Components of the systemic level include the external environment, mission and strategy, leadership, and organizational culture. The group level components include structure, management practices, systems (policies and procedures), and work unit climate. Individual level components include task and individual skills, motivation, individual needs and values, and individual and organizational performance. Each of these components is viewed

through their relationship with each of the other components (Burke & Litwin, 1992).

The magnitude of change within the model is distinguished by transformational and transactional characteristics. Some components, particularly those dealing with mission and vision, are inherently more transformational whereas other components, those representing tasks, are transactional in nature. Some components also carry more weight, or impact, upon other components, thereby influencing the relationships between components.

This model is discussed in more detail within the review of the literature. As the model is actually applied within this study, some components or elements of the Burke-Litwin model may emerge as more critical to the researcher's understanding of the processes of change. Because of this need for flexibility, there is a possibility that not all of the components will be addressed in an equal manner. With this in mind, the purposeful focus will be toward addressing the research questions

Research Questions

The incorporation of theory into the development of research questions is an important step of the research design process, oftentimes improving the overall structure of the study and future analysis (Yin, 2009). Miles and Huberman (1994) suggest that the research questions should flow directly from the framework. Following this guidance, the research questions for this study were predominantly derived from the dynamic elements of the Burke-Litwin

Model. The definition of terms section near the end of the chapter provides meanings to several of the terms used in the research questions. The research questions are as follows:

1. How did a college transform its structure as a result of mandated department eliminations?
 - a. How did systemic level components impact (or become impacted by) the reorganization process?
 - b. How did group level components impact (or become impacted by) the reorganization process?
 - c. How did individual level components impact (or become impacted by) the reorganization process?
2. Did any of the components or levels emerge as more influential during the planning of the reorganization?
3. How was the magnitude of the reorganization perceived?
 - a. Was the change perceived as transformational?
 - b. Was the change perceived as transactional?
4. To what extent is the Burke-Litwin model applicable to higher education?

Overview of Methodology

A qualitative, explanatory case study methodology was used to “gain an in-depth understanding of the situation and meaning for those involved” (Merriam, 2001, p. 19). A case study is appropriate because an issue, change, was examined as a bounded group, the College of Education at Western University, in relation to the change process (Creswell, 2007; Merriam &

Associates, 2002; Yin, 2009). Several technical aspects also confirm the applicability of a case study: how and why questions were being addressed, the focus was on contemporary events, and there was no control of events (Yin, 2009, p. 8).

The unit of analysis, or bounded group, for this single case study was the change process experienced during the reorganization of the College of Education at Western University, beginning with the proposal for elimination of departments and concluding with the completion of the reorganization decision. Individuals (administrators, faculty, and staff) and groups (departments, programs) served as embedded units within the case.

Prior to any data collection, approval for this dissertation was received from the Institutional Review Board (IRB) of the University of Nevada, Las Vegas. This process ensured the compliance of the researcher with all requirements for the protection of human subjects. The researcher also ensured the confidentiality of each of the respondents within this study.

A purposive sampling was conducted of stakeholders within Western University's College of Education in order to ensure an adequate representation of the individuals and groups within the embedded units of the case. Data collection was through semi-structured interviews. Triangulation was provided through document analysis and observations. Data analysis was conducted with the assistance of Atlas.ti qualitative software.

Limitations

Qualitative research is generally limited in two areas: the research design and the framework (Marshall & Rossman, 2006). This case study is no different, with limitations arising from the single case design and the causality factor of the framework. Additionally, this case could have potentially been influenced by the role of the researcher, who is a student in an eliminated department, as well as the changing contextual environment in which this study was conducted.

Merriam and Associates (2002) state that “because case study focuses on a single unit, a single instance, the issue of generalizability looms larger here than with other types of qualitative research” (p. 179). As this study concentrates on only one system, at one point in time, the results cannot be construed beyond the defined boundaries. Merriam and Associates (2002) and Stake (1995) place this lack of generalizability in perspective, acknowledging that the research itself (richness of description, particulars derived from the case) is still beneficial, particularly from the perspective of the reader. “It is the reader...who determines what can apply to his or her context” (Merriam & Associates, 2002, p. 179). This study also did not benefit from a cross-case analysis, where additional insights may emerge as cases are viewed in an expanded context.

The qualitative approach of a study, no matter how appropriate the methodology, may also pose limits to the interpretation of the research. In this case, the selection of case study as the research design limits the scope of the research to a more structural, organizational perspective than that of another research approach, such as phenomenology, which captures the lived

experience of individuals (Creswell, 2007). In this study, a case study design was chosen because of its ability to make “a detailed description of the case and its setting” and “generalizations that people can learn from the case” (Creswell, 2007, p. 163). These outcomes tie to the research questions and theoretical framework guiding this study. An inherent trade off, therefore, is that the description is purposefully broad and generalized more so than one which depicts personal, individualized voices.

Yin (2009) contends that causality cannot be determined through case studies. Merriam (2001) presents a contradictory view that case studies are appropriate for examining process, particularly “causal explanation” (p. 33). Regardless of which position is taken, the contradictory nature of causality places a limitation on the applicability of the causality feature of the Burke-Litwin Causal Model of Organizational Change. This study attempts to address this limitation by examining impacts or influences, rather than causes.

Qualitative research, which is derived from data collection and analysis performed by the researcher, may be subject to bias from her own perceptions and sensemaking (Merriam, 2001). Burke (2011) agrees, observing that “the degree to which the researcher is directly involved makes a difference” (p. 139). In this dissertation, I am a student in an eliminated department. I did not have a role in the reorganization process, other than to observe. Nevertheless, I was indirectly affected by the process. Concerns as to the future of faculty and students arose. Additionally, time constraints increased pressures related to this dissertation. As in every qualitative study, the researcher’s perceptions are

informed by their own personal lens. Recognizing these circumstances and the importance of remaining unbiased during this study, I made every attempt to be an objective researcher. The incorporation of a research journal to monitor the emergence of any bias was an important instrument within this study and hopefully reduced limitations that may have arose from my participation in this study.

Another limitation of this dissertation was the continuously changing environment within which the study was conducted. After almost half of the interviews were completed, the Western University administration announced another round of budget cuts, including departmental/program eliminations. This sent a second round of anxiety through the College of Education, which may have influenced the responses of the participants. These interviews were conducted retrospectively, several months after the reorganization plan was announced. It is possible, even when I specified the dates under examination and guided the discussions toward the earlier reorganization, that a recency bias may be present. This occurs when individuals looking back on an experience focus on the most recent series of events. Although I did not discern any differences between the earlier and later respondents, this may have potentially influenced answers dealing with protecting the College from future budget cuts and levels of anxiety.

The context of the environment within Western University's College of Education also limits the generalizability of the results, even within the College. This is evident by the sampling of the study itself, with 50% of the respondents

either declining to participate or not responding either affirmatively or negatively. These individuals, who self-selected out of the sample, may have different and noteworthy perspectives that were not captured by this research. Other individuals who were not randomly selected to participate may also have views entirely separate from those interviewed. Because only a select number of individuals were both selected and agreed to participate within this research, the results of this study can only be generalized to the participants of the study.

Definition of Terms

The following list defines some of the commonly used terms within this research study.

- *Atlas.ti* – A software program used to aid the researcher in qualitative analysis of data, including coding and displaying data.
- *Change* – Change occurs when something becomes different. Change can impact “attitudes, beliefs and behaviors of individuals, interaction patterns of roles or groups, organizations” (Goodman & Associates, 1982, p. 2-3).
- *Change Agent* – Individuals in various positions within organizations that leverage their power and knowledge in order to bring about change in systems and people (Kanter, 1983).
- *Climate* – “The collective current impressions, expectations, and feelings that members of local work units have that, in turn, affect their relations with their boss, with one another, and with other units (Burke & Litwin, 1992, p. 532).

- *Cognition* – How individuals, groups, and organizations comprehend, rationalize, and understand themselves and their circumstances.
- *Culture* – “The collection of overt and covert rules, values, and principles that are enduring and guide organizational behavior” (Burke & Litwin, 1992, p. 532).
- *Cultural* – A typology of change in which “change occurs naturally as a response to alterations in the human environment” (Kezar, 2001, p. v).
- *Dialectical* – A typology of change often referred to as political change. Dialectical change assumes that “the organizational entity exists in a pluralistic world of colliding events, forces, or contradictory values that compete with each other for domination and control” (Van de Ven & Poole, 1995, p. 517). It is the shift of power resulting from these conflicts that creates change.
- *Diffusion* – “The process by which an innovation is communicated through certain channels over time among the members of a social system” (Rogers, 2003, p. 35).
- *External Environment* - The external environment “is any outside condition or situation that influences the performance of the organization (e.g., marketplaces, world financial conditions, political/governmental circumstances)” (Burke & Litwin, 1992, p. 531).
- *Evolutionary* – A typology of change that is slow and gradual, influenced greatly by the environment, and results in new structures and processes. This type of change is described as having “cumulative changes in

structural forms or populations” and includes a “continuous cycle of variation, selection, and retention” (Van de Ven & Poole, 1995, pp. 517-518).

- *Individual and Organizational Performance* – “The outcome or result as well as the indicator of effort and achievement (e.g., productivity, customer satisfaction, profit, and quality)” (Burke & Litwin, 1992, p. 533).
- *Individual Needs and Values* – “The specific psychological factors that provide desire and worth for individual actions or thoughts” (Burke & Litwin, 1992, p. 533).
- *Innovation* – “An idea, practice, or object that is perceived as new by an individual or other unit of adoption” (Rogers, 2003, p. 12).
- *Leadership* – “Executives providing overall organizational direction and serving as behavioral role models for all employees” (Burke & Litwin, 1992, p. 532).
- *Levels of Change* – Change occurs at, and affects, different entities within an organization in different ways. For this study, change is examined at three different levels:
 - *Individuals* – The people within the organization, including administrators, faculty, and staff.
 - *Group* – Several people working together for a common goal (Komives, Lucas, & McMahon, 2006). In this study, an organization is considered a large group encompassing multiple smaller groups.

- *System* – A system is composed of individuals and groups. The environment, “interrelated subsystems”, and alignments of these subsystems are important in understanding the function of the system in its entirety (Morgan, 2006, pp. 38-39). The system level is differentiated from systems as defined below.
- *Lifecycle* – A typology of change that describes the “particular sequences and stages through which organizations move, focusing on “organizational growth, maturity, and decline” (Kezar, 2001, p. 37).
- *Management Practices* – “What managers do in the normal course of events to use the human and material resources at their disposal to carry out the organization’s strategy” (Burke & Litwin, 1992, p. 532).
- *Mission and Strategy* – Mission and strategy are “what the organization’s (a) top management believes is and has declared is the organization’s mission and strategy and (b) what employees believe is the central purpose of an organization. Strategy is how the organization intends to achieve that purpose over an extended time scale” (Burke & Litwin, 1992, p. 531).
- *Motivation* – “Aroused behavior tendencies to move toward goals, take needed action, and persist until satisfaction is attained” (Burke & Litwin, 1992, p. 533).
- *Organizational Development (OD)* - Transactional change within an organization where the aforementioned diagnosis of problems and designation of goals is implemented, but expanded upon by the use of

group processes for addressing problems and goals, with a particular emphasis on organizational culture (Kezar, 2001).

- *Sensemaking* – The process of making sense of something.
Sensemaking includes seven distinct characteristics: grounded in identity construction, retrospective, enactive of sensible environments, social, ongoing, focused on and by extracted clues, and driven by plausibility rather than accuracy (Weick, 1995, p. 17).
- *Social Cognitive* – A typology of change where change is “tied to learning and mental processes such as sensemaking and mental models” (Kezar, 2001, p. v).
- *Structure* – “The arrangement of functions and people into specific areas and levels of responsibility, decision-making authority, communication, and relationships to assure effective implementation of the organization’s mission and strategy” (Burke & Litwin, 1992, p. 532).
- *Systems* – “Standardized policies and mechanisms that facilitate work, primarily manifested in the organization’s reward systems, management information systems (MIS), and in such control systems as performance appraisal, goal and budget development, and human resource allocation” (Burke & Litwin, 1992, p 532).
- *Task Requirements and Individual Skills/Abilities* – “The required behavior for task effectiveness, including specific skills and knowledge required of people to accomplish the work for which they have been assigned and for which they feel directly responsible” (Burke & Litwin, 1992, pp. 532-533).

- *Teleological* – A typology of change often referred to as planned change, in which “the process for change is rational and linear, as in evolutionary models, but individual managers are much more instrumental to the process” (Kezar, 2001, p. v).
- *Transactional* – Often called first-order, transactional change is “minor improvements and adjustments that do not change the system’s core, and occurs as the system naturally grows and develops.” (Levy & Merry, 1986, p. 5).
- *Transformational* – Often called second-order, transformational change is a “multidimensional, multi-level, qualitative, discontinuous, radical organizational change involving a paradigmatic shift” (Levy & Merry, 1986, p. 5).

Significance of Study

This study is noteworthy in both the context of the current economic environment and within organizational change. With increasing departmental/program closures, research on how higher education institutions can best manage reductions, particularly restructuring, is important. With cuts expected to continue, studying how colleges cope and react to significant reductions in resources can aid institutional leaders facing such situations. Massey (1996) suggests that by addressing responses to budgetary constraint effectively, through both financial decisions and management considerations, institutions will be more prepared to “adapt to external events without wrenching dislocations” in the future (p. 451). This research can inform leaders and

participants within a restructuring environment of relationships and impacts, approaching the change with increased understanding.

From an organizational change perspective, the application of a comprehensive model is also a significant contribution to the literature. The Burke-Litwin Model has previously been applied to higher education only using selected components. By utilizing the model's components, magnitudes, impacts, and levels, a dynamic perspective can add to the understanding of change.

Organization of Study

This chapter serves as a brief overview of the study proposed. Chapter two is a review of the literature encompassing different types, levels, and magnitudes of change and an overview of change within higher education. The Burke-Litwin Model is also discussed in more detail in this chapter. Chapter three describes the methodology of the study in detail, including research design and analysis. Chapter four discusses the data analysis and findings. Chapter five, incorporating the findings from the previous chapter, presents the case of Western University. Chapter six concludes this dissertation with a discussion of the findings, implications for practice, and recommendations for future research.

CHAPTER 2

REVIEW OF THE LITERATURE

Existing literature on change within a higher education environment includes foundational writings, works from organizational theorists, the writing of leadership scholars, as well as compilations of change theory as a whole. Literature from other disciplines, such as K-12 education and business, also make a substantial contribution to the study of change theory and can be applied to the higher education environment.

This literature review will first examine foundational aspects of change, including types, levels, and magnitudes. Change within higher education, particularly the causes, structures, characteristics, cognitions, processes, and outcomes of the change will follow. The chapter will conclude with a description of this study's theoretical framework, the Burke-Litwin Causal Model of Organizational Performance and Change.

Change is “multi-layered and complex” and encompasses many varied characteristics and processes simultaneously (Van de Ven & Poole, 1995). Change can be transformational at the system level while maintaining a transactional status at an individual level, or vice versa. Change can be concurrently teleological and evolutionary, all while occurring at a particular level and with a distinct intensity. Because of this dynamic nature of change, the incorporation of types, levels, and magnitudes contribute greatly to the understanding of change.

Van de Ven and Poole (1995), recognizing the complexity of change, suggest the application of a multi-frame approach in order to “remedy the

incompleteness of any single model of change” (p. 527). The types, levels, and magnitudes described within this review will serve as lenses through which change can be understood with increased depth. By describing these aspects of change thoroughly, a more informed approach to the studies of change, particularly within higher education, will guide this review.

Types of Change

Because research on change encompasses perspectives from multiple disciplines, the literature is vast. Berger (1997) writes that “classification is the simplest methodological technique for reducing large amounts of information into manageable, yet meaningful, units” (p. 20). Researchers have applied this approach to the study of change, and the categorizations have evolved from simple dichotomies to more descriptive and complex typologies. The literature includes not only models of change, but also levels, perceptions, cognitions, and strategies. This initial portion of the review of the literature will briefly describe the various classification methods used by researchers and then discuss the empirical and conceptual research through the classifications readily accepted in higher education research: evolutionary, teleological, lifecycle, political, social cognitive, and cultural (Kezar, 2001).

Some of the most basic dichotomies describing change assert that change has either one characteristic or another; change is either spontaneous or evolutionary, fortuitous or accidental, continuous or discontinuous (Burke, 2008). When examining change from a strategic viewpoint, Rajagopalan and Spreitzer (1996) classify change as either a content or a process. Nordvall (1982) furthers

the scholarship by dividing the types of change into three categories: teleological, dialectical, and evolutionary. These categories are expanded upon by Van de Ven and Poole (1995) with the addition of the lifecycle category. One classification scheme, composed by Nadler (as cited in Davis, 2003), addresses the either/or dichotomy by using a two-by-two matrix based upon the “scope of change” and the “temporal position of change.” These two dimensions create four classifications titled adaptation, re-creation, reorientation, and tuning. From within the leadership domain, Bolman and Deal (2008) introduce four lenses in which change can be examined: human resource, structural, political, and symbolic. The compilation by Kezar (2001) nicely unites the work of previous scholars, categorizing change into six distinct typologies: evolutionary, teleological, lifecycle, dialectical, social cognition, and cultural. It is this categorization that higher education scholars have referenced in current change literature (Cornell, 2009; Eckel & Kezar, 2003; Locher, 2004).

Evolutionary

Evolutionary change is slow and gradual, influenced greatly by the environment, and results in new structures and processes. This type of change is described as having “cumulative changes in structural forms or populations” and includes a “continuous cycle of variation, selection, and retention” (Van de Ven & Poole, 1995, pp. 517-518). Evolution follows Morgan’s (2006) organism metaphor, assuming that “change is dependent on circumstances, situational variables, and the environment faced by each organization” (Kezar, 2001, p. 28). In evolutionary change, the action of individuals ranges from proactive to

inactive. Groups are considered to exist within a system, interacting and influencing each other (Kezar, 2001).

Darwin's theory of natural selection, or population ecology as applied to the organization, is an early biological example of the evolutionary category. Morgan (2006) describes this as a "cyclical model that allows for the *variation, selection, retention, and modification* of species characteristics" (p. 59) where "ultimately the change is reflected in population structure" (p. 60). Changes within the system are a result of its environment. Organizations adapt and change to meet the environment's requirements with variations in structure (Gersick, 1991; Levy & Merry, 1986; Pfeffer & Salancik, 1978). Planning and strategy are limited for managers or individuals because they are basically reacting to environmental conditions although reflections upon experiences oftentimes leave similar perceptions (Levy & Merry, 1986).

With evolutionary change being slow and natural, it is interesting to consider its causes. Several different triggers have been identified by scholars. Organizations may experience performance pressures, where modification in systems and structures may be required in order to maintain market position (Tushman & Romanelli, 1985). Small adaptations, those which merely alter small structures or processes, over time may result in a larger cumulative change (Van de Ven & Poole, 1995). The passage of time, such as reaching a milestone or a deadline, may prompt a change. Not having accomplished a task by a certain point in time may create a deficiency which needs to be remedied, triggering a change. Finally, the appearance of a crisis could cause a sudden

change, or punctuation, in a stable environment, disrupting the equilibrium state (Gersick, 1991).

These periods of stability, suddenly punctuated by an abrupt change in the environment, have been identified as punctuated equilibrium (Gersick, 1991).

This theory expands upon Darwin's theory with the distinction of deep structure, periods of equilibrium, and periods of revolution. Since evolutionary change encompasses cumulative changes over time, it is appropriate to discuss revolutionary aspects of change within the evolutionary frame. Van de Ven and Poole (1995) address this occurrence, stating "whether change proceeds at gradual versus saltation rates is an empirical matter. Thus, the rate of change does not fundamentally alter the theory of evolution" (p. 519). Even without altering the theory, the distinction between evolutionary and revolutionary change is an important consideration within the evolutionary model. Periods of revolution are those abrupt periods that are triggered by external events, prompting an innovation or change, whereas evolutionary periods are the periods of stability. It is a combination of these two periods which comprises punctuated equilibrium. Tushman and Romanelli (1985) contend that revolutionary periods briefly extend beyond the evolutionary frame, with quick episodes within the teleological frame.

Researchers have examined the function of individual and emotional aspects during these revolutionary periods. Gersick (1991) has deduced that panic emerges among individuals and is then overcome due to encouraging interactions with others. Levinson (as cited in Gersick, 1991) described individuals as suspended and directionless in periods of chaos, dissolution, and

loss. Tushman and Romanelli (1985) found that revolutionary periods are risky and painful for participants, but these feelings are often accompanied by feelings of exhilaration. Eisenhard (as cited in Gersick, 1991) determined that the involvement of a trusted advisor eased the transition period.

Resource dependence theory has also emerged within the evolutionary change typology. In organizations, “leaders make choices to adapt to their environment” (Kezar, 2001, p. 30). Resource dependence theory asserts that organizations respond to environmental changes within their resource structure, such as financial pressures or other limited resources. The organization must maneuver within, or adapt to, these restrictions in order to survive (Pfeffer & Salancik, 1978). This is noteworthy within the evolutionary models because leaders are able to exercise their ability to plan or act strategically. Organizations also are depicted as dependent upon the environment, but also on other organizations (Kezar, 2001).

Teleological

The teleological models of change assume that change is a rational process which is championed by individuals (Kezar, 2001). Kezar (2001) describes this change as a process which includes “goal formation, implementation, evaluation, and modification based on experience” and supplemented by a leader “who aligns goals, sets expectations, models, communicates, engages, and rewards” (p. 33). Van de Ven and Poole (1995) describe teleological change where the “purpose or goal is the final cause for guiding movement of an entity” (pp. 515-516). Teleological change is purposeful

and retrospective, moving towards specific, clarified goals, and evaluated based upon predefined standards (Van de Ven & Poole, 1995). Lippitt, Watson, and Westley (as cited by Van de Ven & Poole, 1995) describe this category as encompassing planned or strategic change, which is often initiated within the internal environment, a result of a decision inside the system.

Teleological change forms the basis of theories of change in organizational study (Van de Ven & Poole, 1995). Scientific management, introduced by Frederick Taylor at the turn of the 19th century during the height of the Industrial Revolution, was one of the earliest examples of teleological change. This perspective places an emphasis on scientifically studying the machine-like structures of industry and production. Taylor adhered to four principles: “data gathering, worker selection and development, integration of the science and the trained worker, and redivision of the work of the business” (Burke, 2008, p. 29). It is derivations of Taylor’s research that form present day organizational development, total quality management, and reengineering.

Organizational development (OD) is transactional change within an organization where the aforementioned diagnosis of problems and designation of goals is implemented, but expanded upon by the use of group processes for addressing problems and goals, with a particular emphasis on organizational culture (Kezar, 2001). OD is defined by Beckhard (as cited in Ott, Parkes, and Simpson, 2003, p. 438) as “An effort (1) planned (2) organization-wide, and (3) managed from the top, to (4) increase organization effectiveness and health

through (5) planned intervention in the organization's 'process,' using behavioral-science knowledge."

OD is distinguished from other teleological change models because it is interested in both the process of experiencing the change and its final outcomes for the organization, which can be reexamined and perpetuate over time. Similar to other teleological models, the presence of a person leading change is common in OD. Early research on OD includes the Hawthorne studies and T-group sensitivity training (Ott et al., 2003). Elements of OD are incorporated into reengineering and total quality management systems.

Kanter's (1983) book *The Change Masters* describes empirical research of change and its components within the corporate environment. Her study commenced with a content analysis of over one hundred companies and was then further refined with an in-depth analysis of ten companies, research of which included on-site observations, document analysis, interviews, case studies, and statistical derivations (Kanter, 1983). The results are described in terms of an "integrative" approach, which is "the willingness to move beyond received wisdom, to combine ideas from unconnected sources, to embrace change as an opportunity to test limits" (Kanter, 1983, p. 27). This is contrasted with "segmentalism," an approach against change (Kanter, 1983, p. 28). She further derived three requisites for moving a company through an innovation period: employing power skills, using people to address problems, and understanding change within the organization setting (Kanter, 1983, pp. 35-36).

Planned change, often referred to as strategic change, is prevalent within the teleological literature. In this frame, changes are initiated within the system, or organization itself, often the result of coordination between those with power or knowledge, such as consultants or managers (Levy & Merry, 1986). Although planning and strategy imply a linear process, scholars do caution that oftentimes change is anything but linear. The planning process is beneficial, but change usually does not happen in the way it is initially planned (Goodstein & Burke, 1995).

A theme has emerged within the scholarship of considering knowledge a basis for planning and strategy. Chin and Benne (1967) describe change as conscious, deliberate, and intended. Knowledge is considered a tool to use strategically. Havelock (1971) commenced a study of existing literature. Themes were found within the literature and then “synthesized” through linkages within and among systems. The three main themes were: (1) research, development, and diffusion; (2) social interaction; and (3) problem solving. Together, the research resulted in a model of planning for innovation, with knowledge and information as the underlying foundation.

An understanding, or comprehension, of the change process emerged as a second theme within the literature. Rajagopalan and Spreitzer (1996) reviewed the strategic change literature and categorized it into three categories: the Rational Lens, the Learning Lens, and the Cognitive Lens. Because teleological change emphasizes the results as well as the process, an understanding of the goals is important for completing, evaluating, and revising implementations (Van

de Ven & Poole, 1995). Weick (1976) describes goals as being socially-constructed among members, particularly within loosely-coupled units. He also describes “sensemaking” as a series of steps for learning and adjusting to an organization (Eckel & Kezar, 2003). Senge’s (1990) idea of the learning organization adds to the knowledge and understanding themes of the teleological literature. This theory, where “an organization is continually expanding its capacity to create its future” (Ott et al., 2003, p. 491), encompasses “building shared vision, mental models, team learning, and personal mastery” (Ott et al., 2003, p. 489), which clearly fall within the assumptions of teleological change.

Within higher education research, Lindquist (1978) addressed planned change strategies through case study methodology. This examination used surveys and interviews to collect data on two universities and five liberal arts colleges, with a particular interest in “educational health” (p. 32). Lindquist (1978) found that the role of a change agent was indeed crucial, but the leadership should be accompanied by opinions of individuals experiencing the change, and may vary depending upon the initiation of the change. A framework for planned change was presented which emphasizes “adaptive development,” which includes information linkage, openness, influential leadership, ownership, and rewards (Lindquist, 1978, p. 240). The author cautions that this framework is an “ideal” with helpful applications, although not necessarily a viable outcome (Lindquist, 1978, pp. 242-243).

Lifecycle

The lifecycle models of change describe particular sequences and stages through which organizations move, focusing on “organizational growth, maturity, and decline” (Kezar, 2001, p. 37). Change occurs predominantly within this model “as individuals within the organization adapt,” emphasizing individual growth and development as an important step within the formation of the organizational identity (Kezar, 2001, p. 37). The stages are also cumulative and sequential, one building on the next (Kezar, 2001; Van de Ven & Poole, 1995). These models are often termed developmental models or stages of change.

Kezar (2001) uses the metaphor of a teacher to describe the actions of leaders within this model, where members of the organization (students) are also important within the process of change. This metaphor is similar to the interpreter image described by Palmer, Dunford, and Akin (2006), where “the change manager is in the position of creating meaning for other organizational managers, helping them to make sense of various organizational events and actions” (p. 31). The manager as interpreter perpetuates the idea of “organizations as being in an ongoing state of accomplishment and re-accomplishment with organizational routines constantly undergoing adjustments to better fit changing circumstances” (Palmer et al., 2006, p. 32). The manager as interpreter also addresses the model’s assumption of stages of development.

Bolman and Deal’s (2008) human resource frame of leadership is an example of the lifecycle model of change. The human resource frame emphasizes that “people’s skills, attitudes, energy, and commitment are vital

resources that can make or break an organization” (Bolman & Deal, 2008, p. 121-122). By addressing the needs of the people within the organization, the lifecycle approach begins to address issues of self and organizational identity, prompting organizational growth.

The models describing stages of change can be divided into those describing how change is implemented and how change is understood (Armenakis & Bedeian, 1999). Falling within the implementation segment, Lewin (1947) proposed one of the first lifecycle models with three-steps: unfreeze, movement, refreeze. These stages, derived from an empirical investigation of food habits during wartime, form the basis for many of the subsequent lifecycle models (Armenakis & Bedeian, 1999; Burke, 2008).

Schein (1964, 1985) expanded Lewin’s model in a conceptual work by adding subsets of the three steps which address the understanding element of change. Although this framework is not empirically driven, the author attempts to address resistance and motivation issues that may arise during the change process. The unfreezing stage is more clearly defined through the following mechanisms: (1) lack of confirmation or disconfirmation, (2) induction of guilt anxiety, (3) and creation of psychological safety by reduction of threat or removal of barriers. The addition to Lewin’s movement stage describes change using cognitive redefinition through (1) identification: information from a single source and (2) scanning: information from multiple sources. The means of refreezing include (1) integrating new responses into personality and (2) integrating new

responses into significant on-going relationships through reconfirmation (Schein, 1964, p. 79).

Tichy and Ulrich (1984) proposed two additional models to address stages in understanding. The stages included in the first model address understanding and acceptance of change while the second model addresses steps in moving to new beginnings. Beckhard and Harris (as cited in Burke, 2008) describe change as moving from a present state to a transition state and terminating in a future state, but organizational dynamics create a push/pull effect between transition and the future. Many organizational theorists agree upon five-stage models, consisting of birth, growth, maturity, revival, and decline (Levy & Merry, 1986).

One lifecycle model that has shown widespread appeal is that of Kotter (1995). Kotter identified errors that he observed during his business experiences and developed complementary steps, which he discussed in a conceptual article. These steps are useful for change agents in introducing, implementing, and cementing approaches to change, are as follows:

1. Establishing a sense of urgency
2. Forming a powerful guiding coalition
3. Creating a vision
4. Communicating the vision
5. Empowering others to act on the vision
6. Planning for and creating short-term wins
7. Consolidating improvements and producing still more change
8. Institutionalizing new approaches (Kotter, 1995, p. 61).

Included with the introduction of these steps, Kotter (1995) also described the corresponding errors that leaders make and which should be addressed during the change process.

Within education literature, Chin and Benne (1967) describe a three-step change process proposed by Clark and Guba, which includes development, diffusion, and adoption. These steps describe “roles, communication mechanisms, and processes necessary for innovation and diffusion of improved educational practice” (p. 97).

Diffusion is an important concept, in its own right, within the study of change. Diffusion is “the process by which an innovation is communicated through certain channels over time among the members of a social system” (Rogers, 2003, p. 35). Innovations are considered new ideas, objects, or technologies that may be adopted by individuals in different degrees. The manner and amount of time in which the innovation is communicated through the system is of interest, informing researchers of decision making processes, system and cultural norms, and information channels. The steps and processes through which the innovation passes can yield patterns of acceptance, adoption, and diffusion, resulting in a product/innovation lifecycle model. A change agent may also be vital to the diffusion process, combining both the lifecycle and teleological frames referenced in this review (Rogers, 2003). Diffusion became an acceptable research frame following Ryan and Gross’s (1943) study of how hybrid corn became known and accepted in two farming communities in Iowa (as cited in Rogers, 2003). The data analyzed consisted of interviews and

questionnaires of 259 farmers, 257 of which had adopted the use of hybrid corn. Ryan and Gross's study used the diffusion framework (communication, channels, time, and social system) to show how the behavior, or adoption, of others influence people within a social circle. Diffusion research has spread to include many other subjects, including communication and education (Rogers, 2003).

The literature on the lifecycle model is predominantly conceptual in nature. One unpublished study by Miller and Friesen (as cited in Levy & Merry, 1986), examined lifecycles models through empirical studies, using five-stage models. The results indicated that although there are some "complementarities among variables within each of the five stages and the predicted interstage differences ... they did not, however, show that organizations proceed through the stages in the proposed sequence" (p. 230).

An empirical study within higher education, conducted by Eckel and Kezar (2003), examined 23 colleges and universities experiencing transformational change over a period of almost six years, using both qualitative and quantitative methodologies. They contend that "five-step, or even seven- or ten-step, approaches to transformation simply do not exist" (p. 109). Their research yielded five core strategies with 15 additional strategies that were "intertwined with one another, overlapping, occurring concurrently, and supporting one another" (Eckel & Kezar, 2003, p. 110).

Dialectical

The dialectical model of change theory is often referred to as the political model because it is similar to theories proffered by Bolman and Deal (2008) and

Morgan (2006). Kezar (2001) references Morgan (1986) in stating “organizations pass through long periods of evolutionary change (as the dialectical interaction between the polar opposites occurs) and short periods of second-order or revolutionary change, when there is an impasse between the two perspectives” (p. 41). The balance of power, which emerges during these dialectical interactions, creates sufficient change for a “stability” or “synthesis” to form (Van de Ven & Poole, 1995, p. 517). Lindquist (1978) describes a series of activities within the political process: “build coalitions among influential persons and groups, then seek an authoritative decision which requires others to comply with the new idea, employ the new behavior, use the innovative product” (p. 7).

The political model assumes that “the organizational entity exists in a pluralistic world of colliding events, forces, or contradictory values that compete with each other for domination and control” (Van de Ven & Poole, 1995, p. 517). The sources of these conflicts may be from internal forces or the external environment. Bolman and Deal (2008) describe five additional assumptions: “(1) Organizations are coalitions of assorted individuals and interest groups; (2) Coalition members have enduring differences in values, beliefs, information, interests, and perspectives of reality; (3) Most important decisions involve allocating scarce resources – who gets what; (4) Scarce resources and enduring differences put conflict at the center of day-to-day dynamics and make power the most important asset; and (5) Goals and decisions emerge from bargaining and negotiation among competing stakeholders jockeying for their own interests” (p. 195).

Two extremes have been mentioned within the literature, including positive change and negative change. Negative change may occur when opposition groups disturb the status quo (Kezar, 2001; Van de Ven & Poole, 1995). Examples of this within business may include acquisitions or hostile takeovers (Burke, 2008). Morgan (2006) uses the political metaphor in describing organizations. He conveys that although politics are not necessarily nice or positive, they are an inherent part of organizations, and can be more easily understood by examining “interests, conflict, and power” (p. 156).

The leadership scholarship discusses political processes found within the higher education environment. Bensimon, Neumann, and Birnbaum (1989) use a political frame in viewing institutional administration. They cite conflict resolution and negotiation as primary tasks of higher education leaders. Kezar, Carducci, and Contreras-McGavin (2006) reference studies of university leadership, particularly from a diversity perspective, and the distribution of power. Literature on empowerment from the perspective of several leadership positions, including presidential, dean, and chair levels, have come forth as examples of the political model (Astin & Leland, 1991; Bensimon, Neumann, & Birnbaum, 1989). Additional examples of theories within the dialectical model include bargaining and Marxist theory (Bolman & Deal, 2008; Morgan, 2006).

Social Cognition

“Organizational change is a learning process affected by the organizational and environmental conditions and by theories of action held by the organization’s members” (Levy & Merry, 1986, p. 233). Kezar’s (2001)

description of models of social cognition ties to learning models throughout the literature. Kezar cites Harris' description of social cognition models as examining "how leaders shape the change process through framing and interpretation, how individuals within the organization interpret and make sense of change" (p. 46). These theories typically are approached from an individual perspective as opposed to an organizational view. Social cognition approaches identify learning and cognitive processes of individuals within the organization separately from the organization's need for change, and attempts to bridge the two mindsets by means of paradigm shifts or sensemaking (Eckel & Kezar, 2003; Kezar, 2001).

Social cognition theories can also be seen through Morgan's (2006) metaphor of the brain. The organization as a brain is a system which processes information and makes decisions based upon knowledge and experiences. Morgan and Kezar both refer to theories of single- and double- loop learning within processes of the change theories, with single-loop learning focusing on maintaining institutional norms and processes and double-loop learning expanding knowledge by questioning whether the same institutional norms and processes are correct (Argyris & Schon, 1978, 1996; Kezar, 2001; Morgan, 2006).

Reframing and paradigm-shifting can also be considered within the social cognition framework. Shared meanings can evolve and be interpreted from many different experiences (Kezar, 2001; Kuhn, 1970; Smith, 1982; Weick, 1995; Weick, Sutcliffe, & Obstfeld, 2005). Smith (1982) states "If we wish to change the entity we need to change the meaning the entity attaches to its and others'

experiences...The most potent way to do this is to alter the relationships [between the entity and its context] from whence meaning emerges” (as cited in Levy & Merry, 1986, p. 101). These relationships, particularly at the transformational level, can be altered through the process of reframing. A retrospective account of transformational changes experienced at Antioch College was written by Warren (1984), who was hired as an academic dean to implement recommended reforms. Antioch College, an institution with 32 learning centers spread throughout the world, was experiencing severe financial strain following a rapid expansion. Through observations, Warren found that the president of the university applied reframing to the situation, escaping traditional thoughts of the institution, and then applied a new framework to see the problems from a different perspective (Levy & Merry, 1986; Warren, 1984). In transitioning from previous thoughts and opening the mind to new ideas, this study addresses a problem many recipients of change experience – being forced to let go of the past without comprehending what will happen in the future (Burke, 1995). Senge’s learning theory, although initially discussed within the teleological lens, can also be viewed through the social cognition lens (Kezar, 2001).

Cultural

The final model mentioned in Kezar’s (2001) summary is the cultural model, which combines elements of both social-cognition and dialectical models. The foundational work of Schein (1985) depicts the deeply embedded cultural beliefs within individuals and organizations and the influences these beliefs have

upon the change process. Kezar states that “cultural theories tend to emphasize the collective process of change and the key role of each individual” (Kezar, 2001, p. 52). The metaphor of the cultural model is that of a social movement, one which is long-term and often led by an influential change facilitator, similar to the dialectical model.

Cultural theories can be seen through the formation and subsequent devotion to symbols, myths, and histories. Culture helps shape shared understandings, attitudes, and behaviors, both consciously and unconsciously (Schein, 1985). Myths and symbols can assist movement toward change by rationalizing complex situations. Decisions are influenced and directions are chosen based upon histories. Power can also be defined by culturally accepted norms (Bolman & Deal, 2008; Levy & Merry, 1986).

Benismon, Neumann, and Birnbaum (1989) discuss the cultural frame within higher education and depict research focused on understanding the cultural importance of change at the institutional level. They reference one study by Tierney (1989), which examined 32 institutional presidents and their relationship with symbols and language. This study describes “six categories of symbols – metaphorical, physical, communicative, structural, personification, and ideational” and the importance of comprehending meanings in attempting change (Bensimon, Neumann, & Birnbaum, 1989, p. 48).

A study conducted by Kezar and Eckel (2002b) examined the impact of change on culture at the institutional level. The purpose of this ethnography was to examine the relationship between institutional structure and culture at six

transforming institutions (three doctoral-granting institutions, one liberal-arts college, one community college, and one research institution). Bergquist's (1992) foundational work on institutional culture formed the basis for the investigation. He provides a framework of four institutional archetypes of college campuses: collegial, managerial, developmental, and negotiating. This framework was combined with Tierney's (1991) cultural frame and Lindquist's (1978) change strategies. The findings demonstrate that cultural approaches, particularly within multiple frameworks, are useful in producing a rich, thick description. The authors mention archetypes are useful frameworks for assessing culture as well, although those should be considered only in context with another framework. The combination of archetypes with institutional cultures can aid researchers in determining appropriate change strategies. Finally, the results indicated that change strategies can be successful if they are aligned with cultural norms (Kezar & Eckel, 2002b).

Combination of Strategies

The description of the six change typologies is useful to understanding the change process, but it is beneficial to examine change through several lenses for a more thorough comprehension (Burke, 2008; Morgan, 2006). This sentiment is echoed by Lindquist (1978), who suggests that combinations of change strategies may produce more thorough understanding of people, who are rational, complex, and comprised of several dimensions simultaneously (i.e. social and political).

Levels of Change

An important consideration in reviewing the change literature is that change occurs at various levels. One change will not affect an individual and an organization in the same way (Burke, 2008). The most complete model describing levels is the Diagnosis/Development (D/D) Matrix, developed by Blake and Mouton (1972), which cross references different types of interventions (acceptant, catalytic, confrontation, prescriptive, and principles, models, and theories) with the settings, or levels, where change is occurring: individual, team, intergroup, organization, and society. In this model each intersection is described in full, with appropriate examples illustrating actual situations (Blake & Mouton, 1972). The titles of the levels also vary dependent upon settings, for example, in the business field, change can occur at the business, corporate, or collective organization level (Rajagopalan & Spreitzer, 1996). Most commonly, change can be found at the individual, group, and system levels (Van de Ven & Poole, 1995).

Individual

The individual level is often explored within the lifecycle and teleological frames (Burke, 2008; Armenakis & Bedian, 1999). The literature appears to break the individual level into two themes: roles and cognitions. Individuals hold multiple roles within the change process. When people are charged with managing a change or implementing an innovation, they often take the role of change agent or change master (Havelock, 1971; Kanter, 1983). Common thought would indicate that supervisors and managers are primarily the people

implementing a change, although research has revealed that this role is often held by those other than individuals with legitimate power. In her in-depth examination of over fifty companies, Kanter (1983) depicts the change master as not just a person with authority implementing change, but individuals in various positions within organizations that leverage their power and knowledge in order to bring about change in systems and people.

Roles are also linked together, which affect the ways in which information from one person reaches its intended recipient. Change agents, or “gatekeepers”, often transmit knowledge to individuals, eliminating gaps (Havelock, 1971). Havelock included these individuals in a model of innovation, which focused on how knowledge was disseminated and utilized during an innovation. The study involved an examination of literature on the implementation of innovations from multiple disciplines. Main roles identified during this study, all revolving around the individual’s relationship to knowledge, include practitioner, consumer, receiver, disseminator, processor, and sender. The change agents and gatekeepers previously mentioned fall within the role of disseminator of knowledge (Havelock, 1971).

The roles of individuals are connected to the second theme, cognitions, through Schein’s concept of the operating self-image. In expanding upon Lewin’s unfreeze – movement – refreeze model, Schein (as cited in Burke, 2009) addressed individual concerns such as “behavior, beliefs, attitudes, and values” (p. 79). He contends that individuals portray themselves differently when they are in different situations, or roles. An individual considers himself/herself in a

role, with other people and circumstances, and modifies his/her behavior in order to represent what is expected of him/her within that situation. There are many different ways in which to interpret a single situation, with multiple perspectives from different individuals, although “shared meanings” can emerge (Levy & Merry, 1986). In a period of change, people go through a process of “cognitive redefinition” (Schein as cited in Burke, 2009), whereby an individual’s behaviors, beliefs, attitudes, and values are challenged and must be modified to fit the newly defined situations.

Harrison (as cited in Levy & Merry, 1986) states that “organizational change is basically a change in the members’ consciousness” (p.136). Each person’s perspectives are subjective, and may be different at various times within a transition; therefore individuals’ cognitive interpretations of innovations affect the success before, during, and after the change process itself. Much attention has been paid to resistance to change prior to the implementation, with the intention of reducing resistance in subsequent endeavors (Levy & Merry, 1986). In addition to resistance, other emotions and thoughts emerge, creating apprehension, cynicism, stress, and turmoil (Armenakis & Bedian, 1999; Kanter, 1983). Different cognitions and relationships develop as the change process commences, such as questioning commitments, applying social influences, and changing attitudes. It is during this time of integration that roles are assumed in order for collaboration and adaptation to commence (Armenakis & Bedian, 1999; Bennis, 1966; Havelock, 1971). Individual outcomes following the change process are often exhibited by a renewed commitment, revitalization, and

acceptance. The determination of whether the change was successful is often based upon these outcomes. The change is not considered fully implemented until the innovation or change is accepted by all of the individuals in an organization, taking place at the individual level (Armenakis & Bedeian, 1999; Bennis, 1966; Havelock, 1971)

Group

The level of group change can also be considered as team, interpersonal, work unit, firm and organizational change (Burke, 2008; Havelock, 1971; Van de Ven & Poole, 1995). This level of change is often examined within the dialectical typology due to the dynamics between two or more individuals, exhibiting political tensions. The political nature of a group is derived from the shared goals, values, and beliefs held by its members. It is within a group that the individual and the organization are connected, with groups acting as an interface between the two. A group is the primary means of socialization for its members, through which the sense of reality of the organization is developed (Burke, 2008).

Change is often initiated at the group level because the group desires its beliefs, values, and ideologies to be accepted by others. Interest groups and coalitions are an example of groups forging for change based upon a strong belief in common goals, values, and ideals (Bolman & Deal, 2008; Levy & Merry, 1986; Schein, 1977). Groups can be found within groups as well, with distinct and individual goals. Bennis (1966) refers to Max Weber's "social machine" to describe the bureaucracies as a "social invention that relies exclusively on the power to influence through rules, reason, and the law" (p. 250). The formation of

groups is a social process, derived from shared experiences. These past experiences also influence the formation of common goals (Weick as cited in Van de Ven & Poole, 1995). As groups experience, and then learn from change, shared beliefs, cultures, worldviews, and paradigms emerge. It is through the embodiment of common ideals and values that groups become institutionalized (Emery & Trist, 1965; Kuhn, 1970; Levy & Merry, 1986).

Lewin (1947) described, in his “unfreezing” stage, that group standards are formed based on agreed upon norms, which are inherently resistant to change. The perceived values of individuals and groups play an important role within the change process. Individuals and groups hold value in both themselves and in each other, which are upheld by maintaining group norms. An understanding of the relationship of value and norms may assist instigators of change during the process of change (Katz & Kahn, 1966; .Schein, 1985).

When an individual deviates from group norms, dynamics within the group will oftentimes place pressure upon that individual to conform to group standards which is, in some sense, a form of peer pressure. This force, combined with the shared values, experiences, and norms, explains how approaching change from a group perspective may be beneficial. A study by Coch and French (1948) explored whether is easier to change a group rather than an individual. The authors theorized that “resistance to change is a combination of an individual reaction to frustration with strong group-induced forces” (Coch & French, 1948, p. 349). Results indicated that effective communication to the group and group participation in the planning phases greatly reduced group resistance to changes.

Coch and French (1948) showed that individuals not involved in group processes were slower to achieve results similar to their grouped counterparts.

Furthermore, Coch and French (1948) assert that the decreased performance of individuals was a result of their lack of exposure to the group environment as opposed to personality characteristics, thereby suggesting that resistance is more common in individuals alone than individuals within a group environment.

System

It is important to examine individuals and groups within a change process, but these entities must also be examined as members of a system. Being part of a system is greater than being an individual or group alone, with additional factors and processes that emerge when examined within the systemic lens (Katz & Kahn, 1966).

Change that occurs at the system level is often studied within the evolutionary frame, where external environmental factors play a prominent role (Van de Ven & Poole, 1995). The environment influences actions, decisions, and outcomes. Systems are part of the environment and are also within the environment, susceptible to its influences as seen within the open-systems model, where all of the parts of the system are related to the whole. The open-systems model describes the environment organizing into “quasi-independent” systems at the social level, but occurring within four different environments: a placid, random environment; a placid, clustered environment; a disturbed, reactive environment; and turbulent fields (Emery & Trist, 1965). These different environments will influence the behavior of interrelated subsystems, or loosely-

coupled systems. Loosely-coupled systems form from social relationships, roles, responsibilities, and environmental factors (i.e. population, tasks, goals, etc.). These systems work with one another, or separately, depending upon external factors to achieve a balance, or equilibrium, requisite for long-term stability. Change occurs when this balance is broken, or punctuated (Bennis, 1966; Gersick, 1991; Katz & Kahn, 1966; Weick, 1976). The emphasis on environmental factors, an open-systems approach, and system alignment is also evident within Morgan's (2006) organism metaphor. Morgan states that "organizations, like organisms, are 'open' to their environment and must achieve an appropriate relation with that environment if they are to survive" (p. 38).

The alignment, or system connectedness, is possible due to the dynamic nature of systems (Bennis, 1966; Bennis, Benne, Chin, & Corey, 1976; Emery & Trist, 1965). Systems are dynamic in both the exchange of energy and flow of knowledge. Information moving from system to system or within systems is similar to the flow of energy. The exchange of messages is equivalent to the exchange of energy (Havelock, 1971; Lewin, 1947). Energy can be both positive and negative, thereby creating motivation, cognition, and obligation or tension, strain, and conflict. These factors lend to the successful adoption or resistance of change at the system level (Bennis, 1966; Tushman & Romanelli, 1985).

A noted example of systemic change within education was conducted in Mexico by the Instituto Tecnológico y de Estudios Superiores de Monterrey (ITESM), an effort in which a "teaching-learning paradigm" was being transformed within a university system encompassing 33 campuses (Hall & Hord,

2006). A subsequent study was conducted to examine facilitators (both people and conditions) and barriers encountered during the change process. A survey was developed which incorporated questions regarding facilitators, barriers, and leadership interventions, in combination with Hall and Hord's (2006) Stages of Concern Questionnaire. The instrument was administered to 333 full- and part-time faculty members at the Mexico City campus of ITESM. Data were analyzed quantitatively using factor analysis, multinomial logistic regression, and multivariate analysis of variance (Gonzalez Negrete, 2004). Gonzalez, Resta, and De Hoyos (2005) describe that support was found at multiple levels within the system, with five specific facilitators identified: students' acceptance of change, adoption/adaptation of courses, institutional cultural change, ongoing support and training, faculty academic background, and professional learning community (as cited in Hall & Hord, 2006, pp. 53-54). The researchers also identified barriers: monitor implementation, top-down leadership, students' adaptation to change, infrastructure operational problems, time, administrative alignment and support, support shortcomings, and faculty issues (as cited in Hall & Hord, 2006, pp. 54-55). Hall and Hord (2006) suggest that the study's results were not surprising, given other research, but that how the researchers identified systemic issues can be used to inform future implementations.

Models have incorporated change at the system level. Kotter (1995) created an eight phase model for change which also addresses change at the system level. This model empowers individuals and groups to subscribe to a common vision through modification to system structures (Armenakis & Bedeian,

1999). Burke and Litwin (1992) address all of the levels of change within their causal model of organizational change. By incorporating individual, group, and system levels, the model is able to address how one change affects something else within the system. Burke and Litwin describe this analysis using the metaphor of a holograph.

Magnitude of Change

The magnitude of change is another important factor which must be considered when examining change. A distinction between transformational and transactional change is necessary for the discussion of change.

Transactional

Transactional change, often referred to as first-order change, is that which addresses existing structures and frameworks. This type of change proceeds in smaller increments over longer periods of time, modifying groups and subsystems (Armenakis & Bedeian, 1999; Burke, 2008; Levy & Merry, 1986).

The depth of first order change is relatively benign within a system, consisting of “minor improvements and adjustments that do not change the system’s core, and that occur as the system naturally grows and develops” (Levy, 1995, p. 103).

Burke and Litwin (1992) describe transactional change as “short-term reciprocity among people and groups. In other words, ‘You do this for me and I’ll do that for you’” (p. 530). They liken this type of change as being done by a manager, as opposed to a leader.

Transformational

Transformational, or second-order, change is “multidimensional, multi-level, qualitative, discontinuous, radical organizational change involving a paradigmatic shift” (Levy & Merry, 1986, p. 5). Transformational change is all encompassing and of a higher-level nature, involving both internal and external environmental pressures which influence leadership, missions, strategies, and values. A separation from past assumptions and beliefs must be made by stakeholders in order to experience a new paradigm or “worldview” (Armenakis & Bedeian, 1999; Kuhn, 1970; Van de Ven & Poole, 1995). Learning and understanding of transformation can be examined through the process of reframing. Reframing enables organizational members to deal with transitions by examining basic assumptions. One frame may have an influence over another, with individual, group, and system frames forming differently. Through a process of double-loop learning, members can make sense and learn the processes, structures, and assumptions of the new paradigm, or transformation (Argyris & Schon, 1978, 1996; Levy & Merry, 1986).

The scholarship on transformational change has produced numerous models. Tichy (1983) has developed one which reviews the strategic change process through three lenses: technical, political, and cultural. These three lenses are expanded into a matrix, addressing organizational characteristics such as mission and strategy, structure, and human resource management. This model has predominantly been applied to large companies within the business environment that face transformational changes in legislation and technology

(Tichy, 1983). Vollman (1996) created a model from within the business domain to determine the magnitude of transformational change. This model compares three organizational dimensions and three organizational resources with eight “facets” of the change process, from intent to learning capacity (Armenakis & Bedeian, 1999; Vollman, 1996). The Burke-Litwin model, as described above, examines elements of both transactional and transformational change within a system (Armenakis & Bedeian, 1999).

Change in Higher Education

The literature discussing change within higher education began as derivations of the traditional organizational writings. Themes that emerged concern the causes, structure and characteristics, cognitions, and outcomes and processes of change within education. This section of the review will include both conceptual and empirical writings within each of the themes, newly expanding research on change, and frameworks derived particularly for the higher education environment.

Causes

The causes of change within higher education come from either external or internal conditions. A consensus of researchers believe that, overwhelmingly, organizational change is initiated as a response to environmental changes (Birnbaum, 1988; Cameron, 1989; Katz & Kahn, 1966). Change originating outside of the organization itself, because of the disconnect between the environment and the organization, is inherently unplanned (Baldrige & Deal, 1983). Higher education organizations must respond and adapt to environmental

stimuli in order to survive, mirroring the changes found within the evolutionary frame. The causes of change from the external environment are multiple and varied. As the United States has shifted to a postindustrial economy, society has become increasingly knowledgeable, escalating the demands for higher education (Cameron, 1989). Fiscal pressures and calls for accountability have also increased for academic institutions as federal and state appropriations decrease, creating unprecedented resource constraint (Gumport & Pusser, 1997). Kezar (2009) cautions that because of the growing number of stakeholders and the diverse nature of demands and pressures for our postsecondary education system, the ability to truly change may be hindered. As Richard M. Freeland, a distinguished university leader said, “universities, like businesses, function in a highly competitive environment in which they must adapt or die” (Freeland, 2001, p. 234).

Changes instigated internally within the educational organization are usually aimed at “organizational revitalization,” which is “a complex social process that involves a deliberate and self-conscious examination of organizational behavior and a collaborative relationship...to improve performance” (Bennis, 1966, p. 24). These internal triggers are often attempts to solve problems that have arisen among institutional stakeholders, including integration, social influence, collaboration, adaptation, and revitalization (Bennis, 1966). Because of the purposeful and strategic aim of instigated change, combined with the action of actors, changes from within an organization fall within the teleological lens.

A qualitative case study was conducted with five Western or Canadian community colleges to examine whether change was initiated internally or externally from the organization. Interviews of academic administrators, faculty, and students indicated that stakeholders perceive that initiation of change is a role held by the university president (Levin, 1998b). The literature also suggests that internal and external causes of change may be combined. As previously mentioned, most external change is unplanned, although some scholars contend “the primary focus of planning has been to examine environmental change and develop institutional strategies for responding or adapting” (Peterson, Dill, Mets, & Associates, 1997, p. 3). This perspective combines the external impetus of a perceived need for change with the forethought of internal strategic positioning. A case study of over 200 individuals, including government officials, board members, administrators, faculty, staff, and students at six different community colleges examined organization members’ perceptions of their institutions’ influence over both internal and external forces of change. The interview data revealed that although the triggers of change appear to be external to the organization, the institutions are limited in their control. An exception was found within existing historical, cultural, and symbolic influences, which have a perceived influence over the internal influences of change (Levin, 1998a). The combination of internal and external influences of change, although not prolific within the literature, provides an additional dimension with which to view the causes of change.

Structure and Characteristics

A second theme within the literature on change in education examines organizational structure and characteristics. The role of leaders, resources, advocates, and faculty all contribute to understanding the implementation and viability of change initiatives. The use of metaphors enables scholars to more deeply examine the complex processes involved with innovations. Additionally, the discussion of couplings within a system or organization also falls within the structural theme of higher education change.

Baldrige (1975) conducted two studies of K-12 environments: one within the San Francisco Bay area included interviews of 1137 leaders, participants, and faculty members, and a second, in Illinois, included a survey 184 superintendents. The purpose of the studies was to examine characteristics of organizations and people within organizations in implementing a new innovation. Results indicate that although member characteristics, such as age or sex, are not influential in the innovative adoption process; organizational characteristics, such as size and complexity, do impact the adoption of an innovation. Additionally, leadership is important to the successful adoption of change because of the leader's ability to disseminate knowledge to stakeholders (Baldrige, 1975). The importance of leaders is affirmed by several scholars, who assert that presidents and administrators in particular have resources (communication channels, knowledge, and positional authority) that ease the adoption of change (Cohen & March, 1986; Kezar, 2009). Hearn (1996) suggests that in periods of severe financial difficulties, rapid implementations by

administrators may hold the best chances for acceptance. Along with the inherent rigidity of higher education institutions, Hearn references Chaffee and Tierney's (1988) research, which demonstrates how support is garnered when administration is aggressive in communicating information regarding requisite transformational change. These perspectives are contrasted with one proposed by Rhoades (2000), who contends that change does not necessarily initiate from a management position.

The positioning of the academic institution within its environment, including the availability of resources and advocates, also impacts the implementation of change. Academic institutions are highly dependent on financial resources, and problems emerge as resources become increasingly inflexible (Birnbaum, 1988; Gumpert, 2000). External advocates are also vocal in educational systems, making the dissemination of information a critical factor during the change process (Hearn, 1996). A longitudinal study of innovations within 188 schools of 34 districts in the San Francisco Bay area focused on the support and maintenance of innovations following implementation, addressing both financial resources and external stakeholders. Using cross-sectional and multiple regression analyses, the researchers examined survey results from principals and superintendents. The findings indicate that institutional members formed a commitment to the adoption of the innovation, the availability of financial resources assisted with the implementation, while the size of the school districts hindered the implementation. An additional finding addresses the climate of the organization, showing that even if the adoption was encouraged by

many stakeholders, if the implementation was uncoordinated, the requisite support may not be available for complete implementation (Deal, Meyer, & Scott, 1975). These results confirm the importance of communication and coordination of resources, both finances and advocates, to a successful change implementation.

An examination of alignments between faculty and administrators and between academic departments also provides insight into the impact the structure of the organization has on adoptions of change. In an empirical case study of two public research institutions during times of retrenchment and program reduction, 40 faculty members and 20 administrators were interviewed. Five different groups were identified: executive administrators, subordinate administrators, faculty research stars, targeted faculty, and contiguous faculty. Three alignments emerged from this research: (1) both executive administrators and faculty research stars aligned with their financial resources, (2) targeted faculty members aligned with their constituencies, and (3) both targeted faculty and contiguous faculty reaffirmed their commitment to their autonomy (Gumport, 1993). In a separate study, Lattuca, Terenzini, Harper, and Yin (2009) examined the alignment of faculty along disciplinary lines during a time of change. Survey data was gathered from 1272 engineering faculty members on 39 different campuses, each of which was undergoing curriculum and pedagogical changes impacting professional knowledge/activities as well as instructional techniques. The engineering faculty members were divided into groups based on three of Holland's (1997) personality types: "Realistic (electrical and mechanical),

Investigative (chemical and civil engineering), and Enterprising (industrial engineers)” (Lattuca et al., 2009, p. 35). A multiple group discriminant function analysis revealed that the “faculty members’ academic field is among the strongest influences on their professional attitudes and behaviors” (p. 34). The results indicated that the most change was found in both professional knowledge/activities and instructional techniques by those faculty members classified as Enterprising. Investigative and Realistic faculty members experienced lesser amounts of change, respectively, for professional knowledge and activities. The Investigative and Realistic faculty members experienced similar amounts of change, at a lesser degree, regarding instructional techniques than their Enterprising counterparts. These findings make sense when the shifting demands of faculty members within an institution are considered, both in degree of autonomy and accountability. These changes extend to the prevalence and availability of tenure as well (Finnegan, 1997).

The alignment studies also confirm the conceptual writings of Cohen and March (1986), which describe higher education organizations as “organized anarchies.” This metaphor implies that divergent goals and missions are commonplace within the academic environment, where faculty devotion towards individual or disciplinary goals precedes institutional mission. Mintzberg (1979) likens the university to a “professional bureaucracy,” where standardization and decentralization exist simultaneously. This bureaucracy has power dispersed among highly educated and professional lower ranks, with a more standard hierarchical structure existing for administrative professionals. The dispersion of

power and divergent goals yield confusion and inefficient organizational processes for many institutions (Mintzberg, 1979; Birnbaum, 1988). These political underpinnings within higher education institutions are appropriately examined within the dialectical frame. The “steady state of change” is inherent within a bureaucracy (Clark, 2003, p. 109). In addition to a bureaucracy, academic institutions are also likened to political and collegial systems (Baldrige, 1980b). Examining the implementations of innovations through these various lenses can lend to increased understandings of the change process within education. The bureaucratic lens was used in research of five European institutions which linked organizational characteristics of transformational change to sustainability of change, revealing reinforcing interactions, perpetual momentum, and ambitious collegial volition as requisite in sustaining a transition (Clark, 2003).

The metaphors of organized anarchy and professional bureaucracy provide a bridge between structure and culture. The culture within higher education, differing for both administrators and faculty, creates discord within academic organizations. The literature suggests that in planning change, it is beneficial to consider institutional culture and history as an important component (Hearn, 1996; Chaffee & Jacobson, 1997). A quantitative study of corroboration between faculty and student affairs professionals examines the need for integration of culture into change implementations. Descriptive statistics derived from a survey of 128 administrators suggested that change frameworks

incorporating elements of culture were most effective in their integration, followed by planned change and restructuring (Kezar, 2003).

An additional structural component often referenced within the higher education literature is that of loose couplings. Weick (1976) contends that the prevalence of loose couplings is one factor that distinguishes educational institutions from traditional organizations. Couplings are parts, or mini-systems, within an organization that are connected to one another, either tightly or loosely. Tight couplings can be observed when an action in one unit “produce[s] directly responsive changes in another” (Birnbaum, 1988, p. 36). Loose couplings are those in which “the elements of the system are responsive to each other, but they also preserve their own identities and some logical separateness” (Birnbaum, 1988, pp. 37-38). Elements of couplings include interacting components, boundaries, and inputs and outputs (Birnbaum, 1988; Katz & Kahn, 1966; Weick, 1976). Meyer and Rowan (1978) describe loose couplings in higher education where “structure is disconnected from the technical (work) activity, and activity is disconnected from its efforts” (p. 61). Couplings can be observed within the various departments, disciplines, or administrative units and how they work together but independently. The degrees of the coupling, whether loose or tight, and whether the coupling is open or closed, are also considerations. Loose couplings do have some benefit to educational organizations, including their ability to respond to changes in one area while remaining steady in another (Weick, 1976). A case study of five public universities combined the structural factors, particularly the loose coupling characteristic, with the perceptions of

individuals and the ability to change during trying financial times. Results indicated that the perceptions of the stakeholders had a great deal of influence on the loose couplings. The loose couplings were not as beneficial on their own, but were dependent upon how loosely- or tightly-coupled the organization was elsewhere, for instance, to the environment (Rubin, 1979).

Cognitions

The higher education change literature, using the social cognitive lens, includes topics encompassing perceptions, sensemaking, and rationality. Perceptions of people involved within a change, combined with how these individuals make sense of the change, are important components in understanding the change process itself. Additionally, the assumption of rationality is addressed with caution by educational researchers and briefly described below.

It is important to consider the perceptions of people involved in a change process, whether they are leading the change or only minimally involved. An examination of feelings and beliefs derived from a set of new circumstances can inform the proponents of a change, including the possibility of resistance or acceptance. The perceptions may also be intentionally manipulated in order to manage situations. Ly (2009) conducted a qualitative case study of three Michigan community colleges in order to examine administrative behavior during a time of change. Using Kotter's (1995) eight-step model combined with the political lens as a framework, 48 interviews with administrators were conducted and analyzed. The study revealed that "politically-perceptive" behavior was

common among the leaders who wanted to manage their situations and relationships. The respondents felt that this politically astute maneuvering assisted the institutions in achieving the desired change results (Ly, 2009).

Neumann (1995) conducted a study of two small, undergraduate colleges (one private and one public) that experienced constraining financial circumstances. The two institutions varied in that one entered the downturn with substantially more resources than the other. The purpose of the qualitative study was to examine the perceptions of faculty members during their changing resource status. Interviews and document analysis revealed that faculty at the more stable institution were “dispirited and anxious” while faculty at the more constrained institution were “optimistic, even buoyant” (Neumann, 1995, p. 401). The author attributes these reactions to the leaders’ directly informing (or not informing) their constituencies of their situations, and not just merely a reaction to the environment. Neumann also took a social constructivist perspective, which “illuminates how people – leaders and others – create (and recreate) their conceptions of their institutional worlds” (p. 403). This perspective closely resembles the sensemaking perspective used by other researchers.

Knowing how stakeholders perceive a change is only one dimension of the cognitive lens. How people understand, or make sense of, change is a second important component addressed in the literature (Weick, 1995). Gioia and Thomas’s (1996) research, from a sensemaking approach, expands upon Ly’s results. They interviewed and surveyed 611 executives from 372 institutions and found that leaders distinguished between political and strategic behavior,

associating present behavior with politics and future behavior with strategy.

Another qualitative case study was conducted at the University of Minnesota during the late 1970s, examining the role of leaders during a period of change. The results revealed that through sensemaking, individuals' perceptions formed organizational myths and metaphors (Simsek & Louis, 1994). Gioia and Thomas (1996) and Simsek and Louis (1994) apply sensemaking in the interpretation of perspectives of individuals, but sensemaking can also be "devices for members to shape the identity of their institutions" (Levin, 1998a, p. 53). Eckel and Kezar (2003) examined 23 diverse colleges and universities over a period of almost six years. Data analysis, along with in depth interviews with administrators and faculty, were used to examine transformational change. The researchers found that institutions "attached new meanings to familiar concepts and ideas" and "developed new languages and adopted new concepts to describe the changed institution" (Eckel & Kezar, 2003, p. 50). The main finding indicated that a change to the thinking, particularly through the formation of new understandings and meanings, was requisite for the change to become institutionalized (Eckel & Kezar, 2003).

A qualitative case study by Kezar and Eckel (2002a), similar to their previously mentioned study on culture, was conducted at six institutions (one research university, three doctoral granting institutions, one liberal arts college, and one community college) experiencing transformation over a period of four years. Document analysis, observations, and Interviews of administrators, faculty, staff, and students were conducted (Kezar & Eckel, 2002a). The

researchers determined that five “core strategies” were found within each of the institutions (senior administrative support, collaborative leadership, robust design, staff development, and visible leaders) and that these five strategies were linked with each other, occurring closely together or simultaneously, as well as linked with other “secondary strategies” such as connections and synergy or working within and challenging the culture. The authors describe the presence of sensemaking within most of the strategies and that “those institutions that made the most progress toward their change initiative had processes that allowed campus members to engage in sensemaking” (Kezar & Eckel, 2002a, p. 318).

A model for understanding change, based on the work of DiMaggio and Powell (1983), was proposed by Greenwood and Hining (1996). DiMaggio and Powell (1983) discuss isomorphism, or the tendency for organizations to become increasingly similar, as a result of a collective rationality. Their discussion of isomorphism combines traditional and new institutional theory, termed “neo-institutional theory” by Greenwood and Hinings (1996, pp. 313). Through the neo-institutional lens, the model aims to examine the occurrence and extent of radical change, at the same time addressing “how the external processes of deinstitutionalization have to be understood... *together with* the internal dynamics of interpretation, adoption, and rejection by the individual organization” (p. 326).

An additional concept within the cognitive interpretation of change is rationality. Rationality is addressed by higher education scholars with caution. They note that rationality is often an assumption within the traditional

organizational theory literature, but that assumption may not follow through consistently, as people do not always use rationality in their decision making or thought processes (Baldrige & Deal, 1983; Bolman & Deal, 2008). Birnbaum (1988) states that “rationality assumes that the purpose of decision making is to create outcomes that maximize the values of the decision maker” but then warns that “objective rationality...is impossible” (p. 57). Without complete knowledge of all facts, perspectives, and alternatives, being rational is a subjective position.

Eckel (2003) applied a case study methodology in his examination of four research institutions that experienced and maintained program closures due to constrained resources. In interviews of administrators, faculty, staff, students, board members, alumni, and community members, combined with document analysis, Eckel discerned that documented criteria for elimination (mission centrality, quality, cost, contribution to region, demand, legislative mandate, uniqueness/duplication, opportunity for distinction, impact on instruction and scholarship, revenue, past investment, affirmative action/underrepresented groups, and dependence of programs) did not consistently match with the actual decision criteria (weak or novice leaders, small programs with low numbers of students, low numbers of faculty, and non-centrality to housing college’s mission) (Eckel, 2003, p. 137-139). This disconnect demonstrates that there is a distinction between rationality that is present within rational decision making and rationality that is requisite for completing a difficult change process. The differences in rationality may also be exacerbated by the subjectiveness of the documented decision criteria (Eckel, 2003).

Processes and Outcomes

The processes and outcomes of change in higher education can be examined through their technologies, leaders, and strategies. Recent frameworks for change within higher education are briefly introduced here as well as some of the most recent studies, particularly those involving social or grassroots change. Elements of the teleological, dialectical, and lifecycle models can be seen within these processes and outcomes.

Examinations of the implementation of innovations, particularly those relating to technology, inform researchers of strategies that may be beneficial in initiating change. An examination of two types of innovations, technological and administrative, through questionnaires of 85 public libraries in six states, is often cited within the higher education literature. A correlation analysis was performed and results indicated that the adoption of the technological and administrative innovation concurrently, to fairly similar degrees, helps maintain the performance of the organization as a whole. Technology can be seen not only in the successful performance, but also as having a direct impact on the learning environment (Damanpour & Evan, 1984). A study of the implementation of an innovation at two schools of nursing was conducted using a case study methodology. This research indicated that the implementation of the technology actually improved the learning environment and improved student performance (Cornell, 2009). Student outcomes can also be seen from a quantitative perspective when longitudinal data from two national databases examined outcomes of multiple higher education transformations (learning communities,

assessment, technology, etc.) on student development. A multiple regression analysis revealed both positive and negative results from the changes. Positive changes include increased interaction and satisfaction with faculty, volunteerism, and public speaking skills. Negative results from the changes included less academic engagement (including social activism, environmental cleanup, and diversity acceptance) (Astin, Keup, & Lindholm, 2002).

Outcomes and processes of change, particularly as they relate to governance and leadership, can be seen within the literature. Administrators, presidents in particular, have compiled strategies of successful implementations, along with accounts of their experiences (Freeland, 2001; Van Loon, 2001). The importance of gaining support and properly communicating a vision appear as frequent suggestions (Keller, 1997). The attention to employee thinking and perception, as opposed to institutional mission is also suggested (Thor, Scarafiotti, & Helminski, 1998). St. John (1991) examined five public liberal arts colleges in the late 1980s, seeking “action strategies” that leadership can adopt in order to survive during times of resource constraint. The analysis of interviews, documents, and observations allowed the strong role of leadership to emerge as a key strategy to survival, with additional changes in academic strategy, management improvement, enrollment management, refined pricing strategies, and alternate revenue sources. Kezar (2005) examined outcomes that are derived from radical changes in campus government. Using a grounded theory case study, Kezar studied small, liberal arts, women’s colleges. The results indicated that radical approaches to change are not received as positively

as gradual implementations of change. In fact, radical change has several effects that negatively influence a university, such as distrust, confusion, and frustration (Kezar, 2005). Baldrige (1980a) described several of these negative influences in a historical case study of the 1973 transfer of NYU's Bronx campus to the state of New York. In using the organizational saga, environmental, and political frames, results found external threats, internal overreactions, and conflicting goals. He credits strong leadership with guiding the institution through the difficult change (Baldrige, 1980a).

Hartley (2002) applied a grounded theory approach to the study of three liberal arts colleges which had experienced and survived tumultuous change (financial distress, declining enrollment, uncoordinated internal efforts at growth, etc.). Interviews of faculty and administrators, combined with document analysis, depicted the process of change as a "socio-cultural movement" encompassing six common paths: (1) crisis of purpose, (2) rejection of the status quo and building the consensus for change, (3) arriving at a new vision, (4) birth of a movement, (5) implementing the vision, and (6) realizing the vision and the social construction of success (Hartley, 2002, p. 50). The emergence of four different actors also emerged over the period of change: true believers, supporters, fence sitters, and naysayers (pp. 57-58). These two results, combined with the institutions' evolving missions, assist in the institutions' constructions of meanings, relationships, attitudes, and visions for the future (Hartley, 2002).

When dealing with outcomes of change, particularly those with negative outcomes, consideration of strategies to manage perceptions can be useful. A

multiple case study approach was used to examine 14 private liberal arts and comprehensive colleges in 1973-1976, following a period of resource constraint. The colleges were evenly divided into two groups, one group which survived the financial difficulties and a second group which was still experiencing trying times. Data was gathered through a combination of interviews of strategic informants and document analysis. Results indicated that institutions that were perceived by strategic informants simultaneously as an organism (adaptive strategy) and social contract (interpretive strategy) performed better than those who viewed the situation through just one lens (Chafee, 1984). The application of multiple perspectives is also present in models that emerged from studies of change processes. Kezar and Eckel (2002a) applied empirical insights from a long-term study of 26 institutions to form the basis for a “Mobile Model for Transformational Change.” This framework suggests both structural and attitudinal/cultural lenses are applicable in examining senior administrative support, collaborative leadership, staff development, flexible vision, and visible action. These main components are connected through additional, intermixed strategies (Kezar & Eckel, 2002a).

A second process model was developed to inform leaders, student affairs professionals, and faculty of necessary steps in the creation of a “seamless learning environment” (Kuh, 1996). These steps, although reminiscent of the lifecycle models, are not in any particular sequence. The steps in this include

1. Generate enthusiasm for institutional renewal
2. Create a common vision of leadership

3. Develop a common language
4. Foster collaboration and cross-functional dialogue
5. Examine the influence of student cultures on student learning
6. Focus on systemic change (Kuh, 1996, pp. 136-141).

The focus on social or grassroots change is appearing more prominently within recent higher education research. A study of influential women educational leaders during the women's movement was an early example of social change within higher education. The case study examined its subjects through lenses of the social construction of reality, interdependence, and power as energy, not control. Through these frames, the influences and roles of the women were described as they related to the women's movement (Astin & Leland, 1991). The origins and processes of other social movements or activists within those movements are also examined. The studies indicate that visions of something better, sincere commitments, and strong leadership are important components of social movements (Hartley, 2010; Mars, 2010; Rhoads, 2010).

The purpose of the preceding portions of this literature review was to focus primarily on foundational aspects of change, including types, levels, and magnitudes. Additionally, these lenses provided insight on instances of change within higher education, including its causes, structures, characteristics, cognitions, processes, and outcomes. The subsequent section will focus on the framework guiding this study of organizational change.

Burke-Litwin Causal Model of Organizational Performance and Change

The Burke-Litwin Causal Model of Organizational Performance and Change was first introduced by Warren W. Burke and George Litwin in 1989 and further refined in 1992. It was the intention of the authors to develop a model that “encompasses both the what and how – what organizational dimensions are key to successful change and how these dimensions should be linked causally to achieve the change goals” (Burke & Litwin, 1992, p. 525). The authors apply theoretical and empirical insights as well as real-life experience to the model, making it practical for both empirical studies as well as guiding and assessing change initiatives. This literature review addresses the conceptual and empirical basis of the model, describes the individual components, and references instances of this model within the literature.

Theoretical and Empirical Basis

The Burke-Litwin Model evolved from the earlier scholarship of Litwin, particularly as the models pertain to perceptions of organizational climate and open systems theory. In Litwin’s earlier model, influences on climate include inputs (leadership style) and outputs (individual and organizational performance). These frames were empirically tested in a simulation exercise where three businesses were compared over a two week period. Each business included one leader, a researcher who was designated a distinct leadership style (Leader A: strict adherence to organizational structure; Leader B: informal, team environment; and Leader C: high productivity with individual goals), and 15 employees, with each given the same business task (Litwin & Stringer, 1968).

Results indicate that “the better the work unit climate, the greater the likelihood of high organizational performance” (Burke, 2008, p. 184). The Burke-Litwin Model retains the concept of climate, but additionally distinguishes between climate and culture. Litwin’s early definition of climate is “a psychological state strongly affected by organizational conditions (e.g., systems, structure, manager behavior, etc.)” whereas culture is defined as a “relatively enduring set of values and norms that underlie a social system” (Burke & Litwin, 1992, p. 526). The model emphasizes the psychological components of climate by correlating it with individual or group levels. Since change within culture may have a transformational effect, it is more often associated with the organizational level of the model, or those deeply embedded components relating to beliefs or norms.

Another aspect of the early Litwin model that is present within the Burke-Litwin Model is the open systems concept. Both models subscribe to Katz and Kahn’s (1966) theory, which describes an organization as an open system, composed of an input (or energy), throughput, output, and feedback. The models equate the external environment to an input and the individual and organizational performance to an output. The Burke-Litwin Model is different in that it assumes that each component of the framework influences every other component. Arrows (see Figure 2.1) represent the relationships between the inputs, throughputs, outputs, and feedback. While traditionally these arrows would be in one direction, the Burke-Litwin Model has the arrows pointing in both directions, emphasizing the influence that each individual component has upon

the other components of the model. This resembles the “interrelated subsystems” within Morgan’s (2006) metaphor of the organism (p. 39).

From practical experience, elements of McKinsey’s 7-S Framework are also present within the Burke-Litwin Model. This model was developed as tool to guide organizations, incorporating both the “hardware” and “software” components of organizing. Hardware components include strategy and structure while software components include style, systems, staff, skills, and shared values (Peters & Waterman, 1981, pp. 9-11). It was with the assistance of this framework that Peters and Waterman examined a sample of 62 companies seeking excellence. The Burke-Litwin Model also was influenced by elements of Weisbord’s (1976) Six-Box Organization Model. The Six-Box Organization Model combines purposes, structures, rewards, mechanisms, relationships, and leadership in a process model. The model also accounts for some external influence from the environment. As with the previously mentioned Litwin model, the Burke-Litwin Model incorporates some important concepts of these frameworks into the one model.

Components

The Burke-Litwin Model (see Figure 1) is comprised of 12 components, each representing an important task or concept within the framework of an organization. The components and their definitions, as stated by Burke and Litwin (1992) are listed below.

External environment. The external environment is any outside condition or situation that influences the performance of the organization (e.g., marketplaces, world financial conditions, political/governmental circumstances).

Mission and strategy. Mission and strategy are what the organization's (a) top management believes is and has declared is the organization's mission and strategy and (b) what employees believe is the central purpose of an

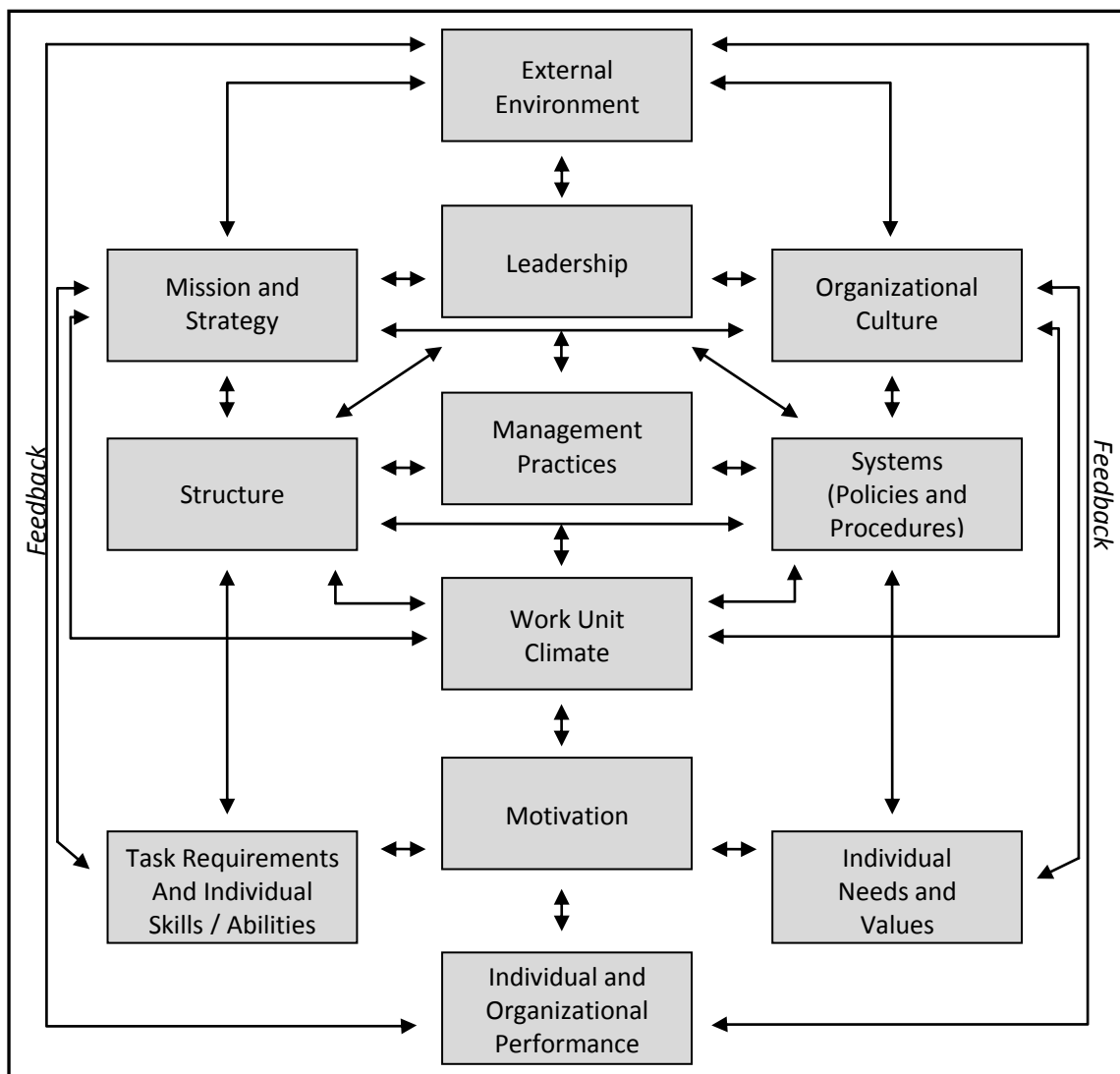


Figure 1. Burke-Litwin Model of Organizational Performance and Change

organization. Strategy is how the organization intends to achieve that purpose over an extended time scale.

Leadership. Leadership is executives providing overall organizational direction and serving as behavioral role models for all employees.

Culture. Culture is the collection of overt and covert rules, values, and principles that are enduring and guide organizational behavior.

Structure. Structure is the arrangement of functions and people into specific areas and levels of responsibility, decision-making authority, communication, and relationships to assure effective implementation of the organization's mission and strategy.

Management practices. Management practices are what managers do in the normal course of events to use the human and material resources at their disposal to carry out the organization's strategy.

Systems. Systems are standardized policies and mechanisms that facilitate work, primarily manifested in the organization's reward systems, management information systems (MIS), and in such control systems as performance appraisal, goal and budget development, and human resource allocation.

Climate. Climate is the collective current impressions, expectations, and feelings that members of local work units have that, in turn, affect their relations with their boss, with one another, and with other units.

Task requirements and individual skills/abilities. Task requirements and individual skills/abilities are the required behavior for task effectiveness,

including specific skills and knowledge required of people to accomplish the work for which they have been assigned and for which they feel directly responsible.

Individual needs and values. Individual needs and values are the specific psychological factors that provide desire and worth for individual actions or thoughts.

Motivation. Motivation is aroused behavior tendencies to move toward goals, take needed action, and persist until satisfaction is attained.

Individual and organizational performance. Individual and organizational performance is the outcome or result as well as the indicator of effort and achievement (e.g., productivity, customer satisfaction, profit, and quality) (Burke & Litwin, 1992, pp. 531-533).

Additional Concepts

The individual components of the Burke-Litwin Model, along with the conceptual and empirical research that contribute to the framework, do not entirely explain all of the useful concepts of the model. Additional features that make the model more dynamic include the distinction between transformational and transactional components, the significance of weighted arrows, and the incorporation of levels within the model.

Transformational and Transactional. The Burke-Litwin Model can be separated into components that are either transformational or transactional in nature. According to Burke and Litwin (1992), transformational change is “fundamental changes in behavior (e.g., value shifts). Such transformational processes are required for genuine change in the culture of an organization” (p.

527). Burke and Litwin assert that transformational changes are initiated from the environment component of the model. Transactional change is “the everyday interactions and exchanges that more directly create climate conditions” (p. 527). Transactional changes are typically exchanges between organizational members, both individuals and groups, and are generally short-term in nature (p. 530). The important distinction between transformational and transactional change within the model is that transformational change impact the organizational culture, whereas transactional change impacts the organizational climate.

To illustrate these distinctions, the model can be separated into two sections. The transformational section includes the external environment, organizational culture, organizational performance, mission and strategy, and leadership (see Figure 2). “For major organizational change to occur, the top transformational boxes represent the primary and noteworthy levers for that change (Burke & Litwin, 1992, p. 534). The transactional section includes structure, management practices, systems (policies and procedures), work unit climate, task requirements and individual skills/abilities, motivation, individual needs and values, individual performance (see Figure 3).

In their conclusion, Burke and Litwin briefly mention that the model has also been sectioned vertically. Corporate managers have studied the left hand side of the model (mission and strategy, structure, and task requirements and individual skills/abilities) in order to gain insights into their business workings. The middle and right hand side of the model, dealing with “soft” components,

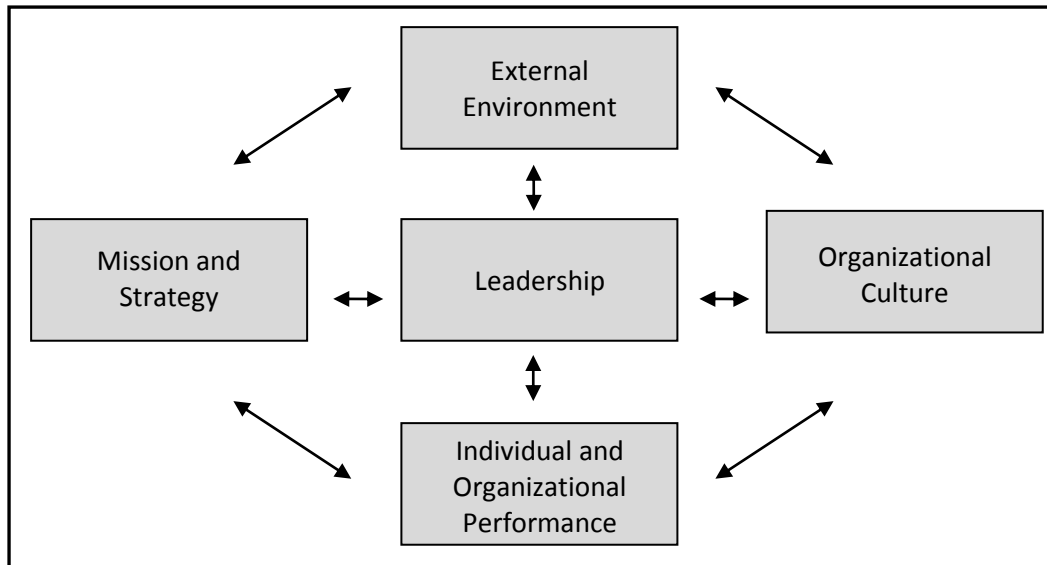


Figure 2. Transformational Components

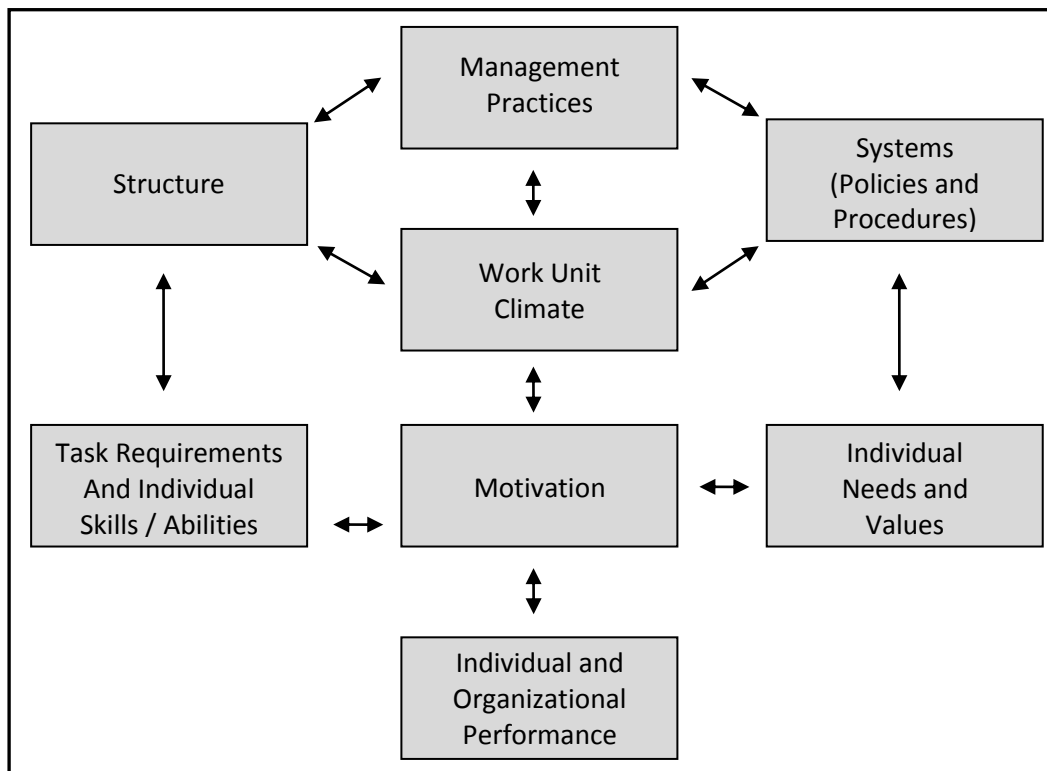


Figure 3. Transactional Components

have received favor from behavioral scientists (Burke & Litwin, 1992, p. 541).

These varied perspectives of the model add to its depth of usefulness.

Weighted Arrows. The arrows, as described above, symbolize the open system aspect of the Burke-Litwin Model. In addition, the arrows carry weights that represent the amount of change between components. The arrows in the transformational section of the model carry more weight, or have more influence on the change process. Change which occurs around these arrows is more likely to change the entire system.

Conversely, the weights in the transactional section of the model have a lesser influence on the amount change within the system. Changes associated with the lower arrows may not affect the entire system. Overall, the weights higher up in the model have a greater impact on the amount of change to the organization than the lower arrows. Burke and Litwin (1992) assert that the “weighted order displayed in the model is key” (p. 529).

Levels. As described earlier within this literature review, the Burke-Litwin Model also incorporates different levels of organization: individual, group, and system. Individual levels are represented within the task and individual skills, motivation, individual needs and values, and individual and organizational performance components. Group levels are represented within the work unit climate, systems, management practices, and structure components. System level components include the external environment, mission and strategy, leadership, and organizational culture. Some overlap may be seen within the group and system components. These levels are incorporated into the model to

address the aspects of systems theory, introducing the various parts of the system as a whole, in addition to the feedback loops. The levels also serve as a means of simplifying the model into manageable groups (Burke & Litwin, 1992).

Burke-Litwin Model in Literature

The Burke-Litwin Model is predominantly used within the literature from the field of business. A minimal number of instances of the model appear within the higher education literature. The model is used in both quantitative and qualitative methodologies, and in some instances, a mixed methodology.

Business. The Burke-Litwin Model is used within the business literature to analyze past or current change processes, assess organizational performance, and/or to validate the model. The framework was applied initially in Burke's own work with the British Broadcasting Corporation (BBC) and Dime Bancorp, Inc. In the case of the BBC, a survey derived from the model is given multiple times to BBC employees from 1993 to 1997 (exact survey completion numbers are not given, although Burke states that all employees completed the survey each year except the first, where only a portion of the staff participated) to assess the employees' impressions of the organization subsequent to the hiring of a new CEO (Burke, 2008). This "practical study" found that the model was able to inform management of how their employees perceived the company, particularly through the components of the Burke-Litwin Model. These perceptions can also change over time, depending upon the state of the company and external factors. Consistent with research, the leaders were

particularly instrumental to the change process (Baldrige, 1975; Burke, 2008; Cohen & March, 1986; Kezar, 2009).

Burke completed a similar study at Dime Bancorp, Inc. in 1995, which was formed shortly before, following a merger of two banking competitors. This case is distinct from the BBC study in that the purpose of the study was to assess the organization's progress towards a new culture that was defined within the new company's mission statement. The survey was administered to 125 executives within the company and responses were analyzed using regression analysis. Results indicated that individual needs and values, mission and strategy, and external environment all correlated with perceived organizational performance (Burke, 2008).

A 2002 mixed methods study examined the change and resulting organizational performance of Estonian companies in the years following the country's independence from the Soviet Union. A questionnaire for assessing organizational learning combined Kotter's (1995) lifecycle model, Kotter and Schlesinger's (1979) resistance to change framework, and Lahteenmaki, Mattila, and Toivonen's (1999) framework (as cited in Alas & Sharifi, 2002). The responses of this instrument, once subjected to analysis of variance, correlation analysis, and cluster analysis, were evaluated against the Burke-Litwin Model. Results showed that factors indicating transformational change were present in a majority of the Estonian companies, but resistance to change was also present. Managers were not prepared to understand or address the resistance (Alas & Sharifi, 2002).

Alexander (2003) examined the organizational cultural of 25,769 employees of a large, US based technology company and its impact on performance through an international survey. A combination of three of the Burke-Litwin Model components (management practices, organizational climate, and employee satisfaction) with Hofstede's cultural dimensions, was analyzed using hierarchical linear modeling (Hofsteade & Bond, 1983). Significant findings confirm the existence of a causal path between management practices, organizational climate, and employee satisfaction internationally, indicating that the causal feature of the Burke-Litwin Model is applicable in multiple settings, including international.

Organizational performance of a financial service firm was examined by Wacławski (1996) through a survey based on the Burke-Litwin Model, a branch shopper survey, and financial status. The data were collected in 1993 and 1994 in order to assess improvement in customer service and financial performance. Using correlation and regression analysis, the author found that management practices, systems, and job/skills match impacted customer service while leadership, the business environment, management practices, and motivation impacted financial performance.

A mixed method study used surveys and open-ended questionnaires from 193 employees of a health care facility to examine the performance of the organization following a period of significant cutbacks and rapid expansion. Content analysis and descriptive statistics found that the external environment influenced organizational performance, management practices, and individual

values (Di Pofi, 2002). The author also mentions that communication was referenced frequently within her analyses and that there was no clear category for that subject, although Burke and Litwin (2002) do clearly account for communication within their structure component.

The validity of the Burke-Litwin Model was tested in two distinct environments. An international hotel company was the subject of Martins and Coetzee's (2009) study, which tests the validity of the framework from a qualitative perspective. Focus groups of 147 employees and executives were conducted and a subsequent thematic content analysis was conducted using the Burke-Litwin Model as the coding frame. The authors stated that the Burke-Litwin Model is a valid means of "identifying and explaining multiple key organizational phenomena that affect the organization's performance and overall effectiveness" (Martins & Coetzee, 2009, p. 154). Fox's (1990) unpublished study used factor and multiple regression analysis to test the model as well as examine the model's tie to organizational culture. She administered a survey, based on several components of the Burke-Litwin Model, to 260 hospital employees and found that culture was an important factor in employees' perceptions of work unit climate and performance. The results additionally noted an apparent relationship between perceptions of management practices and organizational culture, confirming the applicability of the model (Fox, 1990).

Higher Education. The Burke-Litwin Model has been used only sparingly within higher education research. The model appears to predominantly act as a benchmark for leadership. In an unpublished study, Bandiho (2003) used a

phenomenological case study to describe the founding of a religious university in Tanzania. The Burke-Litwin Model was a benchmark for the examination in combination with the additional frameworks of OD and mission, with results indicating that elements of OD and mission were present, with strengths and weaknesses found within each of the Burke-Litwin Model components. The author concludes with a modified model specifically for future Catholic universities, which incorporates all of the Burke-Litwin Model in addition to elements of mission, service, community, and research (Bandiho, 2003). Another unpublished study used multiple regression analysis to compare the results of leadership and adaptation-innovation instruments to the transformational/transactional elements of the Burke-Litwin Model, which acted as a benchmark (Mitchell, 2005). Surveys of 143 administrators, managers, faculty, and staff at a private religious institution revealed that women were more likely to be transformational while men were more transactional. Additionally, administrators and those with a higher education, also tend to be more transformational. The Burke-Litwin Model was also used to inform future research methods, as shown in a 2008 study by Hardy and Rossi. These researchers, in examining creativity and innovation at a large, international university, used the model “as a diagnostic tool to better identify the key elements on which to concentrate efforts in order to achieve the objectives of organizational change” (Hardy & Rossi, 2008, p. 141). The application of the model to interview data yielded results indicating further exploration of climate and problem solving.

Summary

This chapter has reviewed the foundational literature of organizational change. Multiple lenses, including types, levels, and magnitudes, have been described in order to enhance perceptions of change processes. The discussion of change within higher education has provided insight as to how change is perceived within a particular environment. Additionally, the inclusion of the Burke-Litwin Model provides a dynamic perspective that is rarely applied to higher education environments, but can yield important insights.

This examination has also revealed gaps within the context of change processes following periods of mandated institutional reductions. There are few empirical studies examining change processes during restructuring periods, issues within which have focused primarily on retrenchment. Additionally, the literature tends to particularly address the institutional level rather than the college, group, or individual levels (Eckel, 2003; Gumpert, 1993; Rubin, 1979). A need for increased depth within studies of change has also been expressed (Astin, Keup, & Lindholm, 2002; Eckel, 2003; Rhoades, 2000). It is through the application of the Burke-Litwin model to the restructuring process of Western University's College of Education that this dissertation intends to address some of these needs.

CHAPTER 3

METHODOLOGY

This chapter will discuss the research methodology used to guide this study of the restructuring process at Western University's College of Education. The selection and application of a qualitative case study will be reviewed along with the selection of the participants, data collection, and analysis procedures. A final element of this chapter will be a discussion of validity and reliability, as well as ethical issues.

The research questions addressed during this investigation are as follows:

1. How did a college transform its structure as a result of mandated department eliminations?
 - a. How did systemic level components impact (or become impacted by) the reorganization process?
 - b. How did group level components impact (or become impacted by) the reorganization process?
 - c. How did individual level components impact (or become impacted by) the reorganization process?
2. Did any of the components or levels emerge as more influential during the planning of the reorganization?
3. How was the magnitude of the reorganization perceived?
 - a. Was the change perceived as transformational?
 - b. Was the change perceived as transactional?
4. To what extent is the Burke-Litwin model applicable to higher education?

Research Design

Applicability of Qualitative Methodology

Qualitative research was appropriate for this study because it enables the examination of how “parts work together to form a whole” while simultaneously conveying processes (Merriam, 2001, p. 6). These characteristics of qualitative research resemble the systemic nature of the Burke-Litwin Model as well as the process of change within a restructuring environment. Additionally, the rich description derived from a qualitative analysis can serve an important purpose by revealing various thoughts, perspectives, and worldviews, which is important for understanding change processes and informing leaders.

Applicability of Case Study

Within the qualitative research realm, a case study approach was selected for several reasons. The reasoning behind the use of a case study, in addition to the technical design elements, extends to addressing the gaps within the literature and the purpose of this study. A case study inherently examines a bounded system in significant depth and detail, which the literature review identified as lacking within the existing higher education change research (Eckel, 2003; Merriam & Associates, 2002). In this study, Western University’s College of Education is a bounded system which is examined through several components and levels. Merriam (2009) describes a case study as “offer[ing] a means of investigating complex social units consisting of multiple variables of potential importance in understanding [a] phenomenon” (p. 50). A case study

methodology sufficiently addressed issues of complexity and depth required for this system.

The application of a comprehensive, in-depth framework in higher education change research was also cited as lacking within the literature review (Kezar & Eckel, 2002a; Lattuca et al., 2009). The application of a framework is appropriate and necessary in the development of a case study. Applying different units of analysis to existing frameworks is a means of expanding the knowledge base and assessing the future applicability of frameworks (Yin, 2009). In this instance, the Burke-Litwin Model was applied as a theoretical framework to this case study.

The examination of the restructuring process at Western University, as previously mentioned, can also yield rich information for leaders facing similar reductions in the future. Another reason case study methodology was employed in this instance is because it “has proven particularly useful for studying educational innovations, for evaluating programs, and for improving policy” as well as for researching educational programs and problems (Merriam, 2009, p. 51).

Explanatory Nature of Study

This case study was designed to be explanatory in nature. Yin (2009) states that “how” questions are appropriate for an explanatory study (p. 8). The research questions of this study conform to this guide, but it is the assertions behind that statement which provide a more applicable argument for an explanatory study. Babbie (2007) describes that explanatory studies explain

attitudes, influences, patterns, and implications while Yin (2009) adds that explanatory studies “deal with operational links” (p. 9). This dissertation intended to explain these linkages and influences between organizational components which were affected within the change process, making this study purposefully explanatory.

Design of Case Study

This study used a single, embedded case study design. Yin (2009) states that the decision to conduct a single case study, as opposed to a multiple case study, can be rationalized as appropriate by its uniqueness or revelation. A unique case study would be one in which the rareness of the case would make the case worthy of investigation. A revelatory case study is one in which the problem being examined was significant, but had previously not been subject to much research (Yin, 2009). Although Western University’s restructuring is not the sole instance of restructuring within the higher education environment, the circumstances surrounding the change (mandated department eliminations, severe fiscal constraints, etc.) made the process unique. Additionally, few researchers have had the ability and access to examine such restructuring processes, particularly with sufficient depth. The present study combined elements of both uniqueness and revelation, thereby making the choice of a single case study acceptable.

The unit of analysis in this case study was the change process experienced by Western University’s College of Education. Yin (2009) states there may be “more than one unit of analysis...when, within a single case,

attention is also given to a subunit or subunits” (p. 50). This case was designed to include embedded subunits in addition to the main unit of analysis. The subunits conformed to two levels of the Burke-Litwin model, including individuals (administrators, faculty, and staff) and groups (departments/programs).

Time is also an important element within a case study, particularly due to its role in defining a bounded unit. The time under examination began at the point of the release of the list of departments considered for elimination, which occurred on February 24, 2010, as referenced in chapter one. The period of examination concluded when the College produced a reorganization plan to the Western University administration, which occurred on October 16, 2010.

Sources and Collection of Data

Approvals and Access

Prior to engaging in any data collection, formal approval was received from the University of Nevada, Las Vegas Institutional Review Board (IRB) (see Appendix A). IRB approval ensured that the human subjects within this study were protected and that the study was conducted in an ethical manner. I completed all of the institutionally-required training on the protection of human subjects and complied with all of the IRB’s recommendations. The forms required for IRB approval will be discussed within the ethics section of this chapter.

Approval was also received from the Dean of Western University’s College of Education. Gaining approval from the Dean is an important step in gaining access to and cooperation from the administrators, faculty, and staff. Although

there was not a direct benefit to the College of Education from its participation within this study, the results are informative to the College and to other institutions facing future reorganizations, particularly as restructuring becomes more prevalent within the higher education environment.

Interviews

Interviews were selected as a source of data for this study because of their ability to allow respondents to discuss issues which they believe are important, within the scope of the topic, while also allowing the interviewer to guide the discussion in order to gain additional depth or insight (Marshall & Rossman, 2006; Yin, 2009). In-depth interviews were conducted with nine individuals within the College of Education. These interviews were conducted in a manner in which the respondents' attitudes, perspectives, and impressions about the restructuring emerged during the conversation.

Marshall and Rossman (2006) state that "when the research questions are well developed beforehand and data appropriate to address those questions have been identified, the researcher's role can be managed efficiently and carefully to ensure good use of the available time (both the researcher's and the participants'") (p. 73). I considered the respondents' time as valuable, so my thorough preparation was a goal of this study. An instrument guiding these interviews was developed and incorporated to make this study effective and efficient (see Appendix B).

Participant Selection

A qualitative research sample should be derived from existing theory (Marshall & Rossman, 2006; Miles & Huberman, 1994). The participant selection for this study was predominantly guided the Burke-Litwin Model, which seeks to gain perspective from individuals, groups, and systems. To conform to these levels, a stratified purposeful sampling within different departments and among various positions of the College was applied to address group elements. Perspectives from leaders within the College and these departments added to the systemic elements. Each of the interviews added to the individual perspective. The researcher also allowed for flexibility, which is an important element of qualitative case studies, by maintaining willingness to gather information from key informants which emerged during the course of this study (Marshall & Rossman, 2006).

Applying the above guidelines to the Western University's College of Education required a review of the composition of the College (see Appendix C). The College of Education, prior to the reorganization, is composed of six departments, each including several programs. The total number of employees amounts to 128, with 110 faculty members and 18 staff. At the time of the participant selection, 18 faculty members were also serving in administrative positions within the college. Following the Burke-Litwin Model, the ideal composition of the sample would include college leadership (dean or assistant deans), departmental leadership (department chairs or assistant chairs), faculty, and staff as depicted in Table 1. Additionally, faculty members who

simultaneously serve on ad hoc committees relating to this reorganization were sought.

Table 1

Participant Breakdown

Positions	Sample	Correspondence to Burke-Litwin Model Levels
Dean/Assistant Deans/Department Chair/Assistant Chairs	2	Systemic, Group, Individual
Faculty/Reorganization Committee	6	Group, Individual
Staff	1	Group, Individual
Total	9	

A purposive sampling was conducted, with at least one individual randomly selected from each of the six departments in existence at the beginning of the reorganization process and from the members of the College administration. The participants were contacted through an email solicitation, which included a memo of support from the dissertation committee chair. If individuals contacted did not wish to participate in the study or did not respond to the email, another name was randomly selected from within the purposively selected department or position (administration). In total, 18 individuals were asked to participate in the study, with nine agreeing to be interviewed. In the

final sampling, three participants from eliminated departments, four participants from non-eliminated departments, and two administrators agreed to be interviewed. The participants were guaranteed confidentiality by the researcher. The members of the dissertation committee, including the dissertation chair, are not aware of the identities of the participants.

Documentation and Observations

Additional sources of data for this study include documents and observations. Documents and observations were used and examined in order to provide triangulation of emergent themes. Emails, meeting minutes, websites, faculty surveys pertaining to change, etc. that were used to communicate and facilitate the change process were collected. These documents were provided by anonymous informants throughout the reorganization process. Observations of meetings, focus groups, etc. were made by the researcher, notes on which added to the data.

Data Analysis

Miles and Huberman (1994) contend that data analysis should begin early in the data collection process in order to aid the researcher's reflection upon interview questions and data collection methods, enabling improvements as the research study progresses. This researcher agreed that keeping an analytical eye on all processes of the research aided in the comprehensiveness and accuracy of this study; therefore, early data analyses were incorporated into this study. Memos were written by the researcher shortly after each interview in order to capture both technicalities of the interview (dates, times, etc.) and the

researcher's initial impressions. This was in addition to the journal that the researcher has committed to in chapter one of this study.

All interview notes were transferred by the researcher into a Microsoft Word document as closely following the time of data collection as possible. At the time of transcription, all names and identifying references were replaced by pseudonyms in order to protect the identity of the respondents. All files were stored in a password protected file on the researcher's personal computer, which is not accessible to anyone other than the researcher. A backup file, safely stored by the researcher, was also made of the password protected documents for use in the event of a hard drive failure.

Coding, similar to the derivation of the research questions, can flow from a theoretical framework (Miles & Huberman, 1994). An initial list of codes conformed to the elements and components of the Burke-Litwin Model (see Appendix D). Utilizing these codes as a starting point, coding proceeded in order to allow relationships, impacts, influences, etc. to emerge. This style resembles Crabtree and Miller's (1992) Continuum of Analysis Strategies. The analysis commenced from a more "prefigured technical" perspective and then moved down the continuum towards an "emergent intuitive" approach as the analysis progressed (as mentioned in Marshall & Rossman, 2006, p. 155). Incorporation of different depths of analysis was beneficial, particularly within this study, for ascertaining themes at differing levels within the change process and organization.

The Atlas.ti software was the primary coding utility. The researcher has completed a workshop on the application of this software and feels comfortable with its application. The incorporation of this software allowed the above referenced organization to occur within a flexible and manageable environment.

Domain, taxonomic, and componential analyses, guided by Spradley's (1980) work, were completed in order to engage with and discover relationships and meaning among the data. An event map was also prepared in order to examine the influence of time on the reorganization process. These analyses are described in more detail in chapter four.

Validation of the Study

Addressing issues of validity and reliability is an important step in any empirical study. These issues are important in determining and representing the quality of the research (Babbie, 2007; Creswell, 2007; Glesne, 2006; Yin, 2009). Yin (2009) describes four tests which should be considered while designing a research study: construct validity, internal validity, external validity, and reliability (p. 41).

Construct Validity

Construct validity is "identifying the correct operational measures for the concepts being studied" (Yin, 2009, p. 40). In this study it was important that the items under study, as specified within the research and interview questions, were those that are actually being examined. To address construct validity, the researcher triangulated the data through various sources and types of data, in this case, interviews, document analysis, and observations. By having data

originating from more than one source, themes and relationships that emerged from the data analysis of one type of data were confirmed through the analysis of a second.

A second tactic to ensure construct validity was the use of member checking. Member checking is the review of a case report by informants within the study to confirm the results are accurate, from the perspective of the informant. The researcher sought select respondents to review the initial analyses derived from data analysis in order to confirm the validity of the results (Creswell, 2007; Glesne, 2006).

Additionally, the researcher's maintenance of a journal and memos added to the construct validity of this study. By noting perceptions, including biases, the researcher more easily ensured subjectivity and reflexivity during the study. This openness contributed to a more accurate analysis (Creswell, 2007; Glesne, 2006).

Internal Validity

Internal validity, appropriately applied in explanatory research, is "seeking to establish a causal relationship, whereby certain conditions are believed to lead to other conditions, as distinguished from spurious relationships" (Yin, 2009, p. 40). For this study of change processes, it was important to ensure that the impacts and influences that emerged from the data were representing actual links between two components, not a link from an extraneous variable. Internal validity is addressed most commonly during the during the data analysis process. The use of pattern matching, "compar[ing] an empirically based pattern with a

predicted one,” was employed in order to meet the test of internal validity (Yin, 2009, p. 136). In particular, the case study was compared to the Burke-Litwin model, which provided theoretical guidance during the data analysis process.

External Validity

External validity is “defining the domain to which a study’s findings can be generalized” (Yin, 2009, p. 40). As stated in Chapter One, one of the limitations of a single case study is that the results cannot be generalized beyond the defined boundaries of the case. It is possible, however, for the case study to be generalized to theory (Yin, 2009). This examination of the College of Education’s reorganization contributed to the literature of change processes, particularly college reorganizations, and also extends the use of the Burke-Litwin Model.

Reliability

Reliability is “demonstrating that the operations of a study – such as the data collection procedures – can be repeated, with the same results” (Yin, 2009, p. 40). In qualitative research, where studies are typically not replicated, the most appropriate way in which to ensure reliability is through “operationalization” of the research process (Babbie, 2007; Yin, 2009, p. 45). The researcher followed this research design, but was flexible, as described in Chapter Four, in order to ensure the richness of the data.

Ethical Considerations

There are ethical considerations involving the participants that were addressed before the commencement of the study. Interviews of participants were conducted in order to gain different perspectives of the reorganization

process. Because these individuals were involved with the reorganization, they were also situated in a politically-charged environment. As such, the researcher was committed to ensuring the data collection was accomplished in a confidential and discreet manner.

Even with the researcher's assurance of confidentiality, there were risks to the participants. Every participant was required to sign a form, consistent with the IRB requirements, acknowledging that they were participating in this study at their own discretion (see Appendix E). The form disclosed the potential risks, including emotional distress and harm to reputation.

The participants did not receive any direct benefit from participating in this study, but indirect benefits, such as this study's contribution to the higher education change literature may be recognized. Another benefit of this study is its ability to inform future college administrators, faculty, and staff in future reorganizations.

Summary

This chapter details the methodological design which was used to guide the study of the reorganization process of Western University's College of Education. First, the decision criteria for a qualitative explanatory case study were discussed. Second, the procedures guiding the data collection and analysis were described. The chapter concludes with a validation of the study, along with ethical considerations.

CHAPTER 4

DATA ANALYSIS AND FINDINGS

“Making sense out of data involves consolidating, reducing, and interpreting what people have said and what the researcher has seen and read – it is the process of making meaning” (Merriam, 2009, pp. 175-176). This chapter will describe the data analysis procedures used within this dissertation to interpret the data, which includes interview coding, domain, taxonomic and componential analyses, and event mapping.

Initial Analysis and Coding

Analysis for this project began during the data collection process. Many methodologists extoll the virtues of the early incorporation of analysis in order to focus and guide the data collection and ease the transition into the full data analysis step (Marshall & Rossman, 2006; Merriam, 2009; Saldaña, 2009; Bernard & Ryan, 2010). As per their recommendations, I took notes and reflections during and following the interviews, logging congruencies, dissimilarities, and observations. Interview questions were fine-tuned throughout sequential interviews as I learned where clarifications were required or which terminology was more readily understood by the participants. For instance, one question asked “looking back on the reorganization process, were there elements of the reorganization that emerged as important that you had not previously considered? Describe.” Initially, participants were not clear on the meaning of this question, but I made adjustments and expanded upon this question to ask if there were any aspects of the reorganization that surprised the participants, which was clearer to subsequent interviewees. Additionally, one early participant

revealed another interesting and pertinent perspective when he stated “if there were any strengths to this process...” This question was then incorporated into subsequent interviews.

The levels (and the subcategories within the levels) of the Burke-Litwin Model guided the initial coding of the data (the initial codes are listed in Table 2 within chapter 3). The codes were organized into hierarchies, in order to lend “structural order” to the process. The hierarchies depicted relationships among the data that are distinct within each category (Miles & Huberman, 1994; Bernard & Ryan, 2010). As described within chapter three, the analysis progressed from a “prefigured technical” perspective to an “emergent intuitive” approach (as mentioned in Marshall & Rossman, 2006, p. 155). All of the coding was completed with the use of the Atlas.ti software program, to help organize and analyze the data.

Saldaña (2009) notes that, when working with multiple participants, it is helpful to code all of the data from one participant then move on to the others. In this case, I found that the amount of data was vast, and therefore was better able to accomplish the initial coding by addressing each interview question from all of the respondents, one at a time, instead of examining each entire interview separately. This process allowed for a consistent analysis among the categories of the framework, and more efficiently surfaced commonalities and contrasts. One drawback from this process is that some respondents addressed issues of an interview question later, which forced me to revisit the interview as a whole to ensure all of the data were accurately coded.

I used the strategy of recoding (a process by which the initial coding is reviewed in order to refine the categorization of the data) to maximize the validity of coding assignments to the data (Merriam, 2009; Saldaña, 2009). This was an important step within this analysis because sub-codes and categories emerged past the initial list of codes, which more accurately reflected the meaning of the data but required updates to the data.

Domain Analysis

Spradley (1980) writes that analysis is “the systematic examination of something to determine its parts, the relationship among parts, and their relationship to the whole. Analysis is a search for patterns” (p. 85). It is these patterns that are found within the data that allow researchers to make inferences and determine the cultural meanings which are socially constructed within a situation. This ethnographic approach was applied as one analytic perspective within this dissertation (Spradley, 1980). Domain analysis is the first of three steps, proceeding to the taxonomic, and concluding with the componential analysis. A domain analysis seeks to identify the initial relationships among the data, as informed by the initial coding process. Semantic relationships among the initial codes and the components of the Burke-Litwin Model were explored. Domains relevant to the change under study emerged from this process.

Bernard and Ryan’s (2010) description of the purpose of a domain analysis clearly demonstrates that such an analysis is appropriate for this study. They state that a goal of a domain analysis “is to elicit the content of a domain (its elements) and to understand the domain’s structure – that is, how its

elements are thought by people in a culture to be related to each other. Another goal is to understand how the content and structure of cultural domains vary across cultures or subcultures” (p. 164). The purpose of this study is to examine the restructuring process of the College of Education, which can be accomplished by examining participant’s perspectives in relation to one another and as they are interpreted within their culture. Purposefully seeking nuances across the different departments and positions, which adds to the depth of the analysis, can be seen as examining the subcultures within the College of Education and an appropriate step within a domain analysis.

A domain is a “category of cultural meaning” (Spradley, 1980, p. 88). In finding domains (or covered terms) within data, researchers seek semantic relationships, or relationships that link categories within a single domain. The semantic relationship is the tie or connection between categories within a domain (included terms) and the domain itself (the covered term). Spradley (1980) has proffered several basic semantic relationships between domains and the categories within the domain which were pertinent to this analysis: strict inclusion (x is a kind of y), cause-effect (x is a cause/effect of y), rationale (x is a reason for y), function (x is used for y), means-end (x is a way to do y), and attribution (x is a characteristic of y).

In this case, I completed domain analyses for each component of the Burke-Litwin Model. Within each of the components data were reviewed, including interview transcripts, documents, and notes. I was seeking semantic relationships, or relationships between what was said within the data and the

emergent domains. Using a domain that had emerged within the coding, I started with the “strict inclusion” semantic relationship and then read the data “with a question in mind: ‘Which term could be a kind of something?’” (Spradley, 1980, p. 95). The results are then categorized with the included terms (categories within the domain), semantic relationships (the relationships between the terms), and covered terms (the domains). This process is completed using appropriate semantic relationships for each of the domains.

One example of a semantic relationship (rationale) and the domain (reorganization) from within the external environment component of the framework is shown in Table 2. The complete domain analyses for all of the components are included in Appendix F. For the purposes of illustrating the different semantic relationships, an example from only one component is depicted within the text. As patterns emerge from the subsequent analyses, noteworthy findings will be discussed in more detail within the chapter.

For this particular example of the domain analysis, I began by looking at what common themes or patterns emerged from the coding of the data within the component of the External Environment. The data revealed several reasons, from outside the College of Education, as to why the College was facing the reorganization. The “rationale” or “reason for” semantic relationship seemed an appropriate starting point given the numerous reasons for reorganization, which became the domain.

Table 2

Domain Analysis of Reorganization within the External Environment Component

Included Terms:	Relationship: Rationale	Covered Term:
Decreasing demand for education programs	...is a reason for...	Reorganization
Major financial challenges		
A low-money state		
High costs		
Economy took a dive		
Markets are drying up		
Great Recession		
Budget problems		
Transient culture		
No investment in education		
Horrible state economy		
Perfect storm		
Reduction of resources		
Mandate		
Duplication of programs/services		
Reorganizations in other states		
Competing institutions		
Enormous inefficiencies caused by rapid growth of university		

The included terms were either direct comments from the respondents or documents, or a meaningful compilation of two or more similar responses. For example, one respondent actually said that this was a “perfect storm” therefore, similar to in vivo coding, the actual terminology is used within the analysis. In another instance, several respondents referred to “budget cuts” or “how the budget had looked bad,” which were then combined as “budget problems” within the analysis. In either situation, I attempted to incorporate included terms that had a semantic relationship to the domain, but were distinct enough to stand separately as a category within the domain.

This process was repeated for all components of the Burke-Litwin Model until all of the themes that had previously emerged from the coding were

exhausted. The example “reason for reorganization” domain is just one of several domain analyses generated from within the External Environment component. A summary of the domains (covered terms) and the semantic relationships found within the data is included in Table 3. Because the domain analysis is just one step in the process leading to the componential analysis, the findings did not emerge clearly at this point. The domains which emerged as important to this study are, therefore, discussed in depth following the description of the componential analysis.

There were domains that emerged within the data that did not clearly fit within a component of the Burke-Litwin Model. These instances, which include individual emotions and time aspects, are included as additional domains separate from the framework’s components and also included in Appendix F and Table 3. Because these domains emerged as initially important, they were included in all of the future analyses, and discussed within the componential analysis section of this chapter.

Table 3

Summary of Domains

COMPONENT	SEMANTIC RELATIONSHIP	DOMAIN (COVERED TERM)
External Environment	Rationale	Reorganization
	Attribution	Faculty Senate
	Strict Inclusion	Concern Regarding Reorganization Mandate
		Presidential Objectives
		Reactions to the President and Senior Administration
		Reactions to the Hit List
	Cause/Effect	Reorganization Mandate
Mission & Strategy	Strict Inclusion	Perception of the COE’s Mission
	Cause/Effect	Reorganization

Leadership	Strict Inclusion	Informal Leader
		Action by Informal Leader
		Action by Dean's Office
		Criticism of Dean's Office
		Sympathetic Voice for the Dean
		Action by Department Chairs
Organizational Culture	Means-End	Act/React
	Strict Inclusion	Historical Influence
		Not Learning from Past
Work Unit Climate	Strict Inclusion	Identity Conflict Due to Distinction between Program/Department
	Cause/Effect	Conflict
	Means-End	Be Proactive in the Reorganization
		Work Together
		Maintain the Status Quo
		Maintain a Reputation
Systems	Strict Inclusion	Identify with Others
		HR Concern
Management Practices	Strict Inclusion	Policy Concern
		Action of Dean's Advisory Committee (DAC)
		Management Strategy of the Reorganization Process
		Objective of the Reorganization
		Confusion Regarding Models
		Merger/Separation Issue
		Perception of the Reorganization
		Resistance to Change
Structure	Attribution	DAC
	Means-End	Reorganize Better
	Rationale	Change Structure
Task Requirements & Individual Skills	Cause/Effect	Reorganization/Cuts
Motivation	Rationale	Decreased Motivation
		Maintaining Motivation
Needs & Values	Means-End	Have a Voice in the Process
		Lack a Voice in the Process
	Strict Inclusion	Reliance on Past Experiences
		Lack of Communications
		Concern Regarding Identity
	Attribution	Identities of Educators
	Rationale	Not Speaking Up
Performance	Cause-Effect	Change in Performance
	Strict Inclusion	Change in Performance
Emotions	Strict Inclusion	Emotional Impressions
Time	Strict Inclusion	Perception of Time

Taxonomic Analysis

The domain analysis step is followed by a taxonomic analysis. A taxonomy logically flows from the work of the domain analysis by adding

hierarchical categories to the relationships determined within the cultural domain. Additional organizational and structural features usually emerge as a result of this deeper look within the domain (Spradley, 1980).

To complete the taxonomic analysis, the domain analysis was examined for patterns of similarities or differences between the included terms of each domain. Sub-categories were created to further clarify the relationships between the included terms and the domain. This step was completed for each of the domain analyses previously generated within the Burke-Litwin Model's components and also for the additional domains not captured by the model.

To display the data within the taxonomy, the included terms of the domain analysis become the evidence within the taxonomy. The hierarchical relationships, or taxonomies, are depicted in relation to the domain (Spradley, 1980). Expanding upon the aforementioned domain analysis example, the taxonomic analysis for "reasons for reorganization" is shown in Table 4.

The complete taxonomic analyses and additional domains, again organized by components of the framework, are displayed in Appendix G. A summary of the domains and their taxonomies is included in Table 5.

Table 4

Taxonomic Analysis of Reorganization Domain within the External Environment Component

DOMAIN	TAXONOMY	EVIDENCE
Reasons for Reorganization	Economic Influences	Major financial challenges
		A low-money state
		High costs
		Economy took a dive
		Markets are drying up
		Great Recession
		Budget problems
		Transient culture
		Horrible state economy
		Perfect Storm
	Higher Education Influences	Decreasing demand for education programs
		No investment in education
		Mandate
		Duplication of programs/services
		Reorganizations in other states
		Competing institutions
		Enormous inefficiencies caused by rapid growth of university
		Perfect storm

Table 5

Summary of Domains and Taxonomies

COMPONENT	DOMAIN	TAXONOMY	
External Environment	The Hit List	Target	
		Confusion	
		Criticisms	
	President/ Administration	Mandate for Reorganization	Generated Concerns
			Increased Participation
			Added Legitimacy
			Fear
		Objectives	
		Perceptions	
	Faculty Senate	Communications	Positive
			Negative
		Data Collection & Analysis	Positive
			Negative
	Reasons for Reorganization	Economic Influences	
		Higher Education Influences	
Mission & Strategy	Perceptions of Mission & Strategy	Problems with Mission & Strategy	
		Positive Aspects of Mission & Strategy	

	Reorganization's Effects on Mission	Shift in Mission	
		No Change in Mission	
Leadership	Informal Leaders	Who They Were	
		What They Did	Positive Actions Negative Actions
	Dean's Office	Positive Actions	
		Criticisms	Communication Consideration of Faculty
		Sympathetic Voices	
	Actions by Chairs	Positive	
		Negative	
Organizational Culture	History	Influences	Personal Departmental Administrative
		Lack of Learning from Past Experiences	
		Positive Reactions	Getting the Job Done Collaboration
	Shift in Culture	Negative Reactions	False Sense of Collaboration Protecting Resources
		Between Departments	Resources Identity
			Within Departments
Work Unit Climate	Identity	Distinction between Department and Program Reputation	
		Compare with Others	Aspirational Similar Experiences
		Proactive Collaborative Maintenance	
	Actions	People	
		Rewards/Compensation	
		Infrastructure Rules/Regulations Students	
Systems	HR Concerns	People Rewards/Compensation	
	Policy Concerns	Infrastructure Rules/Regulations Students	
Management Practices	DAC	Intention	
		Communication	Positive Negative
		Character Influence Outcomes	
		Actual Suggestions	
		Physical Moving Issues Happy As Is	
	Strategy for Reorganization	Physical Moving Issues Happy As Is	
	Resistance to Change	Objectives Merger/Separation Concerns	
	Reorganization Plan	Confusion	Process Operational
		Perceptions	Disappointment Healthy Change
		Criticisms	
		Questionable Ethics	

Structure	Need for Structural Change	Causes	
		Desired Outputs	
Task Requirements and Individual Skills	Reorganization's/ Cut's Effects on Tasks and Skills	Tasks	
		Perceptions	
Motivation	Motivation	Decreasing	
		Maintaining	
Needs and Values	Voice in the Process	Opportunity	Participation
			Representation
			Missed
		Lacking Opportunity	Participation
			Representation
	Identity	Concerns for Reorganization	Maintaining Identity
			Finding Identity
			Naming Issues
		As Defined by Past Experiences Of Educators	Survival
			Knowledge
	Information	Lack of Communication	
		Control of Information	
Performance	Changes in Performance	Causes	
		Effects	Increased Efforts
			Increased Efficiency
			Negative Aspects
Emotions	Emotional Impressions	Initial Reaction to News of Cuts	
		Reactions to the Ongoing Situation	
Time	Perceptions of Time	Lack of Time	
		Use of Time	
		Time as a Strategy	

Componential Analysis

Domain and taxonomic analyses are precursors to a componential analysis. Spradley (1979) states that a componential analysis “involves a search for the attributes that signal differences among symbols in a domain” (as cited in Saldaña, 2009, p. 137). The contrasts that appeared from the meanings that participants expressed within the data are more clearly identified by sorting domains, or at a deeper level the categories within domains, by participant. In this case, the componential analysis is where the majority of findings emerged.

For this research, the componential analysis built directly upon the domain and taxonomic analyses. Initially, each of the categories within all of the domains

was listed in a matrix by participant attributes (department, position, etc.). This proved to be too detailed in order to discern any patterns or contrasts. Two broader perspectives were then taken by aggregating the data at both the taxonomic and the domain levels, across participants. The domain level is helpful in identifying which domains are noteworthy. The taxonomic level serves to identify the contrasts and anomalies that emerged within the analysis. It is a combination of these aggregated data that is presented below. Decision rules were implemented in order to determine which domains to explore more deeply. When seven, which is approximately three-quarters, of the respondents have indicated that a domain is significant, the domain is then examined more closely to discern possible further meaning. In examining those important domains further at a deeper level, sub-domains that are referenced by four or more respondents are discussed. I thought this decision rule to be sufficiently conservative to capture patterns. Additionally, where noteworthy patterns within the data are identified by the researcher among the different attributes of the participants, (department, position, etc.) the domains are explored further and discussed.

The componential analysis and its findings are presented below. The data are organized according to the systemic, group, and individual levels of the Burke-Litwin Model.

Systemic Level

Four components of the Burke-Litwin Model are included within the systemic level: the external environment, mission and strategy, leadership, and

organizational culture. Of the systemic components, domains within all of the components emerged as noteworthy within this analysis (see Table 6). Each of the darker highlighted domains as shown in the table is discussed below in more detail.

Table 6

Componential Analysis of Systemic Components

Components & Domains	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
EXTERNAL ENVIRONMENT									
The Hit List		X				X		X	X
President/Administration	X	X	X	X	X	X	X	X	X
Faculty Senate	X	X	X			X	X		X
Reasons for Reorganization	X	X	X					X	X
MISSION & STRATEGY									
Perceptions of Mission	X	X	X		X			X	X
Reorganization's Effects on Mission	X	X	X	X	X	X	X	X	X
LEADERSHIP									
Informal Leaders	X	X	X	X		X	X	X	X
College Administration	X	X	X	X	X	X	X	X	X
ORGANIZATIONAL CULTURE									
History	X	X	X	X		X	X	X	X
Shift in Culture	X	X	X	X	X	X	X	X	X

An interesting note is that the administrators and participants from eliminated departments discussed almost all of the domains within the systemic components, as demonstrated in the table with the lighter highlighting. Those participants from non-eliminated departments, although mentioning some of the systemic components, did not discuss these components, particularly the external environment, at the same depth. This finding could be important, as changes within systemic components produce transformational change. The administrators and participants from eliminated departments may find this reorganization more transformative than those participants from non-eliminated departments.

External Environment

The external environment is defined as “any outside condition or situation that influences the performance of the organization” (Burke & Litwin, 1992, p. 531). This analysis indicates that the President and his administration were influential in the reorganization process of the College of Education. It is important to note that because this case study is of the College of Education, the University administration is considered external to the College and therefore examined within the external environment component of the Burke-Litwin Model.

The President and his administration were mentioned by all of the participants of this study (see Table 7). Within this domain, the President’s mandate, the objectives for the reorganization, and some perceptions of the administration’s actions were discussed. The fear generated by the President’s

mandate and the perceptions of the President/administration emerged as noteworthy findings within the domain.

Fear. The President addressed the College of Education in June and again at the August Back to School meeting and issued a mandate to reorganize. The actual delivery of the mandate was paraphrased by some: “do it by the end of the year or I’ll [the President] do it for you and you may not like my solution” or “you don’t want me [the President] doing this.” The mandate sufficiently sent an “electric shock” through the College, along with the realization that this charge for reorganization was a serious threat, the impetus of fear. One person described how fear spread through the College, with “terror and anxiety now acting like a contagion.”

Table 7

President/Administration Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
President/Administration									
Mandate									
Generated Concerns							X		
Increased Participation					X	X			
Added Legitimacy								X	
Fear		X			X	X		X	X
Objectives	X	X							
Perceptions	X	X	X	X	X	X		X	X

Perceptions. Perceptions of the President and his administration were also discussed by a majority of the respondents and varied from critical to supportive stances. One of the respondents revealed his perceptions of the administration by expressing that “either the administration is very ignorant or very clever. Traditionally, and in the literature, the administration is very clever. Make the faculty make the decision.” There was one sentiment that expressed more deliberate actions on the part of the administration, that the “dismantling was planned and purposeful by the President – and I don’t blame him.” Another person, from an eliminated department expressed support of the administration, saying “the University administration took appropriate steps. What else could they do in that situation? The President has a tough job.”

In addition to prompting a sense of fear within the college and describing their perceptions, the external environment also revealed other findings, although not by a majority of the individuals. The mandate also increased the number of people participating in and adding a sense of legitimacy to the reorganization. The objectives of the President/administration were also mentioned.

Mission and Strategy

The mission and strategy component is defined as “what the organization’s (a) top management believes is and has declared the organization’s mission and strategy and (b) what employees believe is the central purpose of the organization” (Burke & Litwin, 1992, p. 531). This analysis indicates that the reorganization’s effect upon the mission is an important theme, with all of the participants discussing this topic. This domain explores whether

the mission shifts as a result of the reorganization or remains the same. When exploring the differences among groups within this domain, there is a difference along the positional lines within the College: administrators express their opinion that there will be a shift to a more “refocused” mission whereas faculty and staff describe that there will be no change with the existing mission.

Administrators described that the mission would become increasingly focused on collaboration (see Table 8). The mission would also include a change to the College’s focus on school-based activities, which was included prior to the reorganization, but not emphasized. One administrator felt that the “slimmed down” mission will have a “clear, focused shift.” An emphasis on teaching and learning, which was not present in the previous mission, would emerge as well.

Table 8

Reorganization’s Effect on Mission Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
Reorganization's Effects on Mission								
Shift in Mission								X
No Change in Mission	X	X	X	X	X	X	X	

All of the faculty and staff participants agreed that there would not be a change in the mission of the College. Some respondents indicated that although the mission would not change, the College would continue to act toward and accomplish its existing mission. One faculty member expressed this by stating that “overall, there was no change to the mission. The College will still train people. There will still be a focus on research productivity. That will not change. It has remained fairly consistent – doing the same job with fewer resources.” In describing the intentions of the Dean’s Advisory Committee (DAC), another faculty member agreed that “the mission and strategy stayed the same. They (the DAC) were interested in how we could maintain what we wanted to be about...looked at how can you continue to do what you do, but in a different format.” Another respondent agreed that the mission would not change, but expressed that the mission is not given consideration when he said that “there is no ownership of mission; therefore, it is not the center focus of change. The mission statement won’t change in written form. How it is acted on by faculty won’t change.”

Leadership

Burke and Litwin (1992) describe leadership as the people “providing overall organizational direction and serving as behavioral role models for all employees” (p. 532). As might be expected in a study of reorganization, both domains within the leadership component emerged as important. The administration within the College of Education was one domain, within which positive actions, criticisms, and sentiments were expressed. A second domain

that emerged is that of informal leaders, particularly who they were and what they did.

Role of administration. All of the participants in this research project discussed the college administration's role within the reorganization process (see Table 9).

Positive actions of Dean's office. Positive actions of the Dean's office were mentioned by almost all of the respondents from non-eliminated departments. These positive actions included the efforts expended by the administration during the reorganization process, including during the summer break, and their efforts to hear the input of the faculty and staff. One faculty member described these efforts of the administration:

The administration was trying to be considerate of the faculty by taking time to learn what departments do and learning departments' missions in order to see how they could come together. Given the time, they did the best they could.

Another faculty member agreed by stating "the Dean was respectful of not making decisions without the faculty. The Dean's office spent hundreds of hours working, trying to be inclusive." One person recognized the Dean's office and department chairs' efforts by stating that "people were very generous with their lives."

Another positive action noted of the administration was its ability to "keep them calm – that's what chairs and deans have done." In addition to helping people remaining calm, the Dean's office felt a responsibility to maintain a

positive attitude. These sentiments were not echoed by those participants from eliminated departments, who were quiet on the positive actions of the Dean's office.

Table 9

College Administration Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
College Administration									
Dean's Office									
Positive Actions			X		X	X	X	X	X
Criticisms									
Communication	X	X	X	X					X
Consideration of Faculty		X				X			
Sympathetic Voices	X		X	X		X	X		X
Actions by Chairs									
Positive				X		X	X	X	X
Negative	X								

Communication criticisms of Dean's office. Criticisms of the college administration were primarily aimed at communication efforts by the administration. All of the faculty member participants from eliminated departments were critical of the communication efforts of the administration. Consensus among these members was that the administration, "when confronted

with realities, reverted to ‘trust me - it will all work out’ or “don’t worry - everything will be fine’ from department and college leadership.” One opinion, among these faculty members, was that not enough meetings were held. A staff member described that “communication issues have been the main problem.” Another person agreed that possibly not enough communication efforts occurred, but questioned the amount of information that was available to distribute, stating “the Dean’s office could have done a better job communicating with faculty. There were some memos, but brown bags [lunches with faculty and administration] were stopped. Maybe he [the Dean] didn’t have a lot of information to give.”

Sympathetic voices. Another theme that has emerged within the leadership component is that of sympathy for the position of the Dean and his office. A majority of the respondents felt that this reorganization was not something that either the Dean or his office could have anticipated upon entering their positions; therefore, this places those leadership roles in context. A faculty member said that “they didn’t have a choice. The Dean’s office was forced into that position” or “blindsided.” One respondent describes this as “not a winnable situation. He [the Dean] tries, but how do you come out of an unwinnable situation?” Deeper sentiments were also expressed by one person who stated “the Dean didn’t sign on for this...my heart aches...he had a terrifically hard job.”

Positive actions by chairs. The positive actions of department chairs also emerged as a finding within the leadership domain. Similar to the Dean’s office, the chairs were noted for their efforts to keep individuals calm. One staff

member in a non-eliminated department explained the calming nature of her department chair by stating that “He tries to prevent panic. He is the best person for the job (personality, capability, leadership).” A faculty member from another non-eliminated department said “we have a positive and calm department chair. There were no heated meetings – no one crying in hallways.”

The department chairs were also recognized for their hard work during the reorganization. They “diligently gathered information from faculty...responded to the Dean. They were doing their best all summer long.” They also played an important role in communication efforts. Many chairs had “open door” policies, remaining approachable for faculty members.

Informal leadership. Almost all of the participants, when asked if informal leaders emerged during this reorganization process, responded affirmatively (see Table 10). These informal leaders were people that were active within the reorganization process. Some people felt that members of the DAC were informal leaders because “they had leadership and courage. Their efforts were most refreshing.” Others felt that they were the people who were vocal throughout the process, during college-wide, departmental, and committee meetings. A few expressed that even some less vocal people also were seen as informal leaders, people that were more “behind the scenes.” One person felt that even with all of the efforts, no informal leaders emerged.

These informal leaders were credited with positive actions, such as becoming active participants, being vocal during the process, quietly expressing their opinions, using connections, or taking the lead on things. Faculty

participants from eliminated departments mentioned that some actions by informal leaders had a negative effect. One person expressed that there were “more behind the scenes leaders in the opposite direction – ‘power brokers.’ Sometimes, people with power outside of the college did not speak.” Another person agreed that some people were “vocal in a negative way...not very professional.”

Table 10

Informal Leaders Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
Informal Leaders								
Who They Were	X	X	X			X	X	X
What They Did								
Positive Actions		X		X		X		X
Negative Actions		X	X					

Organizational Culture

The culture is described as “the collection of overt and covert rules, values, and principles that are enduring and guide organizational behavior” (Burke & Litwin, 1992, p. 532). The organization’s historical context is also an important consideration in examining organizational culture (as referenced by

Schein, 1983, in Burke & Litwin, 1992). Within this analysis, the history of the college and the shift in culture as a result of the reorganization process both emerged as important themes.

History. The data, when examining the historical influences upon the culture, is divided among personal, departmental, and administrative lines (see Table 11). A few individuals discussed the impact that interpersonal relationships had on the history of the college, such as some faculty and administrators that do not “coexist well” together as well as the influence of politics. The departmental and administrative influences were more predominant in this discussion.

Table 11

History Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
History									
Influences									
Personal				X		X			
Departmental		X	X			X		X	
Administrative	X	X	X	X		X	X		X
Lack of Learning From Past	X	X							X

Departmental influences. Departmental influences were mentioned by several participants. These participants appear to be in agreement that the departments are divided and operate within silos: “We were stuck in a silo. Silos did not encourage interaction. There were six departments that didn’t talk to each other effectively. There was no collegial interaction supported by structure.” Another person suggested that “there is a culture of mistrust between units,” within which jealousy and competition both play roles.

Administrative influences. The administrative influence upon the history of the College was discussed by almost all of the participants. As briefly mentioned earlier, the interim nature of the Dean’s position within the College has played a role in shaping the organizational culture. Several people credit the interim nature with decreasing the power and influence of the College. One person described that “because our Dean is interim, there is no sense of power in administration. That is a weakness.” Another person addresses turnover among leadership, saying that the College is “viewed as dysfunctional from outside the College of Ed.” Another person described the impact of this decreased power within the college by stating that “interim status makes it easier to pick apart and criticize, because you know that person won’t be here as your boss for the next seven years.”

Shift in culture. The second domain within the organizational culture component is the shift in culture that occurred during this reorganization process (see Table 12). The data revealed a shift in both positive and negative

directions, and interestingly although not surprisingly, the shifts were along the lines of eliminated and non-eliminated departments. Participants from non-eliminated departments felt a positive change in the culture towards collaboration and getting the job done. Participants from eliminated departments felt that the culture had shifted in a negative direction towards a false sense of collaboration and protection of resources.

Table 12.

Shift in Culture Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
Shift in Culture								
Positive Reactions								
Getting the Job Done					X		X	X
Collaboration				X	X	X	X	X
Negative Reactions								
Self over collective	X		X					
False Sense of Collaboration	X	X						
Protecting Resources	X	X						

Every participant from non-eliminated departments mentioned that collaboration emerged during the reorganization process. This collaboration may be the result of the necessity to work together towards a common goal, as

expressed through a “culture of rallying”. One person said “The reorganization gave everyone a cause to rally around. People felt that the College was singled out being on the cut list. This was an opportunity to bring people together.” This new cohesion was demonstrated through people’s attempts at being “collaborative and open-minded.” An increased sense of understanding others was evident: “There was collaboration – who colleges are and who they’ve been.”

Group Level

The components of the Burke-Litwin Model that fall within the group level include climate, systems, management practices, and structure. Of these four components, domains emerged within both the work unit climate and management practices components (see Table 13).

Climate

The climate is described by Burke & Litwin (1992) as “the collective current impressions, expectations, and feelings that members of local work units have that, in turn, affect their relations with their boss, with one another, and with other units” (p. 532). Within this component, department/program identity emerged as a domain. Additionally, although not all respondents mentioned conflict at the work group, or departmental level, it is noteworthy that all of the participants from eliminated departments discussed conflict whereas none of the same concerns were mentioned by participants from non-eliminated departments.

Table 13

Componential Analysis of Group Components

Components & Domains	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
CLIMATE									
Conflict	X	X	X						
Department/Program Identity	X	X	X	X		X	X		X
Actions			X	X	X		X	X	X
SYSTEMS									
HR Concerns	X	X			X		X	X	
Policy Concerns	X	X		X	X		X		X
MANAGEMENT PRACTICES									
Dean's Advisory Council (DAC)	X	X	X	X	X	X	X	X	X
Strategy for Reorganization			X			X	X		X
Resistance to Change				X					
Reorganization Plan	X	X	X	X	X	X	X	X	X
STRUCTURE									
Need for structural change		X						X	X

Department/Program identity. Department/program identity was a concern among the respondents (see Table 14). There was an increased awareness of the distinction between the department and the program that emerged within the eliminated departments. Maintaining the reputations of departments as well as comparisons with others, were also discussed, although there was not a clear pattern among the attributions of the respondents.

Distinction between programs and departments. The distinction between programs and departments became increasingly important during the reorganization process, with all of the respondents from eliminated departments and one additional respondent mentioning the increased meaning. Among those participants in eliminated departments was an “increased sense of defining the parameters between a department and a program. Instead of terms of art, they were more defined. There was safe harbor in the programs, not the departments. People were seeking identity with a program.” As the reorganization progressed, another respondent from an eliminated department described that there was

More coalesce around programs than departments. This became worse after the [hit] list. The department became stratified in terms of programs. It didn’t need to be this way – each made a good contribution. There became an alliance or coalition between departments – who remained and who prevailed.

This identification and division contributed to the increased conflict within eliminated departments. As previously mentioned, those within these departments expressed a sense of increasing conflict, along the lines of the programs. There was a sense of loss of respect within these departments, which was exemplified through survival efforts, compounded by distrust and division, thereby leading the department to be worse off than prior to the reorganization. In attempting to survive, individuals describe a sense of “marginalization,”

“isolation,” and even “cannibalism.” These occurrences exacerbated the division among the programs and “accentuated the rifts” that were already present.

Not all of the conflict mentioned was within these eliminated departments. The respondents from eliminated departments also mentioned conflict with other departments, particularly involving resources and identity. Competition for resources (GAs, FTEs, money, space, and personnel) was described between departments. Additionally, one respondent described that some departments were perceived as less prestigious than others, as demonstrated in the way in which some department names were considered more academic than others, thereby emphasizing the importance of identity within this reorganization.

Table 14

Department/Program Identity Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
Department/Program Identity									
Distinction Between Program/Department	X	X	X			X			
Reputation	X			X		X	X		
Compare with others									
Similar Experiences	X					X			X

Reputation. The reputation of departments also emerged as an identity concern within the group level. These concerns could be seen as maintaining existing reputations or building future reputations. Those with a strong national presence voiced concerns of maintaining national rankings and department prestige, stating that “everything that was built is very endangered – it is upsetting people.” Others expressed concern regarding the future reputation of the college, lamenting that they “can’t be premier if losing people, programs.”

Management Practices

Burke and Litwin (1992) describe management practices as “what managers do in the normal course of events to use the human and material resources at their disposal to carry out the organization’s strategy” (p. 532). Within this component of the model, the Dean’s Advisory Council (DAC) and the actual reorganization plan both emerged as domains, which is logical given that both were central to the process.

Dean’s Advisory Council (DAC). The DAC is the committee that was appointed by the Dean of the College of Education to examine the reorganization possibilities and make recommendations as to the new structure of the College. Within this domain, intentions of, influences upon, and communication efforts of the DAC were discussed (see Table 15). Additionally, perceptions of the outcome generated by the committee were also mentioned.

The intentions of the DAC were described by participants from non-eliminated departments and administrators, with an agreement that the goals of the committee were focused with the best interests of the College in mind. They

served to gather data that was representative of the College, within the time available. As such, they were trying to provide a voice for the faculty and staff.

Table 15

Dean's Advisory Council (DAC) Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
Dean's Advisory Council (DAC)									
Intention					X	X		X	X
Communication									
Positive						X			X
Negative		X		X					
Character	X		X						X
Influence	X	X							
Outcomes	X		X				X		

Some participants from eliminated departments expressed possible influences upon the committee from College leadership and among the DAC members themselves. One respondent indicated that he believed the committee was “coerced by department chairs to retain possessions at the expense of others.” Another respondent described the influence among committee members by stating that “some members of DAC may have had different opinions than that

of the department. Therefore, they were able to influence the Dean's Committee."

Regardless of these opinions, there was recognition from participants of both eliminated and non-eliminated departments, that the efforts of the committee were remarkable. The DAC members were described as "strong and steadfast," "principled," and "good and fair." Their hard work was recognized by many.

The outcome of the DAC was also discussed in its relation to the final reorganization plan. There was a sense that the efforts of the committee, and that which was produced, were not recognized by the administration in the final plan. One respondent stated that "people worked very hard and didn't receive the response that they wanted from the Dean.

Reorganization plan. The actual reorganization plan also became an important element within this study, which is not surprising (see Table 16). The objectives of the reorganization were discussed by many. Additionally, there were many perceptions of the process that were mentioned, including criticisms and a sense that this change may be healthy for the College. Although questionable ethics and disappointment did emerge, these perceptions were not held by a majority.

Objectives. Many objectives of the reorganization process emerged from the data. The objectives appear to deal with working together, preserving for the future, or physical/logistical outcomes. The objective of working together was important for breaking down the historic silos between departments and

increasing collaboration among the units, thereby promoting “cross-unit pollination.” Efforts of these would eliminate redundancies in programs and classes, promote joint research efforts among faculty, and improve efficiencies. Preserving for the future is also an important element, both by minimizing damage from the reorganization and shifting to become increasingly relevant. Reducing vulnerability, doing minimal harm, fully addressing the mandate, and preserving identity serve to minimize damage, whereas demonstrating a relevance to mission, vision, and strategy can help increase the relevance of the College to the purpose of the institution. Physical and logistical outcomes that are discussed include having an even size, improving resources, maintaining or improving quality and productivity, becoming more innovative, and addressing student needs.

Table 16

Reorganization Plan Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
Reorganization Plan									
Objectives		X	X		X	X	X		X
Perceptions									
Disappointment	X		X	X					
Healthy Change	X		X		X		X	X	X
Criticisms	X	X	X		X	X		X	X
Questionable Ethics	X	X				X			

Perception of healthy change. Several people saw the change as potentially healthy for the College. This reorganization allowed people to reflect upon the current state of the College, seek opportunities for improvement, and recognize new prospects. People became “introspective” in looking at the organization, identifying redundancies and areas where improvement and efficiencies were possible. A sense emanated from the administration, that this opportunity for change should be thought of as a positive – an opportunity to “reinvent” the College. They saw the College as becoming more efficient and effective, with stronger interactions between units and a gradual breaking down of the silos. An individual from an eliminated department commented on the “creative and interesting things” that emerged from the process, including the strengthening of the program as it found a new home. Individuals also expressed that the high participation rate of faculty and the fact that the process was not entirely driven around finances as positives.

Criticisms. Criticisms of both the process and the outcome of the reorganization were mentioned. Some people felt that no framework or objective existed for the reorganization, which ended up becoming an “in-out procedure.” Others felt that input was only requested after decisions regarding the reorganization were already made. Another person questioned how new units can be formed without imposing preexisting value structures onto new individuals, recalling that this concern was never addressed during the process. Several people felt that insufficient time was given to manage such a change.

One person described the reorganization as a “loosey-goosey process – the whole thing.”

People were also critical of the outcome as well, with people “going everywhere.” One person stated that the result was a “hodge podge.” One person described the new structure of programs within the departments, recognizing potential difficulties of small programs existing within larger departments. Another stated that:

What everyone feared was going to come to light. They feared the three main giants: Teacher Education, Special Education, and Education Research - then the others being absorbed by that. The rest would disappear. They didn't want this to happen, but it happened anyway.

Individual Level

The components within the individual level of the Burke-Litwin Model include task requirements and individual skills/abilities, motivation, needs and values, and performance. Of these, motivation, needs and values, and performance all emerged as important to the reorganization process (see Table 17).

Table 17

Componential Analysis of Individual Components

Components & Domains	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
TASK REQUIREMENT AND INDIVIDUAL SKILLS									
Effects on Tasks and Skills							X		X
MOTIVATION									
Changes in Motivation	X		X	X		X	X	X	X
NEEDS AND VALUES									
Voice in the Process	X	X	X	X	X	X	X	X	X
individual Identity	X			X	X	X	X	X	X
Information			X	X					
PERFORMANCE									
Changes in Performance	X	X	X		X	X	X	X	X

Motivation

Motivation is defined by Burke and Litwin (1992) as “aroused behavior tendencies to move towards goals, take needed action, and persist until satisfaction is attained” (p. 533). Motivation, as a whole, was addressed by many of the respondents, with two main perceptions: decreasing or maintaining motivation (see Table 18). For both positions, the causes and resulting behaviors were mentioned. Of the two, decreased motivation appears to be important in this study.

Table 18

Motivation Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
MOTIVATION									
Changes in Motivation									
Decreasing	X		X			X			X
Maintaining				X			X	X	

Participants describe that the causes for decreasing motivation were primarily created from a negative climate. These individuals credited their feelings of fear, anxiety, and anger as affecting their motivation. Some individuals from eliminated departments described a sense of “oppression” or feelings of being “devalued and discredited.” An administrator described that “having to deal with change is demoralizing.” Several individuals noticed that less people were coming to campus during this process. Another person, who had lost his/her position, stated that it was “best not to be around” because of the negativity.

Others describe that motivation was maintained during this reorganization. A staff member described how, because of a great department chair, they love coming to work. Some faculty members, from both eliminated and non-eliminated departments describe their continued research and publication. A

faculty member reasoned that students are still being admitted, so a responsibility to maintain motivation remains. An administrator described a high personal cost to negativity; therefore, they have a responsibility to remain positive, all the while recognizing that some may not maintain satisfaction within the current environment.

Needs and Values

The needs and values component of the Burke-Litwin Model is defined as “the specific psychological factors that provide desire and worth for individual actions or thoughts” (Burke & Litwin, 1992, p. 533). Within this component, the need for a voice in the reorganization process and individual identity both emerged as domains.

Voice in the process. The desire to have a voice in the reorganization process was exemplified through the opportunity (or lack thereof) to participate in the reorganization process. Additionally, having adequate representation was also valued throughout the process (see Table 19).

Participation opportunities. Almost all of the participants from non-eliminated departments expressed that they felt as if they had a sufficient voice – that their “voice was heard.” They describe multiple participation opportunities, such as attending meetings, completing surveys, and sharing their thoughts and perspectives. A DAC member commented that “people put in their two cents worth...Some people were always there participating...Some people came back into the mix of wanting to share thoughts.” One respondent was pleased with the opportunity to provide feedback, which was later considered for adjustments by

the Dean's office. Another person stated that "faculty did participate. Each individual responded, reacted to the change. The organization – it was handled well. Perspectives were shared...People were engaged in the process." These individuals also expressed that they had good representation. Being an advocate for others, or having someone advocate for you, was also mentioned as an appropriate means of representation. These perceptions of having a sufficient voice in the reorganization process by administrators and faculty in non-eliminated departments contrast strongly with the perceptions of faculty members from eliminated departments and staff members, who were silent or voiced criticism.

Others felt that they did not have enough opportunity to have a voice in the reorganization process or feel engaged. Some participants from eliminated departments describe that they were not allowed to ask how decisions were reached. They also described that not enough efforts were made to earn faculty buy-in. Some expressed that not enough meetings were held. A staff member felt that they were the "last to know."

Representation. Some participants, particularly from eliminated departments, described having insufficient representation during the department elimination and reorganization processes. One person expressed the lack of representation at the institutional committee level, stating that the "entire faculty senate should have addressed the reorganization/eliminations, not just a committee of the faculty senate." Participants from eliminated departments were also concerned with the lack of consideration given to the students' input within

the eliminated departments. Having a voice was also a concern from smaller departments. A member of a smaller department described that, due to the department's size, in the "overall synthesis in reorganization, the department's voice was diminished."

A staff member voiced concerns with representation regarding the DAC survey, stating that:

As staff, the DAC survey was a big issue. The survey was geared for Ph.D.s. It was blatantly not focused to staff. It was a joke. It lists priorities for faculty, not staff (i.e. conferences, publications, etc.); therefore, the results are skewed. The survey also forced us to rank one to six instead of letting us skip. Therefore, some of the questions were not applicable. The survey was inclusive, but nothing for staff.

Table 19

Voice in the Process Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
Voice in the Process									
Opportunity									
Participation					X	X	X	X	X
Representation					X		X		X
Missed	X	X							X
Lacking Opportunity									
Participation		X							X
Representation		X	X	X					X

Individual identity. Individual identity also emerged as a domain within the needs and values component of the model, with the majority of the participants discussing the topic (see Table 20). Concern was expressed for maintaining or finding an identity during the reorganization. A sentiment also was expressed that some identities are defined by past experiences. Additionally, the identity of individuals as educators also emerged.

Table 20

Individual Identity Domain

	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
Individual Identity									
Concern for Reorganization									
Maintaining Identity				X	X	X			X
Finding Identity						X			
As Defined by past experiences									
Survival	X						X		
Knowledge					X		X		
Identity as Educators							X	X	

Concerns for maintaining individual identity as the College reorganized surfaced. Individuals wanted to keep their own identity as the departments and programs merged into new units. One person expressed that professional identity was not addressed during the initial process, noting that psychologists

and educators possess different identities. Concern existed that programs that make logical sense together to the administration did not take into account these different identities at first, although these issues were subsequently addressed. An additional concern was that within the new unit, “strong willed people may superimpose their world view on others,” thereby hampering individual identity. Others expressed concern that it may become more difficult for faculty and students to define themselves in the midst of the new structure. One administrator addressed these concerns by stating:

Now, suddenly – you’re asking me to redefine my identity? No, but, couch your identity in the reinvented college...We never talked the way we should be talking. It is critical to have interactions, but to be loyal to who we are as faculty members.

Performance

Performance is defined as the “outcome or result as well as the indicator of effort and achievement (e.g., productivity, customer satisfaction, profit, and quality)” (Burke & Litwin, 1992, p. 533). According to the model, performance encompasses elements of both the individual and system level. Within this study, changes in performance emerged as a domain (see Table 21). The causes of changes in performance as well as the effects, particularly the negative aspects, were recognized as important by a majority of the participants.

Table 21

Performance Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
PERFORMANCE								
Changes in Performance								
Causes	X	X			X	X	X	X
Effects								
Increased Efforts					X		X	
Increased Efficiency	X							X
Negative	X		X			X		X

Causes of changes in performance. The causes of changes in performance appear to be mostly factors that negatively impact productivity, from both a logistical/work load and a mental focus perspective. Workloads increased as a result of increased class sizes, students needing additional advising, and the extra time required for the process of reorganization. Conference presentations have decreased as a result of limited travel funds. One individual recalled that he didn't believe any IRB proposals had been submitted within his department, thereby limiting the amount of research being conducted. People were less able to focus on productivity as a result of the change process, with nervousness and anxiety "affecting everything." Faculty, particularly the junior

faculty, were anxious, with “no power or authority...they were lowered in their position.” Fatigue, or the “distraction factor,” also impacted productivity, with people coming into work each day asking “what’s the bad news for today?” The decreased funding also forced turnover or retirements, which left staff “terribly overworked,” again impacting productivity.

Negative effects. Some negative effects of the decrease in productivity were mentioned by the participants. One person mentioned that some people were not attending to teaching and research, hazarding a guess that research productivity was down as a whole. Others described how faculty members, particularly junior faculty, were leaving and thereby impacting the performance of the College. One person stated that “there is a continual hemorrhage. How can you build a productive college when you are not building junior faculty?” Another described a “talent drain” where valuable faculty members were leaving the College. General “burnout” was also mentioned, as a side effect of the reorganization process.

Additional Domains

Emotions emerged as an additional domain within this study (see Table 22). Although not neatly included in any one component, themes pertaining to emotions can be seen spread throughout the various components of the Burke-Litwin Model. The climate component within the group level does include “feelings” within its definition, although that definition pertains to the “collective” feelings of the individuals within the work unit. The emotions described by the participants, to a large extent, contain elements of individual as opposed to

collective emotions, and are therefore discussed separately. Time, although mentioned by less than seven respondents, will be briefly discussed due to its propagation throughout the components. Some additional aspects of time are also discussed in additional detail in the following event map analysis.

Table 22

Componential Analysis of Additional Domains

Additional Domains	Participant Position/Department in College								
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration	Administration
EMOTIONS	X	X	X	X		X	X	X	X
TIME	X	X			X		X	X	X

Emotions

Emotions were mentioned by all but one participant (see Table 23). Some individuals voiced their initial reactions to the news of the department eliminations. An initial sense of “shock” initiated from the external environment, which overtook many within the College. One person expressed that it was a “state of shock that the situation was so extreme—that they are prioritizing programs.” It appeared as if it was almost a rollercoaster of emotions, shifting between relief and sadness. One person from a non-eliminated department

explained that “at first, there was enormous relief that department was not on the hit list. Oh thank God. Then, Oh my God – so and so is on the list.”

Table 23

Emotions Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
EMOTIONS								
Initial Reactions							X	X
Ongoing Reactions	X	X	X	X		X	X	X

Almost all of the individuals described the emotions that were seen enduring throughout the reorganization. An administrator expressed “terror, fear, and anxiety for all participants.” Participants from eliminated departments described being upset, cornered, and desperate. A sense of “hopelessness” was described at times in these departments. Another eliminated individual likened the process to “pulling off the band aid slowly.” Individuals from departments that were initially targeted but then later removed from the list, expressed feelings of “pandemonium” and “persistent anxiety.” One person from this department said the experience was “all-consuming.” These emotions impacted the productivity

of the College as well as individual motivation. The combined emotions of all of the individuals made for a climate that was tense and uneasy.

Time

Time appears throughout many of the components as influential variable (see Table 24). Some themes that emerged regarding time include the lack of time for the reorganization, the use of time, and time as a strategy.

Table 24

Time Domain

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
TIME								
Lack of Time					X		X	X
Use of Time		X			X		X	X
Time as a Strategy		X	X					

A belief was expressed that the amount of time available for the reorganization was limited. Several respondents mentioned the “short amount of time” available to complete the reorganization. From the initial announcement of potential departmental closures to the release of the final reorganization plan, each step along the way appeared to occur quickly. The use of time, an important finding, was also discussed as influencing the reorganization process.

A large amount of time was spent by the college leadership learning about departments, gathering information, and working over the summer. The organizational structure and culture, being divided into silos, required this time expenditure in order to ensure the reorganization would account for these variables in the final reorganization plan. With all of this done, some still were concerned that time was not adequately used during that period, particularly as it related to faculty involvement, possibly not impacting individual tasks, productivity, or motivation early enough in the process. Still others expressed that the short amount of time may have been a strategic move on the part of the President and university administration, an influence of the external environment.

Magnitude of Change

An additional purpose of this project is to examine the perceptions of the magnitudes of change – whether the change is transformational or transactional, according to the participants. One of the interview questions addressed this topic directly. Differences appeared between the perception of the magnitude of the change between a majority of the faculty and staff and administrators, with a few overlapping opinions (see Table 25).

Administrators were fairly clear in their belief that the change was transformational in nature. While conceding that it may be premature to make such statements, one person expressed that the change is “leaning towards transformational...if we are not a dramatically different college next year, I’ll be absolutely amazed.” Another administrator described that the change began as “small, incremental” steps, but is now the “beginning of a major paradigm shift.”

Two faculty members believed that some aspects of the change were transformational, particularly for the College administration and the departments that “took the big hit.”

Table 25

Magnitudes of Change

	Participant Position/Department in College							
	Eliminated	Eliminated	Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Non-Eliminated	Administration
MAGNITUDE OF CHANGE								
Transformational						X	X	X
Transactional	X	X	X	X	X	X	X	

All of the faculty and staff participants believe that the change is transactional, to some degree. Several people agreed with one participant, who stated the “College will still strive to do the same things. There isn’t a lot of change beyond physical moving of personnel.” The change is described as surface level by some, who mentioned “repackaging of the old” or “reshuffling the deck chairs.” One participant mentioned that the change was “more of an economic adjustment. The resources are spread throughout the units.” Another person looked at the change with regret, stating that the change was “Not

transformational. It was uncomfortable. This was a missed opportunity for transformational change. We could not emerge as efficient, united towards mission. By strengthening interdisciplinary research, we could have maximized the strengths of the faculty.” In general, the faculty and staff felt there was not a major shift towards transformation.

Event Map

An event map, which examined the passage of time during the reorganization process, was also completed for this dissertation. An event map “represents the flow of conduct of an individual member or the coordinated activity of multiple actors within a group across time” (Putney, 2009). In this case, the perceptions of multiple actors experiencing the College of Education’s reorganization process are noted during the months of the change.

Event maps are completed in three stages: (1) date and events, (2) actors and actions, and (3) dialogue. As in the domain, taxonomy, and componential analyses, the stages in the formation of an event map build upon one another. For this study, the key dates and events for the reorganization, both internal and external to the College of Education, were noted and logged in the first step (see Appendix H). The second step, which adds actors and actions, describes what actually occurred at each point in time (event) and who was involved. The third and final step is the most detailed, adding actual dialogue from the participants describing their thoughts of the events, actors, or actions.

This event map, as a whole, is interesting because it depicts the sentiments of the respondents regarding time. The visual display alone, from

step one, illustrates the lack of events from the months of May through July (see Table 26). The third step adds to this conclusion with the numerous sentiments expressed regarding the lack of time to complete the process as a whole or the inadequate use of time during the summer. It is clear that time and time management played an important role in this process of change.

Lack of time

Agreement is evident that the amount of time, from the final program eliminations at the June 3, 2010 Board of Regents meeting to the release of the College of Education's reorganization plan on October 16, 2010, was a very short amount of time to complete such an undertaking. Emotions were expressed that lamented the "short time line." The short amount of time served to increase the workload of all individuals involved with the reorganization, potentially impacting the productivity of the College. Management of the reorganization became a priority for the leaders, who devoted much time to the process.

It appears that the DAC accomplished the large task of recommending a reorganization plan, based on information collected and analyzed, in less than one month. One person from the DAC commented that they felt as if the committee did a good job, devoting a significant amount of time and energy, given the amount of time available for the task. This person acknowledged positive aspects of a fast turnaround when they stated "there is something to be said for change to happen quickly. You are not wallowing in it for a year. You are not delaying outcomes." The DAC member then added that "this change

Table 26

Event Map: Stage One (Dates and Events, 2010)

February	March	April	May	June	July	August	September	October
Transition from Special Legislative Session	3/1 – Special Legislative Session News	4/16 – Board of Regents Meeting	5/4 – Faculty Senate Meeting	6/3 – Board of Regents Meeting	COE Administration Meetings	COE Administration Meetings	9/9 – COE Restructuring Survey: Part I Distributed	10/8 – COE Reinvention Plan Released
2/2 – Board of Regents Meeting	3/5 – Board of Regents Meeting	4/29 – Presidential Review Committee (PRC) Report Released		6/8 – Western University Town Hall Meeting		8/16 – Faculty/Staff Survey Completed	9/16 – COE Focus Group Discussions	10/11 – Feedback on Plan Due to Dean's Office
2/24 – List of Programs under Review Released	3/5 – Western University's Cut Amounts Identified			COE Administration Meetings		8/19 – Back to School Fall Meeting	9/17 – COE Restructuring Survey: Part II Distributed	10/16 – Revised COE Reinvention Plan Released
2/24 – Curricular Review Process Begins	3/22 – Recommendations for Elimination Released					8/31 – Dean's Advisory Council (DAC) Committee Meeting with Dean's Office	9/24 – DAC Final Report Released	

might have been a little too quick - even another month might have been more realistic.”

The College administration recognized the limited amount of time, particularly after the Spring 2010 semester ended and faculty were not on contract for the summer. At that point, they knew that the College would potentially face the elimination of two departments, but also recognized that a significant number of faculty would not be around during the summer months. The College administration was trying to be respectful of the existing systems, policies, and procedures of which the faculty was accustomed.

Productivity during the summer

The Dean and his office, as well as department chairs, held many meetings over the summer months in order to address this reorganization. This time was spent gathering information, learning about departments, and identifying potential synergies, as well as preparing responses for University administration. Several participants described that College leadership devoted many hours to this process. The amount of time devoted to and deep involvement with the reorganization was noted by several participants. As mentioned earlier, the existing separation of departments within the College made this discovery period important for ensuring a successful reinvention.

Receiving the input of the faculty was extremely important to the Dean; therefore, some decisions may have been postponed until the start of the Fall semester. A criticism was that more had not been accomplished during the summer. Although this criticism was voiced by several, none of the respondents

indicated what should have been accomplished nor what decisions should have been made. Two people commented that regardless of how the decisions were made by the College administration, fault would have been found either way. Emotions ran strong for all participants, and therefore the shortness of time and actions undertook during the time of the reorganization became subjects of concern for many.

Summary

This chapter describes the analytic procedures employed in this study, including domain, taxonomic, and componential analyses. Noteworthy findings, which emerged from the componential analysis, were discussed. Additional components, including emotions and time, were included within the results. The chapter concludes with an incorporation of an event map, which yielded additional insights into the time component.

CHAPTER 5

THE CASE STUDY: WESTERN UNIVERSITY COLLEGE OF EDUCATION'S REORGANIZATION PROCESS

This chapter is a presentation of the case of Western University's reorganization process. This is a single case study, whereby a "single narrative" is used to describe the case (Yin, 2009, p. 170). The individuals who participated in interviews are not given specific attention within this report, although their perceptions are synthesized with document analysis and observations, contributing to the story. It is the intention of this narrative to allow readers external to Western University's College of Education to "vicariously experience the setting of the study" through the use of rich description (Merriam, 2009, p. 258). Rich description also provides the advantage, to those familiar with the case, of seeing the story through the researcher's eyes, which "may allow us to see something familiar but in new and interesting ways" (p. 258).

This case is presented in a manner similar to Yin's (2009) theory-building structure, in that "the sequence of chapters or sections will follow some theory-building logic. The logic will depend on the specific topic and theory, but each chapter or section should reveal a new part of the theoretical argument being made (p. 177). In this case, the sections of the chapter will follow the components of the Burke-Litwin Model. The presentation of this case assumes the reader is familiar with the background of the case from chapter one and data analysis from chapter four.

External Environment

The external environment was a key factor leading up to and during the reorganization of Western University's College of Education. Prior to the reorganization process, the national and state economies as well as the higher education environment were tremendously impacting Western University. The hit list, the President and his mandates, and the Faculty Senate are factors within the external environment that are part of the story of this reorganization. It is worth noting that since the College of Education is the case under review in this study, the university administration and their actions are considered as part of the external environment.

As described in chapter one, the state was facing major financial challenges during the great recession of 2007 to 2009: when the "markets were drying up" and "the economy took a dive," the legislature was left with an \$887 million budget shortfall (Schwartz, January 22, 2010). The state, which is traditionally a "low-money state" with "high costs" for higher education, also historically has "not invested in education." Deep financial cuts, in this iteration of reductions, amounted to 6.9% for the higher education system. The cuts to Western University were finalized at \$5.7 million in administrative support and \$4 million in academic programs (Board of Regents, March 4-5, 2010; Western University Presidential Review Committee, 2010). The College of Education was aware of the seriousness of the situation, even "two years prior a former dean mentioned that the budget was bad at a faculty retreat. This dean said that the cuts were not just belt tightening, but corset wrenching."

The higher education environment, both nationally and locally, was also changing the landscape. “There were a number of other schools that have reorganized recently” in different states while adapting to the shifting environment. The emergence of “competing institutions,” those also offering programs and degrees in education fields, serves to decrease the “demand for education programs.” Even within the state, there was some duplication of programs and services. This is problematic because “it is a responsibility of our state to provide access, but it is not a responsibility to provide duplication.” One participant predicted that “in 10 years, there will not be a College of Education here. Not just here, but everywhere.”

Additionally, the relatively short history of Western University, when combined with its quick expansion, may have impacted the productivity of the institution. “Western University basically went from a community college to a research intensive university. The growth of the university was quick and rapid – resulting in enormous inefficiencies. It hit a crisis situation.” These factors, when combined with the city’s “transient culture,” made for a volatile local environment. One participant described these circumstances, both the changing economic and higher education environments, as combining to create a “perfect storm.”

In late February of 2010, in anticipation of the cuts to academic programs, the University administration released a list of 20 programs under review for elimination to the Deans of the Colleges. This list was comprised of the 20 departments on campus with the highest cost/student FTE ratios. Two programs on the list were from the College of Education: Education Administration and

Education Research (College of Education Dean, personal communication, February, 24, 2010). The reaction to this list sent shockwaves through the College of Education, causing an immediate sense of “pandemonium.” Some people expressed the initial feeling of “relief” that their department was not on the list to “sadness” with the realization that others were being affected. The “biggest shift” was the “sense of terror, fear, and anxiety for all participants.” The two departments that were targets were particularly “hit hard” as a result of this list. One individual from this department reflected on feelings of being “cornered, hopeless, and desperate” at times.

Other reactions from the College included the sense of being a target - people felt that the “College was singled out being on the cut list” because it was “named more than any other College” on campus. Other reactions to the formation of the “infamous list of 20” included confusion as to what the list really meant and criticisms as to the formation of the list. Several individuals discussed the potential for numbers to be interpreted in multiple ways, with one person clarifying that a “problem with the formula is that you can really look at other ways to calculate most expensive department. It is a matter of perspective.”

In March, the university administration released a second list of recommendations for department and program eliminations. Two departments from the College of Education were included in the list: Education Administration and Physical Education. The Department of Education Research, which had been included on the initial “hit list,” had been removed from the second list, in part because of its high national ranking. A person from this retained department

recalls feeling “some relief, but still apprehension,” noting that there are still cuts ahead. An administrator expressed that this list, which was generated using 63 different criteria for examination, elicited a “general confusion from faculty,” particularly regarding what roles people were playing and the increased importance of the definition of department and program.

Western University held a town hall meeting in early June, during which the President addressed the Dean of the College of Education directly. The President, as quoted in chapter one, charged the College with restructuring. He asserted that the College needed to transform itself in a manner that exceeded “cosmetic change.”

The President addressed the College more directly in mid-August, when the faculty, staff, and administrators of the College met for their “Back to School” meeting. He was cited by several individuals as saying “You are going to reorganize. If you get a plan that doesn’t look like a reorganization, [I] won’t approve it,” “you don’t want me doing this,” and “do it by the end of the year or I’ll do it for you and you may not like my solution.” These statements had a deep effect on the College of Education. In addition to adding to the sense of fear, the mandate “influenced people’s willingness to participate.” In a larger sense, the President’s mandate forced people to recognize an “important thing: that we had to change. The pronouncement gave it a stamp of authority.” The fact that the reorganization was subject to evaluation by the President was cause for concern for many throughout the reorganization process, particularly in evaluating the proposed plans, as to whether the “change was drastic enough” or “a bit too

‘status quo.’” One interesting sentiment raised by one faculty member was the distinction between willingness to participate and forced participation: “the people are doing this restructuring because we were told we had to – had to do it – not want to do it.”

The President and his administration, aside from the mandate, also were external influences on the College. Individuals expressed that there was a divergence between the mission of the institution and the College. The “President was open and confronted his belief that mission [of the University] needs to change...the President was in place when fiscal constraint appeared – he had to peel off, threaten entities that were least aligned with his perceived mission of the university.” Other possible objectives of the President, including retaining tenure and appointing leaders, were described both positively and negatively. Some people were supportive of the administration, stating that they “took appropriate steps.” Others believed there was more calculation and purposeful actions leading to the elimination of departments and the subsequent reorganization.

Western University’s Faculty Senate also played an external role in the reorganization of the College of Education. As a governing body within the University, a committee was formed from its ranks in order to assess the recommendations for department elimination. This committee gathered and reviewed a large amount of data, cognizant of the fact that they were making “extremely painful decisions.” The committee did face criticisms of the processes used and considerations made (or not made) during their examination. The

Faculty Senate as a whole was thought by some to be the source of major communications, whereas others described a “relative silence” from their domain. Either way, the Faculty Senate played an important role in its acceptance of the Presidential Review Council (PRC)’s recommendations for elimination.

Mission and Strategy

The mission and strategy of the College of Education (see Appendices J and K) tend to align with the three responsibilities of higher education: teaching, research, and service. These duties are couched in a diverse setting, which promotes collaboration, as a means of obtaining the status of a “premier college.” Faculty, staff, and administrators discussed their current perceptions of the mission and strategy before the reorganization as well as their perceptions of the anticipated effects of the reorganization on the mission and strategy.

The mission and strategy prior to the reorganization were thought to be effective in placing teaching and research as a “high priority,” particularly as they address “efficiency and effectiveness” and advancement. Others feel that although productivity is addressed, quality is not sufficiently incorporated into the mission and strategy. Additionally, other items which may prove essential to a mission may not be included, such as leadership, goals, or assessment. There is a fear that the mission may not be fully accepted by the faculty, generating “disinterest.” The language of the mission itself was perceived as benign, to some, in that the terms are “generic,” interpreted broadly in order to address multiple audiences.

The perceptions of the reorganization's effects on the mission and strategy were mixed. Some people felt that the mission would be more focused, with an increased emphasis on collaboration and more "engage[ment] in school-based activities." No new mission or strategy emerged during the process of the reorganization. Document analysis indicated that the predominant focus of the change was on organizational structure. Additionally, the documents indicated that the existing mission of the College would serve as the benchmark for performing efficiently. Although the documents did indicate means of attaining the mission through a more focused and collaborative college, the mission and vision of the College essentially remained the same. Others felt that the mission would remain untouched, as individuals "continue to do what you do in a different format." The focus on teaching and research would remain.

Leadership

Leadership means "persuasion, influence, serving followers, and acting as a role model," which can be exercised by the Dean's office or department chairs; and so elements of these actors can be observed and discussed within both the leadership and management practices components (Burke, 2011, p220). The College of Education is led by the Dean and his office. At the time of the reorganization, the Dean's office consisted of an associate dean, a director of teacher education, along with several staff members. Additionally, six department chairs and two assistant department chairs were overseeing the departments.

The College's present dean is interim, beginning his service in 2009. Within the interviews, the dean was rarely referred to as interim. One respondent claimed "He's interim – almost a permanent interim." Another participant did mention the status when saying "our interim dean is a kind and fair man. He cares for the college very much." This dean was in place for approximately four months before the earliest news of the budget cuts began to appear and one and a half years before the budget crisis hit the College of Education directly.

The Dean's office, along with the department chairs, was "very involved in the creation of the reorganization." They all invested a significant amount of time and effort, with many "meetings in the summer." As one person described, "these summer meetings were hugely important" in that they fostered dialogue, "identified redundancies and overlaps," and generated a "resolve to get stronger to break down the silos." Even without faculty present at these meetings, they were trying to "be considerate of the faculty, to take time to learn what departments do, and to learn departments' missions in order to see how they could come together." Not everyone agreed that this consideration was adequate, as they felt that there were "not enough efforts for individual faculty members to feel engaged." Because of the intense time pressure, regret was expressed that more had not been accomplished over the summer.

During the reorganization, all of the leaders were thought to have remained positive, kept the calm, and prevented panic. The dean tried to dispel fears, stating "don't worry – everything will be fine," although that was met with criticism by some, who felt as if they were not receiving full information.

Regardless of this criticism, most people felt that the dean was placed in an unwinnable situation and could sympathize with his tough task. Several of the department chairs were credited with maintaining “open door policies” in order to address faculty and staff concerns. In addition to putting in a tremendous effort, they oftentimes served as the “information channel” for their departments. One individual expressed some “coercion” or “organization of votes” on the part of the department chairs, although this sentiment was not voiced by others.

Many individuals felt that informal leaders emerged during this reorganization. People that were vocal at meetings, asking questions and expressing their concerns, were oftentimes noted. Within departments, some junior and senior faculty members became very active in the process. Even quiet individuals or people “behind the scenes” were recognized for their leadership. The members of the Dean’s Advisory Committee (DAC) also were credited as being informal leaders. Interestingly, several individuals mentioned that informal leaders, from a derogatory perspective, emerged – people who were “vocal in a negative way” or who manipulated power.

Organizational Culture

The culture of the College of Education is one that is guided by the histories of the administration, departments, and individuals. Administratively, the culture of the College has been influenced by the interim nature of the dean position. Since the College’s inception in 1957, 13 deans (or administrators) have served, with six fully appointed (not interim) leaders serving an average of over seven years through 1996. The first interim dean was appointed in 1996,

serving for one year and then being appointed to full dean for a second year. Since that time, 40% of the deans have had an interim status, with the deans or interim deans serving an average of 1.75 years (Western University College of Education, 2010). This interim status has influenced the perception of the College of Education among the university-wide community. Several participants describe “inconsistent leadership within the College” as a weakness to the College. Other respondents refer to a past dean’s “unkind” treatment of others as also detrimentally impacting the College’s reputation. Both the outside perception of the College and the unstable leadership influence the culture within the organization.

The structure of the College, which is comprised of six departments, has also influenced the culture. Over many years, conflicts and divisions have been apparent among some departments. This has caused what several people have termed “silos” to form. This division could be likened to “implicit rules” within a culture, which Burke (2011) describes as “informal rules of behavior or codes of conduct that are not written down but govern much, if not most, behavior in organizations” (p. 220). The effect of these implicit rules of separation has been an enduring “mistrust,” as opposed to “synergies,” among the departments. The division of these silos has become exacerbated as a result of the financial constraints imposed on the College, with the increased competition for scarce resources.

The individuals within the College also have histories, where some people do not “co-exist well” together. Past disagreements influence both the culture of

the College and the reorganization, as “people’s interpretations of events are colored by the past.” There also seems to be an “underlying assumption of a political team, where institutional memory and department chairs (past and current) played a role.” These roles and relationships cause some to term the reorganization as being “all politics.”

During the reorganization, participants have agreed that a shift has occurred, although the direction of the shift varies from a positive to a negative perspective. Some credit the reorganization as increasing collaboration among both the individuals and departments within the College. In addition, the sense of “accomplish[ing] what needed to be done,” was exemplified by the high participation rates of all involved. Others felt that a false sense of collaboration came to the forefront during the reorganization, where individuals and departments “turned on one another instead of working together.” These feelings of collaboration, of breaking down the culturally defined silos, were exemplified by actions working towards or against the reorganization. This cooperation may manifest itself in feelings that are more of a temporary nature than one of enduring and espoused values, which would then extend into the climate component.

Climate

The reorganization had the effect of creating a climate of conflict within and between some departments, while others described a climate of “collaboration,” similar to the shift within the organizational culture. As the aforementioned “competition for resources” became even more apparent

between many of the departments, some participants expressed that their identities as a unit were “marginalized,” particularly those from eliminated units. A realization of the importance of identity emerged as alignments were formed with programs, instead of departments, in order to ensure survival. Tensions arose among personalities as well, as new alliances were shaped. The tone of the work unit shifted “from a climate of collaboration to a climate of division.”

Participants from departments that were not eliminated, although still seeking resources and identity during the reorganization process, describe parts of academic life continuing as normal, with research and teaching remaining consistent. The participants from these departments described how they “talked and processed the possibilities” while “sharing information that would not normally be shared” in order to work together towards the new reorganization.

System

As the reorganization process unfolded, the traditional systems in place (promotion and tenure, merit, bylaws, graduate assistants, etc.) almost became “surface level” or secondary issues to the structure and survival of the reorganized College, although they were mentioned by the participants. The concerns can primarily be categorized as human resource and policy issues.

As the number of staff and junior faculty positions were being reduced during the months of the reorganization, maintaining sufficient support for the faculty and students was a concern for many. Several positions were lost as a result of the department eliminations, including non-tenured faculty and staff. Some faculty members also would not be returning, due to a voluntary retirement

program. These exits created a greatly increased workload for many, which not only needed to be addressed during the reorganization from a system perspective, but also from a productivity lens.

As the discussions of new units evolved, concerns regarding the basic infrastructure of the units emerged: How are FTEs, money, and space divided? Will programs retain their licensures? How will department chairs be selected? These questions were a few of the policy/bylaw issues that would have to be addressed. The resolution of these issues is beyond the time range of this dissertation, with the reorganization structure announced in the Fall of 2010 and discussions regarding the transition and implementation of the new units held in the Spring of 2011.

Management Practices

Management practices encompass the actual planning of the reorganization. In this study, the Dean, department chairs, and committees all contributed to management practices because they were all involved with the operationalization of the change. The members of DAC played a vital role in the management of this large task. The strategy for the plan as well as the varied concerns, perceptions, and reactions that arose during its composition also impacted the management of the process.

The participants felt that the management of the reorganization process was initiated from different directions – it was not definitively clear if the process was a top-down or bottom-up directive. In some regards, the process was “mostly top-down because of time.” In other ways, “the Dean’s strategy was to

have the change emerge from grassroots” or to “delegate the decision making process.” All of these were met with criticism because “faculty don’t like being told what to do,” but there was also “frustration because they wanted a plan.” Regardless of the delegation, one person expressed that “whatever way [the dean] would have chosen, people would have been unhappy.”

The DAC was a committee comprised of six faculty members, appointed by the Dean, with the purpose of “gathering and reporting faculty/staff input regarding ideas associated with the reinvention of the College of Education” (Dean’s Advisory Council Special Assignment, 2010). This committee was charged with completing this task within a three week period, which was described as a “really, really short” time frame. The DAC “lived this - put everything else aside” in order to prepare, conduct, and analyze two surveys and three focus groups. Their results, which represented a compilation of the various faculty and staff perspectives of the reorganization’s structural possibilities, were presented as recommendations to the Dean’s office in late September. The “high participation rate of faculty was an unexpected strength of this process” and an important factor in reaching a goal of the council, which was to “provide an opportunity that gives voice to all COE members.”

By the majority of the respondents, the DAC “performed admirably and courageously,” acting as the “primary conduit between faculty and leadership.” Some concerns were raised by individuals regarding the possible influence upon the committee by leadership or among the members themselves. Other

reactions were aimed primarily at the final report generated by the DAC which, by several accounts, did not resemble the final reorganization structure.

During the process of evaluating the various reorganization possibilities, some confusion and frustration emerged, as some people felt as if there were not clear cut goals or objectives for the process. The administration clearly discussed some objectives at the August Back to School Meeting, with the primary one being maintaining the programs within the eliminated departments (College of Education Back to School Fall Meeting PowerPoint, 2010). Many objectives of faculty and staff emerged through document analysis, including increased collaboration, balancing sizes of departments, generating additional resources (grants), improving quality and productivity, preserving identity, and sufficiently meeting the President's mandate. People also expressed concern regarding merger or separation issues as units were formed. Some expressed desire to have the new units work together towards a common mission while maintaining their previous identity, although historically some things did not "work well together." Operationally, some uncertainty existed as to the rules of evaluating the plans (i.e. should eliminated programs be included or excluded?).

Once the final plan was released, an initial sense of "disappointment," was expressed by some as a "missed opportunity" and "not what it could have been." Other people did embrace change as a whole process, citing positive externalities, such as the "sense of entrepreneurialism" and finding "refreshing and new situations." Others depicted that looking at processes that had been in place for some time can benefit by "recasting." One individual summarized both

of these perspectives in stating, “Maybe we aren’t perfect. Maybe there will be a healthy outcome, but there was immediate disappointment.”

Limited resistance to change was found within the college. People, who were comfortable in their present position or location, did not want to physically move. Others, from non-eliminated departments, were content with the processes and organization of the College as is, and therefore did not see the need to change. Overall, surprisingly little resistance to the change process existed, probably given the mandate from the President. In this case, it appears that most resistance to change was replaced with a resignation to change.

After reflecting on the reorganization, several people mentioned that more effective ways of managing this process could have been employed. One wish was that the University administration had approached the College earlier in order to initiate discussions. Some believed that if the administration had let the College know that they were facing these budget deficits and sought input with specific goals to meet these cuts, the College may have been able to reorganize on its own accord to save money, in a sense, “test to see how colleges and departments respond.” Others mentioned that better communication from the central administration would have been welcome, as information was “sorely lacking.” Within the College, one person expressed that “if we could have done something better, we would have worked on it all year long,” a sentiment that was echoed by others. Additionally, some concern as to whether the reorganization would have been more effective if a “dissolve and reform” step

had been initiated, thereby addressing some of the historical and identity issues described earlier.

Structure

Entering the reorganization, the College of Education was composed of six departments. With the elimination of two departments as a result of the budget crisis, the restructuring of the College was a requisite step in ensuring the survival of not only the programs within the eliminated departments, but the College as a whole, because future budget problems continued to loom. In addition to the challenges from the external environment, other impetuses for a structural reorganization came from within. Across the six departments, inefficiencies existed which could merit review, such as course duplications and administrative work. As previously discussed, the departments were operating in silos, which exacerbated these inefficiencies. Change could clearly be justified by looking at these factors.

During the reorganization process, several structural issues were being examined favorably by the administration, faculty, and staff. With the new unit structure, one goal was to increase the synergy among units, through common missions. These tasks, which were similar to the objectives described previously, were dependent upon emphasizing quality, as well as increasing efficiency and effectiveness. Logistically, maintaining a relatively equal size, with fewer layers of management, was also important.

Task Requirement and Individual Skills

Individual tasks appeared to increase for administrators, faculty, and staff within the College throughout this reorganization. People were picking up additional responsibilities or doing tasks that traditionally did not fall within the scope of their positions. “Staff is terribly overworked. Undergraduate student workers have taken on responsibilities.” In many cases, faculty were doing their own clerical work. It was “not the best use of time. There were enormous inefficiencies.”

The reorganization itself took a significant amount of time and effort. Completing the surveys, participating in the focus groups, and attending meetings all were done while still maintaining the required academic work. A great deal of energy was devoted to this process by individuals serving on committees, working with the administration, and the administration itself.

Motivation

For some people in the College of Education, no change in motivation was exhibited during the reorganization, while others described decreased motivation. Individuals explained that students continued to be admitted, so the responsibility existed to remain motivated to complete their academic tasks. Others described being content and happy within their position and with their coworkers, still looking forward to going to work each day. Also some made a conscious and deliberate effort to remain positive throughout the reorganization, to “not go around doom and gloom.”

The angry climate, within some departments, did impact the desire to engage for some individuals. One person described the sense that faculty members from eliminated departments were “now wearing a scarlet letter that cannot be corrected.” Morale was damaged to the point where faculty were staying away or not coming to campus as frequently. A person whose position was lost described focusing on their work, while disengaging from the departmental and college happenings. Motivation, in some respects, was damaged.

With or without hindered motivation, individuals reverted to their roles and identities as educators to maintain some enthusiasm for their work. Some expressed consistent concern about students and their needs to progress through programs. Several expressed that they were still serving on committees, teaching classes, and publishing – their motivation in these areas had not changed.

Needs and Values

Throughout this case, having a voice in the process of change was highly valued. With the College’s reorganization, the College administration and the DAC felt it was very important for the faculty and staff to have input in the decision making process:

Without it, the whole morale of the College would have been influenced in a negative way. It was critical that the faculty could say their peace in order to move forward productively. If faculty sensed that this was a

mandate without faculty input, that would have been problematic. Faculty are smart people – to leave them out of discussion would be a mistake.”

The opportunities for this input included the surveys, focus groups, and meetings that were previously mentioned, which had extremely high participation rates. Many faculty members saw these opportunities as sufficient in capturing their sentiments and opinions on the reorganization, whereby they felt “engaged” in the process. Others wished for been more faculty buy-in or additional opportunities for meetings, engagement, etc. Sometimes, participants from smaller departments or staff members felt as if they had a more difficult time being heard or expressing their concerns. Others chose not to participate because they felt as if it would go away or that the reorganization did not impact them. A few believed that the decisions had already been made, so there was no point in participating in the reorganization process.

One caveat to this process of having a voice is that the opportunity to participate is distinct from the opportunity to be represented. During some meetings, only select individuals represented entire programs or departments, therefore the departments were “only given one voice,” which may not have been perceived as sufficient or adequate to some individuals. Additionally, at the Faculty Senate level, the “committee only” representation was troubling for some. These concerns for representation were not only expressed regarding the reorganization within the College, but also in the decision-making processes that determined which departments were to be eliminated.

Maintaining an identity during the reorganization process was also a need that emerged during this study. Both individuals and departments had built up reputations and professional identities that they wanted to keep with the formation of the new units. Concern was expressed that these identities would become diminished after the reorganization, which caused tensions to rise at times. Others were concerned with finding an identity within the new structure, realizing that some people may find themselves at a disadvantage because “in reality, smaller groups were joining bigger groups.” These concerns were exemplified even in the names of the new units, the selection of which generated controversy.

There was also the need for information during the reorganization. Many described how information was scarce, with faculty and staff left with the feeling of “being the last to know.” The use of information, including not sharing information fully during negotiations and making announcements during public meetings, was thought by some to be strategic in nature. Overall, the not knowing or uncertainty created additional tension within the College.

Performance

The reorganization did appear to affect the performance in the College of Education. The increasing workload, added time commitments to the reorganization, and decreased motivation (in some cases) all impacted performance. Some cited that they were working harder in order to meet these responsibilities, becoming more efficient. Others described that the focus had shifted away from teaching and research, with less IRB proposals and “graduate

students in limbo.” A few individuals predicted that in the future, when looking back at the productivity during the time of this reorganization, a decline would be evident. One commented that “if you look at the numbers five to ten years down the road, you will probably see a loss of productivity on the whole. Times are difficult. It’s hard to do the job efficiently and effectively.”

Emotions

Emotions ran high throughout the reorganization process. Elements of emotions could be found strewn throughout the different components and among the different levels of the model. At the beginning of the budget cuts, when people were first starting to become aware of the severity of the situation, worry and anxiety became evident within the College of Education. When both iterations of the hit lists were disseminated, emotions shifted quickly to an immediate sense of “shock,” quickly followed by confusion and frustration. From that point, the reactions diverged, with participants from non-eliminated departments experiencing “sadness” and “relief” and participants from eliminated departments left feeling distressed and fearful.

As time passed, emotions did not subside – “fear dominated” and anxiety persisted. Changing streams of information perpetuated the sense of confusion and frustration for everyone. For the participants in eliminated departments, the shock was replaced by feelings of “hopelessness” and “desperation.” Some participants from non-eliminated departments described an underlying unease, both concerning the uncertainty of the reorganization and potential future budget cuts, even as those departments collaborated to get through the process.

Anger also emerged during the reorganization. One individual described being surprised at the “amount of anger at the leadership team – the Dean’s office in particular. They didn’t have a choice. The Dean’s office was forced into this position. The extent that they made people angry surprised me. People took this very personally.”

Time

Time was also a consistent concern throughout the reorganization process. From the initial news of potential budget cuts in early 2010 through to the release of the final reorganization plan in October, time was in short supply. Following the release of the hit lists in March, there was a three month period of uncertainty until the Board of Regents voted to affirm the elimination of the departments. Efforts in those three months were made to try to save the departments, by attending meetings, gathering information, writing to legislators, etc. Since the departments were not definitely eliminated at that time, thoughts did not focus around a reorganization, but rather on retaining the assets of the College.

After the departments were eliminated by a vote of the Board of Regents in June, efforts shifted to reorganization, particularly after the charge from the President. By this time, many of the nine-month contract faculty had finished their semesters. The Dean’s office described the difficulties of engaging faculty during these months:

We expect two departments to be gone; therefore, we can’t wait for the Fall to deal with these issues. But, you can’t engage faculty in non-

contract time; therefore, the leadership team worked over the summer for possible plans of action for faculty to review when they return.

The Dean's office and the department chairs met for a significant number of hours during the summer, during which time information was being gathered and options being discussed. At the August Back to School meeting, the point at which the President issued the mandate, the Dean's office presented their conclusions from their meetings and announced the responsibilities of the DAC.

As described earlier, the DAC completed a tremendous amount of information gathering and data analysis during three weeks in September. At this time, faculty was participating in meetings, devoting a substantial amount of time to having their voice heard as well. Approximately two weeks following the release of the DAC's report, the initial Reinvention Plan was released. A revised plan, incorporating feedback from the faculty and staff, was released eight days following the initial plan. Even with the release of the reorganization plan, final approvals were not expected until June of 2011.

Retrospectively, numerous people described that this process had occurred over an extremely short period of time. Individuals mentioned that it would have been helpful to work on the reorganization process throughout the entire year. Some lamented that more had not been accomplished during the summer. Overall, many participants wished that there had been more time to work through the process. The short length of time placed constraints upon what actions were taken, when they were taken, and inevitably had some influence upon the outcomes.

Summary

This chapter, influenced by the data and analysis of chapter four, describes the case of the reorganization of the College of Education at Western University. The case is depicted through each of the components of the Burke-Litwin model. Additionally, the two emergent components of emotions and time were also included within the story.

CHAPTER 6

CONCLUSION

Introduction and Overview of Study

Confronted with unprecedented financial constraints, Western University was forced to implement severe budget cuts. The elimination of two departments, a result of the cuts, launched the institution's College of Education into a dramatic period of change. As many other colleges and universities throughout the United States faced similar financial limitations, the exploration of how higher education institutions responded to these changes became increasingly important.

The purpose of this dissertation was to examine the restructuring process of the College of Education at Western University following the mandated department eliminations. The literature on change within higher education describes several recommendations for improving research in cases of change, reorganization, or elimination, including the following: (1) developing more detailed theoretical frameworks, (2) studying outcomes in addition to processes, and (3) gaining the perspectives of individuals at various levels within an organization (Astin, Keup, & Lindholm, 2002; Eckel, 2003; Lattuca et al., 2009; Rhoades, 2000). This dissertation addressed all of these recommendations with the incorporation of the Burke-Litwin Causal Model of Organizational Change as the theoretical framework for the study. The model was useful for viewing change processes, divided into theoretically influenced components, through systemic, group, and individual levels. Additional depth is gained by further viewing a change through transformational and transactional components.

The purpose of this chapter is to review the most noteworthy findings, incorporating the existing literature with the analysis results of this investigation. This discussion progresses according to the research questions guiding this study. A discussion of the findings is followed by implications for practice and recommendations for future research.

Propositions

A summary of the findings, which emerged from this chapter, are included as follows in the form of propositions. Their incorporation early within this chapter is intended to aid in the synthesis of the findings and increase the reader's engagement with the results.

- The concept of Role Theory means that people tend to focus on components of change that align with their positions within the organization.
 - Leaders are concerned with all levels of change (system, work-unit, and individual).
 - Faculty and staff tend to be primarily concerned with the individual level of change, at least initially.
- An individual's role in the organization influences his/her perceptions of the magnitude of the change.
- Individuals favorably influenced by a change will view the agent of change (leaders, including the dean in this study) favorably compared to those unfavorably influenced by the change, as explained through Status-Compatible Emotions Theory.

- Symbolic processes and activities are an important part of change and should be meaningfully aligned with actions and solutions.
- Individuals who receive a mandate to change look to an external individual (the President) and attribute the need to change to that individual's disposition and personality rather than situational factors, a psychological tendency called the actor-observer bias.
- Leaders who recognize the actor-observer bias in change processes can help move faculty and staff to the change more quickly by deemphasizing the individual attributed with the change and focusing on the change at hand.
- Group uniqueness is maintained (and perhaps strengthened) for those groups least affected by the change, whereas it is diffused more dramatically for those most affected by the change.
- A priori decision rules and processes can help leaders, groups, and individuals work through a change.
- Emotions should be integrated across all levels of the Burke-Litwin model, but particularly at the individual level.
- Time influences how the magnitude of a change is perceived.

Discussion of Findings

Research question 1: How did a college transform its structure as a result of mandated department eliminations?

During the 2010-2011 school year, "the [College of Education] was challenged to reinvent its programs and departmental structure and consider the

fit to mission (college, unit, program, and faculty), to encourage collaboration (within and across units), to focus on quality issues (college and unit) which include research and programmatic excellence, to develop a structure that enhanced cost efficiencies along with increased external grant development, (college and unit), to consider our economies in course duplication (college and unit), to modify our administrative units (college and unit) in terms of size and resources and to make serious and visible change in the structure within which we operate” (College of Education Dean, personal communication, October 16, 2010). The College did emerge with a reorganization plan, comprised of a three units. Although systemic components, such as the external environment and leadership played noteworthy roles in the reorganization, the mission and strategy, culture, and leadership did not change to an amount indicating transformational change. The change was primarily structural in nature, taking place at the group, or level of transactional change. Individual components were affected by many of the systemic and group components, however, including influences upon emotion and time.

How the process of change impacted systemic, group, and individual levels is an important step in understanding the reorganization and how it was perceived. In answering the following sub-questions, I intend to provide a general picture of how components from each level influence, or are influenced by, other components within the model. This depiction will aid in the understanding of the open system principle of the model, where interconnections between levels and components shape change processes. These connections

impact the process of reorganization and, by extension, the final outcome. To accomplish this, each component is discussed in relation to other components with which there is a direct influence.

Research question 1a: How did systemic level components impact (or become impacted by) the reorganization process? Systemic

components were important during the initiation of the change process. The external environment, leadership, mission and strategy, and culture were all impactful, to some degree, within the reorganization.

External environment. The external environment played a large role in influencing the mission and strategy, leadership, management practices, structure, and emotions within the College. Burke and Litwin (1992) describe that most change is initiated as an input from the external environment, which also has the greatest weight, or influence upon, components of organizational change, particularly at the systemic level. The budget crisis and President/University administration, actors within the external environment, initiated the change and influenced the mission, strategy, and College leadership. The President exerted pressure for the mission of the College to conform to that of the University, in order to adapt to the changing higher education landscape. Although the existing mission and strategy essentially remained in place, the influence of the external environment was seen to some degree at the systemic level. Pressures were felt directly by the College leadership, who became agents of change within the College.

The weight of the external environment also carried down to group and individual components, particularly structure, management practices, and emotions within the College. Through the initiation of the departmental eliminations, the external environment was the impetus for the structural change that was the goal and outcome of the reorganization. The reorganization was put in place through the leadership and its management practices. The “extreme” nature of the elimination as well as the “shock” resulting from the mandate of the external environment influenced emotions throughout the College, as fear and anxiety became commonplace, both within the work-unit climate and the individual emotions. Because of the external pressures, people became “all consumed” by emotions, taking focus away from the reorganization process itself. The external environment also influenced the time variable, requiring the reorganization plan to be confirmed within the span of just over a year.

Leadership. Within this case, leadership was linked to the external environment, management practices, and individual needs and values components. The College leadership responded to the external environment’s demand for change by seeking increased collaboration, efficiency, and effectiveness in the mission and strategy. The leadership was responsible for the overall planning of the reorganization, which was exemplified within the management practices component. The Dean’s office and department chairs focused on the task of reinventing the College within the management practices component, through a series of meetings, communication efforts, and open-door policies. These efforts at reorganization connect leadership to management

practices, with the intention of addressing the needs and values of the faculty and staff. The efforts by the College administration to prevent panic and keep the calm also ties directly to the work unit climate and individual emotions. The impact that time exerted on the leadership was significant, forcing relatively difficult decisions over short periods.

Culture. Culture, which “provides us with a theoretical framework for delving into that which is continuing and more or less permanent,” can be linked to the leadership, climate and structure components in this reorganization (Burke & Litwin, 1992, p. 534). There is a strong influence between the history of the leadership within the College and the impact on the culture. Because of the “rapid and consistent turnover in leadership,” combined with several interim status Deans over the past fourteen years, the College is perceived by faculty and staff as less stable from both within and outside of the College. The culture is, therefore, one struggling with maintaining power and credibility.

Burke and Litwin (1992) emphasize that there is a strong connection between culture and climate. In this case, culture can be linked to both work unit climate and structure. The initial structure of six departments had perpetuated a perception of silos, where a climate of collaboration was rare. As one person said, “we were stuck in silos that did not encourage interaction. There were six departments that didn’t talk to each other effectively. There was no collegial interaction supported by structure.” The existence of these silos impacted the conflict and division that was felt between the departments, at the group level.

Mission and strategy. Within this case, mission and strategy were strongly connected to the external environment and leadership components. College leadership was pressured to change the mission and strategy to one promoting efficiency and effectiveness. Attempts to change the mission and strategy were expressed by the leadership, who felt efficiency and effectiveness could be reached through increased collaboration and focus within the mission. Although these influences were placed upon the mission and strategy of the College, there does not appear to be a large shift in that component during the reorganization. It could be said that the perspective of the College leadership, at least implicitly, was that by taking action toward the reorganization, even at the group level, an assumption of change in the mission and strategy would occur. Even though the mission and strategy did not necessarily change as a result of the reorganization plan, it is important to realize that the leadership does perceive a change, which may impact other components.

Research question 1b: How did group level components impact (or become impacted by) the reorganization process? The change process in this case study actually occurred at the group level, with the outcome of the reorganization plan being the new structure of the College. Climate, management practices, and systems were also impacted at this level.

Climate. As the “psychological state strongly affected by organizational conditions,” the work unit climate was influenced heavily by culture and that climate continues to influence individual needs and values, motivation, and emotions (Burke & Litwin, 1992, p. 526). The culture of silos that existed within

the College served to intensify the competition among departments as resources became scarce. Division increased during the reorganization process for eliminated departments, who felt tensions appear along programmatic lines. The same struggles lessened for non-eliminated departments as they became more cohesive, a result of “being collaborative and open-minded.” As these distinctions between departments came to the surface, a focus on maintaining an identity during the reorganization emerged. This link to identity extends from the work unit climate to individual needs and values. In fact, the connection between identity at the work unit level and individual levels is distinct, but closely related. Individuals, while seeking identity for their work unit, were also trying to maintain their own personal and professional identities.

Management Practices. The management practices component, influenced by leadership and the external environment, was closely linked to structure and individual needs and values in this reorganization process. Management practices, the actions and tasks carried out by managers (oftentimes leaders themselves) or their agents, are heavily influenced by the leadership component. The leaders implemented the task of reorganizing within the management practices component through a series of meetings, communication efforts, open-door policies, and the formation of the DAC. The new structure was a goal of administrators, faculty, and staff, with a majority of the organizational decisions made within this component. The actions of the DAC also link management practices to individual needs and values. One of the objectives of DAC was to gather data from the individuals within the College,

essentially representing their opinions and perspectives on the structural changes. This representation enabled the voice of the faculty and staff to be heard during the process, which emerged as an important individual need and value. The efforts put forth by DAC, whether used in the final reorganization plan or not, are symbolically important. Their hard work, as part of management practices, appeared to assuage some negative tension and feelings during the reorganization process. Again, time constraints impacted the work of the DAC, with all of the data gathering and analysis required within only three weeks.

Structure. The outcome of the reorganization can be seen most basically within the structure of the organization. Even with structure as the epicenter of the change, there were, surprisingly, few influences emanating from the structure component. The connections to this component were less strong than other, more influential components, such as the external environment and leadership. The structure component, influenced by management practices through its implementation of the plan to reorganization, also influences systems. A change in structure results in changes to the systems supporting the structure.

Systems. With changes to the organizational structure, an impact to the systems component is inevitable. Within this case, the participants appeared most concerned with human resource and policy issues. Tenure and licensure were examples of some of these concerns. The systems component did not have a large impact on any of the other components, nor did it appear to dictate changes to the structure.

Research question 1c: How did individual level components impact (or become impacted by) the reorganization process? Most of the individual components emerged with connections to other components within this study. Group level components particularly impacted motivation, needs and values, and performance, with slight impacts to individual tasks and skills.

Motivation. As individual level components, motivation and emotions were impacted by the work group climate. As the climate within the departments became increasingly tense, individuals describe ongoing anxiety and fear. The climate of uncertainty made it difficult to maintain motivation for some, with people distancing themselves from the negative environment or not attending to necessary tasks. Others became enmeshed in the process, with the reorganization taking up much time and energy. Emotions clearly impacted motivation which, in some of these cases, consequently impacted perceived performance, such as scholarly activity.

Individual tasks and skills. The externally initiated cutbacks influenced the individual tasks and skills. The reduction in faculty and staff as well as the increased time and efforts required by the participation in the DAC efforts, by faculty and staff, caused the perception of increased workload for many. There were sentiments describing how work was also not in line with traditional tasks or skills, such as professors making copies and student workers taking on additional responsibilities. These changes in tasks and skills also impact both the performance and motivation of individuals.

Individual needs and values. Individual needs and values, as mentioned previously, were impacted by leadership, climate, and management practices. Faculty and staff were seeking identity for themselves, both personally and professionally, within the organization. They also placed a high value on having a voice within the reorganization. The impact of these needs and values is dually impactful, with influences in both directions: the need for identity and voice exerted some influence upon the management practices, leadership, and climate components, but were likewise impacted by those components. Most likely, the bottom up influences were not as impactful as those from the top-down.

Performance. I have described how factors such as motivation and emotion link to performance, with several respondents indicating that these circumstances may have had a negative impact on traditional outcomes, such as scholarly productivity. Others maintain that they have continued to perform in the midst of these influences. It may be too early to gauge whether productivity has actually been impacted as a whole, for the scope of this research project extends only through the release of the reorganization plan.

Research question 2: Did any of the components or levels emerge as more influential during the planning of the reorganization?

External environment. Burke and Litwin (1992) believe that the external environment, within their causal model, has a tremendous impact on other components and that appears to be the case in this study. Causes of change initiated externally to the organization, including the changing higher education

landscape and economics, logically flows from open-systems theory (Emery & Trist, 1965). Elements of resource dependence theory, which states that organizations must adapt to scarce resources in order to survive, can also be seen in the financial constraints, budget cuts, and eliminations that were encountered at Western University. In this instance, from the perspective of the participants, these noteworthy causes of change appear to be overshadowed by the role of the University President/Administration during the start of the reorganization. These results corroborate Levin's (1998b) study, which found that institutional stakeholders oftentimes perceive the initiation of a change as coming from the President of a university. In this case, the President/University administration and their actions are considered external to the College of Education, and therefore would be considered part of the external environment. The participants' focus on the President/Administration's role may also be tied to the innate tendency of observers to attribute the causes of actions of an actor (in this case the President) to predisposition or personality factors rather than environmental or situational factors, the actor-observer bias in action (Aronson, 2007). Examples from the data of this bias include the statements that this was potentially a "planned and purposeful dismantling" or that the President is either "very ignorant" or "very clever." Both of these statements refer to the cause of the change to the President's personal disposition, rather than the extreme budget situation, a situational factor. Other observers acknowledged the difficult situation, by sympathizing with the Administration's predicament. Regardless of the perceptions of the Administration, the participants in this study appear to be

attempting to cognitively interpret the situation through sensemaking (Weick, 1995).

The President's mandate, which was a noteworthy external motivator in this study, may have also influenced the final organizational structure.

Individuals were highly concerned that the reorganization "met the mandate" or demonstrated a sufficient amount of change. By maintaining a focus on meeting the mandate, it is possible that attaining the President's approval may have been used as an outcome as opposed to traditional measures, such as productivity and effectiveness, which are more difficult to quantify. Bolman and Deal (2008), drawing upon DiMaggio and Powell's (1983) theory of institutional isomorphism, describe this satisficing behavior by stating that "in some contexts organizations worry more about how innovations appear than what they add to effectiveness" (Bolman & Deal, 2008, p. 296).

Mission and strategy. In examining the mission and strategy component, differing perspectives on the amount of expected change to this component emerged among the College administrators and the faculty/staff. Administrators perceived that the mission and strategy of the College would shift, to include an improved focus, while faculty and staff predicted that there would not be a noteworthy change. This difference in perceptions indicates that the focus of all of the individuals can be explained by role theory, which states that "human beings behave in ways that are different and predictable depending on their respective social identities and the situation" (Biddle, 1986, p. 68). Administrators, who are responsible for guiding the reorganization in the College

as well as reporting to the University administration, must naturally be more concerned with changes within systemic components. Faculty and staff, who do not address the mission and strategy everyday within their normal work, are more focused on components that affect them more directly, such as group and individual components. Although systemic components do have bearing on the work lives of faculty and staff, it is to a lesser degree than that of the administrators, at least in the short-run.

Leadership. The leadership component emerged as important within Western University's reorganization. In this case, the leaders are defined as the Dean, members of his office, as well as department chairs. The results indicated that primarily, participants from non-eliminated departments had favorable impressions of the College leadership while those participants from eliminated departments were more critical of the actions of leaders. These reactions can be described by the theory of status-compatible emotions, which contends that "high status is compatible with positive emotion and low status is compatible with negative emotion," with the emotions having the ability to "magnify" differences between two groups (Lovaglia & Houser, 1996, p. 880-881). In this case, the participants from non-eliminated departments could be considered the "high status" group because its position is "more desirable," while the participants from eliminated groups would hold the less desirable status, accompanied by negative emotions (Lovaglia & Houser, 1996, p. 868).

The positive actions of the Dean's office and Department Chairs, as seen primarily from those participants within non-eliminated departments, included

hard work and communication efforts. Their “open door” policies and extensive meetings were not only requisite for beginning the reorganization process and learning about how the College could change, but also could be perceived as steps to build the trust of the faculty. Listening and communicating effectively on the part of leaders can greatly enhance the foundation of trust (Wolverton, Gmelch, & Sorenson, 1998).

Criticisms of the Dean’s office primarily included the lack of communication efforts and considerations of the faculty. These concerns were expressed by participants within eliminated departments, who may have felt threatened by the ambiguity of the situation. Budner (1962) defines intolerance of ambiguity as “the tendency to perceive (i.e., or interpret) ambiguous situations as sources of threat” (as cited in Judge, Thoresen, Pucik, & Welbourne, 1999, p. 110). The ambiguity of a situation ties directly to stress and anxiety commonly associated with organizational change. The intolerance of ambiguity, as exemplified by the dissatisfaction with the actions of the Dean’s office, could be considered a coping mechanism of the individuals from eliminated departments (Judge, Thoresen, Pucik, & Welbourne, 1999).

Most individuals, regardless of department, were sympathetic to the situation of the Dean. It appears that the faculty and staff viewed the Dean as a fellow faculty member and could therefore identify with his tough position. There was agreement that he did not take this position anticipating such dramatic changes.

Leaders themselves may also have experienced some cognitive dissonance during the reorganization process, which is when two seemingly incongruent realities exist for a person (Festinger, 1958). In this case, for the leaders, the elimination of two departments is dissonant with the College of Education as it existed prior to the budget cuts. Individuals, in attempts to make the situation less “absurd,” will try to reduce the dissonance, or “cognitive discomfort,” by any means possible (Aronson, 2007, p. 184). In efforts to address their own concerns as well as the concerns of faculty and staff, leaders made efforts to appear calming in this situation. Statements by leadership, such as “trust me,” may be examples of the leaders’ attempts to reduce the discomfort of the situation, for both themselves and the faculty and staff. Even the hard work and efforts ascribed to the leadership may be attempts at persisting through this situation in a manner which is comfortable from a cognitive perspective. While the reduction of dissonance is an action of the leadership, it can also be linked to the individual motivation and needs and values components.

Informal leaders were also mentioned by many of the participants. Kanter (1983) found that leaders emerge during change that are not necessarily managers or leaders in position, but those people holding legitimate power, or power that “exists when both parties agree to a common code or standard that gives one party the right to influence the other in a specific range of activities or behaviors and obliges the other to comply” (Birnbaum, 1988, p. 13). In this reorganization, the DAC was given legitimate power by the College administration in its role to gather opinions on and recommend a new structure

for the College. Participants generally respected the DAC, naming the individuals on the committee as informal leaders. Kanter (1983) also mentioned that people that leverage power can also be informal leaders. In this reorganization, the emergence of people who leveraged power by either not using the power that they legitimately held or influencing in negative directions could be considered informal leaders as well, with actions by such people impacting other components. For example, one faculty member who also held a powerful role outside of the College was criticized for not using their influence to represent the College's case to the University wide community. Another person referenced individuals who disparagingly discussed the University administration in front of other faculty and students. This lack of action or "unprofessional" behavior, to some, negatively impacted the process.

Culture. The culture of the College of Education was impacted by the unstable leadership (in terms of turnover, for example) within the College, which respondents credited with influencing perceptions of the College negatively in the eyes of the University. Gumport (1993) similarly found that in cases of program reduction, "some targeted programs were in transition, located in schools without visible leadership in the Dean's office" (p. 290). Leadership is symbolic, and as such, has a tremendous influence upon the culture of an organization and how the organization is perceived externally (Birnbaum, 1988; Bolman & Deal, 2008). The turnover experienced by Western University's Dean's office in recent years along with the reoccurring interim status possibly symbolizes a college in transition or weak governance from the perspective of the University community.

If these circumstances did not contribute to the College's reduction in departments, they certainly did not help. Interim leadership also impacted the culture from a power perspective. Within the College, because of the high turnover, the Dean's office was lacking legitimate power, as previously defined, in the eyes of the faculty and staff. When a participant stated that "interim status makes it easier to pick apart and criticize, because you know that person won't be here as your boss for the next seven years," they depicted a lack of influence held by the Dean's position over faculty and staff. This short-term leadership perspective on the part of faculty and staff may hold influence over the culture within the College.

The College's culture was also affected by the silos that had formed between departments. In institutions comprised of highly educated individuals in autonomous positions, there tends to be alignment among people holding common interests, or in this case, departments (Mintzberg, 1979). Departments are subsystems within the College and are linked together through loose and tight couplings, although the strength of some of the couplings shifted during the reorganization (Cohen & March, 1974; Weick, 1976). At the outset of the reorganization, loose couplings existed between the different departments within the College, where "the elements of the system are responsive to each other, but they also preserve their own identities and some logical separateness" (Birnbaum, 1988, pp. 37-38). Unfortunately, this alignment tends to discourage collaboration between these academic units. This division had existed for quite some time and contributed to a self-centric culture with the College. As the

reorganization progressed, the couplings of departments appeared to become more tightly connected, particularly in non-eliminated departments. In these departments, as people entered a “problem-solving mode” they became “engaged, talked, processed possibilities.” Departments recognized that working together outside of their silos towards the reorganization was necessary to preserve the College as a whole.

Climate. Within the work unit climate, a group level component, identities emerged as noteworthy within this study. Clark (1972) describes that “those who have persisted together for some years in one place will have had at minimum, a thin stream of shared experience, which they elaborate into a plausible account of group uniqueness” (p. 179). This “group uniqueness” was important to the departments and programs within the College, with many participants fearing the loss or dispersion of such identities and others seeking to find new identities within the new structure. At the outset of the reorganization, tight couplings existed between the programs and departments, where an action in one unit “produce[s] directly responsive changes in another” (Birnbaum, 1988, p. 36). The programs within departments resembled each other in behavior and purpose, with a shared “collective perception” of the work unit climate (Burke, 2011, p. 222).

In departments that were not eliminated, participants expressed that the uniqueness that had been built over the years may be lost. In these instances, couplings increased in strength as the departments collaborated, through open discussions, where people discussed “who colleges are and who they’ve been,”

in order to preserve for the future. As the reorganization progressed, the distinction between a program and a department increased in eliminated departments due to the elimination of “departments” and not “programs.” Participants within those departments began identifying with others within their program instead of the department as a whole, thereby loosening the coupling between departments and programs.

In some sense, the group uniqueness was diffused more dramatically for those participants in eliminated departments, those most affected by the change. Weick (1976) states that change is more easily adapted to in loosely coupled systems, particularly where identity and uniqueness are concerns, because of the greater number of “novel solutions” or possible alternatives (p. 7). Programs were seeking ways in which to preserve their identity (and existence) and found that more accessible in smaller, loosely coupled units. It may be that participants from eliminated programs sought to identify with those from non-eliminated departments in which they had previously felt some camaraderie or empathy, in some sense, another element of group uniqueness. As Weick (1976) suggests, there were more opportunities for assimilation with other subsystems or departments, while simultaneously maintaining identity, in more loosely coupled systems.

Management practices. The actions of managers of the reorganization were also recognized as important within this study. The role of DAC, an agent of the leadership, as well as the objectives and criticisms of the reorganization

plan were discussed. Additionally, the recognition by some individuals, that the change can be healthy for the College emerged within the results.

The progression from informal meetings of leaders to the more structured formation of a committee to gain the opinions of the faculty and staff on the potential structures resembled Hartley's (2002) study, demonstrating that these gatherings were "opportunities for ideals to emerge and for consensus to be built" (p. 123). Committees, in both the Hartley (2002) study and Western University's reorganization (DAC), were responsible for "advance[ing] the effort" (p. 37). The DAC took on the role of a change agent in its assumption of the task of gathering information and proposing a reorganized structure to the Dean's office, which retrospectively became more of a symbolic act of leaders than a decision tool. Additionally, the DAC took pains to adequately represent the faculty and staff. A DAC member described how important it was to provide a voice for the individuals within the College, although lamenting the short amount of time available for the task.

The DAC, which was comprised of members from all of the departments (with the exception of one department, which opted out), was thought to have exerted tremendous efforts in a principled manner, one resembling Kanter's (1983) participative and collaborative style. A few participants from eliminated departments did describe the possibility of coercion of committee members by department leadership, particularly in efforts to retain departmental assets. Burke (2011) describes that such efforts do arise during change processes, particularly to "support...a disenfranchised group that one values" (p. 50). In this

case, participants from eliminated departments may express dissatisfaction with non-eliminated department chairs' relationships with the DAC committee in part because these chairs have increased power within the reorganization due to their secure positions, when compared to participants from eliminated departments.

. As is the case with change that is initiated external to the organization, or reactionary, the objectives are not always clearly defined at the outset. The objectives of the reorganization plan were primarily found within the document analysis. They predominantly focused on breaking down the cultural silos and increasing interdepartmental collaboration. These were important in not only addressing historical problems, but also in fostering mutual goals within the College. Additional objectives emerged from within the interviews, including protecting the College from future budget cuts and increasing efficiency and effectiveness. This view is similar to evolutionary change, where an organization tries to adapt to an environment in constant flux (Gersick, 1991; Levy & Merry, 1986; Pfeffer & Salancik, 1978). Improvements in efficiency and effectiveness are the first steps in securing a viable future, by decreasing the College's dependence on external funding, and meeting Presidential objectives of alignment to institutional mission.

Eckel (2003) describes the "importance of identifying workable decision rules," which can give direction and "lead to action" (p. 149). For some within eliminated departments, criticisms were expressed, accompanied by frustrations, regarding the lack of decision rules within this reorganization process. Mills, Bettis, Miller, and Nolan (2010) found similar results in their College's

reorganization, where “the goals and direction of the changes remained unclear, and we did not have a shared framework for directing our attentions and efforts” (p. 565). In both cases, the lack of a framework driving the change caused increased skepticism as to the motivations of the restructuring. At Western University, some individuals deduced that the structure had already been decided upon, and the decision making process was merely a symbolic act of gaining faculty and staff input. Others, while being supportive of the reorganization, still questioned whether the process remained limited in scope given the time constraints and enormity of the task, suggesting that these restrictions may have hindered the results. The outcome, which was inconsistent with the recommendations of DAC, unfortunately, makes these assertions plausible.

Several individuals recognized the change as a healthy option for the College. One described innovative and creative opportunities that came from this process. Others remarked how retaining a status quo can actually limit the progression of an organization. These individuals recognized that organizations require change in order to remain competitive, survive threats, and maintain credibility (Palmer, Dunford, & Akin, 2006). This proactive view of change, an organizational development perspective, is most commonly found in instances of planned change. That it is being recognized, or rationalized, post-change appears to be a sensemaking strategy, an effort to better understand, identify, and accept the change that has occurred. It is also consistent with Pfeffer’s (1997) Retrospectively Rational Model of Behavior, in which he describes how

“individuals and organizations will take actions to make sense of or to appear to be consistent with previous choices” (p. 66).

Motivation. The motivation of the participants emerged as an important component within this study. Burke and Litwin (1992) liken motivation to the energy necessary to perform in an organization, measured by the “sum of achievement, power, affection, discovery, and other important human motives” (p. 533). These factors are similar to the intrinsic (or satisfying) conditions described in Herzberg’s Two-Factor Theory of motivation, which include achievement, recognition, responsibility, advancement, the work itself, and the possibility of growth (Ivancevich & Matteson, 2002). When these conditions are met, individuals are more satisfied, and therefore, increasingly motivated. These intrinsic conditions are countered, simultaneously, by extrinsic (or dissatisfying) conditions, which include salary, job security, working conditions, status, procedures, quality of technical supervision, and quality of interpersonal relations among peers, with superiors, and with subordinates (Ivancevich & Matteson, 2002). When these factors are not met, individuals become increasingly dissatisfied and less motivated. Together, these intrinsic and extrinsic factors can be used to determine the overall motivation of individuals.

Decreased motivation emerged as a finding within this case, which was attributed to the fear, anxiety, and anger that permeated throughout the College as well as a sense of oppression or demoralization. This increase in dissatisfaction made sense in the College of Education’s environment of job insecurity, salary reductions, decreased status, changing procedures, and

interpersonal tensions described by many participants. These extrinsic factors have impacted the dissatisfaction of participants, particularly those from eliminated departments, who have felt the greatest impact from these occurrences. Even with the decreased motivation, some participants (from both eliminated and non-eliminated departments) still described a sense of maintaining some motivation as exemplified by continued research productivity and fulfilling relationships with students or superiors, both extrinsic factors. The extrinsic factors, preventing dissatisfaction to some degree, combined with the intrinsic factors in Herzberg's theory allows us to understand the apparent contrast between increased and decreased motivation, occurring simultaneously, within the College.

Needs and values. The participants in this study found that maintaining an identity and having a voice in the process were needed and highly valued. Even if people felt that the process may have just been a symbolic gesture, they still felt that having a voice in the process is something that should be valued. Bridges (2003) advises that it is important to let people hold onto items from the past in order to move forward through a change process. He talks specifically about personal items or mementos, although in this case, professional identity was the intangible item brought forward by many. Participants, particularly those from non-eliminated departments, were intent on maintaining some of their past identity as they transitioned into the new reorganization. Participants from eliminated departments may not have been as concerned with preserving identity

as those from non-eliminated departments because their focus was more on survival.

In identity theory, individuals are able to view themselves “not as an autonomous psychological entity but as a multifaceted social construct that emerges from [their] roles in society” (Hogg, Terry, & White, 1995, p. 256). Identity not only impacts individuals’ relationships with others, but their own self perceptions, such as self-esteem and self-worth. It was important for the participants within this study to maintain some sense of who they are (or will be) within the reorganized College in order to understand their past and future roles and be comfortable with who they were. Maintaining an identity was also a means of reducing dissonance for the faculty and staff, who were at odds with their roles prior and subsequent to the reorganization, thereby lowering anxiety (Hogg, Terry, & White, 1995).

Individuals in this case expressed the need to have their voice heard during the process of the reorganization, both through participation and representation. Usually, recommendations for change processes include suggestions for leadership to both communicate and gain the opinions or buy-in of their subordinates (Eckel & Kezar, 2003; Kotter, 1995). In this instance, faculty and staff were highly concerned that their opinions were expressed and represented, even without the prompting of leadership. This could be interpreted as the faculty and staff exercising leadership from within their own ranks, acting as agents of change on their own behalf. It could also be that the individuals feel some ownership of the College (Bolman & Deal, 2008). Realizing that the

reorganization would impact their identities, both professionally and personally, in addition to the departmental structure, caused the participants to place a high value on having their opinions heard, particularly through the process driven by the DAC.

Performance. The participants indicated that there was a change in performance as a result of the reorganization. There was a mental shift, due to the ongoing anxiety of the situation, that psychologically impacted the focus within the College. Several respondents indicated that this process not only took a great deal of time logistically, with the focus groups, surveys, emails, and meetings, but also was mentally draining. The reorganization was all encompassing and overwhelming for many. Burke (2011) describes that when motivation is affected, performance also suffers. Bolman and Deal (2008) describe that individuals frustrated with a situation oftentimes try to escape by withdrawing. This resembles the actions described by participants, who indicated that some people were not coming to campus as often. Others described not being able to attend to tasks to a sufficient degree or “checking out,” possibly withdrawing emotionally. The reduction of writing or research by some would also signal a decrease in productivity. The outputs of individuals, as well as the College as a whole, will most likely show a decrease overall, indicating a reduction in performance.

Research question 3: How was the magnitude of the reorganization perceived?

Findings related to this research question were some of the most intriguing of this study. By examining the data through different levels, and further through a componential analysis, it appears that perceptions of the magnitude of the reorganization varied by position, another application of role theory (Biddle, 1986). Faculty and staff participants perceived the reorganization as more transactional while administrator participants perceived the change as more transformational. Burke and Litwin (1992) describe this distinction when they state, "With respect to our three transformational boxes, they can be thought of more realistically as being in the minds of organizational leaders and as part of their behavior" (p. 536).

The finding that administrator participants perceived the change as more transformational in nature is not unexpected. Mitchell's (2005) application of the Burke-Litwin Model also found that leaders, at a private institution, tended to hold a more transformational perspective. The administrators in this case believe that a shift of the mission and strategy as well as the culture to a more collaborative, focused nature will result in significant, lasting changes to the organization. Even if not explicit, the leaders may perceive an end state where strategy and mission are different. The alignment between administrators and systemic components is natural given the focus required of these individuals on the transformational variables, as explained through organizational role theory, a derivative of the aforementioned role theory. Organizational role theory states that roles are

“assumed to be associated with identified social positions and to be generated by normative expectations” (Biddle, 1986, p. 73). In a leadership position, the norm would be to focus on systemic variables.

Faculty and staff participants indicated that they do not believe that there will be a separation from past values and assumptions, which is requisite for a paradigmatic shift (Armenakis & Bedeian, 1999; Kuhn, 1970; Van de Ven & Poole, 1995). They also do not foresee a change in the behaviors or mission of the College. Some described that the job responsibilities would essentially remain the same, regardless of where their offices are located. This focus on the physical aspects of the job can be interpreted as structural, or group level, changes within the organization, as opposed to more systemic, or transformational, components.

Document analysis indicated that a new organizational structure was the intended outcome of the reorganization. As Burke and Litwin (1992) noted, a change that is primarily found within the organization’s structure falls within the group level components, which again indicates transactional change. A structural change that is accompanied by a modified mission and strategy, culture, or leadership may create changes of a more transformational nature, but that does not appear to be the case at the point in the reorganization under examination. Although the perceptions of the change may be transformational in nature to some, the actual outcomes are where the magnitude of the change is measured.

As mentioned previously, all of the systemic components emerged as influential components during the reorganization. The findings within the components, or perceptions of their importance in influencing change, are what need to be examined to determine if the reorganization is perceived as transformational or transactional. During this reorganization process, the mission and strategy were not modified in their written form. The mission and strategy that were present at the outset of the reorganization were used as benchmarks for the new reinvented College, indicating transactional change only. It is possible that a different mission and strategy may be incorporated during the launch of the reorganized College, which falls outside the scope of this dissertation. The leadership also remained consistent, with only minor changes (including the elimination of an assistant/associate dean position and two department chair positions consistent with the elimination/consolidation of departments). The people occupying the leadership positions generally were the same throughout the reorganization.

The organization shifted slightly to include the underlying value of collaboration within the College, although an “entirely new set of dimensions around which climate would be perceived, described, and responded to” did not emerge (Burke & Litwin, 1992, p. 534). Even though the model suggests that changes initiated external from the organization are oftentimes associated with transformational change, this is also found in change of a more evolutionary nature (Kezar, 2001). As a whole, the “top transformational boxes” did not “act as the primary and significant levers” for change (Burke & Litwin, 1992, p. 534).

Research question 4: To what extent is the Burke-Litwin model applicable to higher education?

Burke and Litwin (1992) describe that “models may only help us to understand reality; they do not necessarily depict it” (p. 536). Essentially, models should be viewed as tools to aid comprehension of a given situation. Evaluating the usefulness of a tool to a particular discipline is beneficial for guiding future research and understanding. I believe that the Burke-Litwin Model is an appropriate model to use within higher education, but insights which emerged during this investigation can be incorporated into the model which may enhance its usefulness within higher education.

Emotions. The addition of a component, at the individual level, for emotions would be one recommendation for the model (see Figure 4). The Burke-Litwin Model accommodates “impressions, expectations, and feelings,” which may be considered emotions to some extent, within the group-level climate component (Burke & Litwin, 1992, p. 533). Within this study, the data revealed that emotions were felt and expressed by many of the participants, frequently at the individual level. The emotions component is an appropriate addition to the individual level because emotions have a direct effect upon motivation, tasks and requirements, needs and values, and individual performance, all found at the individual level of the model. The arrows connecting emotions to the proximal components and surrounding the component itself represent the influence of emotions within the individual level.

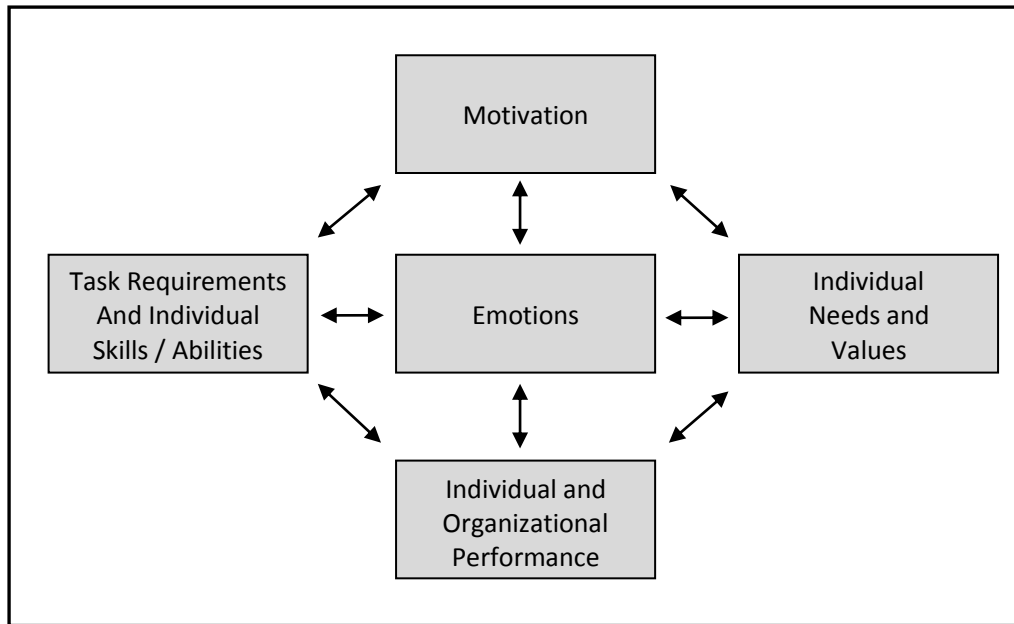


Figure 4. The addition of emotions to individual level components

This addition must be tempered by the realization that, because this is an open-system model, emotions are heavily influenced by and impactful within all levels. Actions or occurrences from within both the systemic and group components generated emotional reactions from individuals, thereby exemplifying the “open-systems principle” of the Burke-Litwin Model which depicts that “a change in one (or more) ‘box(es)’ will eventually have an impact on the others” (Burke & Litwin, 1992, p. 528). As described within chapter five, several important elements of emotion were found within the culture, climate, and motivation components of the framework during this reorganization, demonstrating the influence and linkage of components upon one another. The connections between these components are supported by the writings of Litwin and Stringer (1968), who describe these linkages of interrelated components

inherent within a system. With the incorporation of a new individual component addressing emotions, it is recommended that viewing emotions across all levels is important for a more complete understanding of the interconnectedness both within and across levels (see Figure 5).

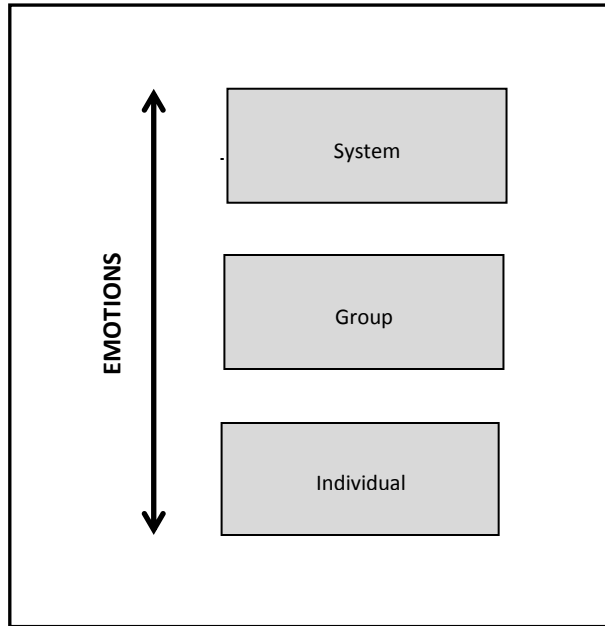


Figure 5. The addition of emotions across individual, group, and systemic components

The literature on change confirms that emotions play an important role in change processes. As part of evolutionary change, Gersick (1991) describes how emotions, including panic, are natural occurrences as individuals begin reacting and adjusting to a change. Levinson (as cited in Gersick, 1991) and Tushman and Romanelli (1985) describe feelings of being suspended and directionless, along with pain, emerging during different stages of change.

Apprehension, cynicism, stress, and turmoil may also appear (Armenakis & Bedian, 1999; Kanter, 1983). Bridges (2003) contends that dealing with emotions resulting from loss, including anger, anxiety, and sadness, is an important step in progressing through a change. These emotional reactions echo the expressions of emotions described by this study's participants. Not including these emotions would have resulted in an incomplete story of this reorganization, thereby limiting the understanding of the case. Given the different organizational roles, it is important to investigate emotions on as "individual" a level as possible, while recognizing that a) patterns of emotions may emerge which give rise to changes in climate and b) emotions are at work across all levels of the models, as previously described.

Time. Time emerged as a noteworthy variable within this study, although it is not directly addressed within any of the components of the framework. Time appeared consistently throughout the components, potentially influencing decisions and outcomes. It is possible to consider time as an element within the systems or external environment components, but when referring to the literature, those possibilities became excluded. The systems component within the group level includes "standard policies and mechanisms that facilitate work," such as reward systems, MIS systems, etc. (Burke & Litwin, 1992, p. 532). Time does not appear to meet this definition because it does not facilitate work, particularly in a similar manner as reward or MIS systems. The external environment component may be slightly more accommodating, defined as "any outside condition or situation that influences the performance of the organization

(e.g., marketplaces, world financial conditions, political/governmental circumstances)” (Burke & Litwin, 1992, p. 531). Burke and Litwin (1992) recommend Pfeffer and Salancik’s (1978) work as a supplement to their explanation of external environments. This text discusses the impact of resource dependence theory upon organizational behavior, which does not extend to the time element. Because neither the systems nor the external environment components directly or succinctly address time within the model, it would be an appropriate incorporation. The existing literature corroborates the importance of time as a part of change. Time can be both a hindrance to change, but also a tool used for acceptance. Time is also an element in theoretical constructs, such as evolutionary change and diffusion (Van de Ven & Poole, 1995; Rogers, 2003).

In describing a case of mandated change at an international university, time was found to be a barrier to implementation, and also identified as a common complaint:

This complaint is a typical tone – in this case, lack of time for continuous improvement of courses and interaction with students, lack of time needed to fully understand the new approach, and lack of time to become involved in the change process and for feedback during the implementation process (Hall & Hord, 2006, p. 55).

This example depicts what has arisen in the current case, that the lack of time was a factor influencing understanding, involvement, and feedback. At Western University, the short span of time forced quick understandings and decisions, particularly for the leadership. Involvement and feedback from the faculty and

staff, coordinated through the DAC, was also rushed. The rapidity of the situation may have also exacerbated the emotional reactions of the participants.

Hearn (1996), in his conceptual writing aimed at administrators and policymakers, suggests tactics for successful change. One proposition suggests that “when institutions as a whole face a potential crisis, systematic changes instituted rapidly from the top governance levels may be especially successful” (p. 150). He credits this stance of rapid change with disrupting the inherent bureaucracy, which traditionally reacts slowly to change. It is possible that the change in this case, implemented quickly from the President/University administration, was more “successful” as a result of the fast pace, although it may be premature to discern whether this is indeed the outcome. It could be said that the imperative for fast change intensified emotions in the short term. As one participant described, “It was still like pulling off the Band-Aid slowly.”

Time is also a natural factor within evolutionary change. Van de Ven and Poole (1995) describe that small adaptations over time can result in a larger cumulative change. Gersick (1991) credits time as initiating change, such as when the passage of time creates a deficiency if a certain task has not been accomplished, thereby prompting change. Punctuated equilibrium, which is a crisis that appears in a relatively stable environment, also relies on time as a component (Gersick, 1991). This case resembles punctuated equilibrium, with the rapid appearance of a crisis disrupting the normal equilibrium state.

Rogers (2003) considers the incorporation of time in diffusion of change a strength of the theory. An aspect of diffusion which is applicable to this study is

its ability to look at decision making processes over a period of time, in the case of diffusion, from knowledge of the innovation to adoption or rejection. This study included decisions impacting components within the Burke-Litwin Model over time, thereby influencing the change process. How these impacts progressed over the period of the reorganization is an important consideration within this study.

The incorporation of time into the Burke-Litwin Model is most logically done with the addition of a time continuum, which is useful for examining relevant components. This addition is important for two reasons. First, the continuum, as shown on the x-axis (Figure 6), symbolizes that the elements of change included in the model (components, levels, and magnitudes) are not static, but actually may shift over time, dependent upon the actor experiencing the change. Even though a change is typically examined over a certain time frame, the perceptions emerging from the change shift, even within that time frame. Second, the time element can be used as a tool to show the various states of components at different periods of time within a change process. For example, in this study, the perceptions of the magnitude of the change shifted over time. The foci of the participants also shifted during the reorganization. These dynamic elements can be visually depicted, over time.

The findings, as previously described, indicate that the magnitude of the reorganization was perceived differently by the participants from within the leadership of the College than the faculty and staff participants. The leadership believed that the reorganization was more transformational in nature due to the

long-term impact upon systemic components. As Figure 6 indicates, these perceptions were maintained from the earliest onset of the change through to the release of the reinvention plan. These perceptions contrast with the perceptions of faculty and staff, who perceived the change as more transactional. Immediately, there was a sense from participants within both eliminated and non-eliminated departments, that the change was transformational. This perception did not last, particularly for the participants from non-eliminated departments, who quickly believed the change was transactional, as exemplified by the sharply declining downward sloping curve in the figure.

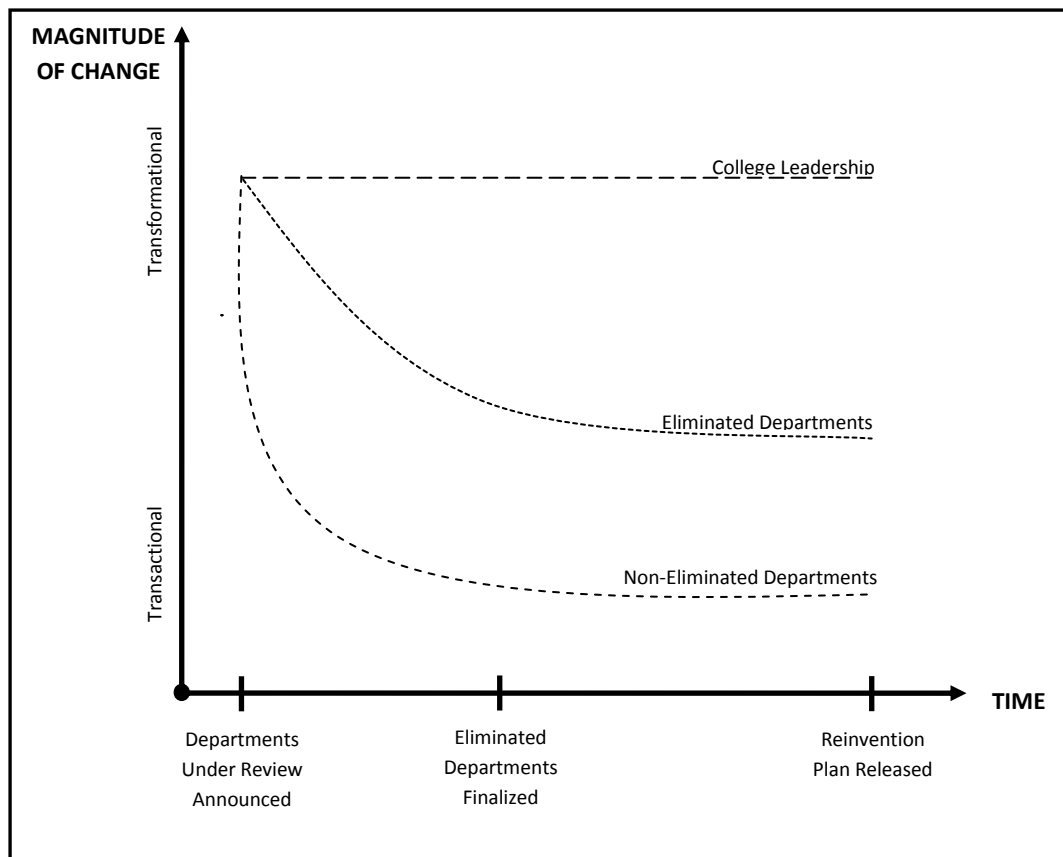


Figure 6. Perceptions of the magnitude of change over time

As these departments recognized that they were safe from elimination, the change appeared to be, to them, predominantly structural. Participants from eliminated departments, who were uncertain of their futures, perceived the change as slightly more transformational over the long term than the participants from non-eliminated departments, indicated in the figure with a less steep downward sloping curve. When more definitive decisions had been reached, including the finalization of eliminations, combined with the potential to join other departments/programs, these participants began viewing the change as more structural and less transformational. The perceptions of the participants within eliminated departments, which bordered on transformational for some time, are logical in light of the tendency for people to focus more on their own basic individual needs, such as safety or security, when they are threatened (Maslow, 1943).

Delving even deeper than is depicted within the figure, individuals whose positions were eliminated may have perceived the change as more transformational when compared to others whose positions were safe. For example, non-tenured faculty within the eliminated departments, who lost their positions, would have felt that the change had a greater impact than the tenured faculty whose positions were guaranteed. This is an important consideration, although the data in this case did not clearly indicate this supposition and may warrant further investigation.

Examining the changing perspectives or focuses of faculty and staff can also be a relevant example of the incorporation of the element of time (see

Figure 7). Initially, faculty and staff tended to perceive the change derived from the eliminations at the individual level. They were focused on their own needs and values, emotions, and motivation. As time progressed, particularly to the point of the discussions coordinated by the DAC, the focus of faculty and staff shifted to the group level. Individuals were learning about other programs and departments and exploring possible opportunities for future alliances, primarily seeking inclusion within the new structure at the group level. This is also an example which can be described by Maslow's hierarchy of needs (Maslow, 1943). Initially during this reorganization, the lower levels of security (job, financial stability, etc.) were threatened, forcing a focus at the individual level. As the reorganization progressed and tenure was upheld, meeting these lower needs, there was a shift in focus to the higher level of affiliation within Maslow's hierarchy, where individuals sought belonging and affiliation at the group level. One could argue that the search for a connection with another program or department was merely a method of self-preservation in the midst of the program reductions, where placement within another department was a way for ensuring survival, all the while maintaining a focus on the individual components. Nonetheless, the search for identity within other groups, although addressing individual needs and values, became less predominant as concerns for structure, work unit climate, systems, and management practices grew. The focus of faculty and staff never seemed to progress past the group level to the systemic level, with the exception of crediting the change on the external environment (President/University administration).

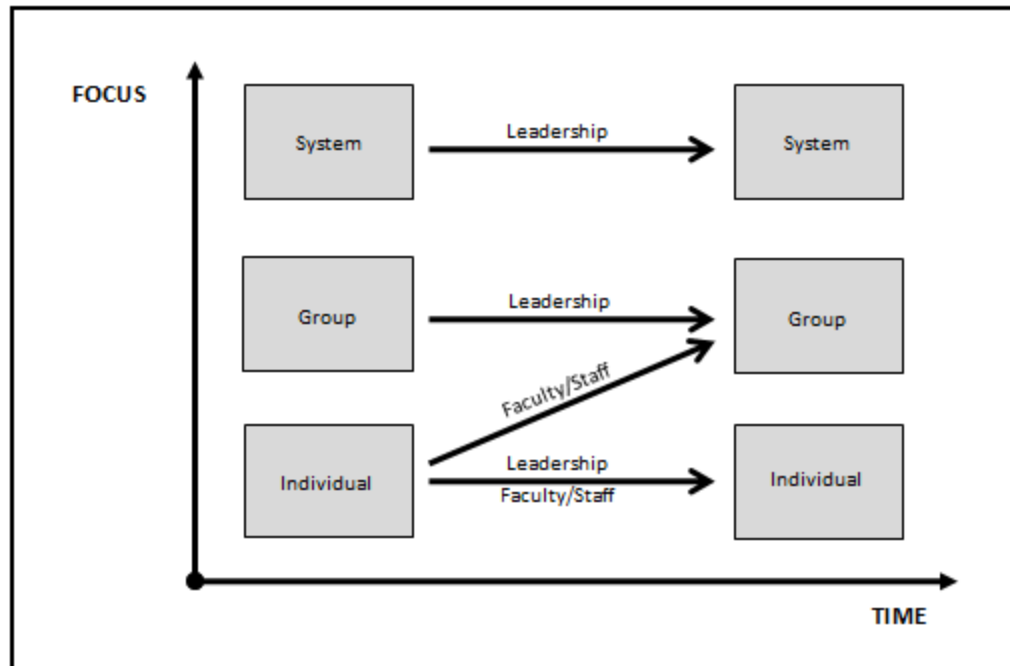


Figure 7. Focus of leadership and faculty/staff over time

Unlike the focus of faculty and staff, the focus of administrator participants remained fairly consistent over time (also depicted in Figure 7). Administrators were concerned with the systemic components, but also maintained focus on individual and group components, throughout the reorganization. Because leadership is a systemic component, one may initially infer that the focus of leaders would be primarily among the systemic components. Leaders did express concerns at the systemic level, particularly for addressing the demands of the external environment (the President/University administration), as well as seeking a significant shift in mission, strategy, and culture. In this case, this systemic concern coincided with a focus on individual and group level components. The leadership voiced concerns with addressing the basic needs

of faculty and staff, while understanding that motivation may have been compromised. They also were cognizant of the various emotions felt at the individual level. At the group level, management practices, climate, and structure also remained in the forefront of the minds of the College leadership.

Implications for Practice

The findings from this study yielded several implications for practice, which are discussed below. These implications include recommendations for practice and lessons. The propositions outlined earlier in this chapter are embedded within these suggestions for practice.

Consider the desired outcomes early in order to address the appropriate levers for change.

This case brings to light the importance of considering outcomes early in the change process. During the initial stages of a change, determining whether transformational or transactional change is desired should have an influence upon the targets or components in which the change is enacted. For example, if the initial goal is to emerge with transformational change, the levers of change need to be systemic components, such as mission and strategy, leadership, and culture (Burke & Litwin, 1992). If transactional change is the desired outcome, then change within structure, management practices, and work unit climate will be sufficient.

When the President of Western University said, “it is not a time for cosmetic change,” the desired outcome could be assumed to be transformational change. This was corroborated by the College leadership, who expressed a

desire to create a “reinvented” College. The focus of change should have been on the leadership, culture, and mission and strategy in order to achieve transformational change. In this instance, the focus of change appeared to be primarily structural in nature. The use of the preexisting mission statement as a benchmark for the reinvented College, as well as minimal changes within the leadership and culture, were prohibitive in enacting transformational change. If a “refocused” College, including increased collaboration and an emphasis on teaching and learning were desired, these needed to be stressed within a new mission and strategy, rather than sought for within an existing framework. Changes to systemic components drive transformational change and are more effective if they are brought to the forefront early in the process and emphasized throughout the change.

A lesson for practice would be for leaders to focus early on the desired goals and outcomes of the pending change and then align their focus to the appropriate level, in this instance, group level components. Efforts from this point forward can then be geared toward effectively managing the change from within appropriate components.

Separate the external environment from the task at hand

Gersick (1991) describes how instances of change are oftentimes met with confusion, fear, and other emotions. When these reactions are in the forefront of individuals’ minds, it is oftentimes difficult for people to separate themselves from the perceived causes of change and shift their focus to the task that lies ahead.

In this instance, individuals had difficulty turning their attention from the external environment to the process of reorganization. There was an underlying sense that the President/University administration, as actors within the external environment, were responsible for the change. People ascribed the change to the President rather than the budget cuts. This actor-observer bias, where individuals attribute the cause of an action to a person rather than a situation, overshadowed the reorganization, or at the very least delayed action toward the inevitable change (Aronson, 2007). The perspective permeated throughout the months leading up to the release of the reorganization plan, with continuous reflection upon whether the plan was sufficient to meet the demands of the President. Addressing what was best for the College was clouded by the demands of the external environment. Separating the external environment (President/University administration) from the task ahead (reorganizing) would enable goals and outcomes to be addressed, in a less emotionally charged climate, with potentially more efficiency and effectiveness.

One lesson for future leaders of change that can be derived from this implication is to acknowledge the influences from the external environment and then to move forward, intently guiding individuals past the focus on the external environment. Shifting focus to the business of change, regardless of the source, and understanding that the change must occur is essential.

Recognize the importance of symbolic acts, but add meaning to them

Bolman and Deal (2008) state that “what is most important is not what happens but what it means” (p. 253). Symbols can be helpful for change

processes in assisting movement toward the desired change through the rationalization of complex situations (Bolman & Deal, 2008; Levy & Merry, 1986). Symbols also aid in the comprehension of meanings (Bensimon, Neumann, & Birnbaum, 1989). In examining this reorganization process, it became clear that some actions were more symbolic in nature than their actual stated purpose.

An example within this case is the role of the DAC, whose stated purpose was “gathering and reporting faculty/staff input regarding ideas associated with the reinvention of the College of Education” (Dean’s Advisory Council Special Assignment, 2010). This broad statement was expanded upon with more specific purposes, such as to “provide feedback and react to ideas on reinvention,” to “comment on recommendations for reinvention and re-alignment of resources,” and to “provide an opportunity that gives voice to all COE [College of Education] members” (Dean’s Advisory Council Special Assignment, 2010). These tasks are all beneficial for comprehending the change process and its effects upon the individuals within the College as well as generating forums for discussion, or opportunities to rationalize and make sense of the process. Because the recommendations proposed by the DAC were inconsistent with the final reorganization plan, it appears as if the formation of this committee was largely symbolic. At the end of the process, the DAC was primarily a data gathering and analysis mechanism for the leadership rather than a means of determining the final organizational structure. Even though the DAC did not largely influence the outcome of the reorganization, it served an important function. The DAC was much more effective at addressing the needs and values

of the individuals, symbolically representing that the faculty and staff had a voice in the process that was delivered to the College leadership. The DAC also served to increase collaboration among departments by forcing dialogue and discussion among individuals that traditionally had not worked together. During the reorganization, the participants perceived the DAC as having an important purpose within the restructuring, where their involvement was valued. It would have been key for the administration to tie this involvement, even symbolically, as central to the reorganization process.

Essentially, the reorganization of the College of Education was a top-down exercise, but the involvement of the DAC was vital for addressing the needs and values of the faculty and staff, particularly the need to have a voice in the process. Symbolically, even if the DAC did not highly influence the outcome, the purpose and results of this council were an important representation of the leadership addressing needs and values and aiding in the progression through the reorganization process.

One lesson for practice is that leadership should link important activities, even if only tangentially, to the change initiative in order to more determinedly affirm individuals' perceived contribution to the change. This not only addresses the need for individuals to have a voice in the process, but also lends credence to the leadership's desire to obtain and hear input.

Understand that roles influence perceptions and focuses of change

Morgan (2006) describes that, as part of constructing reality, people “see and understand particular events, actions, objects, utterances, or situations in

distinctive ways” (p. 134). This comprehension is influenced by the roles people hold as individuals, members of groups, and within a system. Understanding these influences and their relationships to individual perceptions of change is an important consideration for leaders of change initiatives.

Within this case, leaders’ perceptions were heavily influenced by their roles as administrators within the College, agents of change within the reorganization, and professors. Holding positions of authority forced the leaders to focus on systemic components. Responses to mandates and other pressures from the external environment, the desire for a more focused mission and strategy, and need for a more collaborative College caused the leaders to keep these systemic perspectives in the forefront and perceive these components as shifting in a noteworthy manner. As leaders within the College, these individuals also maintained a focus on group and individuals components as well. The leadership was highly involved with the organization of the restructuring, primarily through their attention to management practices and structure. At the individual level, they were concerned with meeting the needs of the faculty and staff (i.e. providing opportunities for voices to be heard), maintaining motivation, and managing emotions. The leaders perceived that these tasks were being accomplished, but probably to a greater extent than as perceived by faculty and staff. Their empathy was impacted by their own roles as professors, easily identifying with their subordinates. This multi-perspective focus of the change is appropriate and necessary for leaders.

Faculty and staff, who do not have responsibilities at the systemic level, were immediately focused on their own roles as individuals within the College. As previously described, their needs and values (security, identity, having a voice) held a high priority for these individuals. The importance of role identification is even more evident when the faculty and staff move forward to examine group elements. Pfeffer (1991) describes that “we compare our own outcomes to those received by others around us to determine how well we are doing in a comparative sense” (p. 361). There was a distinct difference in the way participants from eliminated and non-eliminated departments perceived the reorganization, particularly as they were seeking a home within the future structure. Those participants from eliminated departments were more critical of the process, recalling a lack of communication and potential collusion. The participants from non-eliminated departments generally perceived the reorganization as progressing adequately. In a sense, each of these groups were comparing themselves to the other and basing their perceptions, positively or negatively, on their eliminated or non-eliminated roles.

A lesson for future reorganizations would be for leaders to recognize their natural tendency to focus on systemic components and align themselves with the actual change. In this case, a stronger recognition that this was a group level (transactional) change may have helped leaders more effectively employ management practices within the group level. A second lesson would be for leaders to acknowledge the focus of faculty and staff on their own needs and

emotions, but to work in order to transition the energy and effort of all to the task of change.

Additional recommendations for practice

Some additional recommendations for practice are mentioned below.

Although several of these may represent ideal situations or the most optimistic of scenarios, they are still worthy of consideration, particularly in light of the depth of emotional responses generated during this case study and the increasing number of reorganizations occurring on campuses due to fiscal constraints.

- The incorporation of a shared framework during the decision making process, particularly when working with highly educated individuals, can be beneficial for opening dialogue, creating a shared terminology, and addressing goals and objectives from a common viewpoint.
- Maintaining open communication is vital for progressing through a change process. It enables the needs and values of individuals to be addressed, objectives to be clarified, trust to be built, and anxiety reduced.
- In instances of program elimination, it may be beneficial for the University administration to approach Colleges prior to “hit lists” in order to explore other options for cost savings and improvements in efficiency. An up-front approach, where the depth of the fiscal difficulties is disclosed, would initiate discussion and potentially save emotional turmoil.

- Finding a role with which to relate, outside of a change process, may be beneficial for maintaining identity in an otherwise unstable situation. In this case, many individuals returned to their identities as “educators,” which allowed them to more easily cope with and make sense of the situation.
- It is important to understand the culture of an organization when entering a change process. The culture, both how it is perceived internally and externally, is very influential and can inhibit or foster change initiatives.
- Recognize that the element of time plays an influential role in the change process. It is important to allow sufficient time for change to occur as well as to define goals and deadlines early in the process.

Recommendations for Future Research

Several worthwhile directions for future research have emerged from this dissertation. First, this study only focused on the process of determining a structure for the reorganized College. Researching the implementation of the actual reorganization would be a significant contribution to the literature. It would be particularly interesting to examine how the components that proved noteworthy during this investigation changed over time. Other questions remain unanswered because of the time frame for this study. Examples of some future questions include: (1) How were individual and organizational performance impacted because of the reorganization? (2) Did a new mission and strategy emerge as the reorganization was implemented? (3) How was the culture of the

College of Education impacted as a result of the new structure? (4) How did individuals at various positions within the College perceive the change retrospectively, from their new roles, positions, programs, or departments?

This study would be strengthened by expanding the scope of the research design to incorporate a multi-college case study, where more than one college at Western University is examined. A multi-site case study can improve external validity, making the results generalizable to more than just the one case, and therefore providing stronger implications for the results and theory. By replicating the results at multiple sites, the reliability of the study can also be improved (Yin, 2009). Additionally, cross-case analysis can yield insights which may not have surfaced during this study of one College only.

Because this is a very dynamic case with many different elements playing a role in the reorganization, it would also be informative to view the case through additional lenses. The incorporation of various frames or methodologies may discern additional perspectives that did not emerge during this investigation. In particular, the application of Bolman and Deal's (2008) structural, human resource, political, cultural, and symbolic model may be particularly insightful in capturing new human and organizational interactions. The application of a phenomenological research approach would also be beneficial for depicting the lived experiences of the individuals within the College. The current case study primarily focused on a systemic view, but various other important and noteworthy perspectives can also emerge with more in-depth analysis of the phenomenon.

Conclusion

This dissertation examined the reorganization process of the College of Education at Western University, incorporating the lens of the Burke Litwin Causal Model of Organizational Performance and Change. This chapter described influences among the different systemic, group, and individual components of the model. Additionally, the components that emerged as noteworthy were discussed at increased depth, including the external environment, leadership, mission and strategy, culture, work unit climate, management practices, motivation, needs and values, and performance. The perceptions of the magnitude of the reorganization, whether transformational or transactional, were described in comparison with the actual magnitude of the change. Finally, the applicability of the Burke-Litwin Model to higher education was discussed, along with recommendation that may make the model more dynamic within the higher education environment. The chapter concludes by recommending research for further exploration.

EPILOGUE

The story of Western University's College of Education is far from complete. Entering January of 2011, the University was preparing for even more budget cuts. The newly elected governor of the state had proposed a reduction of funds in the amount of \$47.5 million to the University over the next two years, which is in addition to the \$49.6 million already lost since 2007 (or 52.5% of the total funding) (Western University, January 28, 2011). In early March of 2011, the Western University President, in preparation for the decreased funds, announced proposed cuts of \$32.6 million (including 315 faculty and staff positions), underestimating the reduction in the hope that previous reorganizations and adjustments by legislators would materialize. These reductions included the elimination of 14 positions within the College of Education, the successful reorganization of the College from six departments to three, and the elimination of two Ph.D. programs and two Masters programs. The proposed cut to the College of Education totaled \$2,026,094 (Western University, March 8, 2011). One additional troublesome factor was that during these reductions, tenure was not guaranteed, a significant change from the previous round of cuts. These announcements sent a second round of shock waves through the already damaged College.

In June of 2011, the state legislature finalized the education budget, with the proposed cuts being reduced by close to half (Lake, June 2, 2011). The total cost to the College of Education was 14 FTEs, three voluntary retirements, three eliminated departments, and four eliminated degrees, all totaling \$1,527,100

(Western University, June 8, 2011). Even with these series of cuts behind the College, a focus still remains, with the encouragement of University administration, to explore possibilities for collaboration, consolidation, or even mergers with other Colleges.

Appendix A



Social/Behavioral IRB – Expedited Review Approval Notice

NOTICE TO ALL RESEARCHERS:

Please be aware that a protocol violation (e.g., failure to submit a modification for any change) of an IRB approved protocol may result in mandatory remedial education, additional audits, re-consenting subjects, researcher probation, suspension of any research protocol at issue, suspension of additional existing research protocols, invalidation of all research conducted under the research protocol at issue, and further appropriate consequences as determined by the IRB and the Institutional Officer.

DATE: December 29, 2010

TO: **Dr. Mario Martinez, Educational Leadership**

FROM: Office for the Protection of Research Subjects

RE: Notification of IRB Action by /Charles Rasmussen/ Dr. Charles Rasmussen, Co-Chair

Protocol Title: **A Case Study of Organizational Change: College Restructuring in Response to Mandated Department Eliminations**
Protocol #: 1010-3600
Expiration Date: December 28, 2011

This memorandum is notification that the project referenced above has been reviewed and approved by the UNLV Social/Behavioral Institutional Review Board (IRB) as indicated in Federal regulatory statutes 45CFR46.110 - Cat. 7 and UNLV Human Research Policies and Procedures.

The protocol is approved for a period of 12 months and expires December 28, 2011. If the above-referenced project has not been completed by this date you must request renewal by submitting a Continuing Review Request form 30 days before the expiration date.

PLEASE NOTE:

Upon approval, the research team is responsible for conducting the research as stated in the protocol most recently reviewed and approved by the IRB, which shall include using the most recently submitted Informed Consent/Assent forms and recruitment materials. The official versions of these forms are indicated by footer which contains approval and expiration dates.

Should there be *any* change to the protocol, it will be necessary to submit a **Modification Form** through ORI - Human Subjects. No changes may be made to the existing protocol until modifications have been approved by the IRB. Modified versions of protocol materials must be used upon review and approval. Unanticipated problems, deviations to protocols, and adverse events must be reported to the ORI – HS within 10 days of occurrence.

If you have questions or require any assistance, please contact the Office of Research Integrity - Human Subjects at IRB@unlv.edu or call 895-2794.

Appendix B

Interview Questions

1. Has the culture of the college of education endured or changed throughout this reorganization process?
2. Do you think the mission and strategy of the College of Education will (has) remain(ed) the same or shift? Please describe.
3. Have factors outside of the College of Education impacted the reorganization process and/or the actual configuration that the COE ended up with? How?
4. Has the climate within your department responded to the change? How?
5. Were issues of college/department policies, procedures, or other systems considered during the reorganization, in your opinion?
6. Has the reorganization had any effect on the performance (outcomes, productivity, etc.) of the college? Of the faculty? Of the staff?
7. Were the needs and values of the faculty and staff addressed during the reorganization process? How?
8. How would you describe the role of leadership (dean's office, department chairs, DAC) in the planning of the reorganization?
9. Have/did informal leaders emerged? If yes, please describe.
10. As you entered the reorganization process, what would you say was the most important factor that you wanted to see addressed during the organization? Why?
11. Looking back on the reorganization process, were there elements of the reorganization that emerged as important that you had not previously considered? Describe.
12. On a continuum from "minor improvements and adjustments" to a "radical, paradigmatic shift," how would you describe the overall reorganization process? Why?

Appendix C

College of Education Department Structure

Department	Faculty Qty.	Programs	Degrees
School Counseling	8	Human Services	B.S.
		Addiction Studies	Certificate
		Clinical Mental Health Counseling	M.S.
		Mental Health Counseling	Certificate
		School Counseling	M.Ed.
Teacher Education	37	Curriculum & Instruction	M.S., M.Ed., Ed.D., Ed.S., Ph.D.
		Teacher Education	Ph.D.
		Elementary Education (Grades K-8)	B.A./B.S.
		Secondary Education (Grades 7-12)	B.A./B.S.
Education Administration	21	Educational Leadership	M.Ed., Ed.D., Ed.S.
		Executive Leadership Cohort	Ed.D.
		Workforce Education & Development	B.S., M.S., M.Ed.
		Higher Education Leadership	M.Ed., Ph.D.
Education Research	17	Educational Psychology	M.S., Ph.D., Ph.D./JD
		Learning & Technology	Ph.D.
		School Psychology	Ed.S.
Special Education	17	Special Education	B.A., B.S., M.S., M.Ed., Ed.D., Ed.S., Ph.D.
		Early Childhood Education	B.S., Certificate
		Generalist	Certificate
Physical Education	10	Sports Education Leadership	M.S., M.Ed., Ph.D.
		Physical Education	B.S.

Source: Western University Graduate Catalog 2009-2011, Western University Undergraduate Catalog 2010-2012

*All department names are pseudonyms.

Appendix D

Initial List of Codes as Derived from the Burke-Litwin Model

Levels	Components	Magnitudes
System	External Environment	Transformational
	Mission & Strategy	
	Leadership	
	Organizational Culture	
	Organizational Performance	
Group	Work Unit Climate	Transactional
	Systems	
	Management Practices	
	Structure	
Individual	Skills	
	Motivation	
	Needs & Values	
	Individual Performance	

Appendix E



INFORMED CONSENT

Department of Educational Leadership

TITLE OF STUDY: A Case Study of Organizational Change: College Restructuring in Response to Mandated Department Eliminations

INVESTIGATOR(S): Mario Martinez, Ph.D. and Brandy Smith

CONTACT PHONE NUMBER: 702-895-2895 or 702-895-2737

Purpose of the Study

You are invited to participate in a research study. The purpose of this study is to examine the restructuring process of the College of Education following mandated department eliminations. One shortcoming mentioned regarding the current higher education change research is that “a full appreciation of the dynamics of organizational change may require finer-grained theories and research than those currently available of in widespread use” (Lattuca, Terenzini, Harper, & Yin, 2009). Examining the College of Education through the lens of the Burke-Litwin Model can yield a deeper perspective of organizational change than is found within the current literature. This model will be particularly useful for examining the role and impact of different individuals and groups within the college, the role of transformational and transactional components, and the change in performance of the organization. Additionally, this study is conducted at a college level, which is not present within the current literature.

Participants

You are being asked to participate in the study because you fit this criteria:

- You are a healthy adult, aged 18-90.
- You are an administrator, faculty member, or staff member of the College of Education at UNLV.

Procedures

If you volunteer to participate in this study, you will be asked to do the following:

- Participate in an interview
- Answer personal questions

Benefits of Participation

There may not be direct benefits to you as a participant in this study. There are indirect benefits which may be recognized, including the ability to inform future college

administrators, faculty, and staff of the change process in future reorganizations. This study may also make a contribution to the higher education change literature.

Risks of Participation

There are risks involved in all research studies. This study may include only minimal risks. You may be uncomfortable answering some questions, with the potential for emotional stress.

Cost /Compensation

There will not be a financial cost to you to participate in this study. The study will take approximately 30-45 minutes of your time. You will not be compensated for your time.

Contact Information

If you have any questions or concerns about the study, you may contact Mario Martinez at 702-895-2895 or Brandy Smith at 702-895-2737. For questions regarding the rights of research subjects, any complaints or comments regarding the manner in which the study is being conducted you may contact **the UNLV Office of Research Integrity – Human Subjects at 702-895-2794 or toll free at 877-895-2794 or via email at IRB@unlv.edu.**

Voluntary Participation

Your participation in this study is voluntary. You may refuse to participate in this study or in any part of this study. You may withdraw at any time without prejudice to your relations with the university. You are encouraged to ask questions about this study at the beginning or any time during the research study.

Confidentiality

All information gathered in this study will be kept completely confidential. No reference will be made in written or oral materials that could link you to this study. All records will be stored in a locked facility at UNLV for three years after completion of the study. After the storage time the information gathered will be destroyed.

Participant Consent:

I have read the above information and agree to participate in this study. I am at least 18 years of age. A copy of this form has been given to me.

Signature of Participant

Date

Participant Name (Please Print)

Participant Note: Please do not sign this document if the Approval Stamp is missing or is expired.

Appendix F

Domain Analysis

External Environment

Included Terms:	Relationship: Rationale	Covered Term:
Decreasing demand for education programs	...is a reason for...	Reorganization
Major financial challenges		
A low-money state		
High costs		
Economy took a dive		
Markets are drying up		
Great Recession		
Budget problems		
Transient culture		
No investment in education		
Horrible state economy		
Perfect storm		
Reduction of resources		
Mandate		
Duplication of programs/services		
Reorganizations in other states		
Competing institutions		
Enormous inefficiencies caused by rapid growth of university		

Included Terms:	Relationship: Function	Covered Term:
Disseminating information	...is a function of...	The faculty senate
Keeping people posted		
Remaining relatively silent		
Doing job with as much transparency as possible		
Trying to be active/proactive		
Working hard to hear the voice of the community		
Doing the best they could under difficult circumstances		
Using diligence and thoroughness		
Gathering data		
Asking thoughtful and difficult questions		
Reviewing data		
Making extremely painful decisions		
Not really being involved		
Sharing what they learned with administration		

Included Terms:	Relationship: Attribution	Covered Term:
Being simply tolerated, not heeded or considered	...is an attribute of...	The faculty senate
Being set up to be supportive (implying otherwise)		
Lacking process		
Not open about calculations, financials		
Lacking consideration of faculty input		
Questionable whether heard by administration		
Included Terms:	Relationship: Strict Inclusion	Covered Term:
Fear of maintaining the status quo	...is a kind of...	Concern regarding reorganization mandate
Not addressing mandate sufficiently		
Showing administration and others that we are willing to change		
No real reinvention		
If the change was not drastic enough, it would not pass		
Does the reorganization show change?		
Is this a big enough change?		
Protection of tenure	...is a kind of...	Presidential objective
Mission of the university needs to change		
Threaten entities least aligned to perceived institutional mission		
Possibly purposeful appointments to college leadership roles		
Acted appropriately – they had a tough job	...is a kind of...	Reaction to President and Senior Administration
This is not ethical, but it is a good move		
Use of time was brilliant		
Either very ignorant or very clever – and literature says clever		
Planned and purposeful dismantling – and doesn't blame him		
Ever-changing information from central administration		
"[President]-pleasing"		
Confusion about what it really meant	...is a kind of...	Reaction to the "Hit List"
Wasn't clear what roles people were playing		
Wasn't clear why a particular trait/characteristic was examined		
Initial list only cost/FTE		
Different data points used		
No faculty input		
Problems with formulas		
Decisions made before input received from faculty		
College named more than any other college		
Departments added to the list		
Hitting departments hard		
Singling out the college		
Infamous list of 20		
Chopping block		

Included Terms:	Relationship: Cause-Effect	Covered Term:
People's willingness to participate	...is an effect of...	The reorganization mandate
People restructuring because they were told they had to		
Having to do it – not wanting to do it		
Engine to start reorganization		
Electric shock to culture		
Cache from president's office		
Forced the realization that college could reorganize and perform better		
Threat to college		
Stamp of authority for change		

Mission and Strategy

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Broad definitions	...is a kind of...	Perception of the COE's Mission
Generic terms		
Can be addressed without full attention		
Doesn't address state's needs		
Doesn't emphasize quality of instruction		
Not used for assessment or goal planning		
Leadership not present within mission		
Not being used – dusty on the shelf		
Disinterest from faculty		
No fluidity of leadership		
Good for university advancement		
Addresses efficiency & effectiveness		
Includes teaching as a high priority		
Includes research as a high priority		

Included Terms:	Relationship: Cause-Effect	Covered Term:
Refocused	...is a result of...	Reorganization
Emphasis of collaboration		
Dominant engagement in school-based activities		
Same written form		
No leadership change → no mission change		
Teaching remains a high priority		
Research remains a high priority		
Doing the same job		

Leadership

Included Terms:	Relationship: Strict Inclusion	Covered Term:
DAC members	...is a kind of...	Informal leader
Vocal people at meetings		
Junior faculty within departments		
Senior faculty within departments		
People behind the scenes		
Brokering power	...is a kind of...	Action by informal leaders
Being vocal in a negative direction		
Not speaking up when they had power		
Calming		
Acting as catalysts (more active participants)		
Speaking up		
Giving opinions, even quietly		
Using connections		
Trying to maintain a positive attitude	...is a kind of...	Action by the Dean's office
Keeping people calm		
Considering faculty/staff input		
Working hard during the summer		
Being very involved with the reorganization		
Listening		
Not enough communication	...is a kind of...	Criticism of the Dean's office
Not enough meetings		
Did not get faculty buy-in		
Not enough efforts made for individual members to feel engaged		
Possibly offering up what did not fit		
Looked at DAC information, but not necessarily using the information		
Reverted to "trust me" or "don't worry – everything will be fine"		
Not a winnable situation	...is a kind of...	Sympathetic voice for the Dean
He did not fail – he did not know how - this was not in his toolkit		
Would not have wanted to be the dean		
Forced into position (did not have a choice)		
Could not have done any better from down-up		
Extremely difficult situation		
My heart aches – he did not sign up for this		
People would have been unhappy with any decision		
Office was blindsided		
Kind and fair man – cares for the college very much		

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Coercion (of DAC)	...is a kind of...	Action by department chairs
Us versus them mentality		
Organization of votes prior to actual vote		
Honest and open communication		
Information channel		
Open doors		
Prevent panic		
Remain positive and calm		
Keeping untenured faculty in the loop		
Keeping up with increased workload		
Involved in the creation of the reorganization		
Becoming a leader among chairs		
Doing a tremendous job		
Diligently gathered information		
Doing their best all summer long		
Being very generous with their lives		

Organizational Culture

Included Terms:	Relationship: Means-End	Covered Term:
Figure it out Accomplish what needed to be done Endure Trying to make thing better rather than griping Asking what can we do to make the college better Faculty willingness to do things differently Share, interact, become more knowledgeable of others Breaking down silos Being engaged and responsive Being open-minded Treating others with civility Not personalizing it Rallied together Much more cohesive Superficial sense of collaboration Sense of collaboration extinguished quickly No collaboration No collegiality Bunker mentality – protecting what one had built Circle the wagons and protect your turf Political gamesmanship Private negotiations with power brokers	...is a way to...	Act/React

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Past conflicts between chairs Faculty not coexisting well Past personal relationships Political assumptions People's interpretations colored by past Departments not working well together/getting along Lack of knowledge of others Culture of mistrust between units Not keeping a dean Interim status Disagreements of former deans College and institution moving in different directions Former dean not treating people kindly Previous moves and reorganizations of departments Competition and mistrust Jealousy Silos Conflict and division	...is a kind of...	Historical Influence

Included Terms:	Relationship: Semantic	Covered Term:
Division of certain departments haven't worked in the past	...is a kind of...	Not Learning from Past
Exiting faculty take department knowledge with them		
No one looked at past studies of reorganization within the college		
Deans from past reorganizations were not consulted		
Outside consultants, experts within the college, and people with reorganization experiences were not consulted		

Work Unit Climate

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Safe harbor in the programs, not departments Seeking identity with a program Escaping department in a program Programs are more important than faculty More coalesce around programs Department stratified Question about how to approach the reorganization – in departments, programs, units? Losing program differentiation Decreasing group identity Subgroups at a disadvantage Shift in definition/terminology of departments and programs	...is a kind of...	Identity conflict due to distinction between program/department

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Marginalized concept built into department name Academic snobbery Unequal distribution of resources (GAs, FTE, money, space, personnel) Competition for resources A sense of divide and conquer Willingness to sacrifice others Marginalization of people Cannibalism Isolation Division – no longer common mission Different places for people to go Personalities v. programs Distrust Accentuated rifts Niceties gone	...is a cause of...	Conflict

Included Terms:	Relationship: Means-End	Covered Term:
Process the possibilities	...is a way to...	Be proactive in the reorganization
Problem solving		
Looking at who's a good match		
Looking at who does the same kind of work		
Considering department mission		
Being open		
Looking at how to make this a good outcome		
Seek to growing a bit with common mission		
Recognized changes, so started early		
Inviting others to join programs		
Feeling empowered by making own changes early		
Being aggressive in identifying a home		
Sharing information	...is a way to...	Work together
Being engaged		
Talking		
Being collegial		
Learning about others		
Doing a fair amount of work		
Not having a lot of tension		
Keep doing your job	...is a way to...	Maintain the status quo
Maintain a common vision		
Continued high faculty productivity		
Not a lot of change in programs areas, daily work, or reporting structure		
National rankings	...is a way to...	Maintain a reputation
Performance driven		
Perceive of themselves as important or scholarly		
Matter of ego		
Can't be premier if losing people and programs		
Compare with top, aspirational programs in country	...is a way to...	Identify with others
Examine benchmarks set by higher education organizations		
Talk with colleagues in eliminated programs at other colleges		
Look at examples of eliminations at other colleges		
Recognition that eliminations happening at colleges nationwide		

Systems

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Need for administrative support	...is a kind of...	HR Concern
Selection of new chairs		
Faculty turnover		
Combining faculty in new units		
Health benefits		
Many retirements		
Research grants		
Furlough		
Traditions		
Updating bylaws	...is a kind of...	Policy Concern
Reestablishing policies and procedures		
Document/paperwork processes		
Merit		
Faculty measures		
FTE, money, space		
Layers of decision-making/reporting structures		
Curricular review process		
Promotion and tenure		
Website changes		
Program licensure		
Graduate college applications		
Graduate assistants		
Curriculum requirements		
Workload policy		

Management Practices

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Information channel Put own models forward Influenced by leadership Coerced by department chairs Influence among committee members Provide best information in amount of time available Provided representative data Focused on what was best for the college Serve as a source for gathering input Provide opportunities for voice Not much communication other than survey No real discussion Refreshing efforts – even though they failed Provided recommendations that were not consistent with outcomes Not receiving the response they wanted from the Dean's office Final organization structure not really anticipated	...is a kind of...	Action of DAC
Top down versus bottom up Have plan emerge from grassroots Delegating decision-making processes	...is a kind of...	Management strategy of the reorganization process
Collaboration/break down silos Cross-unit pollination Do the least harm Have enough change to address mandate Even balance (size, funding) Improve resources Innovation Quality/productivity Preserve identity Reduce vulnerability Relevance to mission, vision, and strategy Address student needs	...is a kind of...	Objective of the reorganization
Lack of goals/objectives Lack of framework Departments not fully represented Definition/terminology questions Process questions Rationale questions Lack of detail, specifics Splitting up programs did not make sense Doesn't make sense to move out of education Things listed twice If they eliminate departments but keep faculty, how are they saving money	...is a kind of...	Confusion regarding models

What departments/programs should be included/excluded in the plan		
Program absorption	...is a kind of...	Merger/Separation issue
Productivity concerns		
Historically things did not work		
Separation not plausible		
Ability to adhere to mission		
Size of units not ideal		
Maintaining identity		
Maintaining non-eliminated programs		
Focus of units		
Funding concerns		
Feared what happened	...is a kind of...	Perception of the reorganization
Not what it could have been		
Disappointing		
Missed opportunity		
Introspection and casting off irrelevant		
Sense of entrepreneurialism		
Creative and interesting things		
Strengthened because of finding new home		
High participation rate		
Looked at organization and identified redundancies		
Not happy with previous structure – opportunity for change		
Freedom to dream		
Emerge with stronger interactions, faculty ties		
Money not the primary focus		
More efficient and effective		
No framework, objectives		
In-out procedure, therefore not effective		
Input after decisions were made		
Not enough time		
Loosey-goosey process – the whole thing		
Setup by some departments		
Lacked ethics		
Political motives		
Private negotiations with power brokers		
Using connections/pulling strings		
Unethical dealings with students		
People were going everywhere – fractured		
Difficult to carry out a program with only four faculty		
Not representative unit name		
Departments were only given one voice		
Smaller departments had difficulty expressing voice		
Questioning where degrees reside		
Hodge podge		
Management not leadership		
How can you form a new unit without imposing		

old value structures – was not addressed		
Not wanting to move	...is a kind of...	Resistance to change
Department is not on the list – why do we have to change?		
I don't want to go anywhere		
Happy with the status quo		
Included Terms:	Relationship: Attribute	Covered Term:
Good and fair	...is an attribute of...	DAC
Principled		
Strong and steadfast		
Leadership and courage		
Admirable and courageous		
Active roles		
Included Terms:	Relationship: Means-End	Covered Term:
Go to the colleges earlier	...is a way to...	Reorganize better
Test to see how colleges/departments respond (ex. will they be able to reorganize to save money?)		
Anticipate the needs of the administration and work toward that		
Administration should have emphasized dissolve and reform		
Work it all year long		
Central administration could have done bi-weekly information updates		
Approach from a plan to reinvent (involving colleges and chairs)		

Structure

Included Terms:	Relationship: Rationale	Covered Term:
Challenge from external environment	...is a reason to...	Change Structure
Course duplication		
Potential inefficiencies with administrative structure		
Easier ways to identify non-productive programs		
Less layers of management		
Departments are silos		
Seeking synergy		
More equally sized units		
Emphasis on quality		
Common missions		
Increase efficiency and effectiveness		

Task Requirements and Individual Skills

Included Terms:	Relationship: Cause/Effect	Covered Term:
Professors doing their own paperwork	...is a result of...	Reorganization/Cuts
Faculty doing their own clerical work		
Not the best use of time		
Enormous inefficiencies		

Motivation

Included Terms:	Relationship: Rationale	Covered Term:
Feeling devalued and discredited	...is a reason for...	Decreased motivation
Best not to be around		
People don't come to work as often		
Climate of anger		
Oppression		
Fear and anxiety		
Having to deal with change is demoralizing		
Loves work and boss	...is a reason for...	Maintaining motivation
Still admitting students		
Still writing, publishing, receiving high evaluations from students		
Negativity has a high cost		
Responsibility to remain positive		

Needs and Values

Included Terms:	Relationship: Means-End	Covered Term:
Participating in meetings Discussing aspects of the plan Engaging in the process Sharing thoughts/perspectives Making adjustments Completing surveys Expressing opinions Having good representation Coming up with recommendations Having someone advocate for you Being an advocate	...is a way to...	Have a voice in the process
Not being able to ask how decisions were made Not feeling engaged Not getting faculty buy-in Having survey geared to faculty, not staff Having only committee representation Not enough meetings Speaking for everyone Not considering students	...is a way to...	Lack a voice in the process

Included Terms:	Relationship: Attribution	Covered Term:
Creativity and candor Continue working Being loyal to who we are as faculty members (discipline-related)	...is an attribute of...	Identities of educators

Included Terms:	Relationship: Rationale	Covered Term:
Thinking it would go away Not participating because department not being include in one of the new units Lacking courage Thinking the decisions were already made	...is a reason for...	Not speaking up

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Being through a few change processes	...is a kind of...	Reliance on past experiences
Conquering more difficult things		
Beating them before		
Having survived crises before		
Knowing the process		
Moving people without telling them	...is a kind of...	Lack of communication
Announcing things at public meetings		
Not sharing information completely during negotiations		
Not knowing if students will have resources to finish		
Not knowing things ahead of time		
Being the last to know		
Not having enough information		
Severe loss of identity	...is a kind of...	Concern regarding identity
Imposition of old value structures		
Maintaining professional identity		
Keeping individual identity in new units		
Strong willed superimposing world view on others		
Colleagues fighting over not losing identity		
Finding identity in a bigger plan		
Difficult for faculty and students to define themselves		
Losing individual differentiation		
Decreasing individual identity		

Performance

Included Terms:	Relationship: Cause-Effect	Covered Term:
Research perspective stopped No IRB proposals Graduate students in limbo Less travel money, so less presentations Increasing class sizes Junior faculty nervous Anxiety affects everything Students need additional advising Hours devoted to the change process Turnover/retirements Staff terribly overworked Fatigue/distraction factor People don't come to work as often Junior faculty lowered in position	...is a cause of...	Change in performance

Included Terms:	Relationship: Strict Inclusion	Covered Term:
People are working harder Doing more than my share Many books and articles published Not attending to teaching and research Continual hemorrhage of junior faculty Tremendous amount of time devoted to change effort More efficient	...is a kind of...	Change in performance

Emotions

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Pandemonium	...is a kind of...	Emotional Impressions
Upset		
All-consumed		
Like pulling the band aid off slowly		
Persistent anxiety		
Uptight, upset, anxious, all of it		
Fear dominated		
Sense of hopelessness		
At first, enormous relief that department not on the list		
Oh my God – so and so is on the list		
Relief v. sadness		
Desperation		
Cornered, desperate, sense of hopelessness		
Extreme situation – eliminating programs		
Seriousness of situation hit people hard		
Electric shock		
Worrying to living it		
Daily operations were fearful		
Terror, fear, and anxiety		
People going on like the Energizer bunny		

Time

Included Terms:	Relationship: Strict Inclusion	Covered Term:
President's use of time was brilliant	...is a kind of...	Perception of Time
Grad College not accepting applications, therefore program not viable – based on timing		
Didn't work hard enough over the summer		
Dean's office, department chairs, and DAC spent many hours working over the summer		
Hoped more accomplished over the summer		
Short amount of time		
Dean's office took the time to learn		
Given time, DAC did the best they could		
Another month might have been more realistic		
Ridiculous amount of time spent by DAC		
Can't wait for Fall, but can't engage faculty during non-contract time		

Magnitudes of Change

Included Terms:	Relationship: Strict Inclusion	Covered Term:
Not very much leaner and meaner	...is a kind of...	Perceptions of the Magnitude of Change
Not much change beyond moving of personnel		
College will do the same things		
Repackaging of the old		
Minor improvements and adjustments only		
Nothing radical or major shift		
Missed opportunity for transformational change		
Moving of furniture/Reshuffling deck chairs		
Does not change how faculty function		
No paradigm shift		
Outcomes will be the same		
Minor, manageable changes for Teacher Education		
Maybe organizationally, in terms of management		
Most radical change in departments that took the "big hit"		
Too early to say, but leading towards transformational		
Dramatically different college next year		
Beginning of a major paradigm shift		

Appendix G

Taxonomic Analysis

External Environment

DOMAIN	TAXONOMY	EVIDENCE
The Hit List	Target	Singling out the College of Education
		College named more than any other college
		Departments added to the list
		Chopping block
		Infamous list of 20
		Hitting departments hard
	Confusion	Confusion about what it really meant
		Wasn't clear what roles people were playing
		Wasn't clear why a particular trait/characteristic was examined
	Criticisms	Initial list only cost/FTE
		Different data points used
		No faculty input
		Problems with formulas
		Decisions made before input received from faculty

DOMAIN	TAXONOMY		EVIDENCE
President/ Administration	Mandate for Reorganization	Generated Concerns	Fear of maintaining the status quo
			Not addressing the mandate sufficiently
			Showing administration and others that we are willing to change
			No real reinvention
			If the change was not drastic enough, it would not pass
			Does this reorganization show change?
			Is this a big enough change?
		Increased Participation	People were willing to participate
			People restructuring because they were told they had to
			Having to do it – not wanting to do it
		Added Legitimacy	Engine to start reorganization
			Cache from President's office
			Forced the realization that the college could reorganize and perform better
			Stamp of authority for change
		Fear	Threat to college
			Electric shock to culture
	Objectives		Protection of tenure
			Mission of the University needs to change
			Threaten entities least aligned to perceived institutional mission
			Possibly purposeful appointments to college leadership roles
	Perceptions		Acted appropriately – they had a tough job
			This is not ethical, but it is a good move
			Use of time was brilliant
			Either very ignorant or very clever – and literature says clever
			Planned and purposeful dismantling – and doesn't blame him
			Ever-changing information from administration
			"[President]-pleasing"

DOMAIN	TAXONOMY		EVIDENCE
Faculty Senate	Communication	Positive	Disseminated information
			Keeping people posted
			Working hard to hear the voice of the community
			Sharing what they learned with administration
		Negative	Remaining relatively silent
			Questionable whether heard by administration
	Data Collection & Analysis	Positive	Being set up to be supportive (implying otherwise)
			Using diligence and thoroughness
			Gathering data
			Asking thoughtful and difficult questions
			Reviewing data
			Making extremely painful decisions
		Negative	Lacking process
			Lacking consideration of faculty input
			Not open about calculations, financials

DOMAIN	TAXONOMY		EVIDENCE
Reasons for Reorganization	Economic Influences		Major financial challenges
			A low-money state
			High costs
			Economy took a dive
			Markets are drying up
			Great Recession
			Budget problems
			Transient culture
			Horrible state economy
			Perfect Storm
	Higher Education Influences		Decreasing demand for education programs
			No investment in education
			Mandate
			Duplication of programs/services
			Reorganizations in other states
			Competing institutions
			Enormous inefficiencies caused by rapid growth of university
			Perfect storm

Mission and Strategy

DOMAIN	TAXONOMY	EVIDENCE
Perceptions of Mission & Strategy	Problems with Mission & Strategy	Broad definitions
		Generic terms
		Can be addressed without full attention
		Doesn't address state's needs
		Doesn't emphasize quality of instruction
		Not used for assessment or goal planning
		Leadership not present within mission
		Not being used – dusty on the shelf
		Disinterest from faculty
		No fluidity of leadership
	Positive aspects of Mission & Strategy	Good for university advancement
		Addresses efficiency & effectiveness
		Includes teaching as a high priority
		Includes research as a high priority

DOMAIN	TAXONOMY	EVIDENCE
Reorganization's Effects on Mission	Shift in Mission	Refocused
		Emphasis of collaboration
		Dominant engagement in school-based activities
	No Change in Mission	Same written form
		No leadership change → no mission change
		Teaching remains a high priority
		Research remains a high priority
		Doing the same job

Leadership

DOMAIN	TAXONOMY		EVIDENCE
Informal Leaders	Who They Were		DAC members
			Vocal people at meetings
			Junior faculty within departments
			Senior faculty within departments
			People behind the scenes
	What They Did	Positive Actions	Calming
			Acting as catalysts (more active participants)
			Speaking up
			Giving opinions, even quietly
			Using connections
		Negative Actions	Brokering power
			Being vocal in a negative direction
			Not speaking up when they had power

DOMAIN	TAXONOMY		EVIDENCE
Dean's Office	Positive Actions		Trying to maintain a positive attitude
			Keeping people calm
			Considering faculty/staff input
			Working hard during the summer
			Being very involved with the reorganization
			Listening
	Criticisms	Communication	Not enough communication
			Not enough meetings
			Reverting to "trust me" or "don't worry – everything will be fine"
		Consideration of Faculty	Did not get faculty buy-in
			Not enough efforts for individual members to feel engaged
			Possibly offering up what did not fit
	Sympathetic Voices	Looked at DAC information, but not necessarily using the information	
		Not a winnable situation	
		He did not fail – he did not know how – this was not in his toolkit	
		Would not have wanted to be the dean	
		Forced into position (did not have a choice)	
		Could not have done any better from down-up	
		Extremely difficult situation	
		My heart aches – he did not sign up for this	
		People would have been unhappy with any decision	
		Office was blindsided	
		Kind and fair man – cares for the college very much	

DOMAIN	TAXONOMY	EVIDENCE
Actions by Department Chairs	Positive	Honest and open communications
		Information channel
		Open doors
		Prevent panic
		Remain positive and calm
		Keeping untenured faculty in the loop
		Keeping up with increased workload
		Involved in the creation of the reorganization
		Becoming a leader among chairs
		Doing a tremendous job
		Diligently gathered information
		Doing their best all summer long
		Being very generous with their lives
	Negative	Coercion (of DAC)
		Us versus them mentality
		Organization of votes prior to actual vote

Organizational Culture

DOMAIN	TAXONOMY		EVIDENCE
History	Influences	Personal	Faculty not coexisting well
			Past personal relationships
			Political assumptions
			People's interpretations colored by past
		Departmental	Departments not working well together/getting along
			Lack of knowledge of others
			Culture of mistrust between units
			Silos
			Previous moves and reorganizations of departments
			Competition and mistrust
			Conflict and division
			Jealousy
		Administrative	Not keeping a dean
			Interim status
			Disagreements of former deans
			Former dean not treating people kindly
			Past conflicts between chairs
			College and institution moving in different directions
	Lack of Learning from Past Experiences		Division of certain departments haven't worked in the past
			Exiting faculty take departmental knowledge with them
			No one looked at past studies of reorganization within the college
			Deans from past reorganizations were not consulted
			Outside consultants, experts within the college, and people with reorganization experience were not consulted

DOMAIN	TAXONOMY		EVIDENCE
Shift in Culture	Positive Reactions	Getting the Job Done	Figure it out
			Accomplish what needed to be done
			Endure
			Trying to make things better rather than griping
			Asking what we can do to make the college better
		Collaboration	Faculty willingness to do things differently
			Share, interact, become more knowledgeable of others
			Breaking down silos
			Being engaged and responsive
			Being open-minded
			Treating others with civility
			Not personalizing it
			Much more cohesive
			Rallied together
	Negative Reactions	False Sense of Collaboration	Superficial sense of collaboration
			Sense of collaboration extinguished quickly
			No collaboration
			No collegiality
		Protecting Resources	Bunker mentality – protecting what one had built
			Circle the wagons and protect your turf
			Political gamesmanship
			Private negotiations with power brokers

Work Unit Climate

DOMAIN	TAXONOMY		EVIDENCE
Conflict	Between Departments	Resources	Unequal distribution of resources (GAs, FTE, money, space, personnel)
			Competition for resources
		Identity	Marginalized concept built into department name
	Within Departments		Academic snobbery
			A sense of divide and conquer
			Marginalization of people
			Willingness to sacrifice others
			Cannibalism
			Isolation
			Division – No longer common mission
			Different places for people to go
			Distrust
			Accentuated rifts
			Personalities v. programs
			Niceties gone

DOMAIN	TAXONOMY		EVIDENCE
Identity	Distinction between Department and Program		Safe harbor in programs, not departments
			Seeking identity with a program
			More coalesce around programs
			Department stratified
			Question about how to approach the reorganization – in departments, programs, units?
			Escaping department in a program
			Programs are more important than faculty
			Losing program differentiation
			Decreasing group identity
			Subgroups at a disadvantage
			Shift in definition/terminology of departments and programs
	Reputation		National rankings
			Performance driven
			Perceive themselves as important or scholarly
			Matter of ego
			Can't be premier if losing people and programs
	Compare with Others	Aspirational	Compare with top, aspirational programs in the country
			Examine benchmarks set by higher education organizations
		Similar Experiences	Talk with colleagues in eliminated programs at other colleges
			Look at examples of department eliminations at other colleges
			Recognition that department eliminations happening at colleges nationwide

DOMAIN	TAXONOMY	EVIDENCE
Actions	Proactive	Process the possibilities
		Problem solving
		Looking at who's a good match
		Looking at who does the same kind of work
		Considering department mission
		Being open
		Looking at how to make this a good outcome
		Seek to growing a bit with common mission
		Recognized changes, so started early
		Inviting others to join programs
		Feeling empowered by making own changes early
		Being aggressive in identifying a home
	Collaborative	Sharing information
		Being engaged
		Talking
		Being collegial
		Doing a fair amount of work
		Learning about others
		Not having a lot of tension
	Maintenance	Keep doing your job
		Maintain a common vision
		Continue high faculty productivity
		Not a lot of change in program areas, daily work, or reporting structure

Systems

DOMAIN	TAXONOMY	EVIDENCE
HR Concerns	People	Need for administrative support
		Selection of new chairs
		Faculty turnover
		Combining faculty in new units
		Many retirements
	Rewards/Compensation	Health benefits
		Research grants
		Furlough
		Traditions

DOMAIN	TAXONOMY	EVIDENCE
Policy Concerns	Infrastructure	Document/paperwork processes
		FTE, money, space
		Program licensure
		Layers of decision-making/reporting structures
		Website changes
		Updating bylaws
	Rules/Regulations	Curricular review process
		Reestablishing policies and procedures
		Merit
		Faculty measures
		Promotion and tenure
	Students	Graduate college applications
		Graduate assistants
		Curriculum requirements

Management Practices

DOMAIN	TAXONOMY		EVIDENCE
DAC	Intention		Provide the best information in amount of time available
			Provided representative data
			Focused on what was best for the college
			Serve as a source for gathering input
			Provide opportunities for voice
	Communication	Positive	Information channel
		Negative	Not much communication other than the survey
	Character		No real discussion
			Good and fair
			Principled
			Strong and steadfast
			Leadership and courage
			Admirable and courageous
			Hard work
			Active roles
	Influence		Influenced by leadership
			Coerced by department chairs
			Put own models forward
			Influence among committee members
	Outcomes		Refreshing efforts – even though they failed
			Provided recommendations that were not consistent with outcomes
			Not receiving the response they wanted from the Dean's office
			Final organizational structure not really anticipated

DOMAIN	TAXONOMY	EVIDENCE
Strategy for Reorganization	Actual	Top down versus bottom up
		Have plan emerge from grassroots
		Delegating decision-making processes
	Suggestions	Go to the colleges earlier
		Test to see how colleges/departments respond (ex. Will they be able to reorganize to save money?)
		Anticipate the needs of the administration and work toward that goal
		Administration should have emphasized dissolve and reform
		Work it all year long
		Central Administration could have done bi-weekly information updates
		Approach from a plan to reinvent (involving colleges and chairs)

DOMAIN	TAXONOMY	EVIDENCE
Resistance to Change	Physical Moving Issues	Not wanting to move
		I don't want to go anywhere
	Happy As Is	Department is not on the list – why do we have to change?
		Happy with the status quo

DOMAIN	TAXONOMY		EVIDENCE
Reorganization Plan	Objectives		Collaboration/break down silos
			Cross-unit pollination
			Do the least harm
			Have enough change to address mandate
			Even balance (size, funding)
			Improve resources
			Innovation
			Quality/productivity
			Preserve identity
			Reduce vulnerability
			Relevance to mission, vision, and strategy
			Address student needs
	Merger/Separation Concerns		Program absorption
			Productivity concerns
			Historically things did not work
			Separation not plausible
			Ability to adhere to mission
			Size of units not ideal
			Maintaining identity
			Maintaining non-eliminated departments
			Focus of units
			Funding concerns
	Confusion	Process	Lack of goals/objectives
			Lack of framework
			Process questions
			Rationale questions
		Operational	Departments not fully represented
			Definition/terminology questions
			Lack of detail, specifics
			Splitting up programs did not make sense
			Things listed twice
			Doesn't make sense to move out of education
			If they eliminate departments but keep faculty, how are they saving money
			What departments/programs should be included/excluded in the plan
	Perceptions	Disappointment	Feared what happened
			Not what it could have been
			Disappointing

			Missed opportunity
		Healthy Change	Introspection and casting off irrelevant
			Sense of entrepreneurialism
			Creative and interesting things
			Strengthened because of finding new home
			High participation rate
			Looked at organization and identified redundancies
			Not happy with previous structure – opportunity for change
			Freedom to dream
			Emerge with stronger interactions, faculty ties
			Money not the primary focus
			More efficient and effective
		Criticisms	No framework, objectives
			In-out procedure, therefore not effective
			Departments were only given one voice
			Smaller departments had difficulty expressing voice
			Input after decisions were made
			People were going everywhere - fractured
			Difficult to carry out a program with only four faculty
			Hodge podge
			How can you form a new unit without imposing old value structures – was not addressed
			Not enough time
			Not representative unit name
			Questioning where degrees reside
			Loosey-goosey process – the whole thing
		Questionable Ethics	Setup by some departments
			Lacked ethics
			Political motives
			Private negotiations with power brokers
			Using connections/pulling strings
			Unethical dealings with students

Structure

DOMAIN	TAXONOMY	EVIDENCE
Need for Structural Change	Causes	Challenge from external environment
		Course duplication
		Potential inefficiencies with administrative structure
		Departments are silos
	Desired Outputs	Common missions
		More equally sized units
		Less layers of management
		Easier ways to identify non-productive programs
		Seeking synergy
		Emphasis on quality
		Increase efficiency and effectiveness

Task Requirements and Individual Skills

DOMAIN	TAXONOMY	EVIDENCE
Reorganization's/Cut's Effects on Tasks and Skills	Tasks	Professors doing their own paperwork
		Faculty doing their own clerical work
	Perceptions	Not the best use of time
		Enormous inefficiencies

Motivation

DOMAIN	TAXONOMY	EVIDENCE
Motivation	Decreasing	Feeling devalued and discredited
		Best not to be around
		People don't come to work as often
		Climate of anger
		Oppression
		Fear and anxiety
		Having to deal with change is demoralizing
	Maintaining	Loves work and boss
		Still admitting students
		Still writing, publishing, receiving high evaluations from students
		Negativity has a high cost
		Responsibility to remain positive

Needs and Values

DOMAIN	TAXONOMY		EVIDENCE
Voice in the Process	Opportunity	Participation	Attending meetings
			Discussing aspects of the plan
			Engaging in the process
			Sharing thoughts/perspectives
			Expressing opinions
			Coming up with recommendations
			Completing surveys
			Making adjustments
		Representation	Having good representation
			Being an advocate
	Lacking Opportunity	Missed	Having someone advocate for you
			Thinking it would go away
			Not participating because department not being included in one of the new units
		Participation	Lacking courage
			Thinking decisions were already made
			Not being able to ask how decisions were made
			Not getting faculty buy-in
	Representation	Not having enough meetings	Not feeling engaged
			Having survey geared toward faculty, not staff
			Having only committee representation
			Speaking for everyone
			Not considering students

DOMAIN	TAXONOMY		EVIDENCE
Identity	Concerns for Reorganization	Maintaining Identity	Severe loss of identity
			Maintaining professional identity
			Keeping individual identity in new units
			Colleagues fighting over not losing identity
			Losing individual differentiation
			Decreasing individual identity
		Finding Identity	Imposition of old value structures
			Finding identity in a bigger plan
			Difficult for faculty and students to define themselves
	As Defined by Past Experiences	Survival	Strong willed superimposing world view on others
			Conquering more difficult things
			Beating them before
		Knowledge	Having survived crises before
			Been through a few change processes
			Knowing the process

	of Educators	Creativity and candor
		Continue working
		Being loyal to who we are as faculty members (discipline-related)

DOMAIN	TAXONOMY	EVIDENCE
Information	Lack of Communication	Not knowing if students will have resources to finish
		Not having enough information
	Control of Information	Not knowing things ahead of time
		Being the last to know
		Moving people without telling them
		Announcing things at public meetings
		Not sharing information completely during negotiations

Performance

DOMAIN	TAXONOMY		EVIDENCE
Changes in Performance	Causes		Research perspective stopped
			No IRB proposals
			Graduate students in limbo
			Less travel money, so less presentations
			Increasing class sizes
			Junior faculty nervous
			Anxiety affects everything
			Students need additional advising
			Hours devoted to the change process
			Fatigue, distraction factor
			Staff terribly overworked
			Turnover/retirements
			People don't come to work as often
			Junior faculty lowered in position
	Effects	Increased Efforts	People are working harder
			Doing more than my share
			Tremendous amount of time devoted to change effort
		Increased Efficiency	Many books and articles published
			More efficient
		Negative Aspects	Continual hemorrhage of junior faculty
			Not attending to teaching and research

Emotions

DOMAIN	TAXONOMY	EVIDENCE
Emotional Impressions	Initial Reaction to News of Cuts	At first, enormous relief that department not on the list
		Oh my God – so and so is on the list
		Relief v. sadness
		Extreme situation – prioritizing programs
		Seriousness of situation hit people hard
		Electric shock
		Worry to living it
	Reactions to the Ongoing Situation	Pandemonium
		Upset
		All-consumed
		Like pulling the band aid off slowly
		Persistent anxiety
		Uptight, upset, anxious, all of it
		Fear dominated
		Sense of hopelessness
		Desperation
		Cornered, desperate, sense of hopelessness
		Daily operations were fearful
		Terror, fear, and anxiety
		People going on like the Energizer bunny

Time

DOMAIN	TAXONOMY	EVIDENCE
Perceptions of Time	Lack of Time	Given time, DAC did the best they could
		Another month might have been more realistic
		Short amount of time
	Use of Time	Dean's office took the time to learn
		Didn't work hard enough over the summer
		Dean's office, department chairs, and DAC spent many hours working over the summer
		Ridiculous amount of time spent by DAC
		Hoped more accomplished over the summer
		Can't wait for Fall, but can't engage faculty during non-contract time
	Time as a Strategy	President's use of time was brilliant
		Grad College not accepting applications, therefore program not viable – based on timing

Magnitudes of Change

DOMAIN	TAXONOMY	EVIDENCE
Perceptions of the Magnitude of Change	Transformational	Beginning of a major paradigm shift
		Dramatically different college next year
		Too early to say, but leading towards transformational
		Most radical change in departments that took the "big hit"
		Maybe organizationally, in terms of management
	Transactional	Not very much leaner and meaner
		Not much change beyond moving of personnel
		College will do the same things
		Repackaging of the old
		Minor improvements and adjustments only
		Nothing radical or major shift
		Missed opportunity for transformational change
		Moving of furniture/Reshuffling deck chairs
		Does not change how faculty function
		No paradigm shift
		Outcomes will be the same
		Minor, manageable changes for Teacher Education

Appendix H

Event Map: Level Two (Actors & Actions)

Date	Events	Actors	Actions
Prior	Transition	State Legislature/ Board of Regents/ Western University	<ul style="list-style-type: none"> Western state is facing \$887 million in budget shortfall Western University anticipating budget cuts of 12-22% in addition to the 24% cuts already experienced Horizontal cuts to date have included furloughs, reduced class sections, non-reappointments, and decreased services A Joint Evaluation Team (JET) had convened to develop recommendations that could be used to evaluate programs/units
2/2/10	Board of Regents Meeting	Board of Regents	Chairman of Board of Regents instructs system personnel to start preparations for financial exigency
2/16/10	Presidential Announcement	President	<ul style="list-style-type: none"> Governor recommending 10% operational cuts on top of the 24% reduction to date Potentially \$13 million in cuts to Western University Proposed 1.75% salary reduction Suspension of all hiring decisions
2/24/10	List of Programs Under Review Released	President/Administration	<ul style="list-style-type: none"> President distributes list of program under review to Deans. The list is comprised of 20 departments with the highest cost/student FTE ratios. Two of the COE's six departments are included in this list: <ul style="list-style-type: none"> Department of Education Administration Department of Education Research
2/24/10	Curricular Review Process Begins	Faculty Senate	<ul style="list-style-type: none"> The curricular review process is a requisite step in determining which programs/departments may be closed as a result of financial exigency (including the possible termination of tenured faculty) Signals shift from horizontal cuts university-wide to vertical cuts Formation of the Presidential Review Committee (PRC) will commence (elections held 3/9/10)
3/1/10	Special Legislative Session News	State Legislature	<ul style="list-style-type: none"> Cuts to higher education statewide amount to 6.9% or \$11 million (2009-2010) and \$34 million (2010-2011) No additional pay cuts at this time
3/5/10	Board of Regents Meeting	Board of Regents	Board of Regents has decided not to declare financial exigency, but to maintain investigation of potential department eliminations
3/5/10	Western University's Cuts are Identified	President/Administration	<ul style="list-style-type: none"> \$5.7 million to be cut in administrative support \$4.0 million to be cut in academic programs
3/22/10	Recommendations for Elimination Released	Provost	<ul style="list-style-type: none"> Recommendations for department and program elimination announced List includes eight units and eight subunits university-wide List includes two departments from the COE: <ul style="list-style-type: none"> Department of Educational Administration

			<ul style="list-style-type: none"> ○ Department of Physical Education • The Department of Education Research, which was included on previous(2/24/10) list, was not included in new recommendations • Additional savings suggestions included: <ul style="list-style-type: none"> ○ Removal of Associate Dean position in COE ○ Possible differential tuition rates ○ Voluntary retirement options
4/16/10	Board of Regents Meeting	Board of Regents, President, COE Administration, Faculty, and Students	<ul style="list-style-type: none"> • Testimony was heard in support of the COE's departments by COE administration, faculty, and students • President discusses intention of retaining tenured faculty
4/29/20	Presidential Review Committee (PRC) Report Released	Faculty Senate's PRC	<ul style="list-style-type: none"> • Recommendations for department and program elimination announced • List includes the discontinuance of six programs/departments • List includes two departments from the COE: <ul style="list-style-type: none"> ○ Department of Education Administration ○ Department of Physical Education • Suggestion for reorganization of COE's leadership structure
5/4/10	Faculty Senate Meeting	Faculty Senate	<ul style="list-style-type: none"> • After reviewing the recommendations and process, the Priority and New Programs Review (PNPR) committee recommends acceptance of the PRC report. • The faculty senate accepted the PRC's recommendation of program/department discontinuance
6/3/10	Board of Regents Meeting	Board of Regents	<ul style="list-style-type: none"> • The Board of Regents votes to eliminate departments suggested by PRC effective 7/1/11, including the COE's: <ul style="list-style-type: none"> ○ Department of Education Administration ○ Department of Physical Education • Regents expressed interest in maintaining the programs within the eliminated departments, which was acknowledged by Western University's President
6/8/10	Western University Town Hall Meeting	President	President gives mandate of reorganization to Dean of the COE
Summer	COE Administration Meetings	COE Administration	Exploration of reinvention by COE administration
8/16/10	COE Faculty/Staff Survey Completed	COE	Survey of COE's faculty and staff completed (26 participants)
8/19/10	COE Back to School Fall Meeting	COE, President	<ul style="list-style-type: none"> • COE administration shares plan for reorganization, including the formation and responsibilities of DAC and data collection (surveys, focus groups, etc.) • President addresses COE regarding reorganization
8/31/10	Dean's Advisory Council (DAC) Meeting with Dean's Office	COE/DAC	DAC's initial meeting with COE administration
9/9/10	COE Restructuring Survey: Part I	COE/DAC	Survey of DAC distributed to COE faculty and staff (81/127 participants or 63.8% participation rate)

	Distributed		
9/16/10	COE Focus Group Discussions	COE/DAC	Focus group discussions conducted with 50 of the COE's faculty/staff
9/17/10	COE Restructuring Survey: Part II Distributed	COE/DAC	Survey of DAC distributed to COE faculty and staff (76/127 participants or 59.8% participation rate)
9/24/10	DAC Final Report Released	COE/DAC	The Final Report of the DAC is released to the COE
10/8/10	COE Reinvention Plan Released	COE	COE Reinvention Plan released by Dean's office to faculty and staff
10/11/10	Feedback on Plan Due to Dean's Office	COE	Feedback on 10/8/10 COE Reinvention Plan due to Dean's office
10/16/10	Revised COE Reinvention Plan Released	COE	Revised COE Reinvention Plan released by Dean's office to faculty and staff

Appendix I

Event Map: Level Three (Dialogue)

Date	Events	Actors	Actions	Dialogue
2010 to Date	Transition	State Legislature/ Board of Regents/ Western University	<ul style="list-style-type: none"> Western state is facing \$887 million in budget shortfall (3/1/10) Western University anticipating budget cuts of 12-22% in addition to the 24% cuts already experienced (02/2010) Horizontal cuts to date have included furloughs, reduced class sections, non-reappointments, and decreased services (Board of Regents, 7/7/08) A Joint Evaluation Team (JET) had convened to develop recommendations that could be used to evaluate programs/units 	<ul style="list-style-type: none"> Budget had looked bad two years prior. A former dean mentioned that budget was bad at a faculty retreat. A Dean had said not just belt tightening, but corset wrenching. That dean suggested reorganization two years back. This did not happen because of just fighting among the college – personality driven. Therefore, felt that the college was always very vulnerable. This reorganization is just the latest cry for help. Morale was still high. We saw that changes were coming, so started early – the year before last – school district cut back on hiring, so we got rid of programs early (cut back on Alternative Route to Licensure program & low demand programs like art education). We saw the handwriting on the wall. The preparation helped going into the process. We felt more in control – we were the ones making changes. We felt empowered...that was important. What happened is recognition of the way in which we operated required reflection, modification. As a college, this was something that has been talked about, but never had the engine to start the reinvention process. This was a fairly universal thought that the college needed to change. We never got there because we were functioning fine. The reason (to change) was not there. This is not just happening at Western University's COE. It is happening to Colleges of Education at this point in time – nationwide.
2/2/10	Board of Regents Meeting	Board of Regents	Chairman of Board of Regents instructs system personnel to start preparations for financial exigency	
2/16/10	Presidential Announcement	President	<ul style="list-style-type: none"> Governor recommending 10% operational cuts on top of the 24% reduction to date Potentially \$13 million in cuts to Western University 	

			<ul style="list-style-type: none"> Proposed 1.75% salary reduction Suspension of all hiring decisions (President Email, 2/16/10) 	
2/24/10	List of Programs Under Review Released	President/ Administration	<ul style="list-style-type: none"> President distributes list of program under review to Deans. The list is comprised of 20 departments with the highest cost/student FTE ratios. Two of the COE's six departments are included in this list: <ul style="list-style-type: none"> Department of Education Administration Department of Education Research (Dean Email, 2/24/10) 	<ul style="list-style-type: none"> Department was on the first cut list. There were examples of eliminations on other campuses. There was a weird slurry of information - get rid of us just like [Southern] State University. Cut lose. State of shock that the situation was so extreme—that they are prioritizing programs. There was confusion about what it really meant - this was not the FBI's most wanted list. Biggest shift – sense of terror, fear, and anxiety for all participants.
2/24/10	Curricular Review Process Begins	Faculty Senate	<ul style="list-style-type: none"> The curricular review process is a requisite step in determining which programs/departments may be closed as a result of financial exigency (including the possible termination of tenured faculty) Signals shift from horizontal cuts university-wide to vertical cuts Formation of the Presidential Review Committee (PRC) will commence (elections held 3/9/10) (Western State Faculty Alliance Email, 2/24/10) 	
3/1/10	Special Legislative Session News	State Legislature	<ul style="list-style-type: none"> Cuts to higher education statewide amount to 6.9% or \$11 million (2009-2010) and \$34 million (2010-2011) No additional pay cuts at this time 	
3/5/10	Board of Regents Meeting	Board of Regents	Board of Regents has decided not to declare financial exigency, but to maintain investigation of potential department eliminations	
3/5/10	Western University's Cuts are Identified	President/ Administration	<ul style="list-style-type: none"> \$5.7 million to be cut in administrative support \$4.0 million to be cut in academic programs 	
3/22/10	Recommendations for Elimination Released	Provost	<ul style="list-style-type: none"> Recommendations for department and program elimination announced List includes eight units and eight 	<ul style="list-style-type: none"> The COE has been more on the hit list than any other college at Western University. Physical Education was not even on the first list. Education Administration was

			<p>subunits university-wide</p> <ul style="list-style-type: none"> List includes two departments from the COE: <ul style="list-style-type: none"> Department of Education Administration Department of Physical Education The Department of Education Research, which was included on previous(2/24/10) list, was not included in new recommendations Additional savings suggestions included: <ul style="list-style-type: none"> Removal of Associate Dean position in COE Possible differential tuition rates Voluntary retirement options 	<p>hit hard. They proposed differential tuition. They didn't really get input. Decisions were made before input was received from faculty.</p> <ul style="list-style-type: none"> Committee was the faculty group in charge. The department didn't have a voice – didn't have a chance - they didn't see how the committee's decision was made (How were the financials calculated? How were the numbers calculated?). Didn't make sense...no common thread for decisions... very little consideration given to the participation of faculty/faculty input. Faculty, as a whole, was not involved in all the discussions. After committee, we weren't able to ask how arrived at decisions. They used actuarial tables to determine who would be forced to retire. The younger, more productive faculty can move. These things were not told ahead of time, so there was less of a chance to address department. There was "lip service" by committees (faculty senate). Plus, they were violating code – entire faculty senate should have addressed reorganization/eliminations, not just a committee of the faculty senate. People felt that the college was singled out being on the cut list. This was an opportunity to bring people together. There were holes as this process was talked about. Some old conflicts came out in subtle ways but, much more cohesive. Fear dominated (when asked about how department felt about being off the cut list). Some relief, but still apprehension. There are still cuts ahead. Anxiety persists. There is an underlying anxiety about future - uncertain climate. People were uptight, upset, anxious, all of it. At first, enormous relief that department was not on the hit list - Oh thank God. Then, Oh my God – so and so is on the list. Relief v. sadness. But, this has made changes to the college. After initial shock, done a good job, highly productive.
4/16/10	Board of Regents Meeting	Board of Regents, President, COE Administration, Faculty, and Students	<ul style="list-style-type: none"> Testimony was heard in support of the COE's departments by COE administration, faculty, and students President discusses intention of retaining tenured faculty 	<ul style="list-style-type: none"> A goal of the administration was to protect tenure; therefore, people can shop wherever they want. When departments split, there's not enough to offer a full program...divide and conquer...protect tenure and move wherever. Let faculty shoot themselves in the foot. Now program is eliminated (not just the department). Predicts people will lose jobs because

				<p>the program is gone - who doesn't fit? Those people will probably lose jobs.</p> <ul style="list-style-type: none"> If any strengths – preservation of tenure, but is that more important than the protection of programs for students? That is an ethical problem.
4/29/20	Presidential Review Committee (PRC) Report Released	Faculty Senate's PRC	<ul style="list-style-type: none"> Recommendations for department and program elimination announced List includes the discontinuance of six programs/departments List includes two departments from the COE: <ul style="list-style-type: none"> Department of Education Administration Department of Physical Education Suggestion for reorganization of COE's leadership structure 	<ul style="list-style-type: none"> Committee reviewed lots and lots of data. The President put forth his own and added to the list. Very impressed by faculty senate & Western State Faculty Alliance. They used diligence, thoroughness, gathered data, asked thoughtful and difficult questions, asked about programs (financials) of every program on campus, and did a good job keeping people posted. PRC – did a good job reviewing data, but not a whole lot of time. More helpful if they had more time. People tried to be helpful and professional in making extremely painful decisions.
5/4/10	Faculty Senate Meeting	Faculty Senate	<ul style="list-style-type: none"> After reviewing the recommendations and process, the Priority and New Programs Review (PNPR) committee recommends acceptance of the PRC report. The faculty senate accepted the PRC's recommendation of program/department discontinuance 	<ul style="list-style-type: none"> Data can be easily manipulated and interpreted in different ways. The JET committee used 63 different criteria – that made it worse. Different data points. General confusion from faculty. It's not anyone's fault – it is the nature of the beast. Some people didn't hear. Then, what was eliminated? A department or a program? The terminology was important.
6/3/10	Board of Regents Meeting	Board of Regents	<ul style="list-style-type: none"> The Board of Regents votes to eliminate departments suggested by PRC effective 7/1/11, including the COE's: <ul style="list-style-type: none"> Department of Education Administration Department of Physical Education Regents expressed interest in maintaining the programs within the eliminated departments, which was acknowledged by Western University's President 	<ul style="list-style-type: none"> After the department eliminations: you're right, wasn't well defined. Need to reconsider and reform. This realization gave it "cache" that the President recognizes – important, critical, and it will happen. Freedom to dream. What can we be? Is this what we would invent?
6/8/10	Western University Town Hall Meeting	President	President gives mandate of reorganization to Dean of the COE	<ul style="list-style-type: none"> Recognized the mandate and rose to the occasion. Most people rallied together. As long as he has been here, conflict and division. The reorganization gave everyone a cause to rally around. This was mandated by the President's office. He mandated massive notable restructuring.

				<ul style="list-style-type: none"> • The President clearly provided an engine. The President said “You will reorganize.” It was no less blunt than that. In the past, maybe we will someday, but now, yes. Electric shock - the shock was the difficult part. • The President’s speech was a “challenge”...The important thing was that we had to change. The pronouncement gave it a stamp of authority. • The dean’s office was blindsided. No one expected departments to be cut. They were given the information late. Then the mandate from the President came - there was ever-changing information that comes out of central administration. The Dean’s office could have done a better job communicating with faculty. There were some memos, but stopped brown bags. Maybe he (the Dean) didn’t have a lot of info to give. The dean was respectful of not making decisions without the faculty. The dean’s office spent hundreds of hours working, trying to be inclusive.
Summer	COE Administration Meetings	COE Administration	Exploration of reinvention by COE administration	<ul style="list-style-type: none"> • Department chairs had input with dean, although he doesn’t know what they said. Feels as if it was an in-out procedure, which does not make for effective management. • Deans and administration had many meetings in the summer. • The Dean’s office, department chairs, and DAC, did what they could given the amount of time they had. Had hoped more would have been accomplished over the summer. The Deans and Chairs met 40+ hours over the summer. Wished more had come out of that - wanted more progress over the summer. Understands that the administration was trying to be considerate of the faculty (taking time to learn what departments do, learning departments’ missions) in order to see how they could come together. Given the time, they did the best they could. • College leadership (Dean’s office and department Chairs) was very involved in the creation of the reorganization. A lot of faculty input, but mostly top-down because of time. Faculty don’t like being told what to do - there was a lot of blow back. This could not have done any better from down up - necessary evils. • Dean’s office tried to delegate the decision making

				<p>process. There was some frustration because people wanted a plan. Question of top down v. bottom up. It was a short time line. The Dean didn't come up with a plan. His strategy was to have the change emerge from grassroots but people didn't like this – they would have been upset if he had just delegated a plan though. Whatever way he would have chosen, people would have been unhappy.</p> <ul style="list-style-type: none"> • Around May meeting, all of the contract faculty were on campus – still part of the academic year. In a month's time, we expect two departments to be gone; therefore, we can't wait for the fall to deal with these issues. But, you can't engage faculty in non-contract time; therefore, the leadership team worked over the summer for possible plans of action for faculty to review when they return...but, faculty needed to be engaged – we can't just present one idea. These summer meetings were hugely important. • The summer meetings led them to resolve to get stronger to break down the silos. • There were no major decisions over the summer. A problem was that this happened and then it was summer. Faculty input was important to the Dean. • Chairs were advocating for faculty, meeting biweekly throughout the summer. Once faculty was back, there was high compliance (high 80s). • Department Chairs diligently gathered information from faculty and faculty responded. They spent hours, responded to Dean, were doing their best all summer long. People were very generous with their lives.
8/16/10	COE Faculty/Staff Survey Completed	COE	Survey of COE's faculty and staff completed (26 participants)	
8/19/10	COE Back to School Fall Meeting	COE, President	<ul style="list-style-type: none"> • COE administration shares plan for reorganization, including the formation and responsibilities of DAC and data collection (surveys, focus groups, etc.) • President addresses COE regarding reorganization 	<ul style="list-style-type: none"> • Administrator said "do it by the end of the year or I'll do it for you and you may not like my solution." • The President came to the first faculty meeting. His message: You are going to reorganize. If you get a plan that doesn't look like reorganization, he won't approve. Once the president said that, that influenced people's willingness to participate. There is a tendency for the status quo - the President's talk shifted this. People are more willing to participate. • The president said "you don't want me doing this." The

				<p>people are doing this restructuring because we were told we had to - had to do it – not want to do it. Self-preservation. If we didn't do something radical, we would be punished in further cutbacks.</p> <ul style="list-style-type: none"> At the August Back to School Meeting a summary of the discussions was presented and the DAC was immediately developed. All of the faculty that chose to participate were able to participate and come up with recommendations.
8/31/10	Dean's Advisory Council (DAC) Meeting with Dean's Office	COE/DAC	DAC's initial meeting with COE administration	<ul style="list-style-type: none"> Some members of DAC may have had different opinions than that of department; therefore, able to influence the dean's committee. Why were there not people with more reorganization experience? Ineffective, no real discussion, in a hurry. The leadership team did come up with some scenarios over the summer but they were not presented. Some of these possible scenarios were ruled out by the DAC information. The data suggested that the scenario would not be accepted by faculty.
9/9/10	COE Restructuring Survey: Part I Distributed	COE/DAC	Survey of DAC distributed to COE faculty and staff (81/127 participants or 63.8% participation rate)	<ul style="list-style-type: none"> As staff, DAC survey was a big issue. The survey was geared for PhDs. It was blatantly not focused to staff – a joke - It lists priorities for faculty, not staff (i.e. conferences, publication, etc.); therefore, the results are skewed.
9/16/10	COE Focus Group Discussions	COE/DAC	Focus group discussions conducted with 50 of the COE's faculty/staff	
9/17/10	COE Restructuring Survey: Part II Distributed	COE/DAC	Survey of DAC distributed to COE faculty and staff (76/127 participants or 59.8% participation rate)	(Dialogue regarding the survey did not specify which survey. Please see above comments from 9/9/10)
9/24/10	DAC Final Report Released	COE/DAC	The Final Report of the DAC is released to the COE	<ul style="list-style-type: none"> The concern from faculty and staff resulted in a high rate of return for opportunities for engagement (surveys, focus groups, etc.) People put in their two cents worth. Surprised to see people – a few that hadn't been seen in a while - some people are always there participating. People were engaged in the process. Some people came back into the mix of wanting to share thoughts. DAC Committee performed admirably and courageously although the outcomes were not consistent with their recommendations. Committee had good and fair intentions - Good people were trying. Possible coercion by department chairs to

				<p>retain possessions at the expense of others.</p> <ul style="list-style-type: none"> • At one level, provided input after decisions were already made. Didn't think department was given enough time to meet with faculty. • DAC did not have enough meetings. A lot of people didn't come to the meetings because they thought the decisions were already made. There were not enough efforts for individual faculty members to feel engaged. Didn't get faculty buy-in. • Members of DAC worked very hard and didn't receive the response that they wanted from the Dean. • The DAC lived this, put everything else aside. Surveys, structure, focus groups, etc. took a ridiculous amount of hours because of time crunch. If there had been more time, maybe would have done things a little differently, but might have not. But, high rate of participation from faculty. Maybe the participation rate would have been lower if it took longer. DAC – we were nuts (weekends, nights, emails). Worked really hard. Impressed by what people were willing to do. Still, really, really short (time). • DAC was instrumental in collecting and synthesizing information. They were the primary conduit between faculty and leadership (reports, feedback, etc.) • Lots of opportunities for input (surveys, meetings, focus groups). Committees did a good job. Felt like voice was heard. Good representation – enough people were there. • DAC had difficult meetings. They did not fight for their own piece of the pie - they focused on what was best for the college. • The DAC committee came up with a manageable list of options. • DAC was amazing. They pulled together information, asked for information (productivity, cost/grad, etc.). People who served on the committee were steadfast and quietly strong...just made a very strong team. Physical Education decided they did not wanted to be a part of the committee.
10/8/10	COE Reinvention Plan Released	COE	COE Reinvention Plan released by Dean's office to faculty and staff	
10/11/10	Feedback on Plan Due to	COE	Feedback on 10/8/10 COE Reinvention Plan due to Dean's office	<ul style="list-style-type: none"> • Initially, things were not taken into account but, there was feedback and adjustments. On balance, the needs

	Dean's Office			were satisfied.
10/16/10	Revised COE Reinvention Plan Released	COE	Revised COE Reinvention Plan released by Dean's office to faculty and staff	<ul style="list-style-type: none"> • Our department is still admitting doctoral students (surprisingly, many applications to the program). We are absolutely still looking to the future until the day they tell us it is no more. • The Graduate College is not accepting applications for future years. If there are no FTEs, there are no students; therefore, programs not viable. This is all based on timing. • The final organization structure was not really anticipated. Splitting up programs did not make a lot of sense. Someone must have thought that was an effective strategy. • The change happened quickly. There is something to be said for change to happen quickly (not wallowing in it for a year, not delaying outcomes). This change might have been a little too quick. Even another month might have been more realistic. • Everyone was in problem solving mode. This process takes a lot of time and has strong opinions - everyone was challenged during this process. • The leadership team (Deans, Chairs, & Faculty Chair) took report, surveys, open comments, forums, etc. All were considered in considering the final plan. Faculty input was the dominant input - It had to be. • If we could have done something better, we would have worked on it all year long. DAC, Focus groups, surveys, and website.

Appendix J

College of Education Mission Statement

“The College of Education is committed to creating an intellectual environment that promotes quality instruction, significant research, and professional service. Particular attention is focused on preparing professionals for diverse educational settings and on contributing to educational and pedagogical knowledge through scholarly endeavors. The College provides leadership in both the art and science of educational practice. Furthermore, the College is committed to creating an inclusive learning environment that values and promotes diversity. Collaboration among students, faculty, other professionals, and community members is essential to the College in achieving its goals. Integral to the mission is a dedication to being a premier college of education that serves our dynamic and expanding community, the state, the region, and the nation” (Western University College of Education, 2010).

Appendix K

College of Education Strategic Goals

- Promoting excellence through:
- Community engagement and collaboration
- Research and scholarship leading to national recognition
- High quality, innovative, and student focused teaching
- Educator preparation and development
- Assessment and evaluation
- Continued commitment to diverse, inclusive and just environments
- Innovative use of technology and capacity for increased technology integration
- Selective growth

(Source: Western University College of Education, 2010)

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