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Change Processes in Selected Private Institutions of Higher Education

Ronald Dean Herr
Andrews University

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Andrews University
School of Education

CHANGE PROCESSES IN SELECTED PRIVATE INSTITUTIONS OF HIGHER EDUCATION

A Dissertation
Presented in Partial Fulfillment
of the Requirements for the Degree
Doctor of Philosophy

by
Ronald Dean Herr
December 2006
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ABSTRACT

CHANGE PROCESSES IN SELECTED PRIVATE INSTITUTIONS OF HIGHER EDUCATION

Ronald Dean Herr

Chair: Shirley A. Freed
ABSTRACT OF GRADUATE STUDENT RESEARCH

Dissertation

Andrews University
School of Education

Title: CHANGE PROCESSES IN SELECTED PRIVATE INSTITUTIONS OF HIGHER EDUCATION

Name of researcher: Ronald Dean Herr
Name and degree of faculty chair: Shirley A. Freed, Ph.D.
Date completed: December 2006

Problem

Some higher education institutions are responding to internal and external forces created by the Information Age due to changes in technology, shifts in education delivery, and increasing financial pressures. Are there common processes among a number of selected institutions of similar size and control that could be emulated by peer institutions?

Purpose

The purpose of the study was to describe change processes in private institutions of higher education that are successful based on selected academic and financial data.
The institutions selected initially for superior academic and financial statistics over a 5-year period were all church-related and therefore the study was expanded to consider how church-relatedness may have affected the institutions ability to change.

Method

A qualitative multiple case study methodology was used for this research. I selected three private institutions of higher education, the University of Mary-Hardin Baylor, Mount Saint Mary College, and Charleston Southern University, as my case studies. Semi-structured interviews with the President, Provost or Academic Vice-President, the Chief Financial Officer, and the President of the Faculty Senate formed the data for the study.

Results and Conclusions

Four major themes were found in the data from all three schools with similar sub-themes. The four processes used by the institutions were Enhancing Academic Delivery, Challenging the Fundamental Role of the Faculty, Improving Campus Life for Students, and Implementing Formal Planning Processes and Other Financial Issues. Additionally, the findings were compared to the existing body of literature related to change and specifically looked at the role of the leader using John Kotter’s eight-step process for implementing major changes in an institution. The study found no effect between the institutions’ church-relatedness and its’ ability to change.

The study supports the existing body of knowledge regarding good change-management processes and expanded on this body of knowledge by giving specific examples of how those change processes are occurring. This information suggests ideas
and recommendations for peer institutions of higher education to consider as they develop their own change processes in an ever-increasingly changing world.
To my wife, Chris, and our four children, Heidi, Michael, Stephen, and Robby; you are all the joy of my life and my continual support team.
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Additionally, I want to thank each of the twelve individuals on those campuses who took the time to participate in the interviews. Even though they remain unidentified in this study, their contribution is noted in the many quotes throughout. Each of them made a significant impact on my life as they taught me through the witness of their words and their work. I wish them God's continued blessing as they continue to serve Him.

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Soli Deo Gloria
CHAPTER 1

INTRODUCTION

Background of the Problem

In the 21st century, administration and faculties of institutions of higher education are being pressed to change (Dickeson, 1999; Green, 1997; Jones, 2002; Lucas, 2000; Rowley, Lujan, & Dolence, 1997, 1998; Rowley & Sherman, 2001). These pressures are resulting from the changing world and environment these institutions serve (Dolence & Norris, 1995; Kotter, 1996). As changes in the world accelerate, pressures for institutional change increase (Kotter, 1996). In this section, I discuss the transition to the Information Age, technology, educational delivery, and financial pressures facing these institutions.

Transition From the Industrial Age to the Information Age

In the late 1980s and early 1990s the world began a serious shift from what was known as the Industrial Age to the Information Age (Dolence & Norris, 1995; Lucas, 2000; Rowley et al., 1998). From that time to the present, knowledge in the Information Age is growing exponentially. Knowledge that used to double every 100, 50, or 20 years...
or so is now doubling every 5 years. By 2020 it is predicted to double every 73 days (Costa & Liebmann, 1995).

To educate students in this environment requires increasingly agile institutions of higher education. These institutions will find incremental changes are not enough—major paradigm changes are required (Costa & Liebmann, 1995; Jones, 2002). Education initiatives will require a systematic approach across the curriculum rather than selective interventions by an individual faculty member in a single course (Jones, 2002). Specific disciplines are being replaced by human inquiry that draws upon generalized, transdisciplinary bodies of knowledge and relationships (Costa & Liebmann, 1995). An example of this shift can be found in changes being made in general education courses required at institutions of higher education.

Changes in Technology

One of the most significant advancements in technology during the transition from the Industrial Age to the Information Age is the creation and widespread use of the Internet. This technology was originally conceived to share knowledge and information between institutions of higher education. Today it has become the most widely used source for knowledge and information by workers in the Information Age (Lucas, 2000; Rowley et al., 1998).
Shift in Education Delivery

In the Information Age, a major transition is occurring in shifting the emphasis from training to learning. No longer are students coming to higher education for a single training for a particular career. Instead, lifelong learning is becoming a prerequisite for maintaining skill levels by Information Age workers. By some estimates, the continuing education requirement per worker is equivalent to 30 semester hours every 7 years. As the rate of knowledge growth increases, this requirement will also increase (Dolence & Norris, 1995; Green, 1997; Jones, 2002).

These lifelong learners are changing their expectations on how education will be delivered. Rather than interrupt productive work programs to attend classes on university campuses, these learners are finding educational resources outside the traditional classroom. Two examples of those outside resources are corporate-based education focusing on continuing education directly related to that corporation’s activities and taking classes and obtaining degrees through Web-based education available from physical and virtual universities (Jones, 2002; Lucas, 2000; Rowley et al., 1998).

Financial Pressures

The costs of higher education are increasing much quicker than the general rate of inflation. A significant portion of those cost increases is being paid by students through increased tuition. But an additional amount is being requested from governmental entities either on a direct appropriation level or through scholarships, grants, and loan programs (Dickeson, 1999; Ehrenberg, 2000; Massy, 1996).
On the state level, the February 1996 Western Governors' Association conference put it succinctly when it stated:

All western governors are feeling the press of increased demand on their state systems of post-secondary education. All recognize that the strength and well-being of both their states and the nation depend heavily on a post-secondary system that is visibly aligned with the needs of a transforming economy and society. At the same time, the states' capacity to respond to these challenges is severely constrained by limited resources and the inflexibility and high costs of traditional educational practices and by outdated institutional and public policies. (Western Governors' Association, 1996, p. 1)

Further, more and more states are requiring public colleges and universities to meet certain performance indicators to be fully funded. In a recent survey, these state funding programs, tied directly to the achievements of public colleges and universities on specific performance indicators, were found in 10 states (Burke & Serban, 1997). Twenty-eight additional states have added such requirements by 2003. Some form of performance reporting is being done in 46 states as of 2003 (Burke & Minassians, 2003).

On the private sector side, many commissions and research institutes have focused their attention on the financial accountability of higher education. The thrust of recommendations coming from these entities is to control costs, increase revenue sources outside of tuition, and to make significant structural changes in governance systems to increase accessibility to higher education. Other recommendations include calling for political leaders to reallocate more resources to education, encourage institutions to pursue greater mission differentiation, and the development of sharing arrangements between institutions to improve productivity (Dickeson, 1999; Lucas, 2000; Romesburg, 2003).
The forces for change come from external and internal sources. These forces will not leave "business as usual" for any company or entity, including higher education. In order to not only exist but also thrive in this changing world, organizations need to harness the creative power that can result from properly managing change and find new meaning and direction from that creativity (Lucas, 2000; Rowley et al., 1997).

**Developing a Culture of Change**

Change management is the process by which an organization puts intentionality in its evolution which the changing world requires. Literally, organizations need to properly "manage" change. In order to achieve the degree of change required, research studies in the 1980s and 1990s began calling on educational institutions to develop long-term strategic plans. Included were discussions of the special challenges in developing and implementing those plans due to the limitation that education has in its culture and form of governance. This culture and governance recognize the relatively flat level of organizational structure and the intense degree of collaborative discussion and investigation before a change can be implemented.

Regarding this unique culture, the University of Iowa (2006), in its discussion of strategic planning at that university on its intranet, identified several of these unique cultural challenges as compared to traditional business entities. They describe universities as "organized anarchies" or "loosely coupled systems" with work that is fragmented, the technology soft, the participants fluid (faculty, staff, and students), and goals that are necessarily vague. The author further noted that the natural ambiguity of
purpose in a university makes it difficult to measure progress towards goals, and since universities are largely value driven, the strategic planning needs to be tied to the culture. The university recommended taking advantage of the collegial nature to create support from all constituencies as far as possible.

Eckel and Kezar (2002) went even further by conducting a multi-case study of six institutions and looked at the relationship between change and the culture of the institution. The findings indicated that there is a relationship between change and the culture, which can be explained in part by looking at the “institutional archetype” and the way the change process was enacted. They further found, however, change processes cannot be explained by archetype alone. By carefully combining the archetype with the unique culture style found on each campus, you may be able to determine which change strategy will be most effective.

But even beyond the creation and implementation of strategic plans is the need to create an awareness of the need to see change for what it is and to incorporate into the institution’s culture an awareness of change, the need to change, and a constant adaptation to it. This may happen only after a period of time as cultures can be very resistant, but with effective communication and education, the culture can slowly be modified to allow the awareness of the necessity of change to become part of it (Keller, 1983, 1999; Kotler & Murphy; 1981, Rowley et al., 1997, 1998).

Statement of the Problem

Some higher education institutions appear to be responding to the forces of
technology, shifts in education delivery, and increasing financial pressures. Others recognize the changes occurring around them but are having a difficult time identifying what to change and how to implement the changes they determine are needed. At one end of the spectrum, some institutions still hold to the notion that they stay just as they are and that they be the sole determiners of the knowledge base of the world (Birnbaum, 2000; Rowley et al., 1998). At the other end of the spectrum, some institutions find changes in the Information Age to be manageable and are well on their way to making the necessary transformations the new age requires.

For many educational entities, increases in internal administrative structures have slowed the process for implementing change (Lorenzo, 1993; Parilla, 1993). The effort expended to support these internal structures is so significant that little time and organizational energy is left to devote to thinking about the future. This leaves little intentionality in assuring a smooth and coherent definition and shaping of their future. Instead, the organization is in a continual reactive mode to changes thrust upon it by the changing world. According to Bryson (1988), “For various reasons, public agencies and non-profit organizations are not very savvy about perceiving changes quickly enough to respond effectively. Often, a crisis has to develop before the organization responds” (p. 118).

How do institutions respond to both external and internal forces to manage change? What change processes are used by institutions to make the necessary adjustments? Are there common practices among a number of institutions of higher
education of similar size and control that exhibit exemplary change management that
could be emulated by peer institutions?

**Purpose of the Study**

The purpose of this study was to describe change-management processes in
selected private institutions of higher education that have been successful based on
various academic and financial data. These processes are responses to both external and
internal influences for change. The evidence will provide support for concepts and
images the reader may apply to his or her institution in managing change (Eisner, 1998).

**Research Questions**

This study attempts to respond to the following research questions:

1. In what ways are selected successful private institutions of higher education
   responding to changes created by the shift to the Information Age?

2. How do these practices align with current change-management studies?

**General Research Methodology**

A qualitative, multiple-case study methodology was used for this research. This
form of research is the best methodology to answer research questions that are descriptive
in nature or that document processes of change (Merriam, 2001). I purposively selected
three private institutions of higher education for my case studies. They all have financial
and academic data for at least 5 years that appear to communicate above-average
operations. It seemed to me that these successful institutions may have acquired change-
management processes worthy of investigation.

Institutions in the study were limited to private non-profit institutions with
enrollments between 2,000 to 3,000 students. Financial and academic data for the 5 years
(2000-2004) were used to purposively select the top three institutions based on these data.
Unexpectedly, I found all three of the selected institutions were church-related. Therefore
the study was additionally modified to determine what effect, if any, church-relatedness
had on the institutions’ ability to change. This was done by adding specific questions in
the interviews, inquiring whether church-relatedness had any effect on their change-
management processes.

**Conceptual Framework**

This study used John Kotter’s conceptual framework, which states that there is an
eight-step process recommended to create major change in an organization. Those eight
steps are establishing a sense of urgency, creating a guiding coalition, developing a vision
and strategy, communicating the change vision, empowering broad-based action,
generating short-term wins, consolidating gains and producing more change, and
anchoring new approaches in the culture (Kotter, 1996). Kotter’s framework has been
referenced in a number of recent studies in higher education (Austin, 2000; Brigham-
Sprague, 2001; Cramer, 2002; Dantzer, 2000; Hedley, 2002; Price, 2001; Schmidt, 2001;
Snowden, 2002).
Assumptions

An assumption used in this study is that financial and academic data can be used to identify successful institutions, and it is likely these institutions have made some shift towards effective change management. This identification was made on the basis of data for the past 5 years. It was assumed that institutions with significantly above-average financial results from their operations as well as above-average academic data (student teacher ratios, student persistence, and graduation rates) are effectively dealing with change. I further assumed that change-management models successfully applied to business entities can be applied to higher education.

Significance of the Study

Although there is literature about the theoretical merits of various strategic planning models for higher education, there is little in the literature to document the success of implementing those plans in higher education over an extended time period. After studying community colleges that earned the designation of “Vanguard Learning Colleges,” Snowden (2002) recommended further study specifically exploring change-management practices in higher education.

For those institutions that are experiencing financial and academic success, what are the similarities in the change processes used as part of their change management? Does the empirical evidence align with the theoretical in how change occurs? With this information, faculty and administration in other similar institutions of higher education may find suggestions for implementing and managing change.
Limitations of the Study

The study was limited in the amount of time that was spent in research on each campus. It was further limited to the data from the interviews of the four leaders on each campus. At the same time, the data from the interviews on each campus and between campuses had such strong structural corroboration that it is unlikely that the change process themes and the change processes under each theme would have changed significantly if both these limitations had been expanded.

Definition of Terms

The following terms are defined as they are used throughout this study:

Change Management: The “process, tools, and techniques to manage the people-side of change processes, to achieve outcomes and to realize the change effectively in the individual change agent, the inner team, and the wider system” (Nauheimer, 2005, p. 1).

Laicization: The transfer of control of an organization from the religious authority which created it and controlled it in its earlier years, to a lay board of trustees independent of that religious authority (Gallin, 1996).

Organizational Culture: The set of values, beliefs, behaviors, customs, and attitudes that helps an organization’s members understand what it stands for, how it does things, and what it considers important (Fincher, 2003).

Secularization: The process whereby the values of the world, a world seen as devoid of religious meaning, has triumphed over the forces of faith and religion (Gallin, 1996).
Strategic Management: An ongoing process of organizational change, identified by an awareness of future trends, a flexibility of context to allow the organization to adapt to those future trends, and a learning process which creates an ongoing dialogue within the institution to continually modify itself to meet future needs and expectations (Kaporch, 2002).

Strategic Planning: An inclusive planning process that provides for internal and external scanning, vision, goals, and an operational plan (Cope, 1981). It is the process of creating a dynamic fit between the institution of higher education and its environment (Rowley & Sherman, 2002).

Transformation: Significant movement from traditional processes and systems to new ways of thinking, suggesting a major transition from the traditional delivery system (Keller, 1999).

Outline of the Remainder of the Study

Chapter 2 deals with the literature review, which traces the development of strategic planning in business and education. Further, the literature review focuses on research, indicating that both business and higher education go further than strategic planning. Recommendations are made to begin the process of transforming business and higher education into dynamic change agents in order to keep up with a world changing more quickly than traditional, incremental management can deal with.

Chapter 3 describes the methodology used in the study. A qualitative multiple-case study approach was used at selected private campuses. Semi-structured interviews,
observations, and document review were included in the research.

Chapters 4 through 7 describe the individual colleges and universities included in the study and the data from the interviews on those campuses.

Chapter 8 is a cross-case analysis of the three institutions. This chapter also summarizes the answers to the research questions found in the study and provides recommendations based on this study and for further research.
CHAPTER 2

REVIEW OF THE LITERATURE

Introduction

This chapter provides a review of the literature on change management in higher education. A progressive approach is used to trace the evolution of change management starting with strategic planning, the earliest form of change management found in the literature, from its initial use in military situations to its inclusion in business and other areas of life. Included in this evolution of thought are researchers who have advocated the use of strategic planning in higher education. More recently, researchers are suggesting strategic planning alone is not enough but should be supplemented with a broader concept of change management, including a total cultural change in the institution to constantly adapt to the requirements of a changing world and tomorrow’s educational needs. Finally, issues connected to “church-relatedness” are examined because the selected successful institutions had some church connection.

Historical Perspective of Strategic Planning

Strategic planning is as old as the human race. The word *strategy* has two Greek origins. The noun *strategos* means generalship or general. This comes from the use of
the word in military situations where strategy is first documented as occurring. The verb *stratego* means to plan. Accordingly, strategic planning in one of its earliest usages comes from plans created by the leader (general) of an army in determining how to conquer the enemy.

The first documented use of strategic planning was in the formulation of battle plans and conquests. The Chinese General Sun Tzu probably wrote the first manual on the use of lengthy, deliberate plans before going into battle. In his treatise titled the *Art of War*, he wrote clear and concise action plans identifying responsibilities among the various ranks of his officers and the communication tools they would use in accomplishing their desired objectives (Mintzberg, 1994; Wren, 1979).

According to *Merriam Webster’s Collegiate Dictionary* (1993), strategy is the “the science and art of employing the political, economic, psychological, and military forces of a nation or group of nations to afford the maximum support to adopted policies in peace or war” (p. 1162). In its application to business and education the main element in the original military usage remains—to achieve a competitive advantage (Calstate University, 2006).

**Implementation in Business**

Strategic planning has had a significant evolution in the business world. Businesses, both large and small, with strong profit incentives have researched and implemented strategic planning to enhance profits and increase market share.

Documented use of strategic planning in business had its beginnings at the dawn
of the 20th century with the creation of large multinational corporations. Those entities deliberately created processes to determine their objectives of who they were, how they defined results, who their customers were, what the needs of the customers were, and how much they were willing to pay for those services. Strategy then converted this information into performance in reaching out to those customers and meeting their needs (Drucker, 1967; Hatten & Hatten, 1987; Melcher & Kerzner, 1988; Migliore, 1990).

Strategic planning theory has evolved since the introduction of strategic management into the curriculum of Harvard University in 1933 as part of the business policy course. The business policy course was created in 1911 but added new material in 1933 to create a view from a top management perspective. This perspective was intended to integrate issues related to the external environment with internal operations (Melcher & Kerzner, 1988).

Actual implementation in business day-to-day activities appears to have started in the 1940s (Chaffee, 1985). The early forms of strategic planning followed a very hierarchical structure used in the management of business at that time. Executives formed plans among themselves and then communicated the plan down the organizational structure through a formal document. Planning was therefore separate from implementation (Wall & Wall, 1995).

This evolution was propelled further by studies by both the Ford Foundation and the Carnegie Corporation in 1959. Both entities vigorously reviewed the business policy curriculums at business schools across the United States. They recommended a capstone
course to teach how to solve complex internal problems while considering the external environment in which the entity exists as well as questions of social responsibility (Melcher & Kerzner, 1988).

In the 1960s, strategic planning took a more participative turn with theorists looking at how line managers in the organization informally made strategic adjustments to operations (Chaffee, 1985; Chandler, 1962). These adjustments were often made on a trial-and-error methodology but were made in time to avoid a major crisis. This practical application of strategic planning allowed it to move into empirical research (Chaffee, 1985).

Adding to Chandler’s work, Ansoff developed a key planning model of the 1960s called “gap analysis” (Mintzberg, 1994). Ansoff concluded that strategic planning looks at the gap between aspirations and anticipations in the firm. An appropriate strategy then is developed for closing the gap. He also began to introduce the concept of synergy which he defined as the ingredient that allowed an outcome greater than one would expect from specified amounts of input (Ansoff, 1965).

In the 1970s strategic planning appeared to be decreasing in popularity with American businesses. Theorists turned toward strategic “management” rather than merely using a strategic planning model which appeared to have problems in implementation (Ansoff & Hayes, 1976). The new strategic management stressed as much on the implementation of strategic adjustments to a firm’s operation as in the
planning process. The integration of both activities created a planned learning for the organization (Kaporch, 2002).

In the 1980s, with a significant expansion of globalized markets, strategic planning and management took on serious new perspectives related to all stakeholders in the organization and the environment. The new learning organization was advised to take into consideration five forces requiring a response: (a) the risk of new competitors, (b) the threat of potential substitutes, (c) the bargaining power of buyers, (d) the bargaining power of suppliers, and (e) the degree of rivalry between competitors. All these forces had to be evaluated on both a domestic as well as an international basis. Environmental scanning helped to identify certain threats and opportunities including factors that made the organization attractive amidst its competitors (Kaporch, 2002; Porter, 1985).

Ansoff continued his research and developed theories related to behavior in organizations being shaped by two influences: (a) its environment and (b) its internal capabilities. But building on his earlier concept of synergy, he also concluded that strategy could triangulate with environment and internal capabilities creating a feedback that would enhance all three (Ansoff, 1987). He further admitted to earlier disappointments with strategic management models that had produced the current multidisciplinary models, including external constituencies and environments.

In the 1990s, research built on previous work and emphasized the need to include the total organization in its planning processes. The focus of the new research was for organizations, both for-profit and not-for-profit, to involve all levels in the organization
in order to increase their agility—the ability to make adjustments quickly (Bryson, 1995; Hart, 1992; Mintzberg, 1994). The emphasis was on the organization needing to promote continual strategic planning and thinking, awareness of inadvertent planning through control of financial budgets, and allowing separate divisions within the organization to pursue opportunities while still maintaining the overall objectives of the organization.

A further new and radical concept has been created called the emergent perspective. The emergent perspective demonstrates that strategies emerge from firms over time rather than being planned at a particular point in time (Fletcher & Harris, 2002; Mintzberg & Quinn, 1992; Mintzberg & Waters, 1985; Pettigrew, 1992; Wall & Wall, 1995). It is believed that emergent processes of strategy formation are advocated because they enable flexibility, adaptability, and dynamism which strategic planning by itself can impede (Loasby, 1967; Mintzberg & Waters, 1985; Quinn, 1985).

In summary, strategic planning in business was created in response to the perceived need to enhance profits and increase market share. At the same time, corporations also desired to become more responsive to external environmental forces related to changing customer needs and how to be a more socially responsible member of society as they grew in size and complexity. The increase in international business added further dimensions to these issues.

The evolution of strategic planning in business started with top-down, highly structured processes which took too much time and resources in an increasingly changing world. This led researchers to call for a total cultural change to make the entire
organization aware of the need to adapt quickly. This includes the recognition of emergent perspectives where this new awareness creates change automatically and almost at a subconscious level without significant formal processes being instituted (Fletcher & Harris, 2002; Mintzberg & Quinn, 1992; Mintzberg & Waters, 1985; Pettigrew, 1992; Wall & Wall, 1995).

Strategic Planning in Higher Education

One of the first evidences of strategic planning in higher education came during the presidency of Thomas Jefferson. He had a strategic plan for the entire nation with the purchase of the Louisiana Territory in 1803, and he used the same planning process for developing an education plan for the colony of Virginia and even later for the University of Virginia (Keller, 1983).

The passage of the GI Bill following the end of World War II caused great stresses on higher education as institutions grappled with issues of capacity. Formal planning processes were used with a primary focus on the construction of new facilities to accommodate the great numbers of students who now had the financial capability to attend college. During this period, presidents of institutions leaned toward autocratic management styles using non-participatory, traditional top-down approaches in implementing these processes (Norris & Poulton, 1991).

The remainder of the 1950s were years of great stability for American colleges and universities (Brubacher & Rudy, 1976). While business was beginning to experiment with planning, it was almost nonexistent in academe. Institutional decision-making
continued to be like it was in the previous decade with decisions being made at the top and passed down to faculty and staff. Many times the changes were only incremental and sometimes were politically motivated (Bourne, Gates, & Cofer, 2000).

The 1960s brought great change to higher education. With enrollment increasing significantly, there was a new wave of facility construction, increases in the number of academic programs offered, and an increase in graduate education with its attendant research activities (Rudolph, 1990). The very weight of the increasing complexities of their institutions created a desire by administrators to find strategic planning processes to guide their future development.

Hofer and Schendel (1978), were among the first American researchers to state that strategic planning be fully inculcated into higher education noting corporate models of strategic planning were appropriate for higher education. They indicated a need to recognize the special challenges in the governance of higher education in implementing the corporate model but clearly indicated those challenges could be overcome (Cope, 1981).

The reason for the inclusion of strategic planning in education came from research showing corporate planning methodologies were beginning to work. Also, enrollments were dropping during the 1970s and administrators were looking for direction in scaling back their educational systems. Some researchers even went so far as to call the early 70s the new depression in higher education (Brubacher & Rudy, 1976). This “depression” was coming from dropping levels of net tuition revenue and decreasing contributions.
from corporations and individuals, while operating costs continued to spiral upward, reflecting the costs to operate the new programs created and facilities constructed in the prior decade ("Carnegie Report," 1972).

Still, strategic planning had a long way to go to be fully accepted in higher education. Educational researchers Lorenzo (1993) and Parilla (1993) have noted that leaders in higher education focused on internal administrative complexities and were slow to adopt long-term planning strategies. They noted a reluctance to create a new institutional culture and climate receptive to this paradigm change.

Cohen and March (1974) noted planning in education was little more than attempting to maintain current programs and services. They noted strategic plans seemed to be little more than: (a) advertising gimmicks, (b) organizational games, (c) symbolic gestures, and, (d) excuses for interaction between and among the various stakeholders of the institution. They noted that while there are benefits to planning, the planning process presumes vision (clarity about goals), understanding of the organization, and continuity of the leadership—all three of which were seen as lacking in higher education. They saw the industry in terms of an organized anarchy and found planning to be incongruous with the institutional realities the industry faced.

In the 1980s the education industry was urged to begin the process of strategic planning in seriousness. Keller (1983) called the education world to totally revamp its form of governance, internal management structures, and presidential leadership. He saw the industry in a state of progressive decline in all three areas. He encouraged institutions
to reexamine their mission, values, abilities, and priorities against the backdrop of a changing environment, market forces, and competition.

The industry began to respond. Shirley (1983) developed a strategic planning model focusing on the internal dimensions of the institution. Still others explored and developed models focusing on external factors (Benveniste, 1989; Chaffee, 1985; Cope, 1987; Miller, 1983). As this activity was expanding during the decade, Buhler-Miko (1985) commented that strategic planning had become the step-child of master planning of the 1960s and long-range planning of the 1970s. By 1985, of a representative sample of 196 institutions, 172 said they were involved in some form of strategic planning (Meredith, 1985).

There have been several research studies on the impact of strategic planning at specific educational institutions. At the University of Calgary, one of the most significant dilemmas was in making a collaborative strategic planning process work. Administration at the school was very concerned that the faculty not perceive strategic planning as being forced from “the top down.” But that sensitivity was almost totally negated by the faculty seeing the process decentralized by administration by forcing them to do work they did not perceive as being important and therefore was “top down” irrespective of their input (Cleveland-Innes, Emes, & Ellard, 2001).

This dilemma was avoided at the University of Calgary by emphasizing that the decentralized initiatives would be supported and coordinated in a centralized way (Mintzberg, 1994). Thus central administration played a vital role in fostering
collaboration without controlling it. Over time the faculty moved from a generalized professional bureaucracy where power is decentralized, goals are centered on individual professional development, and coordination is facilitated by disciplinary norms—to a model where professors are the purveyors of change, power is shared, and goals focus on common interests (Cleveland-Innes et al., 2001; Hardy, 1991).

Cleveland-Innes et al. (2001) concluded there are seven rules that need to be followed by those radically advocating change through strategic planning. They include starting off with serious self-reflection, understanding the change context, balancing passion for change with enlightened self-interest, creating a supportive social network, working the power structure, remembering information is power, and understanding your colleagues’ perspectives.

Throughout the 1980s and 1990s there are few stories of truly successful ongoing strategic planning in higher education evident in the literature (Kaporch, 2002). To the contrary, some theorists have concluded that either strategic planning and higher education are inconsistent with each other or that the implementation is too difficult in the internal structures of education (Birnbaum, 1988; Schmidtlein & Milton, 1989). By 1994 Mintzberg stated that strategic planning was dead in the business world and in 1995 Dolence and Norris stated that strategic planning does not go far enough in addressing the needs of education in the Information Age. Leslie (1996) argued that strategic planning costs colleges and universities time, money, and goodwill without producing visible
returns. Birnbaum (2000) included strategic planning in his work, describing management fads in higher education that would not work over time.

Still, others are continuing to call for strategic planning in higher education. Kezar (2003a) states that strategic planning should be used as a means of clarifying or even redefining an institution’s mission and overall purpose. Eckel and Kezar (2002) advocate strategic planning and stressed the need to modify the planning process according to the culture of the institution. Romesburg (2003) encouraged strategic planning and assessment as tools needed to identify core strengths of institutions and the reallocation of resources and funding to those core strengths. Kirk and Rose (2001) stress the need to ascertain that institutions engage in strategic planning, focusing on the end result of the planning as opposed to planning for planning’s own sake.

**Change Management in Higher Education**

In the 21st century, research and practice have shifted to something beyond strategic planning. Haines (2000) noted that traditional strategic planning was looking backwards too much and was not dynamic enough. He used the term “strategic management” to refer to a total organizational restructuring that created a new awareness in an educational institution to constantly adapt while keeping focused on its core strategies.

Murphy and Murphy (2002) give an example of this new management style in their Customer-As-Partner concept. In this concept of service they urge going beyond the service axioms of “the customer is always right” or “put the student/parent first in priority.
and consideration.” This new modality requires a conscious awareness to create excellence at every sale or service encounter. It goes further in creating an intentional, long-term relationship with the student/parent that creates knowledge, security, and adaptability for both parties. They urge a shared journey for both parties that creates a better future than either could have created on their own.

Mintzberg and Waters (1985), Mintzberg (1987), Mintzberg and Quinn (1992), and Mintzberg (1994) stated that strategic planning in general is dead and called on education and others to create strategic thinking into the organization. In their opinion, this process will focus managers’ attention on emergent changes as they adjust the operation of their areas of responsibility in a strategic way. This does not negate the need for using strategy but to get away from long, expensive planning processes that can be out of date as soon as the plan is completed. They state that organizations such as higher education that have very flat and decentralized management structures may need some coordination and focus by administration, but such coordination should be significantly different than a formal strategic planning process.

Other researchers also urged going beyond a strategic planning process. Keller (1983) indicated institutions will need to create new structural changes that will alter the educational processes and systems in place since the 1890s. Hooker (1997) agreed, indicating that the shift from the Industrial Age to the Information Age is creating a revolution in higher education. He further emphasized that fundamental changes in
management are occurring due to new capacity requirements of institutions to assimilate the increase in knowledge in the Information Age.

Research done by Rowley and Sherman (2001) add that what is needed is a planning process that creates a cultural change that allows the institution to develop a constant awareness of new educational challenges and opportunities occurring in the transition from the Industrial Age to the Information Age. They urge educational administration and faculties to study the successes being found in a small but growing number of educational institutions that have successfully implemented such a planning process and cultural awareness.

Additionally, Duderstadt (2000) states that the changing and often turbulent environment of higher education in the 21st century demands a strategic approach as colleges and universities adapt to change. The ability of an institution to change will be rooted in the creation of institutional processes for planning, management, and governance. He further states that in a rapidly changing environment, it is important to develop a planning process that not only adapts to changing conditions but also modifies the environment in which the university will find itself in the future. In order to do this, the planning process is progressive, flexible, and adaptive, capable of responding to a dynamic environment and an uncertain future. In essence, the planning process allows the academe not only to confront the future but also to actually construct it.

Also taking a different stance is Birnbaum (2000) who has a viewpoint similar to Mintzberg. In his research he quotes and agrees with Mintzberg that strategic planning is
a passing management fad that has already become obsolete. Specifically talking about implementation in higher education, he stresses that it is not possible to implement a management technique of any kind that is inconsistent with the institution’s values and culture. His research suggests higher education should focus more on hiring the right managers and allowing them to pursue their own strategies and agendas without the overhead of a formal strategic planning process or goals or guidelines from a planning process. He further states that change processes and management techniques will work only when they are studied carefully and critically by administration and faculty and are assimilated slowly to affect the very culture of the institution.

In summary, change management in higher education is continuing to evolve. The specific processes and procedures used by different institutions or recommended by various researchers and studies may differ but they appear to all focus at some point on the importance of adjusting the culture to make change happen. Cultural changes normally come very slowly and usually require a significant amount of discussion between faculty members and administration.

Issues Facing Church-Related Institutions

College education in the United States started with church-related institutions. Harvard, Yale, and Princeton all had religious backing and support in their early years. Most private colleges and universities had a strong religious influence at their incorporation. But the majority of those started by religious denominations have little
continuing influence or support from those founding churches (Burtchaell, 1998; Reuben, 1996).

The reasons for this loss of identity with their founding organizations are many. They include a lack of financial support (Brackney, 2001), new forms of governance and oversight (Burtchaell, 1998), differences in perspective on the definition of academic excellence (Carpenter & Shipps, 1987), and leadership which became independent (Chaffee & Tierney, 1988). Also of importance is the general shift in American cultural norms over time from a perceived need of religion to a society dependent on its possessions. This has in turn influenced institutional cultures and has affected the relationship between college and denomination (Parsonage, 1978; Schwehn, 1999).

The relationship that exists between an institution and its denominational partner has varied significantly from the time the higher education institution was created by its denomination (Peterson, 1970). Most church-founded institutions originally shared a faith tradition with its denomination. Many times, the institution was legally owned and controlled by the founding denomination. The denomination supported “its” school with financial support and students from its faith community. But over time, all these vestiges have dimmed in most colleges and universities, giving rise to the term church-related (Benne, 2001; Burtchaell, 1998; Marsden, 1994; Ringenberg, 1984). The strength or degree of the institution’s ties to its denominational partner depends on the culture shared between them (Kuh & Whitt, 1988).
Cuninggim (1994) devised a model for analyzing the relationship and cultural connection between the academe and its church partner. He suggested the relationship could be classified as Consonant, Proclaiming, or Embodying when looking at elements such as governance, leadership, support, faith orthodoxy, and academic matters. The Consonant College is independent in its own operations but remains committed to the tradition of its related church and therefore “consonant” with its values. The institution is neither sectarian nor secular alone but can be either one.

The Proclaiming College shows with great intentionality it is an academic partner with its founding denomination. Through their practices and overt proclamations they attest to their strong and binding relationship. The institution is free of its church partner’s total control but bears a witness to the relationship that exists. Examples of this type of institution are Baptist, Methodist, and several Presbyterian institutions.

The Embodying College still bears the very embodiment of its founding denomination. Any outside observer who looks closely can see without a doubt the connection between the two. The denomination tends to be orthodox and the institution follows that orthodoxy closely and intentionally. Examples of these institutions would be Mennonite, Missouri Synod Lutheran, and Seventh-day Adventist as well as most Evangelicals (Cuninggim, 1994).

Most of the studies from the 1970s to the present in church-related education have focused almost exclusively on the subject of secularization (Burtchaell, 1998; Carlson & Magnuson, 1997; Cuninggim, 1994; Dosen, 2001; Dovre, 2002; Marsden, 1994; Reuben,
1996; Ringenberg, 1984). According to one study, secularization meant the values of the "world," a world seen as devoid of religious meaning, have triumphed over the force of faith and religion (Gallin, 1996). It is suggested this secularization has created the differing modalities noted in Cuninggim's model.

Another issue facing church-related institutions frequently confused with secularization is laicization. This term refers to the transfer of control from the religious authority which created the institution and controlled it in its earlier years, to a lay board of trustees independent of that religious authority (Gallin, 1996). This does not create or directly relate to secularization. It merely gets lay persons, from within the founding denomination and without, involved in directing the future evolution and operation of the institution. Part of the confusion between the two concepts, as one researcher stated, is that laicization caused Catholic education to secularize (Burtchaell, 1998). But, in reality, the two issues are totally different concepts that may have an informal overlap (Dosen, 2001).

Beyond the descriptions listed above and the issues of secularization and laicization, there is relatively little literature on strategic planning or change management in church-related institutions. Kaporch (2002) looked at strategic planning in American Catholic colleges and universities. The conclusion of the study was that the majority of Catholic institutions were participating in some form of planning, but the results of planning were not clear. The shift from a formal planning process to implementation and the creation of structural changes was not evident (Kaporch, 2002).
Kaporch's study was based on a conceptual framework devised by Hart (1992). In his framework he suggested there are five modes that integrate the range of literature on strategy-making processes: (a) The Command Mode, in which control over the process is exercised by a top leader of top managers, (b) The Symbolic Mode, in which top management created a compelling and clear vision, (c) The Rational Mode, in which the gathering and use of data is essential to the process, (d) The Transactive Mode, in which strategy-making is based on interaction and organizational learning, and (e) The Generative Mode, in which strategy-making is dependent upon the autonomous behavior of organizational members. Hart expanded on the strengths and weaknesses of each mode and came to the conclusion that institutions that used multiple modes would have an improved change-management process.

The study concluded that in Catholic education certain modes were more conducive to real change than other modes. Specifically, the more emphasis that was placed on the symbolic, transactive, and generative modes seemed to create buy-in by the institutional culture for making changes as opposed to the command or rational modes. Kaporch (2002) concluded, “Linking the style of planning in an overt manner to the desire for change may indeed prove beneficial . . . for all higher education institutions at the beginning of what promises to be a challenging century” (p. 109).

In summary, the focus of church-related research appears to be centered on the effects of secularization and laicization on mission, academics, student life, and overall purpose for many church-related institutions to exist. Research has begun on the
presence and potential effectiveness of strategic planning and management in these institutions, but any definitive conclusions are not found. Cramer, 2002; Dosen, 2001; Gallin, 1996; Kaporch, 2002 have concluded that more needs to be done to define what strategic management is and how it can effectively be implemented and monitored.

Conceptual Framework for This Study

Kotter (1996) talks about the pace of change in today’s world as increasing rather than decreasing. Accordingly, he indicates that the “urgency rate,” a term he uses to describe an organization’s perceived need to adapt quickly to competition and crises, needs to be high. In his research he indicated that in the 20th century the norm for most organizations (including education) was relatively long periods of calm or even complacency, punctuated by shorter periods of hectic activity to adjust to a new level of service. This will no longer be the case, and organizations will need to constantly change while staying focused on delivering the unique service they exist to provide.

In his work titled “Leading Change” Kotter (1996) suggests that in order for institutions to effectively deal with change in today’s world they will need to follow eight steps in consecutive order. Those steps are: (a) establishing a sense of urgency, (b) creating the guiding coalition, (c) developing a vision and strategy, (d) communicating the change vision, (e) empowering broad-based action, (f) generating short-term wins, (g) consolidating gains and producing more change, and (h) anchoring new approaches in the culture.
Establishing a sense of urgency deals with a constant examination of the market the institution is serving and sensing the changing needs and expectations of that market. Who are the competition and what are they offering to the same market you may not be competing against? Is the competition able to adjust to the changing marketplace quicker than you are and why? As you are doing your environmental scan, what crisis may be emerging that you may need to deal with? How can you create opportunities out of a crisis or potential crisis?

Creating a guiding coalition is the second step in the process of creating major change. The coalition needs to consist of a group of individuals that has enough respect, organizational power, and leadership to lead the change. Authority and power are attributes other individuals in the organization have given these individuals in recognition of their perceived ability to lead effectively. Many times these individuals will have their own interpretation of addressing the issues in Step 1, and it is up to the leader to keep the group focused on common, shared themes and thereby working as a team.

Developing a vision and a strategy to implement that vision is one of the most important duties and attributes of the leader of the organization. Without the vision the threats and opportunities will be the only reality. The organization will be left to drift until someone in the organization has the determination to state how the institution appropriately gets from where it is to where it needs to be. Peter Senge (1990) agrees, but stresses that effective leaders in a changing world need to ascertain that the vision becomes a shared vision within the leadership group. Coupled with the vision is a
strategy to move the organization into concrete, measurable steps to implement the vision.

Communicating the change vision is perceived to be one of the most difficult to do effectively by leaders. They hear themselves saying the same thing over and over and feel they are over-communicating. Kotter (1996) is emphatic that you cannot over-communicate the change vision enough. Every resource and vehicle within reach of the organization is employed in the communication process. The guiding coalition from Step 2 needs to be modeling the behavior expected of all employees in fulfilling the change vision. Nothing is as disruptive as a message being delivered in speeches and written communication but not modeled in specific behavior by the people empowered to make the change happen.

Empowering broad-based action is the fifth step in the process. The leader needs to make certain that every obstacle to making the change happen is removed. This includes other conflicting processes or attitudes by line managers disagreeing with the strategic change being implemented. Sometimes an obstacle will be organizational structures themselves, which need modification or total removal. Also, the leader encourages all employees to take risks in implementing new ideas, activities, and actions to make the change happen.

Generating short-term wins, Step 6, will clearly reinforce the overall change being implemented. These wins are seen in visible improvements in the performance of the organization that all employees can see and measure, either literally or intuitively.
Leadership is responsible to make certain those short-term wins happen. Also, it is important to publically reward and recognize individuals who made the special effort to create the short-term wins to reinforce the behavior.

Consolidating gains and producing more change, Step 7, will be the natural result of the short-term wins. The increased credibility of the change plan will encourage more employees to adjust and change systems, structures, and policies that do not fit together or with the transformation vision being realized. During this process, managers are hiring, promoting, and developing people who can and are willing to courageously implement the change vision. The process in this step becomes self-reinforcing, with one incremental change building on another, helping to implement the overall transformation being implemented.

Anchoring new approaches in the culture, Step 8, is the final step in Kotter’s model. By this step the overall organizational performance will be measurably improved as seen in customer service and productivity measurements. Leadership is actively communicating throughout the organization the connections between the new behaviors and the increased organizational success rates. Also, the organization ascertains there is depth in the leadership team to assure proper development of succeeding leaders to lead change if key individuals leave the organization.

Confirming Kotter’s work, Brigham-Sprague (2001) wrote on the relationships among crisis, leadership, and change in a community-college setting. She noted that a crisis was a major contributor to the first step needed in creating change. She then added
that Kotter's additional seven steps were indicated for the successful implementation of major changes in her longitudinal study of a community college in a leadership crisis.

Seven other recent dissertations on change management in higher education have referenced Kotter's work. Austin (2000) referred to Kotter's work in communicating, evaluating, and rewarding employees through a human performance assessment instrument.

Cramer (2002) discusses Kotter's work in some detail. He not only refers to the eight-step process noted above but also listed Kotter's eight most significant and common errors made by leaders in creating and managing change. He further noted that there are examples of many organizations that have tried to implement change management but failed to follow all the steps Kotter advocated and failed, not only in implementing change but also as viable organizations.

Kotter's work, which stresses the concept of leadership and the competencies of leaders, will be significantly different in the future from today was discussed by Dantzer (2000). Included were the effects of global commerce and competition and the challenges and opportunities Kotter feels globalization will create.

In his dissertation on sustaining the momentum of change in learning organizations, Hedley (2002) discussed Kotter's study of 100 executives and the relative success they had in implementing change in their organizations. Included in the discussion was the importance Kotter found in learning organizations creating an increasing capacity to adapt and improve what they do in a changing world.
Price (2001) discussed the importance Kotter places on communicating future change goals to the entire organization (Step 4 listed above). Price emphasized that the real power of a vision will be realized only when the entire organization understands clearly what the vision is and the goals and steps needed to reach that vision.

In another research study, Schmidt (2001) noted that a significant factor in leaders creating successful organizations relies in part on their ability to cope with and adjust to rapid and perpetual change. She also refers to Kotter's work on properly assessing internal and external environments of change and implementing appropriate strategies for dealing with changes noted in those assessments.

Finally, Kotter's suggestion that long-term strategic planning and change management requires a change in the institutional culture was referenced in the study done by Snowden (2002). Also included was Kotter's urging that a new form of organization and a new kind of employee will be required to succeed in a faster-moving and more competitive environment.

Looking at all these studies, Kotter's work is looked at from a broad, non-industry-specific perspective. The similarities include the affirmation that leaders play a pivotal role in creating a sense of awareness for change and a methodology for implementing change. Differences in these studies come from the specific vantage point the authors are taking in addressing change.

This study differs from research already done in looking at change on all three campuses from Kotter's conceptual framework to see if his model works in an
educational setting. The studies cited above made mention of Kotter's work but did not state that the purpose of the study was to find applicability to the educational industry.

Additionally, are all eight steps seen on all campuses or is the educational environment somewhat different, requiring an adjustment or modification to his model? Some researchers have noted change management in education requires a different approach than in a business setting. Kotter states his model is needed in all entities for significant change to occur and therefore this study intentionally explores its applicability to education.

Summary

The literature shows both business and education have gone through periods of developing strategies for dealing with a changing world in order to position themselves to meet changing expectations. It has been noted the processes have evolved from rigid hierarchical structures to more of an ongoing awareness of organizations about the world in which they exist and compete and what they need to do to survive, let alone thrive. But still there is much to learn about how to truly transform an organization into the learning organization some theorists have envisioned.

It has been noted that educational entities especially struggle with the implementation of change. The cost, in terms of time, resources, and stress in addressing strategic change, is seen as too high with too little to show as a result of those costs. Indeed, it is Kotter's notion that a crisis is the initial impetus for change to happen.
Some institutions have found the ability to create an atmosphere of continual adaptation to their changing world. The literature is not conclusive on how they have achieved that ability. However, as has been noted, the literature is suggesting the answers be explored by all institutions as the rate and amplification of change increases. This study struggles with these issues in an attempt to discern what those critical processes are that can help education more quickly adapt their organizations to truly excel in a competitive, changing environment.
CHAPTER 3

METHODOLOGY

Introduction

This chapter describes the design and methodology of the study. The first part of the chapter provides the rationale for selecting a multiple case study qualitative research approach for the study. The next sections describe in detail the methods utilized to gather, analyze, and report the data.

Purpose of the Study

The purpose of the study was to describe change processes in selected private institutions of higher education that are successful based on various academic and financial data. In spite of all the pressures created by a changing world, some institutions of higher education seem more adept at change management, even to the point of anticipating coming changes and preparing themselves proactively for change. How do they do that? Who are they listening to in anticipating change? What have they done to their culture to allow change to occur fluidly and systemically?

The purpose of this study was to explore answers to these questions. It did so by studying processes that selected institutions are taking to assure themselves of continued relevance and excellence in a changing world.
Research Questions

This study attempts to respond to the following research questions:

1. In what ways are selected successful private institutions of higher education responding to changes created by the shift to the Information Age?

2. How do these practices align with current change studies?

Research Design

The research type employed in this study is a qualitative multiple case study. The case study approach was used to look at several institutions to understand who they are, how they have evolved over time into the institution they are, and how they are continuing to evolve.

The case study has further been chosen for its particularistic, descriptive, and heuristic characteristics. Particularistic refers to the ability to focus on a particular phenomenon. The case itself is important for what it reveals about the phenomenon. Case studies “concentrate attention on the way particular groups of people confront specific problems, taking a holistic view of the situation.

“Descriptive” refers to the fact that the study is a rich, thick description of the case under question. “Thick description is a term from anthropology that means the complete, literal description of the incident or entity being investigated” (Merriam, 2001, p. 30). The description uses prose and literary techniques to describe, elicit images, and analyze situations as opposed to numerical data found in quantitative studies.

Heuristic is a term used to describe the ability of case study to illuminate the reader’s understanding of the phenomenon under study. In this way it can bring to light new
discovery to the reader, an extension of the reader's experience or bring confirmation to what is already known or understood. The case study can further bring new relationships into focus about variables that converge into action that create life the way it is—in essence, bring new understanding as to why life is as it is (Merriam, 2001).

The multiple case study brings added strength in attempting to find similar phenomena occurring in comparable and contrasting cases. In doing so, the precision, the validity, and the stability of the findings can be strengthened (Miles & Huberman, 1984). The inclusion of the multiple cases is a way to enhance the internal validity and generalizability of the study (Merriam, 2001).

**Self as Research Instrument**

In this type of research the researcher becomes the “instrument” of research as opposed to using a “research tool” in the form of a survey or analytic device used in quantitative research (Merriam, 2001). In this way, the researcher can be responsive to the context; he or she can adapt techniques to the circumstances; the total context can be considered; what is known about the situation can be expanded through sensitivity to nonverbal aspects; the researcher can process data immediately, can clarify and summarize as the study evolves, and can explore anomalous responses (Guba & Lincoln, 1981; Merriam, 2001).

Glesne (1999) states that in qualitative research “the researcher becomes the main research instrument as he or she observes, asks questions, and interacts with research participants. The concern with researcher objectivity (found in quantitative studies) is replaced by a focus on the role of subjectivity in the research process” (p. 5). She later states,
The openness [of qualitative research] sets the stage for discovery as well as for ambiguity that, particularly for the novice researcher, engenders a sometimes overwhelming sense of anxiety. The openness of interpretivism also allows the researcher to approach the inherent complexity of social interactions and to honor that complexity, researchers avoid simplifying social phenomena and instead explore the range of behavior. (Glesne, 1999, p. 6)

I have worked for the last 7 years in a church-related private institution of higher education as the Controller and Associate Vice-President for Finance. This position has allowed me to observe firsthand one institution’s attempt to wrestle with the change forces affecting it. Through “peer institution” visits I have made to other colleges and universities as well as visiting with representatives of other higher education institutions at professional training and national conferences for higher education, I have learned that the challenges that face my institution are similar to what they are facing.

I have also worked in the insurance industry, the medical industry, and other not-for-profit organizations. This rich work experience has allowed me to observe many organizations involved in change issues. The success and failures in affecting change management in those organizations will provide a resonant backdrop as I learn from other educational institutions on how best to implement change in an educational environment.

**Purposive Sample**

Purposive sampling is the most frequently used sampling technique in qualitative research (Merriam, 2001). This sampling technique is used when a researcher has observed certain reoccurring phenomenon and wants to find out the story behind the commonalities observed. Patton (1990) calls this type of sampling *purposeful* in that the researcher intentionally has selected a sample based on various traits or characteristics.
I have used purposive sampling for all the above reasons. In reviewing the data for all private non-profit colleges and universities, I selected a sub-set of institutions, all of which are similar in size. They all have financial and academic data for at least 5 years that appear to communicate above-average operations. This led me to believe that they may be using intentional and similar change-management practices in order to maintain the results they show.

Institutions in the study were limited to private non-profit institutions delivering between 60K and 80K semester credits annually, equating roughly to enrollments between 2,000 to 3,000 students. Data for the universe of institutions were obtained from Minter and Associates, an organization that obtains uniform data for all higher educational institutions in the United States as reported to the Federal Government's Department of Education on the Integrated Postsecondary Education Data System (IPEDS) report annually.

Data for private, not-for-profit institutions for Fiscal Years 2000-2004 were used. Approximately 1,800 institutions were represented in the private, not-for-profit group. The database was then sorted by semester credits generated, and only institutions delivering between 60,000 and 80,000 credits were selected. The resulting 141 institutions are listed in Appendix B.

Next, 5 years’ financial data were analyzed for the remaining 141 institutions. The “profitability” of those institutions was analyzed based on what is called “Change in Net Assets.” These data were modified to subtract the effect of investment returns. This was done to offset the effect of negative returns in the broad investment markets for the years in the database (Fiscal Years 2000-2004). Only those institutions that had positive earnings for each year and an upward profitability trend were selected (Appendix B).
The remaining 12 institutions were then analyzed for homogeneity or other factors that may not make them as compatible as possible with the final group. Of those, 5 were deleted, leaving 7 potential institutions to be contacted. I chose the top 3 of the final 7 institutions based on their academic and financial data to be included in this study (Appendix B). In addition, it was noted all three institutions were church-related and therefore the study was modified to ascertain whether this factor affected the institution’s ability to change either positively or negatively. This was done by including questions in the interviews that probed the relationship between church-relatedness and change.

Data Collection

I relied on three sources to obtain data for this study—interviews, observations, and documents. These three sources were analyzed for similar supporting themes. In this way, the data were triangulated to give further credence to the conclusions derived from the analysis.

Interviews

The open-ended interviewing process at these colleges and universities contained a basic set of questions regarding change management on their campuses in which the participants were encouraged to explore issues within the structure of guiding questions (Glesne & Peshkin, 1992). The interview questions were designed to provoke clear descriptions, reflection, and insightful thinking of the participants' experiences (see Appendix A). The basic formulated questions led to follow-up questions and responses that were related to factual information and provided verification and clarification of data. According to Patton, “a number of basic questions may be worded precisely in a
predetermined fashion while permitting the interviewer more flexibility in probing and more
decision-making flexibility in determining when it is appropriate to explore certain subjects
in greater depth” (Patton, 1990, p. 287).

The interview process, designed for 1- to 2-hour interviews with each interviewee,
was conducted on a one-on-one basis, utilizing an electronic recorder to ensure the collection
of accurate data. The data were transcribed to written format. Transcripts were then sent to
each interviewee for follow-up, additions, and corrections as needed. Final transcripts were
then coded or compared for similarities and common themes. Participants at each institution
included the President, the Chief Academic Officer, the Chief Financial Officer, and the
Head of the Faculty Senate. These participants, chosen for their leadership roles and broad
perspectives, provided responses to questions, follow-up, insightful information, and
documentary data to facilitate the analysis of change management occurring on each campus.

Observations

Glesne (1999) writes: “When you begin your role as a participant observer, try to
observe everything that is happening: make notes and jot down thoughts without narrow,
specific regard for your research problem. Study the setting and describe it in words and in
sketches using all your senses. How does the setting sound and smell?” (p. 48). Merriam
(2001) reminds us that this observation process is automatically happening and “becomes a
research tool when it (a) serves a formulated research purpose, (b) is planned deliberately, (c)
is recorded systematically, and (d) is subjected to checks and controls on validity and
reliability” (pp. 94-95).

I took care in noting observations during the on-campus visits, interviews, and other
informal interaction with the campus and its personnel during the field work. This was done in the context Glesne (1999) talks about when she states, “The main outcome of participant observation is to understand the research setting, its participants, and their behavior” (p. 45). “Rather than studying people,” agrees Spradley (1979), “ethnography means learning from people” (p. 3).

I documented my observations through an initial-impressions memorandum dictated after the first day on each campus and then a final personal overview of each campus at the end of my visit. These general observations were also used as part of the data, along with the interviews and other documents obtained from each institution.

Documents

An important part of qualitative research deals with reviewing documents that back up participant’s stories or reinforce the overall depth and quality of the research.

Documents and other unobtrusive measures provide both historical and contextual dimensions to your observations and interviews. They enrich what you see and hear by supporting, expanding, and challenging your portrayals and perceptions. Your understanding of the phenomenon in question grows as you make use of the documents and artifacts that are a part of people’s lives. (Glesne, 1999, p. 59)

Merriam (2001) agrees with this and adds,

Once documents have been located, their authenticity must be assessed. Since they were not produced for the researcher, the investigator must try to reconstruct the process by which the data were originally assembled by someone else. It is important to determine the conditions under which the data were produced, what specific methodological and technical decisions may have been made and the consequent impact on the nature of the data now to be taken over. . . . What is the history of its production and use? How is its use allocated? Is its selection biased? How might it be distorted or falsified? (p. 121)

Documents reviewed included financial statements and other financial analyses,
documents regarding strategic planning or overall change management, master plans for the campus, and marketing materials. Also, documents, if any, that support the relationship between the institution and its church partner were useful in determining how the relationship was or was not related to change management occurring on campus.

**Data Analysis**

Analytical procedures were used that are typical of qualitative research. Those procedures are (a) coding the data, (b) generating categories, (c) developing themes and patterns, (d) testing the emergent themes and understandings, (e) searching for alternative explanations, and (f) writing the report (Marshall & Rossman, 1995). In taking these six steps, special care was taken to note emerging themes that assist in providing a thick, rich description of each case.

As data were analyzed and compared, special attention was given to those recurring responses that link the different institutions in dealing with change. During this process, it was observed whether all eight steps of Kotter’s hierarchy of change were present in the institution.

Additionally, the interviews were analyzed to determine the movement of themes from specific examples to general themes. It was McCracken (1998) who observed that to adequately analyze the data, responses be considered on their own, then in context with other comments, and finally as patterns and themes. The ability to determine the interviewees’ view of the world is to determine categories, relationships, and assumptions through this type of analysis.
Writing Style

In this dissertation I have chosen to write the interviewees’ comments as an integral part of the text. This promotes active voices as I blend their ideas with my own research. This is consistent with Zellner and Farmer’s (1999) argument that “qualitative researchers need to develop their own style guidelines—ones more fitting to qualitative assumptions about knowledge, ones more reflective of action practices of qualitative researchers” (p. 17). Thus, instead of using traditional quotation marks, I have used italics to separate interviewees’ voices from my own. This is also in keeping with the Informed Consent form agreement whereby I am allowed to quote them but not specifically identify the speaker.

Generalizability

Eisner (1998) states that one generalizes skills, images, and ideas. This is done by observing how someone else does a particular thing and then relating to their own experience from that observation. This generalization can then enforce or change one’s own behavior in relationship to the observation.

Similarly, a person generalizes from images coming from words, cinema, diagrams, melodies, and live performances. Once these images are internalized they provide the ability to truly see and classify knowledge. Examples of images becoming generalized would be in such expressions as feminine beauty, masculinity, or patriotism—all words which evoke images generalized from past experience.

Ideas are linguistic expressions of human thought. Through these propositions of what is real and possible, we can contemplate and make sense of the world we encounter.
We take these statements about some thing or concept, and mentally decide if it is true and relevant to our experience.

Generalizability comes when the reader acquires concepts, skills, and images they can apply in their own institution. This ability comes from the voices of the individuals interviewed, from the skills they have developed in their work, the images and metaphors they use to describe their experience, and the ideas they propose as possibilities of truth for handling change issues in their institutions.

Validation

The data from the interviews were validated in several different ways. First, the interviews from the four individuals on each campus were compared and triangulated to support emerging themes.

Second, the data obtained from the interviews were compared with general observations at each institution and with evidence found in documents such as financial reports, recruitment material, faculty meetings, strategic planning committee minutes, etc.

Third, the data from one institution was compared with data from the other two institutions. Since the same data, processes, and experiences were confirmed at all three institutions, it strengthened the trustworthiness of the study. Eisner (1998) refers to this process as structural corroboration and described it as “seeking recurrent behaviors or actions that inspire confidence that the events interpreted and appraised are not aberrant or exceptional but are rather characteristic of the situation. Structural corroboration also requires that the weight of evidence becomes persuasive and compelling” (pp. 110-111).

Validation also came from assuring the reader of the study the interviews were
appropriately constructed, observations were appropriately documented, the contents of
documents were properly analyzed, and the conclusions are based on the collective data
(Merriam, 2001). And as Firestone (1987) noted, the writing itself can include enough
descriptive detail to demonstrate to the reader that the researcher's conclusions are valid.

**Ethical Considerations**

I adhered to the ethical protocols and principles established by Andrews University. I
obtained administrative and informed consent before data-gathering activities began. The
administrative approval was obtained from the Institutional Review Board. The informed
consent from each participant was done in the form of a signed Informed Consent form, a
sample of which is included in Appendix A. Steps were taken to protect documents
considered confidential in nature, as well as to protect the privacy of individuals participating
in the research. The intent of the research was fully disclosed, and all risks and benefits were
shared with the officials and participants at each institution. Participants were advised that
their responses will be kept confidential and that their participation is voluntary.

Participants were given the opportunity to share specific documents related to the
mission, goals, operational plans, and other evidences of how change management occurs on
their campus. Each participant signed the appropriate consent forms, which indicated the
purpose of the study, the role of each institution, the voluntary nature of their participation,
and the confidentiality of the information shared.

**Summary**

This research was a qualitative, multiple-case study. The three institutions studied
were purposively selected based on their financial and academic data. The semi-structured
interviews formed the data, which were analyzed for themes and sub-themes about the change processes being used at these institutions.
CHAPTER 4

UNIVERSITY OF MARY HARDIN-BAYLOR

Introduction

This chapter is the case study of the University of Mary Hardin-Baylor. It begins with a short history of the university, starting with its inception in 1845. This history was obtained from the book, *Forth From Her Portals*, written in 1986 by Eleanor James commemorating the first 100 years of the university's existence in Belton, Texas. Following that is a presentation of leadership issues and the change process themes coming from the data and finally a summary of the findings at UMHB.

History

The University of Mary Hardin-Baylor (UMHB) was chartered by the ninth Congress of the Republic of Texas in 1845 at the request of two Baptist missionaries, Judge R.E.B. Baylor and William Milton Tryon. The original name of the institution was Baylor University with the charter calling on a Board of 15 members who would be elected by the Executive Committee of the Texas Baptist Education Society. The charter further called for at least an annual board meeting to be held at the time degrees would be conferred and stipulated it would include a Female Department, a Preparatory Department, and a Male Department.
It was decided to locate this new educational entity in the small community of Independence, Texas, approximately 50 miles northwest of downtown Houston. The new university was originally located in a large building housing Independence Academy, a female preparatory school started some years earlier by the Baptists. In essence, it absorbed and expanded on this fledgling academic endeavor.

In its early years, all instruction, for men and women, was delivered in the same building. Later a separate building was erected exclusively for the Male Department, leaving the Female Department in the original building. A creek meandered between the two "departments" with a small church constructed as the only meeting place for males and females. For some of the male alumni, crossing Independence Creek was like crossing the River Jordan into the Promised Land.

The small school struggled but prospered modestly during the first 15 - 20 years. The 1860s however proved to create significant change. The first event was the Civil War, which affected enrollment in both "Departments" but especially the men's. The second event was the sudden resignation of President Burleson in the Male Department who left with most of the faculty and students and assumed the presidency of Waco University in Waco, Texas. Since the University had already been operating under two significantly different curriculums for men and women, the Baptist State Convention of Texas revised the charter for the university to create Baylor Female College in 1866.

Another major influence on the college in Independence came in the form of two major railroad lines originating in Houston, bypassing the town to the west and to the east. Even the Brazos River, another major transportation source, dried up to such levels as to make major shipping impractical. Accordingly, the Education Committee of the Baptist
Convention spent considerable time discussing how to protect their investment in education in Independence. After that discussion a decision was reached to move the school to a more central location in Texas, known in those days as North Texas.

**Moving to Belton**

A search committee was formed to locate a new home for the University. Accordingly, communication was sent to communities throughout the central part of Texas inviting them to bid on being the site. When the bids were opened in Waco, Texas, in 1866 it was found Belton had bid $31,000 in financial assistance to build new facilities and to donate 10 acres of land. The town of Temple, nine miles north of Belton, was a fierce competitor but their bid fell $1,000 short at $30,000 and 10 acres of land and therefore Belton was chosen.

Construction of new buildings commenced immediately in Belton and after graduating their last classes in Independence in May of 1866, President John Luther loaded up as much personal effects as could be reasonably transported by wagon and moved the school to Belton. Classes started that fall in mostly completed buildings.

The university prospered greatly from 1912 through 1937 under the leadership of Dr. John Hardy. The prosperity came in part from the college providing education for high-school-age students before the public school system started providing quality education in their curriculum. Including the pre-college students, the head count enrollment in 1926 was 2,372.

But after reaching that height, the enrollment began to drop, on average by 150 students or more per year, until in 1937 it reached just over 900 students. Added to the
problems of a declining enrollment, Luther Hall, a large multipurpose building including
dormitory, cafeteria, educational space, and lounges for student conversation and recreation,
burned to the ground on January 26, 1929. This was followed by the crash of the stock
market in October of that year, leading the Baptist General Convention to withdraw a
significant amount of financial support due to the depression that followed.

Debt from operations, construction expenses following the burning of Luther Hall,
and the reduction in support from the Convention brought the college next to bankruptcy. In
1932 the university received a letter from Mr. and Mrs. J. G. Hardin, offering a charitable gift
annuity of $100,000. But that meant the university would have to wait until both parties had
died to receive the money. In 1933, the financial situation was so severe college officials
travelled to visit the Hardins and their financial advisers. Out of this meeting came an
agreement to give the college $100,000 from the Hardin Trust, provided that they meet the
condition of all gifts from the Trust that recipients are debt free before funds were disbursed.
This created a significant amount of activity in negotiating down or paying off all the
university debt—no small task for friends of the college in the midst of the depression.

By October 1933 the process was completed. The Board and administration of the
college contacted the Hardins and expressed their wish to permanently link the college with
the Hardins through a name change. The Hardins were pleased with the suggestion and by
September 1934, both the Board of Trustees and the Baptist Convention approved renaming
the school to Mary Hardin-Baylor College. Later, when the college became a university
again in 1978, the name was changed to the University of Mary Hardin-Baylor.
Changes in the 1970s to 2000

The next major change came in 1971 after Dr. Parker became president. For years, the university had considered the need to return to coeducational status. Indeed, for years men had been invited to campus to perform many of the duties that women did not want to perform including security, maintenance, operation of the farm and dairy, etc. These men were known as “College Boys” and could take classes while they were working on campus. But since the school was chartered to grant degrees only to women, the College Boys had to go to another school to graduate.

In spite of this feeling that the school needed to formally return to coeducational status, there was staunch resistance to it. The college had established itself as the largest women’s school west of the Mississippi River and had graduated women who had become women of stature in their communities and areas of employment. It was felt the college would lose its distinctive reason for being and would devolve into merely being another community college. But in spite of the resistance, the Board of Trustees voted in 1971 to become fully coeducational again.

Many of the concerns about becoming a community college were realized initially. Within a few years, almost half of the student body was coming from communities within driving distance. The effect of having half the student population leave by 5 p.m. was a dramatic change for the institution that previously had nearly 90% of its student population as on-campus residents. Many of the social and extracurricular activities had to be rescheduled or redesigned to accommodate the community students.

In 1978 the college decided to reinvent itself as a university. This was partially in response to the changes being witnessed in community colleges across Texas. These
institutions used to be differentiated from 4-year schools with the term junior college. Gradually, the community colleges dropped junior from their names and it became difficult to the outside employer or interested person to determine what type of degree had been earned by the graduate. The college also believed it would be able to offer more differentiated education by establishing separate schools with defined curriculum and deans heading up the schools (James, 1986).

The University of Mary Hardin-Baylor Today

The University of Mary Hardin-Baylor continues to operate as a multi-school university much in the same way as in 1978 when university status was obtained. They have an enrollment headcount of over 2,700 students of whom 2,575 are undergraduates representing 41 states and 9 foreign countries. They advertise a student/faculty ratio of 15:1 and are represented in the American Southwest Conference of NCAA Division III sports (UMHB, 2006).

Role of Leadership in Establishing Processes

In this section I introduce the leadership team I interviewed and show how the UMHB is currently implementing the 8 steps of Kotter's conceptual framework. At the UMHB all eight steps of Kotter's change process were noted although a single change process was not followed from beginning to end. Many change processes being implemented were noted in the interviews and are identified in the remainder of this chapter.

I interviewed the Vice-President for Business and Finance, the Provost, the President of the Faculty Assembly and the President of the University. The interview with the Vice-President for Business and Finance demonstrated that he was first and foremost a quality
business person but also was warm and engaging. The conversation indicated he was a financial leader with great sensitivities regarding the stewardship responsibilities he felt the institution had for the resources it was given. In the changes and processes he described during the interview, he showed an awareness and appreciation of working in an academic environment with the need for good communication, appropriate use of the committee governance processes, and documentation of actions taken.

The interview with the new Provost demonstrated a first love with his new “home” and the passion he felt for his faculty, deans, and the overall quality of education at UMHB. The conversation was comfortable and informative giving the perspective needed from his position. In a later interview, a faculty person talked about him being a wonderful professional who took the time to really get to know every faculty member and make them individually feel important and included.

The President of the Faculty Assembly had the most personality of the four participants in the study at UMHB. He was not a Baptist but from the Catholic faith and he took great effort to describe the differences and similarities between the Catholic and Baptist intellectual and emotional mindsets. The interview gave a wonderful perspective from a faculty member’s point of view. Also appreciated were his many referrals to Bible texts in the interview to support opinions expressed and issues being struggled with on campus.

The interview with the President was the highlight of the visit to UMHB. All the participants had been mailed a short letter introducing the study along with a list of the basic questions which would be used in the semi-structured interview. He had taken the time to write notes to refer to when answering the questions. He proved to be a consummate leader who had a clear vision of who he was, why his institution existed, and where he saw his
institution going. He had his administrative staff, faculty and Board fully in sync with that vision.

The interview was rich in the way it revealed multiple examples of Kotter’s eight-step change process. Even though a single major change was not tracked from beginning to end to validate the sequential nature of Kotter’s process, all eight steps were clearly seen in many different changes in various stages of progress at UMHB. The President is a change agent leading from the shared vision he has created on this campus and affirmed he is one of the reasons for the success of this institution.

There is a clear sense of urgency on campus. This urgency comes from the leaders’ emphasis on needing new recruiting processes to attract more on-campus students, controlling overall student enrollment via raising admission standards, requesting the faculty to update the core curriculum, emphasizing the importance of student success and retention via a new student retention department, and an ongoing restructuring of the schools on campus to more effectively deal with curriculum demands for today’s students.

The guiding coalition for change is found both on campus in the form of the President’s Council and off campus in the form of a special group of business people that is used to assist in inputting ideas and funding various projects on campus. An example is the new Campus Center housing the sports and recreational facilities. The President regularly communicates with these groups to assist him in charting change processes such as developing the Center for Christian Studies.

The process of developing a vision and strategy comes first from the leaders themselves but then is very quickly shared with the rest of the campus and the Board through printed materials, electronic communication via the internet and face-to-face meetings to
make it a shared vision. The President and Provost were especially concerned about this step in the process as they repeatedly talked about making certain major changes that were not seen as their agendas but were collectively shared by the faculty and the rest of the staff and Board members. As an example, the vision and strategy are documented in the long-term strategic plan, but that document appeared to be a mere formalization of an ongoing discussion guiding decisions on campus.

Communication is frequent and redundant to make certain everyone is working together. *I do a lot of, let me tell you what I am going to say, I tell you what I said and then I am going to tell you what I just said,* was a comment from one respondent. This communication is not only heard in rhetoric and spelled out in written communications, both internal and external, but also exemplified in the actions and decisions coming from leadership.

The campus leadership takes seriously the importance of empowering broad-based action. *Everyone has to feel like they have a part and everybody actually has to have a part.* This involvement comes from not only committee assignments and group meetings, but also in the specific delegation of responsibility for steps in the change process to come from specific individuals, departments, schools, etc.

The campus has a good recent history in generating short-term wins to help build confidence in the major changes in progress. The creation of the Center for Religious Studies was a first step in changing major academic structures in splitting the College of Humanities and Sciences. Starting a new football program and having a winning season shortly after its conception helped build confidence in their new athletic programs, which led to a major donation for a large comprehensive Student Center complete with a state-of-the-art sports
arena/convocation center, physical education academic space, and exercise and recreation areas.

Leadership is very intent on making certain that once the change process begins, it consolidates gains and begins producing more change. This includes changing personnel if needed to make certain the change processes are supported and succeed. And for major changes that have been completed, the interviewees could track how one small change built on another. *All of that additional on-campus enrollment came from the changes in our student recruitment philosophy,* was an example used by one interviewee. He had just listed three or four smaller changes made in student recruitment that accomplished the major goal of increasing on-campus enrollment.

Finally, there were many comments about the way the entire culture of change had been created on campus. This cultural change came from the steps listed above happening successfully. As one interviewee noted, *They [the faculty, staff, and Board] have been very supportive because almost everything we have done has been successful and has had purpose behind it.*

Leadership was asked about their church-relatedness and the effect it has on their ability to change. They all felt their church-relatedness was a benefit to the University in terms of defining who they were and having a support base, but at the same time, the relationship was not restrictive or encouraging on change and change processes. It was noted that the financial support from the Baptist denomination was either frozen or possibly going to decrease, but once again this was not either a positive or negative factor in their change management. This open relationship was also seen in the inclusiveness they demonstrate with almost 50% of their faculty and students coming from other faith backgrounds.
It is interesting to note—and the interviews documented this—that when asked why they are being successful, all four administrators admitted that the only major reason they could give was the success came from the blessing of God. This philosophical answer reflects the religious background of these leaders. It further reflects the religious background and environment of the institution itself.

In summary, all eight steps in Kotter’s conceptual framework were directly referenced in the interviews. However, this study was not designed to track one major change from beginning to end, and therefore it cannot be concluded that the eight steps were followed in sequence as Kotter suggests they should be. Rather, what appeared to be happening was that a culture of change seemed to enable multiple, simultaneous change initiatives. The next four sections describe the following change processes: (a) enhancing academic delivery, (b) challenging the role of the faculty, (c) improving student life, and (d) implementing formal planning and financial processes.

Enhancing Academic Delivery

The first main theme for change processes coming from the data at UMHB relates to academic delivery in the classroom and alternate methodologies to meet the needs of the Information Age. Technology was seen facilitating most of these change processes. There is also a significant amount of intentional restructuring of academic units on campus to help areas of instruction more closely align themselves with similar programs and to actually create more interdisciplinary interactions between schools and programs. A new School for Christian Studies and splitting the College of Humanities and Sciences into two separate colleges were examples given.
Embedding Technology

The most frequently cited change process in academic delivery is in the increased usage of technology. *We need technology to be state of the art to make available all the resources it offers to our faculty, staff and our students.* Originally, technology was introduced to improve administrative systems to facilitate accounting, student financial aid, registrar activities, and other administrative functions. Like most business organizations, this has evolved from the use of a large central computer with terminals inputting data and accessing its information files, to networks of personal computers using various servers and relational databases.

The more recent use of technology upgrades has been in giving laptop computers to the faculty to be used in their classroom instruction. Students are bringing their own computers to campus in the form of desktops and laptops, but computer labs are still in use across campus as well. A wireless network is being installed to facilitate the use of laptops without needing to “hard wire” into computer networks.

A future hope is to have a separate academic support group in the information technology service area dedicated to supporting the use of technology in instructional areas. Further, a Center for Excellence in Teaching is being established, in part, to assist the training and improved use of technology in instruction.

Experimenting With Distance Education

The University is being very careful about its involvement in distance education. There is much pride in the personal relationships found not only in the classroom between teachers and students but also in the personal relationships found in regular campus life.
outside the classroom. *Our philosophy, one of a Christian institution which places a heavy emphasis on personal attention and small classes, does not readily make the ease of thinking about on-line classes a functional thing here.*

Distance education is being used in a limited way for students desiring a major in engineering—a degree not offered at UMHB. The students take a certain number of courses during their first 2 years online and then transfer to another university for the last 2 or 3 years of their program. Some adult education and graduate course work is also being offered in a mixed classroom/online environment.

**Strategic Partnering**

The University has developed affiliations with other colleges and universities. These affiliations facilitate the transfer of students to and from UMHB. Examples of affiliations for ease of transfer *to* the university are agreements with community colleges to make certain that students transferring from these institutions maximize the amount of credits earned at one school to be applied to their degree at the other school. An example of ease of transfer *out* relates to their recent affiliation with Baylor University in Waco related to the Baylor’s engineering program. As previously mentioned, students at UMHB can take classwork online while attending UMHB that can be applied to an engineering degree after the students transfer to the other school for their upper class years.

Other affiliations are maintained as an outreach of the University to other specialized student communities. There is an affiliation with a military base located nearby and with a sister school in Korea.
Changing Structure

We are in the midst of the next major change. We are separating the School of Sciences and Humanities. One of the reasons cited for this change related to religious studies and other faith-based courses being found all across campus in different areas and schools. The University decided that because it was a church-related institution, it needed to provide a higher visibility to its Christian Studies. It did this by the creation of the School of Christian Studies.

That change prompted the next move to split the College of Humanities and Sciences into two different schools. It is believed these two areas are sufficiently different from each other that a separate identification would be indicated. The main challenge to this change is for some departments to decide whether they are scientific disciplines or humanities.

At the same time, there is a definite goal by administration and faculty to enrich the curriculum by having cross-disciplinary interaction. An example cited during my research was the inclusion of a faculty from the Department of Religion lecturing in a Business Ethics class. The comment was as follows:

I can ask professors from different disciplines to come and talk to my class and they will do it. In my ethics class I’ve used the School of Christian studies more than others. Their dean comes over now and then and talks about a very sensitive social issue. Another professor came over and talked to my students about the meaning of the Ten Commandments, its purpose as a doctrine, the idea that it is relational and how it evolved.

The result from cross-disciplinary interaction is to not only enrich the academic delivery to students but also to help break down barriers between schools in the delivery process. Further, if aggressively managed, it is felt this cross-disciplinary interaction could
be used to increase the efficiency of academic delivery by avoiding duplication of similar curriculum in the different schools.

Altering Traditional Academic Delivery

There is recognition on campus that traditional classroom delivery modes may not be able to keep up with the increase in information available to society in the Information Age. *In my mind, I think the 4-year undergraduate degree is a thing of the past. I really feel we are looking at needing more time to become conversant in any given field.* Therefore, the University is experimenting with alternative delivery concepts discussed above. But it is even going further than just modifying credit-based education. New methodologies to meet the needs of lifelong learners are being explored.

Certificate programs are examples of the alternatives being considered. While it is difficult for some faculty to teach in a setting that does not generate tuition credits and degrees, UMHB has determined a significant need and demand exists for individuals to receive training without going through a formal educational degree program. *There are a lot of folks in central Texas working a vocational job. They are working a full-time job and they are also preaching. A lot of those folks are never going to go to the seminary.*

To serve this important constituency, the certificated program for pastoral training is being instituted. Flexibility is being maintained so the learner can convert the certificates to credit at some later date and complete a degree if so desired. But the recognition is that most of these individuals probably will not pursue a degree due to their part-time involvement in their church work.
Opening, Reviewing, and Closing Programs

There were repeated references to the need for and the work done in planning before new programs, services, or significant changes are made. The reason given for this planning process was that, before the first student can be enrolled in a new program, the institution has to commit significant resources to it. This includes recruiting of faculty and staff, time spent in discussing and planning the new program or service, and the preparation of recruiting or promotional materials. Additionally, physical space needs to be allocated, and other support needs of the program or service have to be met such as library support, coordination with other programs and services, etc.

Coupled with this detailed pre-planning is the need to establish goals and other measurable benchmarks for the new program/service and timeframes when these benchmarks are to be reached. *In education you need to do your marketing program, you need to do your pro forma, then you need to set benchmarks.* It is believed that consensus can be reached on what actions will be taken in case those benchmarks are not met either in improved advertising and recruiting, improving the performance of personnel in the program, adapting the program or service to a slightly different focus or audience, etc. Annual reports are made to their Vice-President to ensure these goals are met.

Administration at UMHB believes decisions to close programs and services are one of the most difficult assignments for higher education. The need to possibly close the program or service is a by-product of the annual reviews. UMHB struggles with it as well, but has come to the point where it is willing to look at programs that are undersubscribed and close them if necessary. Sometimes it takes years of effort in propping up a failing trend line
before the decision to close comes. *For the next 10 years we lost money.* . . . *It takes some time . . . because you start a program and you don’t want to admit you made a mistake.* Administrators stated that ideally the proposal for closing the program or service comes from the department or school involved but sometimes the decision has to come from administration.

This does not mean that the program is dead forever. The vision that inspired it may still be there. *I hope that in time we can bring it back.* It has been shown that a good idea tried in the past may have been ahead of its time. Maybe the personnel were not the right fit for the need. Perhaps the overall culture of the institution needed modification first. But administration’s commitment to good stewardship for the funds entrusted to their care make it important to close failing programs, at least temporarily, rather than allowing them to drain important resources that could be used for programs that are growing and need additional resources.

**Controlling Growth**

The University senses the need to control its growth and improve the academic quality of the institution by raising admission standards. *Twice in the last 5 years we have raised our admissions standards. We need to control our growth.* Better prepared students are seen as one of the keys to creating a more successful academic institution. Students are more satisfied and successful in their studies, faculty are more fulfilled and productive, and the reputation of the institution is improved as its graduates are more successful in completing their programs and entering the job market properly prepared and trained.

In summary, under the theme of Enhancing Academic Delivery, change processes are
being put in place to recognize the alternatives that students are needing and desiring in their educational pursuits. This includes improving the use of technology in academic delivery, the use of distance education and providing for alternate programs that are not credit-based.

**Challenging the Fundamental Role of the Faculty**

The second major change process theme evolved around issues related to the role of the faculty. The sub-themes addressed the improved use of technology in instruction, looking for creative ways to reduce faculty loads to encourage personal development in research and publications, and a new provost position occupied by an individual with experience in teaching and administration. Administrators recognize that faculty, as the most important constituency of the University, need support and encouragement in fulfilling their role in the changes coming from the transition to the Information Age.

**Reviewing Fundamental Faculty Roles**

*Some of the things that come to mind initially get back to the fundamental role of faculty and how they teach. I think that every faculty member is impacted and is reconsidering some of the basic assumptions to instruction. I think with so much talk about the millennium generation and changes to society that people are beginning to consider the need to lecture less and to have more multimedia and more acknowledgment of the different learning styles students bring into the classroom.*

The new provost at UMHB is intent on challenging the fundamental role of the faculty including how instruction is delivered in the classroom. This includes setting up a Center for Teaching Excellence *where we anticipate people in a less threatening, and hopefully, very comfortable and professional way, can think about and learn new things about their teaching.* The technology, in the form of wireless networks and laptop computers being provided to all faculty to use in their instructional methods, is growing on campus but
the training to appropriately use the technology is also needed.

This changing role is also found in the academic advising and student retention areas. Faculty have been used almost exclusively in advising and retention issues in the past, but recently full-time staff have been hired to assist in this role—especially in terms of assuring the retention of freshmen students through their sophomore years. This complements the work being done by the faculty and assists them at the same time.

Revising the Core Curriculum

UMHB has a major study underway to determine adjustments and modifications to the core curriculum. The reason behind this need is to assure the University that its graduates truly have a relevant liberal arts education by the time they graduate. A similar concern is whether graduates have the necessary skills to effectively work in Information Age jobs. The process is challenged by professional programs that are very structured such as nursing, education, and some business programs that do not allow for their students to take many elective core courses.

Core curriculum reviews are not easy projects.

*I have been part of both successful and unsuccessful core curriculum review processes. . . . I am ever the optimist and think maybe this is the place were we can really be a part of something that would really emphasize student learning, focus on preparation for the 21st century, be both classically and liberal arts oriented and at the same time relevant and coherent and hopefully sequential in thinking about the core throughout all 4 years.*

The main challenges appear to be to avoid turf protection issues and to be able to clearly state to its students the expectations the University and prospective employers have for a liberal arts education.
Altering Faculty Loads

There is an effort to decrease faculty teaching loads to allow for more personal development. A specific comment in the data stated, *One of the things we discussed was the possibility of changing teaching loads from four 3-hour classes to three 4-hour classes. We could reduce the curriculum by as much as 15% and free up faculty time for other things than pure delivery.* At the same time, work is being done to increase class sizes to allow for an increased student/teacher ratio presently standing at 15:1. These two phenomenon may work against each other to a degree in increasing work with larger classes, but the reduced number of classes was seen as potentially more effective in reducing overall workloads.

Changing Culture Due to Turnover

The University is experiencing a significant degree of faculty turnover. *I would expect that in 5 years we will approach 40% to 50% new faculty and that is having a tremendous impact on our academic programs. I am not certain that we can fully measure the impact of this turnover.* While the University believes this brings new perspectives and a greater embrace of new technologies by the younger faculty, it also creates challenges in keeping a focus on major change objectives. This turnover is seen as possibly inhibiting changes in the core curriculum study and other faculty training and enhancement programs.

Visioning

It was noted that the recruitment of a fully qualified Provost was a most welcome change by the faculty. Prior to this incumbent, individuals filled the position who may have been an excellent faculty member in their areas of specialty but were not necessarily adept at
being administrators. The incumbent is seen as fully qualified due to his prior administrative experience. He further has demonstrated the ability to not only have a vision for the future of academic delivery on campus but also to allow his vision to be shared by the Deans under his direct supervision and by many of the individual faculty as well. He further established his credibility by intensive individual personal communication with each of the faculty when he first came to campus.

Integrating Faith and Learning

There were several indications of an intentionality by UMHB to increase the integration of faith and learning on campus. The first indication, as already mentioned, was in the recruitment of faculty. While there is a minor bias toward hiring faculty from the Baptist faith, there is a major requirement that all faculty be evangelical Christians. This was stated to mean that they will take Christ with them into their classrooms. Jesus was to be seen in Biology courses, mathematics classes, organized sports programs, etc.

A second indication of the integration of faith and learning was seen in the recently created Center for Christian Studies. This Center was seen not only as a necessary focal point for classes in Christian studies but also as a resource center to assist with making all the curriculum Christ-centered.

In summary, and institution will probably change to the extent its faculty changes. At UMHB faculty are being supported in meaningful ways so the are able to adapt and change in response to technological advances. This includes changing the core curriculum and looking for ways to adjust faculty loads to free up time for additional professional development.
Improving Student Life on Campus

The third change process related to a constant awareness of the importance of improving student life on campus. Changes occurring to accommodate this include sports programs, enhancing on-campus housing and food service, and meeting expectations of prospective students during recruitment efforts. The other reasons cited for these changes included providing increased personal attention, easing the transfer of students from other educational entities, achieving a better male/female student ratio, and increasing admission standards to have more qualified, better prepared students.

Broadening Recruitment

The University believes it is most successful with educating, growing, and training students in an on-campus environment and is therefore expanding its recruitment efforts outside of its normal commuting distances.

*When I came here we were just kind of taking whoever came to us. We would go to college nights and try to recruit but 75% of our students still came from within 70 miles of campus. I just felt that it would be a much healthier institution if we could create a viable student life and student activities program and enlarge our on-campus residence population.*

This has been facilitated by sending recruitment teams to the major metropolitan areas of Houston, Dallas/Fort Worth, and San Antonio. The result of emphasizing on-campus life is demonstrated by a positive growth in dormitory residents to the point that the University may need to consider constructing additional on-campus living facilities.

Expanding Sports Programs

The University has had a wonderful history as a women's college. And it was noted in several of the interviews that this rich heritage has been difficult to shake with many of the
prospective parents and students seeing the school as a female institution. Therefore, competitive sports programs have been gradually added over the years, primarily to increase the male student population. So within a couple of 3 years of my coming to the University we did a major study to look at what it would take to financially make the program work and what it would take to have a scholar first, athlete second philosophy. This has led them to join NCAA Division III sports programs, which do not allow for athletic scholarships and thereby help with the scholar-first, athlete-second philosophy.

However, at the same time men’s programs have been inaugurated, several women’s sports have been instituted as well along with an increase in general wellness and physical fitness programs and facilities. The plan to increase the male population has worked, but the overall increase in campus spirit and school identity through all the sports programs may account for the overall largest benefit to the institution in increasing enrollment and helping students have fun along with getting a good education.

Advising and Student Retention

UMHB recently added staff to deal with student retention. The focus was on an effort to bolster the regular academic advising by the faculty and to detect early on students who were not being successful with their college experience.

We wanted to do a better job of helping students adjust to college life in the first year of their college experience so I wanted to create a retention program. . . . We found that it means advising at the freshman level, both semesters, and the first semester of the sophomore level by those folks that are working in advising and retention.

This issue has increased importance when dealing with a university with a relatively full capacity. Students being accepted today generally have higher academic qualifications
due to the increased admissions requirements of the University, which then puts an additional responsibility on the University to make certain students succeed in their academic and social life on campus.

Inclusiveness in the Recruitment of Students and Faculty

UMHB has always been known as a Baptist university and takes great pride in that fact. On the other hand, it has demonstrated inclusiveness in the recruitment of students and faculty. Approximately 50% of the student and faculty populations come from other faiths than Baptists. There is still a preference to those of the Baptist faith, but certainly anyone qualified can come as a student or a faculty. On the faculty side, the individual is desired to not only be a professed Christian but also to be evangelical in his or her Christian faith. We prefer Baptists and work hard to fill vacancies with a Baptist, but if we can't then the next alternative is to ensure we know the person's heart and their faith is based on Christ and that they will share that faith. This is translated as a requirement to take Jesus into your classroom.

When asked if the University encourages non-Baptists into the Baptist faith, the answer was no. The emphasis in their religious services is more on Christianity in the broad sense of the word with some Baptist traditions included. This is also being done to accommodate an increasing number of students coming from non-denominational Christian faith backgrounds.

Implementing Planning and Other Financial Processes

The final major theme comes from issues related to formal planning processes and other financial issues. Planning is seen by the leadership at UMHB as the ability to take
control over their future. *I think planned change is by far to be preferred over emergent change because in my opinion a fear of change is people's feeling of lack of control. If you plan it, there is an implication that you have some control.*

But it takes more than planning. It takes determination to continually budget against the plan, and regularly evaluate how you are doing in meeting the goals you have set within the overall strategic plan.

**Strategic Planning/Strategic Management**

The University is putting increased intentionality on determining its future and maintaining its strong competitive advantages. This is primarily being focused on the strategic planning document recently voted by the Board of Trustees. *Number one, we needed to determine where we wanted to be 5 years from now, how we were going to get there, and what elements were needed to be dealt with in order to do that.* The document states the vision, the specific goals set for the 5-year process, and how the plan will be evaluated and updated in the future.

Effective planning requires adequate time to make the adjustments and changes needed. Therefore, the institution needs to look years down the road to set the targets they would like to meet. UMHB, like many other institutions in higher education, has attempted to use 5-year projections in its planning but readily recognizes 3 years is about as far as one can go in today’s changing world and have reasonable accuracy. *I don’t think you can really look ahead 5 years and do a very good job.*

They are also looking backwards 5 years to clearly see what the trends have been over recent years. You cannot plan for the future if you do not know where you are today and this
includes seeing what the trends have been. Also involved in the analysis is to establish as many of the factors as possible that created those trends. Just because a program or service has declining enrollment or usage does not mean it is not important or relevant. It may be the marketing of the program or service has been poor, staffing or other resources have been inadequate, or some other temporary factor has affected it.

It is acknowledged that good planning takes a lot of time and effort. The way UMHB has enhanced some of that resource-consuming effort is to affect strategic management as much as strategic planning.

*Next week we have a President’s Council retreat. Part of that is to look at the 07-08 budget as well as look at the 07-08 goals out of the strategic plan. We need to determine if they are still feasible for us to accomplish in that year or are they going to be delayed to next year or the things that were supposed to be done this year that were not accomplished this year are going to have to be moved to 07-08.*

This type of management requires at least an annual review of measurable benchmarks and goals established to evaluate how the plan is working. By reducing the true foreseeable future to 3 years, the University creates a routine of always looking forward 3 years. Each year then creates a new 3-year focus as the current year concludes and is evaluated. The evaluation may indicate that a specific goal is not attainable or maybe should not be attained for some reason. Or the goal was not reached in the last year but is still important and therefore becomes one of the priorities for the current year. Also, new emergent changes occur all the time that were not envisioned when the plan was developed that need to be included in future plans. This annual review and evaluation allows for that process.
Creating a Culture of Change

The institution is well aware of the changes taking place in society and in their marketplace, and recognizes the need to become increasingly adept at accommodating appropriate change. *I am not certain we have always wanted to change, and unless the change has been clearly communicated and people held accountable for that change, it is not going to happen.* This has required a shift in the culture of a slow, deliberative, debating, collegiality found in most academic communities. This is not an easy task for them in that they recognize a lot of the strengths found in education come from slow deliberate discussion. At the same time, the focus is on continuing dialogue while at the same time moving the agenda along as well and making the changes needed to stay sharp and fresh in programs offered and in the methods those programs are delivered.

Dealing With Other Financial Issues

The University has recently been using constraint in the amount of tuition income it discounts to attract and retain students. It is the University's stated desire to see funded scholarships replace much of the tuition given away in the recruiting efforts. In one respondent's words,

*Our student tuition discount was about 30% and now we are down to 15%. We decided to decrease the discounts because we felt we were literally buying students. We didn't have to, so we began reducing that as a means of improving our situation financially.*

To that end, the endowment for the University has grown significantly over the last 10 to 12 years with much of the money going towards student scholarships. Additionally, funding from church partners is being used almost exclusively for student scholarships.
UMHB senses its accountability to its friends, donors, sponsors, alumni, and the society in which it serves. This accountability requires the school to be a faithful steward of all the resources entrusted to its care—personnel, students, finances, and what the school is as an educational institution. *I think that we have been very good stewards of our financial resources.* This focus has prompted change in the way new academic programs are assessed before they are commenced, during their implementation and in careful review if they are not succeeding in the way the plan suggested. Additional examples of this stewardship accountability include preparing conservative financial budgets, carefully maintaining a master plan for the campus to ensure the campus evolves in a controlled and maintainable way, and in the way funds are attracted into endowment programs to assure financial support in the future.

**Asking Friends for Help**

This was seen as a “secret weapon” by the institution in finding the resources needed to maintain and grow the University. *There are several business men in our area who are our secret weapon. That’s where I go to recruit my folks to work for me.* Almost all educational institutions have friends and alumni who have the resources to help and the desire to be of assistance. But many times help is not given because no one asks for it. It was also noted that many of the large donations that funded the major portion of a building on campus came from people totally unrelated to the school or having any other direct contact or interaction with it. This has led to the development of many interactions between the University and its public in communicating its reason for being and the service the institution wants to have with the community.
Leaving Excess Revenue in the Budget

Another process used at UMHB to facilitate change is the determination to create financial budgets with excess revenue to deal with emergent or unplanned changes. *I have learned that if you can depend on having some excess revenue in your budget, you can cover yourself to some extent for unplanned challenges, obstacles, or problems.* The institution believes there have been many times a change was needed quickly and excess revenue provided it with the opportunity to make the changes or meet the emergency at hand. Examples would include major equipment or infrastructure failures, and being able to take advantage of opportunities for new programs and services.

Documenting Significant Decisions

Documenting decisions on campus was seen as a major weakness in UMHB’s past history. Committees did their work, but since no one took the time to document the decisions, it was easy to find the committee trying to remember what had been decided about this or that. Also, the broader campus community was not informed of decisions that affected their areas of responsibility and therefore the decision was not as effective as it could have been. *All these things are documented now, minutes are taken, President’s Council minutes are even published on the intranet.* UMHB has found that documenting decisions via taking minutes, distributing the minutes or even publishing on their intranet, the committee process is tighter, change happens quicker and more smoothly, and faculty and staff feel included in the process.
Conclusions

The data from the interviews at the University of Mary Hardin-Baylor reveal a campus culture that is in the process of adapting to change. This has been accomplished by leadership who has incorporated elements of Kotter's (1996) conceptual framework including creating a sense of urgency, building a guiding coalition, using good communication skills, etc. The administrators interviewed would certainly be uncomfortable in stating they have found the way to make change happen, but their performance over the last 5 years and the processes documented during my study indicate they are well on their way to facing whatever challenges the Information Age will bring.

Under the process of Enhancing Academic Delivery, they are harnessing the power of technology in their classrooms, experimenting with distance education, and making significant changes to the structure of their academic units to assist in upgrading the curriculum and streamlining students through their academic pursuits. They are challenging the role of their faculty in their classroom delivery, asking the faculty to revise the core curriculum and integrating faith and learning in the classroom.

The campus is very intentional about recruiting students to live on campus and to ensure that the students enjoy that life. This includes enhancing sports programs, improving campus housing and food service options, and paying attention to students’ personal lives by creating a living and learning environment.

This university has a long history of change. It has a deeply embedded culture of change established over the years as they have needed to modify and relocate the institution. This change culture is demonstrated by excellent planning processes, the ability to make tough choices in its academic curriculum, visionary leadership and assurances to students that
not only will they receive a good education on their campus, but they also will have an enjoyable experience at the same time.
CHAPTER 5

MOUNT SAINT MARY COLLEGE

History

Mount Saint Mary College (MSMC) was founded in 1882 by an Order of Dominican nuns. The Order itself dates back to 1206 as the Santo Dominigo de Guzman’s Order at Notre Dame de Prouille, France. The convent was started by a successor of Saint Dominic, the Blessed Jordan of Saxony in 1233. This convent sent the first Dominican sisters to America who in turn founded MSMC in Newburgh, New York, on the banks of the Hudson River. (This history was excerpted from an undated, untitled document written by the 25th Anniversary Committee of Mount Saint Mary College chaired by Mrs. Maureen Mack. I am grateful to the college for providing this document.)

The educational entity was originally called Mount Saint Mary Academy and was limited to religious, a term for priests and nuns who have made a lifetime commitment to service. Classes were held in the original mansion located on seven acres of property. In 1913, a neighboring estate consisting of a mansion and 48 acres was purchased. Around this time the Motherhouse for the Dominican Order was moved from New York City to Mount Saint Mary and a new academy building was constructed in 1927.

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In 1934 the Commissioner of Education for the State of New York granted approval for the then Mount Saint Mary Normal and Training School to issue teacher's certificates after a 3-year training period. These certificates would allow the sisters to teach in any school in New York. It also allowed the certificated students to enroll in any college to complete work on an undergraduate degree. In 1955 the Board of Regents of the University of New York granted a provisional charter to grant an Associate in Arts degree upon the completion of a 3-year curriculum. In 1959 and in 1962 the charter of the school was amended further on a provisional basis. During this period, in 1960, the Order authorized the training of the first lay women. Finally, in 1965, the institution obtained a permanent charter and was authorized to grant Bachelor of Arts and Bachelor of Science degrees in Education and an Associate of Arts degree in nursing.

The Changing 60s

The 1960s proved to be significant years for the Catholic Church in general by the calling of the Second Vatican Council by Pope John XXIII and continued by Pope Paul VI. Changes from this council affected not only the liturgy of the church but also the attitudes of Catholics in adopting the religious life, and many religious left their lifetime commitments for other secular pursuits. Civil rights issues found in the general society of the United States in those days arrived in the form of riots in Newburgh. Coupled with that were protests against the Vietnam War.

All these events affected the lives of the students and faculty at MSMC. This was evidenced by changes in the dress code where miniskirts were allowed but pants were not. It also was seen in the new habits or even secular dress worn by the nuns by the early
1970s. Students from the campus participated in forums, calling for reform in the slums and lives of the disadvantaged in their community as well as in protests against the War.

In 1968, the campus received its first full accreditation from the Middle States Association—no small feat since this was only 3 years since it had received its permanent charter from the State of New York. The accreditation committee noted in its report that the students appeared wholesome, well-groomed, and that they spoke with clarity and freedom about their lives and aspirations. In 1968, the college also adopted a coeducational status as a service to the community, but had only one male student that year.

The Challenging 70s

Financial pressures marked the beginning of the new decade. The college reached out to its community for financial assistance, but the real help came in 1972 from federal and state sources. These funds came from Educational Opportunity grants and from what would be called Bundy money from the State of New York. Bundy money was named after McGeorge Bundy, President of the Ford Foundation, who was asked by Nelson Rockefeller, governor of New York, to look at funding of private education in the state. The recommendation from Mr. Bundy’s study was state money could be used to assist private education provided the university was independent. Mount Saint Mary College was denied money originally under the program but proceeded to declare its independence and has received funding ever since. There were numerous discussions on campus as to whether a school started by nuns may call itself independent.
Following this development the college elected its first lay President in 1972. Dr. William O’Hara, a well-qualified educator, assumed this post until 1976 when Sr. Ann Sakac was elected President—a post she has held since then. The other major development during the 1970s was a gradual increase in the number of male students, but that number reached only 158 out of 1,072 students by 1979. The ratio of male to female students would not increase substantially until NCAA Division III sports were instituted in the 1980s (25th Anniversary Committee, n.d.).

Mount Saint Mary College Today

Mount Saint Mary College today calls itself a private, independent, 4-year liberal arts college. It has a student body of over 2,600 with a student teacher ratio of 18:1. It offers degrees in over 50 undergraduate programs as well as Master’s degrees in Education, Business Administration, and Nursing. Approximately 50% of the student body and faculty are from the Catholic faith (Mount Saint Mary College, 2006).

Role of Leadership in Establishing Processes

I interviewed the President, the Vice-President for Academic Affairs, the Vice-President for Finance and the President of the Faculty Senate. In this section I introduce the interviews and describe how this leadership team is impacting change processes at MSMC. It was significant that in the interviews all 8 steps of Kotter’s conceptual framework are being used in these change processes although an individual change process was not traced from beginning to end. In the remainder of this chapter, change processes being implemented are identified and discussed.
In the interview with the President it was noted that she was not referred to as Doctor, as you would normally address a college president. She simply wanted to be addressed as Sister. This was an acknowledgement of her role as a religious, someone who has given their life in a total commitment to service with a vow of poverty. Her office on the third floor of "The Villa" was simple but elegant.

It was quickly noted in the interview that she was a humble yet very professional educator. She spoke with earnestness about the college and its role in today’s society. She appeared to be an educator first and a reluctant administrator second. At the same time, she recognized well her role as the leader and was serious about fulfilling that role appropriately.

When we spoke about the role of the Order and the religious still affiliated with the college, there was an acknowledgement about the values of the Order and the general influence of the Catholic church over the school’s culture. There was one wistful comment about a decline in the number of religious in the Order indicating in today’s society there are many other areas of service for pious Catholic women without having to make the total commitment to service membership in the Order would require.

In the interview with the Vice-President for Academic Affairs it was noted that she was relatively new, a layperson not of the Catholic faith, and a professional educator. She had recently filled the position vacated by a retiring religious. This appeared to be the trend at the college with the few religious that still worked at the college being replaced with laypersons. The conversation was comfortable, engaging, and informative. The passion for operating a college of distinction was clearly communicated.
The interview with the Vice-President for Finance noted once again, this individual was not of the Catholic faith, and had been on the job less than three years. He had a teaching and business background. His perspective was appropriately from the financial and brick and mortar perspective. Valuable insights were shared about tying together an institution with a rich heritage from the Order but with the business realities of competing in today's educational environment.

The interview with the President of the Faculty Senate was intentionally seeking a perspective from a faculty viewpoint. Included in the conversation were many remarks about the challenges in teaching contemporary college-level students. She was also a layperson but had a great passion about training future educators in the Education Department.

The sense of urgency at MSMC rests largely on its recognition of its possible mortality as an institution. It is a relatively young institution and has seen many of its competing colleges and universities go out of business over its short history. In its marketplace it sees many demographic changes taking place. As one interviewee noted about a consultant who had advised their institution, *He also talked about the changes this ethnic and demographic shift will create. I don't think we are prepared to address that.* This creates an urgency that focuses the college on changing its core curriculum.

The school has two committees that serve as the guiding coalition for creating change. They are the long-range planning committee and the strategic initiative committee. Both of these advise the Administrative council. With representation from all campus constituencies on each committee, there is good communication flow up and back as changes are considered and implemented.
The development of a vision and strategy begins with leadership and then quickly is communicated throughout the campus. Faculty members are involved early in the process and continue to give input on ongoing implementation issues through their faculty senate. The Board of Trustees also has a long-range planning committee that interacts with campus committees on plan design, scope, and implementation.

Leadership is in constant communication with the campus and external constituencies regarding change. The collaborative process is very important to everyone in assuring the campus moves together in change processes. It is acknowledged that all the conversations may slow down change, but the respondents believe it is more important to be together than to be quick. A good example of this is in regard to the major change process involved in changing the core curriculum. This is a process that has been going on for over four years.

Empowering broad-based action is seen in the following quote, *I said to the chairs, look, you are the folks responsible for ensuring that these things are done.* In addition, the campus decision-making process is done in a multi-step process that holds each other accountable for taking the appropriate action on each step.

The strategic initiative program is one of the best examples of how MSMC leadership generates short-term wins to give credibility to major change initiatives. The decision to hire professional support personnel for the dormitories added significant credibility to the desire to improve overall on-campus housing satisfaction. Remodeling facilities, building new dorms, and allowing for alternate housing arrangements for junior and senior students are other examples of the short-term wins.
Leadership is well aware of the need to consolidate gains and produce more change. *I just pursued it, the Faculty Senate passed it, and we have been doing it ever since. Parents thanked us,* was one quote in regard to the administration of screening tests for incoming students to determine their skill levels in performing college-level work.

Once again, the relatively young age of the institution has helped in creating a culture of change. As one interviewee noted, *I think we are young enough that we are still adapting to all of that* [change]. The institution has experienced rather remarkable changes over its short history and appears to have always had a change culture in place.

Leadership was asked about the church-relatedness of the college and its effect on the college being able to change, either from a positive aspect or a negative one, the answer from all participants was that there is no effect. The Board, and the required 20% representation required from the Order, is very encouraging and supportive of administration in making whatever changes were needed to help the college survive and flourish. There is little, if any, financial assistance given by the Order or the Catholic church. Additionally, some of the discussions the Catholic church has raised over the last few years regarding what it means to be a Catholic educational institution have had little effect on MSMC.

In summary, leadership is facilitating all the steps Kotter talked about as being necessary to lead significant change. The most obvious of those steps was seen in the sense of urgency to keep the college relevant in today's educational world and in their ability to anchor their institution in a culture of change to maintain that relevancy.
Enhancing Academic Delivery

The first main theme of change processes coming from the data relates to academic programs and methodologies changing to meet the needs of the Information Age. The principal change agent in this theme came from technology—most notably the campus-wide wireless network along with laptop computers given to all faculty to use in their instructional delivery. Also using technology, the college is experimenting with forms of distance education, and is addressing the core curriculum for relevance today in differentiating the college from its competitors and in providing a meaningful liberal arts education. Finally, global issues related to a shrinking world were discussed, how globalization is affecting the academic curriculum and its delivery methodologies, and the importance of integrating faith and learning.

Embedding Technology

The college has been cognizant for some time about the need to use technology in its instructional processes. Being located in the Hudson Valley, a major region for the International Business Machines Corporation and many of its manufacturing facilities for many years, the college obtained the services of a consultant to assist them in directing resources to appropriate technology. In their words,

*In 1997 we brought in a consultant to review what we had done with technology knowing it was not enough. The consultant led us down a different road, the wireless network. We were one of the first institutions to install the wireless network throughout the campus and we were actually written up in the New York Times.*

All the participants in the interviews talked about their campus-wide wireless technology. Coupled with laptop computers given to the faculty, they are continuing an
experiment in imbedding this technology into their academic delivery. The last step in
the installation of campus-wide technology is in equipping classrooms to be what they
call “smart classrooms.” This definition includes a docking station for the faculty person
to hook up their laptop to a projection device to project whatever is on the laptop.
Delivery is limited mainly to PowerPoint presentations and some internet look-up of
various topics and subject matter.

The quote from the interview also reflects an acknowledgment that traditional
academic delivery methodologies were not seen as doing enough to keep up with the
changes in the Information Age. *In 1997 we brought in a consultant to review what we
had done with technology, knowing it was not enough*, suggests the struggle the
institution was going through in 1997, and the struggle continues today.

Experimenting With Distance Education

*We do some distance education although we don’t do a lot of it.* The college has
been reaching out to its community to provide adult education and facilitating students’
busy schedules with some online instruction. This alternative to classroom delivery is
being used more and more in the school’s Master’s programs. Because students have
shown reluctance to use this form of education, a hybrid online/classroom methodology is
used for the majority of “online” classes.

The college also believes strongly in the typical classroom exchange of ideas
between faculty and students and between students themselves and is therefore reluctant
to pursue significant distance education on the undergraduate level—especially in the
freshmen and sophomore courses. But change is coming even at that level. In the
Education Department, freshmen students, in their first course in their major field, are exposed to online instruction and are required to complete some classwork assignments online.

Revising the Core Curriculum

The President has felt for over a decade that the core general education curriculum needs to be updated. This need is expressed as a way to differentiate the college from any other college or university. They also want MSMC’s overall philosophy of what is meant by a liberal arts degree to be shown through the core: I told them that I saw nothing that differentiated Mount Saint Mary from the State University in Newport. . . . I believe there should be something in that core that is unique to Mount Saint Mary.

Another reason cited as a need for this change is to assure the college underclassmen receive all the fundamental skills needed to complete upper division courses. I know that in many courses, faculty members are disappointed with the basic skills of their students. Those skills were defined to include reading, writing, and critical thinking. Merely taking a group of required courses to qualify their degree as “liberal arts” needs updating. It was noted that knowing the rules of grammar, memorizing facts from history, and being able to calculate formulas in algebra does not indicate students have mastered the basic skills of reading effectively, writing clearly and succinctly, and being able to critically determine what is truly relevant in the mass of information they are increasingly being exposed to via the internet.
Opening, Reviewing, and Closing Programs

In the fall . . . strategic funding proposals are solicited from all over campus with the idea that the operational budget needs to remain static and if you want to do something different and you see a need that has emerged, . . . you should write a strategic funding proposal and this is how you could increase your budget and do something different.

The college has established a very detailed and relatively sophisticated process for planning. Before new programs or services can be contemplated, a conscious effort is made to assure the new program or service will not only make its own positive contribution but also directly contribute to the achievement of the overall goals for the college. These proposals then have to compete with other strategic initiatives for funding. Accordingly, departments go through a great deal of effort in their proposals to compete successfully for very limited funding.

At the end of each school year an annual report is produced by each department. The report goes to the Vice-President for that area and to the Institutional Research department. Institutional research is responsible for assuring there is appropriate staffing for each department in the next year. In effect, the annual report, looking back 5 years and looking forward 3 years, helps in the strategic management process. So the strategic priorities and goals are supposed to be responsive to the change that's taking place on a year-to-year basis which comes out of this analysis . . . and ends with setting new priorities.

By their own acknowledgment, closing a program or service is one of the hardest things for academic communities to do. When you put significant
effort into the creation of a program, including the recruitment of faculty and students, it is difficult to say good-bye.

*We dropped one of the programs that we introduced with one of the Title III grants that was an institution-based laboratory technology program and we kept that going only for a few years. It just didn't pick up and it is hard to do [close the program] because you have committed so much time and resources to it.*

The process followed at MSMC is for the department in its annual report to begin to recognize when a program is undersubscribed by its students. After further analysis on why the program is not flourishing, or if there does not appear to be a sustainable action that can be taken to make it work, a decision sometimes has to be made to “let go.” The hard reality is when operating with such limited resources, the college has to make every dollar count.

**Thinking Critically**

MSMC is struggling with one of the very issues theorists have been telling colleges and universities to deal with. Employers are not looking for employees with the ability to maintain large amounts of data in their heads but to have the ability to think critically of patterns in the data and the relevance of information at hand when making decisions. In recognition of this, one participant stated,

*We have seen very poor, non-critical thinking. It is all about facts, facts, facts. All this stuff is in my head, . . . can I analyze, can I synthesize, can I really use it and apply it? How can I just move beyond “I have all this stuff in my head”? . . . With that kind of knowledge you can go on Jeopardy and it's good enough. But it doesn't get you too far in life.*
The college recognizes the impossibility of every student accumulating data as fast as the Information Age can discover and disseminate it. It wants to give its students the ability to know where to find the data and then how to use it appropriately.

Recognizing Global and Diversity Challenges

I don’t know whether we are fully prepared for the type of global education that our students need. I was down in Washington last week at two conferences. The conference for Independent Colleges had a speaker who was a futurologist. He spoke about enrollment trends and the different cultures that are going to make up enrollment 25 years down the road, 30 years down the road, etc. He also talked about the change this ethnic and demographic shift will create. I don’t think we are prepared to address that from a curriculum standpoint. We are attempting to but I don’t think that we are there yet and that bothers me because I see a change even in our student population. . . . I don’t think that we are preparing our students sufficiently both in their curriculum and in their interpersonal growth areas. That’s something we have to begin to plan for better than we are now.

The speaker is addressing several different themes, but they relate to an ongoing search by the college to reach out to new and different students coming from demographic shifts in the country. Additionally, these new students, as well as the existing students, will be working in a more globalized world that is getting smaller and smaller as the internet and other technologies break down barriers for open communication and trade worldwide. This is also seen as another reason for changing the core curriculum to make certain these issues are adequately addressed in meeting the needs of these students.
Challenging the Fundamental Role of the Faculty

The change processes occurring on campus, related to the fundamental role of the faculty, revolve around acceptance by the faculty of new technology, changes to the core curriculum, changes in the culture of the institution as the religious are being replaced with laypersons, and in maximizing the value of faculty meetings. There was also an acknowledgment that faculty members are very slow to accept change, and therefore a major effort by leadership at the college is to encourage a greater culture of change. On the other side of the coin, there was a passionate commitment to continue the process of continuous dialogue until there was agreement among the faculty before changes occur.

Reviewing Fundamental Faculty Roles

The college is attempting to see the fundamental role of the faculty change from full-time traditional classroom teaching to an increased use of technology including online instruction. Additionally, there is a felt need for faculty to obtain release time for research and scholarship. One of the things that I see is part of the evolutionary process of the institution is trying to raise those qualifications particularly in the area of scholarship in terms of research and publication.

The college is putting resources behind this goal in the form of faculty development grants. These grants, provided through a competitive application process, are given to provide replacement contract faculty while the grantee participates in some form of scholarly research and other types of promotion-enhancing activities. The concept was difficult in gaining acceptance initially, but participation in these grants grew significantly over the last year.
Revising the Core–Faculty Roles

The interviews revealed a degree of struggle within the faculty on the issue of changing the core curriculum. As one interviewee suggested,

_We did a huge, huge survey last year and one of the things that they found was that faculty really do see a need for change. So we are all in agreement that we need to change. How to change is the sticking point._

It was mentioned that some of the resistance to this change is coming from faculty concerns over what the new core is doing in differentiating the college from its competitors. Other faculty concerns are being expressed over their specific specialties appearing to be decreasing in importance if courses they teach are taken out of the core or placed in a diminished level of importance.

An additional principle reason for the internal struggle regarding updating the core has to do with the college’s challenge in maintaining identity with its Catholic heritage, the influence of the Order, and yet maintain its independence at the same time. It further wants to do all the above and remain a center for excellence in higher education. Therefore, the intensity of the struggle and the amount of time they have spent on this issue (this is the second time they have attempted to change the core—the first effort ended without significant changes) may not just be a faculty discussion problem but a larger organizational process that needs further guidance from administration and the Board.

Changing Cultures Due to Turnover

_I see change with a turnover in people—a combination of different administrators coming into positions and also new faculty coming into_
positions who are younger, fresher out graduate school and so forth. I see more opportunity for change.

This change, which was also mentioned at the two other universities in the study, is even more remarkable at MSMC. The change in culture comes from retiring religious who are being replaced with professional lay persons, many of whom are aligned with the mission of the school and the values of the Dominican Order but are not of the Catholic faith. While the younger, “fresher” faculty may create an increased opportunity for change, will the institutional culture change in ways to the point where the values and ethics provided by the Dominican Order will no longer be seen or felt important?

Enriching Faculty Meetings

In the interviews, it was clearly indicated that faculty are the most change-resistant group on campus. This resistance is being minimized at MSMC by effective use of regular faculty meetings chaired by the President. In these meetings, issues are discussed that have already been through several committees of which the faculty are members, through the faculty senate, which reviews all the work done by the committees, and then discussed again in the faculty meetings. In these meetings, there is always time allowed for addressing “Other Items” that the faculty may want to have discussed. In the academic arena, it is believed that where there is discussion, learning is taking place. When the discussion ends, learning stops. Therefore the college provides many forums for faculty discussion including standing and ad hoc committees, faculty senate, and faculty meetings.
Integrating Faith and Learning

The interviews repeatedly referred to the college's emphasis on the values and heritage of the Order and the importance of having graduates of their institution reflect those values. There is no effort to evangelize non-Catholic students to become Catholics nor even to require attendance at religious services such as mass. But at the same time, there is a recognition that the combination of basic Judeo-Christian values with the academic curriculum is important.

This integration of faith and learning is also seen in many comments related to ethical behavior of students. The faculty members are concerned about the integrity of students' work product due to the temptation to use the internet for completing assignments without giving credit to those electronic sources. Also included were comments about the importance of having students learn to take responsibility for their lives and actions. This learning is part of the responsibility of the faculty as they stand before their classes day by day.

Improving Student Life on Campus

A visitor to the MSMC campus today can readily see the college takes great pride in promoting excellence in student life on campus. The most visible evidence is the new dormitory for women, which looks like it was styled after a Sheraton hotel. The fine arts auditorium, large recreational center, athletic fields, etc., also bear witness to the same. Marketing materials proudly proclaim the beautiful setting of the campus on the banks of the Hudson River (Mount Saint Mary College, 2006).
Likewise, in the interviews, the participants went to great lengths to continue this theme. Within the theme are sub-themes regarding sports, technology, fine arts, student success services, refined recruiting methodologies, and anecdotes about special personal attention given to every student. It was stated more than once that the Mount (as respondents like to refer to the school) wants to assure students they will not only get an excellent education based on the values and ethics of the Dominican Order but also they will have fun.

Enhancing Campus Life

_We are also successful because we want to stay relevant, modern and up-to-date and will spend significant sums to stay that way. The implementation of sophisticated technology from our wireless infrastructure; our ongoing study on revising the core curriculum; building modern dormitories; are all examples of this. We want our students to know they are getting the best and most up-to-date education in today’s world environment._

The college is spending significant dollars to attract on-campus students from within a 3-hour drive of the campus. It is building new residence halls and completely renovating the others. On-campus housing is offered in secure dormitories for freshmen and sophomore students and a somewhat more liberalized housing arrangement in coeducational apartment-style accommodations for upperclassmen. There is an on-campus auditorium for fine arts programs and a large recreation hall for general recreation. There was a stated awareness that the successful future of the school hangs equally between good academics and a fun campus experience.
Expanding Sports

NCAA Division III sports were added in the early 1980s and have expanded since then. Today the college offers 11 different sports programs for men and women. *I always have pressure to add other sports, particularly from the athletic department, because I think that they are just interested in adding other sports.*

The admissions people are asking for permission to specifically add football which they believe will not only assist in recruiting efforts (especially for men) but will also add to school spirit. They also believe this additional sport will definitively tell the world the institution is a serious coeducational institution committed to everything prospective students want to see in an enjoyable campus experience. In addition to competitive sports, the school has invested heavily in a large recreation center for all students to take advantage of recreational sports and other wellness and fitness programs and activities.

Recruiting and Retention

The college has recently had a downturn in enrollment due to several factors. Included in those recognized factors was a need to coordinate better the entire enrollment process including financial aid, registration, and recruitment. One of the respondents noted,

> *We also needed better coordination between recruiting, finance, registration, and financial aid functions. So a recommendation was made that we hire a dean or vice president of enrollment management.*

Accordingly, the President decided to hire a Dean of Enrollment Management. The search process for this position took longer than anticipated and in the meantime a
recruitment coordination committee was formed to work in place of this new administrative position. Recruitment efforts were also bolstered recently by the campus allowing all the strategic initiative money for 1 year to be used for additional scholarships.

The college has developed an excellent methodology to determine why prospective students did not choose them.

*We listen to prospective students and their parents. We also try to engage the students who decide not to come here to find out why they didn’t come. This is done mainly by the admissions people who annually complete a regular survey of those reasons. The admissions people write up the results of their survey and present the findings to the President’s Council.*

In these reports, the college can learn of its strategic strengths and weaknesses. By acting on those issues, the college constantly realigns itself with its desired customer base to make future recruiting efforts more successful.

Like the two other institutions in the study, MSMC is completely aware of the fact that students will leave during their college experience.

*You can grow your student population by a lot of new students but you have to pay attention to both doors—the front door and the back. You can greatly enhance your overall enrollment if you pay better attention to the back door and decrease that amount of traffic by serving your students better.*

These “back door” losses are minimized with student success programs that help to identify students with challenges either in classwork or in general campus life, especially in their freshmen and early sophomore years. Also, the college talks to students before and after they leave to find out why students may leave.
However, MSMC is very different from the other schools in this study in that the retention issue was also focused on upperclassmen. Their findings showed students were leaving for campuses with more liberalized campus housing arrangements. Therefore, there is a new emphasis to allow upperclassmen to enjoy greater on-campus privileges in housing and supervision.

Transferring Students

*But another challenge is the desire to transfer credits from other institutions—especially public community colleges. I mean education has gotten so expensive that so many families out there are trying to look at ways in which they can save money. So there is a big push for students to bring credits in.*

The college acknowledges the need to make transfers of students from other schools as easy and efficient as possible. The ability to transfer credits for college work already completed can make the difference between coming to the new school or not. But after accepting many of these transfer credits, the college was recognizing that students did not appear to have the necessary skills for their college work provided by these credits.

What they have found is that there was a change in the way academic credit is earned by prospective students. On many transcripts, the credit being transferred was granted by a local community college and looked appropriate. But later it was determined a local high school had developed an affiliation with its community college to teach college level courses in the high school. However, the transcript showed this credit as being from the community college.
To determine the quality of those transfer credits, students are being asked to take a screening test to determine their level of aptitude in the subject matter. Starting this screening process was debated significantly on campus before it was implemented. However, the process appears to be working in spite of those concerns as noted in one comment made during the interviews,

_We have been doing it ever sense and in fact those first few years that we instituted it, the parents thanked us for doing it because the way in which we presented it is that this is going to help us put your son or your daughter into the right class. We don't want them to fail, we want to help them._

Inclusiveness in the Recruitment of Faculty and Students

_There is great intentionality in having students live on campus and be educated with the Judeo-Christian traditions of the Dominican Order. But that is very liberally applied and we are very inclusive on the students we accept._

In the recruitment of faculty and even administration, the college does not rely exclusively on members of the Catholic faith. Instead there is an emphasis on employees and students understanding the values handed down by the Dominican Order, and if you agree to live by those values and share them with others, you are welcomed into the community. This inclusiveness is seen as one of the strengths of the college in attracting qualified faculty and students who share those values but come from different faiths.

Improving the Reputation and Stakeholder Expectations

_I think the administration, faculty and staff really care about what we are doing. They work with a passion about who we are and what we are trying to accomplish. We care about students being well educated. We care about students growing up and maturing while they are here to be people of integrity and honor. We don't want a graduate to become the CEO of a major company and then cheat the shareholders._
From the President on down, there is a conscious effort to clearly define why the institution exists and the great care taken to protect its reputation. Additionally, one of the retired nuns who previously worked in an administrative position is working on increasing the emphasis on the traditions of the Dominican Order in their marketing materials. They are proud of their graduates and their lives of service.

Additionally, the college recognizes the need to meet the expectations of their stakeholders. *When parents come to the Mount . . . they see this as a safe and protective environment, particularly for their daughters, but also of their sons.*

At the same time, respondents clearly see the need to be projecting who they are and why they exist. The balance between these two realities provides them with the focus they need in changing appropriately to maintain their mission and sense of being while at the same time remaining relevant and attractive to the students they are attempting to recruit to their campus.

**Implementing Planning and Other Financial Issues**

The college has witnessed the decline and closing of several other colleges and universities founded approximately the same time it was in the early 1960s. Today, it is the only 4-year educational institution in the county. The college takes its survival very seriously as evidenced by comments that attribute a major reason for action being to assure the college has a future.

Therefore the college has engaged in significant planning processes to look into the future and to control its destiny by focusing on goals to achieve its vision. This
section will discuss many of the sub-themes in this strategic and financial planning process.

Strategic Planning

*We have a long-range plan that was just modified in 2005. Administration has a long-range planning committee and the Board of Trustees has a committee, and those committees worked together to produce the final document. So I would think that document [the long-range plan] would be a good starting point to see where trustees are interested in change.*

The campus has worked hard with the Board of Trustees to develop a long-range strategic plan. While the plan looks down the road 5 years, each academic and service department has to provide an annual report to document how it has achieved its short-term goals and aided the overall college in achieving its goals. The process is further made dynamic by the addition of the Analytic Studies Committee, which seeks requests from all departments, academic and service, for strategic changes that may assist their specific area as well as the larger institution.

However, the planning process goes beyond just creating a one-time strategic plan. *So the strategic priorities and goals are supposed to be responsive to the change that's taking place on a year-to-year basis which comes out of the analysis that's done in the spring and ends with setting new strategic priorities.* The college has done an excellent job of going beyond merely establishing a strategic plan. It creates measurable short-term goals for each of the next 3 years which are evaluated annually. The past year's goals are evaluated and deemed either reached, are modified for the next year, or eliminated. Other short-term goals may be established that were not anticipated in prior years in order to achieve the overall strategic plan.
Dealing With Other Financial Issues

Unplanned changes will happen even in the best planned operation. An example was given of this phenomenon in one of the interviews.

An example of emergent change that I can think of in the immediate past history was when the State of New York changed the certification requirements for teachers. They stated that in 18 months the requirements would be changed.

An external agency rather quickly changed the certification requirements for teaching, and students in their educational process were faced with a deadline to complete their education under the old rules or get the additional education required under the new legislation. The college worked very hard to finish the degrees of students who could complete within the deadline of the old requirements and was successful with most of them.

To handle emergent changes, the campus is committed to live within its income and then a little less to allow for some level of excess funding to meet emerging needs and/or changes. This is found in the amount set aside for strategic initiatives but also in a surplus found in the bottom line from operations. When not needed for meeting emergent needs, the excess is set aside in a quasi-endowment to assure financial integrity in the future.

Another financial issue is tuition discounting. The college has held the discounts to a very low 11-12%, but that figure will probably be increasing by 1-2% in the near future as the college strives to be competitive with institutions that have much higher discounting practices. But even with a published student teacher ratio of 18:1 and an average class size of 21, the school believes discounts should be kept low.
in order to offer parents and students affordable tuition rates. Scholarships are not a significant part of the operation due to the almost non-existence of an endowment program to fund scholarships.

Controlling the Future

_The most significant focus for all change has been to assure that the school has a future._ The college recognizes the need to create change intentionally through a strategic long-range document in order to assure a future for the school they want to control. The college understands very well that unless this effort is made, emergent changes will be thrust upon them by their changing world and diminish the control they wish to maintain. The institution was created with very definite values, and there is great intent on maintaining those values.

Communicating

Part of good communication is listening. Clearly there is a good communication process whereby the President gets input from many different levels. At the same time she is listening, there is also conversation going on to ensure that the institution stays aware of the changes it needs to make and is moving on those issues. The results speak for themselves in the many change issues the college is dealing with on an ongoing basis. One interviewee noted, however, that many of the discussions held in the President’s Council would be more productive if minutes were kept and disseminated to the campus. Without those minutes, the process was just an informal conversation from which results were expected in one form or another. At the same time, the campus sees this President’s
Council as being a significant decision-making forum as opposed to being an informal advisory role.

The communication process is further enhanced by documenting decisions. *We keep minutes.* . . . Basically, *Faculty Senate is the last committee for any proposal that comes through the committee structure.* The description of what is happening in the Faculty Senate shows at least two forms of documentation are occurring. First, the original committee that took an action documents it and sends it to the Senate for review. The Senate then discusses the items and takes an appropriate action and documents that in its minutes. The college feels good change processes need to be documented to communicate to a broader audience the actions taken as well as to provide a history for the work done on a given matter.

**Strategic Initiative Funding**

*Every year, the planning team will send out to the college community, both, faculty and staff, a memo saying that if they wish to apply for strategic funding for a particular idea, they should submit a proposal to the planning team for funding, outside the regular operating budget, creative ideas that wouldn’t ordinarily be funded. Over the years, we have given approximately $175,000 - $200,000 annually just to strategic funding ideas. This funding could be made over a 3-year period to see how they would evolve. There have been good ideas that have come out of this process.*

This relatively small amount of the operating budget appears to have a disproportionate impact on change. In fact, it may demonstrate one of the best change processes used on their campus. These creative ideas on how to change and take delivery and service to a higher level have made profound changes to the campus. Notice this comment about projects that were started with strategic funds:
The need for change was already recognized. Years ago they introduced graduate programs and then they introduced an accelerated program, an evening program for adults, who want to get a bachelor's degree. Now all of these programs started out very small but have grown to be multimillion dollar revenue producers.

In recent years the amount of funding for strategic initiatives has increased to somewhere around $350,000 - $400,000 per year.

Conclusions

Data from the interviews, observations, and documents demonstrate that leadership at Mount Saint Mary College has done an effective job in creating a culture of change. This was noted in all four of the major groupings of change processes but possibly most clearly in processes related to embedding technology in academic delivery, creating special student housing arrangements to enhance the retention of students, and their funding of strategic initiatives through a competitive process.

This does not mean that all change processes come easily or quickly. The college has struggled with recruiting students, revising its core curriculum, and expanding sports programs. But the underlying change culture allows difficult decisions to be made in these areas while the discussion continues on how far to go in changing these areas.

The change processes in place on campus and the intentionality they put behind those processes are very impressive. Even though the overall academic and financial results have been superior to similar institutions of their size for many years, the leadership still talks about needing those results to assure their ability to survive. Maybe
there is great value in having a constant awareness of one’s mortality, even as an institution.
CHAPTER 6

CHARLESTON SOUTHERN UNIVERSITY

History and Introduction

Early Days

Charleston Southern University was originally organized as the Baptist College of Lower South Carolina (Associated Consultants in Education [ACE], 1964). Located approximately 10 miles west of downtown Charleston, it was intended to be a commuter college for students coming from the metropolitan Charleston area. It was planned to start as a junior college with five academic divisions: Communications, Humanities, Social Science, Biological Science, Physical Science and Mathematics, and a Department of Physical and Health Education.

In the Initial Planning Document, prepared by The Associated Consultants in Education dated February 1964, the projections were that the junior college would have approximately 300-400 students in the first year; within 4 years, after obtaining 4-year status, the enrollment would grow to 600-700 students and, by 1980, the estimated student population was expected to be around 1,000-1,200 students.

In reality, the Baptist College of Charleston, as it was known by 1980, had a student enrollment of nearly 1,600 students. The name of the institution was changed
again in 1990 to Charleston Southern University at the time it gained university status.

There was significant debate and dialogue over a year's time by a Blue Ribbon Committee with most of the debate centered on the deletion of "Baptist" from the name. Those supporting taking Baptist out wanted to make the institution appear more inclusive to the community and to distance the new university from the bad reputation the college had acquired in its adolescent years.

Charleston Southern University Today

The University has grown to approximately 3,000 students. This includes over 30 undergraduate and graduate academic programs, 35 student organizations, and 17 NCAA Division I athletic teams. The University has highly regarded programs in business, education, science, humanities, music, and religion. Master's degree programs are available in education, business, and criminal justice (CSU, 2006).

Even though the University has had significant challenges in its development, it has had remarkable stability in its leadership. The current president, only the second president since inception, has been at the University 22 years. The provost, retiring this year, has been at the University 30 years. Many other faculty and staff have over 15 years of service.

The University is closely aligned with the South Carolina Baptist Convention. It sees its primary market as the low country of South Carolina, referring to the coastal plain surrounding Charleston in the southeast corner of South Carolina. The majority of its students still come from the immediate metropolitan Charleston area, and it has used its
identity with this metropolitan area to create significant business support for fund-raising and for determining job market needs for its graduates.

One of the University's most pressing challenges is in regard to the students coming from South Carolina. The typical student is not as academically prepared as most students coming to colleges across the United States, and comes from a lower middle class family. The relatively low income status of these families creates what participants to the study recognized as its greatest need—the ability to provide significant tuition assistance to make attendance at a private college affordable. To partially alleviate these two challenges of inadequate academic preparation and lack of financial ability to attend, the University is looking for opportunities to expand its recruitment efforts out-of-state.

**Role of Leadership in Establishing Processes**

The leadership team that was interviewed at CSU consisted of the President, the Associate Provost, the Vice-President for Planning and Student Services, and the Vice-President for Finance. The interview with the President was very candid and open. The main focus of this interview came in the form of a personal story about his coming to the university and the incredible challenges he encountered at the beginning. He turned out to be a blend of educator and business person having had teaching, administration and business experience. He clearly had learned how to run his university as a business but have the sensitivities to keep his faculty involved and engaged.

The President of CSU came to the University in the early 1980s as only the second leader of the relatively new Baptist College of Charleston. The first leader was a minister-leader who had great vision and courage. But as the college grew in size and
complexity, his lack of experience in leading a college, or other significant business operation, began to take its toll. After 20 years of leadership and with the institution in considerable financial distress, the Board elected a new President.

The new President was confronted with enormous challenges. These were reflected in the general appearance of the campus. *Grass hadn’t been cut in 3 months. It was about 4 feet high. Garbage cans and dumpsters hadn’t been emptied in almost a month and a half. The campus was filthy.* However, the physical appearance was only a minor indication of the much more serious problems lying under the surface.

The finances of the college were in equally terrible shape. There was no cash, vendors had not been paid in full for as much as 7 years, the banks had loaned the college all the money they were interested in lending, retirement contributions for employees deducted from their payrolls totaling over half a million dollars had not been paid to the retirement company, and the buildings on campus were fully mortgaged with HUD loans on which the college was behind in its payments. The large chapel/auditorium on campus was under construction at that time and was approximately 55% complete. But there were no funds to complete the construction, and sub-contractors were owed over $300,000.

A decision was made to declare a financial exigency. The President, putting his business background to good use, immediately instituted a three-part plan. *The first part was to survive. The next was to create stability. . . . And then the third one was moving toward excellence.* Forty-three employees were immediately terminated and the community was activated to help put the college back on its feet. *We got the cost of doing business here down by getting people to cut the grass for free and people doing*
everything. We got [free] building supplies, we got all the material we needed, wherever we could find it.

Cash flow was partially restored by the President and his wife personally signing a note for $1.5 million dollars, a sum many times greater than their net worth. The local banker, a former acquaintance from North Carolina, told them, “I know you do not have the personal net worth to back this note but if you tell me you will pay it back, I know you will.” The personal note was cancelled sometime later when the Southern Baptist Convention in South Carolina put up $5 million dollars in an escrow account as collateral for the college to restructure its debts.

But the greatest miracle came in the form of 80 new students coming to the college the next fall. The local media from newspapers and television stations had been broadcasting for over a year about the potential demise of the college. But the Lord blessed the school, with most of the students returning and with 80 new students in tow. Now 80 new students will put a lot of cash on the table.

Slowly, but surely, the institution was put back on its feet. Fundraising efforts brought in new money, financial aid was cut back, and vendors were paid in full. With these efforts came a renewed confidence the school would survive. According to the informal conversation I had with a faculty person when I first arrived, when the 43 people lost their jobs in December, the rest of the faculty had their pay cut 10%. But the President promised them that if they would work with him he would restore as much of the pay cut as possible. By the end of the fiscal year, with the help of the community mentioned earlier and the hard work of the faculty and staff to reduce cash flow
expenditures, the entire pay cut was restored in the form of a bonus. This created an enormous amount of respect for the new leader.

An additional interview was with the Vice-President for Planning and Student Services, who had substituted himself in place of the President of the Faculty Senate. He was the point person on campus in setting up appointments with the other participants and helped to get an official letter to give permission to use their university in the study. His office was utilitarian but comfortable. The conversation was comfortable and he talked freely and openly about changes affecting the campus. Since he was in charge of planning, he took a real opportunity to give a big picture on how planning occurs and how changes are handled within that planning process.

The interview with the Associate Provost, sitting in for the Provost who was unavailable, was free and easy with answers to the questions definitely having a faculty and curriculum slant to them. It was noted in this interview the support which faculty members have given to a President intent on operating his institution as a business. There were indications of the struggle that can occur between faculty members operating from a value-based philosophy and the leadership team operating with that same philosophy but with an overlay of making certain there is a significant financial surplus each year.

The final interview was with the Vice-President for Finance. This lady was the "new kid on the block" having been at the university for only two years. This was in stark contrast to the other participants who had an average tenure at the University of 15 years or more. But her relative newness gave its own special perspective of life at the university and how she viewed changes happening on campus.
Leadership at CSU is very focused on change. The President’s background in business and the inclusion of a Vice-President for Planning and Student Activities help to provide and enforce this focus. But more than that, the entire culture of the campus has been formed over the last 20+ years to recognize the importance of change and the planning it takes to anticipate and meet the challenges related to change.

Related to Kotter’s conceptual framework, a sense of urgency has permeated the campus since its near brush with bankruptcy in the 1980s. The University has been financially successful for many years, but leadership is constantly calling everyone on campus to sharpen their focus and make certain every dollar spent makes a difference. A continual education process is underway in helping everyone understand how to reallocate resources to their greatest impact.

The University has a very large strategic planning committee with representatives from both on and off campus. This large committee serves as the guiding coalition for change that Kotter talks about in Step 2. However, the executive committee of the larger committee is actually responsible for making specific decisions as will be discussed later.

The University and its Board have developed a vision and a strategy. This is then focused in an operating plan and a separate master plan for facilities. The campus has developed strategic thinking in its culture, and that strategy is codified in these planning documents as a general guideline for managers on campus.

*I spoke at a thousand churches in this state, communicating the vision,* was a quote from one of the interviews. The communication process never stops—both on and off campus. There is a clear recognition that the customers and stakeholders the University serves have changing needs and expectations, and leadership is doing a good
job in identifying and communicating the changes needed to meet and exceed those expectations.

Leadership is intent on empowering all employees and others to be involved in making change happen. *We got the cost of doing business down by getting people doing everything for free*, was observed by one of the respondents. The use of “everything” was an exaggeration, but the emotion and intent are clear that resources are precious and everything being done needs to be viewed from a maximum utility basis.

Leadership recognizes the importance of generating short-term wins. *The operation began to get some respect, there was hope, they saw we had started to pay back our vendors, and the fourth year [of the change process] things got even better.* Another short-term win specifically mentioned was in the creation of online curriculum for the MBA program.

Under the caption of consolidating gains and producing more change, Kotter’s Step 7, the statement was made, *We are going to continually re-prioritize reality.* The change process is alive, functional, and ongoing.

The total operation is truly anchored in a change culture. *Planning on our campus is part of the culture. We recognize that everything we do relates to strategic planning.* This is not a new or passing phenomenon but one that has been in place for over 20 years.

In summary, the most impressive aspect of this campus is the way they have anchored change in the culture. Leadership never lets up on the need to constantly look for positive change. It is also an impressive example of how higher education can not only incorporate many business change processes that focus on financial results and other bottom line indicators but also be operated as a university. As with any institution of
higher education, this necessitates the support of the faculty. The support is evident but has come only with great intentionality and good, consistent communication.

Enhancing Academic Delivery

The most frequent answers, when asked what CSU is doing to meet the challenges of the Information Age, were in regard to the use of technology in academic delivery. One comment was, *Students are a lot more computer savvy. They relate better to technology. They expect technology.* Recognizing this need, the University applied for a Title III grant 5 years ago to help with increasing the use of technology on its campus. After 5 years the results are demonstrated by a campus-wide wireless network, laptop computers given to all faculty to use in their classrooms, upgrading classrooms to accommodate this technology-based instruction, and training for faculty and staff on how to benefit from the use of the new hardware and software.

Experimenting with Distance Education

Technology also opened the door for distance education. This was slow in coming to the campus, especially in undergraduate courses, because the University believed its mission was to provide classroom-based education in a relatively small university setting. They see value in direct interaction between faculty and the student and between students on a face-to-face basis. In one respondent’s words, *We also offer online courses. We know that there are some schools that go completely online, but that is not our mission.*

However, online instruction is beginning to create new beachheads in the school’s MBA program. The department began converting some of the courses in its program to
an online format a couple of years ago and have found broad based acceptance of them. It now plans on having the entire Master’s degree online within 5 years. The response has been so significant, other Master’s programs are investigating the possibilities as well.

Strategic Partnering

CSU is pursuing various affiliation programs. In one example, a technical school and another 4-year college wanted to collaborate with them in their criminal justice program. In the current arrangement, the technical school provides courses in the first 2 years of the program and CSU provides the last 2 years. The actual degree is a joint degree between the two schools. The 4-year institution, also in the same geographic area as the technical school, had a major in a related field but wanted to affiliate with CSU to allow its students to achieve a degree in criminal justice. Faculty from CSU travel to the community where these 2 institutions are located to teach the last 2 years to students from both institutions. A second type of affiliation is to assist in finding African-American faculty to provide a greater diversity in instruction for their campus. They were not successful in recruiting African-American faculty for their University so they contacted a Black university nearby and did a teacher exchange program. This was considered a success, and other similar affiliations will be attempted in the future.

Opening, Reviewing, and Closing Programs

CSU uses its formal planning processes to determine if a new program will be offered. Questions are asked such as,

After a year-long process or so we determine if there is a need for this new program. If so, how much will it cost? How much is it likely to
make? What is the impact on our strategic plan? What other resources and support services are needed?

The answers to these questions are provided in a formal planning document for opening the new program. But rather than just opening the program, even if all the answers appear to be positive, the idea has to compete with other strategic initiatives for funding in the next year’s budget.

Existing academic programs and service departments file annual reports with their Vice-President. In this annual report, data are collected for the previous 5 years to show past trends. Projections are made going 3 years forward. Results for the last year are compared to goals set for that year and variances are explained. If there appears to be a significant downtrend in a program or service, the campus is encouraged to reallocate funds used for that area to another use.

Revising the Core Curriculum

It was noted in the interviews that CSU is concerned with the globalization of the world and sees this phenomenon as a major reason for change to happen on its campus. As one interviewee stated, *One of the issues that I think any school is going to have to address is this increasing globalization. It is here. The world is getting smaller every day.* The feeling is as the world gets smaller, the competition for other educational opportunities closes in and takes customers (students) away. At the same time, the technology that is helping to hasten globalization is also helping to deal with it through the alternative delivery methodologies already discussed.

As another way of addressing these concerns, CSU is reevaluating its core curriculum. It is looking very closely at required courses to determine if they are truly
relevant for today's college level students. It is asking questions such as, *Is there value to a liberal arts education? Is it really preparing students for success in today's world? Are we looking at college from a utility viewpoint or from a life preparation standpoint?* These questions are very difficult to answer and in one respondent's own admission, *You are going to find different opinions on those questions even on this campus.*

**Reexamining the Fundamental Role of the Faculty**

The second major theme was reexamining the fundamental role of the faculty. In the interviews there were many comments related to the importance of getting the faculty to see their role as more than lecturing from the front of a classroom. One specific comment in this regard was, *In many cases, we have professors still teaching from the same yellowed notes that they taught 20-30 years ago. Shakespeare hasn't changed. But maybe the way of delivering Shakespeare should change.* The sub-themes touched on the needs of a globalized educational world, acceptance of alternative educational processes, the challenges of a changing culture both on and off campus, an improved integration of faith and learning, updating the core curriculum from a faculty perspective, and faculty participation in formal planning processes.

**Recognizing Globalization and Alternative Delivery**

*One of the issues that I think that any school is going to have to address is increasing globalization. It is here. The world is smaller every day.* CSU recognizes that the evolving internet and related search-engine technologies have dramatically changed the way information is being disseminated. Not long ago, colleges and
universities were seen as the primary repositories of information. Now anyone with a computer and internet access can find information on practically any subject in seconds.

The University recognized the need to upgrade the skills of its faculty and has worked diligently over the last 5 years to equip them and their classrooms with the latest wireless and smart classroom technologies. Training is being conducted to assist the faculty in better use of the technology. Other classroom systems such as Blackboard Learning Systems have been introduced in this regard.

There is a growing use of online instruction as a way to address the globalization issue and to retain a degree of control over students wanting to get their education in the convenience of their own homes and at a time convenient to them. *We also offer online courses*. . . . *We are at the beginning of that and we are going to gauge it and see how it goes.*

Changing Cultures Due to Turnover

CSU still has a preference in the hiring of faculty for members of the Baptist faith. But an almost equal amount of emphasis is placed on being evangelical Christians.

*We have people come work for us who want to be here because of other schools where they have worked, they could not use their faith. They could not share their faith. Their faith could not be brought to what they coached or what they taught.*

Respondents stressed in the interviews that there is certainly no anti-Baptist feelings on campus among the faculty. Instead, they celebrate their commonly held Christian beliefs and want to share those beliefs with their students.
The integration of faith and learning is very intentional. This is done in part by taking the students on study tours to international locations. As part of the tour, students participate in service opportunities to the communities where the tour is being conducted. When they return, they hold meetings on campus and share with the rest of the student body the life-changing experiences they have had. Hopefully we help them understand Colossians 3:17 that whatever you do . . . is preparation for a calling as opposed to just a job.

Another way the changing culture in the world they service is affecting them is in their review of the core curriculum. This is not an easy assignment for faculty as change here directly affects someone's course that may be deleted from the core or added to the core. But on the whole, there is agreement that change is in order. Just how to effect that change is another issue.

Faculty Participating in Formal Planning Processes

I was amazed at the level of acceptance by the faculty in change processes. This is especially true of their participation in formal planning processes. I would say the fact that we have limited funding with numerous requests causes us to get buy-in. . . . That helps us to have more of a team working together. Participants to the study stated explicitly that faculty buy-in was absolutely necessary for planning processes to work. But the matter-of-fact way they assumed everyone on campus readily buys into the planning process, including preparing annual reports for their departments, gave credence to this point.
Improving Campus Life for Students

There are many reasons for CSU to be proud of its campus. From the impressive entrance, the welcome center, and the relatively modern campus housing and recreation facilities, the school is putting its best foot forward to attract students. But leadership also will quickly tell you they are in a fierce competition for students. *Students are different and it has required us to be connected with the world better in terms of a global basis.* . . . *Whatever we are talking about is connected—there are no barriers on it.* This change in the competition for students from other educational facilities—public, private, and now online colleges and universities—increases the school's attentiveness to create an on-campus environment that will attract and retain students.

CSU's commitment to making the on-campus experience better is evidenced by the new coffee shop it is building adjacent to the library, renovations to the campus dining facilities, improved technology in dormitories via the wireless network, and improved sports facilities.

Expanding Sports

As part of the culture in the South, organized sports are an important part of college life. CSU has had NCAA Division I athletics from its inception. This level of NCAA activity allows for sports scholarships and competition with the best colleges and universities in the country. Because it is one of the smallest Division I schools in the country, CSU is very proud of the successes its teams have had at this competitive level.

But even in their sports programs, planning and the changes coming from good planning are evident.
Five years ago we decided to eliminate one of our men’s sports programs. We eliminated men’s soccer and that was done for both a gender equity issue and a financial issue. We used the money we would have spent on men’s soccer and put it back into another sport that we felt we could be more successful in.

The school has recently spent money over a 3-year period to improve its football stadium and now is focusing on building a new Convocation Center, doubling as a Student Center, complete with a new basketball arena and fitness center.

Recruiting/Retention

The University recognizes the challenges it has with students coming from South Carolina where public education is ranked as one of the lowest quality levels of all states. Eighty percent of our students are from South Carolina. So we are trying to go out-of-state to get more students because they are going to be better prepared generally. Fully, 15-20% of CSU’s students are accepted on a probationary basis and require some form of remedial coursework to get them up to a college level education standard. CSU sees itself as an opportunity school for these students because they probably would not be able to be admitted to other colleges and universities. The school is proud of the success it has documented in creating graduates out of these probationary students who are now excelling in their professions.

CSU also demonstrates a commitment to be as inclusive as possible in the recruitment of students and faculty from all faiths. One participant made a very salient point in this regard when he stated,

A lot of kids are coming from non-denominational churches these days. I think denominationalism in our country is changing and going to continue to change over time. I think you are going to see mainline denominations continue to shrink, whereas others will survive.
They also recognize these recruiting efforts—especially out-of-state—need to be supported by a strong reputation. During the last name change, dropping Baptist from their name, a stated objective in doing so was to start a new identity and reputation. CSU is in the final leg of the three part plan the President brought to the campus—excellence. One participant to the study stated, We overachieve in the classroom, we overachieve in services, we overachieve in sports. That is just the nature of our President, all of us, we are all overachievers. This penchant for excellence is reflected in an improved reputation supported by above-average enrollment trends, and other academic and financial data.

Implementing Formal Planning and Other Financial Issues

The number one topic covered in the interviews with all participants was formal planning. The President came to CSU as a formerly tenured professor of business and a Vice-Chancellor at the University of North Carolina. He also had experience in business and used both of these skill sets in his work for CSU. When talking about this culture of planning, one interviewee put it this way, We are serious, we’re all students of strategic planning. We believe in it, it is a process, it is very active, it is very current, it is ongoing. This section will describe that process, describe how this change culture occurred and discuss other related financial issues.

Strategic Planning Today

It's like a textbook. You have your mission, your vision, your goal, your objectives and all those are in institutional priority order. One of the most significant
contributions the current president has brought to the University is an obsession with strategic planning, constant measurement of current activities with the plan, and an ongoing strategic management to keep everyone focused on goals set in their planning. These processes happen on this campus due to the respect he has earned over 22 years, the transparency he insists on in the planning process, and his uncanny ability to keep the faculty in step with these “business processes.” They also happen as a result of the successes seen in the overall University operation due to this planning and the focus on meeting established goals.

This is also seen in the position of Vice-President for Planning and Student Services. This title is rarely seen on a campus of a relatively small university. Institutional research and assessment personnel report to this position in order to provide accurate and appropriate data to determine if goals are being met and to help refine the planning process for the future.

The strategic planning of looking as much as 5 to 10 years into the future is made real and practical by having it broken down into 1-year segments. Our strategic plan is a 1-year plan but we project 3 years forward but it is technically a 1-year plan. The emphasis is placed on the next year. Further, the plan becomes a constant renewing process when each completed year, with its attendant goals, is evaluated. Were the goals met? If not should they be rolled into the next year’s goals or discarded? A new year is added to the 3-year projections and therefore you end up with a rolling 3-year plan with the emphasis on meeting the next year’s goals.

The planning process is very participative with every department, both academic and service, turning in an annual planning document. The document looks back 5 years
to establish trends and looks forward 3 years. But once again, the emphasis is placed on making certain the requests and goals for the immediate next year are as accurate as possible.

We take the attitude that we have limited resources and we have few opportunities to bring people into the institution. We want to make sure that they are mission-oriented, that anything we are spending money on is hitting the target.

The campus is aware of the financial constraints facing it everyday. This point was emphasized over and over. With limited finances, every dollar “hit the target.” Another interviewee stated, We do not have a single dollar to waste on something that does not help us achieve our mission and objectives.

There is a strong commitment to account for the money entrusted to their care. I spoke at a thousand churches in this state. If you give us some money, I promise you that we will put every dime of it to Christian education. At the time this commitment was made the school was not seen as being appropriately accountable to its stakeholders in the way it had performed for many years. The changes resulting from this promise for increased accountability were not done merely to increase reputation but in recognition of the school’s overall stewardship responsibility in the handling of funds entrusted to its care for the furtherance of its mission.

It was noted in the interviews that it is a challenge for leadership to adequately communicate change and planning. The challenge is, you begin to hear yourself say the same thing over and over. As one interviewee stated,

You think that maybe you are the only person that gets it or the only person hearing this “song.” Maybe they are tired of hearing the song and it is time, well, I think it is time to refrain from singing the song a

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little bit. Maybe you put it to a different meter. Maybe you put it to a different arrangement.

Planning also appears to give CSU and its employees a feeling of control over their futures. *I would say that people accept the process because it is open. They are not excited about it—nobody wants change. They want more of what they have. They want something they can control.* This was stated somewhat differently from the other two schools in the study. But the bottom line is that planning and changing are accepted processes if participants can feel an increased sense of controlling their futures through them.

**Dealing With Other Financial Issues**

There were several other financial issues discussed in the interviews. The first was the University's relationship with business leaders in their community. *We have a Board of Visitors of about 350 business leaders across the southeast who pay $1,000 per year for 3 years minimum.* The University has drawn in their business community to financially support them via these 3-year commitments. The funds are given on an unrestricted basis, giving the university a great deal of latitude on how the funds will be spent. Additionally, these business friends are regularly surveyed for employment needs from the University.

The University also recognizes one of its greatest sources of funds comes from the reallocation of existing revenues. *A lot of this works because I have really been fortunate in teaching people how to reallocate funds. For many years we had no new money.* This is not an easy task as reallocation requires giving something up to free the funds to be used somewhere else. It takes continual encouragement from leadership to keep the
entire campus analyzing and assessing outcomes as well as considering alternative programs, delivery systems, or services to assure maximum value is received from each dollar spent.

The University also recognizes the importance to budget surplus revenues to deal with strategic initiatives and to deal with emergent changes. The strategic initiatives program works by every department on campus looking at opportunities for increased service or changes in services to more effectively meet their customers' needs. They then prepare proposals to compete for these limited funds. An executive committee of their strategic planning committee receives all the proposals, prioritizes them, and then funds as many projects as possible.

Excess revenue included in the annual budget is also seen as necessary to meet emergent needs. A recent example was the funding of needs coming from the self-study report done for the school's accreditation visit. The campus recognized that in order to meet the expectations of their visiting accrediting team and to be true to their own self-study, certain expenditures needed to be made right away. *I think the self-study tweaked the attention that it needed to be done. I think everyone knew it needed to be done but it was priority #47 – but now we have to get it done right away.*

The final issue discussed was in controlling tuition discounting. When asked about the single greatest concern about changes that needed to be made in the future, all participants responded similar to, *The number one challenge we have at our school is providing financial aid for worthy, needy students.* The participants believe a disproportionate share of students coming from South Carolina come from lower middle class families and therefore need help with tuition costs at a private school. At the same
time, they recognize they cannot just give tuition away. Therefore, they have placed a
great emphasis on raising funds for scholarships. The funds coming from their business
friends, mentioned above, are being applied to these scholarships as well as the funds
received each year from their church partner.

Conclusions

Charleston Southern University has a well-defined and implemented change
culture. Leadership has fully educated and reeducated the faculty and staff on the
importance of never becoming complacent about any facet of academic delivery and
campus life. The insistence that every decision be made in terms of reprioritizing from
what does not work to what does creates a culture that is fluid to change but never
relenting in looking for what works well.

The change processes that appear to have made the biggest difference over the
last 20 years in enhancing academic delivery are embedding technology, experimenting
with distance education, and strategic partnering with other colleges and universities. In
the area of improving campus life are the expansion of sports and improvements in
campus housing and food services. Financial processes are centered on reallocating
existing resources to create their greatest source of “new funds” to pay for strategic
initiatives.

CSU would make an excellent single case study on several different subjects.
One would be on the use of financial exigency. Very few institutions actually go this
route to free administration and their Boards from regular working policies’ constraints,
even in times of extreme crises. In recognition of the effective way in which it was done
at CSU, the President is seen as a specialist in this area and has consulted at over 100 other colleges in this and other areas of strategic planning.

The second subject area to explore is how the change culture has adjusted to allow the school to be “operated like a business.” The Provost is the visible leader on campus in engendering faculty support for planning and other business concepts. The faculty members admire the President for his business acumen and willingly follow his lead. They see in his leadership both a commitment to good business principles and to excellence in academics. No one loses sight of the fact they exist for education—hence their motto “Preparing Graduates—Transforming Lives.”

When asked why they felt the University has been such a success, the answer was always, *It is from the blessing of the Lord.* The statement suggests that even though great effort is made to do the right things in the right way and to make changes as needed, they do not view their success as being a result of those changes and change processes. Their success is seen as coming from the Lord.
CHAPTER 7

CROSS-CASE ANALYSIS

Introduction

The purpose of this study was to describe change processes in selected private institutions of higher education that are successful based on various academic and financial data. The following discussion shows that the data from the study support prior research and in turn suggest possible specific change processes that peer institutions may want to consider. This chapter provides a cross-case analysis of the three institutions studied, and is organized with two major sections: discussion of the findings and recommendations. The section on findings addresses the data from the interviews, observations, and other documents and then answers the research questions:

1. In what ways are selected successful private institutions of higher education responding to changes created by the shift to the Information Age?

2. How do these practices align with current change studies?

The Institutions

Institutions were selected for inclusion in the study using a purposive sampling technique. I intentionally wanted to study private institutions delivering between 60K
and 80K semester credits, equating roughly to enrollments between 2,000 and 3,000 students. The enrollments at the selected institutions averaged 2,700 students.

Next, potential institutions were sorted based on their academic and financial data for the last 5 years, and the top three were selected based on those criteria. An assumption was made that in order for these three institutions to be as apparently successful as they are that they have functioning change-management practices. Each institution was asked at the time initial contact was made to obtain their permission to be included in the study whether they had change-management practices in place. They all stated they did.

The final three institutions selected also had an unanticipated commonality in that they were all church-related. Two of the institutions are directly tied to the Baptist faith and the third institution has a strong Catholic heritage. Leadership interviewed at all three schools however did not feel that their religious affiliation or church-relatedness has any affect on their change processes. At the same time, all three schools talked about taking Christ into the classroom and thereby integrating faith and learning and the importance of acknowledging their stewardship relationship with God in the handling of resources. These themes seemed to indicate something in their heritage and culture may be influencing their responses to the Information Age.

The University of Mary Hardin-Baylor, located in Belton, Texas, has the longest history of the three institutions, going back to 1845. It has made the transition from being a premier women’s college to a full coeducational university over the last 30 years. It is part of the Texas General Baptist Convention, competing with several other Baptist universities in the state of Texas along with many other state and private institutions of higher education.
Mount Saint Mary College in Newburgh, New York, was founded by a religious order to train teachers and nurses. It was originally intended to educate only religious, a term used to describe individuals who have dedicated their lives to service in the church. Today, it is a coeducational college serving not only its immediate community but a larger constituency located within a 3-hour drive from campus. The school was fully accredited in 1964 and still views itself as a relatively young institution. Leadership has a distinct sense of mortality as an institution, being the only surviving 4-year college in the county. Leadership uses change management processes to assure their survival and not only is the college surviving but the data show it is prospering.

Charleston Southern University was originally intended by the South Carolina General Baptist Convention to serve as a community college for the greater Charleston metropolitan area. It is also a relatively new institution being founded in 1964. After surviving the possibility of closure just over 20 years ago, it has instituted strong change management processes to turn around the institution and make it one of the most successful institutions of higher education for institutions of its size. The University is currently recruiting students from not only the entire state of South Carolina but students from out of state as well.

All three institutions indicated that had very similar change processes and even more importantly had successfully developed change cultures to make change processes work effectively. This was done by leadership on each campus actively promoting the awareness of change and appearing to follow John Kotter's conceptual framework for change. The specific change processes are discussed in the next section of this chapter.
Change Processes

The data from this study developed four major themes related to change processes: Enhancing Academic Delivery; Challenging the Fundamental Role of the Faculty; Improving Student Life On-Campus; and Implementing Formal Planning and Other Financial Processes. These themes were consistent on each of the campuses studied. They also had similar process sub-themes within each major theme, which will be discussed in further detail.

Enhancing Academic Delivery

The first major theme coming from the data centered on change processes related to academic delivery. Within this theme were sub-themes such as the use of technology including wireless networks to enhance academic delivery, distance education, affiliations to create strategic partnering, core curriculum reviews, and processes used in starting new academic programs, maintaining existing programs, and knowing when to close a program (see Table 1). The sense of urgency for all these processes came from four stresses: (a) maintaining delivery systems to keep up with changes required by the Information Age, (b) creating a competitive differentiation with other educational entities, (c) focusing resources on those delivery systems and programs that can be most effective, and (d) accommodating the needs and wishes of students and lifelong learners.

Embedding Technology

The first question in the interviews asked participants to tell how their institution was addressing the need to transform educational processes due to the maturing Information Age and its impact on the increased availability and distribution of
TABLE 1

ENHANCING ACADEMIC DELIVERY

<table>
<thead>
<tr>
<th>Sub-themes</th>
<th>UMHB</th>
<th>MSMC</th>
<th>CSU</th>
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<tbody>
<tr>
<td>Technology</td>
<td>“We have made a major investment in technology and the training of personnel.”</td>
<td>“In 1997 we brought in a consultant to review what we had done with technology, knowing it was not enough.”</td>
<td>“Five years ago we obtained a Title III grant for $1.8 million to enhance technology on campus.”</td>
</tr>
<tr>
<td>Wireless Networks</td>
<td>“We have some wireless technology but it is not as efficient as desktop connections.”</td>
<td>“We were one of the first institutions to install a wireless network across campus.”</td>
<td>“We are one of the first wireless campuses in the country.”</td>
</tr>
<tr>
<td>Distance Education</td>
<td>“We are talking distance education – at least a hybrid of online and classroom.”</td>
<td>“We mostly use more of what we call blended online learning.”</td>
<td>“We are moving towards more classes being available online.”</td>
</tr>
<tr>
<td>Affiliations</td>
<td>“We have affiliations with community colleges for ease of transfer.”</td>
<td>“We need better affiliations with community colleges to improve the transfer of credits.”</td>
<td>“We have a unique partnership with two public institutions. Strategic partnering for the future.”</td>
</tr>
<tr>
<td>Core Curriculum Review</td>
<td>“We are in a 3-year review of our core curriculum.”</td>
<td>“There is a lack of integration between and among the core courses students take.”</td>
<td>“We need to do a better job of how we evaluate our core.”</td>
</tr>
<tr>
<td>Starting New Academic Programs</td>
<td>“We did a major study to look at what it would take to make the program work.”</td>
<td>“We’ve had planning for new programs since 1978 when we received our first Title Three Planning Grant.”</td>
<td>“The need was out there. Again, we do feasibility studies.”</td>
</tr>
<tr>
<td>Saying Good-Bye to Programs</td>
<td>“We lost a Masters in Health Science. We had to support it financially and we had too many other things to support.”</td>
<td>“It was too expensive of a curriculum and was not attracting enough students.”</td>
<td>“If there are significant declines in majors why use those resources that could be well spent somewhere else?”</td>
</tr>
</tbody>
</table>
knowledge. Every participant started by talking about what their institution was doing in regard to technology used in the classroom. They clearly stated they believed that unless they harness technology appropriately and stay current with it, they would not be able to keep up with the pace of change and alternate delivery methodologies. This statement from a MSMC respondent echoed throughout all three locations: *We brought in a consultant to review what we had done with technology, knowing it was not enough.*

These findings are confirmed in the literature. Lucas (2000) suggested educational institutions need to integrate technology better in its delivery systems. Dolence and Norris (1995) opined that systems and types of learning not currently available in 1995 would be needed to keep up with the demands of the Information Age. Gustafson (2004) added that student familiarity with technology in general creates an expectation of the use of technology in their education.

Wireless networks that enabled the increased usage of laptop computers by students and faculty in smart classrooms were also talked about in the technology discussion. Two of the institutions claimed to be among the first in the country to install a campus-wide wireless system. In their studies they found wireless technology frees the institution from not only very expensive cable installation costs, but also the upkeep to maintain physical connections (hard wire locations), replacing today’s cable with something better tomorrow, and challenges in making networks universally available to everyone who needs it at any given time.

The main challenge in regard to technology was seen in the ability to keep up with the pace of its evolution both in hardware and software. MSMC indicated that in less than 9 years, faculty members were already using their third generation of laptops.
Another interviewee indicated that it seemed computers became out of date almost overnight. Staying current with technology is reflected in the literature where leaders on academic campuses are being encouraged to appropriately manage their academic IT systems to maximize their efficacy. This includes paying attention to the feedback from teachers and students as new systems are tested and assuring all hardware and software conform to open standards, thereby allowing all systems to be able to communicate with each other (Cohon & Smith, 2005; Gustafson, 2004).

**Experimenting With Distance Education**

A second sub-theme was distance education. All three institutions talked about a reluctance to use distance education on the undergraduate level due to a concern of losing the interaction between faculty and students and among students within a classroom setting. As relatively small schools, they felt one of the principal attractions for students to come to their campus was to experience the benefits of attending a small institution with good interaction between faculty and students. They believed online education was working against that strength.

On the other hand, all institutions feel a sense of urgency to at least explore online instruction due to the demand from new college students already working in full-time employment or from lifelong learners wanting to upgrade their skills. This perception is shared by Dolence and Norris (1995) who suggested “network learning” would become a major competitor of classical classroom delivery because it eliminated a lot of barriers for lifelong learners. Accordingly, all three institutions are doing something in developing online courses, especially in their graduate programs. But even in those classes, there
was a suggestion that possibly a hybrid between online and classroom delivery was preferred.

Market forces are at work here. At CSU, student demand from making a few of their MBA courses online is now causing them to convert all those courses to online status within 5 years. And, as faculty in other programs are seeing the success of the MBA online classes, they are looking at their own curricula to see if online delivery would create additional demand for them as well.

Distance education is having a renewed emphasis in higher education due to the internet. Researchers are being challenged to identify what makes this delivery method work for students and faculty. Encouragement for the further development of distance education for these institutions comes from recent studies that demonstrate students participating in distance education classes did as well or better than students learning in traditional classroom methodologies. Drennan and Kennedy (2005) in a quantitative research study focused on two key attributes of student satisfaction with flexible online learning. The study found students are most influenced by positive perceptions towards technology and an autonomous learning mode.

Another study noted a possible explanation for improved performance was that students who opt for distance education may be more motivated and be better self-starters than other students. Also, it was noted distance education is more successful and more broadly accepted by the faculty where institutions place a great deal of effort in properly training faculty in the use of online technologies (Cohon & Smith; 2005, Lee & Busch, 2005; McArthur, Parker, & Giersch, 2003).
Strategic Partnering

The traditional definition of affiliations is formal agreements with other educational institutions on the sharing of faculty or curriculum to benefit both institutions. But today, that definition is changing to include strategic partnering with other educational entities to increase market share and increase efficiencies for both the educational entity and its students. These arrangements create a win/win situation for both institutions. A frequently mentioned example of these affiliation agreements was with community colleges to ease the transfer of students from 2-year programs to the college or university and maximizing the number of credits that could be transferred in. Taking as many college credits in a less expensive environment was seen as the major factor for students choosing this alternative. The benefit to the 4-year educational entity was in recruiting as many of these transfer students as possible.

A major challenge noted in the transfer in of credits from community colleges, without this type of agreement, was assuring the university the transferred credits really demonstrated college-level learning. Due to other affiliation agreements between high schools and community colleges, some college-level work was being taught to high-school students under the auspices of the community college. The problem is identified by some of these students not being able to pass certain screening tests administered to assure the 4-year institution the student had all the skills necessary to do college-level work. Upon investigation, in several instances, these students had actually received their instruction in their high school and the level of education received was not up to the standards of the 4-year school. Therefore, agreements are being drawn up with these
community colleges to provide greater supervision for this teaching and assuring everyone the student has received the proper level of instruction.

Affiliations are also used to expand the market of an existing degree program. The criminal justice program at Charleston Southern University is an example. In this arrangement, two institutions formed an agreement to provide some level of basic education in the degree at the “home” school of the student. Faculty members from CSU teach the last 2 years of the 4-year degree in the city where the other two schools were located. The affiliation agreement specified that the final Bachelor’s degree would be a joint degree from both schools.

Finally, affiliations are being used to assist in bringing greater diversity to the faculty by doing a teacher exchange with a nearby college or university with a different ethnic base. This helped to increase the degree of diversity into the classroom even when faculty from other cultures could not be recruited permanently. Faculty benefited as well by being exposed to other academic cultures and environments and took back with them ideas on improving systems and methodologies at their employing institution. These actions confirm recent studies that stress the need to incorporate more diversity in course content and delivery. This need is demonstrated by the increased diversity of students on university campuses and the desire of potential students to see diversity in the faculty and curriculum as a reason to choose to attend a particular institution (Mayhew & Grunwald, 2006; Umbach & Kuh, 2006).

Affiliations with other educational entities have been supported in the literature. Dickeson (1999) called on the education industry to pursue what he called “sharing arrangements” between institutions to improve productivity. Lucas (2000), talking about
the importance of every student being exposed to as much diversity in educational content and delivery as possible, calls on institutions to create arrangements for sharing content and delivery methodologies between institutions.

Ballesteros, Jones, Mehan, and Yonezawa (2002) noted the importance of strategic alliances between high schools and universities in order to create greater opportunities for minorities and other at-risk students. Their study of alliances between the University of California—San Diego and local high schools noted the tension of creating greater opportunities at a time when applications are already exceeding capacity restraints. The findings noted that partnerships between the educational entities do work and should be pursued to create greater access and success for these groups.

Revising the Core Curriculum

All participants talked about current processes to review their core curriculum or required general education classes. It was stated the core needed to be revised to help the institution stay current and relevant with the needs of graduates of liberal arts colleges in today’s workplace. This belief is in agreement with Lucas (2000) when she argued that major efforts are required to transform the curriculum to more accurately meet students’ needs. A special emphasis is being placed on helping students not only have the basic skills needed in speaking and writing clearly and succinctly, being able to do basic mathematical computations, being able to read quickly and with comprehension, but also being able to think critically. This ability is needed to sort through the increasing amount of information and data being disseminated through the internet and having the student determine what is important and necessary to deal with issues at hand.
These core reviews were also seen as a change process to help the institution create and maintain a competitive distinctiveness. It was felt you may lose your reason to exist if you cannot show through your curriculum what the difference is between your institution and other choices prospective students have. Is there a basic level of knowledge or a level of diversity in the liberal arts degree the institution uniquely wants each of its graduates to have to assure success in his or her working career?

All institutions seemed to struggle with this change process, as core curriculae are not easily defined in the first place on a good philosophical level nor are they easily changed. This is in part due to the relative importance a department or faculty may feel their course has being part of the core curriculum. If that course is not included in the revised core, it is felt a statement is being made about the importance of the discipline in question as opposed to what total outcomes are desired in our graduates. This led to the observation from one respondent at UMBH:

*Our challenge to our core curriculum committee is to think about outcomes but not think about them in disciplinary terms. That is not to say that we want our students to know basic history, math or whatever because then you have already defined your core. It is to think about what in history is important. We will never agree on which facts are important but what sense of history, what sense of ethical discernment, and what sense of art appreciation we want our graduates to have. We are hoping that we can move outcomes into some non-threatening conversations about how we best choose.*

Two recent studies stress the need for updating core curriculum from very different perspectives. Goyette and Mullen (2006) found liberal arts degrees and their core curriculum are increasingly being used as a stepping stone to graduate programs and degrees. They believe this creates a tension because many professional programs limit the amount of coursework the prospective major can take in general education. The study
further found that unless properly designed, core curricula and liberal arts degrees may be stratifying rather than unifying students in the body of knowledge they are obtaining in their college experience.

Silver and Wilhite (2005) call on institutions to put more intentionality in the core curricula to educate students to be good citizens as well as good technicians. The study tracked collegiate education back to its beginnings and demonstrated the pendular swings from service to technical skills and now the need to come back to service learning. They suggested institutions promote learning outcomes that go beyond discipline-specific knowledge and skills.

Opening, Reviewing, and Closing Programs

There were many references in the interviews to the way academic programs are created, maintained, and closed. All institutions talked about methodologies usually taking as much as a year to do a careful analysis with a written business plan to determine if a new program was needed and could be viable. The justification for this degree of planning was seen in the amount of resources needed to start programs, including the recruitment and hiring of faculty, allocation of physical space, coordination with other programs and services needed to support the new program, the creation of marketing materials, and appropriate academic clearance for the new program to assure it has minimum academic credibility. All these expenditures need to happen before the first student enters the program.

In addition, all three schools talked about annual reports from every academic and service department. In these annual reports, trends from past years are used to project
future results of the program or service. Institutional research departments take this
information and develop recommendations for staffing for future years. All these data are
then used by the budgeting process to prioritize activities and funding for the next
academic year.

Additionally, every school talked about programs they have closed in the last
several years, the reason for closing the program, and how the process was handled. The
consensus was that ideally the department should make the recommendation for closure
but sometimes the decision needs to come from administration either from the Dean’s
office or from the Provost or Academic Vice-President. There is great concern and care
taken to avoid program closure because leaders believe there is significant harm to
relationships and perceptions about the effectiveness of the organization that has to close
academic programs.

This reluctance to close programs has caused several institutions to increase their
initial planning and then reviewing annual reports to assure programs are being
successful. In the planning process at UMHB, specific benchmarks are established up
front that need to be met in order for the program to continue. This creates a greater
degree of objectivity by the campus on the decisions that may have to be made in case a
program does not succeed in the manner it was intended.

These processes closely resemble what is typically called program review or
studies in organizational effectiveness. But these three institutions go further than
traditional program review in that they are looking for ways to reallocate dollars being
spent to a most optimal usage. Comments in the interviews repeatedly came back to a
recognition there is a stewardship responsibility to God for the best use of resources
entrusted to their care. Additionally, there were repeated emphases on making certain every dollar was spent in an optimal way.

Briggs, Rowland-Poplawski, and Stark (2003) support these continuous planning efforts. In their study they found many universities were using continuous planning improvements for their administrative and support departments. They argued that in order to be responsive to external stakeholders and to students, academic departments also be involved in these processes. They further believe the self-analysis that goes into these processes will be invaluable to departments as they develop future program-planning practices to be more responsive to a changing world.

Meyer (2004) looked at the ways competition is affecting the quality and the number of programs offered at a given university. The main source of competition is defined as the growth in online learning, programs offered off-campus in another institution’s area, and alternative providers offering programs in new formats. The conclusions of the article stated that competition focuses attention on the market and what students and employers want and are willing to pay. Additionally, competition requires attention be paid to developing different methods to achieve one’s ends, perhaps finding ways that better match what students want while controlling the costs of production, and providing a more competitive product. Meyer further stated that competition forces programs to realize they are in a competitive arena and do not stand unquestioned and unchallenged – it can be a clarion call for change or a call to arms to fight change. Finally, she states that competition focuses attention on leaders and managers and their ability to assess the nature and extent of competition.
Romesburg (2003) took a slightly different tack in his study on funding core programs at state-supported universities. In his research he noted state funding is decreasing as a percentage of total revenue at public colleges and universities. He therefore outlined methodologies higher education could use in assessment activities to determine the core programs that truly define the institutions’ role within their state. In his recommendations he then encourages those institutions to prioritize their efforts on those core programs and by increasing the level of excellence in fewer areas find greater opportunity to negotiate for increased funding from their states.

The ability of each of the three institutions to involve their faculty in these processes suggests a change in governance. Kezar (2003b, 2005) conducted several studies regarding changes in governance in higher education. The findings of these studies suggested a more inclusive sharing of decision-making between administration and faculty and a general flattening of the organizational structure. Metcalf and Welsh (2003) addressed the appropriate relationship between faculty and administration in assessment and effectiveness studies. They concluded faculty will be more willing to participate in these activities if they see the process centered more on outcomes than on resource inputs and that the motivation for the studies is to actually improve programs and services. Administration’s main role in assessment and effectiveness studies is to assure changes are actually made as a result of the assessment activities.

In summary, the significant change processes found under the theme of Enhancing Academic Delivery centered on issues related to keeping delivery systems flexible, adaptable and technologically current. They also looked at processes to keep the core curriculum for a liberal arts degree relevant for college graduates in today’s marketplace.
as well as to differentiate their institution from their competitors in an increasingly competitive education industry. Finally, each campus had processes to assure that all programs offered on their campus were in demand by their prospective students and were using scarce resources in a most appropriate manner.

Challenging the Fundamental Role of Faculty

Another major theme coming from all three case studies involved the changing role of faculty members. The provost at one university talked about this need in his institution as challenging the fundamental role for the faculty. He reflected on changes being brought by the Information Age and stated, I think every faculty member is impacted and is reconsidering some of the basic assumptions to instruction. However, that comment was principally focused on instructional methodologies. Other aspects of the role of faculty in change management were also discussed (see Table 2). Included in those discussions were issues related to decreasing faculty loads to allow for personal growth through research and publications, faculty roles in the core curriculum studies, changing cultures due to faculty turnover, overcoming resistance to change, need for increased training in the use of technology, being open to alternative educational practices, and putting more intentionality behind the integration of faith and learning.

Reviewing Fundamental Faculty Roles

All three schools in the study are looking seriously at classroom-based instruction. All three are installing technology to assist the faculty in their ability to utilize technology
# TABLE 2

## CHALLENGING THE FUNDAMENTAL ROLE OF THE FACULTY

<table>
<thead>
<tr>
<th>Sub-themes</th>
<th>UMHB</th>
<th>MSMC</th>
<th>CSU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classroom Instruction</td>
<td>“Faculty are beginning to consider the need to have less lecture and more acknowledgement of the different learning styles of students.”</td>
<td>“They will meet their class but they will also do some discussion online or they will do an assignment online.”</td>
<td>“What are you doing to measure what students know? What are you doing to enhance the learning experience?”</td>
</tr>
<tr>
<td>Decrease Faculty Loads</td>
<td>“We are looking at changing teaching loads from four 3-hour classes to three 4-hour classes.”</td>
<td>“These faculty development grants can give you release time for personal growth and development.”</td>
<td>“What they are going to do is use a 2-year plan. All courses will be offered in a 2-year period.”</td>
</tr>
<tr>
<td>Faculty Role in Core Curriculum Studies</td>
<td>“The challenge to our core curriculum committee is to think about outcomes but not think about them in disciplinary terms.”</td>
<td>“Some resistance comes from protecting turf. Some of it is the difficulty of facing change and faculty are not the easiest group to work with.”</td>
<td>“Is it [the core curriculum] really preparing students for success in today’s world?”</td>
</tr>
<tr>
<td>Changing Faculty Cultures</td>
<td>“In 5 years we will approach 40-50% new faculty and that is having a tremendous impact.”</td>
<td>“I see new faculty coming into positions who are younger and fresher. I see more opportunity for change.”</td>
<td>“The faculty may be predominantly Baptist but that is changing. They are all professed Christians.”</td>
</tr>
<tr>
<td>Overcoming Resistance to Change</td>
<td>“We can adapt ourselves to changes rather quickly if people are willing to get involved.”</td>
<td>“We went to a national conference to learn new and creative ways to change.”</td>
<td>“You have to get buy-in from everyone and that helps us to have more of a team working together.”</td>
</tr>
<tr>
<td>Increased Training in the Use of Technology</td>
<td>“We have included a New Center for Teaching Excellence where [faculty] can learn new things with their teaching.”</td>
<td>“There are faculty development workshops where we can go for training and where people will help you [with technology].”</td>
<td>“We obtained a Title III grant to not only give faculty the tools they need but also to train them on how to utilize the technology.”</td>
</tr>
<tr>
<td>Alternative Delivery Methodologies</td>
<td>“We have a certification program for those who don’t have a college degree.”</td>
<td>“It [technology] has also changed the delivery of how we educate our adult students.”</td>
<td>“We did one course online, then it really accelerated and more faculty were interested.”</td>
</tr>
<tr>
<td>Integration of Faith and Learning</td>
<td>“We know the faculty person’s heart and that their faith is based on Christ and that they will share their faith [in the classroom].”</td>
<td>“We care about students growing up and maturing while they are here to be people of integrity and honor.”</td>
<td>“Help them [students] understand Colossians 3:17 that whatever you do is preparation for a calling as opposed to just a job.”</td>
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better. While there was no specific definition given, the “smart classroom” had at a minimum some form of docking station for the faculty to place their laptop to project whatever was on the computer. CSU and UMHB were also incorporating specific academic delivery software/hardware systems in addition to the general use of laptops and docking stations.

It was noted this technology shift is relatively new and in its infancy. Classroom education is still largely lecture-based but, incrementally, new experiments with technology are beginning to make a difference. Examples of the new experiments deal with internet sources of video and audio input, technology to allow for immediate feedback from students to the teacher, and the use of the internet for posting class syllabi, assignments, and reference material. The younger faculty members are especially embracing the new technology, and their successes are being recognized by the faculty as a whole. As mentioned under delivery systems, there is a firm commitment to classroom-based instruction in some form but also a recognition that something more is desirable.

It was noted there was and is an ongoing discussion among the faculty and Board new technology, and their successes are being recognized by the faculty as a whole. As mentioned under delivery systems, there is a firm commitment to classroom-based instruction in some form but also a recognition that something more is desirable.

Lee and Busch (2005) and others address issues related to faculty willingness to participate in distance education and other alternate forms of delivery. Their study indicates the single most significant challenge for faculty is a lack of proper training on the use of alternative educational methodologies. They further stress after the training, IT departments need to pay close attention to faculty on what worked and what did not and
what can be done in the technology to make it work better (Belanger & Jordan, 2000; Fernandez, 2001; Lee & Busch, 2005).

There is also a sense on all three campuses that a change process is needed to decrease faculty loads. The impetus for this is to allow the faculty to have more time for professional development and to enhance the possibility of promotion and tenure. Lucas (2000) supports this concept by stating that in order to improve student learning, higher education need to ensure that faculty have programs of professional development. This includes having appropriate and intentional reward and feedback systems that have incentives built in to motivate faculty to take the time for their own professional development. Ideas being explored are teaching fewer classes but maintaining student-teacher ratios by increasing the semester hours per class. Faculty development grants are also being used on a limited basis. The grants provide funding for substitute contract teachers while the faculty is on release time. Finally, some classes are being taught on 2-year cycles instead of being taught every year.

O'Meara’s (2006) qualitative study looked at the relationship between reward systems and faculty willingness to get involved in multiple forms of scholarship. The premise of the study was that faculty members are influenced to participate in some forms of activities and not in others based on what the institution values. These values are seen through the rewards given to faculty. The findings noted faculty can be motivated when the institution is clear as to what it truly values in the performance and effectiveness of its faculty. Additionally, the institution must “reward” the faculty to engage in scholarship activities by giving them release time, public affirmation for work
accomplished, and financial bonuses for becoming more entrepreneurial in funding their research through outside grants.

**Revising the Core—Faculty Roles**

As compared to the overall institution’s role to revise the core curriculum, the process to revise the core curriculum on each campus has been especially difficult for the faculty. Leadership, through either the President’s office or Provost/Academic Vice-President, has been effective in communicating the need for change, but the process is one with which the faculty has to struggle. There are several reasons given for these challenges, including a lack of definition of exactly what needs to be changed, how the change occurs, and how to determine when the goal has been reached.

The next step is to determine what needs to be changed from what is presently required. All schools have a general education requirement that has evolved over time. And for the most part, it is working in requiring students to have a fairly broad exposure to several different disciplines in their undergraduate education. There are also skill development classes in English, both rhetoric and writing, and the development of a degree of proficiency in mathematics.

At the same time, there is a growing faculty awareness that many college students, after taking the required general education classes, still do not have these basic skills developed to the point that they need to complete upper class work and beyond. Students are increasingly asking their advisers and instructors why they have to take a particular course. Additionally, professional programs are increasing the curricular requirements
for their particular program and in the process are squeezing out general education courses.

But the most challenging part of the process is how to change the core. Many faculty members involved in delivering these courses strongly feel their particular discipline is very important and therefore be included in the new core. Hence there were repeated references to “turf protection.” This protection is more than protecting a job but a protection of that subject area being included in the required curriculum.

A growing sense of resolution seems to be centered on some form of interdisciplinary interaction in the general education requirements. The emphasis is not on memorizing dates or formulas but on developing an ability to think critically and broadly. This includes having an awareness of the enormity of knowledge information available and how to access and use knowledge and information effectively. Costa and Liebmann (1995) and Jones (2002) would totally agree. They indicate through their research that incremental changes will not be enough—that major paradigm changes are needed to the curriculum. They further stated the study of specific disciplines needs to be replaced by human inquiry that draws upon generalized, transdisciplinary bodies of knowledge and relationships.

However, transdisciplinary interaction in the curriculum or even among faculty is not as easy as it may seem. In a recent study, Frost and Jean (2003) studied methodologies to overcome barriers to interdisciplinary interaction at a major research university. It found that the way disciplines tend to view epistemology vary from a realist mode while others use the relativist mode. Professional programs with their distinct curriculum and methodologies also can inhibit this discourse. The study concluded that
universities need to address these issues through formal interaction between these
different perspectives to allow all faculty to recognize different learning and delivery
styles and philosophies (Austin, 1990; Dill, 1991; Frost & Jean, 2003).

And like the curricular changes being attempted at MSMC, Allan and Estler
(2005) studied the meanings, implications, and challenges of sociocultural identity
differences found in curriculum design at the University of Maine. The process was the
basis of the study as opposed to how the curriculum was changed. The study noted
several factors that inhibit forward movement in curricular change, including fears and
risks associated with working through issues of identity differences and challenges of
making privilege visible as it operates in our daily lives. They also noted the effect of
lack of time/competing demands on faculty, lack of formal rewards, and an uneven level
of understanding and/or a willingness to engage in genuine curricular change.

Ratcliff (2004) looked at change processes being made in general education at
three major universities. He noted the processes used were very different at each
institution, but the desired end result was very similar—namely to make general
education as relevant and distinctive as possible. His findings suggested all academic
institutions should be engaged in continuous changes to their general education
requirements. He stopped short of making specific recommendations on how changes
should be made but recommended institutions learn from each other’s experience and
maintain a view as holistic as possible as changes are made.
Changing Cultures Due to Faculty Turnover

In the study, there were repeated references to the changing cultures within faculty ranks due to larger than normal turnover. UMHB indicated that within 5 years they will have a 40-50% turnover. This turnover is coming from normal demographic changes of a shifting population, retirements, etc., but is being amplified by the "baby boomer" generation reaching these milestones.

This turnover is seen as both positive and negative. On the positive side, the new faculty come with a much increased awareness of technological solutions to many of the stresses to academic delivery caused by the Information Age. They are willing to use technology and the alternate delivery systems that technology makes available through various online/distance education modalities.

The negative side of faculty turnover is related to the loss of organizational knowledge and history by the departing faculty. This includes those persons' involvement in long-range studies that are not completed at the time of their departure. Curriculum studies, which normally take years to complete, are particularly vulnerable to faculty turnover as the new faculty participants in these studies not only have to be brought up to date on where the study is, but also they bring totally new perspectives into the discussion. These new perspectives, while many times very useful and encouraging, tend to slow down the process as there is yet another new dimension to be considered.

Overcoming Resistance to Change

All three institutions involved in the study fully recognize the challenges in dealing with faculty and change. Comments were made about the positive aspects of this
resistance in that issues were discussed thoroughly before changes were implemented. This increased discussion helped give everyone a better understanding of what was happening, why it was happening, and then gave opportunity for a best solution to be collectively agreed on.

The negative side of resistance to change was seen in issues being bogged down with no final recommendation on what to do. Core curriculum studies are a good example. The challenges are legion and unless additional processes are put in place to help change happen, many times it will not happen. This was evidenced by changes being recommended in prior years that did not occur.

The most common process cited to overcome resistance to change was in good communication. *I will tell you what I am going to say, I say it, and then I tell what I just said,* was a comment by one college president. He added that before any change was contemplated, he made certain all affected faculty were informed ahead of time to make certain there were no surprises. In this respect, communication was used as reinforcement in establishing trust in his leadership.

Communication is used to create buy-in from the faculty. *We can adapt ourselves quickly if people are willing to get involved.* This involvement is enhanced by giving the faculty a sense they have a degree of control over where the specific issue is headed. By honestly soliciting their input and incorporating as many of the suggestions received as possible, the process is able to move forward.

Communication is also used to keep everyone, faculty and staff, focused on the mission of the institution, the strategic plan in place and the goals established to make the plan work. This includes leadership exhibiting behavior to match their words. This is in
keeping with Kotter’s fourth step in leading change—communicating the vision. In this step he clearly states the leader’s behavior is one of the most powerful ways to communicate the vision (Kotter, 1996).

**Integrating Faith and Learning**

Another change process directly related to the faculty is in an increased awareness of the importance of integrating faith and learning. When the interviewees were asked about their church-relatedness and how their relationship with their founding church or faith system affected their ability to change, the answer was repeatedly “no effect.” On the other hand, there was a lot of discussion about the importance of linking broad principles of Christianity and learning by their students. This is seen as a distinctive advantage they have over their competing educational institutions.

This issue was probed from another angle, that of intentionally recruiting faculty and students only from the faith system with which the institution was identified. There was a general inference that in recruiting faculty a preference was given to faculty of the same faith. At the same time, it was recognized there is a diminishing percentage of faculty of that faith on campus today due to a higher concern that whoever was hired was the most professionally qualified individual.

What was seen as most important in this regard was that the faculty person be evangelical in his or her teaching. This was meant to mean the faculty took Christ and Christian values into their classroom and intentionally included them in the curriculum. An administrator at CSU said, *Help them* [students] *understand Colossians 3:17 that whatever you do is a preparation for a calling as opposed to just a job.*
This integration of faith and learning is supported by research done by Silver and Wilhite (2005). Their research was not directly related to the inclusion of a faith system into the curriculum but more an emphasis of education’s responsibility to train good citizens with a commitment to service as opposed to teaching knowledge for knowledge’s sake. Their research did note higher education in the United States was founded by religious traditions that emphasized service to the community. They noted in the 1960s and 1970s higher education seemed to shift in the direction of the “German school” that emphasized technical knowledge as an end result in itself. Their findings concluded that a recommitment to service learning is returning to higher education today even in public educational entities.

In summary, the change processes related to Reexamining the Fundamental Role of Faculty stressed the need for faculty members to be current in their delivery methodologies. They also included issues related to reducing faculty work loads in order to promote higher professional development. Finally, processes are in place to actively involve faculty members in all change processes and thereby helping them sense a greater degree of control over their future and the future of their institution.

Improving Campus Life for Students

The third major theme coming from changes and change processes found in the study was related to ways the three institutions are improving campus life for students. The sub-themes for this theme include an emphasis on sports, enhanced on-campus housing and food service, recruiting and retention programs, and improving customer services to students (see Table 3).
<table>
<thead>
<tr>
<th>Sub-Themes</th>
<th>UMHB</th>
<th>MSMC</th>
<th>CSU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sports Programs</td>
<td>“We started women’s softball at the same time as men’s football. We started a band, we started a drill team and we started a cheerleading team.”</td>
<td>“We have a director of admissions who would love to see football. He sees this as the answer to achieving a 50-50 male/ female ratio.”</td>
<td>“We eliminated men’s soccer for a gender equity and financial issue. We put it back into another sport we can be more successful in.”</td>
</tr>
<tr>
<td>Enhanced On-Campus Housing and Food Service</td>
<td>“One of the things we are lacking is a Student Union Building with a food court.”</td>
<td>“We have hired professional dormitory directors to help improve student life on campus in our campus housing.”</td>
<td>“Some of the construction on campus is to expand the cafeteria.”</td>
</tr>
<tr>
<td>Improved Recruitment Efforts</td>
<td>“We set up a process to recruit students to create a more viable student life and student activities programs on campus.”</td>
<td>“We needed better coordinating between recruiting and finance, registration and financial aid. So we recommended hiring a Dean of Enrollment Management.”</td>
<td>“We are trying to go out of state to get more students because they are going to be better prepared generally.”</td>
</tr>
<tr>
<td>Improved Retention Programs</td>
<td>“We also wanted to do a better job of helping students adjust to college life so I wanted to create a retention program.”</td>
<td>“You can greatly enhance your overall enrollment if you pay better attention to the ‘back door’ and decrease that amount of traffic.”</td>
<td>“What we did about five years ago was to attack rather aggressively the retention of students and utilize technology as the means.”</td>
</tr>
<tr>
<td>Improved Diversity of Student Body</td>
<td>“We are an institution that wants to have a greater audience [students] than we currently have.”</td>
<td>“We are about 19% minority right now.”</td>
<td>“We changed the name to get a more diverse student body – we are not just Baptist or a Bible college.”</td>
</tr>
<tr>
<td>Increased Personal Attention</td>
<td>“I think a part of it has to do with our class sizes, our attention to students, and things of that nature.”</td>
<td>“I think part of the reason for our success is because we are small and the faculty go out of their way and make an effort to help students.”</td>
<td>“I definitely want feedback from students because they are our main customers.”</td>
</tr>
<tr>
<td>Ease of Transfers In and Out</td>
<td>“We have affiliations with community colleges for ease of transfer so a student doesn’t waste time.”</td>
<td>“Another challenge is the desire to transfer credits from other institutions – especially community colleges.”</td>
<td>“Now we have a site in Myrtle Beach where students can attend and complete their last two years.”</td>
</tr>
</tbody>
</table>
Expanding Sports

All three institutions have invested heavily in formal and recreational sports programs. Both UMHB and MSMC started as women’s colleges and have used formal sports programs as a way to recruit male students. This has been a success at both institutions. But even beyond male sports, there has been an increase in women’s sports programs as well, suggesting there is a synergy from having a complete sports program for all students.

Both UMHB and MSMC chose NCAA Division III sports as the specific venue for competing. NCAA Division III does not allow the educational entity to give athletic scholarships and, accordingly, these institutions see themselves as having students who are scholars first and athletes second. Using this format, they feel they have found the best combination of providing for the all-around growth of their students.

CSU, on the other hand, chose to go NCAA Division I from its inception. This division is usually reserved for larger schools with well-funded and established sports programs. But in the words of CSU, *In sports we are overachievers.* It is proud to be one of the smallest institutions in Division I and has recently had a winning record within its region.

It was noted there was and is an ongoing discussion among the faculty and Board members about the appropriate role of sports on a church-related campus. But to date, all three schools point to sports as a major factor in improving their ability to recruit students and in improving overall campus spirit and morale. No one reported any negative side effects or any indication sports may be downplayed in the future.
The most recent emphasis in sports and recreation has been on building large recreational sports facilities. These include large modern indoor sports arenas that can also be used as convocation centers. Additionally, there is an emphasis on the importance of recreational sports for students who do not want to compete in a NCAA program. Coeducational fitness centers and wellness programs are also included in the new campus centers which house all these facilities. A possible concern in regard to sports programs was noted in a recent study by Adams, Bean, and Mangold (2003). In this study of major universities with NCAA Division I sports programs in both football and basketball, it was noted graduation rates were lower than in other schools that did not have both the football and basketball programs. This finding was not anticipated by the researchers and they caution over-generalizing from the research but that institutions needed to be aware of potential conflicts that high-visibility sports programs may have on their academic programs.

Enhancing Campus Life

There were repeated references to listening to parents and students about their desires for on-campus life. Accordingly, great effort is being made on all three campuses to improve and enhance both the on-campus housing and food service options for students. CSU is even going to the point of building a new coffee shop inside its library to give students an additional venue for social interaction and shared learning.

There is a sense from the institutions in the study that it is preferred to have students living on-campus and sharing a lifestyle together rather than to cater solely to community-based student populations. This enhanced educational experience can come
from a better integration of learning in the classroom and life out of the classroom commonly referred to as living and learning environments. Accordingly, there is a significant amount of intentionality behind improving this integration by enhanced on-campus housing including computer labs and wireless networks in the housing units, and involvement of faculty in the lives of students outside the classroom in community service and other activities.

Kezar (2003a) did a qualitative study on improving the collaboration between academic and student activities. The study concluded that there is a sense of greater community and connection between the institution and the student when this collaboration is worked on with emphasis. O’Meara (2006) also noted the positive effect on faculty working on living and learning environments and stated institutions should include this important activity in their reward systems for faculty.

Several studies have confirmed the importance of functional and modern housing arrangements for on-campus students. Hill (2004) studied the overhaul of on-campus housing at three universities, noting the intentionality these universities have put into their housing designs to improve the living and learning concept. Guckert and King (2004) noted that 62% of prospective students surveyed by Noel-Levitz indicated that the most influential factor for choosing a university was in the appearance of the campus, its buildings and housing arrangements. Hill (2004) agrees, stating that administrators at colleges and universities are using their facilities as major assets in attracting the best and brightest students.

In regard to food service, there is a movement in all three schools towards constructing food service venues with a “food court” feel as opposed to regular cafeterias.
with fixed menus and options. The schools recognize that even for on-campus students, there are alternative food service options available in their communities that they compete with every day. Accordingly, they are surveying students to find out what they want in their food service and are attempting to meet those needs and wants.

**Recruiting and Retention Efforts**

All three institutions have altered their recruiting plans to create more on-campus students. Two schools intentionally have recruited students from outside a normal commuting distance to increase that population. Campus life has improved, students seem to have greater success in their studies, and get involved more in other student organizations and other extracurricular activities.

Whereas admission standards are being raised to improve the overall academic quality on campus, the recruiting processes are very inclusive. Prospective students are told about the culture at the school and the citizenship behavior expected of them. Most of the guidelines are from normative Judeo-Christian values and ethics. Although there is a preference for students from the faith system of the church of which the school is affiliated, there is a open-door policy whereby all academically qualified students are accepted. It was mentioned there is a noticeable trend within their market areas whereby denominational churches are declining in membership but non-denominational community churches are growing strongly. This is seen in student registration information where more and more students are indicating they do not come from mainline denominational churches but from the category “other” Christian.
Processes are in place to streamline recruiting through enrollment efforts. Enrollment management personnel are being hired to make certain the student and his or her parent is carefully attended to through the application, acceptance process, and financial packaging. Additionally, academic personnel are being actively involved in the recruitment process. When the prospective student has indicated an interest in a given major field of study, that department sends the student a letter to welcome the student and to assure them the major area indicated is available and the department is interested in their attendance.

Another recruitment process paying rich dividends is in tracking students who do not choose to enroll at their school. Surveys of these students are taken to determine the reasons the student chose not to enroll. The institutions, now aware of those reasons, attempt to change the distracting influence to increase the productivity of their recruiting efforts.

Finally, all three schools are recognizing the reality of a changing ethnic and demographic mix in their markets and are addressing the needs of this changing marketplace. This includes addressing the need to have a greater ethnic diversity in the faculty to reflect the growing ethnic diversity in the student body. It is recognized that this is not an easy issue to solve, but other options such as teacher exchange programs with educational entities of a different ethnic base are being explored and implemented.

This changing demographic mix also suggests recognition of the needs of adult students and the inclusion of significant night education programs for these working adults. These programs are growing on each of the campuses in the study. This is fully in keeping with predictions from other researchers that there would be a totally new
dimension to education in the Information Age related to lifelong learners and adults who want to complete a college education (Altbach, Berdahl, & Gumport, 1999; Dolence & Norris, 1995; Green, 1997; Jones, 2002).

Once students are enrolled, all three schools are putting great emphasis on retention. Special student success departments are being created to assure that freshmen become successful sophomores. This is seen as the most critical transition from an academic viewpoint. Faculty continue to be the principal academic advisors, but other support departments are tracking academic and citizenship issues to assure students succeed in their college life.

MSMC goes even further in its retention efforts. It noticed it was losing a number of students during the upperclass years. Through interviews and surveys of these students transferring out, leadership found a principal reason was to attend an educational entity with more on-campus housing choices. This issue is being addressed, and significant alternate housing options are being implemented.

These retention efforts are fully supported by recent studies involved in the relatively new field of retention research. There has been a great deal of research over the last 70 years suggesting various theories on why students leave or do not succeed to graduation. But the more recent research deals with specific ways to go from discussing theory to providing action plans. These include establishing a college-wide retention committee and identification of the student at-risk prior to enrollment as well as the identification of the student at-risk after enrollment. After identification, an academic and personal assessment of at-risk students is recommended, followed by a diagnosis and prescription of remedial programs and activities and a follow-up after the student engages
in the remedial program. Finally, it is recommended there be a constant measurement of student success outcomes to evaluate where the student success program needs modification and adjustment (Seidman, 2005).

**Giving Personal Attention to Students**

All institutions recognize the significant competitive pressures they face from many other educational choices by students. One of the change processes that is occurring is for schools to differentiate themselves from their competition by increasing personal attention to overall students’ needs. This is done via the development of relationships by faculty and staff outside of the classroom or service department.

Repeatedly, references such as, *We care about our students and they know*, were given as a reason why these institutions are succeeding. When faculty or staff see evidences of stresses in a student’s life, they take time to inquire as to the cause of the stress and if there is something they can do to help. It is believed that students recognize this interest and respond positively to it.

This also includes the streamlining of processes to help students attend the school. Already mentioned were improvements in the coordination of the various enrollment processes. Also mentioned were improvements in the transfer process whereby a student can easily transfer in from other accredited or affiliated schools and maintain as many credits as possible that they have earned elsewhere.

All of these actions are in total agreement with studies that indicate academic institutions need to view their relationship with students in an “ecological framework.” In this dimension, there is a direct influence of the institution on students and an equal
influence of students on the institution. Both of these influences affect the behavior of
the other. They further state that the relationship between the two be both reciprocal and
dynamic. The relationships are complex and need to be addressed as such (Altbach et al.,
1999).

In summary, the change processes found in the study relating to improving
campus life for students stressed the importance these three institutions felt about having
students living on campus and enjoying a living and learning environment outside of the
classroom. These improvements centered on improved on-campus housing and food
service facilities and increased sports and recreation programming. They also included
issues related to all faculty and staff members being involved in students’ personal lives
and intervening, when appropriate, to assure student satisfaction and success toward
graduation.

Implementing Formal Planning and Other Financial Processes

The final major theme found in the data was a reliance on formal planning
processes by all the institutions in the study. These included the formulation of a shared
vision by the leader with his/her campus community and with the Board of Trustees.
Next, there was a joint development of a strategic plan between these two groups to help
ensure the realization of the vision and the establishment of measurable long- and short-
term goals as “measuring posts” along the way. Other sub-themes were developed as
well, including the creation of campus master plans, controlling tuition discounting,
asking friends for financial help, and having excess revenue in the budget for
contingencies and strategic initiatives. Finally, they see importance in documenting all of the above (see Table 4).

**Strategic Planning to Strategic Management**

All three institutions shared a 5- to 10-year long-range strategic plan that had been voted by their campus community and their Boards of Trustees. These plans were developed based on the vision of the President of the institution and then “shared” by the other groups. These plans were sometimes developed totally in-house; others were assisted by outside facilitators. There was also a shared process by a strategic planning committee comprised of faculty and staff and a similar committee made up of Board members.

By their nature, strategic plans are created by relatively few people and cover a limited time period. To resolve these two shortfalls there is evidence in the data of a shift to strategic management. This process is found in the very core of the culture of the institution where it finds itself, continually realigning itself to its plan with all significant decisions being made in light of how that decision helps to achieve the plan. Strategic management is found at the departmental level, with formal departmental plans being created each year. In these plans, the same 5-year backward look is used to determine trends. The department then discusses how the goals for the current year were met, exceeded, or not met. For both types of variances, adjustments are recommended, including adding resources, eliminating programs deemed not needed, or merely pushing the goal forward another year due to a timing issue being involved that kept the goal from
## TABLE 4

### FORMAL PLANNING PROCESSES AND OTHER FINANCIAL ISSUES

<table>
<thead>
<tr>
<th>Sub-Themes</th>
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<th>MSMC</th>
<th>CSU</th>
</tr>
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<tbody>
<tr>
<td>Strategic Planning</td>
<td>“The Board recently voted a new strategic plan of which 85% of the initiatives are academically oriented.”</td>
<td>“Administration has a long range plan committee and the Board has a long range plan committee...hey worked together and produced the final document.”</td>
<td>“We’re all students of strategic planning. We believe in it, it is a process, it is very active, it is current, it is ongoing.”</td>
</tr>
<tr>
<td>Strategic Management or strategic thinking</td>
<td>“You need to update your plan continually so you don’t ever get back to one of those two-year or nothing efforts.”</td>
<td>“Strategic priorities are revised annually to be responsive with changes that are taking place on a year to year basis.”</td>
<td>“The three-year plan we have out there is a rolling three-year plan. It is very comprehensive.”</td>
</tr>
<tr>
<td>Master Plan for Campus</td>
<td>“There is a master plan that was created a few years ago.”</td>
<td>“A master campus plan exists showing existing buildings and planned structures for the future.”</td>
<td>“We have a master plan for the campus that has on it existing and future buildings and programs.”</td>
</tr>
<tr>
<td>Planning Gives Sense of Control</td>
<td>“If you plan it, there is an implication that you have some control.”</td>
<td>“The most significant focus for all change has been to ensure that the school has a future.”</td>
<td>“Nobody wants change. They want something they can control. They trust the [planning] process.”</td>
</tr>
<tr>
<td>Control Tuition Discounting</td>
<td>“We decided to decrease the discounts because we felt like we were buying students.”</td>
<td>“We have a very low discount rate. We have conscientiously kept it low.”</td>
<td>“So we began to close those cash flow gaps by not giving all that financial aid [tuition discounting] and making them [students] pay.”</td>
</tr>
<tr>
<td>Ask “Friends” for Financial Help</td>
<td>“We went to them (outside friends) with what our greatest need on campus was at that time.”</td>
<td>“The initial goal of the campaign was $1,000,000. It was surpassed in two months.”</td>
<td>“We have 300 partners which sign a pledge card to give $1,000 per year, unrestricted, for three years. Next year we will have 400, then I want 500.”</td>
</tr>
<tr>
<td>Allow for Excess Funds to Cover Emergent Needs</td>
<td>“I have learned that if you can depend on having some excess revenue you can cover yourself for unplanned problems.”</td>
<td>“We could build up a surplus. Now we are able to make improvements to the campus and to grow.”</td>
<td>“The last seven or eight years we have been generating $2 million in excess revenue for strategic initiatives.”</td>
</tr>
<tr>
<td>Document Significant Decisions</td>
<td>“All these things [committee meetings] are documented, minutes are taken. Minutes are published on the Intranet.”</td>
<td>“We keep minutes. We review all the annual reports from all the other committees.”</td>
<td>“In the whole cycle of planning you can connect the dots from assessment to execution.”</td>
</tr>
</tbody>
</table>
being reached. But the important thing is that the process be renewed annually and kept fresh.

Departmental reports are consolidated by the appropriate Vice-President, and these collective data are then used to help the institution adjust its overall goals for the next year, including the allocation and reallocation of financial resources in the annual budgeting process. The process is dynamic and open so all faculty and staff can stay informed of major strategic shifts that may occur and the reasons why those shifts are made. This shared process also gives employees a feeling of control over their futures and creates additional buy-in to the process.

The need to incorporate an awareness of constant change into the institution’s culture and to be able to adapt to it has been documented repeatedly in the literature. The main discussion in these studies is centered on the importance of involving all faculty and staff in strategic thinking. Decision-making is made more effective when done when considering the strategic impact of those decisions. Additionally, the amount of cultural change may be significantly different based on the historical uniqueness of each institution and their particular form of governance (Eckel & Kezar, 2002; Hearn, Lewis, Kallsen, Holdsworth, & Jones, 2006; Keller, 1983, 1999; Kotler & Murphy; 1981; Rowley et al., 1997, 1998; Rowley & Sherman, 2002; University of Iowa, 2006).

Kirk and Rose (2001) noted in their qualitative study that educators need to use caution in not allowing the planning process to focus merely on the plan but on the end results the plan anticipates. It was noted that many institutions have difficulty integrating their planning into actual change processes that fulfill the strategy in the plan. Their
findings suggest the planning process and the implementation of the plan remain as flexible and responsive as possible, focusing once again on the desired end results.

Another planning concept common to all the schools in the study is in the development and continual updating of a campus master plan. In these plans, use of land and the addition of buildings, including the infrastructure needed to support those facilities, are planned well in advance. A continuity of purpose is assured as well as the ability to allow for growth and change in a way that keeps the campus orderly and intentional in design and usage.

This concept is also supported in the literature. Kriken (2004) discussed the need for master plans to create a strong and desirable vision of what the campus can become, and these plans become a management tool that guides development decisions to achieve that vision while meeting the needs of programs, circulation, and environmental requirements. Also, master planning is seen as a way to help reduce overall costs of capital in delivering education (Cash, 2004; Guckert & King, 2004).

Finally to assist in maintaining a culture of change, each institution has a formal plan for holding back a certain percentage of the budget for strategic initiatives. These funds, normally only 1-3% of the total budget, are competed for by departments in an attempt to do something above and beyond what the normal financial budgeting process would allow. This constant analysis by all departments on what they could be doing to improve or expand their service to a new level is seen as invigorating and is paying rich dividends.
Dealing With Other Financial Issues

Several common sub-themes were found that also keep the planning and financial operations of the institution successful. One of these is in controlling tuition discounting. All participants recognized the challenges of competing with an educational culture in private education that calls for a published tuition rate significantly higher than what is actually anticipated to be paid by the typical student. Accordingly, it is common for freshmen students to have their tuition and fees discounted by as much as 40% and more. Two of the institutions in the study reported discounts averaging less than 20%. The third school, averaging closer to 37%, is able to afford that amount by having a student-teacher ratio of nearly 20:1.

The main reason cited for controlling the discounting process is we don't have to. All three have capacity problems of some sort and have adequate enrollments without "buying students." At the same time, there is a perception by prospective students and parents that if a competing school is offering a "large scholarship" then all schools need to match the offer regardless of how different the net family contribution is actually required due to potentially significant differences in overall tuition rates at the competing schools.

There were expressed concerns over controlling tuition discounts and other equally important concerns about controlling the rate of tuition increases. Martin (2003) agrees with these concerns in his article about applying economic principles of pricing, supply, and demand to higher education. He cautions leaders in higher education that while economic models of supply and demand used in business need some adjustment for education, pricing most assuredly will affect the number and quality of students enrolled.
There were repeated references in the interviews to making certain every dollar was spent for maximum value. This requires a constant education of their leadership regarding the importance of reallocating funds from activities that were not yielding a maximum benefit to something else that would create the desired return on the investment. This is consistent with Dickeson (1999) when he states that the single greatest source of funds in an organization to fund new activities is the reallocation of existing resources. There was also a true sense of stewardship that was overtly talked about in each institution concerning their responsibility to God and to all stakeholders to make the best use of the resources entrusted to their care.

All institutions showed an increasing number of individuals they can call on for financial help. Included in this financial assistance is the ability to get selected donors to commit to significant annual donations for unrestricted purposes. Normally, large donations are given for very specific projects or purposes designated by the donor.

It was noted that all participants in the study were reluctant to talk about emergent changes. There was an overt attempt to show most changes are planned, but in all of the interviews, there were repeated examples given of emergent changes occurring without them being recognized as such. A partial explanation for this is because all three institutions have created enough surplus revenue in their budgets to be able to handle unexpected and emergent events that occur. However, as recent studies have shown, the emergent perspective has some merit in allowing strategies to emerge from without and within the organization rather than be planned at a particular point in time (Mintzberg & Quinn, 1992; Mintzberg & Waters, 1985; Pettigrew, 1992; Wall & Wall, 1995).
Finally, all processes mentioned above are enhanced when they are documented properly. There were as many negative remarks about the problems of not documenting as positive comments about the benefits. The main benefit, other than the obvious recording of actions taken for reference purposes, was the ability to communicate with a larger audience the actions that were taken. This documentation and communication were seen as enhancing change processes by making them transparent. This gets back to the issue of everyone having buy-in and thereby some control over change through input on how change will occur within the institution.

These formal planning processes are in agreement with the research that has advocated their use. This includes those who have advocated strategic planning as a process to be used by all business and service entities (Bryson, 1995; Hart, 1992; Mintzberg, 1994) and by those who stated strategic planning specifically be used in education (Brigham-Sprague, 2001; Dickeson, 1999; Duderstadt 2000; Kirk & Rose, 2001; Rowley & Sherman, 2002).

In summary, the change processes found under the theme of formal planning processes and other financial issues related to developing a culture of change through the development and documentation of a renewable strategic plan and annual evaluation of short-term goals found in those plans as well as setting aside a small percentage of the next year’s budget for strategic initiatives. Additionally, tuition discounting should be closely monitored and controlled and friends of the university be regularly visited and asked for financial assistance in funding student scholarships and other unrestricted and restricted projects. Finally, the change culture needs to allow for recognition of emergent
changes and the need to have financial reserves available to quickly respond to those changes.

**Research Question 1—Change Processes**

The first research question asked about ways that selected successful private institutions of higher education are responding to changes created by the shift to the Information Age. The study shows that these selected institutions are responding to these changes by establishing processes in four major areas. The first are related to enhancing academic delivery. Included in the sub-themes in this area are embedding the use of technology in the delivery of instruction and the exploration and experimentation in the use of technology to provide distance education to broaden the market being served by the institution including both regular students and lifelong learners. Additionally, they are using affiliations to create synergies with other academic institutions in jointly filling the needs of students and maximizing the use of scarce resources. They are refining core curriculums to ensure that a liberal arts degree remains relevant in today’s world and to differentiate one’s institution in an increasingly competitive environment. Finally they are using aggressive planning processes when starting new programs, reviewing existing programs, and letting go of programs that are not a priority for the institution or its students.

A second major grouping of change processes focused on reexamining the fundamental role of the faculty. Included in the sub-themes for this group are: equipping and training faculty in the use of technology, decreasing faculty workloads to allow for
more personal development, maximizing faculty roles in core curriculum changes, overcoming resistance to change by the faculty, and the integration of faith and learning.

The third major grouping of change processes was in improving campus life for students. These processes included: an increased emphasis on sports, both formal competitive sports as well as fitness and wellness training; enhancing on-campus populations by improving food service and on-campus housing arrangements; improving recruitment and retention efforts; and by increasing the degree of personal attention given to every student.

The fourth major group of processes related to formal planning processes and other related financial issues. Sub-themes included: (a) creating a shared vision on campus, (b) making long-range strategic plans based on those visions, and (c) managing change by creating a culture within the institution that focuses on achieving the goals in the strategic plan, (d) creating master plans for land and facility usage and the infrastructure to support these facilities existing and planned, (e) controlling tuition discounting, (f) asking friends for financial help with an emphasis on unrestricted donations, (g) having excess revenue in the budget to be able to deal with unplanned and emergent changes, (h) setting aside funds for strategic initiatives, and (i) documenting significant decisions by taking minutes and communicating them to all affected stakeholders.

In summary, these three institutions are responding to many pressures and forces brought on by the Information Age using similar processes. But the data indicated that possibly even more important than the actual change processes themselves is the need to have a culture of change. This culture allows change processes to succeed by creating an
awareness of change, a participation by faculty and staff members along with Administration, and an overall acceptance of change.

**Research Question 2—Integrating Practice With Theory**

This second research question asked how current practice matches up with theoretical concepts advanced by recent literature. The major theorist discussed in the literature review was John Kotter and, specifically, in which ways his eight-step process was relevant for education. This section will discuss the findings found in the study in regard to the role of the leader in change management and the eight steps Kotter suggests will be found as leaders lead change in their organizations.

The study found all eight steps in Kotter's plan were present on each campus (see Table 5). The study was not organized in a way to track one major change from beginning to end on a given campus and therefore it was not determined all eight steps were followed in sequence as Kotter suggested. However, it was noted in his writing that many changes are always occurring in various stages of development and therefore all eight steps could and probably would be seen in any given organization at any point in time (Kotter, 1996). The study did find evidence that all eight steps of development are in process for different changes taking place and therefore some support can be given to this theoretical concept.

The important point in this regard is in the role of the leader in change management. It was found that the leaders on each campus were involved in establishing a sense of urgency. In two of the institutions this urgency was directly related to the fact
<table>
<thead>
<tr>
<th>Step in Kotter’s Plan For Change</th>
<th>UMHB</th>
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</thead>
<tbody>
<tr>
<td>Step 1 – Establishing a Sense of Urgency</td>
<td>“Twice in the last five years we have increased our admissions standards. We need to control our growth.”</td>
<td>“He also talked about the changes this ethnic and demographic shift will create. I don’t think we are prepared to address that.”</td>
<td>“We went into financial exigency. We put together a three-part plan. The first part was to survive.”</td>
</tr>
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<td>Step 2 – Creating a Guiding Coalition</td>
<td>“There are several business men in our area. That’s where I go to recruit my folks to work for me.”</td>
<td>“We have a long-range planning team which is responsible for putting together the planning document.”</td>
<td>“The executive committee are the people who have the authority and responsibility to make decisions.”</td>
</tr>
<tr>
<td>Step 3 – Developing a Vision and Strategy</td>
<td>“When we got serious about football, it was a three-year process to get everyone on the same page – where we were going.”</td>
<td>“The planning document goes first to the faculty senate and then to the Board of Trustees for approval.”</td>
<td>“In terms of facilities, we have those mapped out in a long-range plan and then we have the projects in priority order.”</td>
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<td>Step 4 – Communicating the Change Vision</td>
<td>“I do a lot of, Let me tell what I am going to say, I tell you what I said and then I am going to tell you what I said.”</td>
<td>“I listen to my Administrative council, I listen to student leaders, I communicate with the faculty monthly.”</td>
<td>“I spoke at a thousand churches in this state communicating the vision.”</td>
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<tr>
<td>Step 5 – Empowering Broad-Based Action</td>
<td>“Everyone has to feel like they have a part and everybody actually has to have a part.”</td>
<td>“I said to the chairs, Look, you are the folks responsible for ensuring that these things are done.”</td>
<td>“We got the cost of doing business down by getting people doing everything for free.”</td>
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<td>Step 6 – Generating Short-Term Wins</td>
<td>“We raised the funds, we hired a coach, and now we are on the road to excellence.”</td>
<td>“We were really doing well. We had set up a committee, they talked to their constituencies, they came up with a new plan.”</td>
<td>“The operation began to get some respect, there was hope, saw that we had started to pay back our vendors. Fourth year got even better.”</td>
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<td>Step 7 – Consolidating Gains and Producing More Change</td>
<td>“All of that additional on-campus enrollment came from the change in our student recruitment philosophy.”</td>
<td>“I just pursued it, the faculty senate passed it, and we have been doing it ever since. Parents thanked us.”</td>
<td>“We are going to continually re-prioritize reality.”</td>
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<tr>
<td>Step 8 – Anchoring New Approaches in the Culture</td>
<td>“They have been very supportive because almost everything we have done that has been successful has had purpose behind it.”</td>
<td>“I think we are young enough that we are adapting to all of that change.”</td>
<td>“Planning on our campus is part of the culture. We recognize that everything we do related to strategic planning.”</td>
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the institution was still relatively young and was vulnerable to closure if the institution relaxed for a moment on creating a differentiation in its marketplace.

UMHB was less focused on its age with a relatively long history back to 1845 but was very aware of the intense competition it was facing with eight other Baptist colleges and universities in the state of Texas alone and with all the other public and private schools located within the immediate service area. Each institution had created guiding coalitions of individuals to lead change efforts. Usually, this group consisted of the leadership team consisting of the Vice-Presidents and Deans, as well as members of the faculty and students. These groups met regularly and provided the important link between the leader and the rest of the organization in facilitating change. This group also increased the level of collaboration and ensured that the change vision was shared across the organization.

Leadership on all three campuses had a clear vision of where they saw their organizations heading in the foreseeable future. They were using the guiding coalitions in Step 2 to create a shared vision with the rest of their institution. Additionally, other members of the faculty, staff, and Boards of Trustees were involved in creating a strategic long-term plan to implement this vision.

There was good and continuous communication between the leaders on all campuses with their institutions and outside constituents and stakeholders on changes being made on campus. One president especially made note of the importance of using communication with all affected parties to make certain there were no surprises. This helped to alleviate any concerns about what the real agenda for the change is and helping the rest of the campus community feel buy-in to the process.
Delegation of the responsibility for making change happen to appropriate individuals and groups of individuals was noted on their campuses. This included the authority to make the change happen. The ability to actually help to shape the change and to implement it relieved a lot of the concern about change being outside of one’s ability to control. Leadership saw the importance of generating short-term wins in major change processes to solidify the overall change process. Creating the Center for Christian Studies was a first step in separating the College of Humanities and Sciences at UMHB. Alternative housing arrangements for junior and seniors at MSMC was a short-term win to assist in improving the retention of these students through their graduation. Online MBA classes at CSU have paved the way for additional programs to consider alternatives to academic delivery at that campus.

Consolidating gains and producing more change is also taken seriously by leadership at all three campuses. Changes in top administrators to remove resistance to change, to refocus academic program initiatives, and to reduce tuition discounts were examples of these types of activities. At CSU, an administrator emphasized the importance of continually educating his campus on the significance of reallocating resources to their most productive usage.

Finally, all interviewees talked about the importance of anchoring change in the very culture of their institutions. This change occurred very slowly over time but had been accomplished. The culture at each institution was focused on change and the leadership collectively working on adapting and refocusing their institution to their changing external and internal environments.
Recommendations

As a result of the findings in these case studies, several recommendations are suggested to enhance change processes at institutions of higher education. They are as follows:

Enhancing Academic Delivery

1. Embed technology in academic delivery. This may include the use of laptop computers by all faculty. This can be assisted by the use of wireless technologies to allow for immediate access to networks by authorized faculty and students.

2. Consider the adaptation of classroom instruction to an online format to potentially address a larger student population. This population includes adults and other lifelong learners who would not have a direct involvement with the institution otherwise.

3. Create strategic partnering with other academic institutions. These partnerships are seen as win/win situations for both schools as they attract more students as a result of the greater number of programs and services available and at the same time allow for sharing revenue and expenses in the delivery of those programs and services between the schools.

Challenging the Fundamental Role of the Faculty

4. Update core curricula to create a distinctive competitive differentiation with competing institutions. The core can communicate a unique interpretation by the institution as to what comprises an appropriate and relevant liberal arts degree for success to today’s marketplace.
5. Assure proper planning for and reviewing of academic programs on an annual basis. This provides an awareness to faculty and administration on how programs are succeeding or failing and adjustments that may need to be made.

6. Overcome resistance to change, especially by the faculty, by consistent communication of where the institution is going and how it is performing. Resistance can also be alleviated through involvement in change processes by flattening the organizational structure by actively involving faculty members in change processes.

Improving Student Life on Campus

7. Recognize and implement good sports and recreation programs.

8. Pay special attention to the attractiveness and flexibility of on-campus housing. Studies have shown parents and students are willing to pay more for good, modern, well-kept facilities.

9. Upgrade food systems to incorporate food court approaches to effectively compete with off-campus providers.

10. Improve recruitment via focused marketing plans and programs. Streamline processes from initial contact with prospective students through actual enrollment. Additionally, conduct formal surveys of students who do not choose to attend your university to overcome obstacles or competitive distractions.

11. Create student success programs to assure student retention. This is especially true for the first three semesters of a student’s experience.
12. Increase personal attention to students. This is seen as particularly important outside the classroom. Intervention by faculty and staff are appreciated by students as they recognize “someone cares.”

Implementing Formal Planning and Other Financial Processes

13. Before strategic planning can occur on campus, leaders of the institution must have a clear vision of themselves, their institution, and where they want to take it in the future. The vision will become functional once it becomes “shared” by the rest of the campus community and with the Board of Trustees.

14. Recognize the reality and importance of emergent changes occurring. Processes and resources are needed to address these changes and the financial budgeting process needs to be flexible to properly address them.

15. Set aside a small percentage of the financial budget for strategic initiatives. Have academic and service departments compete for these funds through formal proposals on how to expand and enhance service opportunities.

Once again, it is appropriate to consider the importance of addressing the culture of the institution in making these recommendations as effective as possible. Change management can become second nature to the institution if leadership carefully considers the culture’s ability to address and effect change and modifies that culture, if necessary. This may require significant discussion and collaboration over a period of time but appears to be critical to make change happen quickly and efficiently.
**Future Research**

1. As stated earlier, this study was not designed to track a major change over time to affirm Kotter’s eight-step process. There was enough anecdotal evidence that all eight steps are in place on each campus, but do they have to be followed in sequence for a given major change to occur?

2. The significant emphasis on competitive sports in these relatively small institutions was a surprise. Study should be pursued to establish the true overall benefit of these sports programs in relation to academic performance. It was clear from the study that sports programs increase enrollment but do they help improve quality in the overall college experience for all students whether they are directly involved in the sports programs or not?

3. It was noted that all three Presidents in the study had been in their position in their institution for many years. Is this another reason why similar change processes were found on each campus? Does credibility from stable leadership help change to happen? Is long tenure always a positive change agent or may it work in the just the opposite way in inhibiting change?

4. Finally, the study indicated there was “no effect” on the ability of the institutions to change coming from their relationship with their church. It was also noted that the percentage of faculty and students from the church relationship were decreasing slowly over time. Financial support from the church partner was either frozen or decreasing over time. However, leadership at each institution still talked about the importance of recognizing their stewardship responsibilities to God in the use of their
institutions' money. Therefore, is the "no effect" coming from a gradual lessening of the church's influence or from these institutions' ability to change by becoming more diverse?

Summary and Conclusions

This multiple case study investigated the change processes happening at selected private institutions of higher education. The changes and the processes were remarkably similar at all three institutions even though they have significantly different histories, heritages, and cultures. This helped to confirm the assumption made at the beginning of the study that successful institutions can be identified from their data and that they have good change processes in place to help make them successful.

Many of the changes and change processes noted in the study have been documented in the literature. As such, this study confirms and supports the literature. What this study adds to this literature are specific changes and change processes occurring on these campuses. It is believed that other campuses of similar size and control could learn from their experiences and benefit by implementing similar change processes on their campuses. Rather than being merely theoretical concepts, these actual change processes are being used to further the success of these institutions.
APPENDIX A

DOCUMENTS REGARDING THE INTERVIEWS
INFORMED CONSENT FORM
Andrews University
School of Education - Leadership Program
Ronald D. Herr, Graduate Student in Leadership
Dr. Shirley Freed, Advisor

Adult Consent for Own Participation

Title of Study: Change Management in Higher Education - A Search for Best Practices in Church-Related Institutions

Purpose: The purpose of the study is to provide research data for a Doctoral Dissertation to gain a better understanding of how church-related colleges and universities incorporate change management in their institutions.

Procedure: If I decide to participate in this study, my involvement will take no more than 2 hours of my time. I will be interviewed on my campus and asked to answer a series of open-ended questions about my role as a change agent in my institution. My answers will be recorded and transcribed. A copy of the transcript will be sent to me to review for additions, corrections or other observations.

Risks and Discomforts: I understand that no foreseeable risk exists for me as a participant in this research, since the study does not involve a treatment.

Benefits: I understand there are no benefits or compensation in return for my participation. My contribution to this study lies in the possible increased understanding of how change management should and does occur in church-related institutions of higher education. I understand that the information collected during this study will be included in a Doctoral Dissertation, and may be presented or published in professional journals or meetings.

Voluntary Participation: My participation is completely voluntary, and I am free to refuse or to stop at any time. This is a descriptive, non-evaluative study; my answers will be coded and kept strictly confidential. My identity will not be revealed without my written consent.

After reading the following paragraph, and if you agree to participate, please sign below.

I have read the contents of this consent form and have listened to the verbal explanations given by the investigator. My questions concerning this study have been answered and I voluntarily agree to participate in this study. I understand that the information about me obtained from this research will be kept strictly confidential. I have been given a copy of this consent form.

Participants Signature: ________________________________ Date: ________________

Printed Name: ________________________________ Date: _____________________

If you have questions after our interview, please feel free to contact:

Ronald D. Herr, Researcher
9411 Park Ridge Trail
Berrien Center, MI 49102
269-471-0220

Dr. Shirley Freed, Chair, Department of Leadership
Andrews University
Andrews Station, MI 49104
269-471-3487
Interview Questions

1. The world has changed dramatically in the Information Age. Can you tell me how those changes have affected your institution?

2. Describe how change happens on your campus - is it predominantly planned or emergent? Include an example of each these types of change that has recently occurred in your institution to improve financial and academic data.

3. Can you think of something you’ve read, seen or heard recently about change that creates anxiety for you or your institution?

4. What is the normal time frame for significant change to happen on your campus?

5. When considering change who do you listen to for ideas and directions?
   Examples could include the literature, student, parents and alumni, significant donors and friends, faculty and staff, Board of Trustees, etc.

6. What specific elements in the culture of your institution allow or impede change from happening? Please give examples.

7. How do you know when to let go of changes desired when it appears the change will not happen? Please give an example.

8. How do you handle unplanned changes especially as they affect planned changes in progress?

9. If a researcher were to develop a list of processes necessary for change management to occur, what processes should be included and why?

10. Tell me about your church-relatedness and how that affects your institution’s ability to change.

11. Why is your institution as successful as it is?
Data for three years (fiscal years 2001 - 2003) for all private, not-for-profit higher education institutions were used. The first step taken to reduce the number of institutions under examination was to sort out those institutions which delivered between 60 and 80K semester credits per fiscal year. The total of 1,800 institutions was reduced to 141 as seen in Worksheet 1.

Bottom line financial performance for these institutions was analyzed. It was noted that investment results for the fiscal years 2001-2003 could significantly distort the increase to net assets due to the financial markets being substantially negative for three years in a row. Institutions with large endowments or other invested permanently-restricted net assets suffered the worst. In order to eliminate this phenomenon, the investment results were taken out of the increase/decrease to net assets to leave operating results without investment income.

The resulting change to net assets was analyzed over the three years and sorted so that only institutions with positive and upward trending bottom lines were selected. The selected 23 institutions are shown in Worksheet 1 (highlighted).

Next, student-teacher ratios were analyzed for the 23 institutions. Institutions with ratios of 14-19:1 were selected leaving 12 (Worksheet 2).

Financial data for two additional years were added to the final 12 institutions to allow for a 5 year presentation covering the fiscal years 2000-2004. The final 12 institutions were further analyzed for similarities or dissimilarities. Of those, 9 were eliminated due to unusual speciality of courses offered, tuition out of line with peer institutions, students being predominantly community based rather than on campus residential students, and
unusual student enrollment compared to semester credits generated. The final selections are shown in Worksheet 3 (highlighted).
ILLUSTRATIVE DATA USED IN INSTITUTIONAL SELECTION

Worksheet 1.
United States Private Colleges and Universities
Delivering between 60 and 80K Credits Annually

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Worksheet 2.

United States Private Colleges and Universities
Faculty and Staff Data for FY 2003

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<tr>
<th>NAME</th>
<th>Full-Time Faculty</th>
<th>Part-Time Faculty</th>
<th>FTE Faculty</th>
<th>FTE Enrollment</th>
<th>Student/Teacher Ratio</th>
<th>Total Employees Headcount</th>
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Worksheet 3.

United States Private Colleges and Universities
Final 12 Institutions Selected Based on Academic and Financial Statistics

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<th>IPEDS #</th>
<th>NAME</th>
<th>TOTAL CREDITS</th>
<th>2000 Net (c invest)</th>
<th>2001 Net (c invest)</th>
<th>2002 Net (c invest)</th>
<th>2003 Net (c invest)</th>
<th>2004 Net (c invest)</th>
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James, E. (1986). *Forth from her portals.* Belton, TX: University of Mary Hardin-Baylor Press.


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VITA
VITA

PERSONAL DATA:

NAME: Ronald Dean Herr
PLACE OF BIRTH: New Mexico, United States

EDUCATION:

2006  Ph.D. Leadership
      Andrews University, Berrien Springs, MI
1972  B.A. Business Administration
      Andrews University, Berrien Springs, MI

WORK EXPERIENCE:

2005 – Present  Graduate Bursary
                   Andrews University, Berrien Springs, MI
1998-2005  Associate Vice-President for Finance and Controller
                   Andrews University, Berrien Springs, MI
1994-1998  Director of Operations
                   General Conference of Seventh-day Adventists, Silver
                   Spring, MD
1993-1994  Chief Financial Officer
                   Loma Linda Faculty Medical Group, Loma Linda, CA
1988-1993  President
                   AHS Risk Management, Arlington, TX
1983-1985  Treasurer
                   Adventist Health System/West, Roseville, CA