Faculty Perspectives on the Change Process of an Institution of Higher Education

Undergoing Downward Expansion

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Dedication

To my son, Aidan

Abstract

Institutions of higher education are constantly changing. Many scholars suggest that colleges and universities are undergoing change in unfamiliar environments as forces such as changing student demographics, unstable finances, changes in technology, and increased demand from state and federal agencies for institutional accountability have made changes into large-scale initiatives (Kerr, 1991; Clark, 2004; Gumport & Zemsky, 2003). While these variables may not be considered "new" to higher education, the intensity and, at times, urgency to change is different. The environment of today's colleges and universities is demanding change to happen in a manner that is not characteristic of past change in higher education. Some scholars argue that institutions of higher education have adopted a "corporate culture" which will enable them to compete in a highly competitive "marketplace" (Cameron, 1984; Gioia, Thomas, Clark, & Chittipeddi, 1994; Gioia & Thomas, 1996; Gumport & Sporn, 1999).

At the center of these institutions are the faculty. To consider change in colleges and universities is to bring faculty to the forefront of the change process. The faculty role as the cornerstone of students' higher education experience is being meshed with environmental pressures and institutional initiatives to change. Schuster and Finkelstein (2006) suggest that the faculty are linked to the future of higher education and that without their presence, the nature of the academic experience would fundamentally change. Rowley, Lujan, and Dolence (1997) add that the faculty are vitally important players in an institution's plans to change as they will likely be the ones responsible for solving issues that arise during the process.

This study examined perspectives of faculty at a midsize university, Lake University, planning to change from an upper-level institution (serving only juniors, seniors, and graduate students) to a traditional four-year university. Lake University was founded to serve as an educational resource for local oil/gas, aeronautical, and health care industries. However, the changing landscape of higher education and future financial security has influenced the President of Lake University to begin planning for downward expansion in 2011 with a target of fall 2014 as the semester in which institution's first freshmen and sophomores will be admitted.

Framed as descriptive case study, the data collection for this study consisted of three methods: survey, focus groups, and interviews. This mixed-methods collection was conducted sequentially with the quantitative data collected followed to by two qualitative methods, as each method was informed by the preceding method. Data collection took place during the spring 2013 semester. Surveys were sent to 502 faculty, excluding the eight pilot study participants, who were categorized as "active" as of the spring 2013 semester. A total of 90 faculty accessed the survey and 80 completed the instrument, resulting in 15.9% response rate. Qualitative data included 17 participants in four separate focus groups and eight individual interviews that represented faculty of all four schools at Lake University, all levels of rank as well as full or part-time status.

Constructivist theory was used as a theoretical framework for this study. Using the works of Crotty (1998), Lincoln (2005), and Creswell (2009) to contextualize the way in which this study examined faculty perspective, the meaning construction faculty undertook to understand downward expansion was used to develop a framework of faculty attitudes, or stances, regarding the change. Developed from a model of faculty

support/resistance presented by Klein and Dunlap (1994), four stances were used to organize the nature of the faculty perspectives revealed in this study: active resistant, passive resistant, passive supportive, and active supportive.

Data analysis suggested that faculty at Lake University were mostly supportive of the idea of downward expansion, but were not as supportive of the change process. Examination of Lake University faculty perspectives found that that 49% of faculty were passive supportive, and 18% were passive supportive. In contrast, analysis determined that 26% were passive resistant and 7% were active resistant. Data collection results indicated that many faculty were frustrated over various aspects of the downward expansion planning process (e.g. communication/transparency, the value felt by faculty during the planning process, and trust), while others felt that that the faculty have been engaged and informed throughout the planning process.

These faculty perspectives could be suggestive of the type of change Lake University will undergo for downward expansion. Literature on change in higher education has indicated that each institution will experience change differently. Yet, the role that an institution's constituencies will play in the change, along with its breadth and depth, will help determine initiative's nature. As a large-scale change that is, by its intention, aimed at redefining the institution, downward expansion at Lake University may be unfolding without many of its faculty being given the sensemaking opportunities to define their roles in the "new" Lake University. This study concludes that if downward expansion at Lake University will be a transformative change the deep, sensemaking-centered elements of such a change are not yet fully evident at this institution.

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CHAPTER 1

INTRODUCTION

Reinventing a college and university does not seem like a realistic or practical endeavor. Colleges and universities are known to be highly complex organizations that have, typically, grounded educational experiences in institutional traditions, rituals, and symbols representing long histories. Once the cornerstone of the educational experience, the faculty are finding themselves torn between traditional responsibilities of teaching and research and new environmental demands "an increased press for accountability, the need for more diverse faculty, changing student demographics, uncertainty about funding priorities, and a decline in the proportion of tenure-track faculty all are contributing to the transformation of both academic work and the people who do it" (Gumport & Zemsky, 2003, p. 33). Colleges and universities are incorporating cutting-edge technologies, building expansive facilities, internationalizing their students and programs, and developing new curricular programs to prepare students for current and relevant challenges in a global community. Some institutions are feeling pressure to totally redefine themselves in order to be more competitive or even to survive in a changing higher education environment. For example, two upper-level universities, Governor's State University in Illinois and the University of Houston-Clear Lake in Texas, are undergoing total restructures of their curriculums, faculty, facilities, and institutional cultures in preparation to expand into four-year universities by fall 2014.

To keep up with the new and emerging demands on today's graduates, colleges and universities have adopted highly dynamic change mechanisms that maintain an active

balance of adaptation and innovation. Yet, many scholars of American higher education

(Kerr, 1991; Clark, 2004; Altbach, Berdahl, & Gumport, 2005; Keller, 2008) would argue

that colleges and universities are going through constant, mostly large-scale, change in an

unfamiliar environment. Some scholars further contend that this new environment has a

"corporate culture" which contains a highly competitive "marketplace" (Cameron, 1984;

Gioia, Thomas, Clark, & Chittipeddi, 1994; Gioia & Thomas, 1996; Gumport & Sporn,

1999).

Change in this environment is causing colleges and universities to adjust, adapt,

and even totally transform in ways that are new and possibly problematic. The era of

institutions conducting slow, incremental change process on small scales has all but

ended. Now, campuses are challenged to undergo large-scale, culturally pervasive

transformations that challenge institutional identities built up by long held traditions and

rich histories.   A key example of this challenge is the shifting of faculty as the epicenter

of the campus culture toward campus bureaucrats and their top-down decision making

(Gappa, Austin, & Trice, 2007). As such sweeping changes are, seemingly, in constant

motion, high pressure environmental demands do not allow for years of planning,

implementation, and evaluation (Bess & Dee, 2008). Today's colleges and universities

are required to change with a sense of urgency so as to keep up with parallel efforts of

their peer institutions and so that their places on highly publicized rankings or

classifications lists do not slip. However, higher education change scholar Adriana Kezar

warns that such a momentum of change could cause some institutions to suffer from

"initiative overload" caused by "including too many stakeholders, a lack of synergy

among similar efforts, an inability to prioritize, turnovers in leadership, and institutional

isomorphism" (2009, p. 19).   Because of these new realities, institutions of higher education face two challenges: to develop a change process that effectively manages, interprets, and reacts to the demands of a turbulent environment; and to effect change that is holistically meaningful to the institution so that its culture and identity become assets rather than hindrances to enabling a new image of itself.

Historical Trends in Higher Education Change

Change has always been a part of American higher education. Dating back to institutions in the original colonies, colleges and universities have grappled with departures from church affiliations to the introductions of liberal arts, social sciences and humanities into more secular curricula. The faculty retained their medieval stature of being the center of the higher education experiences as the lecture persisted as the primary delivery method of education. Initially, the students served at these institutions were members of the cultural elite, but access eventually broadened dramatically as the state sponsored, land-grant universities were chartered by the late 1800s. Milestones in higher education history, traditionally, unfolded as responses to changes in broader social, political, and economic environments. Some institutions were founded specifically in response to influences from these environments. For example, the explosion of industry, specifically in the northeast, contributed to the founding of Johns Hopkins University in 1876 (Thelin, 2004). The single $7 million dollar contribution by Johns Hopkins marked one of the earliest involvements of corporate influence in higher education through hefty donations and resulted in the "growing numerical presence of industrial leaders as trustees on university boards, eventually leading to the rhetorical slogan, 'Why can't a college be run like a business'" (Thelin, 2004, p. 112-113). A

similar gesture was made by John D. Rockefeller with a donation of $12 million dollars to establish the University of Chicago (1890) for the purpose of creating an "eminent Baptist institution in the Midwest" (Thelin, 2004, p. 113). Thelin (2004) characterizes the time period from 1880 to 1910 as the "era of the 'university builders'" (p. 111). During this era, the intense competition that characterized corporate and business rivalries had made its way into higher education. A "mixture of donors and presidents," Thelin (2004) notes that early university builders were highly competitive and commonly acted with "distrust, contempt, chicanery and sabotage" towards each other (p. 112). It was common for university builders to raid the faculties of competing institutions and construct "lavish facilities" (Thelin, 2004, p. 112). For example, Clark University and Catholic University both fell victim to the competitive environment created by university builders as neither could adequately fund marquee programs and academic initiatives. Clark endured further setbacks as the university builders from the University of Chicago, led by founding President William Harper, staged a successful raid of the their faculty (Thelin, 2004).

Two themes emerged to add perspective to the attitude that many institutions felt toward change: the high value to which institutions of higher education held their sense of identity among other colleges and universities, and the necessity with which change initiatives were received by members of the campus community, especially the faculty. Protecting an institution's identity during a time of change was a motivation in how campus leaders evaluated the necessity and depth of adaptation, reform, or transformation. Several questions can be used to characterize change decisions in the pre – twentieth century era of higher education: "Would the proposed change threaten to

redefine the institution?", "How pervasive must our efforts be in order to meet the demands influencing this change?", and "What happens if we ignore the need to change?" Studies of characteristics valuable to organizations such as identity (Dutton & Dukerich, 1991; Weick, 2001), symbolism (Gioia, Thomas, Clark, & Chittipeddi, 1994; Bolman & Deal, 2003) and rituals (Trice & Beyer, 1984) would validate the importance of protecting institutional history and tradition and why answering these question may cause a change initiative to move slowly and have as little impact on the core structures of the institution as possible (Keller, 2008). To propose an expansion of curricular programs, transforming an institution into coeducational, and introducing secular tones to a traditionally spiritual educational experience are but a few examples of change initiatives that colleges and universities since the 1600s have struggled to accept (Brubacher & Rudy, 1997; Thelin, 2004). Substantive change efforts would place an institution's identity, symbols, and rituals into a change process that may or may not validate their importance (Weick, 2001). Change, therefore, could become a contradiction, or even a threat, to members of a campus community who identify themselves with an institution and its traditions.

The "Crises" of the Modern University and the Pressures to Change

College and universities in the twentieth century, on the other hand, experienced a dramatic shift in how institutions perceived and managed influences of change. Authors such as George Keller (2008), Clark Kerr (1991), and Arthur Levine (2001) have identified this "modern era" of higher education as a time of significant transformation and, to an extent, crisis. Kerr and Gade (1987) remarked that the colleges and universities undergoing crisis and change simultaneously has become "the rule, not the

exception" (p. 129). Colleges and universities experienced radical change following the

passage of the GI Bill in 1944 as a massive influx of students, curriculum changes to

align more with social and workplace demands, expansion of facilities, and funding

became issues for every campus (Thelin, 2004).   As these trends continued into the

1980s, higher education became:

> Dependent on demography, dependent on the judgment of public authority,
>
> dependent upon the comparative performance of its competitors, dependent on the
>
> mercies of mass media, open to the surrounding community, vulnerable to attacks
>
> against its own inadequacies, higher education today, as contrasted with a decade
>
> ago, is becoming more conscious that it is a subsystem within the total society and
>
> that it does not lead a life entirely of its own design. (Kerr, 1991, p.134)

Echoing the trends Kerr (1991) identified as changing higher education, the

notion of a "crisis" proliferated studies of postsecondary education. The most popular

"crisis" to be studied was the financial challenges institutions of higher education were

facing across the country. Works by Kerr (1991), Bowen (1968, 1980), Breneman (2009),

Johnstone (2005), Hauptman (1997), and Zusman (2005) are a few examples that look at

the financial stability of institutions of higher education in regards to booming

operational costs, the effect tuition increases compared to the rate of inflation,

diminishing financial aid resources, decreasing state and federal funding, and the

increased rate with which college and university increasingly are forced to adopt

business/corporate behaviors. Other "crises" represented in higher education literature

includes changes in the student population (Breneman, 1982; Kerr, 1991; Levine, 2001;

Dey & Hurtado, 2005; Zusman, 2005), the changing role of the faculty (Altbach, 2005;

Schuster & Finkelstein, 2006; Gappa, Austin, & Trice, 2007); and the impact of emerging

technologies (Keller, 2008; Sargent & Heydinger, 1997).

As many of these perceived crises continue and proliferate up to the present day,

some scholars have challenged the notion of "crisis" in studying higher education.

Birnbaum and Shusok (2001) attempted to deflate the magnitude and number of

perceived crises in higher education by arguing that the application of the word "crisis"

has been frequently abused and taken out of context. To validate their contention,

Birnbaum and Shusok (2001) found that over a 25-year span, 1970 to 1994, an ERIC

search "yielded 593 citations containing 797 references to specific crises" (p. 62). The

authors believe that, "To say that colleges and universities today are in crisis is to

simplify to the point of absurdity an extremely complex and dynamic relationship

between higher education and society. The claimed existence of such a crisis is a myth. .

." (Birnbaum & Shusok, 2001, p. 74). The "myth" label, however, does not excuse the

realities of colleges and universities struggling to match the expectations beset by their

internal and external environments. Nor is it fair to presume that because Birnbaum and

Shusok's (2001) research found such a high number of references to higher education

enduring some sort of "crisis" that the word carried a faddish attraction to researchers

studying challenges common to colleges and universities.

Birnbaum and Shusok (2001) admit that the perception of higher education in

crises is not new and it will likely continue to find application as many of the challenges

listed above become more exacerbated by economic imbalances and the changing social

expectations of the university to produce well-trained and productive graduates. Altbach,

Berdahl, and Gumport (2005) present the challenges facing higher education as

"significant" but suggest that colleges and universities are "durable" and are capable of making adjustments (p. 1 – 2). In their concluding comments, Birnbaum and Shushok (2001) comment that, "Higher education is likely to continue on its unpredictable, bumpy road, using as its lodestone a utopian ideal that can never be achieved" (p. 78). Gumport (2000) took a sterner view of the changing environment of higher education,

> Over the past 25 years, academic knowledge in U.S. public colleges and universities has been reorganized along a utilitarian trajectory such that, at the macro level, the dominant legitimating idea of public higher education has changed from higher education as a social institution to higher education as an industry. (p. 68)

The shift from colleges and universities as social institutions to industry enforces the contentions made by Gioia and Thomas (1996) who suggest that higher education has entered a new marketplace and has adopted a more corporate orientation. Gumport (2000) warns that the marketplace of higher education may not be easy to define,

> It is valuable to view higher education as having not just one major marketplace, as determined by type of student served, geographic location, or degree granted. Instead, we can see several types of markets at work simultaneously – not only for obtaining students, but for placing graduates, hiring and retaining faculty, obtaining research funding, establishing collaboration with industry, maintaining endowments, sustaining and extending alumni giving and other fundraising sources, and so on. (p. 72)

These perceptions of "crisis" or "challenges" in higher education continue to change as colleges and universities are becoming more susceptible to unfamiliar environmental pressures from political, economic, societal and corporate entities. Arthur Levine (2001) argues that higher education needs to become a "mature industry,"

> The market is demanding forms of the product that they are unable or unwilling to provide. . .The problem is that traditional higher education no longer meets the needs of our society. At bottom, government and the public are demanding not a limit on higher education's expansion but rather a readjustment and redesign of the enterprise. (p. 42-43)

Levine (2001) believes that higher education becoming a "mature industry" is driven by five "critical societal changes": the rise of an information economy; changing students; the cost of higher education; new technologies; and changing public attitudes. According to Levine (2001), the best way for higher education to adapt to these changes is to confront the pressure from private sector competition, especially corporate-sponsored academies and proprietary schools, and either develops well-resourced defenses for poaching today's students or enter into partnerships with these entities aimed at utilizing each other's strengths to attract students.

Focusing on similar societal changes, Cameron and Tschirhart's (1992) study of 331 four-year higher education institutions contends that colleges and universities are increasingly challenged by postindustrial environments, "The environments of colleges and universities are increasingly characterized by turbulence, competitiveness, lean resources, unpredictability, and periodic decline" (p. 88). Existing in these environments,

Cameron and Tschirhart (1992) continue, would cause colleges and universities to struggle "monitoring and scanning, let alone planning for and reacting to, these chaotic conditions. This often leads to a short-term, threat-induced crisis mentality" (p. 88). Drawing conclusions similar to Levine's (2001) contention that higher education needs to partner with private industry, Cameron and Tschirhart (1992) suggest that colleges and universities "engender a 'customer focus' in the institution where, as in business, both internal and external customer groups are identified and served" (p. 104).

Similar to the characterizations of institutions of higher education as evolving into a mature industry or the challenge of adapting to postindustrial environments, some scholars suggest that college and universities are reacting to their environments through institutional isomorphism. DiMaggio and Powell (1983) argue that isomorphic institutions are bound together by forces of increasingly competitive market places which create a new urgency for organizations in the same field to resemble each other. Isomorphic institutions become more bureaucratic as a means to be more adaptive, more quickly, to external forces so that competition with others can be sustained, "Organizations compete not just for resources and customers, but for political power and institutional legitimacy, for social and economic fitness" (DiMaggio & Powell, 1983, p. 150). Levinson (1989) comments, "As universities become increasingly dependent on powerful external institutions, those other organizations shape and change the university" (p. 24). These dependencies, Levinson (1989) continues, are causing power to shift away from faculty toward senior campus or system-level administration who are answering external demands. Following DiMaggio and Powell's (1983) classification of three types of institutional isomorphism, Levinson (1989) argues that "academic institutions have

been 'coerced' to develop in particular ways through trustees or regents who represent religious or philanthropic groups, business elites, or political interests" (p. 24). This coercion causes change processes that, at least in part, include mimetic isomorphism. This type of isomorphism involves the "borrowing" of techniques and processes of larger, more successful institutions as well as examples from elite private industry in order to adopt practices aimed at increasing the school's image and efficiency of its functions so that its place in the marketplace can be elevated. In many cases, "'Efficiency' may require that faculty only react to decisions rather than participate in making them" (Levinson, 1989, p. 26).

Current trends of change in higher education.

Recent examples of how institutions of higher education are being effected by their environments is evident in the reactions colleges and universities across the nation are having to financial shortfalls, the widespread changes in the "education market" as proprietary schools continue to grow and flourish, and the profound impact of Massive Open Online Classes (MOOCs) on the way in which higher education is delivered.

In 2000, the State of Texas launched an enrollment plan for state colleges and universities to "add 500,000 students, a 50% increase, by 2015" (Selingo, 2000, "Major Growth Planned," para. 1). This effort also includes a retention initiative, calling for state colleges to "award nearly 40,000 more degrees by 2015, particularly in education, engineering, computer science, mathematics, and other critical fields" (Selingo, 2000, "Major Growth Planned," para.8). Through tuition income, this increase in new and current students would help the state recover funding lost due to diminished federal

resources. The following year, the newly elected Governor proposed a major overhaul in the way the state of Texas financed in state colleges and institutions by drastically reducing state appropriations to institutions and redistributing the money directly to students to cover tuition, book, and other costs (Schmidt, 2001, "Texas Governor Proposes Radical Shift," para. 1). This initiative sent colleges and universities across the state reeling as the enrollment and retention initiatives enacted the year before did not include additional state appropriations to fund the needs of an additional 500,000 students.

Nevada's higher education system has suffered from similar financial distress as the economic recession has significantly affected the state's major source of revenue: gambling. Citing revenue loss of 25%, the state took aim at the college and university system to recoup some of the loss. A 2011 article in the *Chronicle of Higher Education* notes that the University of Nevada system has been particularly hit hard by state budget cuts as tuition and fees have been increased "nearly 60 percent. . . in the past few years" and "cut 400 positions" (Kelderman, 2011, Years of budget cuts sap campuses morale, para. 1 & 3). The Las Vegas campus, around which nearly 70 percent of the state's population resides, had to eliminate some academic programs, reduce salaries and benefits, and offer retirement buyouts to tenured faculty guaranteeing "150 percent of their salaries for one year" (Kelderman, 2011, A tale of 2 cities, para. 7). According to the article's author, Eric Kelderman (2011) the Reno campus has cut its budget even deeper as "20 degree programs since 2009" have been eliminated (A tale of 2 cities, para. 11).

State colleges and universities in California, North Carolina, and Georgia are taking similar actions in the face of reduced budgets and lost revenues. In 2008, the State of California declared that all of its employees will be subjected to two furlough days per month. This action was in direct response to the state's $25 billion dollar budget shortfall. The University of California and California State systems began furlough implementation in the summer of 2009. University of California system president, Mark Yudoff, announced that starting September 2009, UC system campuses will initiate furloughs ranging from "seven to 26 days per year" and cut salaries for faculty and staff by "4 to 10 percent," depending on earnings (Keller, 2009, "California's Public Universities," para. 2). The California State University system chancellor proceeded with similar actions by proposing a two day per month furlough per month in addition to tuition increases between "15 to 20 percent" and an overall enrollment cut of "40,000 students" by the 2010-2011 school year (Keller, 2009, "California's Public Universities," para. 4). Both system leaders were targeted by state and national collective bargaining unions, with president Yudoff receiving a near unanimous vote of no confidence by UC employees ("Union members at U", 2009).

Facing similar budget shortfalls, the University of North Carolina system recently "eliminated more than 3,000 jobs" in response to "16 percent" reduction in state allocation ("Univ. of North Carolina System", 2011, para. 1). The University System of Georgia took a different approach to managing their budget shortfalls by investigating the impact of consolidating its 35 post-secondary campuses to create a more cost effective structure by pooling operational costs and staffs and sharing facilities (Diamond, 2011).

The emergence of proprietary schools into the higher education market place has caused dramatic shifts in trends of student enrollment and access, financing education, retention, and societal and corporate perceptions of postsecondary education. Companies like the University of Phoenix, Westwood College, Devry, ITT Tech, and Kaplan have blitzed media outlets with promises of attaining college degree or advanced training in short periods of time. Personal testimonials are common for radio and television spots, testifying to the flexibly scheduled classes, hands-on faculty, and the lucrative career possibilities that await their graduates. Companies/schools like these pitch their education as "practical" in that it trains students specifically for what they will need in the workforce, an intimated failing of traditional colleges and universities. Barry Yeoman's (2011) critical expose of for-profit education quotes a Westwood College executive, "Traditional four-year colleges just aren't keeping pace with the changing needs of a new economy. . .There is a need for a specialized workforce that's trained in very specific skills, and that's exactly what career colleges such as Westwood provide" (A lifetime of debt, para. 4).

Meeting the "need" for career colleges and corporate academies to provide practical approach to higher education has resulted in the rapid multiplication of "education centers" and campuses throughout the country as enrollments have continued to rise. According to an Integrated Postsecondary Education Data System (IPEDS) data collection for the 2009-2010 academic years, enrollment at the nation's 3,000 for-profit intuitions was slightly over 2 million, of which 1.4 million students are seeking Bachelor's degrees (IPEDS, 2011, p. 7). Student loans, as Yeoman criticizes (2011), are taken out by nearly all students to pay for the notably high tuition costs, averaging

"between $58, 016 to $76,020" for Bachelor's degree programs ("The High Price," para.

3). The 2009-2010 IPEDS report confirms Yeoman's (2011) claim as an average of 85%

of students enrolled in for –profit institutions are receiving financial aid, of which 81%

are receiving loans (p. 22). Many schools, like the University of Phoenix, have

established graduate schools to entice would-be students with "affordable" programs to

further escalate their earning potential. Yet, it is the contention of critics, like Yeoman

(2011), that degrees earned from for-profit colleges and universities do not yield the high-

paying jobs that were advertised to be landed by their graduates.

To address pressure by federal regulators to improve their job-placement rates, the

University of Antelope Valley offered "to pay employers $2,000 for each graduate they

hire ("For-Profit College in California," 2011). Unfortunately, most students enrolled in

for-profit programs do not finish and are responsible for incurring substantial debt.

Compared to traditional colleges and universities, for-profit post-secondary institutions

maintain the lowest degrees completion rates, averaging 12.7% of students graduating in

four years, 17.7% graduating in five years, and 20.4% graduating in six years (IPEDS,

2011, p. 17).   These statistics, however, do not deter for-profit schools from expanding

and challenging the traditional colleges and universities to find their niches in an

environment that is leaning toward the business of education.

Finally, the recent emergence of Massive Online Open Courses (MOOC) has

challenged the traditional means of delivering higher education and has forced many

institutions to rethink the meanings of "access," "retention," as well as the role of faculty.

Companies like Coursera and Udacity offer students online access to courses taught by

renowned experts at some of the nation's top universities (i.e., Stanford, MIT) and, in

some cases, earn college grades and credits for successful completion. As have filled the page of *The Chronicle of Higher Education* with articles, editorials, and investigative stories, MOOCs have been topic of considerable controversy for colleges and universities across the country. In a 2012 article, Lane and Kisner acknowledge the potential for MOOCs to globally open up access to higher education, they caution, "thousands of students across the world taking the same course, with the same content, from the same instructor. And that is the problem. MOOC's are now at the forefront of the McDonaldization of higher education" ("MOOC's and the McDonaldization," para. 6). Lane and Kisner (2012) conclude their article by stating, "MOOC's may provide access to a world-class education, but the product is prepackaged and standardized. And, because it is readily available, it risks diminishing both the diversification of the higher-education sector and the advancement of globally engaged students and institutions" ("MOOC's and the McDonaldization," para. 15).

Jeff Young's 2012 article on the American Council for Education (ACE) review of MOOC's for college credit noted that the ACE's recommendation may enable the credit earned for MOOC courses to be widely accepted by colleges and universities. Young (2012) also indicated that the MOOC effort has received considerable financial sponsorship from the Bill and Melinda Gates Foundation. Such accreditation could increase the transferability of MOOC courses among colleges and universities and enable students to complete degrees more quickly. In a similar initiative, Young (2013) reports on the efforts of San Jose State University, one of the California State University system institutions, to reduce costs for higher education in piloting a program that charges $150 for students who want institutional credit for taking a MOOC class. To address the high

student dropout rates of nearly 90%, San Jose State University's Provost states that Udacity will hire mentors to "provide additional support and tracking to students" who are enrolled in the course for credit (Young, 2013, "California State University will Experiment," para.8).

While there are many institutions who have resisted MOOC's and faculty who have claimed that such a system delivering higher education is not only an encroachment on their responsibilities but also a threat to the integrity of traditional colleges and universities, the efforts of companies like Coursera, Udacity, and edX to develop alternative learning delivery systems continues. To strengthen its legitimacy in higher education, Coursera recently hired former Yale University president, Richard C. Levin, as its new CEO (Kolowich, 2014). Since their introduction to higher education several years ago, it seems that MOOC's have moved from being a fad in online delivery to a trend of a changing higher education.

Made evident by uncertain financial shortfalls, the redefinition of the post-secondary "industry", and the emergence of new technologies in delivering education to college students, the identity of higher education is changing, as is its relationship with its environment. Colleges and universities are growing more conscious of their places within an "industry" of post-secondary education. Competition among institutions is keener as Carnegie classifications and media rankings place campuses in orders of research productivity, prestige, cost, graduate job attainment, campus involvement, athletic success, and even the campus "party scene," creating a "marketplace" at which students and parents can shop for the "best fit" of colleges and universities. Summarizing an argument in Frances Millikin's 1990 article, *Perceiving and interpreting*

environmental change: An examination of college administrator's interpretation of changing demographics, Gioia and Thomas (1996) note, "Given the market character of the environment with its attendant emphasis on competition, many academic institutions are trying to adopt a more business-like orientation to accomplish intended changes" (p. 370). Gioia and Thomas (1996) characterize this new environment in which higher education now resides to be "unfamiliar" and with a high degree of ambiguity. Change in colleges and universities has, in and of itself, adapted to this unfamiliar and ambiguous environment by reacting to perceived environmental pressures as necessary for survival. Since the importance of institutional change has evolved to meet this perception, the nature of the change process also has shifted, "There is growing insistence not only that change occur but that it be accomplished quickly in institutions that historically have been comfortable only with slower, self-paced, incremental change" (Gioia & Thomas, 1996, p. 370).

Statement of Problem

Colleges and universities are increasingly responding to these environmental pressures with quick, and often urgent, responsive change processes. While higher education has adapted to these and similar pressures throughout its history, the level of institutional response is escalating from traditionally practiced, and slow, change methods to large-scale and faster paced processes. Some scholars argue that modern trends of institutional response to environmental pressures and reactionary change is a matter of intensity. The problems that face today's institutions of higher education (e.g., financial shortfalls, competition from for-profit schools, changing societal and corporate demands for graduates, and increasing fierce recruiting battles for students) are not new. However,

the intensity by which these environmental pressures, and others, create a sense of urgency for institutions of higher education to act is substantially higher. In addition, many scholars (Cameron & Tschirhart 1992; Gioia & Thomas, 1996; Gumport, 2001a) have noted that the nature of the relationship between an institution and its multiple environmental constituencies are continuously changing toward more business-like, corporate relationships that have new measures of productivity and effectiveness.

Campus leadership is, therefore, pressured to react to these more intense pressures with more intense responsive changes. Fear of an institution growing incongruent to its environment often influences administrators to set fast-paced change agendas, possibly with expectations that members of the campus community will quickly fall in line and embrace the planned change, as well as the pace in which it is to be enacted. However, the pressures to react quickly to perceived external influences are causing some campus leaders to challenge demands for fast-paced change and opt for more traditional incremental responses. A recent example of this challenge is the sudden dismissal and then near immediate reinstatement of Teresa A Sullivan, president of the University of Virginia. The Virginia Board of Visitors who oversee the state's college and university system called for Dr. Sullivan's removal in the early summer of 2012 citing a disconnect with their expectation for fast and sweeping transformational changes to be conducted at the University of Virginia. Sullivan's departure caused considerable backlash by faculty, staff, and students. There was threat of a mass faculty departures from the university in protest of Sullivan's removal as well as a formal call by the faculty senate for the resignations of the Virginia Board of Visitor's rector and vice rector along with Dr. Sullivan's reinstatement (Hebel, 2012). While reinstated in less than a month after her

removal, Sullivan adamantly defends her incremental approach to change, "I have been described as an incrementalist. It is true. Sweeping action may be gratifying and may create the aura of strong leadership, but its unintended consequences may lead to costs that are too high to bear" (Stripling, 2012, "Departing President Defends Herself," para, 4).

As Dr. Sullivan's experience at the University of Virginia suggests, the importance of cultivating a culture of change within a university community stands to slow the urgent reactionary momentum of some campus leaders. Even types of change that are designed to be large in scale and require deep and pervasive inclusion into the campus's culture still "takes time" (Eckel, Hill, & Green, 1998; Eckel & Kezar, 2003). Institutional members naturally seek to make sense of their identity before, during, and after a change process (Weik, 2001), an acculturation that may unfold at a different pace than the intended timelines of the principle change agents. However, Schein (1992) and Weik (2001) note the value of providing members of a changing organization the opportunity to make sense of their individual and group identities throughout this change process as it builds cognitive structures of shared meaning, beliefs, and values stabilizes and provides a common sense of organizational purpose.

An institution's faculty are vital in establishing the institution's unique cognitive structures of meanings, beliefs and values, but they also are the primary actors in bridging the concepts of change to the actual operationalization of change (Gioia, Thomas, & Chittepedi, 1997; Eckel & Kezar, 2003; Moorer, 2007). Due to the fundamental teaching and research mission of higher education, institutional change must involve, to one extent or another, the academic community. Schuster and Finkelstein (2006) contend that, "The

future condition of the faculty is central to the well-being of the academy is undeniable, for without an adequately functioning faculty in place – however, *adequately* may be defined – the academy would not be the academy but something else entirely" (p. 4). Rowley, Lujan, and Dolence (1997) add, "Faculty can identify and weigh the developments and forces that threaten the core enterprise, so it is important that the questions and issues in strategic planning surface from, and be resolved by, the institution's faculty" (p. 159-160). Further, it is the faculty who are directly responsible for creating the institution's final product, students. Change in higher education is inextricably intertwined with faculty and their roles as principal developers, leaders, and enactors of large-scale change processes. However, the faculty influence during times of change must be cultivated and sustained during times when a college or university is trying to redefine parts or its whole in response to environmental pressure for it may be the faculty who set the tone for the change process and, inevitably, for its success. Kashner (1990) comments,

> Because the faculty performs the focal role in academia, its reaction to any contemplated change is crucial. The wise change agent knows this and attempts, in devising a change strategy, to estimate with care the impact of projected innovations on the faculty and the likely faculty perception of that impact. (p. 23)

Purpose of Study

The purpose of this study is to examine the influence of faculty perspectives on the change process followed by a midsize university undergoing downward expansion. This purpose will serve to answer three primary research questions:

1.) What internal and external influences affect the way in which faculty construct meaning about the change process?

2.) Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?

3.) How does the short downward expansion timeline affect faculty perspectives on the change process?

In the context of this study, "downward expansion" refers to the transition of an institution that serves only upper-level undergraduate and graduate students to one that serves both lower and upper level undergraduates. Recent examples of institutions that have undergone downward expansion include: University of Houston–Victoria (2010), Texas A&M University-Texarkana (2010), State University of New York Institute of Technology at Utica/Rome (2003).

Preview of the Study's Context

The context of this study is a public, upper-level (junior, senior and graduate) institution, Lake University, located in the southwest United States, approximately 20 miles from a major city, and adjacent to several major aeronautical/space and oil producing industries as well as major shipping and transportation ports. Since its inception in 1974, Lake University has awarded over 53,000 degrees. Initially, the institution was founded to serve the educational needs of the high technology community that was established around the local aeronautical/space industry. Since then, Lake University has grown into a comprehensive university serving a diverse group of students**.** The institution currently enrolls over 8,100 students in 39 bachelors, 45 masters and one doctoral degree programs in four schools: Science and Computer Engineering

(SCE), Education (SOE), Business (BUS), and Human Sciences and Humanities (HSH). Approximately 40% of the university's students are enrolled in the graduate programs.

In 2008, Lake University began planning for expanding their current academic and service offerings to include lower level students at the freshman and sophomore level. However, the planned formal request to the state legislature that year was delayed until 2011 to allow another post-secondary institution in the system to seek permission to downward expand, as well as to secure the support of the local junior college schools that serve as its primary feeders of transfer students. With the state legislature's approval to begin planning for downward expansion in 2011, Lake University targeted the fall of 2014 to admit its first class of lower level students. At the time of this study, the number of lower division students the institution intends to admit for fall 2014 has changed several times within the range of 250 to 540 students.

Structure of the Dissertation

The next chapter of this study includes an overview of the literature of change in organizations, with a focus on higher education institutions. These change types are presented with particular reference to the unique relationships of colleges and universities to their environments and the subsequent institutional reaction to initiate change. A section of the literature review discusses the speed by which institutions change as well as the significance of valuing the campus culture. Two additional sections of literature review investigate the role of faculty during change processes and the college or university's experience undergoing organizational learning.

The third chapter describes the research methodology to examine the influence of faculty perspective on the downward expansion change process. A description of the structure of the case study will follow, as will the rationale for using the particular model presented as it is framed in constructivist theory. This chapter also presents a typology through which faculty perspective will be measured as it relates to types of institutional change. The sequential mixed methods data collection process is also explained, as are the procedures for analyzing quantitative and qualitative data.

The fourth chapter presents the results of quantitative and qualitative data analysis. Organized into eight sections, this fourth chapter includes sections focused on the data aligned with each of three research questions. Subsections present data reflecting analysis of frequencies and percentages, and ANOVA and Chi-square results. In addition, each section includes qualitative data results organized by themes that emerged through analysis.

The final chapter includes discussions and implications of the study's results. This fifth chapter is organized into eight sections, the first five discussing the meaning of results from chapter four. There are additional sections focused on the study's limitations and implications for research, faculty, and campus leadership. The chapter concludes with a section on the author's final thoughts about the meaning of the study in the context of Lake University's plan to downward expand in fall 2014.

CHAPTER 2

REVIEW OF LITERATURE

This section presents literature focused around three major themes: organizational/institutional change; the issue of institutional reaction to environmental urgency to change; and the role of faculty during institutional change. The first section examines types of change through both the lens of higher education, organizational studies, psychology, business/industry, and sociology. While the focus of this analysis is on implications for college and university campuses, an effort is made to introduce change studies about other types of organizations.

To set a framework to manage the application of these multidisciplinary works to higher education, a typology of change presented by Eckel and Kezar (2003) is utilized throughout the chapter. Eckel and Kezar (2003) evaluate change in colleges and universities by its depth and pervasiveness. As such, three types of change are presented in this first section as they reflect different values of depth and pervasiveness: incremental, adaptive, and transformational. Each type of change is presented and evaluated in relation to Eckel and Kezar's (2003) typology of change with emphases on defining the change type and identifying links to higher education applications. As transformational change is the deepest and most pervasive change, additional subsections were added that analyze transformational leadership and further explanation of how members of the campus community are expected to make sense of a transformational initiative.

The second section examines the urgency of the growing demand of influences external to colleges and universities to undergo large-scale and rapid change. All three change types from the first section are examined in terms of the speed by which they function as process. Additional literature examining the need for organizations to be aligned with changes in their environments is introduced to further examine the disconnect that some institutions of higher education have with their environments. The literature explains this disconnect has caused corporate entities, for example, to adopt rapid, large-scale change process in order to remain competitive amongst their peers. Many of the authors discussed in this section argue that higher education has entered into a similar dynamic as topics like the structure of higher education institutions, the notions of adaptive lag and hyper turbulence, and the risk that institutions face when the pace of change is too slow or too fast.

The third section examines institutional/organizational culture during change with emphasis on the importance of the role of sensemaking experience of the campus community. Using the organizational culture frameworks of Schein (1992), Kezar and Eckel (2002b), and Tierny (1988) and the sensemaking theories of Weik (2001), Kezar and Eckel (2002a), Gioia and Chittepeddi (1991), topics in this section include institutional identity and how members of the institution's community make meaning of a proposed change. Both of these topics are supported by a discussion of Simsek and Louis's (1994) study of paradigm shifts during institutional change. All of these topics consider how different change types value cultural pervasiveness differently and identify transformational change as the change type gives members of the campus community the most opportunity to ascribe meaning to a change initiative.

In a final section, this chapter critically examines the role of faculty during a change process. Literature is presented that depicts the changing role of faculty as an increasing erosion of their influence as a significant challenge to the future of the profession. A historical backdrop of faculty as the traditional focus of the college and university campus is threaded throughout three subsections. The first subsection examines the opportunities and challenges to the primacy of faculty in developing curriculum. Case study examples are provided to help contextualize this analysis. In the second subsection, the changing composition of the faculty is considered with an emphasis given to the reasons for the growth of non- tenure track faculty and how the growing presence of this population affects the role of traditional tenured faculty on campus as well as the quality of post-secondary education.

Types of Change

Every institution undergoes a unique change process. Depending on the size of the institution, financial resources, and support from the campus community, the proposal to change, in any degree, may face significant obstacles (Eckel & Kezar, 2003). As this research focuses on change processes most commonly undertaken in institutions of higher education, a typology of change that evaluates the scope and depth of any type of change is necessary to form a context from which other examples can be evaluated. Eckel and Kezar's (2003) Typology of Change (Figure 1) evaluates change in degree of depth and pervasiveness within the context of higher education:

		DEPTH		
		Low		High

<table>
<tr><td rowspan="2">PERVASIVENESS</td><td>Low</td><td>Adjustment

(I)</td><td>Isolated Change

(II)</td></tr>
<tr><td>High</td><td>Far-reaching
Change

(III)</td><td>Transformational

(IV)</td></tr>
</table>

Figure 1. Typology of change as it compares the depth and pervasiveness of different types of change processes. Adapted from *Taking the Reins: Institutional Transformation in Higher Education* (p. 31), by P. Eckel and A. Kezar, 2003, Westport, CT: Praeger Publishers. Copyright 2003 by American Council on Education and Praeger Publishers.

In the upper-left quadrant of the typology, adjustment," refers to modifications or extensions that improve existing practices. . . Adjustments do not lead to drastic or deep changes, nor do they extend very far across and institution" (Eckel & Kezar, 2003, p. 31). Isolated change, in the upper-right quadrant, "is deep but limited to one unit or program or to a particular area. Because it is deep, isolated change implies a shift in values and assumptions that underlie the 'normal' way of operating" (Eckel & Kezar, 2003, p. 32). Far-reaching change in the lower-left quadrant, on the other hand, does extend to other units and programs and may be institution-wide. However, because it is not deep, far-reaching change has "little effect on values, beliefs, and practices" (Eckel & Kezar, 2003, p. 33). Finally, the lower-right quadrant, transformational change, is deep and pervasive in that the "depth of the change affects those underlying assumptions that tell an institution what is important; what to do, why, and how; and what to produce. Its

pervasiveness suggests that transformation is a collective, institution-wide phenomenon, although it may occur one unit (or one person) at a time" (Eckel & Kezar, 2003, p. 33). This typology will examine three types of change that are most prevalent in studies of higher education: incremental, adaptive, and transformational.

Coupling as a concept of structure for colleges and universities.

Before this typology is used to understand the dynamics of different types of change, the unique structural elements of higher education must first be discussed so as to fully contextualize the effects of any change process. Higher education has been argued to be a loosely coupled system (Weick, 1976; Cameron, 1984). Cameron (1984) characterizes a loosely couple system as one "where connections among elements are weak, indirect, occasional, negligible, or discontinuous" (p. 137). Managing change in such a system is challenging as lines of communication and authority are diffused among multiple and, often, unattached lines between departments and people. Small change efforts are relatively compartmentalized, having little or no effect on other departments (Weick, 1976). These changes hold an advantage that if the intended change is wrong or even harmful, the damage could be sealed off from the rest of the organization. A change happening on this scale will likely go unnoticed by elements of the organization other than those where the process is occurring,

> Departments, institutes, colleges and universities in this country tend to be rather uncontrolled by hierarchy or by strong bureaucratic pressures for uniformity or change in practices and values. Core activities, especially teaching in the classroom, advising students, devising curricula, and conducting individual

research projects, take place largely unobserved by either top administrators or outsiders. Change can therefore take place easily at these lower levels. (Hearn, 1996, p. 142)

To a campus leader wishing to initiate large-scale change, as in the case of transformational change, loose coupling may mean that change "elements may appear or disappear and may merge or become separated in response to need deprivations within the individual, group, and/or organization" (Weick, 1976, p. 5). Preserving the meaning of change initiatives, therefore, becomes a major concern in loosely coupled systems. Members of loosely coupled organizations could potentially exhibit high levels of supportive or combative reaction to change initiatives (Hearn, 1996). Depending on the differences between individual and/or group perceptions of their roles in the change process and how it would affect who they are and what they do once the process is concluded, the proposed change has the possibility of igniting significant tensions among the organization's constituencies. Simsek and Louis (1994) point out that this loosely coupled structure and Cohen and March's (1974) suggestion of "organized anarchies" in higher education suggest the "limited possibility of rapid, strategic change" (p. 671).

Although, campus change agents could use incentives, opportunities, and sanctions in such a way in which change initiatives would have meaning to every person, department, unit, and/or division, Weick (1976) suggests that loosely coupled organization may make sensemaking difficult, "Loosely coupled worlds do not look as if they would provide an individual many resources for sense making – with such little assistance in this task, a predominant activity should involve constructing social realities" (p. 13). Weick (1976) further explains that,

Given the ambiguity of loosely coupled structures, this suggests that there may be

increased pressure on members to construct or negotiate some kind of social

reality they can live with. Therefore, under conditions of loose coupling one

should see considerable effort devoted to constructing social reality, a great

amount of face work and linguistic work, numerous myths, and in general one

should find a considerable amount of effort being devoted to punctuating this

loosely coupled world and connecting it in some in which it can be made sensible.

(p. 13)

However, change processes in colleges and universities may feature structural

combinations of loose and tight coupling. In his article challenging the loosely coupled

character of institutions of higher education, Lutz (1982) suggests that universities may

exhibit characteristics of tight coupling and that tighter coupling would be necessary to

face the future challenges in higher education. In discussing coupling in relation to

colleges and universities as Janusian institutions, Cameron (1984) offers a different

perspective,

In order for institutions to be adaptive in post-industrial environments, both tight

and loose couplings need to be reinforced and reaffirmed by administrators . . .

One reason for this is that initiating innovation requires loose coupling, but

implementing innovation requires tight coupling. (p. 137-138)

Discussion later in this chapter regarding sensemaking and sensegiving during change

processes will reconsider the structure of higher education institutions and the

responsibilities of administrators and staff in creating environments where change can be considered as a cognitive process by individuals and groups.

Incremental change.

Incremental change is a type of change that has been used most pervasively in institutions of higher education throughout history and tends to be successful in loosely coupled institutions. Before colleges and universities entered the era of competitive, market-driven environments, incremental change was common. Characterized by slow and methodical processes, the incremental approach has been primarily influenced by two theories: decision/policy-making theory of Charles Lindblom (1959) and Herbert Simon's (1947) notion of "bounded rationality" (Rusaw, 2007). The incremental approach depends on constant, yet deliberately careful, momentum that seeks to achieve minor levels of progress (Miller & Friesen, 1982). Successes during the process can be easily identified and assessed to offer confirmation that the path of change is effective and worth following. Should the change suffer defeats in the form of inefficiencies or inadequacies, the slow pace allows change agents to reevaluate the direction of their effort, consider new alternatives, and, if necessary, proceed down safer, more efficient path (Lindblom, 1959). In his classic article on incremental decision/policymaking, Lindblom (1959) contends that a "wise" policy-maker may avoid "serious lasting mistakes" if he/she utilizes incremental change (p. 86). Lindblom (1959) further noted four advantages incremental change can provide a policy-maker:

1) Past sequences of policy steps have given him knowledge about the probable consequences of further similar steps.

2) He need not attempt big jumps toward his goals that would require predictions beyond his or anyone else's knowledge, because he never expects his policy to be a final resolution of a problem. His decision is only one step, one that if successful can quickly be followed by another.

3) He is in effect able to test his previous predictions as he moves on to each further step.

4) He often can remedy a past error fairly quickly – more quickly than if policy proceeded through more distinct steps widely spaced in time. (p.86)

Similarly, Miller and Friesen (1982) note that the incremental approach "reduces political obstacles to changes and avoids irresolvable arguments about complex goals and values . . . cognitive strain is reduced by dealing with manageable fragments of reality, by focusing on bottlenecks, and by choosing from a short list of well-tried expedients for dealing with them" (p. 869). In this respect, incremental change and loosely coupled systems are complimentary. A recent example of the value of incremental change in higher education is found in Bradley's (2004) article on the growing population of contingent faculty positions. Bradley (2004) argues that incremental change, as suggested by the AAUP, is the only way in which trends of faculty appointment of contingent faculty can be transitioned to tenure-track positions, "new tenured positions should replace contingent appointments as they become vacant through attrition and retirements, and where appropriate, current contingent faculty should be grandfathered into tenured positions" (p. 31).

In her study of various change models for public organizations, Rusaw (2007) criticizes that while incremental change, "gives change agents greater flexibility in

adapting change, [but] it does not alter fundamental assumptions and associated practices" (p. 358). Mullin (2001) assumes a similar positions in his critique of revolutionary change in higher education,

> Weaving incremental change into the existing stable system of undergraduate education cannot result in significant improvement . . . it is precisely because most pedagogical, curricular, and other educational reforms are aimed at partial and incremental improvement of a stable system that they will continue to fail (p. 55).

As the current trend colleges and universities being susceptible to highly competitive, market sensitive environments persist, incremental change would not have much practical application unless larger "concerted and dramatic" change occurred first (Miller & Friesen, 1982, p. 870). Once an institution's structure would stabilize following the type of change suggested by Miller and Friesen (1982), incremental changes could be re-initiated but only with initiatives that are not as susceptible to environmental pressures. In an article examining the evolution of change process at colleges and universities, Guskin (1996) argues that "incremental changes do not deal with the type of structural changes necessary for a future of reduced resources, increased availability of and demand for powerful technologies, and the demand that a college or university be accountable for student learning outcomes" (p. 32). Similarly, Lyall's (2011) paper on how state college and university systems are responding to recent financial shortfalls considers the incremental and structural approaches that some institutions are taking is response to a changing fiscal environment. Lyall (2011) contends that incremental change approaches may cause institutions to change toward contradictory or even unmet goals and to be

constrained by changes that are bound to existing systems and policies. In her
conclusion, Lyall (2011) argues,

> More states are considering structural, rather than incremental, change. They are
> looking for ways universities can manage continuing budget cuts more efficiently
> by gaining autonomy and independence from outdated government processes and
> focusing on educational outcomes. (p. 8)

Considering the characteristics of incremental change, the placement of this
approach in Eckel and Kezar's (2003) quadrants would likely be at the lowest levels of
pervasiveness: Adjustment and Isolated Change. Like the incremental approach,
adjustments are not designed to change existing structures and are "not aligned with
strategic goals or plans" (Rusaw, 2007, p. 353). They are modifications to current
practices and depend on the strength and visibility of standard operating procedures.
Common areas for adjustments in higher education are curriculum and pedagogy (Eckel
& Kezar, 2003). Eckel and Kezar (2003) note that adjustments tend to be relatively
localized and that the loosely coupled structure of most colleges and universities may
even cause the changes to be difficult to detect. Incremental changes that are perceived
as adjustments do not tend to have discernible starting and stopping points but are
continuous. Isolated change could also be continuous, but as the change is deliberately
localized to a particular unit, there is more opportunity for change agents to detect
progress and evaluate the reform(s). Isolated change could allow agents to insert the
change into their policies, practices, and mission without any concern for how their effort
would affect other units. Eckel and Kezar (2003) provide the isolated change example of
an academic department adopting" internationalization as central to its mission" (p. 32).

The process may begin with affecting faculty promotion, hiring, and scholarship practices but continues into student scholarship, uses of technology, and course content. The end result could be a "department fundamentally different than previously: new values, priorities, and practices suggest deep change" (Eckel & Kezar, 2003, p. 32). As with adjustment, isolated change does not contain a sense of urgency mostly due to the absence of consequences if the process is not completed.

Adaptive change.

Organizational adaptation is a type of change that identifies, evaluates, and responds to the pressures for an organization's external environment, "'Organizational adaptation' refers to modifications and alterations in the organization or its components in order to adjust to changes in the external environment" (Cameron, 1984, p. 123). In the case of higher education, adaptive change is far more reflective than incrementalism of the trends moving colleges and universities to react to new market environments and the dramatic increase in competition among institutions. Grounded in the population ecology theory, Cameron (1984) perceives adaptation as that which would "focus on changes in environmental 'niches' (i.e., subunits of the environment that support organizations)" (p.125). Because this population ecology approach places such a high value on organizations changing within their environmental "niches," Cameron (1984) argues that managerial influence is not as prevalent, conceding to environmental influences to dictate the need and urgency for change. (Figure 2)

High Environmental importance   Low Environmental importance
Low Managerial Influences   High Managerial Influences

Population Ecology   Life Cycles   Strategic Choice   Symbolic Action

Figure 2. Categories of approaches to organizational adaptation as they are measured by environmental importance and managerial influences. Adapted from "Organizational Adaptation and Higher Education" by C. Cameron, 1984, *The Journal of Higher Education, 55*, p. 125. Copyright 1984 by The Ohio State University Press.

In their evaluation of enrollment data obtained from the Higher Education General Information Survey (HEGIS) for 2,965 post-secondary institutions, Zammuto, Whetten, and Cameron's (1983) findings agree with Cameron's (1984) focus on the significance of changes within "environmental niches," "organizations may experience decline because their previous modes of performance become inappropriate within the context of the new niche" (p. 95). However, it is rarely clear how urgent it may be to fix this incongruity between an institution and its environment.

Literature representing institutional adaptation presents varying opinions regarding the speed at which adaptations should occur. The population ecology approach would advocate for revolutionary action on the part of the entire organization, "The only meaningful change occurs as major shifts among entire populations or organizations, not as minor adjustments in existing organizational forms" (Cameron, 1984, p. 125). The life cycle approach assumes a similar perspective but focuses on the evolution of change as it

progresses through stages of development, "At each stage, unique organizational features develop in order to overcome certain problems encountered by all organizations" (Cameron, 1984, p. 126). The strategic stage, however, features debate among scholars over the speed and pervasiveness of the adaptation. Some studies, (Lindblom, 1959, Guskin, 1996; Bradley, 2004), argue that adaptation should follow a slow and incremental path. While others (Miller & Friesen, 1980, 1982) suggest that adaptation follow a faster, larger scale change that carries a significant "momentum" that "serves to inhibit alterations or reforms" (Cameron, 1984, p. 129). Cameron (1984) continues to explain, "Past strategies, structures, goals, political coalitions, myths and ideologies, and so on contribute to that momentum, so that major adjustments in a substantial part of the organization have to be made in order for adaptation to occur" (p.129).

Finally, the symbolic approach claims that "organizations are glued together mainly by the presence of common interpretations of events, common symbols, common stories or legends, and so . . ." (Cameron, 1984, p. 130). This approach would be the least likely to undergo a change process that is hindered by urgency as it depends on the gradual establishment of meaning among the institutions' membership. Shared meaning, Weick (2001) argues, is critical to linking members of the organization with the environmental influences causing the change. The role of managers, however, is the most important in the symbolic approach as they are responsible to construct a sense of reality that place values on symbols, rituals, legends, and myths to assure the membership that their experience with the "traditional" form of the organization has meaning, "When people are called upon to enact some change in their existing patterns of thinking and acting, the proposed change must make sense in a way that relates to previous

understanding and experience" (Gioia, Thomas, Clark, & Chittipeddi, 1994, p. 365). In turn, the organization depends on the sensemaking process of its members to add clarity in light of goal ambiguity and form a new, cohesive identity among its membership once the change process has been completed (Gioia, Thomas, Clark, & Chittipeddi, 1994; Weik, 2001; Kovoor-Mirsa, 2009).

Cameron's (1984) use of Janusian theory in effecting adaptive change suggests that the institution assumes directions of change and development that may be completely opposite and contradictory. Given the uncertain environment in which institutions of higher education now exist, Cameron (1984) argues that the adaptive change must take place in a Janusian institution in order to be effective,

> For managers and administrators in higher education to ensure capacity for survival, strength and soundness, adaptability to sudden change, and the ability to take advantage of new opportunities in postindustrial environment with turbulence, information overload, rapid-fire events, complexity at exponential rates, they will need to become Janusian thinkers and develop Janusian institutions. (Cameron, 1984, p.135)

A Janusian institution, Cameron (1984) continues, can produce "flexibility and adaptability, and it enables organizations to cope better with unpredictable environmental events" (p. 136). This line of reasoning parallels the arguments made by Cohen, March, and Olsen (1972) in presenting the "garbage can model" of organizational decision making. Both notions suggest that change and decision making within an organization are faced with substantial ambiguities which empowers decision makers to utilize a wider

range of choice when deciding a course of action. However, these theories radically

depart from one another in considering the state of the environment in which the change

is taking place as solutions, problems, and decision-makers are disconnected from one

another in an organized anarchy (Cohen, March, & Olsen, 1972). March (1981) argues,

"Organizations develop and define goals while making decisions and adapting to

environmental pressures; minor changes can lead to larger ones" while giving members

of the organization the opportunity to make meaning of the changes as they occur (p.

570). However, March (1981) warns that "the rate of adaptation may be inconsistent

with the rate of change in the environment to which the organization is adapting" (p.

566).

Cameron (1984), on the other hand, believes that the nature of the Janusian

institution enables it to handle any such inconsistencies through a process of loose and

tight coupling when effecting change. For example, structural contingency theory of

organizational change and adaptation relies on the presence of both rigid and flexible

controls. Hage (1999) uses the type of environmental demand for change in his

conception of structural contingency theory, "stable demand led to the mechanical

organization, whereas a changing demand created the need for an organic organization

with its emphasis on innovation and flexibility" (p. 614-615). Further, Hage (1999)

argues, "Structural contingency theory offers insights as to which forms are most

appropriate for what kinds of environments and the dynamics of competition . . .[and]

also makes clear how failures in evolution can occur when not all parts of the structure

are compatible" (p. 617). Studies by Lutz (1982) and Cameron (1984) align with the

environmental sensitivity of contingency theory and suggest, in response, that initiating

change requires the loosely coupled structure characteristic of most institutions of higher education but that implementation assumes a more tightly coupled structure. This approach will safeguard the process by which adaptation is occurring against incongruities with its environment, "Postindustrial institutions of higher education will be required to remain loose enough to develop multiple, innovative adaptations. At the same time, they must be tight enough to implement them quickly and to change major components of the organization as needed" (Cameron, 1984, p. 138).

Transformational change.

Studies of transformational change in higher education are relatively new and do not offer the breadth of research found in works focusing on incremental or adaptive change. Noted in Eckel and Kezar's (2003) typology of change as the deepest, most pervasive change, transformation is a process still not fully understood, and its efficacy as a change process in response to higher education's new environment is unclear. However, the transformational change literature offers a contemporary framework with which the constantly changing relationship between institutions of higher education and their environment can be examined (Eckel & Kezar, 2003; Kezar & Eckel, 2002a; Kreup, Walker, Astin, & Lindholm, 2001; Eckel, Hill & Green, 1998; Hearn, 1996).

With an effort to understand the new environment in which higher education now exists, the decision for an institution to undergo transformation requires is characterized by large-scale commitment toward a process that will challenge its existing identity, possibly make substantial alterations to the campus culture, and threaten to discard the institution's defining traditions, myths, stories, and legends. Nutt (2004) argues that in transformation, "The prospect of change is determined by the extent to which agency

leaders find themselves committed to the maintenance of internal values or their responsiveness to the demands made by oversight bodies" (p. 11). Therefore, if leaders are not committed to change, then the organization may be faced with a question of how far they can stretch to meet capacity. "Capacity," Nutt (2004) continues, "determines whether an agency can respond to pressures for change . . . Limited capacity erodes confidence, and a perceived lack of competence entices organizational players to resist change, fearing that the new demands will expose their shortcomings" (p. 10). While there are definitive structural considerations when considering capacity, the true test of institutional efficacy in responding to environmental pressures to change resides within the willingness and adaptability of its culture to shift to a new direction. Eckel, Hill, and Green (1998) suggest that institutional transformation: "(1) alters the culture of the institution by changing select underlying assumptions and institutional behaviors, processes, and products; (2) is deep and pervasive, affecting the whole institution; (3) is intentional; and (4) occurs over time" (p. 8). Similarly, Cameron and Ulrich (1986) explain transformation as a "metamorphosis or a substitution of one state or system for another, so that a quantitatively different condition is present . . . Transformation implies a change of systems, not just a change in systems" (p. 1).

There are numerous recent examples of colleges and universities undergoing transformational change. After nearly 37 years as an upper-level institution, The University of Houston - Victoria welcomed their first freshmen class in fall 2010. This change effort included a substantial investment by the UH Victoria leadership, faculty, and staff to accept a new campus culture. In addition to the hiring of more faculty and staff, the policies, processes, and structures of the university had to change to not only

meet the needs of an unfamiliar population but to also validate a new institutional identity. A process by which many scholars (Kezar, 2013; Eckel & Kezar, 2003; Kezar & Eckel, 2002; Kreup, Walker, Astin, & Lindholm, 2001; Eckel, Hill & Green, 1998) contend is important to transformational change, the administration, faculty, and staff at UH Victoria would have had to ascribe meaning to why the "old" image of the university was being replaced by the "new" image, making meaning of the proposed "new" as the culture shifts away from the "old.". In 2014, a sister campus to UH Victoria, the University of Houston – Clear Lake, will begin accepting freshmen as will Governors State University in Illinois.

Another example of transformational change can be seen with the "new identification" of Trinity University in Washington. Long known as an exclusive, small, Catholic, Liberal Arts College devoted to educating women; Trinity University was in crisis with nearly non-existent enrollments and crippling financial shortfall (Biemiller, 2011).   Faced with these challenges, Patricia McGuiness assumed the presidency of the institution in 1989 and began work on transforming the university. In order to change Trinity, McGuiness had to confront the university's tradition and refocus their recruitment on Catholic women from low socio-economic backgrounds, many with significant academic skill deficiencies (Biemiller, 2011). Enrollment has exploded and financial reserves have been strengthened. In addition, McGuiness has committed to building graduate programs that will need additional institutional transformation, as she must convince the institutional members that such a change will further empower the "new" identity that has, thus far, yielded so much success.

Transformational leadership.

A critical element in the transformational change process is having campus leadership who is willing to partner with all members of the institutional community to make substantial shifts in the campus culture so deep transformative changes can be accepted as better and necessary solutions to the "old way." Often times, transformational change is inspired by the actions and ideas of a transformational leader. With roots in sociology, Bass and Avolio (1994) have defined transformational leaders as those who:

- Stimulate interest among colleagues and followers to view their work from new perspectives

- Generate awareness of the mission or vision of the team and organization

- Develop colleagues and followers to higher levels of ability and potential

- Motivate colleagues and followers to look beyond their own interests toward those that will benefit the group (p. 3-4).

Using three different types of institutions to describe the variations typical of transformational change process, Eckel and Kezar (2003) contend that transformational leaders are charged with the directing campuses to change their thinking and belief system in accepting the proposed change(s). Bass and Avolio (1994) argue that transformational leadership is far more proficient in organizing members of the campus community into strategic planning groups, marketing the proposed change, rallying

influential staff support, or simply conducting the change process through "simple exchanges and agreements" (p. 3). In their study of leadership styles of 56 College of Agriculture Deans from land-grant universities, Jones and Rudd (2008) found that transformational leadership was more practiced in colleges and universities than transactional or laissez faire styles because it utilized the cooperative value of the schools' community members to create and enact changes that would have the most meaning and support. Representing one of the earliest studies of transformational leadership applied to higher education settings, Cameron and Ulrich (1986) use the cases of a small private liberal arts college and a medium size public university to illustrate the role of transformational leaders in during times of radical and abrupt change,

> Transformational leaders create a readiness for change among their followers, manage the natural resistance to new conditions and new requirements, and articulate a vision of the future that mobilizes commitment and creates successful institutionalization throughout the system. This model of leadership emphasizes symbolic and interpretive transformation at least as much as substantive transformation. (Cameron & Ulrich, 1986, p. 40)

Many scholars of transformational leadership (Bass & Avolio, 1994; Bass & Riggo, 2006; Burns, 1978) believe transformational leaders need to exhibit a particular set of behaviors in order to effectively manage a change process as substantial and culturally penetrating as transformation. Bass and Riggio (2006) value the transformational leader's selflessness in absolute partnership with members of the university community so much so that followers become empowered by the devotion of the leader to making the proposed change meaningful to everyone. In his landmark book

on leadership, political scientist James Burns (1978) suggests that the transformational leader is responsible for increasing the motivation and morality of the organization's community by modeling a heightened attentiveness and care for their needs. Burns (1978) continues that it is important for the transformational leader needs to carry a certain level of charisma to inspire and motivate his/her followers to achieve a high level of loyalty and commitment to a proposed vision of change. Northouse (2004) agrees that the transformative leader must have a distinct and attractive public presence in that he/she is "out front advocating change for others" (p. 184). Applying Burns's (1978) work to organizations undergoing change, Bass and Avolio (1994) organized the transformational leader's behavior into the "Four I's": idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration (p. 2-3). The "idealized influence" and "inspirational motivation" categories both speak to the value of a leader's charisma in that the ideal affect that would be that, "Team spirit is aroused. Enthusiasm and optimism are displayed. The leader gets followers involved in envisioning attractive future states" (Bass & Avolio, 1994, p. 3).

While transformational and charismatic leadership have often been linked, a transformational leader is not necessarily a charismatic leader, or vice versa (Yukl, 2002; Northouse, 2002). Yukl (2002) warns that comparing the two leadership styles is difficult due to "conceptual ambiguity and a lack of consistency in definitions" (p. 260). Conger and Kanungo (1994) investigated charismatic leadership separately from transformational leadership in their study of manager behavior in Canadian and U.S. corporations and believe that the difference between the two styles is based upon the perspective through which leadership is perceived. Studies on charismatic leadership are

often viewed from the "standpoint of perceived leader behavior whereas the

transformational theories to date have concerned themselves primarily with follower

outcomes" (Conger & Kanungo, 1994, p. 442).

Transformational leadership studies in higher education settings suggests that

both perspectives on leader behavior and follower outcomes are important in evaluating

the meaning by which a leader ascribes the new ideas and how others accept and value

the leader's sense of reality. In other words, a transformational leader of institutions of

higher education is not empowered just by the qualities they possess to motivate,

empower, and value others. Rather, a transformational leader in higher education must

be accepted as a valued and trusted change agent by followers who believe he/she has

enough of an understanding of their reality to enact meaningful change (Bensimon, 1993;

Bensimon, 1991; Kezar & Eckel, 2008; Neuman & Bensimon, 1990). In her study of

image and identity of new college presidents, Bensimon (1991) notes that "leadership is

realized when individuals surrender to another individual the right to define their reality"

(p. 638). Bensimon (1991) believes that empowering a president must come from the

identity he/she is ascribed by the faculty during a process of acculturation, "A president's

image seems to depend largely on the faculty's interpretation of behaviors as indications

the president is - or is not – 'taking the role' of the faculty" (p. 641). Studying the effect

of presidential tenure on faculty-leadership relationships, Birnbaum (1992) agrees with

Bensimon's (1991) value of the faculty empowering a president's identity but argues that

two-way communication must be maintained in order for a president to be effective. As

new leaders typically face institutions stressed by extreme demands to change with

limited or shrinking financial resources, Birnbaum (1992) warns that "initial success and

muted criticism leads presidents to become more certain, overestimate their effectiveness, become less sensitive to complaints, and diminish two-way communication" (p. 12).

This warning is important to acknowledge as the transformational leader's notion of an effective organization will likely influence their relationship with the members of the campus community and his/her communication with this group will be vital in acculturating any change proposals (Bass & Riggio, 2006). Eckel and Kezar (2003) suggest that transformational change processes will require more and more guidance from campus leadership as to how to assign meaning to the how the new image of the university will utilize and respect the values and traditions of the old image. An example of the importance leadership embracing the unique cultural values of an institution can be seen with renaming and rebranding or institutions. In his research on the re-branding of colleges and universities in West Virginia, Owston (2009) chronicled the process by which 11 institutions in the state were re-categorized as universities in response to environmental pressures to "(a) define the future mission of the institution, (b) to increase institutional prestige, (c) to increase enrollment, and to (d) enhance the school's international reputation" (p. 131). Each institution noted by Owston (2009) experienced their own unique process of change that involved varying degrees of effort to transform to a "university." Institutions that exhibited programmatic, structural, and research characteristics of a university went through deep cultural changes while others were totally redefined in almost every respect. The leadership role in each of these cases allowed the unique characteristics of each campus to frame the process of change. Moorer's (2007) study of faculty involvement during a university's name change process revealed similar motivations for change but focused more on the necessary collaborative

and engagement experiences of faculty, finding correlation between faculty involvement and the intended outcomes of the name change.

Making sense of transformative change.

As this type of change depends on existing institutional culture to guide the transformative process, the opportunity for member of the institutional community to make sense of the new vision becomes the primary determinant of the change's depth and pervasiveness in an institution. Preserving the institution's culture creates continuity throughout the change process (Kezar & Eckel, 2002a; Eckel & Kezar, 2003; Kreup, Walker, Astin, & Lindholm, 2001). Clark (1998) notes, "transformation requires a structured change capability and development of an overall internal climate respective to change" (p. 145). However, if the proposed change clashes with the institution's existing culture, it could create formidable obstacles to the transformation (Kreup, Walker, Astin, & Lindholm, 2001; Kezar & Eckel, 2002a). Sensemaking seeks to address possible conflict between the organization's culture and the change process by helping to develop a balance between individual and group needs and by placing all members into positions of making meaning of proposed change (Weick, 2001). In defining the concept, Gioia and Chittepeddi (1991) suggest that "sensemaking has to do with meaning construction and reconstruction by the involved parties as they attempted to develop a meaningful framework for understanding the nature of the intended strategic change" (p. 442). It becomes the responsibility of the institution's leadership to create opportunities for organizational members to ascribe meaning to the organization, their role in it and how change would affect who they are and what they do (Weick, 2001). Kezar and Eckel (2002b) contend that "institutional change is about meaning construction, or more exactly

in times of change, reconstruction" (p. 317-318). For the members of the institution,

transformation and the sensemaking process occur at a cognitive level, "Transformation

occurs when cues become associated with new cognitive frameworks and thus meanings

are made and new activities occur" (Kezar & Eckel, 1999, p. 8).

In a case study of 28 institutions undergoing "bottom up" transformative change,

Kezar (2013) found that three elements of sensemaking "move institutions toward

transformation – depth of process; breadth of engagement across departments and

campus-wide; and connection to strategies and barriers" (p. 767). For the first element,

Kezar (2013) explains that the depth of the process "refers to sensemaking and

sensegiving becoming more embedded within individuals' consciousness and more

concrete over time as change processes move to later stages of implementation" (p. 767).

Kezar's (2013) first element of sensemaking/sensegiving in transformational change

processes aligns with Gioa, Thomas, Clark, and Chittepeddi (1994) contention,

"Sensemaking involves not only 'pure' cognitive interpretation processes but

interpretation in conjunction with action" (p. 365). As the sensemaking/sensegiving

becomes "more concrete over time" there is a point where action on the part of the

institutional community or within the individual themselves is taken to make the change a

reality, "people take into consideration the realized or likely outcomes of their own

actions or those of other significant stakeholders in trying to understand what to do next"

(Gioa, Thomas, Clark, & Chittepeddi, 1994, p. 365). Although Kezar (2013) does not

specifically acknowledge "action" as an identified step in this first element, the findings

of the case study institutions illustrate the development of more concrete, or real,

milestones in planning process that move stakeholders forward in developing their sense

of the proposed change and their role in its formation. For example, as all the campuses in the study were integrating interdisciplinary learning environments, Kezar (2013) describes how groups of faculty were successful in moving their change toward becoming more transformative by engaging multiple groups and individuals on campus to create support and consensus for their proposed change. This effort to gain support is an action that supports and strengthens sensemaking during earlier change planning stages.

For the second element of sensemaking/sensegiving that was observed to progress proposed changes toward transformative processes, Kezar (2013) explains, "Breadth refers to campuses working the changes through the various levels of the institution, from departments through divisions to the overall campus having people at each level rethinking their work and persuading these individuals at these various levels" (p. 767-768). The example just given of faculty mobilizing at various levels to gain support and understanding for a change idea is an example of breadth. It is also important to note that breadth constitutes an important construct in how Eckel and Kezar (2003) defines transformational change, arguing for the presence of both breadth and depth in the change process. This notion of "breadth" in cases of transformational change is similar to Gioia and Chittepeddi's (1991) idea of sensegiving studied during a strategic change process at a large, public research university. In both Kezar (2013) and Gioia and Chittepeddi's (1991) studies, sensegiving depends on others to make sense of a proposed change, identify their role in the process and the outcome, and then support subsequent actions that would realize the change.

The third element Kezar (2013) found to be important in moving institutions toward transformative change, connections to strategies and barriers, suggests that "change agents saw and made a connection between sensemaking/sensegiving and specific barriers they are trying to overcome and strategies they are trying to use" (p. 768). If the arguments of Weik (2001), Kezar (2013), Eckel and Kezar, (2002b), Gioia and Chittepeddi (1991), and Gioia, Thomas, Clark, and Chittpeddi (1994) are to be accepted, then the cognitive process of sensemaking is also a learning process. Kezar (2013) argues that the more sensemaking and sensegiving is linked to barriers and strategies that "more likely a campus would move toward transformational change" (p. 768). If this is true, then it is possible to suggest that sensemaking/sensegiving are processes that may have more effect if they operated in cooperation with each other, or even conceived of as a united process. Individual stakeholders and institutional communities as a whole are tasked during these cognitive processes to construct new realities of an institution that is changed from what it once was. Barriers to impede the change process and the strategies developed to overcome these obstacles are part of a cognitive process that allows stakeholders the opportunities to accept the barrier as stopping point in the change process as well as give change agents the opportunity to assess their strategies for moving forward. Keup, Walker, Astin, and Lindholm (2001) found that barriers, such as resistance, that members of the institution may dig in to their subcultures as defined by their "organizational role, institutional position, or disciplinary affiliation. . .supporting their own set of customs, beliefs, and practices that are frequently incongruent with the larger university culture" (p. 4). A proposed transformational change may come into direct conflict with these subcultures and reisstance may develop.

However, such resistance, Keup, Walker, Astin, and Lindholm (2001) argue, is common and that it may actually be a positive indicator of successful transformation,

> Even planned change in an environment that has been properly prepared results in a certain amount of disequilibrium, such as initial cost increases or a short-term decrease in efficiency as individuals break old habits and become familiar with new processes and structures. . . resistance can be perceived as an indicator that the change effort has permeated the outer layers of the institution and is moving beyond a state of adjustment or isolated change to alter the cultural and structural elements of the institution on the collective level. (p. 4)

In response to evidence of resistance, Gioia and Chittepeddi (1991) found that a "re-visioning" is common for change initiators to rethink their strategies for moving the change forward by reconsidering their understanding of "organizational realities" and develop new methods and opportunities for sensemaking/sensegiving (p. 440).

There are two distinct characteristics of transformation that give sensemaking its legitimate value within the change process, but also yield the probability of creating contradictions between the institution and its environment: the process is continuous and it occurs over time. Borrowing from the incrementalist approach, Clark (2003) observes that "elements of transformation become elements of sustainability as their cumulative incrementalism produces a perpetual momentum" (p. 112). This presents a significant challenge to institutions of higher education. Eckel, Hill, and Green (1998) agree that "it is not sufficient to accomplish one or more important changes and stop there. The challenge is to change repeatedly and to become more responsive to the needs of higher

education's many stakeholders and its external environment" (p. 6). Because of this

challenge, the amount of time necessary for an institution to carry out effective

transformative change becomes a pivotal issue. Transformation may assume either a

slow evolutionary (incremental) or a fast revolutionary pace. Eckel, Hill, and Green

(1998) contend that "it is not the speed of change but its other dimensions – specifically

its depth, pervasiveness, and impact on culture - that matter most in transformation" (p.

6). However, devaluing time strains the perception the institution may have of its

external environment may cause significant misjudgment in assessing the appropriate

change process to respond to these influences. Several scholars of change (Clark, 2004;

Gumport, 2000; Kerr, 1991; Levine, 2001) have warned that such a mistake could lead to

a string of errors that may threaten a school's place amongst its peers, the ability to

produce employable graduates, and maintain an accurate sense of its financial needs.

Being such a substantive change process, transformation may stand in conflict with the

time constraints applied by the institution's environment as a sense of urgency is

beginning to dominate institutional responses.

Challenging the Typology of Change: The Dominance of Urgency

A sense of urgency dictated by environmental demands may cause change to

occur at a pace faster than the institution may be accustomed. Studies representing the

three change processes presented above unanimously extol the dangers of an institution's

process of adaptation, alteration, or transformation being incongruent with its

environmental demands. Gumport (2000) rationalizes that "organizations can and do

adapt, and organizational survival is dependent on the ability of the organization to

respond to its environment, which is characterized as dynamic and thus uncertain and

potentially threatening" (p. 76). Miller and Friesen (1980,1982) support this rationale

and ascribe a higher level of danger to those institutions that do not adopt a rapid

response mechanism as falling behind the curve of the environment is no longer just a

disadvantage or weakness to be strengthened later. Clark's (2003) advice that institutions

must be careful to assess the environment before a decision is made to proceed down a

path of change is still valid in this environment of urgency. However, a judgment on how

urgent the change must be appears as the foremost question of a change process, even

before the type of change is decided upon.

Determining the speed by which an institution undergoes change is a decision

vital to incremental, adaptive, and transformative change processes. Characterized by

slow moving processes, the incremental approach allows small changes to take place over

time with little or no sensitivity to external pressures. Scholars of this method

(Lindblom, 1959; Bradley, 2004) argue that making slow, incremental changes over time

offers a level of safety for the institution and allows for multiple options to be explored,

assessed, and decided upon for action. The incremental approach also reduces political

obstacles and is relatively inexpensive (Mullen, 2001). However, in a study comparing

piecemeal incrementalism with revolutionary adaptive change, Miller and Friesen (1982)

found that slow moving change over time may cause an organization to increase its

inadequacy within its environment. Because the institution's structure does not

significantly change using the incremental approach, it creates inflexibility, if not rigidity,

in perceiving the demands of its environment. Therefore, urgency of change would likely

prohibit an institution for adopting an incremental change approach as the slow pace and

the predominance of ambiguity in the goal setting and decision-making processes would

be too impractical. The evolutionary spirit of incremental change, Miller and Friesen (1980) add, may become the framework from which continuity can be established to help larger scale, more rapid change process establish momentum.

Adaptive change, on the other hand, could occur at any pace. Cameron (1984) connects environmental pressure with an institution developing a sense of urgency to change via four categories: population ecology, life cycles, strategic choice, and symbolic action. Each of these categories rests on a continuum that evaluates managerial influence in relation to environmental importance. Cameron (1984) noted that scholars within the strategic choice category debate the speed at which change should occur. However, the strategic choice category is not the only scenario of adaptation in which the rate of change is contended. Several scholarly works on adaptation (Gumport & Sporn, 1999; Gumport & Pusser, 1999; Miller &Friesen, 1980; Miller & Friesen, 1982; Miller, 1982) have examined this type of change on a broader scale, concluding that several factors contribute to determining the pace at which the change process would occur: the size of the adaptive lag; the presence of a momentum that creates a continuity of adaptation; and an institutional structure that can accommodate continued and rapid adaptation.

Adaptive lag.

The "adaptive lag," refers to the size of the incongruity between the present state of the institution and the demands of its environment, caused when the organization is "between the two effective structural configurations (the old and the targeted) for too long an interval" (Miller, 1982, p. 142). If the lag is substantial, as determined by the institution, then the rate of adaptation would have to be rapid and dramatic in order to

close the gap between an institution and its environment (Miller and Friesen, 1982).

Gumport and Sporn (1999) stress the importance of an institution maintaining balance

with its environment and that any such "lags" are the responsibility of the administration

and, to a lesser degree, the faculty to address. With a near infinite number and type of

influences that demand higher education to adapt, Gumport and Sporn (1999) specifically

call for administrators to exercise greater control, yet not to wield more authority, in

interpreting, assessing and managing the adaptations appropriate to reduce institutional

lags with their environments. Without an institutional mechanism to monitor and

respond to adaptive lags, the institution's structure may become "incomplete and

internally inconsistent" (Miller, 1982, p.142). To reduce such lags, Miller and Friesen

(1980) argue for organizations to adopt change process that are substantive and fast-

paced.

Characterizing this type of adaptation as "revolutionary," Miller and Friesen

(1980) note that in order for an organization to utilize the benefits of this type of intense

change process; a momentum of evolution must begin and be maintained. By creating

and sustaining a momentum in adaptation, the organization will constantly be in a state of

change and, thus, in a position best suited to react to changes in the environment. This

momentum of adaptation could be applied to "the rate of product market innovation, the

adequacy of organizational intelligence, the level of technocratization, the style of

decision making and many other features of strategy and structure" (Miller & Friesen,

1980, p. 592). In the case of higher education, institutions would have a consistency in

the direction of change as the adaptation would follow environment, or market, demands

and reduce the common tendency of ambiguity in goal setting and decision making.

However, the fast-paced reaction to its environment may cause institutions to act too quickly without careful planning and adequate control of the change process, especially when considering the prevalence of strained financial resources in higher education. State-funded institutions are particularly vulnerable as the availability of financial resources commonly drives calls for dramatic and abrupt change, often without consideration of long-term effects on the schools viability (Gumport & Pusser, 1999). As a result, the momentum of the continuous adaptive change advocated by Miller and Friesen (1980) may face conflict in the ambiguity of state demands for change.

Momentum of adaptation.

Revolutionary adaptive change does hold a high degree of ambiguity in that there is no guarantee that its intensity will be effective. Miller and Friesen (1980) admit that,

> Some revolutions bring to life a somnolent, deteriorated organization and renew its structural and strategic orientations to bring them more in line with challenges in the market. Other revolutions reverse a perfectly good strategy or structure because of the aims of a new chief executive, an overreaction to a threat, or a perceived opportunity. Also, all revolutions are costly and many pay off late, or never. (Miller & Friesen, 1980, p. 611)

However, the presence of momentum does add some degree of control over revolutionary change. Miller and Friesen (1980) contend that momentum also contains a noticeable level of ambiguity but lends structure to the fast-paced, broad-scoped revolutionary adaptation in that it can,

Serve to keep features of strategy, structure, and environment in proper alignment over time. It is also economical in the sense that it forestalls expensive and disruptive reversals which can alienate personnel, absorb material and financial resources, and necessitate much organizational learning, often by costly trial and error. Finally, it avoids a hair-trigger adaptiveness which whipsaws the organization in and out of ventures that take time to come to fruition. (Miller & Friesen, 1980, p. 611)

This balance of momentum and revolutionary adaptation would develop a continuity of change in institutions of higher education that would enable a dynamic aimed at detecting environmental shifts and even, if the dynamic is regularly assessed and honed, anticipate possible demands for change. Yet this balance is neither easy to establish nor easy to maintain.

Adaptive structure for continuity and sustained momentum.

Many scholars of adaptation (Lutz, 1982; Cameron, 1984; Gumport & Sporn, 1999; Gumport, 2000; Sauder & Espland, 2009) advocate the need for more control over change processes and look to campus leadership and the institution's orientation as loosely coupled to adjust in response to higher education's new environment. Challenging Weick's (1976) widely accepted characterization of colleges and universities as loosely coupled organizations does not mean to call for institutions to tighten up their decision making, communication, and change practices en route to a total assimilation to a corporate culture and structure. As noted earlier, Cameron (1984) called for a "tightening up" of the implementation stage of change so administrators and other

decision-makers assess the environment and make quick, decisive choices about how the college or university is going to adapt. Given the extreme environmental demands of modern universities, this empowerment of administrators is more necessary to set change process in motion in a timely manner and to constantly asses an institution's environment (Gumport & Sporn, 1999; Gumport, 2000). Planning and communication would be tightly controlled so, at the very least, information is disseminated equally and the risk of content misinterpretation is reduced (Lutz, 1982). In addition, the highly volatile nature of today's higher education environment may require a tightly controlled receiving mechanism at the institutional level.

Miller and Friesen (1980, 1982) have explained the necessity for organizations to respond to such an environment with revolutionary or "quantum" change as a means to survive. Decision makers in Miller and Friesen's (1980, 1982) studies of various Canadian and Australian business firms (i.e. banking, transportation, finance) were found to be key to controlling the organization's perception and response to constantly changing demands, as they are required to exercise the appropriate authority move the organization in a new direction. In their longitudinal study of hospitals responding to "hyperturbulent" environments, Meyer, Goes, and Brooks (1993) agree, "Managing in changing conditions is qualitatively different from managing under steady-state conditions" (p.66). Managers are further advised that " hyperturbulence, which is likely to occur with increasing frequency, demands that organizations adopt radically new strategies in order to survive and that hyperturbulence *is* survivable and presents unique opportunities for top managers who are prepared to reinvent their organizations" (Meyer, Goes, & Brooks, 1993, p.67). However, control over environmental reaction and change must be

measured and balanced carefully. Cameron (1984) suggests that both loose and tight coupling be in place in order for innovation to be preserved for the initiation (loose coupling) and the implementation (tight coupling) of change.

Transformative change and environmental urgency.

Studies on transformative change suggest an even broader embrace of environmental pressures to change but are conflicted over the sense of urgency to respond. As noted earlier, Eckel, Hill, and Green (1998) presented transformation as a process that "occurs over time" but then claimed the speed of the change doesn't matter, "the speed of change represents only one vector in institutional change, and that one vector may not be very important to transformation" (p. 5). In comparing slow, incremental change with fast, revolutionary change in regards to transformation, Eckel, Hill, and Green (1998) continues the argument, "Both revolutionary and evolutionary change can lead to transformation because it is not the speed of change but its other dimensions –specifically its depth , pervasiveness, and impact on culture – that matter most in transformation" (p. 6). Given the current demands placed on higher education by its environment, this suggests that, if necessary, transformation could occur urgently. However, Eckel and Kezar (2003) argue that transformational change occurring over time suggests that the change not occur at a fast pace,

> We differentiate transformation from revolutionary change, which happens quickly. Major changes take time. Creating a new institutional culture, implementing changes that have a deep and pervasive impact, and generating sought-after results will not occur quickly in most instances . . .Colleges and

universities are not structured, governed, or led in ways that, for the most part, allow for rapid change. Their complexity, diffused decisions making, and multiple purposes make change difficult and multifaceted and, thus, time consuming. (p.30)

Eckel and Kezar (2003) add that since transformation may not be a process that is reflective of a singular change effort with discernible beginning and ending points, it would be difficult to apply time limits. Characterized by multiple changes that range greatly with depth and pervasiveness, transformation is significantly influenced by and relies on the institution's culture to conduct effective change. Because there may be many changes occurring simultaneously, transformation requires a degree of control to steer the changes in a given direction but not at the expense of a highly flexible dynamic created by the loosely coupled system. Some forms of revolutionary adaptation assume that the extreme momentum behind a change initiative would simply force cultural elements to conform to the new direction, hence the call by some authors (Lutz, 1982; Sauder & Espland, 2009; Cameron, 1984) to incorporate tight coupling on some phases of the change process. As transforming institution cannot adopt such processes due to the attention to culturally deep and institutionally pervasive change, the reality of fast-paced, radically changing environmental pressures may present challenges for institutions of higher education to undertake transformative change.

In assessing which change process fits the circumstances of individual college and university campuses, two elements persist in determining institutional response: 1) the urgency with which the environment is demanding change; and 2) the risk assumed by institutions to undergo change at pace and in an environment with which they are

unfamiliar. Reflecting on the transformational change process that took place at the University of Northern Colorado, Rowley, Lujan, and Dolence (1997) comment on this increased speed of change in a more demanding environment,

> Today colleges and universities are not simply looking at a different set of external demands than they saw in the past. . . external constituents *have power,* power that they have not wielded in the past but which they now threaten to use. Higher education has little choice but to make certain lifestyle changes in order to respond in short order to these new demands. (Rowley, Lujan, & Dolennce, 1997, p. 50)

Huber, Sutcliffe, Miller, and Glick's (1993) study of managers from 119 service and manufacturing organizations equate the increasing rate of change with increases in environmental complexity and turbulence, "the more numerous and diverse are the components of an environment, where each component can prompt an organizational change, the more turbulent is the environment and the more frequent are the adaptive changes" (p. 226). To further illustrate this relationship, Huber, Sutcliffe, Miller, and Glick (1993) present the following model (Figure 3.) with the explanation "the greater the environmental complexity, the greater the environmental turbulence and, consequently, the greater the frequency of organizational change" (p. 226):

Environmental Complexity $\Rightarrow$ Environmental Turbulence $\Rightarrow$ Organizational Change

Figure 3. Model showing that the more complex the organizational environment the more substantial environmental turbulence becomes as change must take place at a quicker rate in order to adapt. Adapted from "Understanding and Predicting Organizational Change" by G.P. Huber, K.M. Sutcliffe, C.C. Miller, and W.H. Glick in *Organizational Change and Redesign: Ideas and Insights for Improving Performance*, (p. 226), by G.P. Glick and W.H. Huber, 1993, New York: Oxford University Press. Copyright 1993 by Oxford University Press.

A sense of urgency to change could also bring about the possibility of putting the institution at risk. Fast-paced, sweeping change does not guarantee success in meeting the demands of the environment. Miller and Friesen (1980, 1982) have noted that the significant amount of financial resources, time spent garnering organizational support, and creating a sense of meaning within a short period of time could yield disastrous results. Proponents of the incremental approach found comfort that change would occur so slowly that it would be possible to stop, regroup, and follow a new direction of change if danger was detected (Lindblom, 1959). Yet, scholars of adaptive and transformational change agree that times have changed in that colleges and universities may not have the luxury of following traditional processes. The questions of urgency and accompanying risk to the institution re-emerge to pose challenges to established understandings of change in higher education.

Making Culture and Identity Meaningful during Times of Change

In deciding how urgent the change process was to be and how to manage the institutional risks associated with large-scale adaptations, administrators and other change

agents must consider the reception any such initiatives would have on the people, history, traditions, symbols, and myths of the institution. If the external environment bearing pressure for change is truly as turbulent and unpredictable as many perceive, the engagement of the institution's culture must be aligned accurately with these demands or risk immobilizing contradiction. Tierney (1988) warns decision makers against ignoring the cultural impact of any institutional change as it would significantly dull their ability to contextualize the change, preventing them from "spotting and resolving potential conflicts and in managing change more effective and efficiently" (p. 6). In their respective studies of institutional culture in higher education, Kezar and Eckel (2002a) and Kuh and Whitt (1988) would agree with this warning but add that broadening the perception of administrators is not enough to effect a, possibly, radical change process. Both works consider the dynamic of the people in the organization, how they interact, and they fulfill their roles, both individually and collectively as members of a community. To follow a deep and pervasive change process, like transformation, Eckel and Kezar (2003) and Kezar and Eckel (2002a) return to some of Tierney's (1988) suggestions on creating a framework for understanding culture in higher education. Kezar and Eckel (2002a) present a modified framework for conceptualizing the dependence of cultural awareness and engagement during a change process as substantive as transformation:

1.) *Senior administrative support,* refers to individuals in positional leadership providing support in terms of value statements, resources, or new administrative structures.

2.) *Collaborative leadership*, defined as a process where the positional and nonpositional individuals throughout the campus are involved in the change initiative from conception to implementation.

3.) *Robust design*, a more complex and less well known term than vision . . . Leaders develop a 'desirable' and flexible picture of the future that is clear and understandable and includes set goals and objectives related to the implementation of that picture. The picture of the future and the means to get there are flexible and do not foreclose possible opportunities.

4.) *Staff development*, a set of programmatic efforts to offer opportunities for individuals to learn certain skills or knowledge related to issues associated with the change effort.

5.) *Visible actions*, refers to advances in the change process that are noticeable. Activities must be visible and promoted so that individuals can see that the change is still important and is continuing. This is an important strategy for building momentum within the institution. (p. 440-441)

As this framework offers ways in which to involve a campus community to gain "cultural support" for change, the effects of these proposed processes also encourage the members of the institutional to make meaning out of their current roles in the institution as it is at present, to make a contribution to the change process, and to foresee their new roles after the changes have been completed. This culturally infused process of sensemaking enables change processes like transformation to be deep and pervasive (Kezar & Eckel, 2002a; Eckel & Kezar, 2003, Kezar, 2013). However, the sensemaking process can also be a major detriment to change if not properly conducted by senior

leadership. Weick (2001) believes loosely coupled organizations, like colleges and universities, create an internal dynamic that promotes adaptability. This adaptability, Weick (1976, 2001) continues, allows people in the organization to put new things, like change initiatives, into a rational order in relation to how similar things in the institution have always been perceived and carried out. A cognitive connection between the current state of the institution and the proposed new model, a form of bounded rationality, begins to inform decisions, actions, and behaviors. A significant obstacle to the change effort emerges when this sensemaking process rationalizes the institution and its envisioned future in a contradictory way to the change process that's being presented by senior leadership.

This contradiction could also be construed as a challenge to the institution's paradigm, as seen by its internal and external communities. An institutional paradigm, "can be defined as a world view, a frame of reference, or a set of assumptions" (Simsek & Louis, 1994). In their article studying change processes in a large, public university, Simsek and Louis (1994) base their study on the assumption that,

> Organizations are defined by their paradigms . . . the prevalent view of reality shared by members of the organization. Under a particular dominant paradigm, structure, strategy, culture, leadership and individual role accomplishments are defined by this prevailing world view (p. 671).

Like obstacles that are formed due to incongruences between change initiatives and the institution's culture, paradigms need to be considered by senior leadership so the proposed "new paradigm" will be palatable to the campus community. The same myths,

symbols, rituals, legends and traditions that are used in defining the "old paradigm" must be considered in building the perception of the "new paradigm." The campus community will be responsible for shifting the "dominance" from the old to the new paradigm but will not readily accept a new direction, like a change initiative, unless there are public indicators that the old view has influenced the new (Simsek & Louis, 1994; Kovoor-Misra, 2009).

The issue of urgency can be an unstable factor in casting a new paradigm during a change process. Literature discussing the insertion of new ideas into an organization's culture for the purposes of initiating major change (Schein, 1985; Kezar & Eckel, 2002a; Eckel & Kezar, 2003; Kuh & Whitt, 1998) suggests that existing institutional and organizational cultures need time to get used to new ideas. Simsek and Louis (1994) present the assumption that "radical change in organizations may be construed as a discontinuous shift in this socially constructed reality" (p. 671). Depending on the force behind the environmental pressure to change and the time with which the institution feels it has to respond with changes, several multiple paradigms may emerge at the same time. Such occurrences may fall into what Simsek and Louis (1994) would consider *anomalies*, to be confronted before they turn into crises and before the process of returning to normalcy when an accepted and dominant paradigm emerges. However, Cohen, March, and Olsen (1972), Cohen and March (1974), March and Olsen (1976), and March (1981) may just consider an increased number of paradigms, possibly competing with each other, as expected ambiguities that can be used, decided upon for action, while the others are discarded. In both cases, the multiple paradigms would exist in response to change initiatives. Whether the paradigms could be tossed into the "garbage can" to be

rummaged by change agents and members trying to make sense of their roles during the process has too many possibilities to be definitely answered. However, it can also be reasoned that paradigm shifts take time as a substantial amount of acculturation to a new way of perceiving the institution is coupled with the new ways in which it now operates in response to environmental pressures,

> As a new paradigm becomes dominant, a wave of enthusiasm appears in the organization. This coincides with the establishment of new power relations and the appearance of new actors on stage. Instability characterizes the initial policy formation period of the new paradigm, in which new organizational structures, procedures, and systems are initiated. (Simsek & Louis, 1994, p. 676)

Does the urgent need to change prohibit the effective transitions of institutional cultures and paradigms? Most of the scholars referenced in this section would agree that urgent, large-scale change does stand to derail a transition process that some would consider evolutionary. Viewing this in a more pragmatic sense, urgency would certainly pose a formidable contradiction. Cultural and/or paradigmatic shifts are not processes that can be hurried or forced. They have to be tempered to fit properly into a collective perception of how the institution will be changing and why. The loosely coupled characteristics of higher education enables adaptability toward change but there must be time for members of the institution to make cognitive connections with the new ideals presented in response to a more demanding and unpredictable environment.

Institutions that use their identities to conceptualize environmental urgencies to change and form images of what they want to be are able to conduct traditionally slow

moving transitions more quickly. Gioia and Thomas (1996) examine how identity and image during a change process can inform larger perceptions of the institution but also train decision makers in viewing issues through either the lens of "who we are" or "who we want to be." Conceding to some of the same conclusion Simsek and Louis (1994) had in analyzing paradigm shifts in changing institutions; Gioia and Thomas (1996) consider the institution's leaders to conduct a change process by shifting their interpretation of issues from existing identity to perceived image. In doing so, change issues considered as either strategic or political. Strategic issues "had to do with identifying or pursuing initiatives that would create or convey the image of a top-10 academic institution" (Gioia & Thomas, 1996, p. 377). On the other hand, political issues are "those that involved the management of competing interests and preferences, especially if the issue could compromise the attempt to achieve top-10 status" (Gioia & Thomas, 1996, p. 378). Institutional identity becomes challenged as both strategic and political issues are examined through the efficacy of current programs, policies, and structures in solving the problem. Inadequacy begins to emerge as a powerful incentive to change (Dutton & Dukerich, 1991).

If the institution's response to evidence of internal inadequacies in dealing with political (internal) or strategic (external) issues is too fast, then multiple images of what the institution would like to be may emerge. Similar to how Simsek and Louis (1994) examined the possible impact of multiple paradigms to eventually yield a "dominant" view, Gioia and Thomas (1996) and Dutton and Dukerich (1991) consider the existence of multiple images as opportunities to further explore the institution's pressing issues, allow community members to make sense of the proposed changes, and better understand

the external environment demanding change. Gioia and Thomas (1996) argue that the end of this process creates "new or redefined 'sensible' identities that depart from past- and present-oriented views of the organization's self-concept then need to be generated to fit this desired future image" (p. 395). The people in the organization, then, are elevated in their sensemaking processes to "determine which ostensibly enduring elements of the organization's identity should change and how much they should change to affect and ultimately reflect a desired future image of the organization" (Gioia & Thomas, 1996, p. 395).

The rate of change and the urgency with which identity and image may be examined by the institution in a timely enough manner to meet external environmental demands depends on the institution's identity gap. According to Kovoor-Misra (2009), the identity gap refers to the distance between "who we are" to "who we want to be." The rate and size of change is usually determined, in part, by the size of this gap and how urgently the distance needs to be reduced. Kovoor-Misra (2009), Weick (2001), and Dutton and Dukerich (1991) consider high identity gaps to be situations of crisis, requiring institutional transformation to close the distance and establish a Perceived Organizational Identity (POI), or image, that encompasses a new set of values, attitudes, policies, and procedures. Kovoor-Misra (2009) argues that the more institutional members consider the identity gap a threat the greater the internal momentum to change. In other words, the more people panic about how much they are disconnected from their peer institutions and the environmental marketplace as a whole, the more likely they are to adopt ambitious images of "who they want to be" and make cultural alterations in light of this new perception.

Role of the Faculty in Change Processes

The professoriate is vital to the identity and functionality of colleges and universities. Altbach (2005) points out, "The American professoriate has been shaped by the social, political, and economic context of higher education" (p. 288). The faculty foundation of higher education has deep historical roots as European and early American historical models of colleges and universities featured the prominence, and in many case the sole existence, of faculty in providing post-secondary education (Brubacher & Rudy, 1997; Geiger, 2005; Thelin, 2004). While modern universities are larger and more complicated than these historical examples, the faculty still serves as the primary "service providers" of education to college students. Due to this level of importance and centrality to the nature of higher education, the role of faculty in change processes are equally vital, "faculty involvement in change is indispensable and must be assiduously cultivated. Without this involvement, contrived in such a fashion as to grant the faculty shared ownership, a campus is virtually assured that discussion of change will take place in a context of internal conflict" (Kashner, 1990, p. 24). Eckel and Kezar (2003) include faculty as necessary participants in the process of acculturating change within an institution. In the public and private college and university case studies that Eckel and Kezar (2003) feature in their analysis of transformative change, the faculty form the core of ascribing cultural meaning to changes that are deep and pervasive.

While many scholars of higher education accept the centrality of the faculty to the nature of higher education, some have found, however, that the modern professoriate is suffering from an erosion of their influence. Schuster and Finkelstein (2006) notes that as the nature of higher education evolved over time, so did the role of the faculty,

> As American higher education expanded in response to the nation's transition to a secular, industrial, urban society with an emergent middle class. . .shifts occurred in the faculty roles, work activities, and careers, and indeed, there was a reformation of the very definition of a college or university faculty member and of the qualification to serve in that role. (p. 19)

Similarly, Altbach (2005) roots the cause of this decline of faculty influence and importance on university and college campuses to be the increasing and changing nature of external environmental demands. External forces such as sources of financial support for individual and institutional research, state regulations for public institutions, and regional accreditation requirements are but a few causes of the changes in the way the professoriate are valued and function on college campuses. Many scholars (Altbach, 2005; Finkelstein, 2001; Schuster & Finkelstein, 2006; Gappa, Austin, & Trice, 2007) suggest that broader shifts in the way institutions evaluate new environmental influences and react with changes will increasingly challenge the role of the professoriate,

> As academic institutions adjust to a period of declining resources, there will be subtle organizational shifts that will inevitably work to diminish the prerequisites, and the authority, of the academic profession. Universities, as organizations, adjust to changing realities, and these adjustments will work against the professoriate. (Altbach, 2005, p. 297)

Altbach (2005) suggests that this decline in faculty influence has been most noted in the shift in the nature of the professoriate from traditionally existing with a high degree of autonomy to more modern functions with greater accountability, "Decisions concerning

class size, the future of low-enrollment fields, the overall academic direction of the institution, and other issues have been shifted from the faculty to the administration or even system wide agencies" (p. 305). A major consequence of these shifts has been the disproportionate and, often times, contradictory expectation that some institutions have of their faculty's teaching and scholarship responsibilities.

Finkelstein (2001) agrees with this assessment and forwards a bleaker view of the declining role of the professoriate in influencing higher education, "In most popular discussions of higher education these days, especially when the subject turns to spiraling college costs or the neglected state of undergraduate education, professors are at once identified as the major source of the problem and the major obstacle to reform" (p. 323). Of the several causes Finkelstein (2001) attributes to the downfall of the professoriate, one stands to be most relevant to the impact of faculty on institutional development: "the enormous growth in college participation rates - not only by the traditional 18-to-22-year-old cohort but by adults of all ages – resulting in exploding demands on the public purse and vastly expanding the group of stakeholders in the enterprise" (p. 324). Offering similar arguments, Levine (2001) observes that along with a growing college student demographic there is a related shift in accountability where government entities, namely states, are "demanding greater accountability from higher education, and that burden is resting increasingly on the shoulders of the faculty" (p. 3). Levine (2001) continues to explain that this trend marks a shifting emphasis from the "process" of earning credits and obtaining degrees to increased interests in the outcomes of a student's education. Some states, Levine (2001) notes, "have already imposed tests on higher education to measure student achievement" (p. 3).

Opportunities and challenges to faculty primacy in developing curriculum.

With the imposition of federal and state agencies, corporate partners, and other forces on what students are learning in colleges and universities, the development of curriculum becomes a contentious issue in defining the role of the faculty. Schuster and Finkelstein (2006) have placed the faculty at the center of curricular reforms in American higher education as events like the flourish of the liberal arts curriculum at Harvard, the shift from religious to secular curriculums, the reconceptualization of who and what is learned at colleges and universities following the passage of the Morrill Act, and the enrollment booms following the passage of the GI Bill. The tradition of the faculty-led curriculum development persists to the present day with faculty maintaining, to one degree or another, ownership over creating curriculum within their disciplines of expertise. In his chapter on curriculum in higher education, Bastedo (2005) notes, "The curriculum itself signifies changes in the faculty's underlying assumptions about what counts as knowledge, what knowledge is most worthy of transmitting, and what organizational forms are most appropriate" (p. 479). However, more recent changes to the environment in which colleges and universities operate have provided both new opportunities and challenges to the faculty role in developing curriculum.

With institutions facing new environmental pressures to change, many colleges and universities are finding innovative ways to engage the faculty in curriculum development. Writing about curriculum development and the role of faculty in a *Chronicle of Higher Education* article, Rhodes (2001) calls for "faculty members to recapture the curriculum" ("A Battle Plan for Professors," para. 7). To do so, Rhodes (2001) argues that faculty "must collectively face difficult and divisive questions about

goals, priorities, and requirements, and then design effective ways to achieve them" ("A Battle Plan for Professors," para. 7). In their report on the Top 25 Project at Miami University, Hodge, Nadler, Shore, and Taylor (2011) explain that societal pressures to produce more globally minded and stronger "critical thinkers who can solve problems in an ethical way" requires a collaborative approach to curriculum development (p. 29). With an intent to "institutionalize 'engaged learning,'" Faculty and administrators at Miami University focused on the 25 classes with highest enrollments and challenged the faculty to create new and innovative curriculums that would be student-centered, increase critical thinking and problem solving, and increase the amount of time students spend on actually learning course material (Hodge, Nadler, Shore, & Taylor, 2011, p. 30). Administration co-conducted this initiative with faculty and provided five to nine awards in the amount $35,000 to individual or teams of faculty who developed the most innovative design. Hodge, Nadler, Shore, and Taylor (2011) found, "Faculty ownership of the course-redesign has led to the adoption of a variety of models focused on student engagement and inquiry" (p. 31). Not only did Miami University's Top 25 Project result in gains in student learning but it has also served as a platform from which the university will launch other large-scale changes.

Montana State University went through a similar faculty-led redesign of the core curriculum with an innovative cross-disciplinary approach. Pittendrigh's (2007) case study follows Montana State's adoption of a new core curriculum, Core 2.0. Designed to strengthen "student learning, inquiry, and research," Core 2.0 was a grant-funded faculty commitment to redefining student learning (Pittendrigh, 2007, p. 35). The project began with the development of a freshman seminar course. Faculty from multiple disciplines

planned the intensive critical thinking and inquiry experiences to deepen learning as well as come to terms with why something is being learned. The development of this course created what Pittendrigh (2007) considers to be vital milestones in faculty ownership: the critical dialogue between faculty from multiple disciplines over time about course learning outcomes and teaching objectives, and the willingness of faculty to agree to revise the Core 2.0 product. The results of this project had increased many faculty's understanding and appreciation of students but the experience has also helped faculty think outside their traditional disciplinary views when considering curriculum change. Pittendrigh (2007) observes that,

> The reform effort was successful in large part because the project leaders approached discussion of curriculum reform as a genuine dialogue and expanded a community of faculty and administrators committed to improving the general education experience of MSU students and to making quality general education a high priority for the university. (p. 55)

As these examples of innovative curriculum design projects attempt to meet new demands on the quality and content of student learning, faculty are facing increasing challenges to their authority on what should be taught and how. Many scholars (Gumport & Prusser, 1999; Gumport, 2001a; Altbach, 2005; Bastedo, 2005; Gappa, Austin, & Trice, 2007) note the growing accountability that state and federal agencies are seeking as funding from these sources is becoming more tied to programmatic, admissions standards, access for underrepresented populations, retention rates, or student learning outcomes. Bastedo (2005) presents criticisms from national agencies, e.g. Education Commission of the States, National Center for Public Policy and Higher Education, on

the "inability of states and colleges to improve teaching or monitor progress on student learning" (p. 480). In the case of growing state-level involvement in higher education, Bastedo (2005) offers the examples of Ohio and Massachusetts where state officials have been "critical of faculty productivity and time spent on research and service over teaching" (p. 480). Many states, like Texas, have established coordinating boards that define core curriculum for all of its institutions so that a student could, conceivably, go from one institution to another without losing degree progress. Similarly, growing corporate funding of colleges and universities may also have an impact on faculty control over curriculum as private funds are increasingly becoming more available than federal and state monies. Corporations are establishing partnerships with faculty research endeavors and may develop influence over curriculum design (Bastedo, 2005; Altbach, 2005).

Another source of challenge to faculty authority of curriculum development is the growing presence of technology in post-secondary teaching and learning. Gappa, Austin, and Trice (2007) comments that

> Traditionally, a faculty member envisions, prepares, delivers, and evaluates a course that he or she teaches. In this age of technology, however, these processes of production, distribution, and evaluation are being separated. Curriculum designers may prepare a course; technology specialists may develop the appropriate software to facilitate teaching the course; a teacher may work with the students; and an evaluator may determine the effectiveness of the course, of the related technology, and of the instructor. The faculty member is still involved in helping students learn, but the course itself has become a commodity. Faculty

have traditionally believed that they 'owned' their courses, but the differentiation

of these aspects of teaching has diminished faculty control and ownership. (p. 17).

In their chapter on advancements of technology use in higher education, Gumport and

Chun (2005) report numerous innovations that technology has brought to the college

classroom but admit that faculty are resistant to accept many of these advances into their

curriculum. Quoting critics of Maine's state university system's technology-based higher

education initiative, Education Network of Maine, Gumport and Chun (2005) report that

"faculty feared distance education would 'empty their classrooms and rob them of their

livelihoods'" (p. 417).

The changing composition of the faculty.

In response to the changing nature of higher education, the composition of the

faculty has also shifted. Colleges and universities have been steadily moving toward the

extensive utilization of non-tenured faculty. While non-tenured or part-time faculty on

college and university campuses is not a new trend in higher education, the dramatic

increases of non-tenured faculty have begun to outnumber the traditional faculty on many

campuses. Roots of the traditional faculty ranking system of the tenure track assistant

professor and the tenured associate professor and professor ranks is rooted in the

dramatic increase in hiring faculty following the passage of the Morrill Act. Schuster and

Finkelstein (2006), Gappa, Austin, and Trice (2007), and Thedwall (2008) traced this

tiered hierarchy of faculty as well as the formation of discipline-based departments to

early land-grant institutions like the University of Wisconsin and Cornell University.

Similar increases in college and university faculty appointments occurred following the

enactment of the GI Bill in 1944 when student enrollments experienced substantial increases from the 1940s through the 1960s.

Studies on the utilization of non-tenure track faculty (Kezar, 2012; Kezar & Sam, 2010; Baldwin & Chronister, 2001) have found that this growing population is categorized and valued at each institution of higher education differently. The most diversified use of non-tenure track and part-time faculty is found on state colleges and universities and, especially, community colleges campuses. At these institutions, the use of part-time and non-tenure track faculty has grown consistently since the 1970s (Ehrenberg, 2011; Schuster & Finkelstein, 2007). Reflecting on increasing enrollments of students, including under-represented populations, Kezar (2012) notes that "on many campuses, contingent faculty teach 75 percent of the general education requirements" with even larger representation teaching remedial and introductory subjects (p. xiii). Similarly, Gappa, Austin, and Trice (2007) cite that current hiring trends have set traditional tenured faculty in the minority, "only 27 percent of all new faculty appointments, and 56 percent of new full-time faculty appointments are in tenure-track positions" (p. 49).

Often referred to as contingent faculty, the increasing usage of non-tenured faculty has been explained by many scholars to be a direct response to various forces that are influencing change on college and university campuses. Baldwin and Chronister (2001) suggest five forces of change that are affecting the current hiring practices of faculty:

1.) The need to reduce the costs of institutional operation.

2.) Controls on spiraling tuition charges.

3.) Increasing emphasis on undergraduate education – especially at graduate institutions.

4.) Increased accountability with regard to faculty workload and productivity.

5.) Challenges to the concept of tenure as an employment strategy. (p. 14)

Many scholars (Ehrenberg & Zhang, 2005; Gappa, Austin, & Trice, 2007; Schuster & Finkelstein, 2006) recognize the primacy of financial shortfalls causing many institutions to hire more non-tenured faculty. These contingent faculty are, typically, not bound to the college or university for any length of time and serve on an as-needed basis. Pay is typically set per class taught and benefits are rarely offered. Yet, the susceptibility of contingent faculty falling victim to larger financial challenges of the institution remains a reality. In the case of public universities, Gumport's (2001a) chapter on the legacy of public higher education explains that increasing state and federal control over institutional funding has caused many state colleges and universities to be vulnerable to changes in funding policies and practices. These federal and state-level changes would force institutions that are dependent on these funding sources to look for ways to shrink operating costs, causing contingent faculty to be likely budget reducing targets. However, even with institutional attempts to make up for budget shortfalls with raising student tuition, many institutions increasingly look toward contingent faculty for inexpensive solutions to teach classes as short-term solutions. Gumport (2001b) notes the challenge that many states institutions face with declining financial resources is being aggravated by state and federal initiatives to "improve undergraduate education" and the

student experience (p. 125). These initiatives are making undergraduate education a financial commodity as,

> Teaching loads have been increased, small graduate programs have been closed, and faculty have been told not to spend too much time with graduate students. . . faculty are told to recommit their time and attention to undergraduates while simultaneously being urged to actively pursue government research grants and university-industry collaboration. (Gumport, 2001b, p. 125)

In her conceptual article on the growth of non-tenure track faculty, Thedwell (2008) suggests that the increase in hiring non-tenure track and part-time faculty holds numerous benefits for institutions beyond the financial savings. The flexibility in non-tenure track positions enables colleges and universities to use great latitude in who, when, for how long and at what price they hire. Often times, contingency faculty are hired to fill in at the last minute for a faculty who became ill, whose time was bought out by a grant, or is on sabbatical leave. Some colleges and universities responses to booming student enrollments not only look to save on more expensive full-time, tenured faculty, salaries but are pressed to meet student demand for classes.

Sam's (2012) case study of a large community college in California explains how the predominantly part-time and non-tenured faculty have become such critical components of the institution's function that changes to address issues of wage parity, benefits, professional development, and part-time faculty representation in campus governance were adopted. These changes have increased the overall value of the college's part-time faculty to the extent that the state's yearly budget reductions do not

necessarily mean rifting for these contingent members of the faculty. Sam (2012) quotes one of the school's administrator's consideration of faculty layoffs in response to pending budget cuts, "'We want to be mindful of adjunct faculty and first look to overload and see if people would be willing to give up some of the overload to keep faculty'" (p. 108-109). Hyer's (2012) analysis of part-time faculty working conditions at Virginia Tech finds similar examples of institutional commitment to improving the status of contingent faculty. In 2010, Virginia Tech's part-time, non-tenured faculty counted for 50% of the total faculty population (Hyer, 2012, p. 116). Hyer (2012) notes that that the mobilization of campus efforts by tenured faculty and academic administration on behalf of part-time faculty have led to "salary equity; promotion scheme; benefits; multi-year contracts; abolished policy where long-time full-time non-tenure track faculty were reduced to part-time; addressing policy for non-tenure track research faculty (mobilizing on this issue)" (p. 115).

In for-profit institutions and traditional college and university expansions into online learning markets, contingency faculty are more sought after than their full-time, tenure-track colleagues. Most for-profit institutions rely almost exclusively on part-time faculty to teach their classes (Gappa, Austin, & Trice, 2007). In order to meet their booming student enrollments and need to maintain a highly job market adaptability, Gappa, Austin, and Trice (2007) provide the example of the University of Phoenix employing as many as 7,000 part-time faculty. Baldwin and Chronister (2001) add that many of these institutions do not want traditional tenured faculty because it represents a long-term commitment that may be disadvantageous to their competitive industry edge, "In a turbulent environment, institutions are reluctant to lock up limited resources for

long periods by granting tenure employment status to large portions of their faculty" (p. 21).

While the increase in contingent faculty may be a popular trend in higher education, some scholars (Ehrenberg & Zhang, 2005; Benjamin, 2002) suggest that cost-saving benefits of using non-tenured faculty maybe outweighed by their negative effects on the quality of education. In their study of "whether the increased usage of part-time and full-time non-tenure track faculty adversely influences the graduation rates of students enrolled in four-year and two-year American colleges and universities," Ehrenberg and Zhang (2005) analyzed 15 years of data (1986 to 2001) from the College Board and the IPEDS Faculty Survey (p. 648). Ehrenberg and Zhang (2005) concluded that "increases in either the percentage of faculty that are part-time or the percentage of full-time faculty that are not on tenure tracks" at public and private liberal arts, masters, and doctoral level institutions resulted in a "reduction in graduation rates" (p. 651).   The breakdown of analysis by institution type (public or private) and level (liberal arts, masters, or doctoral) found that use of part-time and full-time non-tenure track faculty at public institutions resulted in larger decreases in graduation rates compared to private school counterparts, "a 10 percentage point increase in the percentage of faculty that is part-time at a public academic institution is associated with 2.65 percentage point reduction in the institution's graduation rate" (Ehrenberg & Zhang, 2005, p. 654). Similarly, the use of "full-time faculty that are not on tenure-track lines at a public college or university is associated with a 2.22 percentage point reduction in the institution's graduation rate" (Ehrenberg & Zhang, 2005, p. 654). Benjamin (2002) voices similar concerns that the prevailing trend of institutions to hire part-time or

nontenure-track faculty is seriously affecting the quality if higher education. Citing

statistics from the *Fall Staff in Postsecondary Institutions, 1995* report and multiple years

of the *National Survey of Postsecondary Faculty*, Benjamin (2002) builds the case that

these contingent faculty may possess lower educational credentials, have little time

outside instruction to spend with students, and lack access to valuable professional

development opportunities.

Faculty identity in flux.

Many scholars (Gappa, Austin, & Trice, 2007; Harvey, Novicevic, Zikic, &

Ready, 2007; Altbach, 2005; Levine, 2001; Campbell & Slaughter, 1999; Finkelstein,

2001) who study the evolving role of the faculty have noted that the changes in the

institution's relationship with their environment and their responding plans to meet new

types of demands have often caused the function of the professoriate to be torn between,

often times, conflicting expectations. Both Altbach (2005) and Finkelstein (2001) note

that external pressure related to research funding has caused expectations for the type and

frequency of faculty research to change. At the same time, institutions who do not

identify themselves as research colleges and/or universities have emphasized the value of

improving the quality of faculty teaching responsibilities (Oakley, 2001). While it is fair

to claim an emerging stratification, as Altbach (2005) does, amongst faculty and their

roles depending on the size and type of institution they serve, it is common that

institutions may have conflicting external environmental pressures that force faculty to

develop multiple institutional identities related to change.

During times of institutional change, faculty and other members of the college or university community are tasked by the architects or, in the absence of their effective leadership, the processes of change to conceptualize their identity as member of the "old" system and attempt to identify themselves with roles in the "new" system after the change. Sometime these experiences of making meaning out of their identities create multiple identities that are rooted in the expectations the external environment is placing on the institution and, then, the institution's understanding and reaction to these pressures in the form of change initiatives. Forming multiple identities does not bode well for administrators who are conducting the change. In their conceptual article on managing multiple faculty identities during change, Harvey, Novicevic, Zikic, and Ready (2007) explain, "In times of change, a conflict between identity standards for organizational change and those for role change is likely to engender multiple faculty identifications that complicate the change management process" (p. 260). During a change process, "the goal of administrators is to align individual faculty identities to the common identity of the faculty body as a whole. The alignment would likely lower faculty dissatisfaction engendered by inevitably increasing demands placed upon faculty identification during change initiatives" (Harvey, Novicevic, Zikic, & Ready, 2007, p. 260). The attempts by the administrator to align the faculty can create variations in the type of attachment the faculty will make with the institution during change. Harvey, Novicevic, Zikic, and Ready (2007) developed four types of possible faculty identification with the institution during change:

1.) Faculty with strong identification (ideal for administrators)

2.) Strong disidentification (complete separation/detachment from institution)

3.) Neutral identification (general sense of apathy toward their role as faculty and the institution)

4.) Ambivalent Identification (identification with themselves as faculty and with institution is mixed)

Faculty who fall into any of these four categories face a "social dilemma between 'role playing' where administrative rules are viewed as a bundle of expectations, and 'role making' based on individual capabilities or from a resource-based approach viewing their role as a bundle of resources" (Harvey, Novicevic, Zikic, & Ready, 2007, p. 262).

Henderson and Kane's (1991) observational analysis of state-related comprehensive universities (SCUs), found that faculty suffers from displaced identity similar to the institution's struggle to forge an identity among large research universities, private liberal arts and community colleges. In the case of an SCU attempting to model itself after large, public research university, Henderson and Kane (1991) theorize that as the institution seeks to model itself after desirable images and identities, the faculty are torn between teaching and research emphases while absorbing external environmental pressures to contribute to a wider, often nonacademic knowledge base. Twale and Place's (2006) case study of Trinity University's elevation in Carnegie classification from comprehensive master's to a "doctoral-intensive" level institution found faculty, specifically in the College of Education, struggling with new research expectations. This shift in classification caused many faculty in the College of Education to become divided on the value and type of research they were expected to conduct, "some faculty valued nonrefereed publications that fulfill the COE and university servant/scholar practitioner mission, whereas others members from empirical research backgrounds opt for traditional

data-based scholarship aimed at refereed journal" (Twale & Place, 2006, p. 24). Further

faculty stratification among faculty occurred as tenure policies and rubrics changed to

reflect a stronger emphasis on research while past tenure was granted to those with very

little scholarship and greater emphasis on teaching and campus service. Altbach (2005)

and Schuster and Finkelstein (2006) noted these conflicts as well and found that faculty

are increasingly being drawn into research endeavors outside the university with more

practical, consumer applications. It is possible that faculty loyalty that has traditionally

held firm with their institutions are being stressed during times of change when external

influences, some that may have individual ties to faculty research, are demanding

colleges and universities to change.

In their comparison of an administrator and a faculty members perspectives on

each other's role during change in the School of Education at the University of

Wisconsin, Eau Claire, Klein and Dunlap (1994) considered these strained faculty

identities in presenting four modes of faculty function during institutional change

processes:

1.) Active – constructive: "faculty and administration are working in a positive,

collaborative manner to design and implement change" (p. 199).

2.) Passive – constructive: "change is occurring in a positive manner but one of the

groups – faculty or administration - is not active in the process in helping change

occur" (p. 200).

3.) Active - resistant: "at least one of the groups is actively engaged in trying to stop

the change from occurring" (p. 200).

4.) Passive - resistant: "at least one group is resisting the change through subtle means such as not following procedures, not meeting deadlines, forgetting the change, etc." (p. 200).

Based on the responses of 127 university administrators and 280 faculty at institutions representing each Carnegie classification, Campbell and Slaughter (1999) found in their study of university-industry relationships that the strained relationship between administrator and faculty, particularly during times of change, may be linked to the changing relationship between universities and industry, "universities are seeking resources from industry, and at the same time firms are seeking knowledge, know-how, and people from universities" (p. 311). As a consequence to this relationship, Campbell and Slaughter (1999) argue that "faculty and administrators will compete to control resources and relationships generated by university-industry activity" (p. 313). This compliments the conclusions of Harvey, Novicevic, Zikic, and Ready (2007) and Henderson and Kane (1991) in the faculty assuming positions of conflicted loyalty and possible detachment from their institutions during times of change, the big picture changes for the institution may not be conducive to the faculty's perception of what is or is not acceptable change. If, then, the faculty assume a mode similar to those presented by Klein and Dunlap (1994), how can their perspectives influence the type of change a college or university is to follow?

What has been clear in both the literature on change in higher education and the role of faculty during change is that each institution's, and its faculty's, experiences are different. The downward expansion process studied for this paper is unusual as it is a process that has been seldom experienced across the country. The total design and

restructure of a university places faculty in a position to reconceive not only what they are doing in the classroom but also who they are in relation to their profession, the colleagues, and their institution. To study faculty at such an institution, this research will utilize a three-tiered research methodology that will examine the influence of faculty perspective on the downward expansion process.

CHAPTER 3

RESEARCH DESIGN

Introduction

This study's purpose, to examine faculty perspectives on the change planning process followed by a midsize university undergoing downward expansion, will be accomplished using a constructivist theoretical framework that will inform the development of a framework of faculty perspectives on institutional change. The research design presented in this chapter is organized into six sections.

The first section will present the epistemological and theoretical framework of this study. A second section will present the study's research design, including an introduction to the case study institution, Lake University. The third section describes the data collection process, with subsections explaining the sequential steps of survey, focus groups, and interviews. The fourth and fifth sections discuss the characteristics of the Lake University faculty and research participants, respectively. A final section explains the data analysis procedures used in this study.

The three research questions driving this inquiry are:

1) What internal and external factors influence faculty perspectives about the change process?
2) Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?
3) Does the short downward expansion timeline affect faculty perspectives on the change process?

This mixed-methods study will follow Crotty's (1998) four elements of social research: epistemology, theoretical perspective, methodology, and methods. Crotty (1998) explains that epistemology refers to the "theory of knowledge embedded in the theoretical perspective and thereby in the methodology" (Crotty, 1998, p. 3). The theoretical perspective, Crotty (1998) notes, explains the "philosophical stance informing the methodology and thus providing a context for the process and grounding its logic and criteria" (p. 3). "Methodology," Crotty (1998) continues, "is the strategy, plan of action, process or design lying behind the choice and use of particular methods and linking the choice and use of methods to the desired outcomes" (p. 3). Finally, Crotty (1998) defines methods as, "the techniques or procedures used to gather and analyze data related to some research question or hypothesis" (p. 3). As Crotty (1998) perceives these elements as integral to the design of social-based research, he argues they do not exist or function as separate but related entities. Rather, Crotty (1998) contends that these four elements should align in such a way that they would inform one another (Figure 4),

Creswell (2009, 2010) supports Crotty's (1998) approach as being appropriate for fully considering the relationship between the elements of research design, but also as one that is particularly useful to qualitative and mixed-methods studies. In particular, Creswell (2010) values the placement of epistemology above and in an informing relationship to theoretical perspective as key influences in framing methodology and methods. Using a descriptive case study as a methodology, this study will depend on the theoretical underpinnings of constructivism to connect the study and the perspectives of its participants to be examined using the methods of survey, focus groups, and interviews.

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Figure 4. Representation of the informing relationship between the four elements of social reaserch. Adapted from *The Foundations of Social Research: Meaning and Perspective in the Research Process* (p. 3), by M. Crotty, 1998, Thousand Oaks, CA: SAGE Publications. Copyright 1998 by Michael Crotty and SAGE Publications.
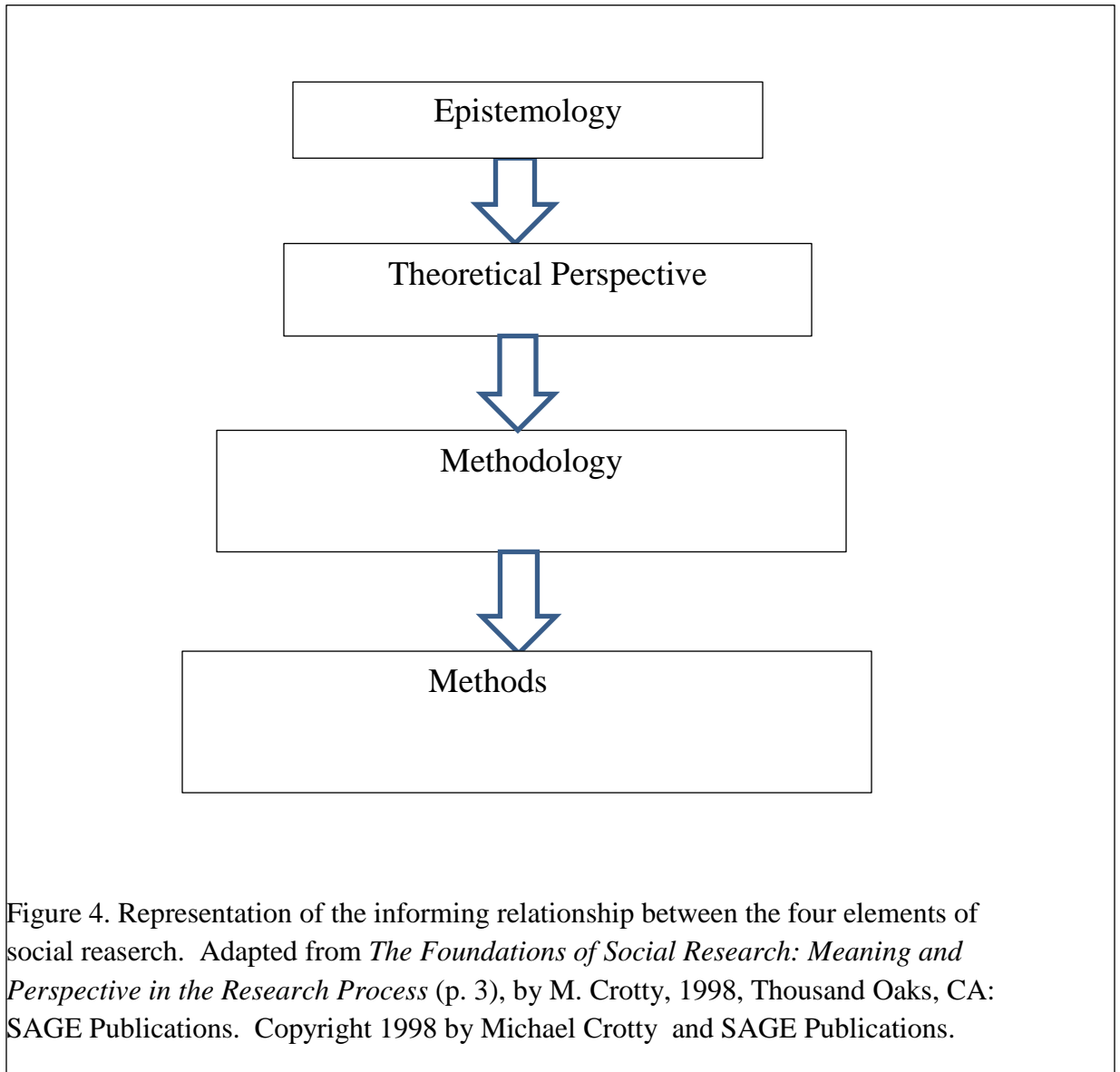
Epistemology and Theoretical Perspective

This study will utilize constructivist theory to contextualize the perspectives of its

faculty participants to guide this study's inquiry of a group of faculty attempting to make

meaning out of proposed institutional change. Crotty (1998) defines constructivism as a

view that "all knowledge, and therefore all meaningful reality as such, is contingent upon human practices, being constructed in and out of interaction between human beings and their world, and developed and transmitted within an essentially social context" (p. 42). Participants in constructivist studies, Crotty (1998) continues, are in a heightened state of interpretation of the social and cultural cues around them that are causing them to seek more or new meaning. A tendency more commonly seen in social constructivist studies is that subjects ascribe meaning subjectively as they try to understand their environments, sometimes generating a wide variety of meaning (Creswell, 2009). Agreeing with Creswell's (1998) interpretation, Lincoln (2005) adds that meaning making "engages two dimensions of individual social life: actual events and concrete situations, and the particular and individual mental stances which impute meaning to those events and situations" (p. 60).

As this study is examining faculty perspectives in guiding the change process an institution of higher education will follow as it pursues plans to downward expand, the human emotion, individual roles as members of a larger group, and the value-laden experience that each faculty member will ascribe their formation of perspective on the proposed change make constructivist theory a good approach through which to examine faculty perspective. Perspective can be used as a good indicator of resistance and/or support for an idea (Klein & Dunlap, 1994). Constructivist theory can help explain linkages between the individual faculty member's perspective, or that of a group of faculty, to the manifestation of action that will influence the success or failure of a type of change. The change process on which this study is focusing has not been represented yet by a symbolic or defining event that provides Lake University's community direction

to mark the occasion that change has happened (i.e. freshmen orientation). The planning process for downward expansion began less than a year prior to data collection with committees and subcommittees establishing the operational necessities to serve a new population of students. Faculty, therefore, are restricted in their range of constructing meaning to the idea of a four-year institution with little actual experience to contextualize the proposed change. Constructivist theory will allow the "deep understanding of the meaning-making process which permits individuals and groups to enact organization, to co-create shared knowledge, and to construct meaning within their lives" (Lincoln, 2005, p. 61) as faculty members participating in an institutional change as substantive and all-encompassing as downward expansion.

Linking constructivist theory, faculty perspective, and change in higher education.

Using constructivist theory as a theoretical framework for this study helps explain how the meaning faculty construct during change connects to the change process. Faculty, like other members of the institutional community, needs opportunities to make sense of the proposed change so that their identification of their role in the process can be determined (Gioia & Thomas, 1996; Kezar, 2013, Kezar & Eckel, 2002a). This identification process may include many of the social and cultural cues from their personal and private environments that constructivist theory considers as influences to constructing meaning. Eckel and Kezar (2003) remind us that the depth and pervasiveness of change does not happen as a collective investment of institutional membership. Rather, individuals assess proposed change based upon their individual perceptions of their role in the product of change. Therefore, group displays of support

or resistance to change proposals are formed through the collectivization of individual

constructions of meaning (Klein & Dunlap, 1994).

To link the theoretical underpinnings of the meaning making of constructivist

theory to the sensemaking process that faculty use to form their perspectives and,

ultimately, the action that lends influence to the type of change process most compatible

with their views, this study will utilize a framework that represents processes of how

faculty form perspectives and what it may mean to a change process (Figure 5). This

study will be able to utilize the steps represented in this framework to understand three

elements of change:

1) How faculty constructs meaning, or makes sense, of a proposed change.

2) The formulation of faculty perspective on the change process and how the

   perspective formulates into four different categories of reaction in response to

   the change.

3) The type of change process that faculty, given their perspective, would be

   willing to find acceptable.

The data collected through surveys, focus groups, and interviews will utilize this

framework to examine faculty perspectives on proposed change and translate this

perspective into action. These four types of reaction (i.e. Active

Constructive/Supportive, Passive Constructive/Supportive, Passive Resistant, Active

Resistant) influenced by their perspective on change, will enable the researcher to

determine a faculty member's disposition toward type of change (Klein & Dunlap, 1994).

The characteristics of deep and pervasive in Eckel and Kezar's (2003) typology of

change were integrated into this framework to present the likelihoods of change processes that will or will not be deep and/or pervasive.

Proposed Change

⇩

Faculty Begin Constructing Meaning

⇩

Formulation of Faculty Perspectives into Action

| Active Constructive | Passive Constructive | Passive Resistant | Active Resistant |

Higher Likelihood that Change Type will be Deep and/or Pervasive

Lower Likelihood that Change Type will be Deep and/or Pervasive

Figure 5. Framework representing the development of faculty perspective from meaning constructed about proposed change as action is taken to influence the type of change.

In breaking down the path from faculty perspective to response to change type, the above framework presents four types of faculty response scenarios. First, faculty who, after they had constructed meaning out of the proposed change, form a perspective that enables an active constructive position of action, then a change process that is deep and pervasive is more likely to be pursued. The active constructive faculty will work in a "positive, collaborative manner to design and implement change" and will likely serve as public supporters of the change (Klein & Dunlap, 1994, p. 200). This framework suggests

that this type of faculty action will support and help acculturate change processes that are

deep and pervasive in their approach to "better" the institution. Faculty who are "active

constructive" are highly receptive to the idea of change and are actively communicating

with administrators who are responsible for implementing the change. Campus

leadership is involving faculty in the decision-making and planning processes as well as

providing an environment that allows all members of the university community to make

sense of their role in the proposed change. Transformational change would likely be

most favored by this group as this type of change will need extensive support from the

institutional community to accept the change as positive and necessary, promising to

show members that their respective roles will be defined for the better after the change

has occurred. This level of cultural acceptance characteristic of transformational, or other

deep and pervasive change, is also necessary to sustain the momentum of the change and

enable a stronger likelihood of its effectiveness (Eckel & Kezar, 2003).

The second possible course of faculty action influenced by their perception of a

proposed change is passive constructive. Klein and Dunlap (1994) note that in this type

of action, faculty "is not helping the change to occur" but indicates that the change is

taking place in a positive manner (p. 200). Like the active constructive action, this group

will likely support a change that is deep and pervasive but the passive nature of this

stance may limit the depth of a proposed change. Given that the proposed change is

taking place in a positive atmosphere suggests that faculty and administrators are

collaborating on the initiative and that an adequate level of value is placed on the idea of

change so that planning and implementation can move forward. However, a certain level

of faculty detachment could cause the change to be accepted but not embedded, which

further suggests that the process of faculty constructing meaning about the initiative may have also been relatively passive. Efforts by campus leadership to communicate with faculty and involve them in the change process may be acknowledged but with minimal follow through. Therefore, the change process may be transformational, but will more likely follow a model that has some depth and is still institutionally pervasive. Eckel and Kezar's (2003) typology of change features "far reaching change" as a type of change that is pervasive across the institution but, for whatever reason, is not accepted too deep into the campus culture by its membership. Adaptive change may align with the passive constructive faculty as it does not necessarily require the change to be deeply acculturated into the institution but still has the characteristics of a change type that can be campus-wide. Faculty could accept the idea of the change and contribute, passively, to the momentum that adaptive change often exhibits to carry some elements of the old system to support the new initiative.

Third, faculty whose perceptions of the proposed change lead them to act with passive resistance create a negative environment consisting, mostly, of apathy. Klein and Dunlap (1994) contend that this group's actions are "subtle such as not following procedures, not meeting deadlines, forgetting the change, etc. . . .in this instance change may occur but it will only occur with difficulty" (p. 200). The lack of desire to acknowledge a change initiative may serve to create a "cultural wall" in which faculty will likely not ascribe enough meaning to the change to affect their roles. The change type that this faculty action may accept would have little or no cultural depth but may reflect large-scale pervasiveness. This would suggest, according to Eckel and Kezar's (2003) change typology, that far-reaching change types would be acceptable. The faculty

resistance would not be public and, thus, formidable enough to stop such a change initiative. It may also be possible that passively resistant faculty may endorse, likely passively, the interests of passive or active constructive faculty to further remove them from change process. In which case, an argument can be made for an acceptable isolated change process: deep change but not pervasive.

The final course of action on a proposed change that faculty perception can adopt is active resistant. Faculty in this group is "actively engaged in trying to stop change from occurring. The group may use the governance and/or legal process to stop the change" (Klein & Dunlap, 1994, p. 200). The atmosphere generated by the actively resistant faculty is highly negative and may even be openly combative to those who are leading or supporting a proposed change. Campus leadership may have to engage in transactional strategies to either win over the support of this group or to fortify the support of those who are advocating the change. Depending on the degree of the resistance, faculty in this category may not accept any type of change, especially those that require the change process to be culturally accepted. Incremental change processes may be accepted given that they remain small and slow-moving. This type of change perspective would also benefit campus leadership and other change architects as they will have more time and occasions, with the smaller stage of change, to convince the actively resistant faculty who in their intentions hold value.

Research Design

Because this study will focus on the complex role faculty, as groups and as individuals, will have in influencing the implementation of an institutional change, the research design will be viewed as a case study. Yin (2003a) regards case study design as

the "method of choice when the phenomenon under study is not readily distinguishable from its context" (p. 4). Stake (1995) values the ability of case study design to illustrate the complexities of an organization's "uniquenesses" while still maintaining the ability to test and examine generalizations about a body of knowledge. This study's focus on faculty perspectives aligns with Stake's (1995) judgment that the case study method is best in evaluating the "embeddedness and interaction" of the case subject with the particular context of what is happening in its environment (Stake, 1995, p. 16). It is in light of these attributes of case studies that Stake (1995) emphasized the importance of cases as being "bounded" in that they are "integrated" systems with a "boundary and working parts" (p. 2). Lake University is being presented as bounded in that it is an institution of higher education that has many complex and integrated parts that can constitute itself both as a "typical" example within an industry or field of knowledge but also how its uniqueness stands to define itself amongst others. Further, the focus on faculty perspectives in this study represents a group that is bounded by a similar function within a single institution.

The functions, structure, goals, purpose, and membership of Lake University hold similarities to other institutions in higher education allowing the researcher to evaluate how grand or even basic generalities may exist and work in this specific context. However, Stake (1995) argues that selecting a case with unique or unusual qualities may determine how much a researcher will actually be able to learn. It is possible that a case that presents as too "typical" to similar cases or bodies of knowledge may produce very little new knowledge as the case has done little more than just mimic what is already

known. On the other hand, a case can be so unique or so unusual that it may alienate

itself from common bodies of knowledge or industrial practices.

To balance the unique and typical characteristics of this study's presentation of

Lake University's plan to downward expand and the role of its faculty's perspective in

affecting the type of change to be followed, this study will be designed as a descriptive

case study. Merriam (2001) explains that a descriptive case study is "one that presents a

detailed account of the phenomenon under study" (p. 38). This detail may consider any

number of facets of the selected case, such as providing an historical analysis of an

issue's development. Yin (2003a) warns that descriptive case studies could be

challenging in that it could represent an endless amount of description without linking the

detail to a set purpose. A means to help focus descriptive case studies is the use of a

theory that is prescriptive in directing the level of the researcher's inquiry toward the

examination of specific topics (Yin, 2003a; Yin 2003b).

Utilizing constructivist theory to examine the role of faculty perspective in

affecting the change process an institution will follow in preparation for downward

expansion, a descriptive case study will be able to focus on the detailed description of

complex relationships, change history, and planning processes without getting

encumbered by other, non-related, details. More importantly, constructivist theory can

help illuminate the description of the different dynamics faculty consider in making

meaning out of the proposed change and forming their perspectives into subsequent

actions that will affect the dimensions of change adopted by the institution. This

descriptive case study will have three inter-related areas of focus as context for the study:

1) The historical development of the institution's downward expansion change proposal.

2) The operationalization of the change proposal into early stages of change planning

3) Faculty forming perspectives from these developments and the institution's assumption of a change process

Each of these three areas informs one another. The first two areas will be addressed later in this chapter through descriptions of Lake University's development of the downward expansion initiative and how the change planning process is organized. The last area will be represented in the results of data analysis in chapter four of this study. This study will, therefore, use a mixed- methods approach to provide data broad and deep enough in evaluating faculty perspective so that the links with the other two areas are clear enough so as to add greater understanding to the case's descriptive nature.

Institutional context of change and faculty involvement – Lake University.

Originally serving the educational needs of professionals in neighboring aerospace, engineering, chemical, and oil industries, Lake University was founded in 1974 as an upper-level institution. The university is located on the outskirts of a major, southern city, and is neighbor to over 20 colleges and universities. The typical Lake University student in the years following its founding was over the age of 30, had, at least, part-time employment, and earned enough college credits to study at the upper-level of undergraduate majors in the humanities, social sciences, business, or education, and had family obligations. However, this student profile has changed since the

university's founding in 1974. The average student age has been gradually dropping to

29.8 years as of 2012, and the number of degree programs outside of its founding model

of science and engineering foci, academic programs multiplied so much that Lake

University currently aligns with the characterization of being comprehensive with marked

increases in students seeking humanities, social science, education and business degrees.

Currently, Lake University offers 39 undergraduate programs, 45 master degree

programs, and one doctoral program. As of the spring semester 2012, student enrollment

totaled 7,972.

The data in Table 1 show that from spring 2008 to spring 2012, Human Sciences

and Humanities (HSH) consistently has the highest enrollment with 2,596 total students

as of spring 2012, followed by the School of Business (BUS) with 2,244 total students,

the School of Education (SOE) with 1,644 total students, and Science and Computer

Engineering (SCE) with the least number of total students as of spring 2012 with 1,306.

Data in Table 1 also indicate steady enrollment declines in the School of Education from

2,065 students in spring 2008 to 1,644 students in spring 2012.

Lake University's nearly 8,000 student enrollment primarily comes from seven

junior colleges located in a 25-mile radius of campus. Transfer agreements have been

established with these junior colleges and the university maintains a "2+2" transfer

program, ensuring the successful matriculation of students who take approved lower-

level classes at these institutions. Students are fully admitted when they have earned at

least 54 credits or an associate degree. However, the university does admit students as

"non-degree" seeking if they are concurrently enrolled at a junior college and do not have

enough hours to fully transfer. Due to the work, family, and other obligations, students

typically register as part-time who take fewer than 12 credit hours.

Table 1

Lake University's Student Enrollment by School, Spring 2008-Spring 2012

School	Spring 2008	Spring 2009	Spring 2010	Spring 2011	Spring 2012	1 year change spring 2011 vs. spring 2012	5 year change – spring 2008 vs. spring 2012
Business	1,989	2,014	2,147	2,223	2,244	0.9%	12.8%
Human Sciences and Humanities	2,187	2,165	2,355	2,471	2,596	5.1%	18.7%
Science and computer Engineering	947	1,039	1,241	1,241	1,306	5.2%	37.9%
School of Education	2,065	1,865	1,826	1,824	1,644	-9.9%	-20.4%
Undeclared	177	176	224	222	182	-18.0%	2.8%
Total	7,365	7,259	7,678	7,981	7,972	-0.1%	8.2%

Adapted from Office of Institutional Research, Facts at a Glance: Spring 2008 to Spring 2012, Spring Term Comparison of Headcount and SCH by School: Spring 2008 through Spring 2012. (p.1) http://prtl.XXXX.edu/portal/page/portal/OIE/IR_PUBLICATIONS/FAST_FACT_SHEE T/Spring%20%2008-12%20XXXX%20facts%20at%20a%20glance-updated.pdf. Retrieved on September 24, 2012.

In an initiative led by the university's President in 2008, the campus community

of Lake University first began discussion of expanding to include lower-level students.

However, because another university in the same system was proposing downward

expansion at the time and Lake University did not secure the required endorsements of

neighboring community colleges, the planning process was delayed until 2010. The

conversion of an upper-level institution to a traditional four-year structure is known as downward expansion. Downward expansion has occurred in the recent decades in the United States, when as many as 32 institutions of higher education, mostly in Texas and Florida, expanded downward. Most universities that were founded in the 1960s and 1970s as upper-level institutions and underwent downward expansion were public colleges and universities, as is noted in Table 2.

Most of the institutions noted in Table 2 have expanded to four-year institutions. Based on a search of 2011 IPEDS data specifically looking at institutional characteristics that reported two years of collegiate work necessary for admissions, Athens State University (AL.), Governors State University (ILL.), and John F. Kennedy University (CA.) remain upper-level only institutions. The State of Texas currently contains the largest number of upper-level colleges and universities. With a once large number of upper-level institutions, only three remained in Texas as of fall 2011: Texas A & M University-Central Texas (2009), Texas A&M University – San Antonio (2010), and the University of Houston-Clear Lake (1974) (Texas Public Higher Education Almanac, 2012).

Table 2

Upper-Level only State Colleges and Universities as of 1981

Institution	Location	Year of Opening	Fall 1977 headcount
University of Houston at Clear Lake City	Clear Lake City, Texas	1974	4831
University of Houston Victoria Campus	Victoria, Texas	1973	694
University of Texas at Dallas	Dallas, Texas	1969	5,329
University of Texas at the Permian Basin	Odessa, Texas	1973	1,575
University of Texas at Tyler	Tyler, Texas	1973	1,795
Corpus Christi State University	Corpus Christi, Texas	1973	2,495
Laredo State University	Laredo, Texas	1970	793
East Texas State University at Texarkana	Texarkana, Texas	1972	1,151
Sul Ross State University Uvalde Study Center	Uvalde, Texas	1973	589
Pan America University at Brownsville	Brownsville, Texas	1973	1,029
Florida Atlantic University	Boca Raton, Florida	1964	6,917
Florida International University	Miami, Florida	1972	10,687
University of North Florida	Jacksonville, Florida	1972	4,252
University of West Florida	Pensacola, Florida	1967	5,017
University of South Florida Regional Campuses	St. Petersburg, Sarasota, Fort Meyers, Florida	1968	3,025

Table 2 continued

Institution	Location	Year of Opening	Fall 1977 headcount
Governors State University	Park Forest South, Illinois	1971	3,814
Sangamon State University	Springfield, Illinois	1970	3,612
State University of New York College of Technology at Utica/Rome	Utica, New York	1969	2,840
Garfield Senior College	Painesville, Ohio	1971	701
John F. Kennedy University	Orinda, California	1965	880
University of Baltimore	Baltimore, Maryland	1975	5,474
West Oahu College	Aiea, Hawaii	1976	201
Athens State College	Athens, Alabama	1975	1,314
Penn State Capitol Campus	Middletown, Pennsylvania	1966	2,604
Metropolitan State University	St. Paul, Minnesota	1973	2,024

Note. Several colleges and universities expanded to include lower-level before this list was published: The University of Michigan campuses at Flint (1965) and Dearborn (1971); College of the Pacific (expanded in 1951 and renamed University of the Pacific); and Richmond College (expanded in 1976 and was renamed College of Staten Island). Adapted from *A National Study of Upper-Level Insitutions* (p. 4). By D. Bell (1981) Washington, DC: American Association of State Colleges and Universities. Copyright 1981 by American Association of State Colleges and Universities.

In 2010, Lake University submitted an updated downward expansion plan to the state legislature for consideration during the 2011 session. In preparation for this submission, the university's president had spoken publicly to faculty and staff, highlighting the intention to seek legislative support for the expansion and referenced two related rationales as to why the university was seeking to make this change: to remain

competitive in the changing industry of higher education; and to establish a niche in

lower-level higher education that the university would competitively fill. Through many

of the public addresses made in 2010-2011, the President noted that this initiative was a

necessary to secure the university's future value in the local higher education marketplace

and consistently promised that the process will be "done right, or not at all." At the

conclusion of the 2011 legislative session, the proposal for the university to begin

planning downward expansion was approved. Following legislative approval, the

president of the university announced several conditions and assumptions under which

the institution would undergo downward expansion:

1) The University will, for the most part, remain a commuter campus with no
   immediate plans to build on-campus housing.
2) The University will not offer remedial level coursework. Students whose
   placement test scores indicate that they require remedial preparation in math,
   reading, or writing will be referred to local community colleges.
3) Admissions standards will be set just under the system's flagship campus and
   above the two other system institutions. (Lake University President, personal
   communication, September 18, 2012)

When this study began, the change process to convert Lake University into a four-

year, comprehensive university had just begun. Select members of the university

community had been organized into seven planning committees: Steering, Curriculum,

Enrollment Management, Learning Resources, Student Services, Facilities, and Financial

Resources. Faculty are represented on all but the Steering Committee, on which the

deans of the four schools serve as members, along with campus senior leadership. These

committees were charged with preparing plans for their respective areas to receive and serve lower level students by fall 2014. The plans and recommendations of the committees were presented to the Steering Committee, chaired by the university's President, to analyze, prioritize, and operationalize into a four-year initiative. It is important to note that the work of some of the committees were ongoing at the time of this study.

Faculty involvement in campus governance.

Lake University proclaims a strong commitment to a Shared Governance System (SGS) with the purpose of providing a "collaborative avenue through which the constituent groups advise the university's president on matters of policy and assist in the development of procedures. The responsibilities of the SGS also include monitoring and overseeing the implementation of policies and procedures" (Shared Governance Policy, para. 1). The shared governance system is composed of five committees: University Council; Academic Council; University Life Committee; Planning and Budgeting Committee; and Facilities and Support Services Committee. The University Council is chaired by the president of the university and has all senior campus administrators, the four academic deans, eight members of the faculty senate executive committee, the chairs of the other shared governance committees, and representatives from the three staff professional organizations as members of the University Council. This Council makes the recommendation directly to the president and rules on decisions made by University Life, Planning and Budgeting, and Facilities and Support Services committees. The Academic Council is chaired by the provost and its membership includes four associate vice presidents from the academic affairs division (Academic Affairs, Enrollment

Management, Student Services, and Information Resources), all four school deans, eight members of the faculty senate, a representative from the Council of Professors, and the Executive Director of the Library. This committee is responsible for all academic matters and works with the faculty senate on academic recommendations and policies.

The University Life Committee oversees the student, faculty, and staff life in the university community and its membership consists of representatives from the library, representatives from two professional development organizations, an undergraduate and graduate student, the Executive Director of Human Resources, a representative from the president's office, a representative from student services, a representative from University Computing and Telecommunications, and six faculty. The Planning and Budgeting Committee is chaired by a tenured faculty member and directs university planning and budgeting matters. Membership of this committee includes senior level finance administration, six faculty and representatives from the provost, president's offices, Student Government Association (SGA), and one of the four school deans.

Finally, the Facilities and Support Services Committee manages issues concerning facilities and space allocation. This committee is also chaired by a tenured faculty member, and consists of seven members from the Faculty Senate, and various senior level administrators from student services and information resources. Representatives from various campus offices, as well as from staff professional development organizations and student government, also sit on this committee. It is mandated by the shared governance policies that faculty representation on these committee have at least one member from each of the four schools and all faculty are voting members.

The Faculty Senate is a council of 35 faculty members that advises and recommends policies and procedural matters that have to do with the faculty to shared governance committees or directly to the president. The Senate is comprised of a president, vice-president, past-president, and 32 full-time, elected from each of the four schools – eight members per school (Faculty Senate Constitution, 2008, p.1). Members of the Faculty Senate must be tenured or tenure-track and maintain memberships on the other shared governance committees. The Senate holds some weight in campus decision making, as decisions on changes to the curriculum, personnel policies, faculty responsibilities, and most university expenditures are presented for a vote. The role of the Faculty Senate in the shared governance process is illustrated in Figure 6.

Downward expansion was included in an updated version of the institutional strategic plan which was presented to University Council for approval on May 13, 2010 (Faculty Senate member, personal communication, September 25, 2012). The second goal of the strategic plan reads, Lake University "will provide a supportive student-centered campus environment focused on student access and success" with the first bullet point under this goal stating, "achieve downward expansion" (Lake University Strategic Plan, 2010, goal 2). At this meeting, the University Council unanimously voted to accept the strategic plan and the proposal for downward expansion. Although faculty members sit on University Council, the proposal for downward expansion was never presented to Faculty Senate for a vote (Faculty Senate member, personal communication, September 25, 2012).
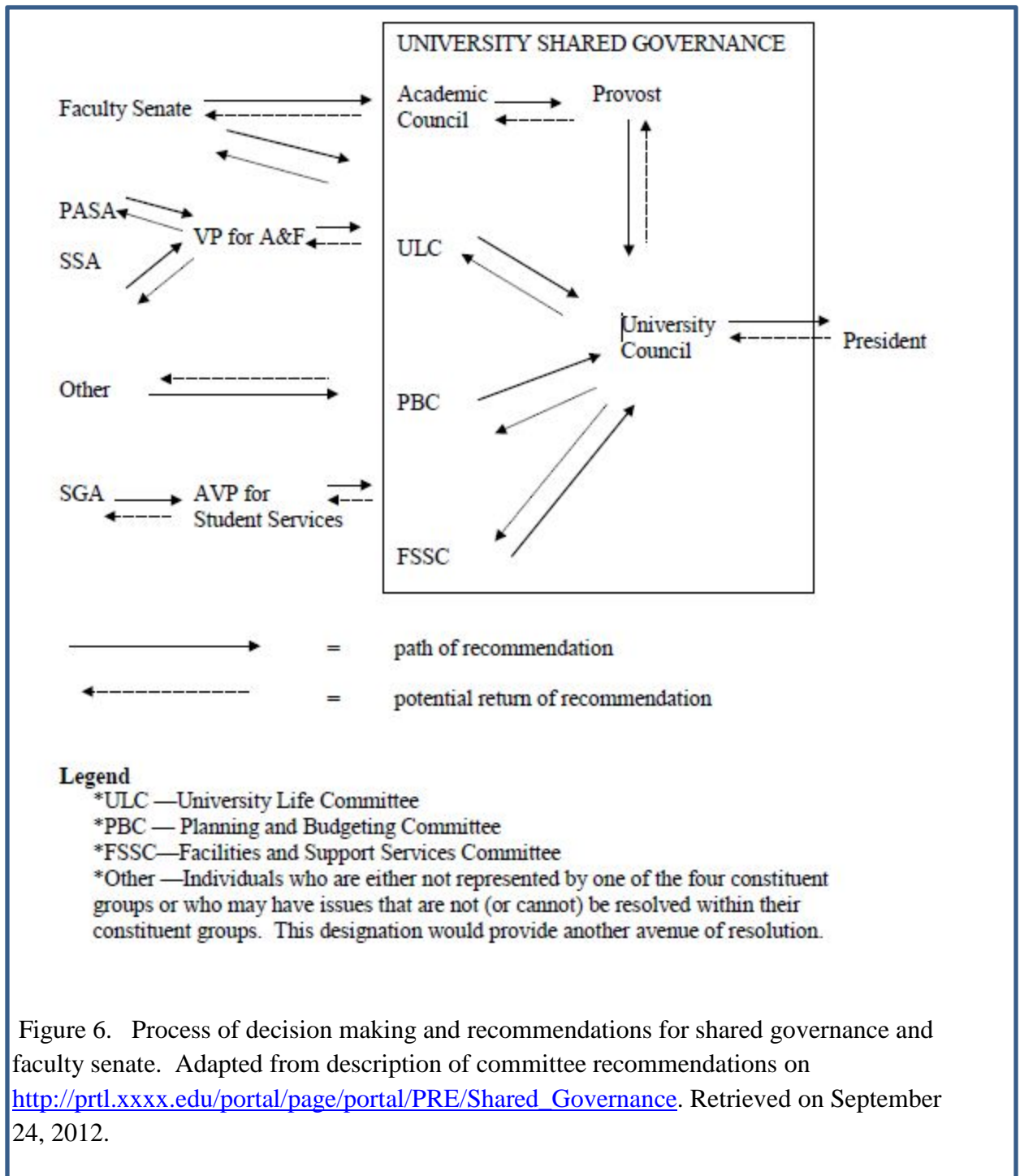
Figure 6. Process of decision making and recommendations for shared governance and faculty senate. Adapted from description of committee recommendations on http://prtl.xxxx.edu/portal/page/portal/PRE/Shared_Governance. Retrieved on September 24, 2012.

Data Collection

With the planning process moving forward as a university-wide effort and with the faculty integrated into multiple aspects of the early stages of change, the data

collection methods of this study were designed to examine both the breadth and depth of faculty perspective and how it may influence the dimensions of the downward expansion of the institution. The wide variety of faculty involvement and commitment to the change initiative warrants multiple levels of data collection found in a mixed-methods approach. The mixed-methods approach employed both quantitative and qualitative data collection in a sequential order. Creswell (2009) defines sequential mixed methods "are those in which the researcher seeks to elaborate or expand on the findings of one method with another method" (p. 14). Each of these data collection methods will address all three of this study's research questions.

This study began with a quantitative data collection in the form of a survey sent to all faculty employed at the institution as of the spring 2013 semester (n=521). This survey broadly examined faculty perspective through four questions on past institutional change and 13 questions on the downward expansion initiative, providing information as to their overall level of support and commitment. The qualitative data collection approaches included individual focus groups and interviews. Because this study utilized two qualitative data collection methods that followed the initial quantitative collection, the collection and analysis approaches for this study can be visualized in Figure 7.

QUAN	QUAN	QUAL	QUAL	QUAL	QUAL
Survey Data Collection	Survey Data Analysis	Focus Group Data Collection	Focus Group Data Analysis	Interview Data Collection	Interview Data Analysis

Figure 7. Representation of a three-step sequential exploratory research design. Adapted from *Research Design: Qualitative, Quantitative, and Mixed Methods* (p. 209), by J. Creswell, 2009, Los Angeles, CA: SAGE Publications. Copyright 2009 by John Creswell and SAGE Publications.

The information gathered through the two, intensive qualitative methods reinforced the survey data by offering individual or small group opportunities to elaborate on the faculty meaning-making process and the emotional foundation of forming their perception related to the proposed change. The combination of these data collection methods forms the breadth and depth of available information that utilized the constructivist framework to inform the framework of the development of faculty perspective into action that will influence change, as depicted in Figure 8. As illustrated in Figure 8, the data collection began with a survey in March 2013. The survey collected data in the form of questions asking for broad impressions and perspectives on faculty experiences with institutional change at the university as well as more specific questions on regarding experiences, perspectives, and impressions of downward expansion. As this survey was administered to 521 faculty and was designed for the respondents to qualify their answers with individual justifications, this data collection method formed the breadth of information gathering about faculty perspectives.

March 2013 – May 2013

Surveys

April 2013 – May 2013

Focus Groups

Interviews

May 2013 – July 2103

Figure 8. Representation of how the chosen data collection methods will measure both the breadth and depth of faculty perspective as it influences the type of change selected by the institution. The survey method representing the breadth of data collection with focus groups and interviews progressively moving deeper into gathering more specific data.

From the survey data collection, the focus group and individual interview data collections gathered deeper, more specific information regarding the formation of faculty perceptions regarding downward expansion. With data collection beginning in April 2013, the focus group data collection built on the breadth of information gathered from survey data collection to investigate the experiences of groups of faculty with downward expansion. Focus groups began to "tell the story" of why people are feeling the way they are about downward expansion as a change process. Focus groups data collection was concluded in May 2013.

As represented in the final stage of Figure 8, the individual interviews sought to develop a deeper understanding of individual faculty perspectives. Once focus group

data collection concluded in May 2013, individual interviews began. This stage relied on

the data collected during the previous two methods to develop questions aimed at

collecting and understanding the individual faculty experience with the planning of

downward expansion. It is during this final, and deepest, stage of data collection that the

emotional context of forming an individual's perspective on the downward expansion

change process was identified. Individual interviews were concluded in July 2013.

Surveys

Creswell (2009) notes that surveys are used when the "researcher generalizes or

makes claims about the population" (p. 145). In this study, a survey sought to identify

some general faculty perceptions about institutional change and the proposed downward

expansion. Research was conducted to find previously developed survey on faculty and

their roles in institutional change processes. In finding no appropriate survey models, a

new survey was created for this study. As was depicted in Figure 8, the survey defined

the breadth and larger context of faculty perception as an entire group. The survey was

designed to gather information about aspects of the faculty experience with previous

institutional change as well as their perspectives on the downward expansion initiative.

Survey questions were written to reflect the main concepts underlying this study's three

research questions. Therefore, the survey served as the foundation to help the researcher

understand the larger group perspective about change and provide some guidance in

developing both focus group and interview questions. Creswell (2009), Hesse-Bieber

and Levy (2011), and Tashakkori and Teddlie (2010) agree that researchers who use

quantitative- qualitative (Quant-qual) mixed-methods approaches can use survey data as

an exploratory tool to understand the environment in which they are focusing, but then

use the results of the quantitative data analysis to direct the questions and sample

selection of the qualitative research methods. As the data gathered from this survey

informed the development of focus group and interview questions, it was appropriate for

the survey to be administered before other data collection tools as long as the researcher

is mindful of the timing of the data collection processes when analyzing data (Babbie,

2007). In other words, the collection and analysis of survey data needed to be underway

before developing focus group and interview questions

The survey utilized in this study was sent via email to 521 faculty at the end of

March 2013. Faculty were selected using a PeopleSoft query designed to identify full

and part-time faculty who were employed by Lake University as of the spring 2013

semester. The query results provided the name, appointment type, and university email

addresses of the selected faculty. As the researcher for this study had direct access to the

names and contact information of this sample population, the means of obtaining this

information meets the definition of a single-stage sampling procedure (Creswell 2009).

Further, the filtering of this population sample by full- and part-time employment status

and position type of tenure or tenure track reflects a stratification of the sample (Fowler,

2009). The survey was formatted using the online survey program SurveyMonkey.

Before release to the sample population, the survey underwent a process of review

and refinement through pilot testing. Creswell (2009) notes that pilot testing is important

"to establish the content validity of an instrument and to improve, questions, format, and

scales"(p. 150). For the pilot test, the survey was administered to a sample of eight

respondents who represented the survey's sample population. In this case, the pilot test

consisted of eight faculty with equal representation from the four schools of Lake

University as well as reflect a balance of academic rank. Upon taking the survey, the researcher met with the pilot sample population individually to discuss their reactions to the survey questions, the format, and scaling. At the conclusion of these meetings, the researcher made changes to the survey as deemed appropriate and prepared the survey for distribution to the larger population of faculty. Before final distribution of the survey, the eight faculty who served in the pilot testing were removed from the distribution list of eligible faculty respondents. The total number of faculty eligible for distribution was reduced from 529 to 521. An email introducing the survey, its purpose, a link to access the survey on Survey Monkey, assurance of the anonymity of participants, as well as an explanation of the researcher's role in maintaining participant confidentiality was sent to the 521 eligible faculty at the end of March 2013 (Appendix A). Follow up emails were sent to faculty every two weeks until the survey was closed on May 5, 2013. Survey Monkey presented the data in an Excel spreadsheet which enabled data to be transferred into SPSS for analysis.

This instrument consisted of 24 questions and was presented as a "forced-choice survey" in that respondents will have no "prefer not to disclose" option (Appendix B). The questions in the survey were written to address different dimensions likely to affect faculty perspectives on downward expansion. The information in Table 3 indicates how this study's research questions were aligned with the dimensions being studied as well as with specific survey questions.

Table 3

Alignment of Research Questions, Data Collection, and Analysis

Research Questions	Dimensions	Survey questions
1. What internal and external factors influence faculty perspectives about the change process?	Feeling valued in decision – making process	#2 and #5
	Sources of influence in forming perspectives	#1, #14, #15, #16, #17
2. Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?	Institutional commitment/loyalty	#3 and #9
	Attitudes toward change	
		#4 and #10
	Impact of change	
		#6, #7, and #8
3. Does the short downward expansion timeline affect faculty perspectives on the change process?	Pace of change	#11, #12, #13

Feeling valued in decision-making process.

The second and fifth questions asked how faculty are valued as part of the

decision-making process and draw from the contentions of Kashner (1990), Eckel and

Kezar (2003), and Gappa, Austin, and Trice (2007) that faculty should have a central role

in campus decision-making processes. Question two focuses on feeling valued past

campus-wide change processes, and question five is more specific to the downward

expansion initiative. These two questions also begin to identify the nature of the

organization/campus's culture and who within the community holds influence in

determining how culture will form (Eckel & Kezar, 2003; Schein, 1992; Tierney, 1988).

These two survey questions address the research question, "What internal and external

influences affect the way in which faculty construct meaning about the change process?"

Examinations of campus culture and how community members develop their roles in

response to a process of acculturation and sensemaking are found in studies by Kezar

(2013), Kezar and Eckel (2002a, 2002b), Gioia and Thomas (1996), and Kashner (1990).

Sources of influence in forming perspectives.

Questions one, fourteen, fifteen and sixteen ask about what factors have

influenced faculty perception of past campus-wide change (question one) and downward

expansion (questions fourteen and fifteen). Question number sixteen asks respondents to

identify groups on campus with whom they would likely discuss their opinions about

downward expansion. These four questions were influenced by research done by

Schuster and Finkelstein (2006), Levine (2001), Gappa, Austin, and Trice (2007),

Altbach (2005), Finkelstein (2001), and Gumport's (2001b) examinations of factors

internal and external to colleges and universities that are changing the role of faculty.

Examining these influences enabled the researcher to better understand the faculty

perspective on change processes and how opinions about changes are formed. These four

questions also directly address one of the research questions for this study, "What internal

and external factors influence faculty perspectives about the change process?" As

responses to questions one, fourteen, fifteen, and sixteen provided some of the answer to

this research question, it informed the development of focus group and interview

questions that sought to understand how faculty are affected by these influences in

making sense out of past change processes and/or downward expansion (Weick, 2001; Kezar (2013); Kezar & Eckel, 2002a, 2002b; Gioia & Thomas, 1994, 1996).

Institutional commitment.

The third and ninth questions of the survey asked respondents about the effect of change on faculty commitment to their institutions, question three focusing on past campus-wide change initiatives, and question nine focusing on the effects of the downward expansion initiative on faculty commitment. Altbach (2005), Finkelstein (2001), Harvey, Novicevic, Zikic, and Ready (2007), Henderson and Kane (1991), Levine (2001), and Campbell and Slaughter (1999) note campus change may cause some faculty to become conflicted in their commitment or loyalty to their campuses. Survey questions three and nine address one of this study's research questions, "Does the degree to which the faculty are directly affected by downward expansion effect their perceptions of positive or negative outcomes of the expansion?" As this study examines faculty perceptions of change processes, the degree of institutional loyalty will help define attitudes toward change and become a topic for deeper exploration through focus group and interview data collection processes. It was expected that responses to these two survey questions would provide a glimpse of the emotional investments faculty have made in their loyalty to their institution. Both Harvey, Novicevic, Zikic, and Ready (2007), and Klein and Dunlap's (1994) presentations of models of faculty identification with their institutions during change suggest that faculty make varying levels of institutional connection with significant emotional investment.

Attitudes toward change.

The fourth and tenth questions in the survey were influenced by Klein and Dunlap's (1994) model of four possible modes of faculty reaction based upon their perception of a proposed change and sought to identify levels of faculty support or resistance. In question four's query about faculty attitude toward past campus-wide change initiative and question eleven's similar approach but focused on downward expansions, responses offered the context for comparison between faculty attitudes on past and current (downward expansion) change initiatives. The responses to these two survey questions also provided valuable clues for the development of focus group and interview question to explore more deeply the roots of possible changes of faculty attitudes based on their experiences with different institutional changes. Questions number four and ten addressed the research question, "Does the degree to which the faculty are directly affected by downward expansion effect their perceptions of positive or negative outcomes of the expansion?"

Impact of change.

Also considering the level of emotional investment are questions related to the perceived impact of change. The sixth, seventh and eighth questions asked faculty who they think would be most impacted by downward expansion, if the impact is positive or negative, and if they believe various job responsibilities will increase or decrease. The survey questions that focus on the impact of change on faculty aligns with the research question, "Does the degree to which the faculty are directly affected by downward expansion effect their perceptions of positive or negative outcomes of the expansion?"

These three questions are also linked to the development of an attitude toward change. Harvey, Novicevic, Zikic, and Ready (2007), Henderson and Kane (1991), and Campbell and Slaughter (1999) discuss how faculty re-conceptualize their roles within the institution when their loyalties and focuses are torn.

Pace of change.

Questions eleven, twelve, and thirteen are specific to downward expansion and also draw influence from Klein and Dunlap's (1994) possible modes of faculty action during change, as they will ask for faculty to respond to the proposed timeline and to declare the level of support or resistance they have for downward expansion. In addition, these three questions address the issue of timing of change processes, more specifically their speed, addressed by numerous texts and articles (Eckel & Kezar, 2003; Eckel, Hill, & Green, 1998; Cameron, 1984; Miller & Friesen, 1980, 1982).   These three survey questions directly addressed the study's research questions, "How does the short downward expansion timeline affect faculty perspectives on the change process?" It can be rationalized from the change studies that discuss the importance of how fast or slow the change process occurs that faculty will have developed a perception about not only how downward expansion would impact their roles as faculty members but also about when they would be impacted. Responses to these questions also informed the development of focus group and interview questions that sought to obtain a better understanding about how the timeline of the change process affects the development of faculty perceptions.

Faculty demographics and characteristics.

For subsequent analysis of differences among the respondents, demographic data were asked in survey questions fifteen through nineteen. Creswell (2009), Fowler (2009), and Babbie (1990) agree that stratification is important in making the sample of respondents more proportional in representing the population as necessary when sampling respondents from a large population. Questions eighteen and twenty asked faculty to indicate how many years they have served as a faculty member at the institution and to identify their current faculty rank. Question nineteen asked participants to rate their level of involvement with departmental, school-level, and /or campus wide committees. Questions twenty one and twenty two asked about gender and school affiliation. Answers to these demographic questions served to identify comparison variables for the statistical analysis of data.

Participant comments and focus group volunteer opportunity

Question twenty three asked respondents an open-ended question, asking faculty if they have any suggestion on how they could better be utilized in the downward expansion process. The final question asks faculty respondents if they would be willing to participate in focus groups.

Focus groups.

Focus groups were used in this study to identify and better understand the more specific emotional reactions and cognitive thoughts faculty members have toward the downward expansion process. Often used in conjunction with other research methods, both quantitative and qualitative, Hesse-Biber and Leavy (2011) comment that "focus

groups can help the researcher inductively figure out what the key issues, ideas, and concerns are from multiple participants at once" (p. 164). In this study, the use of focus groups, like the survey, was used in an exploratory fashion. Investigating an issue as complex as the influence of a faculty perspective on institutional change processes requires deep exploration of issues, thoughts, and emotions about the change. Focus groups offer dynamic settings in which subjects can not only express their opinions, but also in which they can contribute to developing a story of a larger group's experience (Morgan, 1997). Stewart and Shamdasani (1990) agree and specifically note the use of focus groups to be valuable in discovering how the study's participant population makes meaning out of a particular issue, "the open response format of a focus group provides an opportunity to obtain large and rich amounts of data in the respondent's own words. The researcher can obtain deeper levels of meaning, make important connections, and identify subtle nuances in expression and meaning" (p. 16).

This study included four focus groups. With participants in the four groups from similar backgrounds and serving in similar professions suggests homogeneous grouping of participants. However, the participants for the focus groups were recruited to create a proportional representation of the various faculty characteristics at Lake University, i.e., rank, gender, school of affiliation, and length of service at the institution. This proportional representation also aligns with Yin's (2003) guidelines for selecting research participants for descriptive, case-study research designs. Morgan (1997), Hesse-Biber and Leavy (2011), and Krueger and Casey (2009) agree that the typical size for a focus group can range from eight to twelve participants. Krueger and Casey (2009) further explain that the "ideal size of focus groups for most noncommercial topics is five to eight

participants" (p. 67). Faculty participants were recruited via their interest in participating in a focus group as indicated on the survey as well as individually contacted by the researcher to create groups that were representative of the sample population. The focus group sessions were audiotaped and transcribed and the researcher took observational notes.

As the moderator, the author of this study set the tone for structure and level of involvement. Stewart and Shamdasani (1990), Morgan (1997), and Krueger and Casey (2009) discuss a wide variety of possible levels of moderator involvement in leading focus groups, but agree that the level must be determined prior to convening the first group session and that it follow an expected output design that reflects the kind of data the focus group is expected to elicit, "the moderator needs to take a firm hand and assure that the expectations of the group members are consistent with and facilitate the purpose of the research" (Stewart & Shamdasani, 1990, p. 41). In the case of this study, the researcher/moderator aimed for the highest group effect in adopting a less structured focus group model, allowing the dynamic interaction among the group participants to be expressive, "what makes less structured focus groups such a strong tool for exploratory research is the fact that a group of interested participants can spark a lively discussion among themselves without much guidance from either the researcher's questions or the moderator's direction" (Morgan, 1997, p. 40). Hesse-Biber and Leavy (2011) add to the value of building a strong group dynamic among focus group participants, "in addition to exploring attitudes, the group dynamic can be fruitful in encouraging group members to provide detailed explanations of normative behavior that are mundane to them" (p. 169).

At the beginning of each focus group, the moderator provided some structure to the beginning stages of the sessions by explaining in detail what kind of data are being sought, in an interactive strategy where everyone had an opportunity to speak, and posed two or three broad questions about the proposed change to solicit free flowing conversations. An important premise that was noted to the groups was that all responses and attitudes are welcome as it is vital in focus group research that participants feel comfortable and safe to express their opinions (Krueger & Casey, 2009). Although the hour-long focus groups were held at Lake University, the moderator took care to remove distracting or imposing items from the meeting room that may have influenced participant responses, i.e. pictures, school posters or other related media. Before questions were asked to any of the focus groups, the participants were provided with an informed consent form (Appendix C), explaining their rights as participants, my responsibilities as the researcher, and statement of confidentiality of records. The moderator used a voice recording device for each focus group but also used a notepad to take note of emotions, facial expressions, body language, interaction between focus group members, and tone. The researcher paid a support staff member who has experience in transcription and using DragonSpeak dictation software to transcribe the data.

The questions asked during the focus group sessions were conducive to open-ended responses and, with the low structure format of the focus groups, allowed the moderator to become more of an observer. As Stewart and Shamdasani (1990) suggest, this study used less than a dozen prepared questions, ordered by level of importance, with the most important questions being asked early in the focus group experience (Appendix D). However, in the development of the specific focus group questions, Creswell (2009)

notes that in sequential data collection design, such as this one, the results of one method informs the development of the next method. As this study began with a quantitative data collection method, its results informed the development of the focus groups' questions. Like the survey questions, the focus group questions were developed in alignment with this study's three research questions.

Interviews.

In the final stage of data collection, this study utilized eight face-to-face individual interviews with members of Lake University's faculty. The format of the interviews fits Hesse-Biber and Leavy's (2011) classification of "semistructured interviews" during which the "researcher does try to ask each respondent a certain set of questions, he or she allows the conversation to flow more naturally, making room for the conversation to go in unexpected directions." (p. 102). In support of using a semistructred interview model, Hesse-Biber and Leavy's (2011) further explain,

> Interviewees often have information or knowledge that may not have been thought of in advance by the researcher. When such knowledge emerges, a researcher using a semistructured design is likely to allow the conversation to develop, exploring new topics that are relevant to the interviewee. (p.102)

Offering the deepest level of data collection, the interviews conducted in this study sought to amplify the comments, tones, and attitudes that were recorded during focus groups. Rubin and Rubin (2012) note the advantage of researchers using multiple, in-depth interviews in understanding issues with which they may completely unfamiliar

will help "create portraits of complicated process" (p. 3). According to Rubin and Rubin (2012), this form of interviewing contains three characteristics:

1) The researcher is looking for rich and detailed information, not yes-or-no, agree-or-disagree responses. He or she is looking for examples, for experiences, for narratives and stories.

2) The interviewer does not give the interviewee specific answer categories; rather, the questions are open ended, meaning that the interviewee can respond any way he or she chooses, elaborating upon answers, disagreeing with the questions, or raising new issues.

3) The questions that are asked are not fixed. The interviewer does not have to stick to a given set of questions or ask them in a given order; he or she can change wording or skip questions if they don't make sense at the time, or make up new questions on the spot to follow up new insights. He or she can pose a separate set of questions to different interviewees. (p. 29)

Rubin and Rubin (2012), Tashakkori and Teddlie (2010), and Creswell (2009) agree that in sequential data collection designs like the one used for this study (Quan-qual-qual), waiting until other means of data collection have concluded (i.e. the survey and focus groups) would be acceptable before the interviewer/researcher formalizes interview questions. However, Rubin and Rubin (2012) do believe it is important for the researcher to draft some preliminary questions that may, even in an open ended interview exchange, enable the interviewer to maintain a degree of focus on the study's research objectives and further guide later data analysis, such as coding of certain words in interviewee's responses.

The interview questions for this study adhered to a responsive interview style that stressed the importance of a positive, safe interviewing environment and supported the interviewees comfort in fully expressing themselves. To accentuate this environment, the interview questions themselves were scripted to be no more than ten, beginning with questions that are the most directly related to the study's research questions. Before any interview questions were asked, the faculty participants were provided an informed consent form for their review and approval via signature (Appendix E). The interview questions for this study were developed after analyzing survey and focus group data and, like the other two data collection methods, aligned with this study's three research questions (Appendix F). Questions were scripted for each interview but the semi structured format of the caused some questions not to be asked and the interviewer to deviate from the prepared list of questions. Given the complex processes of institutional change and the emotional and personal investment faculty have to the intended downward expansion, this researcher deliberately sought opportunities during the interviews to gain more detail on those aspects of the interviewees' experiences. The hour-long interviews were audio recorded and the interviewer took notes with special attention to new lines of inquiry, body language, and emotional tone. To promote a safe environment for the interviewees, the interviews were conducted in a small conference room void of any glaring references to the institution or the change initiative.

The faculty to be interviewed were chosen to proportionately represented the demographic characteristics of faculty at Lake University. To create, as much as possible, a representative participant population controlling for gender balance, school affiliation, length of service at institution, and faculty rank an equal representation from

the four schools, a total of eight interviews were conducted. Faculty who have had a

distinct role in the change process through service on any of the major planning

committees or serve on shared governance boards were solicited for participation and

constituted two of the eight interview slots. Tenured faculty who serve as department

chairs or division heads were approached to fill two interview slots, and tenured faculty

who have no additional roles other than their teaching and research responsibility were

asked to fill the two more slots. For the two remaining interview slots, interviewees who

are non-tenure track were asked to participate with the requirement they have to have

been at the institution at least one year and have no significant additional roles besides

their teaching and research responsibilities. While guidelines are available that suggests

specific lengths of individual meetings, this study loosely imposed a one hour time limit

but overages were accepted if the conversation's content and/or momentum warrants

additional time.

Role of the researcher.

The researcher for this study is also a mid-level administrator at Lake University.

Serving as a director for an academic support center and responsible for several campus-

wide retention initiatives, the researcher has significant interaction with faculty and staff

from across the university. Faculty interaction with the researcher and his academic

support center take the form of student academic referrals, requests for academic support

resources for a class, some issues of student conduct, academic policy development, and

downward expansion committee participation. As such, the researcher is heavily

involved in downward expansion planning, sitting on several committees and chairing

one on academic support preparation for lower-level students.

In moving forward with using Lake University as a case study for this project, this researcher sought the senior administrative approval of the President, the Provost, and the Chief Student Affairs officer. All three senior administrators offered both their approval of the project and assistance in securing any relevant documents or information. Before this project was submitted for final review and publication, the researcher agreed to share the findings with the senior administration. The researcher extended a similar offer to the president of the Faculty Senate.

Human subjects review and approval.

Before beginning the data collection stage, the researcher submitted applications to both the University of Minnesota and Lake University for human subject review. In both cases, the applications were categorized as "exempt status." Because Lake University was the case study site for this study, approval was sought at that institution first. Copies of the survey participation email, informed consent forms for both focus groups and interviews, a copy of the survey to be distributed, a copy of focus group and interview questions accompanied the Lake University application for human subjects review. Approval to commence research from Lake University was received on March 5, 2013 (Appendix G).

Upon receipt of the formal approval from Lake University, a similar exempt status human subject application was submitted to the University of Minnesota on March 5, 2013. Containing the same documents that were submitted for Lake University's approval, the University of Minnesota application included a form of endorsement from

this researcher's advisor. Human Subjects approval of exempt status was granted from

the University of Minnesota on March 11, 2014 (Appendix H).

Characteristics of Population of Faculty

A comparison of characteristics of faculty at the case study institution from fall

2007 to fall 2011 suggests a slightly growing population with associated changes in

demographic characteristics. As Table 3 indicates, the mean age of faculty at the

institution has decreased from 48 in 2007 to 45 in 2011. The number of faculty with

tenure status has increased slightly during this time, from 23% in 2007 to 27% in 2011.

Similarly, faculty on tenure-track rank increased from 13.3% of the total faculty in 2007

to 15.3% in 2011. As illustrated in Table 3, these trends in the increase in full time

tenured and tenure-track faculty reflect a corresponding decrease in the number of part-

time faculty. The 2011 report of faculty work load shows that 42.3% of the faculty are

full time compared to 57.7% who are part time. The number of part-time faculty

gradually decreased from 63.6% in 2007 to 57.7% in 2011. Similar trends in Table 3

show a gradual decrease in the number of faculty who identify themselves as "White"

from 80.4% in 2007 to 73.6% in 2011. There have been corresponding gains in the

number of Asian faculty from 6.9% in 2007 to 9.8% in 2011 as well as the number of

Hispanic faculty, 4.2% in 2007 to 6.1% in 2011. There have been no significant changes

in the gender of faculty during this time.

The population of faculty for potential participation in this study consisted of all

full-time and part-time faculty employed by the university during the spring 2013

semester (n=529). All faculty, regardless of part-time or full-time status and tenured

versus non-tenured were considered as participants in this study. Tenured and tenure-

track

Table 3

Demographic Trends of Faculty, Fall 2007-Fall 2011

Demographic variable	2007		2008		2009		2010		2011	
	N	%	N	%	N	%	N	%	N	%
Gender										
Male	249	(47.4)	249	(47.5)	253	(47.6)	253	(47.0)	244	(46.7)
Female	276	(52.6)	275	(52.5)	278	(52.4)	286	(53.0)	278	(53.3)
Academic rank										
Tenured	121	(23.0)	132	(25.2)	129	(24.3)	137	(25.4)	141	(27.0)
Tenure track	70	(13.3)	68	(13.0)	75	(14.1)	74	(13.7)	80	(15.3)
Non-tenured	334	(63.6)	324	(61.8)	327	(61.6)	328	(60.9)	301	(57.7)
Employment status										
Full-time	191	(36.4)	200	(38.2)	204	(38.4)	211	(39.1)	221	(42.3)
Part-time	334	(63.6)	324	(61.8)	327	(61.6)	328	(60.9)	301	(57.7)
Ethnicity										
White	422	(80.4)	415	(79.2)	407	(76.6)	412	(76.4)	384	(73.6)
Black	32	(6.1)	37	(7.1)	34	(6.4)	34	(6.3)	33	(6.3)
Hispanic	22	(4.2)	22	(4.2)	31	(5.8)	31	(5.8)	32	(6.1)
Asian	36	(6.9)	44	(8.4)	45	(8.5)	48	(8.9)	51	(9.8)
American Indian or Alaskan Native	0	(0.0)	0	(0.0)	1	(0.1)	1	(0.2)	2	(0.4)
International	13	(2.5)	6	(1.1)	13	(2.4)	9	(1.7)	14	(2.7)
Unknown	0	(0.0)	0	(0.0)	0	(0.0)	0	(0.0)	0	(0.0)
Hawaiian/ Pacific Islander	0	(0.0)	0	(0.0)	0	(0.0)	0	(0.0)	0	(0.0)
Multi-Racial	0	(0.0)	0	(0.0)	0	(0.0)	4	(0.7)	6	(1.1)
Total faculty	525		524		531		539		522	

Note: Adapted from Lake University Factbook, 2011, on
http://prtl.XXXX.edu/portal/page/portal/OIE/IR_PUBLICATIONS/ENROLLMENT_PR
OFILES/Faculty%20Profile-%20FY07-%20FY11.pdf. Retrieved on September 20, 2012.

faculty were selected for this study because they would be eligible to serve on shared

governance committees and participate in campus decision making, are bound by the

conditions of their tenure or tenure-track contracts to log service to the university, and

will be obligated to plan the academic experiences for the proposed first and second-year

students. The non-tenured and part-time faculty were added to this sample as they will

likely be heavily responsible for delivering instruction to the proposed lower level

students.

Research Participants

The process for inviting participants to take part in the data collection strategies

included direct email, voluntary response to a survey question, and direct recruitment by

the researcher. To invite faculty to participate in the survey, an email was sent to all

active faculty who were not one of the eight participants in the pilot study (n=521) as of

the spring 2013 semester (Appendix D). After this initial contact a reminder email

inviting participation was sent every two weeks until the survey was closed six weeks

after its initiation. Out of the 521 faculty recipients, 19 emails were returned with

notification email to the addresses were undeliverable. The total valid number of

possible participants was 502 faculty. A total of 90 faculty responded to the survey with

10 incomplete responses, leaving 80 valid survey responses, or 15.9% of the total

population of faculty.

Faculty were invited to participate in a focus group through one of two ways: their

responses to a survey question or by direct recruitment. The last question of the survey

asked, "Would you be interested in participating in a focus group to discuss further your

perception of downward expansion?" The answer choices were "yes" and "no" with a

text box for those who agreed to participate to include their email addresses for follow up

from the researcher. Fifteen faculty volunteered to participate through the survey, and

out of the total 17 focus group participants, eleven actual participants were selected

through the survey. The other six focus group participants were directly solicited by the

researcher to ensure greater faculty representation as well as for more diverse

representation across schools, academic ranks, gender, and years of service.

The eight interview participants were selected by direct recruitment. The

researcher of this study used school affiliation, academic rank, gender, and years of

services as characteristics influencing the selection of faculty participants. Faculty were

invited to participate in person or via email. The eight faculty participants include two

participants from each school with intention given to choosing a population

representative of the overall faculty population.

The research participants for this study were categorized by the type of data

collection as well as by four demographic variables and one other characteristic: gender,

length of service, academic rank, school affiliation, and institutional involvement. The

gender breakdown of the research participants by data collection type is illustrated in

Table 4.

As the results in Table 4 indicate, the number of male faculty that participated in

the survey is significantly less than the number of females, 35% versus 65%,

respectively. This participation imbalance may be a reflection of the total number of

female faculty consistently outnumbering male faculty since 2007, as was shown in Table

3. However, the focus group and interview participation by males, while still less than

females, is shown in Table 4 to be more representative of the total number of faculty for those data collection methods, representing 41.1% of the total focus group and 37.5% of the interview participation.

Another explanation for the discrepancy in gender representation may be the differing recruitment strategies used to secure participation in each of the data collection strategies. The survey was sent to all faculty registered in PeopleSoft to be active during the spring 2013 (n=521) but yielded a total of 80 completed surveys. However, the focus group participant population was in part generated from those who responded to the survey question soliciting volunteers as well as deliberate recruitment by this study's researcher to create groups that were represented as much as possible according to demographic characteristics of the population of faculty. Faculty solicitation for the individual interviews was even more deliberately selective as participants who represented a variety of demographic characteristics were approached to take part in the interview portion of the data collection.

The data found in Table 5 suggest that these differences in recruitment strategies may also explain some of the participation discrepancies and clustering in considering the respondent's length of service. Similar to the results for gender in Table 4, the survey participation data by length of service in Table 5 shows a similar clustering of respondents. In this case, the majority of participants that took the survey have worked in the less than 10 years with the largest population (28.7%) representing 6-10 years of service. Interestingly, the faculty who have been at the institution the longest, over 30 years (n=3), were the least likely to participate in the survey as were the faculty that have served less than a year (n=3).

Table 4

Gender by Type of Data Collection

	Male		Female	
Data collection type	Frequency (n)	Percentage (%)	Frequency (n)	Percentage (%)
Surveys[a]	28	35.0	50	65.0
Focus groups	7	41.1	10	58.8
Interviews	3	37.5	5	62.5

Note: Survey, n=80; focus groups, n=17; interviews, n=8.

[a]Two faculty identified themselves through the survey as transgender. The focus group and interview questions did not ask participants to identify their gender. Due to the low representative number, the two faculty who identified themselves as transgender are not reflected in the ANOVA calculations.

It may be that faculty who are new to the institution may not have felt comfortable or knowledgeable enough to participate in a study about a subject about which they scarcely are familiar.   As illustrated in Table 3, participants who have served the institution between 21-30 years represents sizeable participation (n=11), while colleagues in the category above and below them participated the least (n=3, respectively).

Similar to the respondent participation reflected in Table 4, results in Table 5 indicates the faculty who participated in focus groups (n = 17) and interviews (n=8) were increasingly more stratified by their length of service. The largest focus group participation was from faculty who served the institution between 6-10 years (n=6). However, with the four faculty who participated representing the 1-5 years and the three faculty representing 11-15 years group, Table 5 displays a consistency in the majority

survey, focus group, and interview participants clustered in the 1-5, 6-10, and 11-15 years

categories.

The data in Table 5 not only suggests similar participant characteristic trends by

type of recruitment identified in Table 4 but it also begins to construct a participant

profile for this study. The clustering of data shows those faculty who are have spent less

than 15 years at the institution are the most likely to discuss their perceptions about

downward expansion. If the survey data trends from Table 3 are taken into account, it

may be reasonable to suggest that the majority of those respondents who have worked at

the institution less than 15 years are also female. As was the case for data displayed in

Table 4, Table 5 shows that direct recruitment of respondents created the most

representative sample for the interview data collection phase.

Table 5

Data Collection Participation by Respondent's Length of Service

Length of service	Surveys		Focus groups		Interviews	
	n	%	n	%	n	%
Less than a year	3	3.8	1	5.9	1	12.5
1-5 years	22	27.5	4	23.5	1	12.5
6-10 years	23	28.7	6	35.3	1	12.5
11-15 years	15	18.8	3	17.6	3	37.5
16-20 years	3	3.8	1	5.9	1	12.5
21-30 years	11	13.8	1	5.9	1	12.5
Over 30 years	3	3.8	1	5.9	0	0.0

Note: Survey, n=80; focus groups, n=17; interviews, n=8

The data displayed in Table 6 is consistent with the trend in demographic data in the survey data collection is clustered. As Table 6 illustrates, participants from the School of Education (33.8%) and Human Sciences and Humanities (28.7%) were the most frequent respondents to the survey. This response to the survey by participants in the School of Education is surprising as the downward expansion of the institution to include freshmen and sophomore level students will affect them the least. The other school for whom downward expansion will slightly impact is the School of Business, reflecting a low survey response, n=15. Human Sciences and Humanities and Science and Computer Engineering are the two schools under which the majority of classes in the lower-level core curriculum fall, but survey participants representing those two populations varied. As shown in Table 6, only 15 faculty from Science and Computer Engineering, which houses the mathematics and all the science departments, participated in the survey. Similarly, this school also had the least number of participants in the focus groups (n=3).

As was the case with the demographic data displayed in Tables 4 and 5, Table 6 indicates that the distribution of participants for the focus group and interview data collections were more representative, possibly also due to the strategy for recruiting subjects. The largest group of focus group faculty was represented by the School of Business faculty (n=5) and School of Education (n=5). As has been the case with the gender and length of service demographic categories, the interview participant population was the most equally represented with two representatives from each school. With this continued trend of participant clustering with survey participants to more balanced and stratified representation with focus groups and then with interviews, it suggests the

possibility that recruitment strategy had an effect on the participant sample. Using the same logic utilized in analyzing data from Tables 4 and 5 in identifying a participant profile, the information and trends in Table 6 would add that the average respondent to the data collection strategies would likely come from either the School of Education or Human Sciences and Humanities.

Table 6

Data Collection Participation by Respondent's School Affiliation

	Surveys		Focus groups		Interviews	
School	n	%	n	%	n	%
School of Business	15	18.8	5	29.4	2	25.0
School of Education	27	33.8	5	29.4	2	25.0
Human Science and Humanities	23	28.7	4	23.5	2	25.0
Science and Computer Engineering	15	18.8	3	17.6	2	25.0

Note: Survey, n=80; focus groups, n=17; interviews, n=8

The data displayed in Table 7 shows a clustering of respondents similar to the other demographic characteristics with the majority of survey respondents being tenure-track (23.8%) and tenured (43.8%). Given that the tenured and tenure-track faculty are more involved in the planning process than their non-tenured colleagues, these trends are not surprising. However, the numbers of non-tenure track, full-time (n=13) and part-time (n=13) participants were larger than anticipated. Both of these populations have not been

included in the downward expansion planning process, but will likely play a significant role in teaching the new lower-level courses. Kezar and Sam (2010) and Kezar (2012) have argued that non-tenured faculty have been ignored from institutional decision-making and planning but, as the data in Table 7 might suggest, they have a strong interest in institutional issues.

With tenured and tenure-track faculty being more involved in the downward expansion planning process, this study's researcher made a deliberate effort to secure focus group and interview participation from non-tenured faculty. Of the total non-tenured focus group participants (n=5) shown in Table 7, only two were directly recruited to take part in that data collection phase. Conversely, the non-tenured faculty who participated in the interview process (n=3) were directly recruited by this researcher. To maintain a diverse interview participant population, these three non-tenure track participants were selected due to their school representation, length of service, and gender. Two of these three interview participants represent the schools that will be most impacted by downward expansion, Human Sciences and Humanities and Science and Computer Engineering. Table 7 also illustrates the highest number of focus group participants are tenured faculty (n=9), reflecting the high participation rate of this population in the survey.

Table 7

Data Collection Participation by Academic Rank

Rank	Survey		Focus groups		Interviews	
	n	%	n	%	n	%
Tenure track	19	23.8	3	17.6	2	25.0
Tenured	35	43.8	9	52.9	4	50.0
Non-tenure track (FT)	13	16.3	3	17.6	1	12.5
Non-tenure track (PT)	13	16.3	2	11.8	1	12.5

Note: Survey, n=80; focus groups, n=17; interviews, n=8. FT = full time non-tenure track faculty; PT = part time non-tenure track faculty.

Result for the final characteristic variable participant involvement is illustrated in

Table 8. The number of survey participants who claim no involvement in campus

committees of any kind stands out as the second largest respondent population (28.7%).

With the magnitude of campus-wide planning for downward expansion, this number is

surprising. The limited involvement of faculty is consistent with the data showing the

majority of survey participants are only involved in 1-2 committees (35.0%). The

research participants that disclosed their committee service involvement to be 5-6

committees numbered the least of the survey respondents (n = 4) but numbered the most

in the number of interview participants (n=5). Focus group participants were not asked

about their committee involvement, although some of their response may have referenced

specific experiences on planning or shared governance committee.

Table 8

Data Collection Participation by Committee Involvement

Involvement	Surveys		Focus groups[a]		Interviews	
	n	%	n	%	n	%
No involvement	23	28.7	--	--	2	25.0
1-2 committees	28	35.0	--	--	0	0.0
3-4 committees	19	23.8	--	--	1	12.5
5-6 committees	4	5.0	--	--	5	62.5
More than 7 committees	6	7.5	--	--	0	0

Note: Survey, n=80; focus groups, n= 17; interviews, n=8. [a] Data measuring participant involvement in shared governance or other campus committees was not collected from focus group participants.

Interview and focus group participants

The eight faculty who participated in the interview were specifically selected to reflect, as much as possible, a balanced representation of tenured and tenured track faculty as well as full and part-time non-tenure track faculty. The researcher assured the interview participants both verbally and through their signing of informed consent forms that their identities would be withheld from this study. In addition, coding the names of the interview participants with pseudonyms was particularly challenging as all are current employees of the institution and that creating names for these faculty had to ensure that their identities could not be discovered. Rubin and Rubin (2012) support the commonly held practice of creating aliases for interview participants and agree that the researcher is obligated to consider the context of the study in determining the level of anonymity appropriate for coding the interview participants with aliases.

The specific context of this study and the role of faculty in planning for downward expansion warrant that the labels assigned to the focus group and interview

participants not include first or last names, school affiliation, gender, or discipline of study. Focus group participants were assigned a role and number as speaker, (i.e. Speaker 1, Speaker 2,. . . .). To keep the interview participants' identities as distant as possible from the data used in this study, each participant has been assigned a number to their rank classification. Table 9 illustrates the identification coding of the interview participants. These labels were used in presenting interview data in chapter four of this study. To add further context of the interview participants compared to faculty who participated in the survey and/or focus groups, length of service and involvement with downward expansion committees were added to the table. However, these two additional categories of identification were modified to further conceal the identities of the participants.

The differing demographics and characteristics of the participants in this study suggest a reasonable representation of the characteristics of the population faculty at Lake University. The faculty who participated in the survey (n=80) were mostly female (65.0%) and have been serving at the university less than 15 years (78.8%). The majority of survey participants were from the School of Human Sciences and Humanities (28.7%) and the School of Education (33.8%) while the majority of focus group participants represented the School of Business (n=7). More tenured (43.8%) and tenure-track faculty (23.8%) participated in the surveys, focus groups, (n=7 and n= 5, respectively) and interviews, n=3 and n=2. However, non-tenure, part-time faculty were well represented in focus groups and non-tenure track, full-time faculty were represented in the interviews, n=2. The majority of the faculty who participated in the survey reported no involvement (28.7%) or service on 1-2 committees (35.0%) related to downward expansion whereas

the majority of interview participants (n=5) reported involvement on five to six

committees. These participant differences were considered in interpreting results from

each of the data collections strategies in chapter four of this study.

Table 9

Characteristics of Interview Participants

Participant's study identification	Academic rank[a]	Length of service[b]	Direct involvement with downward expansion planning[c]
Tenure Track 1	Tenure-track	Less than 15 years	Yes
Tenure Track 2	Tenure-track	Less than 15 years	Yes
Tenure 1	Tenured	Greater than 15 years	No
Tenure 2	Tenured	Less than 15 years	Yes
Tenure 3	Tenured	Greater than 15 years	Yes
Tenure 4	Tenured	Greater than 15 years	Yes
Non Ten FT 2	Non-tenured, full-time	Less than 15 years	No
Non Ten PT 3	Non-tenured, part-time	Less than 15 years	No

Note: [a] Academic rank of tenure includes both Associate and Full Professor levels. [b] In order to reduce any identifying characteristics, length of services is presented as either less than or greater than 15 years. [c] The direct involvement of faculty with downward expansion planning includes services on downward expansion planning committees, faculty and staff search committees related to downward expansion, and school and departmental-level committees.

Data Analysis

As the data collections for each component of this mixed-method study were conducted sequentially, the results were analyzed sequentially. Therefore, preliminary data analysis of survey results was conducted before initiating focus group data collection. The data analysis for these three collection methods utilized data reporting technology to assist in deciphering, coding, and measuring participant responses. The survey data were analyzed using SPSS and the focus group and interview data were analyzed using a coding scheme in addition to moderator session notes.

Survey data analysis.

The Survey Monkey online survey program contains a data analysis feature that displayed results for the instrument as a whole, provide reports noting answer frequency and compare answers and/or populations. Using the data download feature on Survey Monkey, an Excel spreadsheet of the data was entered into SPSS.

Scale Constructions.

Because they had multiple answer options, survey questions number one, two, five, six, seven, eight, thirteen, fourteen, fifteen, sixteen, and seventeen, 11 scales were created using SPSS and tested for internal consistency using Cronbach's Alpha. This study adheres to Fraenkel and Wallen's (2006) standard that Cronbach's Alpha reliability coefficients greater than 0.7 are considered acceptable. As Table 10 illustrates, Cronbach's Alpha coefficients are greater than 0.7 for nine of the eleven scales, and that the two scales not meeting this criterion were only slightly lower (i.e., 0.66 and 0.68).

The analysis in Table 10 shows that several of the scales had a very high level of internal consistency. The highest reliability scores were scales two ($\alpha = 0.947$), degree of faculty value during past campus-wide change, scale three ($\alpha = 0.947$), degree of faculty value during past campus-wide change, scale seven ($\alpha = 0.921$), appropriate timeline for planning downward expansion, and scale eleven ($\alpha = 0.901$). Table 10 indicates that two of the scales scored high reliability, scales ten ($\alpha = 0.863$) and eleven ($\alpha = 0.901$), even though they contained only five items each.

Table 10 also indicates that scale six ($\alpha = 0.682$), change of time spent on faculty responsibilities, and scale eight ($\alpha = 0.663$), influence of sources within the campus community, measured below the 0.7 standard for Cronbach's Alpha. The Item-Total Statistics produced by SPSS indicated that deleting one aspect of scale six would result in a higher internal consistency for the scale. However, after considering that the distribution of responses to that question was relatively balanced across the five scale choices, significantly decrease to significantly increase, was likely responsible for the low item correlation it was decided to keep the scale intact. In considering the Cronbach's Alpha score for scale eight ($\alpha = 0.663$), the SPSS Item – Total Statistics results indicated changing any of the items in the scale would not result in a higher internal consistency. Therefore, the items that make up scale eight were left intact. When used for analysis, results stemming from these two scales will have to be considered cautiously.

The primary statistical analysis for survey data included one-way ANOVA, independent sample t-test, and Chi-square. The four demographic variables (i.e., gender, length of time at institution, school affiliation, and faculty rank) and one

characteristic (faculty involvement) collected by the survey were entered into SPSS and

coded as grouping variables for purposes of examining differences among groups. Three

demographic variables and the one characteristic were then used as independent variables

to the data results of the eleven scales using one-way ANOVA. For ANOVA results that

have statistical significance, a post-hoc Tukey test was run to further explore the nature

of the significant comparisons. Due to the demographic data being grouped into only two

categories, an independent sample t-test was used to analyze the relationship between

gender and the survey data. The data survey questions eleven, twelve, and thirteen were

categorical variables, requiring Pearson's Chi Square test of independence to be used to

understand the differences between categorical data and categorical demographic

information.

To measure the alignment of survey response to this study's framework of support

and resistance, additional ANOVA analyses were conducted by using responses to four

survey questions as independent variables. The four survey question results that were

used as independent variables for this analysis asked respondents to rate their level of

commitment to past campus-wide change (question 3), to characterize their attitude

toward past campus-wide change (question 4), to explain how downward expansion has

affected their commitment to Lake University (question 9), and to characterize their

attitude toward downward expansion (question 10). Due to the low number of responses

to answer choices that related to no or weak commitment (question 3), resistant and

somewhat resistant (questions 5 and 10), and significantly weakened commitment and

somewhat weakened commitment (question 9), the responses for these two answers

choices were scaled into one for each question. The new four-item scales were used as

Table 10

Internal Consistency for 11 Scales on Faculty Attitudes about Institutional Change Survey

Scale name	Number of items in scale	Cronbach's alpha
Scale 1 – Group influence past change	6	0.738
Scale 2 – Administrative valuing faculty past change	7	0.927
Scale 3 – Administrative valuing faculty downward	7	0.947
Scale 4 - Groups impacted by downward	7	0.783
Scale 5- Positive/negative impacted downward	7	0.774
Scale 6 – Responsibilities impacted downward	6	0.682[a]
Scale 7 – Timeline planning downward	9	0.921
Scale 8- Campus community influence downward	5	0.663[a]
Scale 9- Off campus influence downward	6	0.827
Scale 10 – Discuss opinions downward	5	0.863
Scale 11- Shared governance downward	5	0.901

[a]Cronbach's Alpha < 0.7

independent variables in ANOVA analysis for survey questions #1, #2, #5, #6, #7, #8, #14, #15, #16, and #17. Because survey questions #11, #12, and #13 required analysis using a nonparametric test, Pearson's Chi-square was used to evaluate the relationship between variables.

The data produced from this analysis informed the development of focus group and interview questions. This process included the researcher analyzing the responses to each survey question as well as the results of the ANOVA comparisons, independent t-tests, and Chi-square tests. The results of this analysis allowed the researcher to note trends in answers and the scale the responses and comparisons in relation to this study's three research questions. The researcher first identified a high number of responses at either end of a question's response scale. This would indicate that such responses were made with a degree of conviction or value that warrants further investigation through focus group and interview questions. Second, the results of the ANOVA comparisons, independent sample t-tests, and Chi-square tests were examined to determine if there were significant differences in faculty attitudes between past institutional change processes and downward expansion. Discrepancies between faculty attitudes regarding these experiences with change processes alerted the researcher to explore deeper into the reasoning for the differences through follow up focus group and interview questions.

Focus group and interview data analysis.

The focus group and interview data were analyzed using a coding scheme of word usage and moderator notes of participants' behaviors and expressions during the data collecting sessions. Both types of qualitative data produced rich data on faculty

perceptions on downward expansion. Richards (1999) states that "rich data means dynamic documents that grow as understanding grows, situations are revisited, insights inform, and links are drawn between data and ideas" (p. 415). The analysis for this qualitative data also considered the data analysis from the survey to identify links in participant responses, common trends in faculty perceptions, and possible differences among groups of participants.

Analysis of focus group and interview transcripts utilized a coding scheme for identifying, comparing, contrasting, and making meaning of participant responses. Transcripts for the focus groups and interviews were created using DragonSpeak dictation software and Microsoft Word. Transcripts were first examined for the presence of themes created by participant responses. The themes were then organized according to their alignment with this study's research questions. Data transcripts were coded to identify trends of word usage, track and record instances of specific word usage and assign organizational, color-coded, tabs for formatting and reference. The data analysis for this study used coding to track words that represent expressions of attitude or perception. Coding also was used to identify and track words that reflect emotional responses. Throughout this coding process notes, observations on data trends, and maintain record of moderator and interviewer notes were made on transcripts. Once the data was analyzed and coded, the themes created by the data were used to organize the data results.

Framework groups data analysis.

As was illustrated earlier in this chapter in Figure 5, this study will examine faculty perspective about downward expansion in consideration of four stances of faculty response institutional change as identified by Klein and Dunalp (1994): Active Constructive (supportive), Passive Constructive (supportive), Passive Resistant, and Active Resistant. At the conclusion of quantitative and qualitative data analysis, data was examined and coded to align respondent data based upon their survey, focus group and/or interview participation with one of these four groups. As illustrated in Figure 9, the following codes were used to signify their link to specific framework groups:

Codes   Framework Groups

AS ———————————————————→ Active Supportive

PS ———————————————————→ Passive Supportive

PR ———————————————————→ Passive Resistant

AR ———————————————————→ Active Resistant

Figure 9. Representation of the framework analysis code alignment with the framework groups as influenced by Dunlap and Klein (1994) model of faculty perspective and institutional change.
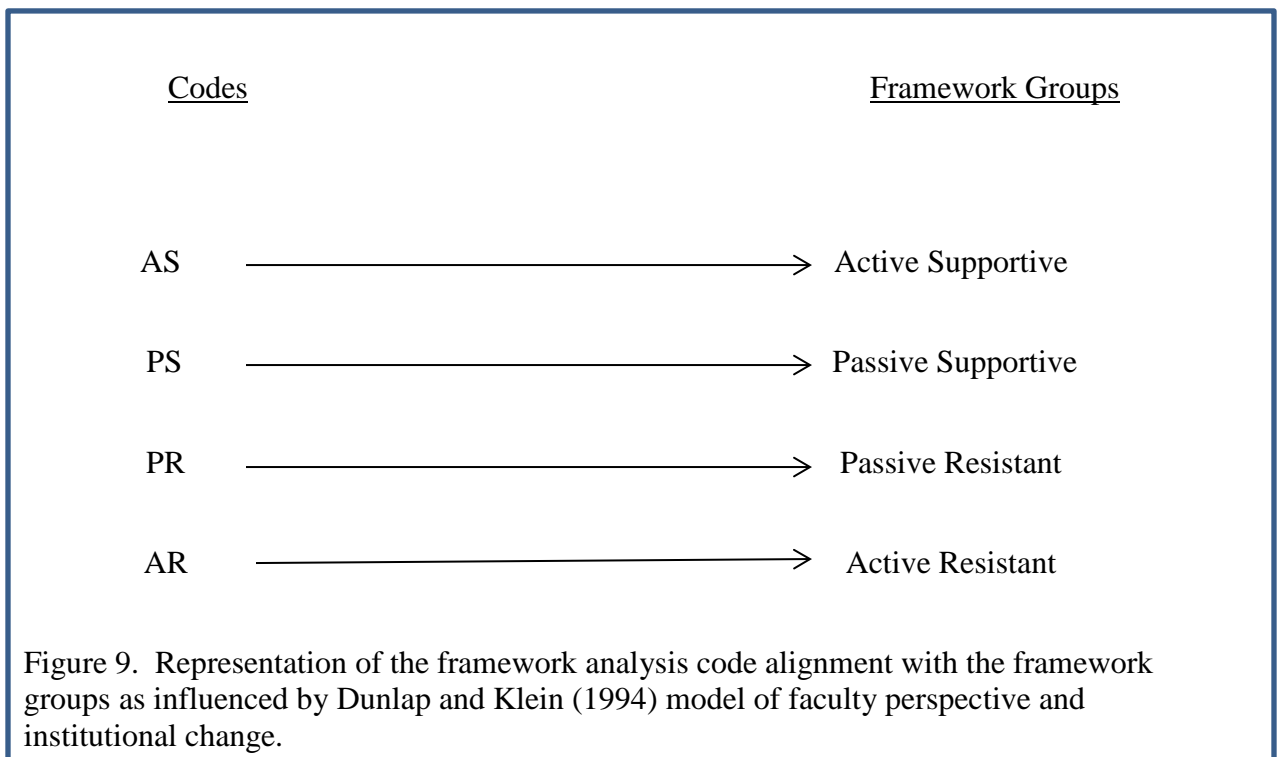
Quantitative data analysis to determine participant perspective framework category.

Quantitative data in the forms of frequencies and percentages to survey responses were the primary quantitative data sources that shape the "profiles" of respondents that would align with each of these categories. Given the notion of the four framework groups/stances illustrating the perspectives of Lake University faculty on downward expansion is fairly complicated, the manner in which the quantitative data were analyzed to group/categorize the participants needed to reflect a process that captured the faculty perspective on various levels. In order to easily categorize individuals into one of the four framework groups, as suggested by Klein and Dunlap (1994), two approaches that complimented each other were used. First, survey data was reviewed holistically for each of the 80 survey participants. This allowed the author to consider survey responses as a whole to determine which category/group the participant would best fit. Second, participants were placed into one of the four groups based upon their responses to the survey that directly aligns with the four stances/groups, question 10, "How would you best characterize your attitude toward Lake University's downward expansion?" In cases when faculty selected the option of "neutral," results of the holistic approach enabled the author to place those respondents into the appropriate category. After going through the process of evaluating quantitative data using both approaches, the results of the analysis indicated the placement of faculty into the four stances was the same.

The results of independent t-tests, ANOVA, and Chi-Square were not used directly in determining the profiles of individual survey respondents. However, the results of these measures, particularly the comparisons using the framework categories as independent variables, were used to qualify the conclusions of the participant coding

results. For example, if the conclusions of the participant coding determines that more facultys' perspectives on change were passive supportive, then results from independent t-tests, ANOVA, or Chi-Square tests would further illustrate how participants compared to each other in answering survey questions.

Qualitative data analysis to determine participant perspective framework category.

Using the same coding scheme, focus group and interview participants were grouped into one of the four categories of faculty perspective of change. The data of the 25 focus group and interview participants were coded as to how their responses aligned with the behaviors discussed by Klein and Dunlap (1994). For example, if a focus group participant discussesed how they not only were resistant to downward expansion but have provided evidence that they have, or intend to, take action to validate their resistance, then this participant would align with the perspective of someone who was active resistant (AR). The participant codes were added to those determined from the quantitative coding. However, the known focus group and interview participants who also took the survey (n=11) were not counted twice. In these cases, the coding for the quantitative data were compared to the coding for the qualitative data and any discrepancies were noted separately in the results chapter.

CHAPTER 4

RESULTS

The results of this mixed-method study of faculty perceptions of downward expansion are presented in eight sections. These sections are organized into two sets. In the first set there are three sections of results. The first section is a brief overview of faculty stances on downward expansion so that the reader can have an overall framework for understanding results in subsequent sections. The second section presents the means and standard deviations for the 11 scales and 11 individual items used to conduct the quantitative analysis for this study. A third section presents the correlation matrix describing the interconnectedness among the study's quantitative variables.

The second set of results is presented according to the study's three research questions. The organization of this set of results presents quantitative data analysis in eight subsections as they relate to this study's three research questions. The first subsection in each of the three research question-related sections includes presentations of descriptive statistics of frequencies and percentages. Using ANOVA or chi-square analyses, the second subsection of each of these three sections used four demographic variables (i.e., faculty rank, length of service, gender, and school affiliation) and one characteristic (i.e., involvement on campus committees) as independent variables to determine if they affected the influence of various internal and external sources on forming faculty perception of downward expansion, the perceived degree of impact downward expansion would have on various groups and feeling of support/resistance for various changes, and the influence of the downward expansion planning timeline on

forming faculty perception. The third subsection will present the results of either ANOVA or chi-square analysis using four questions most related to this study's framework as independent variables (i.e. commitment to Lake University during past campus-wide changes as well as downward expansion, and the faculty attitude toward past-wide and downward expansion change initiatives) to determine how institutional commitment and attitude toward change processes affected faculty perspectives in answering this study's three research questions.

The organization of qualitative data results varies by section as to how many subsections are presented. The first research question section contains three qualitative subsections. The second section's qualitative data analyses were organized into two subsections, as was the third section. It is important to note that qualitative data somewhat overlaps between sections.

The three research question-based sections utilized related thematic categories in organizing the data analysis results. The content of Table 11 illustrates the relationship between the three research questions, the thematic categories that organize this chapter as well as the quantitative constructs and qualitative sub-themes. The qualitative sub-themes depicted in Table 11 were developed by coding text from interviews and focus groups to identify common themes. These results reflect a deeper perspective of the process faculty take to construct meaning about the downward expansion change process.

Table 11

Organization of Data Analysis Results

Research questions	Quantitative items	Qualitative sub-themes
What internal and external influences affect the way in which faculty construct meaning about the change process?	Survey questions 1, 2, 5, 14, 15, 16, 17	Value, communication, resources
Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?	Survey questions 3, 4, 6, 7, 8, 9	Perceptions of faculty impact, The convergence of different faculty and student cultures
How does the short downward expansion timeline affect faculty perspectives on the change process?	Survey questions 11, 12, 13	Quality of the planning process, Readiness for downward expansion

This chapter concludes with a section that provides more detail to the analysis

presented initially in Figure 10 on page 161 to provide a detailed analysis of the

quantitative and qualitative data that informed the grouping of participating faculty into

one of the four stances on downward expansion: active resistant, passive resistant,

passive supportive, active supportive. This final section will also enable the reader to

understand the complexity of the process faculty underwent in developing a perspective

on a change process as deep and pervasive as downward expansion. Each stance will be

briefly analyzed in the context of the downward expansion process experienced by

faculty at Lake University with additional consideration to identifying the meaning of

each stance of faculty.

Faculty Stances on Downward Expansion

Using constructivist theory as a foundation, this first set of results portrays an overall picture of faculty stances on downward expansion. The quantitative and qualitative data were used to group the research participants into one of the four categories of faculty perspective: active constructive (supportive), passive constructive (supportive), passive resistant, and active resistant. Using the analysis of data from 80 survey participants, 17 focus group participants, and eight interview participants the distribution of faculty perspectives is illustrated in Figure 10. As indicated in Figure 10, 18% of faculty participants expressed perceptions of downward expansion that were active supportive; 49% of faculty participants expressed perceptions of downward expansion that were passive supportive; 26% of faculty participants expressed perceptions of downward expansion that were passive resistant; and 7% of faculty participants expressed perceptions of downward expansion that were active resistant. The characteristics of each of these groups will be examined more fully in subsequent sections through the presentation of quantitative and qualitative data analyses.

Figure 10. Representation of data analyses results organized into the four categories of faculty perception.
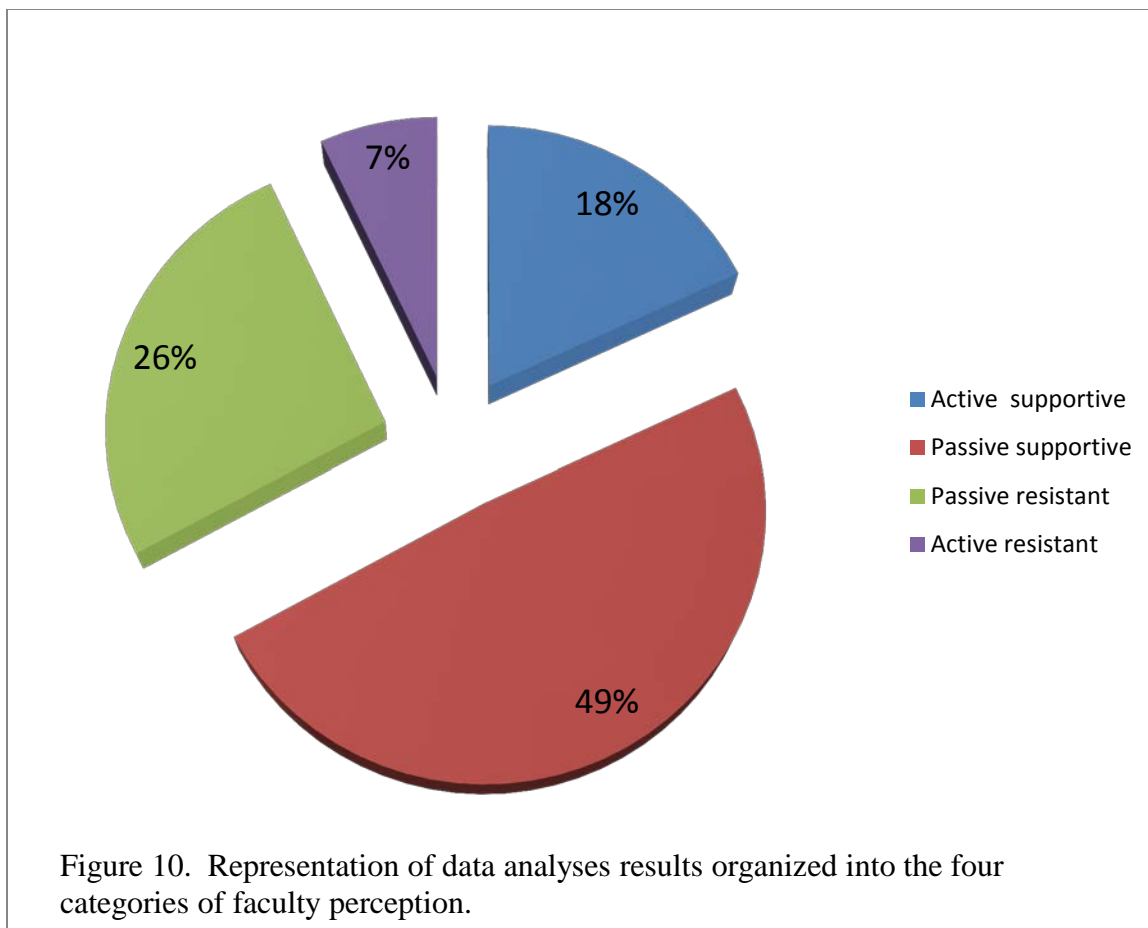
Descriptive Results for Scales

This section provides an overview of how the 80 faculty members responded to the survey, *Faculty Attitudes About Institutional Change*. Table 12 contains descriptive statistics for the 11 scales and the 11 individual items used in statistical analyses.

Results in Table 12 suggest that the means for eight of the 11 scales skews toward the right of center, suggesting trends in responses that indicate stronger degrees of influence, value, commitment, and generally positive feelings. In interpreting differences in means, the differences between means are not directly comparable since the number of items in a scale varied. The results for the question which asked respondents to rate the

degree various groups would be impacted by downward expansion, suggest that the majority of respondents generally felt that downward expansion would moderately or highly impact various groups at Lake University. On the other hand, the results for the question which asked respondents to rate the degree of influence of various shared governance committees on their opinion suggests that the majority of participants felt shared governance had no influence or a slight influence in forming their opinions of downward expansion. Finally, results in Table 12 illustrates that the four single-item questions most related to this study's framework (institutional commitment during past campus-wide change, attitude toward past campus wide change, institutional commitment during the downward expansion planning process, and attitude toward downward expansion) contained means that skewed to the right, indicating stronger institutional commitments as well as more supportive attitudes during change processes.

Analyzing the Relationship between the Scales of Quantitative Data

As was discussed in chapter three, 11 survey questions were scaled using SPSS. To further analyze the relationship between the scales, Pearson product-moment correlations were calculated for each pair of variables. Table 13 indicates that out of 55 total correlations, 26 (47.2%) were statistically significant; six were statistically significant at $p < 0.05$, and 20, at $p < 0.01$. For these statistically significant correlations, the correlations ranged from a high of r = 0.84 (between scales FcltyVluPstChng and FcltyVluDownExp) and a low of r = 0.25 (between scales GrpsPstvNegtvImpct and SourceOutCmpsCom). Of the 55 correlations in Table 13, the scale ApprtTimeLine contained the most negative correlations (seven): InfGrpsPstCmpsChng (r = -0.11); FcltyVluPstChng (r = -0.20); FcltyVluDownExp (r =   -0.19); GrpsPstvNegtvImpct (r = -

0.31); SourceWithinCmpsCom (r = -0.03); SourceOutCmpsCom (r = -0.01); and

ShardGovInf (r = -0.03). Later in this chapter the correlation between these scales and

faculty support for downward expansion will be reported.

Table 12

Descriptive Statistics for Scales/Items used in Analysis of Research Questions

Scale/item	Number of items	Range	$\bar{X}$	SD
Scale 1 – Group influence past change	6	6-24	15.60	4.66
Scale 2 – Administrative valuing faculty past change	7	7-35	16.76	6.69
Scale 3 – Administrative valuing faculty downward	7	7-35	16.28	7.23
Scale 4 - Groups impacted by downward	7	7-35	26.61	5.32
Scale 5- Positive/negative impacted downward	7	7-35	21.61	5.07
Scale 6 – Responsibilities impacted downward	6	15-30	21.74	3.37
Scale 7 – Timeline planning downward	9	9-45	20.85	7.30
Scale 8- Campus community influence downward	5	5-22	12.80	4.12
Scale 9- Off campus influence downward	6	6-24	12.13	4.96
Scale 10 – Discuss opinions downward	5	5-25	18.19	4.82
Scale 11- Shared governance downward	5	5-23	9.35	4.84
Commitment past change	1	1-5	3.85	1.10
Stance past change	1	1-5	3.84	1.01
Commitment change downward	1	1-5	3.10	1.03
Stance downward	1	1-5	3.83	1.30
Time aware downward	1	1-5	3.21	1.13
Speed downward	1	1-5	3.39	0.80

Table 13

Pearson Correlation Results for 11 Scales on Faculty Attitudes about Institutional Change Survey

Scale	InfGrpsPstCmpsChng	FcltyVluPstChng	FcltyVluDownExp	GrpsDwnExp	GrpsPstvNegtvImpct	TimeRespChnge	ApprteTimeLine	SourceWithinCmpsCom	SourceOutCmpsCom	LikeliDownExpanDiscsGrps	ShardGovInf
InfGrpsPstCmpsChnge	____										
FcltyVluPstChng	0.33**	____									
FcltyVluDownExp	0.39**	0.84**	____								
GrpsDwnExp	0.28*	-0.04	-0.04	____							
GrpsPstvNegtvImpct	0.26*	0.42**	0.47**	-0.10	____						
TimeRespChnge	0.12	-0.08	-0.07	0.18	-0.13	____					

Table 13 continued

Scale	InfGrpsPstCmpsChng	FcltyVluPstChng	FcltyVluDownExp	GrpsDwnExp	GrpsPstvNegtvImpct	TimeRespChnge	ApprteTimeLine	SourceWithinCmpsCom	SourceOutCmpsCom	LikeliDownExpanDiscsGrps	ShardGovInf
ApprteTimeLine	-0.11	-0.20	-0.19	0.28*	-0.31**	0.19	____				
SourceWithinCmpsCom	0.65**	0.72	0.13	0.37**	0.17	0.14	-0.03	____			
SourceOutCmpsCom	0.46**	0.16	0.31**	0.25*	0.25*	0.22	-0.01	0.53**	____		
LikeliDownExpanDiscsGrps	0.31**	0.12	0.16	0.26*	0.09	0.19	0.00	0.41**	0.32**	____	
ShardGovInf	0.40**	0.32**	0.37**	0.17	0.36**	0.11	-0.03	0.46**	0.30**	0.22	____

Note: *p < 0.05, ** p < 0.01

Note: InfGrpsPstCmpsChnge refers to group influence past changes

FcltyVluPstChng refers to administrative valuing past faculty past changes

FcltyVluDownExp refers to administrative valuing faculty downward

GrpsDwnExp refers to groups impacted by downward

GrpsPstvNegtvImpct refers to positive/negative impacted downward

TimeRespChnge refers to responsibilities impacted downward

ApprteTimeLine refers to timeline planning downward

SourceWithinCmpsCom refers to campus community influence downward

SourceOutCmpsCom refers to off campus influence downward

LikeliDownExpanDiscsGrps refers to discuss opinions downward

ShardGovInf refers to shared governance downward

Internal and External Influences on Faculty Perceptions of Downward Expansion

This first section of results addresses the research question, "What internal and external influences affect the way in which faculty construct meaning about the change process?" The first subsection represents the quantitative data results analyzed from the survey, *Faculty Attitudes about Institutional* Change. A total of seven sets of survey questions are aligned with the theme of internal and external influences: influence of groups on opinion of past campus-wide change, value of faculty in planning past campus-wide change, value of faculty in planning downward expansion, influence of internal sources on faculty opinions on downward expansion, influence of external sources on faculty opinions on downward expansion, degree in which respondents would discuss opinion on downward expansion with various groups, and the extent to which shared governance has influenced faculty opinions on downward expansion.

This quantitative subsection first presents the frequencies and percentages of survey responses to each question in the specific set of items, followed by one-way ANOVA and independent t-test results which compare the results of these questions to four faculty demographic variables (i.e. gender, school affiliation, length of services, faculty rank) and one characteristic data factor (i.e. involvement with university committees). The quantitative subsection concludes with a second type of data analysis that was conducted using the four survey questions most related to this study's framework as independent variables in ANOVA analyses with the responses to the survey questions aligned with this section's research question.

The second subsection of this set of results presents the results of the qualitative data analysis. Focus group and interview data were analyzed and coded together,

creating a set of sub-themes that align the participants' responses with this study's

research question, "What internal and external influences affect the way in which faculty

construct meaning about the change process?"

Quantitative data results for internal and external influences.

Frequency and percentages of survey responses

The results in this subsection are presented in the following order. First, to

understand how faculty stances on downward expansion are affected by faculty

perspectives on previous institutional change initiatives, two sets of questions obtained

faculty participants' perceptions on the influences of various groups on forming their

opinions of respective changes and two sets of questions measured the feeling of value

faculty have experienced during past change initiative and downward expansion.

Second, to understand how faculty stances on downward expansion were affected by

various influences, three sets of questions measured the degrees of influence various

internal and external factors had on forming faculty perspectives of downward expansion.

Influence of groups

Faculty stances on downward expansion may have been affected by the extent of

their interactions with various groups during previous campus-wide changes. To that

end, the first question of this set asked, "Rate the degree of influence each of the

following groups has had on your opinion of past campus-wide change at Lake

University." The Cronbach's alpha for this scale of six items was 0.74. The mean for

items in this scale was 15.60 (SD=4.66). As indicated in Table 14, respondents found

that other faculty as somewhat influential or very influential received the highest

percentage of responses, 32.5% and 30.5%, respectively. The "senior leadership" group

received the most evenly distributed answers across the five choices, 21.3%, 20.0%,

22.5%, 20.0%, and 16.3%. Table 14 also indicates that faculty were mostly not

influenced at all by members of the local community, 51.2%. The data in Table 14 also

illustrate that faculty opinions on past campus-wide change were either not at all (26.3%)

or slightly (28.7%) influenced by students.

Table 14

Degree of Influence the Following Groups have had on Faculty Opinion toward Past Campus-wide Changes

	Degrees of Influence[a]				
Groups	Not at all influential N %	Slightly influential N %	Somewhat influential N %	Very influential N %	Extremely influential N %
Other faculty	11 (13.8)	14 (17.5)	26 (32.5)	24 (30.0)	5 (6.3)
Department or school leadership	10 (12.5)	14 (17.5)	25 (31.3)	28 (35.0)	3 (3.8)
Senior leadership	17 (21.3)	16 (20.0)	18 (22.5)	16 (20.0)	13 (16.3)
Students on campus	21 (26.3)	23 (28.7)	18 (22.5)	14 (17.5)	4 (5.0)
Members of the local community	41 (51.2)	11 (13.8)	18 (22.5)	8 (10.0)	2 (2.5)
Professional staff	26 (32.5)	17 (21.3)	27 (33.8)	9 (11.3)	1 (1.3)

Note: N=80

[a]Responses coded on a five-point scale from "not at all influential" = 1 to "extremely influential" = 5.

Similar to the previous question, the next question in this set continues to examine the influence of various groups in forming faculty perspective by asking respondents about their likelihood to discuss downward expansion with various groups at Lake University. Displaying the frequency and percentages for the survey question, "Rate the degree in which you would likely discuss your opinions about Lake University's plans for downward expansion with the following groups," Table 15 indicates that faculty were open to discussing downward expansion with various campus constituents. This scale of five responses had a Cronbach's alpha of 0.86 and a mean of 26.18 (SD =5.32).

The data in Table 15 illustrate a likelihood that faculty are most comfortable discussing downward expansion with students, staff, and other faculty. Not surprisingly, respondents would likely (36.3%) or definitely (50.0%) discuss their views on downward expansion with faculty from their own departments. The likelihood declines slightly in discussing downward expansion with faculty from other departments, 27.5% (likely) and 33.8% (definitely). Data in Table 15 also indicate that more respondents would definitely not (15.0%) or unlikely discuss (21.3%) their views on downward expansion with senior administration than any other group. While responses do not indicate a group that reflects a somewhat even distribution of responses across the degrees of likelihhod, the distribution of responses for senior administration is interesting to note as they illustrate relatively close frequencies and percentages in the degrees of unlikely (21.3%), neutral (20.0%), and likely (20.0%).

Table 15

Likelihood that Faculty Would Discuss their Views on Downward Expansion with Specific Groups

_____

	Degrees of Likelihood[a]								
Groups	Definitely not		Unlikely		Neutral		Likely		Definitely	
	N	%	N	%	N	%	N	%	N	%
Faculty in your department	2	(2.5)	4	(5.0)	5	(6.3)	29	(36.3)	40	(50.0)
Faculty from other departments	4	(5.0)	9	(11.3)	18	(22.5)	22	(27.5)	27	(33.8)
Senior administration	12	(15.0)	17	(21.3)	16	(20.0)	16	(20.0)	19	(23.8)
Students	6	(7.5)	11	(13.8)	15	(18.8)	31	(38.8)	17	(21.3)
Non-faculty staff	8	(10.0)	8	(10.0)	16	(20.0)	32	(40.0)	16	(20.0)

Note: N = 80

[a]Responses coded on a five-point scale from "definitely not" = 1 to "definitely" = 5.

Pearson product-moment results indicated that these two questions in this set shared statistical significance and their correlation was positive, $r(78) = 0.31$, $p < 0.01$. Both of these questions had statistically significant, positive, correlations with the other questions in this subsection (value of faculty in planning past campus-wide change, value of faculty in planning downward expansion, influence of internal sources on faculty opinions on downward expansion, influence of external sources on faculty opinions on downward expansion, and the extent to which shared governance has influenced faculty opinions on downward expansion).

The first question in this set (Rate the degree of influence each of the following groups has had on your opinion of past campus-wide change at Lake University) shares a statistically significant correlation with the question regarding the effects of internal influences in forming faculty downward expansions perspectives r(78) = 0.65, *p* < 0.01 as well as the with the question in this subsection regarding the effects of external influences in forming faculty perspectives toward downward expansion, r(78) = 0.46, *p* < 0.01. Similarly, the second question in this set (Rate the degree in which you would likely discuss your opinions about Lake University's plans for downward expansion with the following groups) has a statistically significant correlation the question in this subsection regarding internal influences, r(78) = 0.41, *p* < 0.01 and external influences, r(78) = 0.32, *p* < 0.01. Additionally, the first question in this set has a statistically significant correlation with question in this subsection regarding the influence of shared governance committees in forming faculty perspective on downward expansion, r(78) = 0.32, *p* < 0.01.

Feeling of value

Faculty stances about downward expansion may be affected by the extent to which they felt valued by senior leadership during planning past campus-wide change initiatives as well as during planning for downward expansion at Lake University. The first question in this set focuses on faculty feeling valued during past campus-wide change initiatives, "Rate the following aspects of planning past campus wide changes at Lake University as to the degree to which campus leadership valued the participation of faculty." The Cronbach's alpha for this second scale was 0.93. The scale mean for these seven items was 16.76 (SD=6.69).

Table 16 illustrates a tendency of respondents to not feel moderately or highly valued in any of the seven aspects present in this questions. Respondents far more frequently chose not valued, slightly valued, or somewhat valued. Faculty felt not valued in decisions regarding budget needs (37.5%), determining impact on staff (35.0%), as well as the decisions to initiate change (30.0%) and determining the impact on faculty (30.0%). The data in Table 16 also depicts faculty feeling the most valued, moderately or highly, in making decisions about the curriculum, 20.0% and 11.3% respectively.

In contrast to faculty perspectives during past campus –wide change initiatives, the next question asked faculty about feeling valued during current downward expansion planning, "Rate the following aspects of planning downward expansion at Lake University as to the degree to which campus leadership valued the participation of faculty." The Cronbach Alpha for this scale of seven items was 0.95. The mean for the items in this scale was 16.28 (SD = 7.23). Table 17 reflects a trend in responses similar to those illustrated in Table 16. The majority of the faculty respondents do not feel moderately or highly valued by campus leadership in planning downward expansion. Table 15 illustrates that the largest percentages of faculty respondents feel not valued in determining budget needs (38.8%), deciding to downward expand (36.3%) as well as determining facility needs (33.8%) and the impact on faculty (33.8%). Similar to the response frequencies in Table 16, the data in Table 17 illustrate that faculty feel most valued in determining changes to the curriculum, 15.0% feeling moderately valued and 11.3% feeling highly valued. The data in Table 17 also depicts that faculty perceptions about their value in the downward expansion planning process was most distributed across the five answer choices in determining impact on students. It is possible that

faculty feeling valued may be influenced by demographic variables (i.e., faculty rank,

school affiliation) or alignment of perspectives in one of the four framework categories

(resistant, passive resistant, passive supportive, supportive).

Table 16

Degree of Value Campus Leadership has for Faculty Participation in Planning Specific Aspects of Past Campus-wide Changes

Aspects	Degrees of Value[a]									
	Not valued		Slightly valued		Somewhat valued		Moderately valued		Highly valued	
	N	%	N	%	N	%	N	%	N	%
Deciding to initiate change	24	(30.0)	19	(23.8)	22	(27.5)	13	(16.3)	2	(2.5)
Deciding changes to the curriculum	12	(15.0)	14	(17.5)	29	(36.3)	16	(20.0)	9	(11.3)
Determining budget needs	30	(37.5)	21	(26.3)	21	(26.3)	5	(6.3)	3	(3.8)
Determining facility needs	25	(31.3)	21	(26.3)	24	(30.0)	8	(10.0)	2	(2.5)
Determining impact on faculty	24	(30.0)	25	(31.3)	20	(25.0)	9	(11.3)	2	(2.5)
Determining impact on staff	28	(35.0)	19	(23.8)	26	(32.5)	3	(3.8)	4	(5.0)
Determining impact on students	20	(25.0)	18	(22.5)	23	(28.7)	12	(15.0)	7	(8.8)

Note: N = 80

[a]Responses coded on a five-point scale from "not valued" = 1 to "highly valued" = 5.

Table 17

Degree of Value Campus Leadership has for Faculty Participation in Planning Specific Aspects of Downward Expansion

Aspects	Not valued		Slightly valued		Somewhat valued		Moderately valued		Highly valued	
	N	%	N	%	N	%	N	%	N	%
Deciding to downward expand	29	(36.3)	20	(25.0)	18	(22.5)	11	(13.8)	2	(2.5)
Deciding changes to the curriculum	14	(17.5)	28	(35.0)	17	(21.3)	12	(15.0)	9	(11.3)
Determining budget needs	31	(38.8)	23	(28.7)	17	(21.3)	7	(8.8)	2	(2.5)
Determining facility needs	27	(33.8)	23	(28.7)	16	(20.0)	9	(11.3)	5	(6.3)
Determining impact on faculty	27	(33.8)	23	(28.7)	20	(25.0)	8	(10.0)	2	(2.5)
Determining impact on staff	26	(32.5)	22	(27.5)	19	(23.8)	10	(12.5)	3	(3.8)
Determining impact on students	23	(28.7)	15	(18.8)	23	(28.7)	11	(13.8)	8	(10.0)

Column header: Degrees of Value[a]

Note: N = 80

[a]Responses coded on a five-point scale from "not valued" = 1 to "highly valued" = 5.

The correlation between faculty feeling valued during past campus-wide changes and their feeling of value during downward expansion is very strong $r(78) = 0.84$, $p < 0.01$. This correlation represents the largest of the 55 correlations reported in this study.

There were no other statistically significant correlations between either of these two questions and the other questions in this subsection concerning influence of groups or internal and external influences.

Internal and external influences

Faculty stances about downward expansion may be affected by the extent to which their opinions were influenced by various factors internal to Lake University. To that end, the first question in this set asks, "How much have the following sources within the campus community influenced your opinions about Lake University's plans for downward expansion?" The Cronbach alpha for this scale of five items is 0.66 with a mean of 12.80 (SD = 4.12). The data in Table 18 indicate that that other faculty (25.0%) and actions taken toward downward expansion (22.5%) were very influential sources in forming faculty opinion on downward expansion. Few respondents indicated that any of the sources were "extremely influential" with actions taken on downward expansion as the source receiving the highest response, 10.0%. A large number of respondents were not at all influenced by students on campus (46.3%) or by communication with the campus community about downward expansion (27.5%). Table 18 also illustrates that several sources reflect trends of relatively even distribution of answers across the five degrees of influence. The sources of other faculty, senior administration, actions taken toward downward expansion, and communication with campus community all reflect relatively even answer distribution across at least four of the five degrees of influence. It may be that the degrees of influence on survey participants may be influenced by demographic (i.e., faculty rank, school affiliation) or alignment of perspectives in one of

the four framework categories (resistant, passive resistant, passive supportive,

supportive). .

Table 18

Degree of Influence Sources within the Campus Community have had on Faculty Opinion on Downward Expansion

	Degrees of Influence[a]				
Sources	Not at all influential N %	Slightly influential N %	Somewhat influential N %	Very influential N %	Extremely influential N %
Other faculty	19 (23.8)	14 (17.5)	20 (25.0)	20 (25.0)	7 (8.8)
Students on campus	37 (46.3)	16 (20.0)	11 (13.8)	12 (15.0)	4 (5.0)
Senior administration	20 (25.0)	16 (20.0)	22 (27.5)	16 (20.0)	6 (7.5)
Actions taken on downward expansion during the early planning process	16 (20.0)	15 (18.8)	23 (28.7)	18 (22.5)	8 (10.0)
Communications with the campus community about downward expansion	22 (27.5)	22 (27.5)	22 (27.5)	9 (11.3)	5 (6.3)

Note: N = 80

[a]Responses coded on a five-point scale from "not at all influential" = 1 to "extremely influential" = 5.

In order to determine if faculty stances are affected by sources external to Lake

University, the next question in this set asks, "How much have the following sources

outside the campus community influenced your opinions about Lake University's plans for downward expansion?" The six items in this question had a Cronbach's alpha of 0.83 and a mean of 12.13 (SD = 4.96). The frequencies and percentages shown in Table 19 reflect a similar trend in responses to that which is shown in Table 18. Given the pattern of responses illustrated in Table 19, the tendencies of responses for this question to reflect low responses for very influential and extremely influential degrees of influence is not surprising. The data for this question is the only occurrence in the survey data where there are no responses (no responses of extremely influential were given for the source of "information conveyed via local media outlets"). Survey responses were most frequent in finding many of the sources not at all influential: family and friends (67.5%), information conveyed via local media (66.3%), and members of the local community (52.5%). The data in Table 19 indicate that faculty respondents found trends in higher education to be somewhat influential (28.7%) or very influential (21.3%) in forming their opinion of downward expansion. Similarly, the source of "trends in K-12 education" received moderately strong responses that it was somewhat influential (18.8%) or very influential (12.5%).

The final question in this set was asked to determine if an influence as specific as shared governance has an effect on faculty stance toward downward expansion, "Rate the extent to which each of the following shared governance committees has influenced your opinions about downward expansion at Lake University." The Cronbach's alpha for this question was 0.90, and the mean of the six items was 9.35 (SD = 4.84).

Table 19

Degrees of Influence Sources outside the Campus Community have had on Faculty Opinion on Downward Expansion

Degrees of Influence[a]

Sources	Not at all influential		Slightly influential		Somewhat influential		Very influential		Extremely influential	
	N	%	N	%	N	%	N	%	N	%
Family and friends	54	(67.5)	13	(16.3)	10	(12.5)	2	(2.5)	1	(1.3)
Members of the local community	42	(52.5)	15	(18.8)	13	(16.3)	7	(8.8)	3	(3.8)
Information conveyed via local media outlets (e.g., newspapers, television, internet)	53	(66.3)	14	(17.5)	12	(15.0)	1	(1.3)	0	(0.0)
Trends in the local economy	32	(40.0)	16	(20.0)	18	(22.5)	11	(13.8)	3	(3.8)
Trends in K-12 education	32	(40.0)	18	(22.5)	15	(18.8)	10	(12.5)	5	(6.3)
Trends in higher education	21	(26.3)	12	(15.0)	23	(28.7)	17	(21.3)	7	(8.8)

Note: N = 80

[a]Responses coded on a five-point scale from "not at all influential" = 1 to "extremely influential" = 5.

In measuring the degrees of influence the five shared governance committee have had on faculty opinions about downward expansion, the frequencies and percentages in

Table 20 illustrates that these committees have been not at all influential for many of the respondents. The University Life Committee (61.3%) and University Council (60.0%) received the highest number of responses in the category "not at all influential" in forming faculty opinions about downward expansion. Given some of the responses respondents have made in other questions about the importance of budget planning, the committee that oversees that aspect, Planning and Budgeting Committee, received the highest rates of response in the somewhat influential (13.8%), very influential (13.8%), and extremely influential (7.5%) degrees of influence. Similarly, Table 20 indicates that the Facilities Support Services Committee also reflects some of the highest response frequencies in the categories of somewhat influential (12.5%), very influential (10.0%), and extremely influential (6.3%).

All three of the questions in this set have statistically significant correlations between them. The question in this set on the influence internal sources is positively correlated with the questions regarding external sources, $r(78) = 0.53$, $p < 0.01$, as well as the influence of shared governance committees, $r(78) = 0.46$, $p < 0.01$. There is a statistically significant correlation between the questions regarding the influence of external sources and the question regarding the influence of shared governance committees, $r(78) = 0.30$, $p < 0.01$.

Table 20

Influence of Shared Governance on Faculty Opinions about Downward Expansion

Committees	Not at all influential N %	Slightly influential N %	Somewhat influential N %	Very influential N %	Extremely influential N %
	Degrees of Influence[a]				
Planning and Budgeting Committee	32 (40.0)	20 (25.0)	11 (13.8)	11 (13.8)	6 (7.5)
University Council	48 (60.0)	19 (23.8)	5 (6.3)	6 (7.5)	2 (2.5)
University Life Committee	49 (61.3)	21 (26.3)	4 (5.0)	5 (6.3)	1 (1.3)
Academic Council	45 (56.3)	18 (22.5)	7 (8.8)	8 (10.0)	2 (2.5)
Facilities Support Services Committee	39 (48.8)	18 (22.5)	10 (12.5)	8 (10.0)	5 (6.3)

Note: N = 80

[a]Responses coded on a five-point scale from "not at all influential" = 1 to "extremely influential" = 5.

Summary

Results presented in Table 19 and Table 20 indicate that overall, sources external to Lake University and shared governance committees have had relatively little influence on faculty perspective toward downward expansion and have, therefore, little influence in determining the stance of the faculty on downward expansion. In contrast, the data in Tables 14, 15, and 18 suggest that faculty perspective and stance on downward expansion have been influenced by various factors within the Lake University community during

both past campus-wide change and downward expansion change initiatives. Also suggesting an influence on faculty perspective of downward expansion, the data in Tables 16 and 17 indicated a consistency in faculty feeling undervalued by Lake University leadership in planning various aspects of past campus-wide changes as well as aspects of downward expansion.

Differences among subgroups of respondents in response to scales.

For this section, the quantitative data for the seven sets of survey questions were analyzed using a series of one-way analysis of variances (ANOVA) with various demographic variables and one faculty characteristic (i.e., participation in campus committees) as independent variables. In order to better understand faculty perceptions of downward expansion, it was necessary to determine if responses to survey questions related to the influence of internal and external sources in faculty constructing meaning about the downward expansion change process was affected by their membership in various demographic(e.g. gender) and faculty characteristic subgroups. A series of five sets of ANOVAs was conducted to compare participant's responses to questions about the effects of various groups on their opinion of past campus-wide changes, the degree in which faculty felt valued by campus leadership during planning for past campus-wide changes, the degree in which faculty felt valued by campus leadership during downward expansion planning, the degree of influence various sources internal and external to the Lake University community have had on faculty perspective of downward expansion, the degree to which faculty would likely discuss their opinion of downward expansion with various groups, and the extent to which shared governance committees have influenced faculty perspectives of downward expansion.

In conducting this series of one-way ANOVA tests, many of the demographic categories did not result in any statistically significant differences. According to the ANOVA results contained in Appendix J, which compare comparing school affiliation and responses in the scales, there were no statistically significant differences. There also were no statistically significance differences in the ANOVA results used to determine if there were differences between respondents' length of service and any of the questions in this subsection; see Appendix K for the complete ANOVA table. Finally, in determining if there were statistically significant differences between gender and data from the survey questions in this section, independent t- test results determined there were no significant results; see Appendix L for the complete independent t-test sample results.

However, ANOVA results for one respondent demographic and one faculty characteristic did result in statistically significant differences. To determine if there were differences among faculty rank categories and responses to survey scales on the influence of various groups on faculty opinion of past campus-wide changes, the degree in which faculty felt valued by campus leadership during planning for past campus-wide changes, the degree in which faculty felt valued by campus leadership during downward expansion planning, the degree of influence various sources internal and external to the Lake University community have had on faculty perspective of downward expansion, the degree to which faculty would likely discuss their opinion of downward expansion with various groups, and the extent to which shared governance committees have influence faculty perspectives of downward expansion, a series of one-way ANOVA tests was conducted.

The results of these comparisons indicated that there was a statistically significant difference for faculty rank on responses to the survey question concerning the value of faculty in planning various aspects of downward expansion, with the significance level of $p < 0.05$, F (3,76) = 4.456, $p = 0.006$; see Appendix I for complete ANOVA table. These results indicate that faculty rank affected the degree of value felt during the planning of various aspects of downward expansion (such as deciding to downward expand, deciding on changes to the curriculum, and determining budget needs). In conducting a Tukey post-hoc comparison, there is a significant difference between tenured (M=13.20) and non-tenure track (full time) faculty (M = 19.15), $p = 0.042$, and tenured (M = 13.20) and non-tenure track (part-time) faculty (M = 19.54), $p = 0.027$. This suggests that as faculty rank decreased from tenured to non-tenured, the value faculty felt in planning various aspects of downward expansion also decreased.

One-way ANOVA tests were also used to determine if different levels of faculty involvement in campus committees related to their response choices. Assuming a significance standard of $p < 0.05$, the ANOVA analysis results in Appendix M indicate that there are two instances of statistically significant differences between the level of faculty involvement in shared governance and their responses to the survey. The ANOVA results for the question concerning the degree of influence various sources within the campus community have had on faculty opinions of downward expansion, indicates a statistically significant difference on how faculty answered the question and their involvement in campus committees, F (4, 75) = 3.737, $p = 0.008$. This statistically significant comparison indicates that the faculty respondent involvement in campus committees affected the degree of influence various sources within the Lake University

campus community (such as other faculty, students on campus, and senior administration) had on their opinion of downward expansion. A Tukey post-hoc test identified a significant difference between faculty with no involvement in campus committees (M = 10.70) and those who were involved in more than seven committees (M=16.83), p = 0.008. These post-hoc test results suggest that the more respondent committee involvement, the more various sources influenced their opinions about downward expansion. As was noted previously, this set of items had a Cronbach alpha of 0.66, slightly below the acceptable standard of 0.7. While the ANOVA results indicated a statistically significant effect, p = 0.008, the low reliability of this question's internal consistency warrants cautious interpretation.

A second instance of a statistically significant effect of how faculty involvement in campus committees is indicated in the ANOVA results in Appendix M for the question which asked respondents to rate the extent to which various shared governance committees influenced their opinions about downward expansion, F (4,75) = 4.667, p = 0.002. This statistically significant result indicates that respondent involvement in campus committees affected the degree of influence as various shared governance committees (such as Planning and Budgeting Committee, University Council, and University Life Committee) have had on their opinion of downward expansion. The results of a Tukey post-hoc test concluded that there is a significant difference between faculty who had no involvement (M = 7.00) and those who had served on more than seven committee (M = 15.50), p = 0.001, as well as between respondents who served on 3-4 committees (M = 9.11) and those who served on seven or more committees (M = 15.50), p = 0.024. These results indicate that the more faculty respondents were involved

with various committees, the more they were influenced by various shared governance committees in forming their opinion of downward expansion.

Summary

The results of the ANOVA comparisons for this analysis of data comparisons among subgroups of participants indicated only a few effects of the four demographic and one characteristic and how participants responded to the survey questions identified in this section. The table in Appendix I indicated only one statistically significant effect of faculty rank and two statistically significant effects of committee involvement on how respondents answered the seven questions in this subsection. The demographic or characteristic with the most significant effect was the faculty involvement in campus committees, illustrated in the ANOVA table found in Appendix M with two statistically significant effects: the influence of sources within the campus community on faculty opinions of downward expansion opinion ($p = 0.008$), and the influence of various shared governance committees on forming opinions of downward expansion ($p = 0.002$). Overall, these results suggest that demographics and one faculty characteristic were not statistically significant in determining participant responses to the survey questions in this set of data.

Differences in responses to scales as functions of commitment and attitude.

The first figure in the chapter, Figure 10, indicated the percentages of faculty in each of the four faculty stances in the downward expansion planning process: active resistance, passive resistance, passive support, and active support. Four single-item questions were used as proxy measures for understanding the meaning of those four perspectives. Two of the four questions asked faculty to indicate their level of

institutional commitment; one question focused on commitment during past campus-wide change, and a second focused on commitment during the downward expansion planning process. The other two questions asked faculty to indicate their level of support or resistance; one question focused on support or resistance during past campus-wide change, and the second focused on support or resistance for downward expansion.

In each of the four subsections below, the data for the four survey questions most directly related to these stances were used as independent variables for calculating ANOVA comparisons. Survey questions asked respondents to characterize their commitment and attitude, respectively, to Lake University during past campus-wide change. Similarly, survey questions asked respondents to evaluate the impact of the downward expansion planning process on their commitment to Lake University to characterize their attitudes of support or resistance toward Lake University's current downward expansion initiative. The statistically significant comparisons indicated in each of the four sub-sections below will also include post-hoc Tukey test results to specify the nature of the differences.

Table 21 below presents the descriptive statistics and correlations between each of the four items used in this analysis.

Table 21

Descriptive Statistics and Correlations for Four Questions on Institutional Commitment and Support for Change

Question[a]	CPC	CCD	SPC	SD	M	SD
Commitment past change	_____				2.90	0.989
Commitment change downward	0.341	_____			2.20	0.848
Stance past change	0.595	0.413	_____		2.88	1.011
Stance Downward	0.350	0.635	0.471	_____	2.90	1.143

Note: All correlations are significant at the 0.01 level

[a]Question Abbreviations:

CPC refers to Commitment past change

CCD refers to Commitment change downward

SPC refers to Stance past change

SD refers to Stance downward

> *How institutional commitment during past campus-wide changes affects current faculty perspectives on downward expansion.*

The rationale for including questions about past campus-wide changes was that faculty perspectives on downward expansion would be understood more fully in the context of how past campus-wide initiatives affected their perspectives on downward expansion. A series of one-way ANOVAs was calculated to determine if institutional commitment during past campus-wide change affected participant perspectives of internal and external influences in forming faculty perceptions of past campus-wide and/or downward expansion change processes. As illustrated in Table 22, the ANOVA tests resulted in five statistically significant differences. In those instances where

ANOVA results indicated statistical significance, Tukey post-hoc tests were conducted to better understand differences in scale scores as a function of institutional commitment during past campus-wide change initiatives.

The scale which measured the degree of influence various groups had on their opinion of past campus-wide change at Lake University indicates that there was a statistically significant effect between respondent's institutional commitment during past campus-wide change initiatives and how they answered the set of items in this scale, $F(3,76) = 10.944$, $p < 0.001$. These results indicate that respondents' institutional commitment during past campus-wide change initiatives at Lake University affected the degree of influence various groups (such as other faculty, departmental or school leadership, senior leadership) had on their opinion of past campus-wide change initiatives. A Tukey post- hoc test identified significant differences between faculty with no or weak institutional commitment (M = 11.80) and those with moderate commitment (M = 17.44), $p = 0.001$, and strong commitment (M = 16.92), $p = 0.005$. The post-hoc results also revealed significant differences between respondents who indicated a neutral (M = 11.46) effect of their commitment during past campus-wide change initiatives and those with moderate (M = 17.44), $p < 0.001$, and strong (M = 16.92) commitments, $p = 0.001$. Post-hoc test results suggests that the higher the commitment of faculty to Lake University during past campus-wide change, the greater the influence various groups had on their opinion of past campus-wide changes.

Table 22

ANOVA Results of Respondent Institutional Commitment during past Campus-wide Change Initiatives Comparisons and Sample Scales

Questions	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	10.944	(3,76)	$p < 0.001$	0.30
Administrative valuing faculty past changes	80	16.76	6.69	11.125	(3,76)	$p < 0.001$	0.30
Administrative valuing faculty in downward	80	16.27	7.23	7.305	(3,76)	$p < 0.001$	0.22
Campus community influence downward	80	12.80	4.11	4.424	(3,76)	0.006	0.15
Off campus influence downward	80	12.12	4.95	4.785	(3,76)	0.004	0.16
Discuss opinions downward	80	18.18	4.81	1.788	(3,76)	0.157	0.07
Shared governance downward	80	9.35	4.84	1.350	(3,76)	0.265	0.05

Note: Statistically significant $p < 0.05$

Results in Table 20 also indicate a statistically significant difference between faculty institutional commitment during past campus-wide change and how survey participants answered the set of items which asked participants to rate the degree of value they felt from campus leadership in planning various aspects of past campus-wide

changes at Lake University, (F (3,76) = 11.125, $p < 0.001$. This statistically significant result indicates that faculty institutional commitment during past campus-wide change initiatives affected the degree of value faculty felt in planning various aspects of past campus-wide changes (such as deciding to initiate the change, deciding changes to the curriculum, and determining budget needs). The results of a Tukey post-hoc test indicated statistically significant differences between faculty who responded with no or weak institutional commitment (M = 8.90) and those with moderate (M= 16.69), $p = 0.002$, and strong (M = 20.88), $p < 0.001$, institutional commitments. Results of the post- hoc test also indicated that there was a significant difference between faculty who chose neutral (M= 15.08) and strong commitment (M = 20.88), $p = 0.020$. The final significant difference found from a Tukey post hoc on survey question number two, was between moderate (M= 16.6875) and strong (M = 20.8800), $p = 0.002$, institutional commitment. These results suggest that the more committed the faculty to Lake University during past campus-wide changes, the higher the degree of value they felt during the planning process for these past campus-wide changes.

The ANOVA results in Table 20 also indicate significant comparisons between various levels of institutional commitment and responses to questions relating to downward expansion. Data in Table 20 indicates that how survey respondents answered the question which asked respondents to rate the degree to which they felt valued by campus leadership in planning various aspects of downward expansion, was significantly affected by their sense of institutional commitment during past campus-wide changes, (F (3,76) = 7.305, $p < 0.001$. Similar to the statistically significant comparison between commitments to Lake University during past campus-wide change initiatives and faculty

feeling of value during past campus-wide change initiatives, these results indicate that faculty institutional commitment during past campus-wide change initiatives affected the degree of value faculty felt in planning downward expansion. The results of Tukey post-hoc tests found that there were statistically significant differences between respondents with no or weak institutional commitment (M = 9.10) and moderate (M =17.00), $p =$ 0.007, as well as strong (M = 19.68), $p < 0.001$, institutional commitments. Additional post- hoc test results indicate that there was also a statistically significant difference between neutral institutional commitment (M = 13.46) and strong institutional commitment (M= 19.68), $p = 0.032$. These results suggest that the more faculty were committed to Lake University during past campus-wide changes, the more they felt valued during downward expansion planning process.

The second survey question related to downward expansion that yielded statistically significant ANOVA differences compared respondent's levels of institutional commitment during past campus-wide change initiatives on their responses the question which asked respondents to rate the degree of influence various sources internal to the campus community had on faculty opinions about downward expansion F (3,76) = 4.424, $p = 0.01$. These statistically significant results indicate that faculty commitment to Lake University during past campus-wide change initiatives affected the degree of influence various sources internal to the Lake University community (such as other faculty, students on campus, and senior administration) had on forming their opinions about downward expansion. Results of Tukey post- hoc tests indicated that there were significant differences between respondents who felt neutral in responding to the question about institutional commitment (M = 9.54) and moderate (M = 13.31), $p = 0.021$, as well

as strong (M = 14.16), p = 0.004, institutional commitments. These results suggest that the stronger the faculty commitment to Lake University during past campus-wide changes, the more influenced they were by internal sources in forming their opinion about downward expansion.

The final downward expansion survey question that resulted in statistically significant differences was in comparing respondent institutional commitment during past campus-wide changes with respondent answers to the question which asked respondents to rate the degree of influence various members of the external campus community had on their opinions about downward expansion, F (3,76) = 4.785, $p =$ 0.006. These statistically significant results indicate that faculty respondent commitment to Lake University during past campus-wide changes affected the degree of influence various sources external to the institution's community (such as family and friends, members of the local community, trends in higher education) had on forming their opinions about downward expansion. A post-hoc Tukey analysis resulted in significant differences between neutral institutional commitment (M = 9.54) and those who felt moderate (M = 13.31), $p = 0.04$, as well as strong (M = 14.16), $p = 0.01$, institutional commitments. These post-hoc results suggest that as faculty commitment toward Lake University during past campus-wide change increased, the influence of sources external to the institution also increased.

How current institutional commitment affects perceptions of the downward expansion planning process.

Results in the preceding subsection suggested that institutional commitment during previous campus-wide change initiatives had some effects on perceptions of the

current change process. The results in this subsection examine whether current levels of

commitment to Lake University affect faculty perceptions on downward expansion. The

results in Table 23 contain a second set of ANOVA analyses, using faculty's commitment

to Lake University during the downward expansion planning process as an independent

variable. To that end, to determine if the respondent's commitment to Lake University

during the downward expansion planning process affected various internal and external

influences in forming faculty perceptions about past campus-wide change initiatives

and/or downward expansion, one way ANOVAs were conducted to indicate statistically

significant differences.

The results in Table 23 indicate that there were statistically significant differences

as a function of current institutional commitment for all relevant scales. This suggests

that institutional commitment during the downward expansion planning process, more so

than commitment during past campus-wide change initiatives, is a significant factor in

understanding faculty perspective of downward expansion.

As indicated in Table 23, the first statistically significant comparison of

respondent institutional commitment during downward expansion planning process was

with participant responses to the influence of various groups on respondent opinions of

past campus-wide change, $F(3,76) = 3.941$, $p = 0.01$. This statistically significant result

indicates that faculty respondents' commitment to Lake University during the downward

Table 23

ANOVA Results of Respondent Institutional Commitment during Downward Expansion Comparisons to Responses to Survey Scales

Questions	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	3.941	(3,76)	0.011	0.13
Administrative valuing faculty past changes	80	16.76	6.69	13.146	(3,76)	$p < 0.001$	0.34
Administrative valuing faculty in downward	80	16.27	7.23	22.198	(3,76)	$p < 0.001$	0.47
Campus community influence downward	80	12.80	4.11	6.102	(3,76)	$p < 0.001$	0.19
Off campus influence downward	80	12.12	4.95	5.482	(3,76)	0.002	0.18
Discuss opinions downward	80	18.18	4.81	3.371	(3,76)	0.023	0.12
Shared governance downward	80	9.35	4.84	5.260	(3,76)	0.002	0.17

Note: Statistically significant $p < 0.05$

expansion planning process affected their perceptions about the degree of influence

various groups (such as other faculty, departmental or school leadership, and senior

leadership) had on forming their opinions about past campus-wide changes. A Tukey

post-hoc test indicated that there were significant differences between those who felt no

effect on commitment (M = 14.39) and somewhat strengthened commitment (M = 18.20),

$p = 0.01$, as well as with those who felt a significantly strengthened commitment (M = 17.50), $p = 0.02$. These post-hoc results suggest that as institutional commitment during downward expansion planning process increased, so did the faculty perspectives of the influence various groups had in forming faculty opinions about past campus-wide change.

Another statistically significant ANOVA comparison was between respondent institutional commitment during the downward expansion planning process and how respondents felt that faculty were valued during past campus-wide change, F (3,76) = 13.146, $p < 0.001$. This statistically significant comparison indicates that faculty institutional commitment during the downward expansion planning process affected the degree of value faculty felt in planning various aspects of past campus-wide changes (such as deciding to initiate change, deciding changes to the curriculum, and determining budget needs). Results from a Tukey post- hoc test revealed that there was a significant difference between respondents who felt significantly/somewhat weakened commitment (M = 11.63) and those who felt somewhat strengthened commitment (M = 21.10), $p < 0.001$, as well as those with significantly strengthened commitment (M= 24.33), $p < 0.001$. Additional significant differences were indicated in Tukey post-hoc tests between those who felt the downward expansion planning process had no effect on their commitment (M = 15.45) and respondents whose commitment was somewhat strengthened by the planning process (M = 21.10), $p = 0.002$, as well as those whose institutional commitments were significantly strengthened (M= 24.33), $p = 0.003$. These Tukey post-hoc tests results suggest that as faculty commitment to Lake University

during the downward expansion planning process strengthened, so did their feeling of value in, retrospectively, planning various aspects of past campus-wide changes.

Results in Table 23 also indicate statistically significant ANOVA effects between respondents' sense of institutional commitment during the downward expansion planning process and their responses to all five sets of survey questions that pertain to downward expansion. The first significant effect of institutional commitment during the downward expansion planning process for this set of questions pertaining to downward expansion was in comparison to respondents' feeling of value in planning various aspects of downward expansion, F (3,76) = 22.198, $p < 0.001$. This statistically significant result indicates that faculty commitment to Lake University during the downward expansion planning process affected the degree of value they felt in planning various aspects of downward expansion (such as deciding to downward expand, deciding on changes to the curriculum, and determining budget needs) A series of Tukey post-hoc tests indicate significant differences between respondents who feel a significantly/somewhat weakened commitment (M = 9.81) and respondents who felt no effect on their institutional commitment (M = 14.55), $p = 0.021$, those who felt a somewhat strengthened commitment (M = 22.00), $p < 0.001$, and those whose commitment was significantly strengthened (M = 25.33), $p < 0.001$. Additional Tukey post-hoc results indicated that respondents whose institutional commitment was not affected by the downward expansion planning process (M = 14.55) were significantly different than those whose commitment was somewhat strengthened (M = 22.00), $p < 0.001$, and those who felt a significantly strengthened institutional commitment (M = 25.33), $p < 0.001$. These Tukey post-hoc test results suggests that as faculty respondent commitment to Lake University

was increased by the downward expansion planning process, their feelings of value in planning various aspects of the initiative also increased.

The second statistically significant effect in Table 23 of comparing respondent feelings of institutional commitment during the downward expansion planning process to survey questions in this section questions was for the question which asked respondents the degree of influence various sources internal to the campus community have had on their opinions about downward expansion, $F(3,76) = 6.102$, $p < 0.01$. These results indicate that faculty respondent institutional commitment to Lake University during the downward expansion planning process affected their perceptions of the degree of influence various sources internal to the campus community have had on their opinion of downward expansion. The results of the Tukey post-hoc test indicated that there was a significant difference in answering this question between respondents who felt the downward expansion planning process had no effect on their institutional commitment ($M = 11.00$) and those who had a somewhat strengthened commitment ($M = 14.60$), $p = 0.005$, and those whose institutional commitment was significantly strengthened ($M = 16.00$), $p = 0.018$. This suggests that that as faculty commitment to Lake University during the downward expansion planning process has strengthened, the influence of various internal campus sources on forming their perspectives on downward expansion also increased.

Table 23 also indicates that a statistically significant difference was found for the question which asked respondents to rate the influence of external sources on their opinion about downward expansion, $F(3,76) = 5.482$, $p = 0.002$. This statistically significant comparison indicates that faculty commitment to Lake University during

downward expansion planning has affected the degree of influence various sources

external to the institution have had on respondents' opinions of downward expansion. A

post-hoc Tukey test revealed that there was a significant between respondents who felt

the downward expansion planning process significantly/somewhat weakened their

institutional commitment (M = 10.69) and those who felt a somewhat strengthened

commitment (M = 15.00), p = 0.032. An additional significant difference was found

between those who felt no effect on their sense of institutional commitment (M = 10.68)

and those whose experience with the downward expansion planning process somewhat

strengthened their institutional commitment (M = 15.00), p = 0.006. The results of this

post-hoc Tukey tests suggests that as faculty respondents' commitment to Lake

University during downward expansion strengthened, the influence of sources external to

the institution in forming respondent's opinions of downward expansion also increased.

Tables 23 indicates that respondent commitment to Lake University during the

downward expansion planning process had a statistically significant effect on

respondents' likelihood to discuss downward expansion with various groups and the

extent to which shared governance has influenced their opinion about downward

expansion. For the two sets of survey question asking respondents if they would likely

discuss their opinions about downward expansion with various group, Table 23 indicates

a significant effect in comparison to respondents' feelings of institutional commitment as

it was effected by their experience during the downward expansion planning process, F

(3,76) = 3.371, p = 0.023. As was noted above, these results suggest that faculty

commitment to Lake University during the downward expansion planning process

affected the likelihood in which faculty would discuss their opinions about downward

expansion with various groups (such as faculty in their department, faculty from other departments, and senior administrators). The results of a post-hoc Tukey test indicate that there were significant differences between those who felt a significantly/somewhat weakened institutional commitment (M= 17.31) and those whose institutional commitment was significantly strengthened (M = 23.67), p = 0.026 as well as between those whose institutional commitment was not effected (M = 17.47) and those for whom it was significantly strengthened (M = 23.67), p = 0.016. These Tukey post-hoc tests results suggest that as faculty commitment to Lake University during the downward expansion planning process strengthened, the likelihood of faculty discussing their opinions of downward expansion with various groups increased.

The final ANOVA result in Table 23 indicates a statistically significant effect of institutional commitment on faculty perspectives concerning degrees of influence shared governance has had on respondents' opinions of downward expansion, F (3,76) = 5.260, p = 0.002. This statistically significant comparison indicates that faculty institutional commitment during the downward expansion planning process yielded differences in the degree of influence various shared governance committees (such as Planning and Budgeting Committee, University Council, and University Life Committee) have had on forming faculty opinions of downward expansion. A Tukey post-hoc test concludes that there were significant differences between respondents whose experience with the downward expansion planning process had no effect on their commitment to Lake University (M = 7.71) and those whose commitment was somewhat strengthened (M = 11.50), p = 0.016, as well as with those commitment was significantly strengthened (M = 13.83), p = 0.014. These post-hoc tests results suggest that as faculty commitment to

Lake University during the downward expansion planning process strengthened, the influence of various shared governance committees on their opinions of downward expansion increased.

Faculty attitude toward past campus-wide change initiatives.

To determine if the respondent's attitude toward past campus-wide change initiatives affected various internal and external influences in forming faculty perceptions about past-campus-wide change initiatives and /or downward expansion, one way ANOVAs were conducted to identify any statistically significant differences. The ANOVA results in Table 24 indicate five statistically significant comparisons, which are further explained by results of Tukey post-hoc tests.

The first statistically significant difference in Table 24 was the comparison of respondent attitude toward past campus-wide change initiatives and the influence of various groups on faculty opinion of past campus-wide change, $F_{(3,76)} = 5.655$, $p = 0.001$. This statistically significant comparison indicates that faculty attitude about past campus-wider change initiatives has affected the degree of influence in which various groups (such as other faculty, departmental or school leadership, and senior leadership) have had on faculty opinion of past campus-wide change initiatives. The results of post-hoc Tukey tests indicate that there was a statistically significant difference between resistant/somewhat resistant (M = 12.88) and respondents who were supportive of past campus-wide change (M = 17.89), $p = 0.024$. Another Tukey post-hoc revealed a statistically significant difference between respondents whose attitude was neutral toward past campus-wide change (M = 12.91) and those who were supportive (M = 17.89), $p =$

0.003. These post-hoc test results suggest that as faculty were more supportive of past

campus-wide change initiatives, the degree of influence various groups had on faculty

opinions of past campus-wide change initiatives increased.

Table 24

ANOVA Results of Respondent Attitude Toward Past Campus-wide Change Comparisons to Responses to Survey Scales

Scales	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	5.655	(3,76)	$p < 0.001$	0.18
Administrative valuing faculty past changes	80	16.76	6.69	11.889	(3,76)	$p < 0.001$	0.32
Administrative valuing faculty in downward	80	16.27	7.23	11.107	(3,76)	$p < 0.001$	0.30
Campus community influence downward	80	12.80	4.11	1.761	(3,76)	0.162	0.06
Off campus influence downward	80	12.12	4.95	3.680	(3,76)	0.016	0.14
Discuss opinions downward	80	18.18	4.81	0.279	(3,76)	0.841	0.01
Shared governance downward	80	9.35	4.84	5.621	(3,76)	0.002	0.18

Note: Statistically significant, $p < 0.05$

The second statistically significant ANOVA comparison of attitude toward past

campus-wide change was with the question which asked respondents to rate the degree to

which they believed campus leadership valued faculty in planning past campus-wide

changes, $F (3,76) = 11.889$, $p < 0.001$. This statistically significant result indicates that

faculty attitude toward past campus-wide change initiatives affected the degree of value

faculty felt in planning past campus-wide change initiatives (such as deciding to initiate

change, deciding changes to the curriculum, and determining budget needs). After

conducting a post-hoc Tukey test, statistically significant differences were found between

respondents who were resistant/somewhat resistant to past campus-wide change (M

=10.88) and those who were somewhat supportive (M $= 17.27$), $p = 0.036$, as well as with

those who were supportive (M $= 21.07$), $p < 0.001$. The Tukey post hoc test also

revealed another statistically significant difference between respondent who had a neutral

attitudes toward past campus-wide changes (M $= 12.91$) and those who were supportive

(M $= 21.07$), $p < 0.001$. These Tukey post-hoc test results suggest that as faculty became

more supportive of past campus-wide change initiatives, their feeling of value in planning

various aspects of the changes increased.

The results in Table 24 also indicate that there were three statistically significant

differences comparing respondent attitudes toward past campus-wide changes with

survey questions relating to downward expansion. The first significant difference with

responses to downward expansion-related survey questions is with the question which

asked respondents to rate the degree to which campus leadership values faculty

participation in various aspects of downward expansion planning, $F (3,76) = 11.107$, $p <$

0.001. These statistically significant results indicate that faculty attitudes toward past

campus-wide change initiatives affected the degree of value faculty felt in planning

various aspects of downward expansion (such as deciding to downward expansion,

deciding on changes to the curriculum, and determining budget needs). The results of a Tukey post-hoc test indicated that there was a statistically significant difference between respondents who were resistant or somewhat resistant to past campus wide changes (M = 10.88) and those who were supportive (M = 21.36), $p < 0.001$. Additional Tukey tests revealed another statistically significant difference between respondents who indicated a neutral attitude (M = 12.68) and those who were supportive (M = 21.36), $p < 0.001$, as well as between those who were somewhat supportive of past campus-wide change initiatives (M = 15.36) and those who were supportive (M = 21.36), $p = 0.005$. Results of these Tukey post-hoc tests suggest that as faculty attitude toward past campus-wide change initiatives were more supportive, the feelings of value faculty felt in planning various aspects of downward expansion increased.

The second statistically significant difference in comparison of respondent attitudes toward past campus-wide change initiatives and response to questions relating to downward expansion was with the question which asked respondents to rate the influence of various influences external to the campus community on their opinion of institutional plans to downward expand, $F (3,76) = 3.680$, $p = 0.016$. These results suggest that faculty attitude toward past campus-wide change initiatives showed differences in the degree of influence various sources external to the Lake University community (such as family and friends, members of the local community, and information conveyed via local media outlets) had on forming faculty opinions of downward expansion. A post-hoc Tukey test indicated a statistically significant differences between respondents whose attitude toward past campus-wide change initiatives was neutral (M = 10.91) and those who were supportive (M = 14.50), $p = 0.045$. This post-hoc test result suggests that as

faculty attitude toward past campus-wide change initiatives became more supportive, the influence of external sources to the Lake University community in forming faculty opinion of downward expansion increased.

Table 24 also indicates that comparing faculty attitude toward past campus-wide change initiatives with the question which asked respondents to rate the influence of Lake University's shared governance committees on their opinions about downward expansion, F (3,76) = 5.621, p = 0.002. This statistically significant result indicates that faculty respondent attitude toward past campus-wide change initiatives have affected the degree of influence various shared governance committees (such as Planning and Budgeting, University Council, and University Life Committee) have had on faculty opinions of downward expansion. Post-hoc Tukey test results reveal that there was a statistically significant difference between respondents who were neutral in their attitude toward past campus-wide change initiatives (M = 10.91) and those who were supportive (M = 14.50), p = 0.001. The Tukey post-hoc test also revealed a statistically significant difference between those who were somewhat supportive (M = 11.00) and those that were supportive (M = 14.50), p = 0.046. These post-hoc tests results suggest that the more supportive faculty attitude toward past campus-wide change initiatives, the higher the degree of influence various shared governance had on forming faculty opinions of downward expansion.

Faculty attitude toward downward expansion.

Similar to the analysis of faculty attitude toward previous changes, this analysis of faculty attitude toward downward expansion showed differences in various internal and external influenes to forming faculty perception about downward expansion. The

ANOVA results in Table 25 indicate statistically significant comparisons between respondents' attitudes toward downward expansion and responses to all seven scales. As the faculty attitude toward downward expansion is the most related to the framework of this study, Table 26 presents the scale means and standard deviations for the statistically significant findings.

Table 25

ANOVA Results of Respondent Attitude Toward Downward Expansion Comparisons to Responses to Survey Scales

Scale	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	4.863	(3,76)	0.004	0.16
Administrative valuing faculty past changes	80	16.76	6.69	9.062	(3,76)	$p < 0.001$	0.26
Administrative valuing faculty in downward	80	16.27	7.23	16.201	(3,76)	$p < 0.001$	0.39
Campus community influence downward	80	12.80	4.11	4.040	(3,76)	0.010	0.14
Off campus influence downward	80	12.12	4.95	4.283	(3,76)	0.008	0.14
Discuss opinions downward	80	18.18	4.81	5.268	(3,76)	0.002	0.17
Shared governance downward	80	9.35	4.84	2.818	(3,76)	0.045	0.10

Note: Statistically significant $p < 0.05$

The first two survey questions relate to past campus-wide change initiatives. Table 25 indicates that the first significant ANOVA comparison of respondent attitude toward downward expansion was with the question which asked participants to rate the degree of influence various groups had on their opinion of past campus-wide changes at Lake University, F (3,76) = 4.863, p = 0.004. This statistically significant result indicates that faculty attitude toward the downward expansion planning process showed differences in the retrospective perspective of the degree of influence various groups (such as other faculty, departmental or school leadership, and senior leadership) had on their opinion of past campus-wide changes. A post- hoc Tukey test indicated that there was significant difference between respondents whose attitude toward downward expansion was neutral (M = 13.07) and those who were supportive (M = 17.68), p = 0.007. These results suggest that the more supportive faculty were of downward expansion, they revealed that the more influential various groups were in forming their opinions of past campus-wide changes at Lake University.

The second significant ANOVA result in Table 25 indicates that there was statistically significant difference in faculty attitude toward downward expansion and responses to the question which asked respondents to rate the degree to which they as faculty were valued by campus leadership during past campus-wide changes, F (3,76) = 9.062, p < 0.001. This statistically significant result indicates that faculty attitude toward downward expansion yielded differences in the degree of value faculty felt in planning various aspects of past campus-wide changes (such as deciding to initiate change, deciding changes to the curriculum, and determining budget needs). A series of post-hoc

Tukey tests revealed that there were significant differences between respondents who were resistant/somewhat resistant to downward expansion (M = 12.50) and those who were supportive (M = 20.65), $p < 0.001$ as well as between those whose attitude toward downward expansion was neutral (M = 14.64) and those who were supportive (M = 20.65), $p = 0.010$. An additional significant difference in a post hoc Tukey test was for those who were somewhat supportive of downward expansion (M = 14.39) and those who were supportive (M = 20.65), $p = 0.003$. These post-hoc test results suggest that the more supportive faculty were of downward expansion, the more they felt valued in planning various aspects of past campus-wide changes.

The next series of significant ANOVA results compared faculty attitude toward downward expansion and survey questions that were directly related to respondent experiences during the downward expansion planning process. Table 25 indicates that the first of these significant comparisons is with the question which asked respondents to rate the degree to which they believed faculty were valued by campus leadership in planning various aspects of downward expansion, $F (3,76) = 16.201$, $p < 0.001$. This statistically significant result suggests that faculty attitude about downward expansion showed differences in the degree of value faculty felt in planning various aspects of downward expansion (such as deciding to downward expansion, deciding on changes to the curriculum, and determining budget needs). The results of a series of post-hoc Tukey tests indicated that there were significant differences between respondents who were resistant/somewhat resistant to downward expansion (M = 10.86) and those who were supportive (M = 21.24), $p < 0.001$, as well as between those who were neutral in their attitude toward downward expansion (M = 11.43) and those who were supportive (M =

21.24), $p < 0.001$. The results of an additional Tukey test indicate that there was also a

significant difference between those who were somewhat supportive of downward

expansion (M = 14.89) and those who were supportive (M = 21.24), $p = 0.002$. These

Tukey post-hoc results suggest that as faculty support for downward expansion increased,

the degree of value faculty felt in planning various aspects of downward expansion also

increased.

The second statistically significant ANOVA result in comparing faculty attitude

toward downward expansion and downward expansion-related survey questions was with

the question which asked respondents to rate the degree of influence various sources

within the Lake University had on their opinion of downward expansion, $F (3,76) =$

4.040, $p = 0.010$. These results indicate that faculty attitude toward downward expansion

indicated differences in the degree of influences various sources within the Lake

University community (such as other faculty, students on campus, and senior

administration) had on forming their opinion of downward expansion. Tukey post-hoc

tests revealed that there is a statistically significant difference between respondent

attitudes that were neutral (M = 10.14) and those that were supportive of downward

expansion (M =14.18), $p = 0.009$. These post-hoc tests results suggest that the more

faculty attitude is supportive toward downward expansion, the more influential various

sources within the Lake University community were in forming faculty opinion of

downward expansion.

Table 25 indicates the third statistically significant ANOVA comparison to survey

questions related to downward expansion was with the question which asked respondents

to rate the degree of influence various sources external to Lake University had on their

opinions about downward expansion, F $(3,76) = 4.283$, $p = 0.008$. This statistically

significant results indicates that faculty attitude toward downward expansion showed

differences in the degree of influence various sources external to Lake University (such

as family and friends, members of the local community, and information conveyed via

local media outlets) had on forming their opinions of downward expansion. Similar to

the post- hoc Tukey results for the previous significant ANOVA comparison, the Tukey

test indicated a significant difference between respondents whose attitudes toward

downward expansion were neutral (M = 9.07) and those who were supportive (M =

14.09), $p = 0.006$. These post-hoc results suggest that the more faculty supported

downward expansion, the more influential various external sources to the Lake

University community were in forming their opinions of downward expansion.

Table 25 indicates that the question which asked respondents to rate the likelihood

of discussing their opinions about downward expansion with various groups, has a

statistically significant ANOVA comparison to faculty attitude about downward

expansion (question 16), F $(3,76) = 5.268$, $p = 0.002$. This statistically significant result

indicates that faculty attitude about downward expansion yielded differences in the

likelihood they had of discussing the change initiative with various groups (such as

faculty in their department, faculty from other departments, and senior administration).

Like the previous two questions, the Tukey post-hoc test indicates a statistically

significant difference between respondents whose attitude toward downward expansion

were neutral (M = 14.21) and those who were supportive (M = 19.85), $p = 0.001$. These

results continue the suggestion that the more supportive faculty were of downward

expansion, the higher the likelihood they would discuss their opinions of the initiative

with various groups.

Table 26

*ANOVA Results Comparing Faculty Support/Resistance of Downward Expansion and Faculty Responses for Questions in First Section of Data Analysis*_____

	Faculty Support/ Resistance Groups						
	Resistant/ somewhat resistant		Somewhat supportive		Supportive		F-value	*p-*value	*Eta-squared*
Item/scale	M	SD	M	SD	M	SD			
Group influence past changes	14.21	4.85	14.72	3.63	17.68	4.47	4.863	0.004	0.16
Administrative valuing faculty past changes	12.50	4.35	14.39	5.40	20.65	6.60	9.062	*p <* 0.001	0.26
Administrative valuing faculty in downward	10.86	2.82	14.89	5.88	21.24	6.90	16.20	*p <* 0.001	0.39
Campus community influence downward	13.36	3.86	11.83	2.98	14.18	4.33	4.040	0.010	0.14
Off campus influence downward	11.14	3.96	11.56	3.40	14.09	5.62	4.283	0.008	0.14
Discuss opinions downward	18.21	3.42	18.11	3.68	19.85	4.22	5.268	0.002	0.17
Shared governance downward	7.29	2.52	9.00	4.27	11.00	5.78	2.818	0.045	0.10

Note: Statistically significant $p < 0.05$

The final statistically significant ANOVA comparison in this section is with the question which asked participants to rate the extent to which various shared governance committees have influenced respondent opinions about downward expansion, $F(3,76) = 2.818$, $p = 0.045$. This statistically significant result indicates that faculty attitude about downward expansion affected the degree of influence various shared governance committees (such as Planning and Budgeting Committee, University Council, and University Life Committee) on respondent opinions of downward expansion. The Tukey post-hoc test did not indicate any statistically significant differences among subgroups of respondents regarding their attitudes toward downward expansion.

Summary

The results of the ANOVA analyses of the four key questions about past institutional change and downward expansion as independent variables indicated that there were numerous statistical significances in comparing respondents' feeling on institutional commitments and attitudes toward change during past campus-wide change and during downward expansion with the survey question in this section. In comparing respondent institutional commitment during past campus-wide change with survey responses in this section, Table 20 indicated five significant comparisons. Similarly, as indicated in Table 22, comparing respondent attitudes during past campus-wide change initiatives to survey responses in this section there were also five significant comparisons. However, the two questions that address institutional commitment and faculty attitude toward downward expansion, as illustrated in Tables 22 and 23, all seven survey questions indicated significant ANOVA comparisons in comparison to the respective framework categories. The results also indicated that responses to survey questions

relating to the influence of groups on respondent opinion of past campus-wide change, value of faculty in planning past campus-wide change, value of faculty in planning downward expansion, and the influence of external sources on respondent opinion of downward expansion were significant ANOVA comparisons for all four questions.

In addition, post hoc test results indicate that all statistically significant differences were characterized by increases in faculty respondents' commitment to Lake University either during past campus-wide changes or downward expansion, and their support for past campus wide change initiatives and downward expansion. As indicated in the beginning of this subsection, these sets of results suggest that the four key questions were significant variables in examining faculty perception of the downward expansion process.

Qualitative data

The results of the qualitative data analysis in this section are organized into three subsections, each representing themes that were identified to align with internal and external influences to forming faculty perceptions of downward expansion. The first subsection examines the faculty feeling of value, as well as a brief discussion of the subtheme of "trust." A second subsection will examine the theme of "communication." This will be followed by a third subsection that examines transparency regarding "resources." This section will conclude with a summary of the data analysis results.

The qualitative data regarding internal and external influences on faculty perspectives of downward expansion were obtained from participants' answers to focus group or interview questions. The data that related to the research question, "What internal and external influences affect the way in which faculty construct meaning about

the change process," were analyzed from a coding scheme that identified and organized

trends of word usage and moderator notes of emotions, facial expressions, body

language, interactions between focus group members, and tone of comments made. In

analyzing the data for common themes in participant responses to focus group and

interview questions, several subthemes associated with internal and external inferences

on participant perspective on downward expansion emerged: value, communication, and

resources.

The subthemes that were developed from coding and analyzing this data – value,

communication, and resources – will organize the data to explain how faculty

perspectives about their roles in the downward expansion planning process are formed by

internal and external influences. As this research question addresses the way in which

faculty are constructing meaning about the change process, this study's constructivist

framework will characterize the faculty's process of sensemaking (Weik, 2001; Kezar,

2013). It is important to note that Weik's (2001) notion of sensemaking can be consider

both for the individual and for a group. The focus group and interview data will consider

both aspects of sensemaking, as the focus groups will speak to a group perspective of

sensemaking about downward expansion and the interviews will illustrate the experiences

of individuals.

Valuing the worth of faculty in the change process.

The emergence of "value" as a sub-theme was based on responses to survey

questions regarding faculty feeling of value. These questions asked faculty if they felt

valued by senior leadership in planning specific aspects of past campus-wide changes and

similar aspects of the current downward expansion change processes. In both cases, the majority of survey participants (72%) felt that they were valued or slightly less valued during the current downward expansion change process.

Due to this strong response pattern, follow-up questions were posed to focus group and interview participants to understand the reasoning behind faculty sentiment on their sense of not feeling valued. Participant responses centered, for the most part, around influences internal to the university and the change planning process.

One focus group participant responded very quickly to the question about how the downward expansion process has influenced their sense of value as a faculty member:

> I don't feel valued at all. It's not just that I am looking to be involved in everything but I don't have the sense that faculty are being involved in this planning process. We have been told very little about why we are doing this and we know even less about why some of the decisions were made the way they were. It all seems very top down, very corporate. (Focus Group Speaker 2)

In response to the frustration in the voice of this participant, other members of that particular focus group provided head nods during the comment but few offered any follow-up specific comments. However, in agreement with the previous comment, another focus groups participant offered more explanation to their sense of value:

> It's as if we aren't trusted. Aren't we going to be dealing with this new group of students, on the front line? Aren't we going to be designing and teaching the classes? There is a lot of work to be done and there doesn't seem to be a lot of information given to the faculty to help us move forward. I think there are major

pieces of this downward expansion that we don't know. We are a little over a

year away from these new students coming on campus and I don't feel ready. I

will teach some of these classes and I am not sure we have a clear sense of the

number of students we will be admitting, class size, and an appropriate number of

faculty.

I understand why we are expanding but I just don't get the sense that we

are all valued in this process. I have heard the president rationalize this move,

and I agree with him, but why aren't the faculty more involved in putting this

together? I am committed to the change but I would like be more involved.

(Focus Group Speaker 3)

Eleven out of the 17 participants (64%) in focus groups used similarly strong

language in characterizing their perceived sense of value. Focus Group Speaker 6 felt

their sense of value was "diminished" due to their perception of campus administrators

taking over the planning process and shutting out key stakeholders. In agreement with

the last speaker, another focus group participant expressed the belief that sometime senior

administrators deliberately avoid involving faculty in major decision making processes,

"It's like we are an obstacle . . . not involved because they don't want to hear what we

have to say. They are afraid we will screw something up" (Focus Group Speaker 8). An

interview participant, (Tenure 1) made a similar characterization about how their sense of

value is linked to the lack of certain faculty involvement in the downward expansion

planning process:

I am of the strong opinion that the faculty have not been as involved in this process as they should have been. They have had many committees but on the many committees, at this point, Faculty Senate has one representative on all the committees combined. There are faculty on the other committees that are appointed through the various Deans. Which I think gives a little different perspective to the input that might be given, faculty that were appointed by the Deans versus faculty that were appointed by Faculty Senate.

Responding to a question about his sense of value in the downward expansion planning process, an interview participant noted that they didn't feel valued because "no one has said as such. No one has asked for my input to show me that I am valued" (Tenure Track 2).

Similarly, 72% of the focus group and interview participants felt that if faculty are included in an aspect of the planning process, that their roles are marginalized and opinions dismissed. Interview participant Tenure 3 shared this perspective on this marginalization, "If there are issues or faculty questions they shouldn't be dismissed they should be addressed. It's not happening. I'm thinking that questions and concerns not being dismissed and not addressed is going to end up being a much bigger problem." One interview participant who will have a major role in designing and teaching lower-level course expressed similar frustration on their level of involvement and value, "I am valued by the students, not by the university. I get most of my information about my department through the rumor mill. . . . The faculty are somehow perceived as a problem, a burden, because that's how we are treated" (Tenure 2). Another interview participant noted that "it appears to me that in the last 5 to 6 years, the institution is run more like a

business and there is more micromanaging from upper administration. Conceptual input from faculty is only used in the way administration wants to use it" (Tenure 3).

While the frustration of these focus group and interview participants were echoed by other faculty, the sense of not being valued was not the perspective for some faculty. About one-fifth of focus group and interview participants were satisfied with their sense of feeling value as faculty and did not feel that the planning process effected their importance or role in downward expansion. Focus group participant, Speaker 11, did not feel any threat from the downward expansion planning process and explained her growing sense of value:

> Yes, I feel valued I think by my involvement in the planning process, my active
>
> engagement in the committees, and involvement in Faculty Senate. The process
>
> has made me grow professionally. My confidence has grown. I think given I had
>
> the opportunity to assume more responsibility, to be involved in the decision-
>
> making process, and my opinion be valued, that's been very rewarding to me as
>
> an individual as an individual at this university.

Focus Group Speaker 14 agreed with this comment in that his experience in the planning process was one in which administrators took "my feedback and used some of my work means I've had input and I feel I have been valued in this process".

Another interview participant conveys a similar level of comfort with the downward expansion planning process,

> The process involves everyone, from the top down. Some faculty want to be
>
> really involved in this process and that's fine but there are aspects of downward

expansion that I don't think they need or want to be involved in . . . Any responsible leader, and they do this to some degree, is responsible for getting inputs from all the constituents" (Tenure Track 2).

After this comment, the moderator asked Tenure Track FT 2 if the level of involvement they have experienced gives them a sense of value to the planning process. Tenure Track 2 responded, "Yes, I think they are getting the message and are listening to it". Tenure 4 believes that throughout the downward expansion planning process faculty are engaged and valued but suggests it may depend on their length of service to Lake University, "I think the majority of them are [engaged]. I think the younger ones are. The older ones, even to this day, can't stand the concept of us going downward expansion."

Six interview and focus group participants offered "students" as the primary source of their sense of value. Interview participant, Tenure 3, exclaimed that "I am here for my students, they empower me. When we admit freshmen, I will be here for them too. . . That's always my number one priority no matter what the administration does." A focus group participant who also felt little value from the administration but felt empowered by their students stated with pride that:

> From the point of view of the students we are incredibly valued. We take students who may be working in a job that may not be going anywhere, maybe searching for a career. We take them from raw material and make them valuable to where they're getting job offers. (Speaker 8).

The value of trust.

After hearing both perspectives on this question of faculty feeling value in the downward expansion planning process, the researcher of this study, who also served as the moderator began, posed a follow-up question to all four focus groups, "In your experience with the downward expansion change process, do you feel trusted?" It was clear that faculty held trust to be a highly important component of their sense of feeling valued. The responses to this follow-up question on trust were very diverse and broadened to comments on issues besides downward expansion, suggesting the existence of other trust or value issues that some faculty may have. In instances where the conversation was leading away from discussion about faculty roles in the downward expansion change process, the moderator qualified the question about trust in two out of the four focus groups to be more specific toward the change process, "In your experience with the downward expansion change process, do you feel trusted?"

The majority of faculty participants gave "yes" or "no" answers to this question without much explanation. However, some faculty who said "no" qualified their answers and their perspectives by suggesting that issues of trust and value were not necessarily related to the downward expansion planning process, but from past experiences. Two participants who criticized the way faculty value has been diminished cited experiences before the downward expansion planning process began. One focus group participant exclaimed,

I know it's hard to get faculty involved, especially when faculty are as cynical as they are. That's a product of the past. . . It's just like when there was a push for

online classes. It was presented to us as a crisis. Things like this always come as a crisis because then we have to implement something to save us. Some faculty feel that downward expansion is just like it was in the past, a crisis popped up, and downward expansion is the solution. Then faculty are not involved in the planning but rather told what to do in things that we should be deciding, like class size. That kind of stuff really hurts. (Focus Group Speaker 7)

An interview participant felt similarly in that faculty had experienced several instances in the past when they were "left out of the decision-making about things that effect my own department" (Tenure 2). This participant went on to cite that the "rumor mill" that serves as their major source of information for downward expansion has also served that role in past change initiatives. Campus leaders making decisions without faculty input was perceived by this faculty member to be disrespectful and it has created an environment of "distrust" with administration.

Communication: Promoting transparency and understanding.

During the focus group and interview stages data collection, 88% of the faculty participants cited communication as a significant aspect of their characterization of their involvement in the downward expansion planning process and the resultant feeling of value they derived from that experience. All 25 focus group and interview participants referenced communication with themselves as individual faculty and with the faculty as a whole as an important internal influence on how they perceived the downward expansion planning process. Neither of the two qualitative data collection methods contained questions that specifically asked faculty about communication, but most faculty

participants brought up the topic in reference to different aspects of their downward expansion planning experiences. Once the topic was introduced, the moderator followed up with questions that addressed both the influence of communication about downward expansion as well as with questions that attempted to understand the impact communication has on their senses of feeling value, purpose, and their anticipated role in the downward expansion initiative. The data in this subsection suggested two subthemes of faculty perspectives on the role of communication as an internal influence to forming their perspectives on downward expansion: the expectation of communication during a change process and the enabling of faculty to create a role for themselves in the planning process.

All 25 participants in this study's focus groups or interviews expressed that communication about downward expansion is important to forming their perceptions about the change initiative. The qualitative data indicates that participants were somewhat divided over whether communication regarding downward expansion has been sufficient to inform the faculty of why the change is occurring, what their roles will be in the process and decision making, and how they will be impacted. For 88% of the focus group and interview participants, the topic of communication centered around communication that comes from the campus leadership about downward expansion, either as "big-picture" communication meant to inform the campus community about why the change is taking place, how it is going to be done, and what the results are expected to look like or, as a more specific charge to committee or academic department regarding the creation of a component of the larger downward expansion product.

The data suggests that about three-fourths of focus group and interview participants (72%) were seeking communication that was more detailed as to how the planning process and decision making was going to impact faculty.   One interview participant expressed the frustration that they have had to rely on rumors and "water cooler" talks to learn about what is happening in their department,

> My interaction in the four-year expansion planning process has been minimal. . . I am hearing stuff about my program through the grapevine. . . I hear stories that the Office of Institutional Effectiveness is assigning how many classes and sections we are to have per year. (Tenure 2)

Several focus group participants went back and forth on how frustrated they were that they were being told about constantly changing information about their staffing, class sizes and facilities. One focus group participant characterized her experience of not knowing what is happening with her program and, specifically, her classes due to poor communication as "terrifying." When asked by the moderator to explain this sentiment more, Focus Group Speaker 9 explained using her concern about changing class size limits:

> I've had the classes with a hundred students. I've been in classes with a thousand students and there's just so much going on and of those hundred students there are probably ten there interested in the class. So if it comes down to it and we don't have enough faculty to teach these classes, I am the one they are going to be looking at and these are huge classes. They might say now you are teaching four

classes. I guess not being involved and not having input. What's going on might

affect me personally.

In reference to the amount and quality of communication from campus administration,

Focus Group Speaker 16 noted that "we are only told certain things at certain times, we

are never asked." Tenure 3 offered a similar comment but explained:

> I think a there has been a couple of cases when there has been a little bit of being
>
> afraid to listen to faculty. Part of it is temperament but part of it is we're doing
>
> what we could so don't mess it up. Whereas if they were to solicit faculty
>
> viewpoints, [they will find] faculty very much want success. . . One thing at this
>
> university, I'd say the super majority of the faculty are very interested in student
>
> success and working toward the success of our students and our programs. I think
>
> we have a real lack of a listening culture here. I think people think they know
>
> what people are thinking or what needs to be done. They make certain
>
> assumptions. I think there were a couple of unconstructive situations that were
>
> created early on, the details of which I do not know, and I think it created a little
>
> bit more of a defensive situation.

About half of the focus group and interview participants (56%) discussed the

communication dynamic as "one-way" or "selective." As a means to communicate with

the campus community, there have been many public presentations, forums, and email

updates that have been conducted/sent by the president, provost, and other senior

administrators. In addition, the faculty and administrators who are involved in the

planning committees are expected to communicate with their schools, typically through

its administration. Some focus group and interview participants have judged some of these communications to be "too ambiguous," thus lacking the detail "we need to know what's going on" or have "a clear understanding about how we are going to do this." Some of these criticisms have been linked to the need for some faculty to better understand the logistics of the downward expansion change as well as the financial resources designated to operationalize the initiative. Yet some faculty are satisfied with these communication efforts, "I've heard the president's and the provost's speech, they were able to simply outline why they're doing this and that's been educational" (Focus Group Speaker 14).

While the data would suggest that faculty understand, and for the most part, accept why the university is undergoing downward expansion, many faculty participants in this study argued that the process of communicating the details of the change is flawed. One way to consider the flaws of this process is the lack of quality information being shared with all faculty. Tenure Track 1 explains that the poor communication creates a sense of disorganization, even recklessness, of the planning process:

> My impression of the process we have followed has been that we have been, for all intensive purposes, making it up as we go along, highly improvisational, building the plane as we are trying to fly it. And that leaves me feeling, again, undervalued in my say in the process. Not because of any intention to undervalue me but more of a sense of heading into this with no real attempt to define what are the existing resources and how we maximize these resources to get this done.

This above comment builds on the comments of Tenure 2's contention that the best source of their information is the "rumor mill." In addition, the non-tenured faculty who participated in the qualitative stages of data collection for this study stated that they have formed their perceptions of downward expansion not so much from formal meetings or committee involvement but from their interactions with other faculty. Non Tenure FT 2 contended, "I feel mostly up-to-date because I know so many people at this university and I hear a lot of things outside the meetings." Focus Group Speaker 12 received information in a similar way, "Most of my information has come through emails and through the other faculty that travel between the two campuses. More information would actually be nice."

However, the discussion that took place in one focus group suggests that the weaknesses of the communication process may be linked to the different level of involvement that the respective schools will have in teaching freshmen and sophomores. Of the university's four schools, two will bear most of the load of teaching the freshmen and sophomore classes, Human Sciences and Humanities and Science and Computer Engineering. Focus Group Speaker 15 commented that, "I have friends in the two other schools and I hear what they're discussing. They're having a lot more conversations with their faculty because their faculty will be a lot more effected from what is happening." In agreement, Focus Group Speaker 11 characterized much of the issues regarding faculty awareness as a "serious lack of communication" and references Focus Group Speaker 15's comment about the involvement of certain school's faculty over others with example of budget allocations:

Those kinds of discussions have got to take place. . . I think the problem is because these committees are small groups and then they make decisions within their small groups and then pass it on to another group that has been trying to put the numbers together and come up with what the budget allocations are. HSH and SCE have been heavily involved in the decision-making in the numbers game, and the need for faculty and the need for staff. They have been the driving forces so the School of Business and the School of Education have been free-floating out here in isolation. So half the university is feeling like I don't know where these decisions are being made and how they have been made when the other half has been 100% engaged and involved in it. So we've had this big dividing line between these two groups. There should be more active involvement. . .things are being done in isolation. So we don't know what's going on.

With the faculty participants concerned that communication is not equally shared among faculty, it is clear that most feel that there are concerns with who are involved, what do they know, and what should be told to others. Many of the comments in this section suggest that information about the details is something that is dispersed on a selective, need to know basis. This possibly occurs because faculty who will be impacted by the change initiative need to be more aware and be more involved. However, there were multiple examples in this section of comments from faculty who are going to be directly affected by downward expansion and are part of the planning process, both at the school and university levels, but are struggling to find concrete detailed answers about their roles in developing this plan. An example of such a discrepancy of faculty

understanding of the planning process is in the quantity and quality of information that has been shared regarding the resources allocated for downward expansion.

Transparency regarding resources.

While focus group and interview questions did not directly ask about resources, about half (48%) of the focus group and interview participants brought up the topic when referencing how they will be impacted by downward expansion and in explaining what internal influences are important in forming their perceptions. Faculty comments about resources can be characterized by two broad themes: hiring the appropriate number of faculty to accommodate student and university needs for downward expansion; and having enough resources to "do this right." Within these themes, there were differing perceptions about the importance of faculty in the overall ideal of downward expansion, the concern over class sizes, and the sacrifice of the quality of the institution's education. For 36% of the faculty who participated in this study, many of these concerns overlap.

Because the downward expansion planning process is still ongoing there are some important unknown factors that will not be realized until August 2014, the most important of which is the number of freshmen and sophomore students who be expected to enroll. The university has planned for 200 freshmen and 100 sophomores. However, those numbers are widely believed by the faculty participants in this study to be "soft numbers" in that more could be admitted but also, at the same time, realizing that less than 300 could enroll.   With such unknowns and very little about the university's resource allocation being communicated to the faculty or participation in the planning process, a degree of concern has emerged to influence faculty perception.

One interview participant worried that downward expansion planning was going to follow past change experiences and be a process that is focused on being "cheap and easy" (Tenure 3). In considering what little is known about resource allocation and the sources of funding, Tenure Track 2 commented, "Honestly, I don't think that we are equipped to deal with these new students." One interview participant expressed concern over the possible lack of facilities to accommodate an unknown number of new students, "If your estimates are correct on the numbers you are predicting we are going to get, and it could be an underestimate, it is going to get tough in 3 or 4 years" (Tenure 4).

Frustrated with the lack of communication about resources, Focus Group Speaker 15 exclaimed to her focus group:

Show me the money! Because doing this on a shoestring is not the best way to do it. I keep waiting for the skies to open up and money to rain down on us and I know people are trying to make that rain happen, we need that. Without the money and that has been my concern from the beginning, because no one really talked about it, we don't know where is it coming from. The last [public] meeting with the president, he finally talked about what their efforts are but when I looked at the number they came up with, I think maybe it was $5 million, I don't think it's enough. I think we need twice that, maybe three times that.

A comment that faculty participants frequently shared was their concern over the relatively few additional faculty that have been planned for to accommodate the downward expansion. Several focus group participants noted that budget allocation summaries have lines of funding for only 14 overall new faculty positions. By itself,

having budget lines for only 14 faculty concerns many of this study's participants, but the allocation of funding to hiring 54 student service and enrollment management staff has caused some animosity. In referring to this allocation for 14 faculty and 54 staff positions, Tenure 3 commented:

> As much as I feel we strongly need support services a lot of the support current, and with freshmen, is to be provided by faculty. . .It seems like an odd ratio. Logistically, there is a question if you have this many course offerings, who is going to teach them? And if you have a commitment to have full-time faculty teach them but the full-time faculty cannot do it because they would be overloaded.

Focus Group Speaker 8 shares a similar concern over the number of faculty allocated in the budget, "It gets scarier and scarier to me because we are talking about hiring a few faculty compared with the number of staff and I heard they will not be hired until the August before class start in the fall [2014]." In response to Speaker 8's comment, Focus Group Speaker 10 exclaimed that "It's almost frantic at this point because we haven't had permission to hire anybody. Normally if we need to hire someone for the fall, we start [the search] the previous fall. Then they can come in the summer and get paid for class preparation time."

Focus group participant, Speaker 6, shared a similar sentiment but contextualized the faculty resources to that of other universities, "Even after five years, the numbers of students I have or will be teaching will be the same numbers at other competing

universities but with twice as many staff." To further justify this concern with faculty

needs not allocated in budgets, Focus Group Speaker 6 continued:

> We're going to need teaching assistants. We need more full-time graduate
>
> students to serve as teaching assistants. [New faculty] need research funding,
>
> program development money to make sure you're doing it the right way. You
>
> need time to do curriculum development. You're going to need release time for
>
> faculty to do some of these jobs.

Focus Group Speaker 9 agreed in expressing faculty concerns, "One thing that I find

frustrating is that there doesn't seem to be a significant commitment of resources. So

we're all very eager, actually we're fighting over, who gets to teach freshmen because it

looks like fun except that to do that, and to it in a reasonable way, we've got to have

TA's."

Some of the concerns regarding the number of faculty to be hired for downward

expansion has caused some of the participants to worry about the quality of education if

staffing is not done appropriately. Several participants noted the university's

commitment to have full-time faculty teach the freshmen and sophomore students. With

so few faculty lines allocated in the budget, one interview participant worries that

adjuncts may become the "cheap and fast" answer to potential staffing issues as the

number of class sections will be determined by an unknown number of students, "I'm

very concerned about this class issue, that we have enough faculty. Adjuncts could be a

cheap and fast solution if we have to open more classes. Most adjuncts are not going to

be available during the day when these classes will be offered, and if they are, watch out" (Tenure 2)!

Focus Group Speaker 10 made a similar comment about the need to utilize more adjuncts, "In our case, we're hoping not to have adjuncts teach our freshmen and sophomore level classes. We were promised that would not be the case. That means some of us will have to move down to do that. The adjuncts will teach the ones that we taught at the upper level." In addressing the commitment to not have part-time faculty teach the freshmen and sophomore classes, Non Tenure Track FT 1 stated:

> I know everyone is focusing on how we're going to bring in a skeleton crew to get started so there's adjuncts and we're going to have more adjuncts. Our ratio between adjunct and full-time faculty has always been higher than standard. I know it's always been that way and that will be the case in the beginning if it's enrollment driven. I expect that as the student population rises, we will be able to add to the full-time faculty. But we're not going to rush out and get a lot of full-time faculty right away. Overall, yes I worry about the quality at a university with so many adjuncts even though we have so many wonderful adjuncts. Part of that is because adjuncts are so much left out of the loop, they don't have the benefit of the full-time faculty in their programs.

Summary

The qualitative data related to the first research question suggest that faculty have strong opinions about the degree to which various aspects of downward expansion have influenced their perceptions. It is also suggested that many of the themes in this section

had considerable overlap. One of the most significant overlaps was the perception by many faculty that they have not been valued or believed they were left out of the loop in planning resources for downward expansion stem from issues with communication. As some of the faculty who were more involved in the planning stated, there is disconnect between what is "actually going on in the planning process" and what the faculty are told (Speaker 11). An issue to be explored in the next thematic category about the positive and negative impact of downward expansion on faculty may increase the understanding about various levels of faculty support and /or resistance.

Perceptions of Positive and Negative Effects of Downward Expansion

Whereas the first set of results focused on the relationship between support for downward expansion and various aspects of the downward expansion planning process, as well as retrospective perceptions of past campus-wide changes, this set of results focus on the relationship between support for downward expansion and faculty expectations of various positive and negative outcomes of the implementation of downward expansion at Lake University. This second set of results will focus on evaluating data relating to this study's second research question, "Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?" The quantitative section will include three subsections summarizing relevant data. The first subsection will present the frequencies and percentages for the two key questions about downward expansion (institutional commitment and attitude toward downward expansion) as well as for the two sets of items about reputed effects of downward expansion. These results will be followed by a second subsection that contains the results of one-way ANOVA data analysis using the four demographic

variables and one characteristic of faculty (i.e. involvement with campus committees) collected in the survey as independent variables. The third subsection in this section contains results of one-way ANOVAs using two key questions directly related to this study's framework of support and resistance to change as independent variables. Although it makes sense to include relationships with previous campus-wide change in examining aspects of the planning process, those questions were not used in this set of analysis.

The fourth subsection of results in this section will summarize the results of the qualitative data analysis. First the varying perceptions of faculty impact of downward expansion will be discussed; second, the convergence of cultures faculty have identified as a result of the downward expansion planning process. The focus group and interview data were analyzed and coded to align with this study's research second research question. While the themes in this subsection somewhat overlap with the data presented for the first research question, analysis in this section focuses more on the development of a relationship between the perceived impact of downward expansion on faculty and the development of either supportive or resistant attitudes toward the change.

Quantitative data results for perceived impact of downward expansion

Frequencies and percentages.

Included in this subsection, results of frequency and percentages for the individual items and the scale of the scale questions are presented in the following order: commitment to Lake University during downward expansion changes, support/resistance for downward expansion, perceived impact of downward expansion on various groups,

the positive/negative impact of downward expansion on various groups, and the

perceived impact of downward expansion on various faculty responsibilities.

Faculty institutional commitment.

Faculty perceptions of downward expansion may be affected by the extent of their

commitment to Lake University during downward expansion. To that end, this first set of

question examines the important connection of institutional commitment and perspective

of downward expansion. The survey question asked, "How would you best characterize

your commitment to UHCL during past campus-wide initiatives?"   The results in Table

27 depict the frequencies and percentages of responses for this question and illustrate

that most respondents felt a moderate commitment (40.0%) or a strong commitment

(31.3%) to past campus-wide change initiatives. Very few faculty respondents felt no

commitment (5.0 %) or a weak commitment (7.5%). It is important to note that the data

in Table 27 begin to suggest a pattern of faculty commitment to change rather than

support/resistance to change. While the data in Table 29 indicates general support for

past change initiatives, comparison to faculty commitment to downward expansion will

need to be triangulated with qualitative data before "commitment" can be ascribed to

faculty perspective about downward expansion.

Table 27

Faculty Commitment to the Institution during past Campus-wide Change Initiatives

Responses	Frequency (*n*)	Percentage (%)
No commitment	4	5.0
Weak commitment	6	7.5
Neutral	13	16.3
Moderate commitment	32	40.0
Strong commitment	25	31.3

Note: n = 80

As a follow-up to the previous question, this next question tracks the development of faculty commitment to change processes at Lake University and examines how the downward expansion planning process has affected faculty institutional commitment. The survey question asked, "How has the downward expansion planning process affected your commitment to the university?" The data in Table 28 reflect the frequencies and percentages of responses and indicate that most respondents have reported either no effect on their commitment to Lake University (47.5%) or a somewhat strengthened commitment (25.0%). Only 10% of the respondents felt that the downward expansion planning process has significantly weakened their commitment. Similarly, 10.0% of the respondents felt that the downward expansion planning process has somewhat weakened their commitment to the university.

Table 28

Faculty Institutional Commitment as Effected by the Downward Expansion Planning Process

Response	Frequency (*n*)	Percentage (%)
Significantly weakened commitment	8	10.0
Somewhat weakened commitment	8	10.0
No effect on commitment	38	47.5
Somewhat strengthened commitment	20	25.0
Significantly strengthened commitment	6	7.5

Note: n = 80

Faculty support/resistance toward past changes and downward expansion

Faculty support/resistance to downward expansion may be compared to the extent of their support/resistance for past campus-wide changes and downward expansion. This next set of two questions examines faculty attitudes toward past campus-wide and downward expansion. The first question in the set examines faculty attitude toward past campus-wide change initiatives as a means to better understand and contextualize perceptions of downward expansion , "How would you best characterize your attitude toward past campus-wide change initiatives?" The data in Table 29 reflects the frequencies and percentage of participant response to this question and indicates that the majority of faculty respondents were either supportive (35.0%) or somewhat supportive (27.5%) of past campus-wide change initiatives. Only 3.8% of faculty respondents were resistant and 6.3% were somewhat resistant. These responses of attitude align with the levels of commitment displayed in Table 27. However, Table 29 illustrates that more

faculty were neutral in answering this question (27.5%) than those who indicated neutral

commitment for past campus-wide changes (16.3%).

Table 29

Faculty Attitude toward Past Campus-wide Change Initiatives

Response	Frequency (*n*)	Percentage (%)
Resistant	3	3.8
Somewhat resistant	5	6.3
Neutral	22	27.5
Somewhat supportive	22	27.5
Supportive	28	35.0

Note: n=80

As follow-up to the survey question in the previous data set, the second question

in this data set examines faculty attitude toward downward expansion. Table 30 contains

the frequencies and percentages of responses to the survey question, "How would you

best characterize your attitude toward Lake University's downward expansion?" The data

in Table 30 illustrates that most survey respondents are either somewhat supportive

(22.5%) or supportive (42.5%) of the downward expansion change initiative. Compared

with the data from Table 28, a higher percentage of faculty respondents are supportive of

downward expansion than they were of past campus-wide changes (35.0%). However,

more faculty are resistant to downward expansion than to past campus-wide changes.

Table 30 indicates that 7.5% of respondents are resistant to downward expansion and

10.0% are somewhat resistant whereas 3.8% were resistant to past campus-wide changes and 6.3% were somewhat resistant.

Table 30

Faculty Attitude toward Downward Expansion Change Initiative

Response	Frequency (*n*)	Percentage (%)
Resistant	6	7.5
Somewhat resistant	8	10.0
Neutral	14	17.5
Somewhat supportive	18	22.5
Supportive	34	42.5

Note: n = 80

Perceived effects of downward expansion on campus groups.

Faculty support for/resistance to downward expansion may be affected by the extent to which they believe the change will change will affect them and other members of the Lake University campus community. As a result, the three sets of questions in this set examine the impact various groups on campus, the degree of perceived positive/negative effect, and the direct impact on their responsibilities as faculty**.** To understand the faculty perception of how downward expansion will affect various groups of the Lake University community, the survey question asked respondents to, "Rate the degree to which you think the following groups will be impacted by Laker University's downward expansion." The data displayed in Table 31 represents the frequencies and

percentages of seven items in this set has a Cronbach's alpha of 0.783 and a scale mean of 26.18 (SD=5.32).

Overall, respondents felt that downward expansion will moderately or highly impact the seven groups listed in the question. The responses in Table 31 reflect an opinion that new lower-level students (61.3%), non-tenure-track faculty (50%), and tenure-track and tenured faculty (46.3%) will be highly impacted. Respondents to this question also indicated that current upper-level students and new upper-level students will be only slightly impacted, 22.5% and 20.0% respectively. The data in Table 31 also illustrates that those responses for the choice of "current upper-level students" is the most evenly distributed across the five degrees of impact presented in the question.

In addition to a question about overall impact of various groups, another question focused on perceived negative and positive impact. To understand how faculty perception of downward expansion affected their perception of the positive/negative impact of the change, the second question in this set, the survey question asked, "Rate the degree to which you think the following groups will be positively or negatively impacted by Lake University's downward expansion." The Cronbach's alpha for the six items in this scale was 0.77 with a mean of 21.61 (SD=5.01).

Table 31

Degree to which Campus Groups will be impacted by Downward Expansion

_____

	Degrees of impact[a]								
Groups	Not impacted		Slightly impacted		Somewhat impacted		Moderately impacted		Highly impacted	
	N	%	N	%	N	%	N	%	N	%
Tenure–track and tenured faculty	2	(2.5)	7	(8.8)	14	(17.5)	20	(25.0)	37	(46.3)
Non tenure-track faculty	1	(1.3)	7	(8.8)	14	(17.5)	18	(22.5)	40	(50.0)
Current upper-level students	8	(10.0)	18	(22.5)	19	(23.8)	21	(26.3)	14	(17.5)
New upper-level students	3	(3.8)	16	(20.0)	21	(26.3)	26	(32.5)	14	(17.5)
New lower-level students	2	(2.5)	7	(8.8)	8	(10.0)	14	(17.5)	49	(61.3)
Professional staff	2	(2.5)	10	(12.5)	14	(17.5)	24	(30.0)	30	(37.5)
Senior leadership	7	(8.8)	16	(20.0)	22	(27.5)	16	(20.0)	19	(23.8)

_____

Note: n = 80

[a]Responses coded on a five-point scale from "not impacted" = 1 to "highly impacted" = 5.

The data in Table 32 indicate a different distribution of answers depending upon the group being impacted. Overall, respondents feel that faculty will be more negatively impacted, tenure-track and tenured faculty will be somewhat negatively impacted, (33.8%) and 16.3%, respectively, will suffer a significant negative impact. Surprisingly, 22.5% of respondents believed that this faculty group will be somewhat positively

impacted. The non-tenure track faculty were evenly distributed between somewhat negative impact (25.0%) and somewhat positive impact (21.6%). Positive or negative impact on new upper-level student, had a similar distribution with 28.7% somewhat negative impact and 32.5% somewhat negative impact. Interestingly, survey respondent mostly felt that current upper-level students would be somewhat negatively impacted (32.5%) or not be impacted (40.0%). Table 32 also illustrates the continuation of a faculty sentiment of not feeling valued by leadership that was conveyed in survey results that 43.8% of faculty believe downward expansion will be somewhat positive for senior leadership and 27.5% believe senior leadership will not be impacted at all. Finally, Table 32 depicts a strong feeling from faculty respondents that new lower-level students will be somewhat positively impacted (30.0%) or significantly positively impacted (38.8%).

The third and last question in this set continues to examine the perceived impact of downward expansion on faculty by specifically focusing on various areas of responsibility, "How do you think the time you spend on the following responsibilities will change as a result of Lake University's downward expansion?" The six items scale had a Cronbach's alpha of 0.68 and a mean of 21.74 (SD=3.37). The data in Table 33 indicate that respondents felt there will generally be no change, increase, or significant increase across all six answer choices. The aspect of faculty responsibilities that respondents felt there would be a decrease or significant decrease in time would be for research, 17.5% think there will be a significant decrease and 22.5% believe there will be a decrease.

The aspect of "research" also reflects the largest number of respondents who believe there will be "no change," 46.3%. Table 33 also illustrates the belief that a

significant number of respondents feel there will be no change in time for teaching

(36.3%), services on campus committees (37.5%), advising (36.3%), and grading

(36.3%).

Table 32

Degree of Positive or Negative Impact Campus Groups will Experience as a Result of Downward Expansion

Groups	Degrees of positive/negative impact[a]									
	Significant negative impact		Somewhat negative impact		No impact		Somewhat positive impact		Significant positive impact	
	N	%	N	%	N	%	N	%	N	%
Tenure–track and tenured faculty	13	(16.3)	27	(33.8)	13	(16.3)	18	(22.5)	9	(11.3)
Non tenure-track faculty	19	(23.8)	20	(25.0)	13	(16.3)	21	(26.3)	7	(8.8)
Current upper-level students	7	(8.8)	26	(32.5)	32	(40.0)	13	(16.3)	2	(2.5)
New upper-level students	5	(6.3)	23	(28.7)	23	(28.7)	26	(32.5)	3	(3.8)
New lower-level students	3	(3.8)	6	(7.5)	16	(20.0)	24	(30.0)	31	(38.8)
Professional staff	5	(6.3)	33	(41.3)	14	(17.5)	21	(26.3)	7	(8.8)
Senior leadership	1	(1.3)	10	(12.5)	22	(27.5)	35	(43.8)	12	(15.0)

Note: n = 80

[a]Responses coded on a five-point scale from "significant negative impact'" = 1 to "significant positive impact" = 5.

Table 33

Degree Faculty Responsibility will be impacted by Downward Expansion

	Degrees of impact[a]									
Responsibilities	Significantly decrease		Decrease		No change		Increase		Significantly increase	
	N	%	N	%	N	%	N	%	N	%
Teaching	0	(0.0)	2	(2.5)	29	(36.3)	28	(35.0)	21	(26.3)
Research	14	(17.5)	18	(22.5)	37	(46.3)	9	(11.3)	2	(2.5)
Service on campus committees	1	(1.3)	5	(6.3)	30	(37.5)	30	(37.5)	14	(17.5)
Meeting with students during office hours	1	(1.3)	2	(2.5)	26	(32.5)	27	(33.8)	24	(30.0)
Advising	1	(1.3)	2	(2.5)	29	(36.3)	25	(31.3)	23	(28.7)
Grading	0	(0.0)	1	(1.3)	29	(36.3)	24	(30.0)	26	(32.5)

Note: n= 80

[a]Responses coded on a five-point scale from "significantly increase" = 1 to "significantly increase" = 5.

For areas of increases in time devoted to various responsibilities, Table 33

indicates that faculty respondents believe that the following areas would be most

impacted: teaching (35.0%), service on campus committees (37.5%), and meeting with

students during office hours (33.8%). Respondents also believe that time devoted to their

responsibilities of grading (32.5%), meeting with students during office hours (30.0%),

and advising (28.7%) will significantly increase due to downward expansion. These

numbers correspond to the findings presented in Table 33 in which the data illustrates

respondents felt that faculty, both tenured/tenure-track and non-tenured will be "highly impacted" by downward expansion.

Summary

Data in this section reflected a respondent population that is committed to Lake University and has been relatively supportive of downward expansion but with concerns that the change will have some negative impact on faculty. The data in Tables 25 and 26 summarized respondents' commitment to Lake University during past campus-wide and downward expansion change process, respectively. The data indicates that a total of 71.3% of respondents had a moderate or strong commitment to Lake University during past campus-wide changes, while 72.5% of respondents indicated that the downward expansion process had no effect on their commitment to Lake University or that it was somewhat strengthened. Similarly, the data in Tables 27 and 28 indicates that 62.5% of the respondents were either somewhat supportive or supportive of past campus-wide changes, whereas 65% were either somewhat supportive or supportive of downward expansion.

However, 71.3% of respondents felt that tenured and tenure-track faculty will be either moderately or highly impacted by downward expansion, while 72.5% felt that non tenure-track faculty will be moderately or highly impacted by the change. Similarly, 50.1% of respondents felt that downward expansion would somewhat or significantly impact tenure and tenure-track faculty negatively and 48.8% felt these degrees of negativity would impact non tenure-track faculty. The only population that respondents felt would be most impacted somewhat or significantly positive were new lower-level

students, 68.8%. Finally, faculty respondents felt that downward expansion would cause their responsibilities in the fields of teaching (61.3%), meeting with students during office hours (63.8%), advising (60.0%), and grading (62.5%) would increase or significantly increase.

Data comparisons among subgroups of respondents.

For this section, the quantitative data were analyzed using a series of one-way analysis of variances (ANOVA) with various demographic variables and one characteristic (i.e. faculty involvement in committees) as independent variables. In order to better understand faculty perceptions of downward expansion, it was necessary to determine if survey responses measuring the degree to which faculty were directly affected by downward expansion and their perceptions of the positive or negative outcomes of the expansion were influenced by their membership in various demographic and characteristic subgroups.

The following one-way ANOVA results seek to better understand if the respondent's school affiliation affected the way in which respondent's perceived the impact of downward expansion. As indicated in the ANOVA results table in Appendix N, there was a statistically significant effect in comparing respondent school affiliation to the question which asked participants to rate the degree to which various groups will be impacted by downward expansion, $F(3,76) = 6.31$, $p = 0.001$. This statistically significant result indicates that respondent school affiliation affected the degree of various groups (such as tenured and tenure-track faculty, non tenure-track faculty, and current upper-level students) were perceived to be impacted by downward expansion.

The results of Tukey post-hoc tests indicate that there was a significant difference between School of Business (M = 21.47) and School of Education (M = 27.22), $p =$ 0.002, as well as Human Sciences and Humanities (M = 28.09), $p = 0.001$. The results of this post-hoc test suggests that faculty of a school that will be directly impacted by downward expansion, like Human Sciences and Humanities, are more likely to believe that downward expansion will impact various groups.

A second statistically significant ANOVA relative to respondent school affiliation was found for the question about how various groups may be positively or negatively impacted by downward expansion, F (3,76) = 4.347, $p = 0.007$. This statistically significant comparison indicates that faculty school affiliation affected the degree of perceived positive/negative impact various groups (such as tenured and tenure-track faculty, non tenure-track faculty, and current upper-level students) would experience as a result of downward expansion. A post-hoc Tukey test revealed that there was a statistically significant difference between respondents from the School of Education (M = 23.41) and those representing Human Sciences and Humanities (M = 18.74), $p = 0.005$. These post-hoc test results suggest that as faculty school affiliation moved closer to a school that would be directly impacted by downward expansion, like Human Sciences and Humanities, the faculty perception of positive impact on various groups would decrease.

The final statistically significant ANOVA comparison indicated in the table of results in Appendix L concerns the question, which asked respondents how the downward expansion planning process has affected their commitment to Lake University during the downward expansion planning process, F (3,76) = 3.551, $p = 0.018$. These

results indicate that faculty participants' school affiliation affected the level of commitment they felt toward Lake University during the downward expansion planning process. The results of a post- hoc Tukey test indicate that there was a significant difference between respondents from Human Sciences and Humanities (M = 2.57) and those respondents from Science and Computer Engineering (M = 3.53), $p = 0.020$. The post-hoc Tukey test results suggest that for those faculty in colleges more likely to be directly effected by downward expansion, the level of commitment to Lake University during the downward expansion planning process increased.

This next set of ANOVA results examined if the survey participant's length of service to Lake University affected their responses to the survey questions in this section. As illustrated in the ANOVA results table found in Appendix O, there was only one statistically significant comparison with length of services and the question which asked respondents to characterize their commitment to Lake University during past campus-wide change initiatives, F (3,76) = 3.83, $p = 0.002$. The results of this statistically significant comparison indicate that faculty length of service affected the level of their commitment to Lake University during past campus-wide change initiatives. The results of a post-hoc Tukey test indicate that there were statistically significant differences between respondents who worked at Lake University over 30 years (M = 2.000) and those who worked at the institution less than a year (M = 4.67), $p = 0.002$, from one to five years (M = 4.05), $p = 0.011$, six to ten years (M = 3.91), $p = 0.029$, eleven to fifteen years (M = 3.33), $p = 0.003$, and 21 to 30 (M = 3.91), $p = 0.004$. These post-hoc test results suggest that as faculty length of service decreased, their commitment to Lake University during past campus-wide changes increased.

In order to determine if survey participant gender had an effect on responses to the survey questions in this section, an independent t-test was conducted. As illustrated in the t-test results table in Appendix P, there was one statistically significant difference between female (M = 27.3200, SD = 4.15731) and male (M= 23.7857, SD = 6.34418), $t(76) = 2.969$, $p =0.012$, and respondents in answering the question which asked respondents to rate the degree to which they think various groups will be impacted by Lake University's downward expansion. The results indicate that females are more likely than males to think various groups will be impacted by downward expansion.

The ANOVA results found in the table in Appendix Q determines if respondent faculty rank had an effect on how they answered questions in this section. As illustrated in the ANOVA results in table in Appendix Q, there were two statistically significant comparisons with faculty rank and survey responses. The first significant comparison is with the question which asked respondents to characterize their attitude toward past campus-wide change initiatives (question four), $F (3,76) = 3.78$, $p = 0.014$. This statistically significant test result indicates that faculty rank affected the level of support toward past campus-wide change initiatives. A post- hoc Tukey test indicated that there was a significant difference between tenure-track respondents (M = 4.47) and those who are tenured (M = 3.51), $p = 0.010$. The results of this post-hoc test suggest that tenure-track faculty, more than other ranks, were more likely to be supportive of past campus-wide changes.

The second statistically significant comparison with respondent's faculty rank and responses to the survey question which asked respondents to predict if their time spent on various responsibilities will decrease, change at all, or increase (question eight), $F (3,76)$

= 4.23, *p* = 0.008. This statistically significant result indicates that respondents' faculty rank affected their perception of decrease/increase of various responsibilities (such as teaching, research, and service on campus). A post-hoc Tukey test indicated that there were significant differences between non-tenure track (part-time) respondents (M = 18.92) and tenure track (M = 22.74), *p* = 0.007, as well as respondents who were tenured (M = 22.09), p = 0.016. These post-hoc results suggest faculty who are tenure-track and tenured, their perceived impact of downward expansion on decrease/increase in time spent on various faculty responsibilities increased.

This final set of ANOVA results was conducted in order to determine if faculty involvement in campus committees affected their responses to the survey questions in this section (see Appendix R for complete ANOVA results). The first statistically significant comparison of faculty involvement in campus committee and responses to the questions which asked respondents to rate the degree to which various groups will be impacted by downward expansion (question six), F (3,76) = 4.38, *p* = 0.003. This statistically significant result indicates that faculty involvement in campus committees affected the degree faculty believe various groups (such as tenure-track and tenured faculty, non tenure-track faculty, and current upper-level students) will be impacted by downward expansion. A series of post-hoc Tukey tests indicated that there were significant differences between respondents who had no involvement with campus committees (M = 23.00) and those who were involved in 1-2 committees (M = 27.11), *p* = 0.032, as well as with those who were involved in 3-4 committees (M = 28.95), *p* = 0.002. These post-hoc results suggest that as faculty involvement with campus

committees increases, the degree to which various groups will be impacted by downward expansion would also increase.

The second significant comparison was concerning the question which asked respondents to evaluate if the time spent of various job-related responsibilities would increase or decrease as a result of downward expansion (question 8), F (3,76) = 3.89, p = 0.006. These statistically significant results indicate that faculty involvement in campus committees affected their perception if time spent on various job-related responsibilities would increase or decrease as a result of downward expansion. The results of post-hoc Tukey tests indicated that there were statistically significant differences between respondents who have no involvement (M = 19.65) and those who have served on 1-2 committees (M = 22.64), p = 0.10, as well as with those who have served on 3-4 committees (M = 22.95), p = 0.010. These post-hoc results suggest that as faculty involvement with campus committees increases, their perception of the degree of increase/decrease of time spent on job-related responsibilities also increases.

Summary

Although ANOVA comparisons of demographic and characteristic variables did not result in many significant relationships, three demographic variables did produce some statistically significant analysis. As indicated in Appendix N, ANOVA analysis of respondent school affiliation and survey responses in this section resulted in the largest number of significant results in this section. Questions number six, seven, and nine had significant comparisons to this demographic variable with post hoc results indicating that the School of Human Science and Humanities (HSH) had significant differences between other schools at Lake University for all three questions, School of Education had two

significant differences and the Schools of Business and Science and Computer

Engineering each had one. The significant relationships with HSH respondents are

particularly important as they represent the school that will offer the most lower-level

courses.

The ANOVA data analysis of respondents' length of service at Lake University in

comparison to survey responses to question in this section resulted in only one significant

finding with question number three. However, the Tukey post-hoc test indicated that

there were significant differences between respondents who have served at Lake

University over 30 years and almost every other category of length of service: less than a

year, 1-5 years, 6-10 years, 11 to 15 years, and 21 to 30 years.

Finally, there were two significant comparisons (questions six and eight) between

respondent involvement on campus committees and responses to survey questions in this

section. In both cases, the post hoc Tukey test results indicated significant differences

between respondents with no involvement with campus committees and those who have

served on 1-2 committees and 3-4 committees. With a significant independent t-test result

in comparing gender with the survey questions in this section, survey question six has the

highest number of significant comparisons in this section.

Data comparisons among groups of faculty by commitment and attitude.

To understand if variables such as institutional commitment and support

for/resistance to downward expansion affected the way in which respondents perceived

the impact of downward expansion on various groups and aspects, a series of one-way

ANOVAs were conducted. The analyses of the survey questions in this set are organized

into two subsections, representing the two key survey questions most directly related to

downward expansion and were used as independent variables for calculating ANOVA comparisons. The survey questions analyzed in this set focused on the perceived impact of downward expansion: how the downward expansion planning process affected commitment toward Lake University, and characterizing faculty attitude toward downward expansion, the degree various groups were influenced by downward expansion, the degree of perceived positive and negative impact downward expansion would have on various groups

In defining the independent variables used for analysis in this section, one survey question asked respondents to evaluate the impact of the downward expansion planning process on their commitment to Lake University and another question survey asked respondents to characterize their attitudes of support or resistance toward Lake University's current downward expansion initiative. The statistically significant comparisons indicated in each of the two subsections below will also include post-hoc Tukey test results to further explain the relationship between groups.

Effects of institutional commitment on perceptions of effects of downward expansion.

In order to understand faculty perspective toward downward expansion, it is necessary to determine if the faculty's commitment to Lake University relates to their perceptions of the effects of downward expansion. Using faculty commitment to Lake University during the downward expansion planning process as an independent variable, data for relevant questions in this section were analyzed using one-way ANOVA, significant comparisons were followed up with Tukey post-hoc tests. As the results in Table 34 illustrate, there were two statistically significant ANOVA comparisons.

The first statistically significant comparison is for the question which asked respondents to rate the degree to which various groups would be positively or negatively impacted by Lake University's downward expansion, $F(3,76) = 19.28$, $p < 0.001$. This statistically significant result indicates that faculty commitment to Lake University during the downward expansion planning process affected the degree to which various groups (such as tenure-track and tenured faculty, non tenure-track faculty, and current upper-level students) were perceived by respondents to be positively/negatively impacted by downward expansion. A series of Tukey post-hoc tests indicated that there were significant differences between those whose institutional commitment was significantly/somewhat weakened (M = 16.19) and those whose commitment was not effected (M = 21.21), $p < 0.001$, as well as with those whose commitments were somewhat strengthened (M = 25.40), $p < 0.001$, and those whose were significantly strengthened (M = 26.00), $p < 0.001$. Additional Tukey post hoc test results indicated that there were also significant differences between respondents whose institutional commitment was not effected (M = 21.21) and those whose commitments to Lake University were somewhat strengthened (M = 25.40), $p = 0.001$, as well as for those whom it was strengthened (M = 26.000), $p = 0.032$). These results suggest that as faculty commitment to Lake University increased during the downward expansion planning process, their degree of perceived positive/negative impact various groups also increased.

The final significant ANOVA result in Table 34 compares respondent's institutional commitment during downward expansion to the question which asked respondents to characterize their attitude toward Lake University's downward expansion, $F(3,76) = 1.70$, $p < 0.0001$. This statistically significant result indicates that faculty

commitment to Lake University during the downward expansion planning process affected their attitude toward downward expansion. The results of Tukey post-hoc tests revealed that were significant differences between respondents whose commitment to Lake University was significantly/somewhat weakened by their experiences with downward expansion (M=2.50) and those whose commitment was not effected (M = 3.71), $p = 0.001$, as well as those whose commitment was somewhat strengthened (M = 4.75), $p < 0.001$ and significantly strengthened (M = 5.00), $p < 0.001$. Additional Tukey post-hoc test results indicated that there were also significant differences between those whose institutional commitment was not affected by downward expansion (M = 3.71) and those whose commitments were somewhat strengthened (M = 4.75), $p = 0.002$, as well as those that were significantly strengthened (M = 5.00), $p = 0.024$. These results indicate that s faculty commitment to Lake University during the downward expansion planning process increased, their attitude toward downward expansion increased in support.

Table 34

ANOVA Results of Respondents' Institutional Commitment on Perceptions of Effects of Downward Expansion

Question	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Groups impacted by downward	80	26.18	5.32	1.042	(3,76)	0.379	0.04
Positive/negative impacted downward	80	21.61	5.07	19.280	(3,76)	$p < 0.001$	0.43
Responsibilities impacted downward	80	21.74	3.37	1.090	(3,76)	0.359	0.04
Stance downward	80	3.83	1.29	1.703	(3,76)	$p < 0.001$	0.41

Note: $p < 0.05$

Faculty attitude toward downward expansion.

In order to understand faculty perspectives about downward expansion, it is necessary to determine if faculty support/resistance for downward expansion yielded differences in perceived impact of the change on various groups. Using the question concerning faculty attitude toward downward expansion at Lake University as an independent variable, the responses to the survey questions in this section about perceived effects of downward expansion were analyzed using one-way ANOVA and statistically significant comparisons were followed up with Tukey post-hoc tests. The results in Table 35 illustrate that faculty attitude toward downward expansion has two statistically significant ANOVA comparisons with survey questions in this section. As faculty attitude toward downward expansion is the variable most related to this study's

framework, an additional table , Table 36, has been added to show the means and standard deviations for the respondent groups.

Two statistically significant ANOVA comparisons were found survey questions that specifically focused on downward expansion. The first of these statistically significant ANOVA comparisons is with the question which asked respondent's to rate the degree to which they believe various groups will be positively or negatively impacted by downward expansion, $F(3,76) = 10.77$, $p < 0.001$. This statistically significant result indicates that faculty attitude toward downward expansion affected the degree faculty perceived the positive/negative impact of downward expansion on various groups (such as tenure-track and tenured faculty, non tenure-track faculty, and current upper-level students). The results of a Tukey post-hoc test indicated that there were statistically significant differences between respondents who were resistant/somewhat resistant to downward expansion (M =17.14) and those who were somewhat supportive (M = 22.00), $p = 0.012$, as well as those who were supportive (M = 24.26), $p < 0.001$. Additional Tukey post-hoc test results also revealed a significant difference between those whose attitude toward downward expansion was neutral (M = 19.14) and those who were supportive (M = 24.26), $p = 0.002$. These results suggest that as faculty attitude toward downward expansion increased in support, their perception of impact on various groups became more positive.

The final statistically significant ANOVA comparison was with the which asked respondents to characterize how the downward expansion planning process has affected their commitment to Lake University during the downward expansion planning process (question nine), $F(3,76) = 18.42$, $p < 0.001$. This statistically significant result indicates

faculty attitude toward downward expansion affected their degree of commitment to Lake University during the initiative's planning process. According to a Tukey post-hoc test there were significant differences between respondents who were resistant/somewhat resistant to Lake University's downward expansion (M = 2.00) and those who were somewhat supportive (M =3.28), $p < 0.001$, as well as those who were supportive (M = 3.71), $p < 0.001$. Additional Tukey post-hoc test results indicated that there were also significant differences between those responded with a neutral attitude (M = 2.50) and those who were somewhat supportive (M =3.28), $p = 0.037$, as well as those who were supportive (M = 3.71), $p < 0.001$. These post-hoc results suggest that as faculty support for downward expansion increased, their commitment to Lake University during the downward expansion planning process also increased.

Table 35

ANOVA Results of Respondents' Attitude toward Downward Expansion Comparisons

Question	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Groups impacted by downward	80	26.18	5.32	0.258	(3,76)	0.855	0.10
Positive/negative impacted downward	80	21.61	5.07	10.767	(3,76)	$p < 0.001$	0.30
Responsibilities impacted downward	80	21.74	3.37	0.952	(3,76)	0.420	0.04
Commitment change downward	80	3.10	1.03	18.423	(3,76)	$p < 0.001$	0.42

Note: $p < 0.05$

Table 36

ANOVA Results Comparing Faculty Support/Resistance of Downward Expansion and Faculty Responses for Questions regarding Perceived Impact of Downward Expansion

	Faculty Support/ Resistance Groups						F-value	*p-value*	*Eta-squared*
	Resistant/ somewhat resistant		Somewhat supportive		Supportive				
Item/scale	M	SD	M	SD	M	SD			
Positive/negative impacted downward	17.14	3.88	22.00	4.86	24.26	4.47	10.767	*p <* 0.001	0.30
Commitment change downward	2.00	0.96	3.28	0.46	3.71	0.91	18.423	*p <* 0.001	0.42

Note: Statistical significance $p < 0.05$

Summary.

In this section of ANOVA data analysis, the key question most related to this study's framework as independent variables did not result in the same high number of statistically significant relationships found in previous ANOVA analyses. However, the results in this section do indicate that, with one exception, the questions most related to this study's framework were found through ANOVA analysis to have statistically significant comparisons to each other. The exception was found in the ANOVA comparison between respondent institutional commitment during past campus-wide changes and participant responses to survey question which asked respondents to characterize their attitude toward Lake University's downward expansion change process. The p-value for this comparison was slightly above the 0.05 significance level at $p = 0.055$. With few exceptions, Tukey post-hoc tests were consistent across ANOVA comparisons to each other in that levels of institutional commitment (no/weak, neutral,

moderate, and strong) and attitude (resistant/somewhat resistant, neutral, somewhat supportive, and supportive) in showing statistically significant differences with all groups of respondents. In addition, all four independent variables indicated statistically significant ANOVA comparisons with the question which asked respondents to rate the degree to which they think various groups will be positively or negatively impacted by downward expansion.

Qualitative Results

The qualitative data in this section relate to the research question, "Does the degree to which faculty perceived positive and negative effects of downward expansion relate to their stance on downward expansion?" The qualitative data analysis in the previous and last section overlaps somewhat with the data presented in this section. All three sections of qualitative data examine steps from the sensemaking process that faculty undergo to explain the influence of internal and/or external influences as well as degrees of downward expansion impact on perceptions of positive or negative outcomes to create a perception of the change process.

For the data in this section there is a relevant connection and, in some cases, duplication of topics as influences of faculty perception.   For example, an internal influence noted in the previous section involved the transparency of the planning process for aspects of the change such as class size, funding, or number of faculty. Those three aspects also have a direct impact on faculty. The two subthemes that were identified in this section – varying perceptions of faculty impact and the convergence of cultures – illustrated some of this overlap. The results from the qualitative data coding scheme were

supplemented by moderator notes of emotions, facial expressions, body language, interaction between focus group members, and tone.

Perception of impact

The data analysis identified "perception of impact" emerged from the focus group and interview participants that offered varying degrees to which downward expansion will directly affect them. Nearly 30% of the interview and focus group participants stated that downward expansion would not, for various reasons affect them. A focus group participant felt that, "Because I don't deal with undergraduates at all so having more undergraduates wasn't going to change what I do too much" (Focus Group Speaker 16). Tenure 1 stated that "I teach mostly graduate students and upper level undergraduate students, so downward expansion won't affect me much." Another interview participant responded to a question about how downward expansion will impact them by stating, "My program will not be affected by downward expansion and my school will only be slightly affected" (Tenure 3). A non-tenure track part-time faculty simply exclaimed, "I have been teaching the same class for a long time and I can't imagine that is going to change. I like what I teach and no one has brought up teaching one of the lower-level classes to me" (Non Tenure Track 1 PT). Interview participant, Tenure Track 2, also claimed that she would not be affected by downward expansion but qualified her statement further by saying, "However, I am going to be affected by the new environment, having the new people with their skateboards and iPods and I am going to love every minute of it."

A small percentage (17%) of focus group participants commented that they would not be affected by downward expansion because their schools were planning to "hire separate faculty to teach those lower-level classes" (Focus Group Speaker 8). One focus group participant worried that their position teaching upper level and graduate students would be threatened if there "will not be enough new faculty to cover the lower-level classes. . . I will have to teach one and give up an upper-level or graduate class I have been teaching for years" (Focus Group Speaker 5).

However, a large proportion of focus group and interview participants (44%) thought more holistically about the impact of downward expansion on their roles as faculty. A non-tenure track, full-time interview participant simply stated, "Everybody will be impacted . . . whether you teach in one of the schools most responsible for teaching the lower-level courses or not, all faculty will be affected in one way or another" (Non Tenure Track FT). A focus group participant excitedly stated,

> I can't wait for downward expansion. It will help the university grow, it will help me grow, and it will help other faculty grow. I know some are afraid of how they could be affected by downward expansion and I know they are comfortable in their niche here but this is an exciting change. You will learn new things about yourself just interacting with a new student population . . .you don't even have to teach one of the core classes. The environment will change. The culture will change. Downward expansion is going to change who we are. Faculty are going to evolve. (Focus Group Speaker 11)

Another interview participant exclaimed,

Some people think they are protected because they have been here a long time and taught the same classes at the upper-level or even, exclusively, at the graduate level. I don't think that will be the case with our downward expansion. Especially, if we aren't able to hire the number of new faculty we need to teach the classes. Anyone could easily be shuffled to teach a lower-level class at the last minute. (Tenure Track 2, personal communication, May 2013)

A focus group participant speculated they were going to be involved in teaching the lower-level courses but cynically stated,

Of course I am going to be involved, but I don't know how. No one has told me I am or I am not but I wouldn't be surprised if I am pulled into my program chair's office and given a class. Or I can also see that if I am going to be left alone with my current class load that one of my colleagues who teaches a different section of the same class might be asked to drop down for a freshmen class or two. Then sections of classes might be collapsed and then, suddenly, I have a huge class to teach. (Focus Group Speaker 10).

Convergence of cultures.

In asking focus group and interview participants about how downward expansion may affect them in the roles as faculty at Lake University, 56% noted the possibility of a cultural interaction that some participants perceived as an enrichment or while others were predicting a clash of campus culture. A focus group participant stated that, "Many faculty came here because we don't have freshmen and sophomores" (Focus Group Speaker 7). Another focus group participant responded to that comment in saying, "I

know I came here because it was an upper-level university. I taught freshmen for years and it was ok but I really liked the more mature students here" (Focus Group Speaker 8). One focus group participant exclaimed,

> Freshmen are scary but they could be fun, too. I just don't know how these new students will affect me until I get them in class. We have no idea what kind of student we are going get so I can't go off experience. That's a little scary. (Focus Group Speaker 9)

In thinking about the differences in the faculty culture, one interview participant feared that the hiring and class assignment practices of new faculty could cause a "caste system" to develop in the faculty culture,

> As you're recruiting faculty what are you going to tell them, 'you're going to be stuck teaching freshmen and sophomore courses for your career.' If you're trying to get good faculty members who want a good tenure-track position, you're going to have to eventually let them mix and match, and that's going to be a challenge. If you are going to attract the faculty members you need, there needs to be a plan in place to be ready to do that [mixing and matching of class assignments]. As far as I know, we do not have such a plan. (Tenure 3)

Some (24%) of the focus group and interview participants spoke about the role of faculty in the downward expansion process as causing some division within the faculty culture. In regard to faculty membership on downward expansion committees, one focus group participant noted that,

I think there is one faculty on each of the downward expansion committees per school, except for the financial resources committee there is only one faculty. So that means for faculty at this university are on these major committees. I know one of them is not tenured so he feels himself to be a bit silenced. (Focus Group Speaker 8)

A participant in the same focus group responded, "Many of the faculty are not tenured if you look across all the committees . . .and that's on purpose" (Focus Group Speaker 10). Similarly, one focus group participant suggested that the way in which faculty were chosen for downward expansion committee assignments was causing some division within the faculty culture,

What happens is we're being told oh yes, we have lots of faculty on these new downward expansion committees, so we're listening to lots except there is a difference between getting feedback from faculty and getting feedback from handpicked selected folks. If you only ask people to be on that committee that you know who are going to say nice things, the version of reality you get may be somewhat different than the version of reality that other people are living in. (Focus Group Speaker 16)

An interview participant didn't consider faculty roles on committees as a cause for division in the faculty culture but critically looked more at the nature of the faculty population,

Faculty worry me a little bit and here is something that other faculty would be hesitant to tell you. We have faculty who have been teaching in graduate

programs or junior and senior level so long that the idea of teaching freshmen and sophomores is beneath them. And that's going to be a problem. . . Change is hard and egos are going to get stepped on. (Non-Tenure FT)

Responding to a similar comment during a focus group, one speaker commented that,

I agree negative gravity is something we need to avoid. Sometime when you have people that were not involved [in the change process] they create an inertia . . .They're always putting on the brakes on the new initiatives so you have to find a way to eliminate that impact. Those new initiatives are already queued to faculty who are engaged and excited to move forward. So you have to find a way to keep those people from being the parking brake that someone forgot to take off. (Focus Group Speaker 15)

Focus Group Speaker 11 answered,

You made a good point. Because we know who they are. Sometime they are quite powerful and sometimes they have tenure. If they are tenured then they will have an influence on those who are non-tenured because they sit on those tenure committees. You have to navigate a minefield of those egos.

In contrast, 36% of focus group and interview participants felt that adding freshmen and sophomores would benefit them as faculty. An interview participant exclaimed that,

I can't wait to see what freshmen and sophomores will do to this university. Yeah, there are faculty who don't like the idea and not willing to look at the benefits of

downward expansion. For me, I am going to be teaching the lower-level classes as well as my current upper-level classes. As a faculty member, I see it as an opportunity to mold students from the freshman year, teach them how to be a student in [an academic discipline] and make them better students once I see them again in my upper-level courses. (Tenure 3)

A focus group participant made a similar comment, "I am not sure how some faculty think that downward expansion would interfere with them. I was excited because getting students for four years as opposed to two years, for me, would permit us to train them a lot better" (Focus Group Speaker 14). Expanding on that thought, another focus group participant commented on their perception of the impact of downward expansion on faculty culture,

I really don't see it as a culture divided. I think some of your charter and senior faculty who would be 3 to 5 years away from retirement, they have come to a comfort level and what they teach and how they teach. To them that is their culture here. I think there is going to be a population that is going to not engage in the change that's going on. They are going to go about their business in exclusion of it. But I think there's a large population, especially new faculty, that are coming on that are going to jump in with both feet. (Focus Group Speaker 11)

Clash of student culture.

Nearly half (48%) of focus group and interview participants indicated that they, as faculty, would be impacted by the way in which Lake University's current upper-level students would interact with a new student dynamic, namely the freshmen and

sophomore students expected in Fall 2014. The impact would take the form of how faculty taught their classes, participated in advising, or even became involved in extracurricular student-centered events. Of those faculty who noted this impact, 36% indicated that they predicted the mix of these two student populations to create a cultural clash. Several faculty participants (24%) worried that events would become "freshmen-only" events and that programming for student services would be refocused on freshmen and sophomores, leaving a "void" for upper-level students. A focus group participant reflected on how he believed Lake University's current students would mix with a new student dynamic, "They're older students, they ask more mature questions, they're more serious. Now if you're talking about recruiting these freshmen and they're not as old or as mature or serious, then you can have a cultural conflict" (Focus Group Speaker 1).

In response to that comment, Focus Group Speaker 3 noted some of that student division in her current class along divisions of younger and older students,

I have already experienced some of that in my undergraduate classes. I have seen that split because we are seeing younger and younger students and then within the classes, let's say 27 people, there are those older student over there that are saying 'let's get with it, let's do this because I have to get home and pick up the kids. . .let's have our group meeting right after class.' Then, over here, these others [younger students] are quite different. So then my other, more serious older students are rolling their eyes.

Similarly, one interview participant commented that toward the end of a semester some of their students commented that they were,

Glad they were leaving before the downward expansion came in to play. That surprised me, so I asked them 'Why would you care?' 'What difference does it make?'. . . They commented that they love this campus the campus the way it was and they felt that freshmen and sophomores coming in would change the [culture] of the campus. . .We are special in that we are a wildlife reserve and a few other things . . .it would change the culture and they were glad they were leaving. (Non-Tenure PT)

Another focus group participant asked her class to voice their opinions on downward expansion,

I asked my students when we first found out that this [downward expansion] was going to happen and the juniors, seniors, and grads didn't like it. The majority of the comments were 'I'm glad to be gone before they get here,' because they feel like it's going to change the whole learning environment. Freshmen and sophomores are generally perceived as not being serious about what to do in college. . . .{my students] were generally not happy at all. (Focus Group Speaker 8)

In response to some of these possible student cultural clashes, one focus group participant chimed in to the discussion, "These new students will totally change the way I teach. A whole new student dynamic will emerge on campus" (Focus Group Speaker 3). Another focus group participant explained that, "We will still have a tremendous number of nontraditional students who are going back to school . . .when those young freshmen and sophomores become juniors, just think of the cultural shift we will have in our upper

level classes!. If I don't teach any freshmen or sophomore classes, by the time this new

mix of students gets to me I will have to change everything I do" (Focus Group Speaker

5)!

Conversely, 12% of the focus group and interview participants, who noted that a

student culture clash would directly impact them as faculty, believe that the addition of

freshmen and sophomores would not have any impact on the current nontraditional

student population and no impact on their roles as faculty. A couple focus group

participants and one interview participant reiterated that that any such culture clash would

not impact them due to their expected distance from interacting with freshmen and

sophomore students.

Citing the communication that class schedules will be spread out to make better

use of existing facilities, one focus group member stated that, "It is my understanding that

freshmen and sophomore classes will be offered during the day and the junior, senior, and

graduate classes will continue to be offered in the afternoons and evenings. The student

groups might just miss each other on campus" (Focus Group Speaker 13). One focus

group participant returned to an earlier comment that downward expansion would be

good for the faculty to mold freshmen and sophomores into ideal upper-level student

studying their majors. The participant expanded the idea to apply to student populations

supporting one another,

> I think there is so much opportunity for, example, having upperclassmen mentor
>
> the freshmen and sophomores. Which is something we don't have here now, I
>
> hope we can extend that to the graduate students as well. . . [it will create] more

diversity age-wise, a more diverse education, more diverse interests, and that can only be good for us [faculty]. (Focus Group Speaker 13)

Summary

The qualitative data in this section suggest that faculty were mindful of the impact downward expansion would have on both the faculty and student cultures. The faculty whose perception that downward expansion would not affect them (17%) believed that either the program in which they teach, their seniority status as faculty, or the intention of the various departments to hire faculty specifically to teach the lower-level classes. However, 44% of focus group and interview participants felt that they would be impacted by adding freshmen and sophomore students but many were not sure how. A few participants (24%) believed that downward expansion would cause divisions within the faculty culture as some faculty are being included in the decision making processes, many are tenure track, while the rest of the faculty is not included. A few participants noted that their desire to work at Lake University was determined by the institution's upper-level and graduate focus. Yet, some of the responses in this section suggest that a small number of faculty have been responsible for the negativity surrounding downward expansion but they are influencing the perspectives of others.

The data in this section also indicated that nearly half of the focus group and interview participants (48%) believed that including freshmen and sophomores would create a culture clash with existing upper level students. Participants who felt this way were concerned that upper-level students who are more nontraditional predicts an attitude that might emerge toward younger, more traditional aged students. The division of

faculty perspective is evident in that participants who do not foresee a culture clash of either faculty or students predict that the inclusion of freshmen and sophomores would be a significant positive impact. Some participants referenced opportunities for faculty to mold their future program students at an earlier stage in their education which they feel would increase the quality of students in their majors. Similarly, several participants noted that nontraditional students could serve as highly effective mentors, sharing broad life experiences with younger students.

Faculty Perspectives on Downward Expansion Timeline and the Relationship to the Formation of Faculty Perspectives on the Change Process

The third set of results focuses on results relating to this study's third research question, "How does the short downward expansion timeline affect faculty perspectives on the change process?" The first section presents the quantitative data results analyzed from the survey, *Faculty Attitudes about Institutional* Change. Given the very specific nature of this third research question, only the most pertinent questions in the survey were analyzed. Three survey questions were used to explore how the downward expansion timeline affected the formation of faculty perspective on the change process: the length of time faculty have been aware of the plan to downward expand, the appropriateness of the timeline for implementing downward expansion by fall 2014, and an appropriate timeline to effectively complete the planning for various aspects of downward expansion.

The quantitative section of this set of results is organized into three subsections. The first subsection includes the frequencies and percentages of responses of the three questions in this set. In a second subsection, chi-square analyses were conducted to

determine if the demographic and faculty characteristic variables correlate with responses to timeline-related questions. A third subsection contains additional chi-square results using responses to three key questions related to this study's framework as independent variables in comparison with the 11 responses to the timeline questions.

The second section of this category presents qualitative analysis from focus group and interview data collections. Focus group and interview data were analyzed and coded to align with this study's research question, "How does the short downward expansion timeline affect faculty perspectives on the change process?" As was the case with the other two qualitative sections, topics discussed by focus group and interview participants in this final section overlap somewhat with previously reported qualitative data.

Quantitative data results.

This section of quantitative results is organized into three subsections. The first subsection includes the frequencies and percentages of the three questions related to the research question focusing on the timeline of downward expansion. A second subsection includes chi-square comparison between four demographic and one characteristic variables and the responses to the three questions in this data set. The final subsection present chi-square as results with two questions most related to this study's framework serving as independent variables and the responses about the timeline.

Frequencies and percentages for three timeline questions.

To understand how the timeline of the downward expansion planning process affected the perceptions of Lake University faculty toward the change, three questions were asked in the survey, *Faculty Attitudes about Institutional Change*: the length of

time faculty have been aware of the plan to downward expand, faculty opinion about the implementation timeline for downward expansion, and faculty opinion on the appropriate timeline to effectively plan various aspects (i.e. outreach to community partners, meeting current student needs, making appropriate change to the curriculum) of downward expansion.

The length of time faculty have been aware of the plan to downward expand may have a direct impact on their perception of the change. To that end, the first questions in this set asked, "How long have you been aware of Lake University's plan to downward expand?" Table 37 indicates that most respondents have been aware of Lake University's plan to downward expand for 1-2 years (30%). The second longest time span of awareness was 3-4 years (28.7%). With some respondents indicating awareness of 4-5 years (21.3%) and 5 or more years (17.5%) suggests that many of respondents are contextualizing the current downward expansion initiative, which has only been officially in process since 2011, with previous general background conversations in the campus community to begin accepting freshmen and sophomore students.

Table 37

Length of Time Faculty have been Aware of Plan to Downward Expand

	Frequency (*n*)	Percentage (%)
Less than a year	2	2.5
1-2 years	24	30.0
3-4 years	23	28.7
4-5 years	17	21.3
5 or more years	14	17.5

Note: n = 80

In a follow-up question, a question was asked to understand the faculty perception about the implementation timeline of the change process, "What is your opinion about the timeline for implementing downward expansion at Lake University in the fall of 2014?" This question is particular relevant given that the time between the distribution of this survey and the actual implementation of downward expansion is 17 months, and the time between the decision to downward expand and implement the plan is 35 months. The data in Table 38 indicate that most respondent feel the timeline for implementing downward expansion by fall 2014 is appropriate (62.5%). Only a small number of respondents believe the timeline is either too slow (2.5%) or somewhat too slow (1.3%). The second highest number of respondents (22.5%) believes the timeline is somewhat too fast and the third largest number (11.3%) believes the timeline is too fast. Together, these last two responses account for 38% of the response.

Table 38

Faculty Opinion about the Implementation Timeline for Downward Expansion

	Frequency (*n*)	Percentage (%)
Timeline is too slow	2	2.5
Somewhat too slow	1	1.3
Timeline is appropriate	50	62.5
Somewhat too fast	18	22.5
Timeline is too fast	9	11.3

Note: n = 80

Faculty perceptions of the timeline for downward expansion may be different depending upon the specific topic of planning. The final question in this set asked respondents to indicate an appropriate timeline for nine aspects of downward expansion (e.g. outreach to community partners), "What is an appropriate timeline to effectively complete the planning for the following aspects of downward expansion?" The Cronbach alpha for this question was 0.92 and the mean for the nine items was 20.85 (SD = 7.30).

The data in Table 39 indicate that the largest percentage of respondents believe that 1-2 years is an appropriate timeline to plan most of the listed aspects of downward expansion: outreach to community partners (41.3%), meeting current student's needs (37.5%), making appropriate changes to the curriculum (40.0%), developing new student recruitment strategies (33.8%), hiring necessary faculty (42.5%), hiring necessary staff (45.0%), determining facility needs (30.0%). However, Table 39 points out that substantial percentage of respondents believe 3-4 years is needed for developing appropriate student services programs and acquiring necessary financial resources (31.3%), and determining facility needs (30.0%). Table 39 also indicates a belief that between one-fourth and one-third of the respondents believe less than year is enough time to plan for the following areas: meeting current student's needs (37.5%), hiring necessary faculty (26.3%), hiring necessary staff (26.3%), and acquiring necessary financial resources (25.0%).

Table 39

Faculty Opinion on the Appropriate Timeline to Effectively Complete Planning for Certain Aspects Downward Expansion

	Length of Time				
Aspects	Less than 1 year	1-2 years	3-4 years	5-6 years	7-8 years
	N %	N %	N %	N %	N %
Outreach to community partners	19 (23.8)	33 (41.3)	18 (22.5)	6 (7.5)	4 (5.0)
Meeting current student needs	30 (37.5)	30 (37.5)	15 (18.8)	3 (3.8)	2 (2.5)
Making appropriate change to the curriculum	12 (15.0)	32 (40.0)	28 (35.0)	7 (8.8)	1 (1.3)
Developing appropriate student services programs	9 (11.3)	25 (31.3)	35 (43.8)	7 (8.8)	4 (5.0)
Developing new student recruitment strategies	22 (27.5)	27 (33.8)	25 (31.3)	3 (3.8)	3 (3.8)
Hiring faculty	21 (26.3)	34 (42.5)	20 (25.0)	2 (2.5)	3 (3.8)
Hiring staff	21 (26.3)	36 (45.0)	17 (21.3)	2 (2.5)	4 (5.0)
Acquiring necessary financial resources	20 (25.0)	15 (18.8)	25 (31.3)	13 (16.3)	7 (8.8)
Determining facility needs	21 (26.3)	24 (30.0)	24 (30.0)	7 (8.8)	4 (5.0)

Note: n = 80

Relationship between responses to timeline questions and respondent characteristics.

In this section, the quantitative data for the three survey questions were analyzed using a series of chi-square tests of independence to determine if there was a relationship between survey responses and various demographic variables and one characteristic variable. Given the small frequencies in certain response categories for how long faculty have been aware of the plan to downward expand and their opinion about timeline, responses were collapsed into two categories for each of the questions. For responses to the question that asked faculty how long they have been aware of Lake University's plan to downward expand, the categories "less than a year," "1-2 years" and "3-4 years" formed the first category, and "4-5 years and "5 or more years" formed the second category. For the question which asked faculty their opinion of the timeline for implementing downward expansion by fall 2014, the responses "too slow," "somewhat too slow," and "appropriate" formed one category and the responses "somewhat too fast" and "too fast" formed the second category. For nine aspects of the question which asked faculty what they felt was an appropriate timeline to effectively complete the planning for various aspects of downward expansion, the first category was formed with the responses "less than 1 year" and "1-2 years," and the second category was formed with the choices "3-4 years," "5-6 years," and "7-8 years." To better understand faculty perceptions of downward expansion, it was necessary to determine if survey responses regarding the timeline of the downward expansion planning process were influenced by their membership in various demographic and characteristic subgroups.

Similar collapsing of categories occurred for the respondent demographic and characteristic variables. The demographic variable faculty length of service collapsed the

responses "less than one year," "1-5 years," "6-10 years, " and "11-15 years" were collapsed into one category and the second category was formed by collapsing the choices "16-20 years," "21-30 years," and "over 30 years." Similar collapsing of categories occurred for the respondent demographic and characteristic variables. The demographic variable faculty length of service collapsed the responses "less than one year," "1-5 years," "6-10 years, " and "11-15 years" were collapsed into one category and the second category was formed by collapsing the choices "16-20 years," "21-30 years," and "over 30 years."

Faculty school affiliation formed two categories by collapsing the choices "Human Sciences and Humanities" and "Science and Computer Engineering" into one category and "School of Education" and "School of Business" were collapsed to form the second category. The third demographic variable, faculty rank, the responses "tenure-track" and "tenured" were collapsed to form one category and the responses "non-tenure track (full time)" and non-tenure track (part-time)" were collapsed to form the second category. The characteristic regarding amount of faculty respondent committee involvement collapsed the responses "no involvement," "1-2 committees," "3-4 committees" into one category and the second category was formed by collapsing the responses "5-6 committees," and "more than 7 committees."

The chi-square test results, contained in Appendix S, indicated few statistically significant results. The first set of chi-square tests results compares faculty length of service to response to the 11 responses regarding the timeline of downward expansion. The chi-square value was statistically significant for three of the responses. The tests results indicated that there was a significant relationship between faculty length of

service and responses to the question which asked respondents how long they have been aware of Lake University's plan to downward expand, χ^2 (1, n=80) = 9.559, p = 0.002. The results further indicated that 73.5% of survey respondents who have been faculty at the university less than 15 years have been aware of Lake University's plan to downward expand for less than 2 years, whereas 61.3% of those faculty respondents who have served at Lake University more than 16 years have been aware of the downward expansion plan for longer than three years.

The results in Appendix S also indicate that the second significant chi-square relationship was between respondent length of service and an appropriate timeline to effectively complete the planning of various aspects of downward expansion. The aspect that indicated a significant Chi-square relationship with length of services was "meeting current student needs," χ^2 (1, n= 80) = 4.444, p = 0.035. The crosstab results further explained that 66.7% of faculty survey respondents who have been at Lake University less than 15 years felt that two years or less was an appropriate timeline to plan for meeting the needs of current students, whereas 60.0% of faculty who have served Lake University for more than 16 years felt that planning for that aspect of downward expansion should take longer than three years.

Appendix S indicate that the second aspect of this question that was significant in comparison to respondent length of service was "hiring necessary staff," χ^2 (1, n= 80) = 5.858, p = 0.016. Crosstab results indicated that 68.4% of faculty survey respondents who have been at Lake University less than 15 years felt that less than two years or less was the appropriate timeline for which to plan hiring the necessary staff for downward

expansion, whereas 60.9% of faculty who have been at Lake University more than 16 years felt that planning for this aspect should take longer than three years.

The second set of chi-square tests results compares faculty respondent's school affiliation to the eleven survey questions regarding the timeline of downward expansion. The data analysis in Appendix T illustrates that there were two significant chi-square relationships between school affiliation and two aspects of an appropriate timeline to effectively complete the planning of various aspects of downward expansion. As indicated in Appendix T, the first significant relationship was with the aspect of planning the "appropriate outreach to community partners," χ^2 (1, n= 80) = 4.867, p = 0.027. Crosstab results indicated that 61.5% of faculty survey respondents who represented the School of Business or the School of Education felt that less than two years an appropriate timeline for planning for outreach to community partners, whereas 64.3% of faculty representing the Schools of Human Sciences and Humanities and Science and Computer Engineering felt that planning for that aspect should take three years or longer.

The second significant relationship was between respondents' school affiliation and the aspect of "meeting current student needs," χ^2 (1, n= 80) = 5.414, p = 0.020. Crosstab results indicated that 60.0% of faculty respondents from the School or Education and the School of Business felt that an appropriate timeline for planning to meet current student needs was less than two years while 70.0% of faculty respondents from the schools of Human Sciences and Humanities and Science and Computer Engineering felt that planning for that aspect should take more than three years.

The data in Appendix U illustrates the Chi-square results of comparing survey respondents' involvement/participation with campus committees and their responses to survey questions in this section. Appendix U indicates that there were only two significant relationships between these two variables. The first significant relationship was between respondent committee participation and the question which asked respondents how long they have been aware of Lake University's plan to downward expand, χ^2 (1, n= 80) = 7.568, p = 0.006. Cross tabs results indicated that 75.5% or survey respondents who were involved in fewer than four campus committees were aware of Lake University's plans to downward expand for less than two years, whereas 54.8% of faculty involved in more than five campus committees have been aware of the plans for more than three years.

The Chi-square results in Appendix U also indicated that the second significant relationship was with the question which asked respondents their opinion about the timeline for implementing downward expansion at Lake University in fall 2014, χ^2 (1, n= 80) = 4.293, p = 0.038. The crosstabs results indicated that 71.7% of faculty who were involved in fewer than four campus committees felt that the timeline for downward expansion was appropriate, somewhat too slow, or too slow, whereas 51.9% of faculty of faculty involved in more than five campus committees felt that the timeline was somewhat too fast or too fast.

The Chi-square results comparing academic rank and participant responses to survey responses in this section indicated no significant relationships (see Appendix V for complete Chi-square results). Similarly, Appendix W illustrates that are no

significant relationships between gender and survey responses regarding timeline for

downward expansion.

Relationship between responses to timeline questions and faculty perspectives on downward expansion.

Previously reported results indicated moderate variability in faculty

support/opposition to downward expansion as well as how downward expansion affected

their commitment to Lake University. This next set of results examines the relationship

between the 11 responses about the timeline and levels of faculty support/resistance to

past campus-wide changes as well as downward expansion and the perceived effects of

downward expansion on their commitment to the institution. The three independent

variables used in this set were collapsed into two categories. The variables faculty

support/opposition during past campus-wide changes and faculty support/resistance to

downward expansion collapsed the responses "resistant," somewhat resistant," and

"neutral" to form the first category and the responses "somewhat supportive," and

"supportive" formed the second category. For the third independent variable, which

asked respondents how the downward expansion planning process affected their

commitment to Lake University, the responses the responses "significantly weakened

commitment," "somewhat weakened commitment," and "no effect on commitment" were

collapsed to form the first category and the responses "somewhat strengthened

commitment" and "significantly strengthened commitment" formed the second category.

Institutional commitment as effected by the downward expansion planning process.

To determine if faculty perspective on downward expansion was influenced by

the relationship between survey respondent commitment to Lake University, as it was

affected by the downward expansion planning process and responses to survey questions in this section, a series of Chi-square tests were conducted. The data analysis results in Appendix X reflects the Chi-Square results of comparing respondent commitment to Lake University in response to downward expansion with the survey questions in this section. The results in Appendix X indicated that there are two significant Chi-square relationships. The first significant relationship was between respondent institutional commitments as it was affected by downward expansion and responses to the question which asked respondents their opinion about the timeline for implementing downward expansion, χ^2 (1, n= 80) = 11.697, p = 0.001. Crosstabs analysis indicated that 54.7% of respondents of whose institutional commitment was somewhat, significantly weakened, no effect on commitment during downward expansion planning process felt that the timeline for implementing downward expansion was appropriate, somewhat too slow or too slow, whereas the majority (92.6%) of those whose institutional commitment was somewhat, significantly weakened, had no effect on commitment during downward expansion planning process felt that the timeline for planning downward expansions was somewhat too fast or too fast.

The second significant Chi-square relationship was between respondent institutional commitment as it was affected by the downward expansion planning process and survey responses to an aspect of the question which asked respondents "What is an appropriate timeline to effectively complete various aspects of downward expansion?" The aspect with the significant relationship was "acquiring necessary financial resources," χ^2 (1, n= 80) = 7.326, p = 0.007. Crosstabs analysis indicated that 51.4% of respondents whose commitment to Lake University was somewhat, significantly

weakened or not effected by the downward expansion planning process felt that less than two years was an appropriate timeline for acquiring necessary financial resources, whereas 80.0% of those who felt somewhat, significantly weakened or not effected by the downward expansion planning process felt that three years or longer was a more appropriate timeline.

Faculty attitude toward past campus-wide change initiatives.

To determine if faculty perspective on downward expansion was influenced by the relationship between survey respondent attitude toward past campus-wide change and responses to survey questions in this section, a series of Chi-square tests were conducted. As illustrated in Appendix Y, there was only one significant relationship. The significant relationship indicated in the chi-square results in Appendix Y is between respondent attitude toward past campus-wide change initiatives and an aspect of the question which asked respondents, "What is an appropriate timeline to effectively complete various aspects of downward expansion?" The aspect with significant relationship to this framework category is "making changes to the curriculum," χ^2 (1, n= 80) = 4.364, p = 0.037. Crosstabs analysis indicates that 72.7% of respondents who felt somewhat supportive or supportive of past campus-wide changes believed that less than two years was an appropriate timeline for to plan for making change to the curriculum, whereas 50.0% of those who were resistant, somewhat resistant, or neutral to past campus-wide changes felt that it should take longer than three years for planning this aspect of downward expansion.

Faculty attitude toward downward expansion.

To determine if faculty perspective on downward expansion was influenced by the relationship between survey respondent attitude toward downward expansion and responses to survey questions in this section, a series of Chi-square tests were conducted. As illustrated in Appendix Z, only one chi-square test resulted in a significant relationship. The data analysis in Appendix Z indicates that there was a significant relationship between survey respondents' attitude toward downward expansion and responses to the question which asked respondents their opinion about the timeline for implementing downward expansion, χ^2 (1, n= 80) = 10.543, $p = 0.001$. Crosstabs analysis indicated that 77.4% of who were somewhat supportive or supportive in their attitude about downward expansion felt that the timeline was too slow, somewhat too slow, or is appropriate; whereas 59.3% of respondents who were resistant, somewhat resistant, or neutral in their attitude believed the timeline is somewhat too fast or too fast.

Qualitative Data Results

The qualitative data results in this section directly relate to the research question, "How does the short downward expansion timeline affect faculty perspectives on the change process?" The data analysis in this section will assess if Lake University's timeline for downward expansion is occurring at a rate congruent with the process faculty undergo to make meaning about the change. Focus group and interview participants were asked about their perceptions on the timeline of downward expansion and whether their perceptions toward downward expansion have been affected by a change initiative that becomes a reality slightly over one year from the time of these data collections. The data in this section has some overlap with themes found in the other two qualitative analysis

sections. For example, some respondents were concerned about appropriate faculty resources in the qualitative results regarding internal and external influences and direct impact on faculty. In this section, those concerns were voiced in regards to the timeline being a major obstacle in securing the appropriate resources. Data analysis in the form of transcript coding and utilization of focus group and interview session notes revealed two themes in the data regarding faculty perspective on the timeline of the downward expansion planning process: quality of the planning process and readiness for downward expansion.

Quality of the planning process.

While many focus group and interview participants cited specific aspects of the timeline for downward expansion as concerns, namely the hiring of faculty, 11 out of 25 (44%) expressed their concern or support regarding the quality of the planning process given the fall 2014 target date for enrolling freshmen and sophomores. Worried about the hiring of faculty, establishing curriculum and securing financial resources, one interview participant shared a pessimistic holistic perspective in that the downward expansion planning process needs to follow a different format,

> I would frame it rather as a matter of trying to do too much too fast. Because there is not sufficient time to work out the mechanics to get done what we are trying to get done. What is step one? What is step two? We are trying to do everything in about a year and a half simultaneously as opposed to thinking that this is a sequential process that we have to this first, this second, this third, in that order. . . .we are moving too fast.

It would be more practical to add a minimum of two years of intensive study of the problem first. . . Looking at every aspect of the University administration, gathering information from all relevant parties who were on the ground as part of the University's operation, to measure the distance between the current operational reality and the aspiration of the goal. Once it has been determined from that study what needed to be in place to make downward expansion possible, not just feasible. (Tenure-Track 1)

Offering a different perspective on the timeline of the planning process, a focus group participant shared a similar concern about the quality of the time spent planning, "I think they have given themselves enough time. They announced in 2011 that they would do it for 2014. I think they had three years and that, I think, is a decent amount of time to go ahead and get ready. I don't think they have necessarily used that time well" (Focus Group Speaker 16). In response, a member of the same focus group argued,

If that was enough time, then why is the excuse that I hear whenever we ask 'Well, what happened to this?' and 'What are we going to do about that?' and 'Where is the discussion?' and 'Where is the funding?' and 'Where is the whatever that we said were going to be getting in order to do this right?' The excuse I always hear is 'Well, we don't have enough time.' We don't have enough time? 'We don't have enough time to discuss it.' 'We don't have enough time to go into all the details.' 'This is going to be happening.' 'Some of this is going to happen later.'

If the excuse is perpetually going to be, 'we don't have enough time' then I think the message the faculty are going to get is that we are trying to do this too quickly because, obviously, we don't have enough time to have any of these discussions or these opportunities for feedback. (Focus Group Speaker 17)

With far less detail on, or interest in, the appropriateness of the downward expansion timeline, one interview participant, commented, "I guess it's [the planning timeline] ok because I don't know exactly where we are in all of this. I don't know. I am assuming they [central administration] know and it's ok . . .If I was told to make this happen by this date, I would do it. I would make it happen. I am not one to say slow down" (Tenure 1).

Citing similar lack of knowledge about the timeline of the planning process, another interview participant more optimistically commented,

You have to worry about budgeting. You have to worry about staffing. Personally, I don't know where we are in that. I do have a lot of faith in the president and the provost and I would think that if they feel we could do it by 2014 then we can, but it's a big project. Then again, they also started thinking about it back in 2008. (Non Tenure Track PT)

A tenure-track interview participant offered a similar optimistic perspective, "I think the timeline is reasonable. I think it's appropriate to start during the fall semester, when the traditional school year begins, whether it is 2013 or 2014. I would love to have seen it happen in 2013" (Tenure-Track 2)!

Readiness for downward expansion.

The qualitative data suggested that faculty were most concerned about the readiness of Lake University to begin teaching freshmen and sophomore classes in fall 2014. In analyzing the comments regarding faculty perspective about Lake University's readiness for downward expansion, 13 out of 25 (52%) of focus group and interview participants noted the hiring of faculty as an issue. As these focus group and interview sessions were conducted sixteen months before Lake University would enroll its first freshmen and sophomore students, seven of the 25 (28%) participants were concerned that the process for hiring new faculty to start in fall 2014 was already running late. One focus group participant exclaimed, "My concern is that if we're trying to get a faculty member and we are committed to for fall 2014 enrollment, we have don't have anybody in line yet to teach them. . . we should have started our searches already" (Focus Group Speaker 5, personal communication, May 2013). Focus Group Speaker five further interjected the possibility of having failed searches and that the late timeline for hiring faculty may cause some department to settle for subpar candidates, "What if 50% of our searches fail? . . . we don't have time to conduct new searches." A similar comment was made in another focus group,

> When we are talking about new faculty and waiting until the last minute, we may not get good, quality people. And if you're not going to start until classes start, you get the 'jinxed' ad nobody else wanted . . . that's not good for our students. For those of us who really worked to grow the students, to throw someone in at the last minute just because we need a warm body in that class is going to happen over and over again. (Focus Group Speaker 9)

Another focus group participant who was concerned about the preparation time a new faculty member would have in preparing their classes responded,

> We should have started our faculty searches in January [2013] and tried to hire somebody for January 2014 because whoever we hire for these classes, especially for the sciences, need to be here early because you walk into one of the science labs and there are literally thousands of pieces of equipment and chemicals and you need to know where everything is. You can't hire someone to show up in August or mid-August and expect them to figure all that out and teach a class. (Focus Group Speaker 1)

Also concerned about the timeline of hiring of new faculty, Focus Group Speaker 8 commented,

> I recently heard somebody say 'oh they can be hired in June to develop the courses,' well, that's not really true because we have to develop these courses before they get here and some of us have to develop more courses than others . . .at what point do we hire people? We are a little over a year out now and we should be given the position. Because we haven't been, somebody's not taking this seriously. These are going to be our front line people who interface with those and if they don't do a good job then this is going to fail. I don't think this is going to fail but I think it will not be what it could be.

An interview participant expressed concern that not only was the hiring process too late in starting but feared that candidates might be detracted from applying to faculty

positions at Lake University if there is a rigidity in the job descriptions about teaching

freshmen and sophomore-level classes,

> We have not started to recruit faculty yet. As you're recruiting faculty, what are
>
> you going to tell them, 'you're going to be stuck teaching freshmen and
>
> sophomore courses for your career'. If you're trying to get good faculty members
>
> who want a good tenure-track position . . . you're going to have to have a plan in
>
> place to 'mix and match' [levels of teaching assignments]. We have not got it [a
>
> plan]. (Tenure 3)

Summary

Focus group and interview participants offered varying perspectives

regarding the timeline Lake University was following in planning downward

expansion. As the data indicated, respondents perspectives about the timeline was

influenced by how factors such as hiring of faculty and having adequate financial

resources. The most common faculty concern, 28%, was regarding the hiring

process for new faculty. Most participants felt that the timeline for hiring new

faculty to accommodate the growth of downward expansion had to be increased to

allow new hires time to develop their courses. Another conversation in focus

groups centered around the short timeline prohibiting the hiring of quality faculty,

concerned that tenure-track positions with August 2014 start dates would detract

quality candidates from applying.

On the other hand, some participants felt that the downward expansion planning

process was being conducted with the appropriate time to prepare for freshmen and

sophomore students. Participants in this group referenced the first round of discussions about downward expansion in 2008 and that the re-emergence of the topic more formally in 2011 was a continuation of the issue for faculty. A tenure-track participant had not only supported the timeline for downward expansion but conveyed the wish for the expansion to happen sooner. The general tone of participants regarding downward expansion did, generally, include comments and feelings of frustration regarding the processes of hiring faculty or securing the enough financial resources to meet the fall 2014 deadline, but there were only a few isolated comments that suggested the timeline needed to be extended.

CHAPTER 5

DISCUSSION AND IMPLICATIONS

Colleges and universities in the United States are constantly changing. Influences internal and external to the institution's environment have created a need to undergo increasingly larger-scale changes, such as the institutional downward expansion which served as the focus for this research, to not only adapt to these influences but also to compete with similar institutions in what has become a "marketplace" of higher education. Changes in student demographics, availability of financial resources, state-of-the-art facilities, increased use of technology, new relationships with corporate enterprises, and stricter standards of state and federal accountability are but a few of the influences institutions of higher education face today.

As institutions respond to these influences, the timeline for certain change processes has changed. The days of slow, incremental change have all but disappeared in deference to larger, faster change processes that are so dynamic that a change initiative may be designed by institutions to maintain a momentum of adaptation to internal and/or external demands (i.e. budget shortfalls, increasing accountability from state and federal agencies, and changes in student demographics). Higher education has become a marketplace of competition, some scholars arguing that the college and university culture has become more corporate as business models are replacing educational models in dictating institutional decision-making.

Some colleges and universities have responded to the demands of these new environments by deciding to undergo change processes that redefine the institution as a

means to gain a more competitive niche in a particular higher education market. One such type of redefining change is downward expansion. This type of change is undertaken by institutions of higher education that were founded as upper-level institutions, serving only junior and senior-level students and possibly graduate students, to "downward expand" by accepting freshmen and sophomore-level students. While this type of change is now rare, dozens of upper-level institutions across the country, the largest number in Texas, have undergone this type of change from the 1960s through the 1980s. As of 2014, only a few upper-level universities remain, two of which are currently undergoing downward expansion change processes.

This study examined faculty perspectives on the downward expansion change process at a mid-sized, university, "Lake University." The following three research questions guided this study:

1) What internal and external factors influence faculty perspectives about the change process?

2) Does the degree to which faculty are directly affected by downward expansion effect their perceptions of positive or negatives outcomes of the expansion?

3) Does the short downward expansion timeline affect faculty perspectives on the change process?

Utilizing constructivist theory as a framework, this study used a sequential mixed-methods approach to examine faculty perspective, including survey, focus groups, and individual interviews as the three sources of data. Constructivist theory also influenced this study's framework for examining faculty perspective based upon Klein and Dunlap's (1994) model of faculty resistance to and support for change. The model identified four

faculty stances toward downward expansion at Lake University: active resistant, passive resistant, passive support, and active support. An adaptation of this set of four categories was used in the analysis of data collected from the survey.

A 24-question survey was distributed via email to 521 Lake University faculty, of which 502 were valid, who were "active" as of the spring 2013 semester; 80 faculty responded for a 15.9% response rate. The frequencies and percentages of survey data were obtained, as well as comparative analysis using one-way ANOVA, independent t-tests, and Chi-square. Following survey data analysis, the qualitative data collection took place through four focus groups followed by eight individual interviews (n = 25). Both the focus groups and the individual interviews were roughly one-hour in length and took place on the Lake University campus. The comments from these low-structure focus groups and interviews were transcribed and analyzed to identify prevalent themes, word usage, and tone related to the three research questions.

Organization of Remainder of Chapter

This final chapter draws together the results of the study and the literature on institutional change and places the faculty perspective on the downward expansion change process at Lake University into the larger context of implications for practice introduced in chapter one. Organized into eight sections, this chapter begins with five sections discussing the meaning of the results presented in chapter four. The first section includes a review of the four faculty stances on downward expansion. The second section examines the issues of communication and transparency. A third section discusses faculty feeling of value and the reflection it makes on Lake University's

culture. The fourth section of this chapter includes discussion about how Lake University faculty formed their perspectives about downward expansion through sensemaking and sensegiving experiences. From this development of faculty perspective about downward expansion, a fifth section continues the analysis of this study's framework on faculty perception from chapter three to examine the types of change the faculty at Lake University may be willing to accept based upon their perspectives oo downward expansion.

The sixth section presents the limitations of this study. A seventh section discusses the implications this study may have for institutions, leaders, and faculty planning to initiate substantive change as well as implications for further research. The last section offers final thoughts regarding the findings of this study.

Categorizing Faculty Support for Downward Expansion

Results of this study of faculty perceptions on downward expansion indicated that faculty were generally supportive of the change initiative, with 67% classified as either passive supportive (49%) or active supportive (18%). For the 33% of the faculty participants who were categorized into some degree of resistance toward downward expansion, 26% were classified as passive resistant and 7% were considered active resistant. Similarly, the data collected in this study suggests that faculty at Lake University were committed to the institution and care about the process of downward expansion. Survey data results indicated that 71.3% of survey respondents were moderately or strongly committed to Lake University, and 32.5% of respondents indicated that their commitment to Lake University was either somewhat or significantly

strengthened by the downward expansion planning process. This high-level of commitment to the institution was also evident in the analysis of data collected in the focus group and individual interview stages of data collection, "There really is there is so much you can do as a faculty member. I love interacting with undergraduates. That is the thing I enjoy and this place is perfect" (Tenure 4). Results also indicated that faculty commitment is also strong toward their students and their successes, the future development of Lake University and its programs, its reputation, and the role of the faculty.

With this level of support for downward expansion and commitment to the institution, the large percentage of faculty participants who were placed into the passive support or passive resistance framework categories (75%) raises questions about various aspects of the institutional change process that may help explain the large percentages who do not commit active support or active resistance to downward expansion. This unwillingness to move beyond passivity in their perspectives could have multiple explanations but results suggest that faculty participants who fall into one of these passive categories have experienced varying degrees of frustration with the downward expansion planning process centered on the following three aspects: communication/transparency, the value of faculty during the planning process, and the connection to sensemaking experiences in the downward expansion planning process.

Communication/Transparency

Faculty participants in the focus groups and interview stages of this study overwhelmingly identified communication and transparency (88%) as a frustration

throughout the downward expansion planning process and as a major influence in forming their perspective about the change initiative. It is important to note that faculty who participated in this study did not pose significant objections to the idea of downward expansion as the change had been communicated first in 2008 and then again in 2011, the last date reflecting the beginning of a formal planning processes. The majority of the participants in this study accepted the need for Lake University to downward expand as was articulated throughout the planning process by the institution's president. However, as with other aspects of the change initiative, faculty participants in this study felt that the planning process not only lacked effective, campus-wide communication but also caused the principle change agents in the Lake University administration to be perceived as not transparent in their decision-making.

The qualitative data analyses suggested that communication was a major frustration, even among faculty who provided active support for the downward expansion initiative, "We are only told certain things at certain times, we are never asked" (Focus Group Speaker 16).   Much of the concern expressed by the faculty reflected a concern that the majority of the downward expansion planning was being conducted without their participation and that, when it comes time to implement the change, they will simply be told what to do. Data analysis also indicated that specific concerns were voiced regarding class sizes, curriculum planning, and the availability of resources.

In their study of transformation change, Eckel and Kezar (2003) identify "persuasive and effective communication" as a core strategy for initiating intentional change (p. 77). Further, Eckel and Kezar (2003) noted that, "Institutions that made significant progress on their change agendas developed extensive internal communication

plans" (p. 112). Such emphasis on the importance of developing effective communication plans is cited throughout the literature on change in higher education. Studies on cultural dimensions of change point out the significance of communication to gain "buy-in" from members of the organization in order for the culture of the institution/organization to integrate the key principles of the initiative into a new conception (Schein, 1992; Kashner, 1990; Keup, Walker, Astin, & Lindholm, 2001). Similarly, studies that focus on the sensemaking/sensegiving aspects of change (Kezar & Eckel, 2002a; Gioia & Chittipeddi, 1991; Gioia, Thomas, Clark, & Chittipeddi, 1994; Gioia & Thomas, 1996; Kezar, 2013) identify various forms of communication as key elements in helping community members make sense of a proposed change.

Results of this study suggest that communication and transparency issues, as perceived by the Lake University faculty, have caused their "buy-in" of downward expansion to be incomplete in that they do not feel like they know enough about what is happening, but know they will be expected to enact changes to their roles that the initiative requires. This communication and transparency "disconnect" felt by some of the faculty may cause some to struggle in making sense of the change. Without a connection to the change, it may be difficulty for downward expansion to take cultural roots and transform Lake University. If some faculty perceive Lake University to be an upper-level institution that just happened to add freshmen-and-sophomore-level classes and others consider downward expansion to be the mark of a transformation of the institution into a traditional, four-year school, then two conflicting images and identities of Lake University may emerge.

Value of Faculty during the Planning Process

The results of this study found that faculty perception of how they are valued in planning downward expansion is important to forming their opinions about the change. Lake University faculty feeling valued during a major change initiative is a direct reflection of the institution's culture. Data analysis suggested that faculty felt valued when it comes to forming opinions about past campus-wide change, but felt less valued about the downward expansion change initiative. Survey results indicated that 69.3% of respondents felt faculty were either somewhat influential, very influential, or extremely influential in forming opinions about past campus-wide changes. Slightly fewer respondents, 58.8%, felt faculty were somewhat influential, very influential, or extremely influential in forming their opinions about downward expansion but rather influenced by the "actions taken" on downward expansion during the early planning process, 61.2% were somewhat, very, or extremely influenced. The analysis of results for focus groups and interviews confirm a strong faculty culture and sense of collegiality. Due to the relatively small size of the institution, Lake University faculty may have more interaction with colleagues from other departments and/or schools than those working at larger institutions. As confirmed during the focus group and interview data collections, participants were attentive to the perspectives of other faculty and displayed a distinct level of respect toward each other regardless of how that faculty, or the school in which they represent, will be affected by downward expansion.

This interaction and collegiality is somewhat complicated by the requirement of the downward expansion planning process. In developing curriculum for freshmen and sophomore-level students, faculty in two of Lake University's four schools will be more

impacted than the others. The planning process in the two schools most affected by downward expansion, Human Sciences and Humanities and Science and Computer Engineering, have heavily engaged their faculty in curriculum planning and new faculty hiring processes. The two schools not as affected by downward expansion, School of Education and School of Business, will each be adding a few lower-level classes and are conducting some minor curriculum and staff resource planning. Although the various campus-wide downward expansion planning committees have included faculty representation amongst its membership, participants in this study expressed some frustration over a perceived disconnect between the downward expansion planning process and the decisions made throughout this initiative. Further, the results of the data analysis in this study suggest that faculty participation in a committee or a formal decision-making process does not necessarily mean that their perspectives are valued in making a decision.

Some of the reason for this frustration regarding the perceived disconnect between the downward expansion planning process and the decisions made throughout the initiative is likely due to the lack of value many of the participants in this study felt by Lake University's administration. Results of this study suggest that this feeling of not being valued by administration is not necessarily new. Survey results indicated that 53.8% of respondents felt their participation in deciding to initiate past campus-wide changes was either not valued or slightly valued. Similarly, in regards to past campus-wide change experiences, 61.3% felt their participation in determining the impact on faculty was not valued or slightly valued, 63.8% were not or slightly valued in determining budget needs, 57.6% were not or slight valued in determining facility needs.

For some survey participants, this feeling of not being valued worsened during their experiences with downward expansion, 61.3% felt not valued or slightly valued in their participation to decide to downward expand. The feeling of value in their participation decreased slightly to 62.5% in determining impact on faculty, 67.5% in determining budget needs, and 62.5% in determining facility needs. The qualitative data indicated similar perspectives as 64% of focus group participants and 72% of interview participants also felt they were not valued in the downward expansion planning process. Some participants expressed feelings of their opinions being unwanted or even disruptive to the planning process. Some focus group and interview participants suggested that the faculty are significantly divided between those that know what is going on and are involved in the planning process and those who are not.

While these feelings of value suggest that many participants in this study were feeling disconnected from the downward expansion planning, faculty who felt valued and connected to the change process suggested that the planning process was faculty-friendly and that they, as a group, were listened to and their opinions respected. One focus group participant felt that campus leadership took "My feedback and used some of my work means I've had input and I feel I have been valued in this process" (Focus Group Speaker 14). Many of the faculty participants that shared this belief indicated that, in their opinion, faculty were informed, and while many may not be participating directly in planning processes, their schools are represented on those committees. Further, some of these faculty participants indicated that administration is listening to their input and that they have observed changes to the planning process occurring because of their input.

Findings related to faculty feeling valued during the downward expansion change process may be linked to the organizational culture of Lake University. According to Keup, Walker, Astin, and Lindholm (2001), administration and faculty disagreements during change processes are not unusual as the administration who initiates the change and the faculty who may be charged with enacting the change may be in conflict over various aspects of the initiative. Further, Keup, Walker, Astin, and Lindholm (2001) characterize the faculty as the "gatekeepers of culture and traditions on the campus" and noted that "When long-held cultural beliefs are challenged by change efforts, faculty naturally perceive the change initiative as threatening" (p. 4). Results of this study suggests that some Lake University faculty perceive downward expansion as a threat, although the passivity of this resistance may not necessarily be a reflection of the change itself but more the manner in which it is being planned.

One possible explanation of the downward expansion change process clashing with Lake University's culture is the diminished role of faculty in planning such a large-scale change. Kashner (1990) argues that faculty hold a symbolic position within higher education and that change initiatives may threaten their "turf," "Supported by custom and habit and often by real practical considerations, various spheres of ownership may operate as potent points of resistance to change, especially if projected innovations appear to threaten the proprietors" (p. 21). The faculty "sub-culture", Kashner (1990) continues, is symbolic and their support is essential to shift the institution's culture toward a new image.

Similarly, Lake University faculty not feeling valued during the downward expansion planning process risks that the change will not be culturally accepted. Simsek

and Louis (1994) studied the shifting of paradigms from "old" to "new" being a cultural transition for members of the institutional community. As Kashner (1990) suggested in characterizing faculty "spheres of ownership" as symbolic within the larger institutional culture, Simsek and Louis (1994) suggested that such elements of the "old" paradigm may mesh with elements of the new paradigm. However, in some cases, Simsek and Louis (1994) also argue that there could be a period of "crisis" during which multiple paradigms compete and with each other. Results of this study have shown that some faculty at Lake University believe that downward expansion will not have any effect on them,while others have high expectations that the change will affect them. Therefore, it is possible that multiple paradigms may emerge about how a new Lake University with freshmen and sophomores will affect faculty.

The results of the qualitative data analysis further suggest that the Lake University faculty who are having difficulty making this paradigm shift may be due to their perceived devaluation in planning downward expansion. To some of the participants in this study, there are suggestions that the devaluing of faculty in planning processes of important university initiatives is not a new experience and that faculty omission from current downward expansion planning is not atypical. This expectation may be evidence of a shifting paradigm: faculty experiences during past planning processes made them feel devalued so, too, are their feelings of value during downward expansion. With an expectation to feel devalued again, and the downward expansion planning process is validating that expectation for many faculty, this may explain why there are such large numbers of faculty (75%) who align with either the passive supportive or passive resistant stances. Faculty may feel as if they were not valued in the past, they are not

valued during the current change initiative, their "active" support or resistance would be meaningless anyway.

The Sensemaking of Downward Expansion

In considering the frustrations over communication and transparency, the cultural implications of faculty not feeling valued, and the large numbers of faculty who are categorized into one of the two passive stances, may suggest that the sensemaking/sensegiving process of downward expansion reflects disconnections between the intent of the change initiative and the way in which members of the Lake University are making meaning out of the change. Both quantitative and qualitative data analysis suggest that faculty perspectives are strongly influenced by information sources within the campus community and are concerned with how downward expansion will directly impact them. One interview participant noted, "There are just so many unknowns, it's hard for me to think about how downward expansion is going to affect me" (Tenure 1). The paradigm shifts during institutional change studied by Simsek and Louis (1994) may suggest that Lake University faculty who are unsure of their role in the "new" downward expansion structure may be in a crisis phase caused by uncertainties (anomalies). According to Simsek and Louis (1994), faculty would then search for new ways to consider the paradigm of Lake University as a four-year institution. This process within a paradigm shift is similar to the sensemaking and sensegiving process faculty would undergo to make meaning of downward expansion.

In considering the identity and image of Lake University, faculty are making meaning of what elements of the "old" Lake University will be retained and what will be

introduced as new elements in defining the institution. Gioia and Thomas (1996)

consider this identity-forming aspect of sensemaking in terms of members of the

institution being asked to determine "how you see yourself" and "how we think others

see us" to move toward "how we want others to see us in the future."   As noted earlier,

the results of this study suggest that the ideal of downward expansion and adding

freshmen and sophomore students to Lake University is, generally, accepted.   However,

the faculty being given the opportunity and the information to make sense of their roles in

the "new" Lake University may not be taking place. Kezar and Eckel (2002b) discuss

five core strategies that assist in the sensemaking/sensegiving process: senior

administrative support, collaborative leadership, staff support, taking action, and robust

design.   Kezar (2013) notes that "on campuses that accomplished transformational

change, compared to those that did not, leaders helped create sensemaking through

strategic actions (robust design and professional development) and they intentionally

established senesemaking mechanisms like roundtables" (p. 764).

Results of this study suggest that the majority of faculty have not been given the

opportunity yet to make sense of the downward expansion planning process equitably,

causing a possible disconnect between those who have experienced sensemaking

opportunities and those who have not. Participants in this study have reported that some

faculty have been involved and, therefore knowledgeable of the planning and decision-

making processes associated with planning this change initiative,

> Yes, I feel valued I think by my involvement in the planning process. . . I think
>
> given I had the opportunity to assume more responsibility, to be involved in the
>
> decision-making process, and my opinion be valued, that's been very rewarding

to me as an individual as an individual at this university. (Focus Group Speaker 11)

These "involved" faculty may have participated in planning committees, developed curriculum, evaluated resource availability, and have been part of other formal conversations that can facilitate sensemaking (Kezar, 2013).

All faculty at Lake University have had the opportunity to attend public forums that are dedicated to downward expansion. In addition, the deans of the institution's four schools have been assigned to downward expansion planning committees and have had varying levels of involvement with curriculum and resource planning depending upon the impact downward expansion will have on their respective schools. Whether or not those deans have communicated with their faculty about the downward expansion planning process, getting "reports" on the status of downward expansion may not be enough for many faculty. While their involvement with the enactment of downward expansion may not be clear, the nature of this change initiative is transformational. Kezar (2103) found that "three key elements of sensemaking/sensegiving appeared to move institutions toward transformation – depth of process; breadth of engagement across departments and campus-wide; and connection to startegies and barriers" (p. 767). The results of this study suggest that the first and second elements, depth of process and breadth of engagement across departments and campus-wide, may be underdeveloped at Lake University. Having faculty with varying levels of involvement, knowledge, and responsibility in planning downward expansion, there appears to be too much stratification to allow the institution as a whole to move forward toward the goal of downward expansion. As was suggested in discussing communication and transparency

and the faculty feeling valued, the variation of sensemaking/sensegiving experiences at Lake University may help explain the passivity of faculty to resist or support downward expansion.
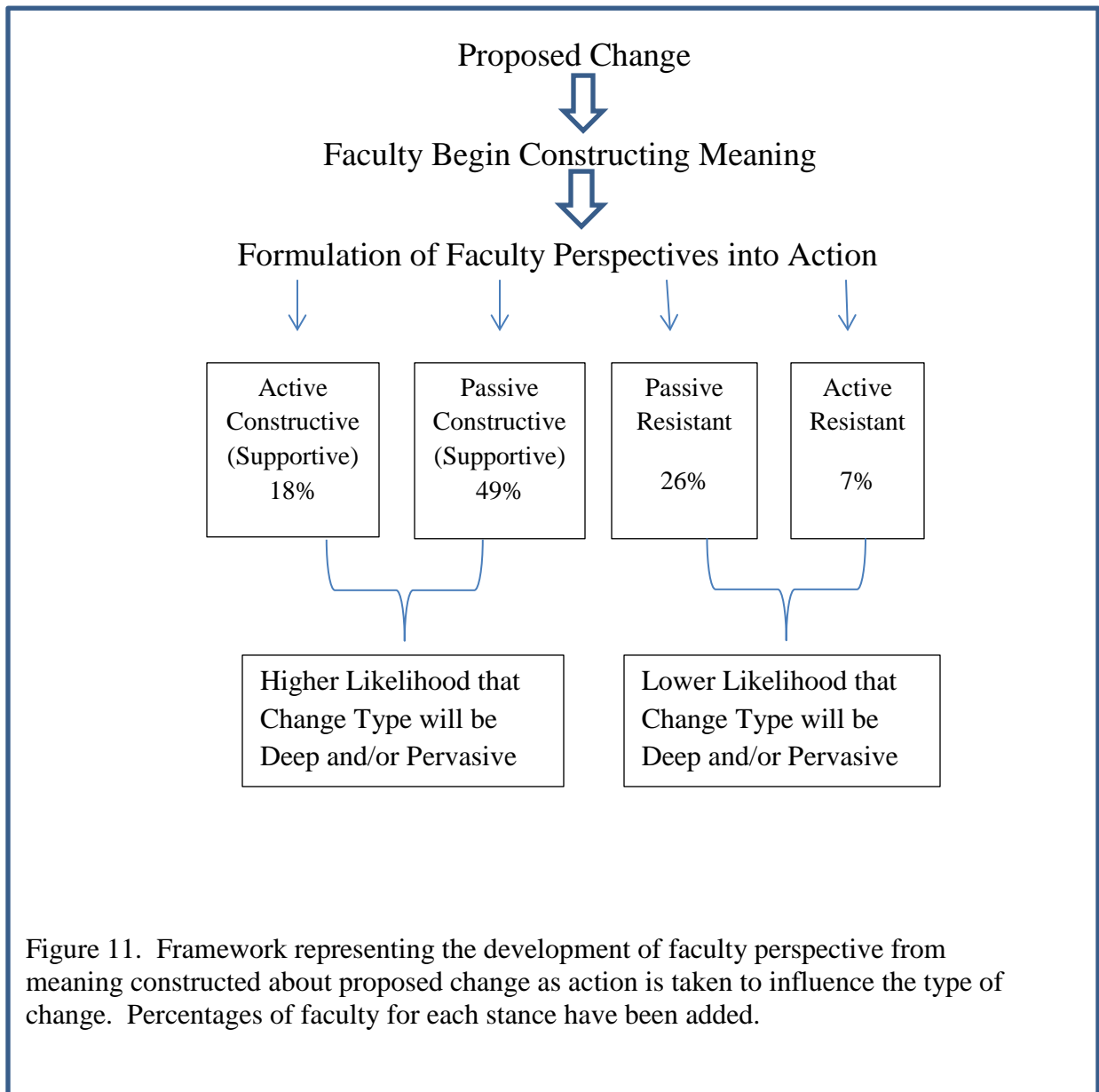
Reflections on Change Types for Downward Expansion

The data analysis suggested varying levels of frustration and disconnection between the faculty of Lake University and the downward expansion planning process. As was noted previously, the majority of faculty who participated in this study (75%) were passive resistant and passive supportive of the change initiative. This passivity may present a problem for the ongoing change process at Lake University. As indicated earlier in this chapter, results of the data analysis suggest varying levels of connection to the downward expansion planning process. These variations, while to some degree may be acceptable, suggest that the breadth and depth of the downward expansion initiative may be accepted at varying levels. The process in Figure 11 was initially introduced in chapter three and the percentages of faculty in the four groups were presented in the beginning of chapter four. However, this section will present the percentages of faculty in each of the four stance categories (Figure 11) and discuss the meaning of these stances in determining the type of change most likely accepted by respondents in each stance category: active resistant, passive resistant, passive supportive, active supportive.

As indicated in Figure 11, 67% of faculty participants aligned with the supportive stances. These supportive stances suggest that there is a higher likelihood that change a process that is deep and pervasive would be accepted. Transformational change would fit the change characteristics acceptable to these supportive faculty. On the other hand, a

significant number of faculty participants (33%) were grouped in the passive resistant or active resistant stances number of faculty. According to Figure 11, these faculty would be less likely to accept a change initiative that is deep and pervasive. Given the suggested conclusions above that cultural transitions of paradigms and sensemaking experiences may be lacking, it may be more likely that this group would be comfortable with isolated changes that would allow faculty who are not directly affected by downward expansion to maintain their distance from the enactment of the change.

However, the notion of faculty stances determining faculty predisposition toward type of change may not be so simple. As alluded to throughout this chapter, the 75% of faculty participants who are grouped in the passive stances presents some challenges in decisively determining faculty perception about change. The previous discussion about the majority of faculty in this study not feeling valued is reflective of the Lake University culture of faculty-senior administration relations. In some ways, swaying passively supportive faculty to become more resistant may not require too much effort. A series of decisions gone wrong or public affirmation of decisions being made without faculty knowledge or consent could be enough to cause the numbers of resistant faculty to grow. Then the downward expansion change process, as indicated in Figure 11, would have less of a chance of reaching the depths of Lake University's culture. On the other hand, the pendulum could swing the other way in that the passively resistant may be enticed to become more supportive. Then change processes that are more deep and pervasive, like transformation, is more attainable.

Proposed Change

⇩

Faculty Begin Constructing Meaning

⇩

Formulation of Faculty Perspectives into Action

↓ ↓ ↓ ↓

| Active Constructive (Supportive) 18% | Passive Constructive (Supportive) 49% | Passive Resistant 26% | Active Resistant 7% |

Higher Likelihood that Change Type will be Deep and/or Pervasive

Lower Likelihood that Change Type will be Deep and/or Pervasive

Figure 11. Framework representing the development of faculty perspective from meaning constructed about proposed change as action is taken to influence the type of change. Percentages of faculty for each stance have been added.

Limitations of Study

There were several limitations to this study that emerged during both the data collection phases and the analysis phase. The first limitation to this study was the response rate of faculty to the survey, n=80. The survey was sent to all active Lake

University faculty as of the spring 2013 semester with an overall distribution, after pilot study participants and faulty email addresses were omitted, to 521 full and part-time faculty. The survey was available to faculty for six weeks with three reminder emails sent to the Lake University faculty every two weeks. Although having 80 respondents was acceptable for purposes of statistical analysis, having a larger response rate would raise confidence that the results were a valid representation of faculty at Lake University. An analysis of who responded compared to the population of faculty suggested that percentages of respondents in various categories parallel percentages in the total population.

Several faculty reported that others may not have been willing to participate in any of this study's data collection efforts due to their concerns about consequences from central administration for their opinions or participation. Participants in all three stages of the data collection either agreed via participation in the online survey or signed informed consent documents. Through Survey Monkey, survey participants were anonymous and the informed consent signed by focus group and interview participants assured confidentiality of data by the researcher. Given some of the discussions through the focus group and interview phases of data collection as well as responses to survey questions regarding the degree of value of central administration has on faculty participation during past campus-wide change and downward expansion planning processes, there were concerns by some of the participants about the willingness of central administration to involve faculty in the decision making process of downward expansion planning.

A second limitation related to survey content was noticed by the researcher and one of the survey's pilot study faculty after the survey's distribution. Question eleven of the survey asks respondents, "How long have you been aware of Lake University's plans to downward expand?" A problem was detected in the five-scale answer choices: less than a year, 1-2 years, 3-4 years, 4-5 years, and 5 or more years. The last two answer choices, could have been confusing for respondents and may have caused respondents who have, for example, know about the downward expansion plans for four years to pick one of two choices, 3-4 years or 4-5years. Therefore, determining how many respondents knew about the downward expansion plan for four years or for five years was confounded by the question's answer choices.

Although this study was focused on the study of faculty perspective, a third limitation of this study was the absence of Lake University's senior administration's perspective about leading the downward expansion change initiative. As indicated by the results of the study and the concluding discussion earlier in this chapter, the way in which Lake University leadership conducted the downward expansion change process was significant in forming faculty perspective of the change. The discussion earlier in this chapter about the disconnection of faculty sensemaking opportunities with administration's sensegiving efforts may have caused some faculty perspectives to lean more toward passive or active resistance to downward expansion. Following the arguments presented in studies by Gioia and Chittepeddi (1991) and Kezar (2013), the sensegiving opportunities provided by Lake University administration to enable faculty to make sense of downward expansion had to be carefully and deliberately planned so as to keep the goal of downward expansion clear throughout the change process. Without this

sensegiving component presented in this study, some of the sensemaking and changing of the Lake University faculty culture because of downward expansion may have been without context.

In addition, the absence of data on how Lake University leadership's personal sensemaking of downward expansion throughout the planning process prohibits a full understanding of their sensegiving efforts. Gioia and Chittipeddi's (1991) case study of sensegiving and sensemaking as part of strategic change at a large, public research university, note the importance of looking at sensegiving and sensemaking during change requires collecting data from administrative leadership as well as members of the campus community. According to Gioia and Chittipeddi (1991), the processes of sensemaking and sensegiving "took place in an iterative, sequential, and to some extent reciprocal fashion" (p. 442). As noted in the next section on implications for further research, studies such as this one may provide a valuable understanding of a faculty perspective during a change process as unique as downward expansion, further research on the sensemaking and sensegiving experiences of Lake University administrative leadership may provide a better understanding of faculty and leaderships' perspectives on change.

Implications

Further research

Examining faculty perspective during a change process such as downward expansion is likely to have parallels with other institutional change processes, even though the number of institutions likely to engage in downward expansion in the future is very few. However, the broader study of faculty perspective during institutional change

processes may allow researchers further insight into cultural characteristics of the college or university community. As Eckel and Kezar (2003) suggested, institutional transformation is a type of change that is relatively new to higher education scholarship, relying on deep and pervasive roots into the culture of the institution. As was demonstrated in this study, the roots of a change that may be intended to be deep and pervasive may not take hold in various aspects of the institution's culture because a key stakeholder (i.e. faculty) have not had the opportunity to make sense of the change initiative due to inadequate communication and misalignments between the intended role of the faculty by campus leadership and their actual role as experienced during the change planning process.

Specifically considering the downward expansion process of Lake University, further research into how an institution's culture effects change process may help conceptualize a change process for internal and external members of an institution's community. Kezar and Eckel (2002) provided a framework of five core strategies that can used to study change: senior administrative support, collaborative leadership, robust design, staff development, and visible actions. Perhaps taking strategies such as these and conducting research into one or two aspects of the change, (i.e. senior administrative support or robust design), may provide researchers valuable insight into specific aspects of a change process that may be effective or not rather than considering the change as a whole, which might muddle some of these specific characteristics of the change in the large-scale scope of an institution's change. In other words, by taking some of these core strategies and studying them one or two at a time in the context of an institution's change process could provide a deeper and richer understanding of these aspects of change so a

researcher can better understand how a change process is led, designed, or understood by the institution's members. For example, if this study just focused on collaborative leadership, then misalignments with sensegiving and sensemaking experiences may have been more clear and noticeable in the data. With a qualitative data collection, these misalignments could have been more focused upon and deeper understanding could have been more achievable.

The focus this study had on examining faculty perspectives during a change process is an aspect in the current scholarship that needs more development. As this study has shown, the faculty perspective on change is highly valuable, since this group can help determine the depth a change initiative will be able to soak into an institution's culture. If faculty are resistant to change and even takes on characteristics of being less-passive in their objections, a change initiative can be hopelessly stalled. On the other hand, an active supportive faculty can not only accept the cultural changes of a proposed change but assume their roles in the "new" version of the university in a way in which the external observers and future institutional community members will be able to easily identify with the culture and take a place in it comfortably. Studies by Kezar (2013), Eckel and Kezar (2003), Kezar and Eckel (2002), Gioia and Chittipeddi (1991), Gioia and Thomas (1996), and Gioia, Thomas, Clark, and Chittipeddi (1994), have explained the importance of an organization's members to be able to make sense of a change. Further research on the sensemaking process that faculty, specifically, experience is needed to better understand the importance of this population's role in a change process. Such studies can also be enriched by work to determine the linkages between faculty

perception and their experiences making sense of a change initiative and the effectiveness of that initiative to accomplish its goals.

Implications for practice

The study has implications for administrators serving at colleges and universities, systems of higher education institutions, and faculty. In examining the perspectives of faculty, a wider lens of perception about change can be used to consider the planning processes and assess if the change initiative is one that includes the cultural transformation of a designated community in higher education, i.e. students, faculty, staff, or all members. Institutional administrators would need to assess and cultivate the faculty culture to create a sense of understanding about the change and create opportunities to shift perceptions of the "old" and replace it with the "new" proposed in a change initiative. Gioia and Chittipeddi (1991) and Kezar (2013) consider this dynamic a process of sensegiving and sensemaking. By understanding the faculty perspective and providing opportunities to shape it, administrators can begin to ascribe a change process with cultural meaning. To do this, faculty need to be given opportunities to be involved in the planning process, participate in planning committees, work within their schools or departments to contextualize how the proposed change will affect them, and then communicate their perspectives to campus leadership. Effective communication would be key and all members of the institutional community would have to provide show that they are being heard as well as being willing to listen.

Administrators should look at the change process as more than just an alteration of structures, policies, and/or procedures. The process would reflect a change that not

only changes how things are done but how faculty, in this case, shifts their identities to fit the change initiative's goals. Faculty would be learning their new roles by making sense of who they are and what they do before, during, and after the change process. Faculty and administrators would be learning from each other, making sense of each other's perspective of the proposed change and proceeding to plan and then enact the change with a common understanding. However, as this study has demonstrated, transparency from the change agents is important to develop effective communication, trust needs to be built and maintained, value needs to be ascribed to the role the institution's members play throughout the change process and after it is completed, and then change can become a commonly understood goal to be achieved. Administrators would have to develop assessments of the institution's climate during change and share the results with the institutional membership.

Change agents at a system level have a greater challenge in implementing a change process that may involve multiple campuses made up of institutions with, often, very different demands for change. System leadership would have to develop ways to involve the members of the system's institutions in the decision making process, both in having a voice to share their perspectives on the change but also to be able to see that decision-makers are listening. Some examples of such opportunities are system-wide task forces or committees that include representatives from all system institutions. The goals, activities, and final recommendations of the task force would then be communicated throughout the system. Assessing whether faculty and staff at system institutions are experiencing sensegiving and sensemaking of a proposed change, the systems-level task force may create some measurements, i.e. survey, focus groups, to

provide additional means by which the university system community is understanding and engaged in the initiative.

Implications for faculty

While the campus leadership is often the focus of being responsible for setting an environment conducive to change, the faculty also have a responsibility to help administrators keep a focus on the elements of the institution that are most important to what they do. This could be challenging given the importance and influence faculty leadership or representative groups, like faculty senate or other shared governance, may have at an institution. For institutions where faculty have a strong presence and influence in institutional affairs, working with campus administration to create an effective sensegiving and sensemaking environment may be realistic. In building a relationship in which faculty can be aware of how the president, for example, made sense of a problem and chose to initiate a change process would enable faculty to have a clear understanding of the motive(s) for the change. Through shared governance or other faculty representative groups, a dialogue about the change can begin, creating transparency as well as a dynamic by which the change agent and the a key institutional group, the faculty, can experience sensegiving and sensemaking opportunities throughout the change process. If faculty leadership or representatives are not given importance or influence on a campus, the change process could be more disconnected.

Final Thoughts

This study about faculty perceptions of downward expansion and its planning process has been challenging. The extensive data collection and analyses was designed

to explore the process of forming perspectives and understanding the impact these perspectives can have toward the eventual enactment of downward expansion. As someone who currently works at Lake University, some of the data gathered for this study was not surprising. Existing nearly 40 years as an upper-level institution, the transformation to a more traditional four-year institution was going to be difficult. The culture of the institution was going to change, with hopes and fears that some of the "old" Lake University identity, symbols, myths, and rituals would be preserved as a "new" institution is planned with a population of students many thought would never walk the halls.

In reading the survey results and listening to focus group and interview participants, it was clear faculty accepted that downward expansion will happen in fall 2014 and that the majority of faculty approved of the change. However, it was also clear that the planning process for this change has caused many at Lake University to be frustrated by the absence of their involvement. Undoubtedly, there are faculty who want nothing to do with downward expansion and are content in roles that will likely not be affected by the day-to-day enactment of the change. Although this population is in the minority, there is a constant that was present throughout the data collection: the planning process has been a problem and many faculty feel they are being left out.

The communication and transparency, not feeling valued, and the absence of sensemaking opportunities are problems for a change process that is intended to transform the university. There were those active supporters (18%) who were steadfast to defend the planning process and considered themselves "bought-in" to downward expansion. One active supporter commented that all faculty should be aware of the plans

to downward expand and have been given opportunities to participate but have just chosen not to.

Lake University's journey toward downward expansion is not yet over. Eckel, Hill, and Green (1998) remind us that transformation "occurs over time." Results of this study have shown that many of the faculty participants were comfortable with the timeline of the planning process. Quantitative results indicate that the 67.5% of participants knew about the plans to downward expand for at least three years and that 62.5% of respondents felt that that the timeline to downward expands was appropriate. However, because of issues with communication and transparency with senior administration and faculty being told that some decisions would be discussed "later" or that some aspects of the change were not be planned due to lack of time, some of focus group and interview participants were concerned that the university wasn't ready for downward expansion in fall 2014,

> If the excuse is perpetually going to be, 'we don't have enough time' then I think the message the faculty are going to get is that we are trying to do this too quickly because, obviously, we don't have enough time to have any of these discussions or these opportunities for feedback. (Focus Group Speaker 17)

These discussions on timeline of downward expansion reflect earlier concerns about the type of change Lake University is pursuing and if the planning process is allowing this desired change to manifest itself in the depths of the campus culture. As was discussed earlier in this chapter, if the intention of Lake University leadership is to initiate transformational change, then there must be time and opportunity for the change

to be deep and pervasive in the institution's culture (Eckel, Hill, & Green, 1998; Eckel & Kezar, 2003) This implies that Lake University is running out of time to replace possibly missing elements of a change process as deep and pervasive as downward expansion. It will be important for transformational leaders to influence faculty perspective toward supporting a change but not without the actions to create the opportunities to make sense of Lake University that holds some old values and traditions with respect in forging a new institution in which all faculty can ascribe meaning to their roles. However, it is also conceivable that if Lake University is going to follow a path of transformational change, the process of transformation may have not yet begun. Downward expansion is not necessarily a change that will be "accomplished" once freshmen and sophomores arrive on campus in fall 2014. Having this new population students attend classes, participate in campus events, and begin forming a new campus culture may be just one element in transforming Lake University from an upper-level to a traditional four-year university. Therefore, faculty perceptions will be continuing to form around the idea and realities of downward expansion and what it means to be a part of Lake University.

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Appendix A

Informed Consent Email/Letter for Survey Participants

Dear Faculty:

You are being solicited to complete the *Faculty Attitudes about Institutional Change* survey. The purpose of this survey is to examine the influence of faculty perspectives on the downward expansion change process at Lake University. The data obtained from this study will not only allow me to assess the impact of faculty influence on our current planning for downward expansion process but also provide campus leadership perspective into faculty opinions about this change.

Please try to answer all the questions. Filling out the attached survey is entirely voluntary, but answering each response will make the survey most useful. This survey will take approximately 10-15 minutes to complete and all of your responses will be kept completely confidential. No obvious undue risks will be endured and you may stop your participation at any time. In addition, you will also not benefit directly from your participation in the study.

Your cooperation is greatly appreciated and your willingness to participate in this study is implied if you proceed with completing the survey. Your completion of the *Faculty Attitudes about Institutional Change* survey is not only greatly appreciated, but invaluable. If you have any further questions, please feel free to contact me at

richardsont@XXXX.edu. Thank you!

To begin the survey, please follow this link:
https://www.surveymonkey.com/s/FacultyAttitudesaboutChange

Sincerely,

Tim Richardson

Appendix B

Survey: Faculty Attitudes about Institutional Change

Faculty Attitudes About Institutional Change

A. Past Campus-Wide Changes

The questions in this section ask you about your opinions and experiences related to past campus-wide changes at Lake University. A campus-wide change means the institutional adoption of an initiative that affects all students, faculty, and staff.(e.g. the planning and implementation of Lake University's Quality Enhancement Program for SACS accreditation.)

1. Rate the degree of influence each of the following groups has had on your opinion of past campus-wide change at Lake University. (Mark one choice for each)

	Not at all influential	Slightly influential	Somewhat influential	Very influential	Extremely influential
Other faculty	○	○	○	○	○
Departmental or school leadership	○	○	○	○	○
Senior leadership	○	○	○	○	○
Students on campus	○	○	○	○	○
Members of the local community	○	○	○	○	○
Professional staff	○	○	○	○	○

2. Rate the following aspects of planning past campus-wide changes at Lake University as to the degree to which campus leadership valued the participation of faculty. (Mark one choice for each)

	Not valued	Slightly valued	Somewhat valued	Moderately valued	Highly valued
Deciding to initiate change	○	○	○	○	○
Deciding changes to the curriculum	○	○	○	○	○
Determining budget needs	○	○	○	○	○
Determining facility needs	○	○	○	○	○
Determining impact on faculty	○	○	○	○	○
Determining impact on staff	○	○	○	○	○
Determining impact on students	○	○	○	○	○

3. How would you best characterize your commitment to Lake University during past campus-wide change initiatives? (Mark one choice)

No commitment	Weak commitment	Neutral	Moderate commitment	Strong commitment
○	○	○	○	○

4. How would you best characterize your attitude toward past campus-wide change initiatives? (Mark one choice)

Resistant	Somewhat resistant	Neutral	Somewhat supportive	Supportive
○	○	○	○	○

Faculty Attitudes About Institutional Change

B. Downward Expansion

The questions in this section concern various aspects of Lake University's plan to downward expand in the fall of 2014. In the context of this study, "downward expansion" refers to the transition of an institution that serves only upper-level undergraduate and graduate students to one that serves both lower and upper level undergraduates.

5. Rate the following aspects of planning downward expansion at Lake University as to the degree to which campus leadership valued the participation of faculty. (Mark one choice for each)

	Not valued	Slightly valued	Somewhat valued	Modertaely valued	Highly valued
Deciding to downward expand	◯	◯	◯	◯	◯
Deciding on changes to the curriculum	◯	◯	◯	◯	◯
Determining budget needs	◯	◯	◯	◯	◯
Determining facility needs	◯	◯	◯	◯	◯
Determining impact on faculty	◯	◯	◯	◯	◯
Determining impact on staff	◯	◯	◯	◯	◯
Determining impact on students	◯	◯	◯	◯	◯

6. Rate the degree to which you think the following groups will be impacted by Lake University's downward expansion. (Mark one choice for each)

	Not impacted	Slightly impacted	Somewhat impacted	Moderately impacted	Highly impacted
Tenure-track and tenured faculty	◯	◯	◯	◯	◯
Non tenure-track faculty	◯	◯	◯	◯	◯
Current upper-level students	◯	◯	◯	◯	◯
New upper-level students	◯	◯	◯	◯	◯
New lower-level students	◯	◯	◯	◯	◯
Professional staff	◯	◯	◯	◯	◯
Senior leadership	◯	◯	◯	◯	◯

Faculty Attitudes About Institutional Change

7. Rate the degree to which you think the following groups will be positively or negatively impacted by Lake University's downward expansion. (Mark one choice for each)

	Significant negative impact	Somewhat negative impact	No impact	Somewhat positive impact	Significant postive impact
Tenure-track and tenured faculty	○	○	○	○	○
Non tenure-track faculty	○	○	○	○	○
Current upper-level students	○	○	○	○	○
New upper-level students	○	○	○	○	○
New lower-level students	○	○	○	○	○
Prefessional staff	○	○	○	○	○
Senior leadership	○	○	○	○	○

8. How do you think the time you spend on the following responsibilities will change as a result of Lake University's downward expansion. (Mark one choice for each)

	Significantly decrease	Decrease	No change	Increase	Significantly increase
Teaching	○	○	○	○	○
Research	○	○	○	○	○
Service on campus committees	○	○	○	○	○
Meeting with students during office hours	○	○	○	○	○
Advising	○	○	○	○	○
Grading	○	○	○	○	○

9. How has the downward expansion planning process affected your commitment to Lake University? (Mark one choice)

Significantly weakened commitment	Somewhat weakened commitment	No effect on commitment	Somewhat strengthened commitment	Significantly strengthened commitment
○	○	○	○	○

10. How would you best characterize your attitude toward Lake University's downward expansion? (Mark one choice)

Resistant	Somewhat resistant	Neutral	Somewhat supportive	Supportive
○	○	○	○	○

11. How long have you been aware of Lake University's plan to downward expand? (Mark one choice)

Less than a year	1-2 years	3-4 years	4-5 years	5 or more years
○	○	○	○	○

Faculty Attitudes About Institutional Change

12. What is your opinion about the timeline for implementing downward expansion at Lake University in the fall of 2014? (Mark one choice)

Timeline is too slow	Somewhat too slow	Timeline is appropriate	Somewhat too fast	Timeline is too fast
◯	◯	◯	◯	◯

13. What is an appropriate timeline to effectively complete the planning for the following aspects of downward expansion? (Mark one choice for each)

	Less than 1 year	1-2 years	3-4 years	5-6 years	7-8 years
Outreach to community partners	◯	◯	◯	◯	◯
Meeting current student needs	◯	◯	◯	◯	◯
Making appropriate change to the curriculum	◯	◯	◯	◯	◯
Developing appropriate student services programs	◯	◯	◯	◯	◯
Developing new student recruitment strategies	◯	◯	◯	◯	◯
Hiring necessary faculty	◯	◯	◯	◯	◯
Hiring necessary staff	◯	◯	◯	◯	◯
Acquiring necessary financial resources	◯	◯	◯	◯	◯
Determining facility needs	◯	◯	◯	◯	◯

14. How much have the following sources within the campus community influenced your opinions about Lake University's plans for downward expansion. (Mark one choice for each)

	Not at all influential	Slightly influential	Somewhat influential	Very influential	Extremely influential
Other faculty	◯	◯	◯	◯	◯
Students on campus	◯	◯	◯	◯	◯
Senior administration	◯	◯	◯	◯	◯
Actions taken on downward expansion during the early planning process	◯	◯	◯	◯	◯
Communications with the campus community about downward expansion	◯	◯	◯	◯	◯

Faculty Attitudes About Institutional Change

15. How much have the following sources outside the campus community influenced your opinions about Lake University's plans for downward expansion. (Mark one choice for each)

	Not at all influential	Slightly influential	Somewhat influential	Very influential	Extremely influential
Family and friends	○	○	○	○	○
Members of the local community	○	○	○	○	○
Information conveyed via local media outlets (e.g., newspapers, television, internet)	○	○	○	○	○
Trends in the local economy	○	○	○	○	○
Trends in K-12 education	○	○	○	○	○
Trends in Higher Education	○	○	○	○	○

16. Rate the degree in which you would likely discuss your opinions about Lake University's plans for downward expansion with the following groups. (Mark one choice for each)

	Definitely not	Unlikely	Neutral	Likely	Definitely
Faculty in your department	○	○	○	○	○
Faculty from other departments	○	○	○	○	○
Senior administration	○	○	○	○	○
Students	○	○	○	○	○
Non-faculty staff	○	○	○	○	○

17. Rate to the extent to which each of the following shared governance committees has influenced your opinions about downward expansion at Lake University. (Mark one choice for each)

	Not at all influential	Slightly influential	Somewhat influential	Very influential	Extremely influential
Planning and Budgeting Committee	○	○	○	○	○
University Council	○	○	○	○	○
University Life Committee	○	○	○	○	○
Academic Council	○	○	○	○	○
Facilities Support Services Committee	○	○	○	○	○

Faculty Attitudes About Institutional Change

C. Respondent demographics

The questions in this section will ask some demographic information that will contribute to the analysis of data.

18. How long have you been a faculty member at Lake University? (Mark one choice)

○ Less than a year

○ 1-5 years

○ 6-10 years

○ 11-15 years

○ 16-20 years

○ 21-30 years

○ Over 30 years

19. On how many shared governance and other university-service committees did you serve during the 2012-2013 academic school year? (e.g., search committees, departmental or division committees, downward expansion planning committees) (Mark one choice)

No involvement	1-2 committees	3-4 committees	5-6 committees	More than 7 committees
○	○	○	○	○

20. What is your current academic rank? (Mark one choice)

○ Tenure track (Assistant Professor or Lecturer)

○ Tenured (Associate Professor or Professor)

○ Non-tenure track (full-time)

○ Non-tenure track (part-time

21. What is your gender?

○ Female

○ Male

○ Transgender

22. With what Lake University school are you affiliated? (Mark one choice)

○ School of Business

○ School of Education

○ Human Sciences and Humanities

○ Science and Computer Engineering

Faculty Attitudes About Institutional Change

23. What suggestions do you have to more effectively utilize faculty in the downward expansion planning process?

24. Would you be interested in participating in a focus group to discuss further your perceptions of downward expansion?

○ Yes

○ No

If so, please include your email address

Appendix C

Informed Consent for Focus Group Participants

Informed Consent to Participate in Research

You are being asked to participate in the research project described below. Your participation in this study is entirely voluntary and you may refuse to participate, or you may decide to stop your participation at any time. Should you refuse to participate in the study or should you withdraw your consent and stop participation in the study, your decision will involve no penalty or loss of benefits to which you may be otherwise entitled. You are being asked to read the information below carefully, and ask questions about anything you don't understand before deciding whether or not to participate.

Title: Institutional Change as Determined by the Faculty: An Examination of how Faculty Perspective Influences the Change Process of an Institution of Higher Education Undergoing Downward Expansion.

Principal Investigator(s):
Student Investigator(s): Tim Richardson
Faculty Sponsor: Darwin Hendel, Ph.D.

PURPOSE OF THE STUDY
The purpose of this research is to examine the influence of faculty perspectives on the change process followed by a southern, midsize university undergoing downward expansion.

PROCEDURES
The research procedures are as follows: Respondents to the survey invitation or others who have agreed to participate in focus groups will be divided into four groups, each including a stratified balance of faculty representing each of the four schools, gender, length of service to the institution, and type of appointment. The moderator will begin each session with the distribution of this consent form and obtain the signatures of all participants before proceeding.

The questions for the focus groups were derived from responses to the survey. While the question will be scripted, the moderator will conduct the session in an open format with the participants being encouraged to respond to each other's comments and introduce related topics to amplify their comments. Based upon comments, the moderator may follow up with non-scripted questions to seek more depth to a participant's answers. The moderator will be taking notes throughout the sessions and will also be audio recording the groups.

EXPECTED DURATION
The total anticipated time commitment will be approximately 1 hour.

RISKS OF PARTICIPATION
There are no anticipated risks associated with participation in this project.

BENEFITS TO THE SUBJECT
There is no direct benefit received from your participation in this study, but your participation will help the investigator(s) better understand the role of faculty on the downward expansion change process.

CONFIDENTIALITY OF RECORDS
Every effort will be made to maintain the confidentiality of your study records. The data collected from the study will be used for educational and publication purposes, however, you will not be identified by name. For federal audit purposes, the participant's documentation for this research project will be maintained and safeguarded by the Darwin Hendel, Ph.D. for a minimum of three years after completion of the study. After that time, the participant's documentation may be destroyed.

FINANCIAL COMPENSATION
There is no financial compensation to be offered for participation in the study.

INVESTIGATOR'S RIGHT TO WITHDRAW PARTICIPANT
The investigator has the right to withdraw you from this study at any time.

CONTACT INFORMATION FOR QUESTIONS OR PROBLEMS
The investigator has offered to answer all your questions. If you have additional questions during the course of this study about the research or any related problem, you may contact Tim Richardson, at xxx-xxx-xxxx, or by email at richardsont@xxxx.edu.

If you have additional questions during the course of this study about the research or any related problem, you may contact the Student Researcher, Tim Richardson, at phone number xxx-xxx-xxxx or by email at richardsont@xxxx.edu. The Faculty Sponsor Darwin Hendel, Ph.D., may be contacted at phone number 612-625-0129 or by email at hende001@umn.edu.

SIGNATURES:

Your signature below acknowledges your voluntary participation in this research project. Such participation does not release the investigator(s), institution(s), sponsor(s) or granting agency(ies) from their professional and ethical responsibility to you. By signing the form, you are not waiving any of your legal rights.

The purpose of this study, procedures to be followed, and explanation of risks or benefits have been explained to you. You have been allowed to ask questions and your questions have been answered to your satisfaction. You have been told who to contact if you have additional questions. You have read this consent form and voluntarily agree to participate as a subject in this study. You are free to withdraw your consent at any time by contacting the Principal Investigator or Student Researcher/Faculty Sponsor. You will be given a copy of the consent form you have signed.

Subject's printed name:_____

Signature of Subject:_____

Date:_____

Using language that is understandable and appropriate, I have discussed this project and the items listed above with the subject.

Printed name and title:_____

Signature of Person Obtaining Consent:_____

Date: _____

THE COMMITTEE FOR PROTECTION OF HUMAN SUBJECTS HAS REVIEWED AND APPROVED THIS PROJECT. ANY QUESTIONS REGARDING YOUR RIGHTS AS A RESEARCH SUBJECT MAY BE ADDRESSED TO THE COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (xxx-xxx-xxxx**). ALL RESEARCH PROJECTS THAT ARE CARRIED OUT BY INVESTIGATORS AT XXXX ARE GOVERNED BY REQUIREMENTS OF THE UNIVERSITY AND THE FEDERAL GOVERNMENT. (FEDERALWIDE ASSURANCE # FWA00004068)**

Appendix D

Focus Group Questions

1.) Think back to last year, when Lake University had publically announced its intent to downward expand, what were your initial thoughts?

2.) What kinds of involvement have you had in the planning for downward expansion since the process first began?

3.) How would you characterize your sense of loyalty with the Lake University?

4.) How has your experience during the downward expansion planning process altered your loyalty with the institution?

5.) What is your current perception of Lake University's downward expansion initiative?

6.) What factors have influenced your perception of downward expansion?

7.) Where do you get new information about downward expansion?

8.) What do you see as the role of the faculty in the planning process for downward expansion?

9.) What factors do you think will contribute to the success of the downward expansion planning process?

10.) What are some obstacles to the downward expansion initiative?

11.) What is your perception of the proposed timeline of accepting the first lower-level students by fall 2014?

Appendix E

Informed Consent for Interview Participants

Informed Consent to Participate in Research

You are being asked to participate in the research project described below. Your participation in this study is entirely voluntary and you may refuse to participate, or you may decide to stop your participation at any time. Should you refuse to participate in the study or should you withdraw your consent and stop participation in the study, your decision will involve no penalty or loss of benefits to which you may be otherwise entitled. You are being asked to read the information below carefully, and ask questions about anything you don't understand before deciding whether or not to participate.

Title: Institutional Change as Determined by the Faculty: An Examination of how Faculty Perspective Influences the Change Process of an Institution of Higher Education Undergoing Downward Expansion.

Principal Investigator(s):
Student Investigator(s): Tim Richardson
Faculty Sponsor: Darwin Hendel, Ph.D.

PURPOSE OF THE STUDY
The purpose of this research is to examine the influence of faculty perspectives on the change process followed by a southern, midsize university undergoing downward expansion.

PROCEDURES
The research procedures are as follows: Interview participants will be chosen to proportionately represent diversity in the sample population's demographic characteristics. A total of eight interviews will be conducted with special consideration made for gender balance, school affiliation, length of service at institution, and faculty rank. The moderator will begin each interview with the distribution of this consent form and obtain the signatures of the participants before proceeding. Copies of the signed consent forms will be returned to the participants at the end of each interview.

 The questions for the interviews were derived from responses to the survey and focus group questions. While the questions will be scripted, the moderator will conduct the interviews in an open format with the participants being encouraged to introduce any related information to amplify their answers. Based upon comments, the moderator may follow up with non-scripted questions to seek more depth to a participant's answers. The moderator will be taking notes throughout the sessions and will also be audio recording the groups.

EXPECTED DURATION
The total anticipated time commitment will be approximately 1 hour.

RISKS OF PARTICIPATION
There are no anticipated risks associated with participation in this project.

BENEFITS TO THE SUBJECT
There is no direct benefit received from your participation in this study, but your participation will help the investigator(s) better understand the role of faculty on the downward expansion change process.

CONFIDENTIALITY OF RECORDS
Every effort will be made to maintain the confidentiality of your study records. The data collected from the study will be used for educational and publication purposes, however, you will not be identified by name. For federal audit purposes, the participant's documentation for this research project will be maintained and safeguarded by Darwin Hendel, Ph.D. for a minimum of three years after completion of the study. After that time, the participant's documentation may be destroyed.

FINANCIAL COMPENSATION
There is no financial compensation to be offered for participation in the study.

INVESTIGATOR'S RIGHT TO WITHDRAW PARTICIPANT
The investigator has the right to withdraw you from this study at any time.

CONTACT INFORMATION FOR QUESTIONS OR PROBLEMS
The investigator has offered to answer all your questions. If you have additional questions during the course of this study about the research or any related problem, you may contact Tim Richardson, at xxx-xxx-xxxx, or by email at richardsont@xxxx.edu.

If you have additional questions during the course of this study about the research or any related problem, you may contact the Student Researcher, Tim Richardson, at phone number xxx-xxx-xxxx or by email at richardsont@xxxx.edu. The Faculty Sponsor Darwin Hendel, Ph.D., may be contacted at phone number 612-625-0129 or by email at hende001@umn.edu.

SIGNATURES:

Your signature below acknowledges your voluntary participation in this research project. Such participation does not release the investigator(s), institution(s), sponsor(s) or granting agency(ies) from their professional and ethical responsibility to you. By signing the form, you are not waiving any of your legal rights.

The purpose of this study, procedures to be followed, and explanation of risks or benefits have been explained to you. You have been allowed to ask questions and your questions have been answered to your satisfaction. You have been told who to contact if you have additional questions. You have read this consent form and voluntarily agree to participate as a subject in this study. You are free to withdraw your consent at any time by contacting the Principal Investigator or Student Researcher/Faculty Sponsor. You will be given a copy of the consent form you have signed.

Subject's printed name:_____

Signature of Subject:_____

Date:_____

Using language that is understandable and appropriate, I have discussed this project and the items listed above with the subject.

Printed name and title:_____

Signature of Person Obtaining Consent:_____

Date: _____

THE COMMITTEE FOR PROTECTION OF HUMAN SUBJECTS HAS REVIEWED AND APPROVED THIS PROJECT. ANY QUESTIONS REGARDING YOUR RIGHTS AS A RESEARCH SUBJECT MAY BE ADDRESSED TO THE COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (xxx-xxx-xxxx**). ALL RESEARCH PROJECTS THAT ARE CARRIED OUT BY INVESTIGATORS AT XXXX ARE GOVERNED BY REQUIREMENTS OF THE UNIVERSITY AND THE FEDERAL GOVERNMENT. (FEDERALWIDE ASSURANCE # FWA00004068)**

Appendix F

Interview Questions

1.) What role do you currently play in the downward expansion planning process?

- How did you come into that role?

- How long have you served in that role?

2.) In your opinion, who is most responsible for planning downward expansion?

- Who should be most responsible? Why?

3.) Do you consider yourself loyal to the institution?

- What does it mean to you to be loyal to the downward expansion initiative?

4.) What is most important to you in planning for downward expansion? Why?

5.) How will you be affected by downward expansion?

- What will be the greatest opportunities for you in expanding our institution?

- What will be the greatest challenges for you in expanding our institution?

6.) What does this institution need to do in order for downward expansion to be effective?

7.) What internal factors have influenced your perception of downward expansion the most? Why?

8.) What external factors have influenced your perception of downward expansion the most? Why?

9.) Do you feel the timeline for downward expansion, admitting our first freshmen and sophomore students in fall 2014, is appropriate?

- If not, what would be a more appropriate timeline?

- What should happen during that time that you feel may not be happening now?

- If so, what steps are you doing to get ready for this new population of students?

10.) Describe what this institution look like ten years after downward expansion.

Appendix G

IRB Approval from Lake University

REVIEW ACTION
COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (CPHS)
Institutional Review Board (IRB)

Date: March 5, 2013

To: Darwin Hendel, Ph.D., University of Minnesota-Twin Cities, Faculty Sponsor
        Tim Richardson, Student Researcher

Proposal Title: Institutional Change as Determined by the Faculty: An Examination of How
        Faculty Perspective Influences the Change Process of an Institution of Higher
        Education Undergoing Downward Expansion

Remarks: Approved by expedited review as Exempt under HHS 45 CFR 46.101(b)(2)

The Committee for the Protection of Human Subjects (IRB) for the l   has
reviewed the subject research protocol and consent form(s) and approves the project as written. Research
proposal was determined as Exempt from the "Common Rule" based on DHHS Code of Federal
Regulations, HHS 45 CFR 46.101(b)(2).

45 CFR 46.101(b)(2): Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey
procedures, interview procedures or observation of public behavior, unless:
    (i)   Information obtained is recorded in such a manner that human subjects can be identified, directly or through
            identifiers linked to the subjects; and
    (ii)   Any disclosure of the human subjects' responses outside the research could reasonably place the subjects at
            risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or
            reputation.

The research study may now be initiated.

The   CPHS is organized and operated according to the US Code of Federal Regulations and
operates under Federalwide Assurance No. 00004068, issued February 2, 2010.

Office of Sponsored Programs

Appendix H

IRB Approval from the University of Minnesota

The IRB: Human Subjects Committee determined that the referenced study is exempt from review under federal guidelines 45 CFR Part 46.101(b) category #2 SURVEYS/INTERVIEWS; STANDARDIZED EDUCATIONAL TESTS; OBSERVATION OF PUBLIC BEHAVIOR.

Study Number: 1303E29421

Principal Investigator: Tim Richardson

Title(s):
Institutional Change as Determined by the Faculty: An Examination of how Faculty Perspective Influences the Change Process of an Institution of Higher Education Undergoing Downward Expansion

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This e-mail confirmation is your official University of Minnesota HRPP notification of exemption from full committee review. You will not receive a hard copy or letter.

This secure electronic notification between password protected authentications has been deemed by the University of Minnesota to constitute a legal signature.

The study number above is assigned to your research. That number and the title of your study must be used in all communication with the IRB office.

Research that involves observation can be approved under this category without obtaining consent.

SURVEY OR INTERVIEW RESEARCH APPROVED AS EXEMPT UNDER THIS CATEGORY IS LIMITED TO ADULT SUBJECTS.

This exemption is valid for five years from the date of this correspondence and will be filed inactive at that time. You will receive a notification prior to

inactivation. If this research will extend beyond five years, you must submit a new application to the IRB before the study?s expiration date.

Upon receipt of this email, you may begin your research. If you have questions, please call the IRB office at (612) 626-5654.

You may go to the View Completed section of eResearch Central at http://eresearch.umn.edu/ to view further details on your study.

The IRB wishes you success with this research.

We have created a short survey that will only take a couple of minutes to complete. The questions are basibut will give us guidance on what areas are showing improvement and what areas we need to focus on: https://umsurvey.umn.edu/index.php?sid=94693&lang=um

Appendix I

ANOVA Results of Academic Rank Comparisons to Faculty Responses to Scales Aligned with the First Research Question

Scales	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	2.420	(3,76)	0.073	0.08
Administrative valuing faculty past changes	80	16.76	6.69	1.743	(3,76)	0.165	0.06
Administrative valuing faculty in downward	80	16.27	7.23	4.456	(3,76)	0.006	0.15
Campus community influence downward	80	12.80	4.11	1.093	(3,76)	0.357	0.04
Off campus influence downward	80	12.12	4.95	0.573	(3,76)	0.634	0.02
Discuss opinions downward	80	18.18	4.81	0.598	(3,76)	0.619	0.02
Shared governance downward	80	9.35	4.84	1.487	(3,76)	0.225	0.06

Note: p < 0.05

Appendix J

ANOVA Results of School Affiliation Comparisons to Faculty Responses to Scales Aligned with the First Research Question

Scales	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	0.764	(3,76)	0.518	0.03
Administrative valuing faculty past changes	80	16.76	6.69	1.400	(3,76)	0.249	0.05
Administrative valuing faculty in downward	80	16.27	7.23	1.337	(3,76)	0.269	0.05
Campus community influence downward	80	12.80	4.11	2.284	(3,76)	0.086	0.08
Off campus influence downward	80	12.12	4.95	0.758	(3,76)	0.521	0.03
Discuss opinions downward	80	18.18	4.81	1.421	(3,76)	0.243	0.05
Shared governance downward	80	9.35	4.84	0.502	(3,76)	0.682	0.02

Note: p < 0.05

Appendix K

ANOVA Results of Faculty Length of Service Comparisons to Faculty Responses to
Scales Aligned with the First Research Question

Scales	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	0.553	(6,73)	0.766	0.04
Administrative valuing faculty past changes	80	16.76	6.69	1.398	(6,73)	0.227	0.10
Administrative valuing faculty in downward	80	16.27	7.23	0.726	(6,73)	0.630	0.06
Campus community influence downward	80	12.80	4.11	0.757	(6,73)	0.606	0.06
Off campus influence downward	80	12.12	4.95	0.706	(6,73)	0.645	0.05
Discuss opinions downward	80	18.18	4.81	0.792	(6,73)	0.579	0.06
Shared governance downward	80	9.35	4.84	0.345	(6,73)	0.911	0.03

Note: p < 0.05

Appendix L

Independent T-test Results of Gender Comparisons to Faculty Responses to Scales Aligned with the First Research Question

Scales	N	M		SD		t-value	df	*p*-value
		Female	Male	Female	Male			
Group influence past changes	80	15.240	16.250	4.640	4.734	-0.915	76	0.363
Administrative valuing faculty past changes	80	16.680	17.286	6.482	7.133	-0.382	76	0.704
Administrative valuing faculty in downward	80	16.300	16.571	7.243	7.451	-0.157	76	0.876
Campus community influence downward	80	12.640	12.964	4.208	4.150	-0.328	76	0.744
Off campus influence downward	80	12.020	12.143	12.020	12.143	-0.103	76	0.918
Discuss opinions downward	80	17.860	18.393	17.860	18.393	-0.468	76	0.641
Shared governance downward	80	8.600	10.821	8.600	10.821	-1.963	76	0.530

Note: p < 0.05

Appendix M

ANOVA Results of Faculty Involvement in Campus Committees Comparisons to Faculty Responses to Scales Aligned with the First Research Question

Scales	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Group influence past changes	80	15.60	4.66	0.913	(4,75)	0.461	0.05
Administrative valuing faculty past changes	80	16.76	6.69	0.605	(4,75)	0.660	0.03
Administrative valuing faculty in downward	80	16.27	7.23	0.890	(4,75)	0.474	0.05
Campus community influence downward	80	12.80	4.11	3.737	(4,75)	0.008	0.02
Off campus influence downward	80	12.12	4.95	0.308	(4,75)	0.872	0.02
Discuss opinions downward	80	18.18	4.81	2.230	(4,75)	0.074	0.11
Shared governance downward	80	9.35	4.84	4.677	(4,75)	0.002	0.20

Note: $p < 0.05$

Appendix N

ANOVA Results of Respondents' School Affiliation Comparisons to Faculty Responses to Scales and Items Aligned with the Second Research Question

Scales/Items	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Commitment past change	80	3.85	1.10	0.655	(3,76)	0.582	0.03
Stance past changes	80	3.84	1.10	1.604	(3,76)	0.195	0.06
Groups impacted by downward	80	26.18	5.32	6.314	(3,76)	0.001	0.20
Positive/negative impacted downward	80	21.61	5.07	4.347	(3,76)	0.007	0.15
Responsibilities impacted downward	80	21.74	3.37	2.057	(3,76)	0.113	0.08
Commitment change downward	80	3.10	1.03	3.551	(3,76)	0.018	0.12
Stance downward	80	3.83	1.29	0.994	(3,76)	0.401	0.04

Note: $p < 0.05$

Appendix O

ANOVA Results of Respondents' Length of Service Comparisons to Faculty Responses to Scales and Items Aligned with the Second Research Question

Scales/Items	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Commitment past change	80	3.85	1.10	3.828	(3,76)	0.002	0.24
Stance past changes	80	3.84	1.10	1.537	(3,76)	0.178	0.11
Groups impacted by downward	80	26.18	5.32	0.832	(3,76)	0.549	0.06
Positive/negative impacted downward	80	21.61	5.07	1.546	(3,76)	0.175	0.11
Responsibilities impacted downward	80	21.74	3.37	1.700	(3,76)	0.133	0.12
Commitment change downward	80	3.10	1.03	1.925	(3,76)	0.088	0.14
Stance downward	80	3.83	1.29	2.078	(3,76)	0.066	0.15

Note: $p < 0.05$

Appendix P

Independent T-test Results of Gender Comparisons to Responses to Faculty Responses to Scales and Items Aligned with the Second Research Question

Scales/Items	N	M		SD		t-value	df	*p*-value
		Female	Male	Female	Male			
Commitment past change	80	3.920	3.786	1.007	1.166	0.534	76	0.595
Stance past changes	80	3.780	3.893	1.093	1.133	-0.432	76	0.667
Groups impacted by downward	80	27.320	23.786	4.157	6.344	2.969	76	0.004
Positive/negative impacted downward	80	22.140	21.286	4.777	5.017	0.744	76	0.459
Responsibilities impacted downward	80	21.880	21.179	3.088	3.682	0.897	76	0.372
Commitment change downward	80	3.160	3.071	0.911	1.184	0.369	76	0.713
Stance downward	80	3.740	4.071	1.290	1.215	-1.111	76	0.270

Note: $p < 0.05$

Appendix Q

ANOVA Results of Respondents' Faculty Rank Comparisons to Faculty Responses to Scales and Items Aligned with the Second Research Question

Scales/Items	N	M	SD	F-value	df	*p*-value	*Eta-squared*
Commitment past change	80	3.85	1.10	1.280	(3,76)	0.287	0.054
Stance past changes	80	3.84	1.10	3.784	(3,76)	0.014	0.13
Groups impacted by downward	80	26.18	5.32	0.148	(3,76)	0.930	0.01
Positive/negative impacted downward	80	21.61	5.07	1.735	(3,76)	0.167	0.06
Responsibilities impacted downward	80	21.74	3.37	4.231	(3,76)	0.008	0.14
Commitment change downward	80	3.10	1.03	2.332	(3,76)	0.081	0.08
Stance downward	80	3.83	1.29	1.344	(3,76)	0.266	0.05

Note: $p < 0.05$

Appendix R

ANOVA Results of Respondents' Involvement with Campus Committees Comparisons to Faculty Responses to *Scales and Items Aligned with the Second Research Question*

Scales/Items	N	M	SD	F-value	df	p-value	*Eta-squared*
Commitment past change	80	3.85	1.10	0.962	(4,75)	0.433	0.05
Stance past changes	80	3.84	1.10	1.963	(4,75)	0.109	0.09
Groups impacted by downward	80	26.18	5.32	4.380	(4,75)	0.003	0.19
Positive/negative impacted downward	80	21.61	5.07	1.894	(4,75)	0.120	0.09
Responsibilities impacted downward	80	21.74	3.37	3.886	(4,75)	0.006	0.17
Commitment change downward	80	3.10	1.03	0.859	(4,75)	0.493	0.04
Stance downward	80	3.83	1.29	1.221	(4,75)	0.309	0.06

Note: $p < 0.05$

Appendix S

Chi-square Results of Faculty Participants' Length of Service Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	χ2	df	*p*-value
Time aware downward	80	9.559	1	0.002
Speed downward planning	80	0.335	1	0.562
Appropriate timeline for outreach to community	80	0.742	1	0.389
Meeting current student needs	80	4.444	1	0.035
Making changes to the curriculum	80	0.412	1	0.521
Developing student services	80	0.077	1	0.782
Developing new student recruitment	80	0.079	1	0.779
Hire necessary faculty	80	0.970	1	0.325
Hire necessary staff	80	5.858	1	0.016
Acquiring necessary financial resources	80	1.905	1	0.168
Determining facility needs	80	1.905	1	0.168

Note: $p < 0.05$

Appendix T

Chi-square Results of Respondents' School Affiliation Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	χ2	df	*p*-value
Time aware downward	80	0.343	1	0.558
Speed downward planning	80	1.061	1	0.303
Appropriate timeline for outreach to community	80	4.867	1	0.027
Meeting current student needs	80	5.414	1	0.020
Making changes to the curriculum	80	1.703	1	0.192
Developing student services	80	3.533	1	0.060
Developing new student recruitment	80	2.265	1	0.132
Hire necessary faculty	80	1.054	1	0.305
Hire necessary staff	80	1.054	1	0.305
Acquiring necessary financial resources	80	0.080	1	0.778
Determining facility needs	80	2.320	1	0.128

Note: $p < 0.05$

Appendix U

Chi-square Results of Respondents' Participation on Campus Committees Comparisons to Faculty Responses to Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	χ2	df	*p*-value
Time aware downward	80	7.568	1	0.006
Speed downward planning	80	4.293	1	0.038
Appropriate timeline for outreach to community	80	0.005	1	0.942
Meeting current student needs	80	0.018	1	0.893
Making changes to the curriculum	80	0.831	1	0.362
Developing student services	80	2.447	1	0.118
Developing new student recruitment	80	1.739	1	0.187
Hire necessary faculty	80	0.001	1	0.975
Hire necessary staff	80	0.116	1	0.734
Acquiring necessary financial resources	80	0.021	1	0.884
Determining facility needs	80	2.412	1	0.120

Note: $p < 0.05$

Appendix V

Chi-square Results of Respondents' Academic Rank Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	$\chi2$	df	*p*-value
Time aware downward	80	2.270	1	0.132
Speed downward planning	80	0.153	1	0.696
Appropriate timeline for outreach to community	80	0.303	1	0.582
Meeting current student needs	80	0.684	1	0.408
Making changes to the curriculum	80	0.113	1	0.737
Developing student services	80	0.257	1	0.612
Developing new student recruitment	80	0.001	1	0.971
Hire necessary faculty	80	0.336	1	0.562
Hire necessary staff	80	0.063	1	0.802
Acquiring necessary financial resources	80	3.043	1	0.081
Determining facility needs	80	1.306	1	0.253

Note: $p < 0.05$

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Appendix W

Chi-square Results of Respondents' Gender Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	χ2	df	*p*-value
Time aware downward	80	2.560	1	0.110
Speed downward planning	80	2.329	1	0.127
Appropriate timeline for outreach to community	80	0.059	1	0.809
Meeting current student needs	80	0.071	1	0.790
Making changes to the curriculum	80	0.485	1	0.486
Developing student services	80	0.123	1	0.726
Developing new student recruitment	80	0.593	1	0.441
Hire necessary faculty	80	0.097	1	0.755
Hire necessary staff	80	0.037	1	0.848
Acquiring necessary financial resources	80	0.762	1	0.383
Determining facility needs	80	0.166	1	0.684

Note: p < 0.05

Appendix X

Chi-square Results of Respondents' Institutional Commitment as affected by the Downward Expansion Planning Process Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	$\chi2$	df	*p*-value
Time aware downward	80	0.001	1	0.971
Speed downward planning	80	11.697	1	0.001
Appropriate timeline for outreach to community	80	2.407	1	0.121
Meeting current student needs	80	3.723	1	0.054
Making changes to the curriculum	80	3.152	1	0.076
Developing student services	80	0.210	1	0.646
Developing new student recruitment	80	0.277	1	0.598
Hire necessary faculty	80	2.590	1	0.108
Hire necessary staff	80	0.605	1	0.437
Acquiring necessary financial resources	80	7.326	1	0.007
Determining facility needs	80	1.306	1	0.253

Note: $p < 0.05$

Appendix Y

Chi-square Results of Respondents' Attitude toward past Campus-wide Change Initiatives Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	$\chi 2$	df	*p*-value
Time aware downward	80	0.032	1	0.859
Speed downward planning	80	0.839	1	0.360
Appropriate timeline for outreach to community	80	0.059	1	0.809
Meeting current student needs	80	1.778	1	0.182
Making changes to the curriculum	80	4.364	1	0.037
Developing student services	80	0.668	1	0.414
Developing new student recruitment	80	0.088	1	0.767
Hire necessary faculty	80	0.035	1	0.852
Hire necessary staff	80	0.102	1	0.750
Acquiring necessary financial resources	80	0.274	1	0.600
Determining facility needs	80	0.166	1	0.684

Note: $p < 0.05$

Appendix Z

Chi-square Results of Respondents' Attitude toward Downward Expansion Comparisons to Faculty Responses to Scale and Items Aligned with the Third Research Question

Scale/Items	N	$\chi2$	df	*p*-value
Time aware downward	80	0.306	1	0.580
Speed downward planning	80	10.543	1	0.001
Appropriate timeline for outreach to community	80	1.169	1	0.280
Meeting current student needs	80	2.637	1	0.104
Making changes to the curriculum	80	1.279	1	0.258
Developing student services	80	0.182	1	0.670
Developing new student recruitment	80	1.070	1	0.301
Hire necessary faculty	80	1.295	1	0.255
Hire necessary staff	80	2.334	1	0.127
Acquiring necessary financial resources	80	1.130	1	0.288
Determining facility needs	80	1.688	1	0.194

Note: p < 0.05