

DISSERTATION

CULTURE AND LEADERSHIP IN A PUBLIC UNIVERSITY SETTING:
IMPLICATIONS FOR SHARED GOVERNANCE AND CHANGE

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ABSTRACT

CULTURE AND LEADERSHIP IN A PUBLIC UNIVERSITY SETTING: IMPLICATIONS FOR SHARED GOVERNANCE AND CHANGE

Noting a lack of quantitative research on perceptions of culture, leadership and change in the shared governance environment of Higher Education, this study utilized the Organizational Culture Assessment Instrument (Cameron & Quinn, 2011) to measure current (now) and preferred cultural perceptions of faculty and administrative leaders. Additional questions focused on the shared governance leadership culture within higher education. To explore this topic, participants were asked to rate their perceptions of the shared governance culture on their campus by rating the level of collaboration, impact on change at their campus and type of impact (positive, negative or neutral). Findings indicated that faculty and administrative leaders are more alike than different. Both groups considered their current leadership cultures predominantly Clan (collaborative, value-driven and participatory) and Hierarchical (bureaucratic, rigid and slow to change). But these same leaders display significant differences in their cultural preferences. Both groups indicated they would prefer a culture that was a combination of Clan and Adhocracy (innovative, adaptable and responsive) and less hierarchical. This study challenges the predominate notion in the literature on shared governance which infers faculty and administrative leaders differ in their perceptions on leadership and change. The study calls for more empirical research on this topic which would include larger populations and more demographic information on participants; limitations in this study.

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TABLE OF CONTENTS

	Page
Abstract.....	ii
Acknowledgements.....	iii
List of Tables	vii
List of Figures.....	viii
Chapter	
1. INTRODUCTION	1
Background.....	1
The California State University Crisis.....	3
Purpose	7
Definition of Terms.....	7
Theoretical Framework.....	8
Research Questions.....	10
Significance of the Study.....	12
Delimitations.....	12
Limitations	13
Organization of the Study.....	13
2. LITERATURE REVIEW	15
Organizational Culture.....	15
Leadership.....	19
Shared Governance in Higher Education.....	25

Leadership, Culture and Change.....	29
Summary of the Literature Review and Gap in Research.....	32
3. METHODOLOGY	34
Research Approach and Rationale	34
Participants and Site.....	34
Actual Population.....	35
Measures	36
Research Questions and Approach to Data Analysis.....	39
Data Collection and Procedure	41
Summary	44
4. RESULTS	45
Descriptive Data for All Participants	45
Descriptive Data by Campus	46
Comparisons of Current and Preferred OCAI Scores.....	53
Predicting OCAI Scores Using Demographic Data.....	62
Differences in Perceptions of Shared Governance and Change	65
Summary of Findings.....	70
5. DISCUSSION.....	72
Why is This Study Important.....	72
Environment When the Study was Conducted	73
Discussion of Findings for Research Question.....	74
Limitations	79

Implications for Future Research and Practice	81
Conclusions.....	83
REFERENCES	85
APPENDIX A. The OCAI.....	95

LIST OF TABLES

Table	Page
1. Characteristics of Culture Types.....	9
2. Total N and Gender by Participant Types.....	45
3. Age and Years Worked in the CSU by Participant Type and Gender	46
4. Campus 1 Descriptive Data by Participant Type and Gender	48
5. Campus 2 Descriptive Data by Participant Type and Gender	50
6. Campus 3 Descriptive Data by Participant Type and Gender	51
7. Campus 4 Descriptive Data by Participant Type and Gender	52
8. OCAI Average Rating Scores for All Participants	54
9. OCAI Average Rating Scores for All Faculty Leaders	56
10. OCAI Average Rating Scores for All Administrative Leaders	57
11. OCAI Differences in Average Scores by Campus.....	59
12. OCAI Differences in Average Scores by Senate Type.....	61
13. Perceived Level of Collaboration in Shared Governance Ratings by Type of Campus.....	66
14. Comparison of Ratings for Questions 7, 8 and 9 with Participants Grouped by Type of Senate (Faculty vs. Academic).....	67
15. Significant Predictors of OCAI Scores by Culture Type.....	70

LIST OF FIGURES

Figure	Page
1. Example of an OCAI Plot.....	38
2. Average OCAI Responses for all Participants.....	53
3. OCAI Average Responses for all Faculty Leaders	55
4. OCAI Average Responses for all Administrative Leaders	57

CHAPTER ONE INTRODUCTION

Background

“There are three constants in life: change, choice and principles.”

Stephen Covey (1989)

Covey’s statement highlights the importance of relationships that exist among culture, leadership and change in organizations. Many researchers have argued that organizational culture may influence, and may be influenced by, leadership (Bass & Avolio, 1993; Birnbaum, 1987; Kezar, Carducci, & Contreras-McGavin, 2006; Morgan, 1998, Pennington, Townsend, & Cummings, 2003; Schein, 1992, 2010; Waldner & Weeks, 2006). Researchers have also argued that culture and leadership influence organizational change (Burke, 2011; Cameron & Quinn, 2011; Kellerman, 2008; Quinn, 1996; Schein, 2010; Senge et al., 1999). But more research is needed to better understand how organizational culture and leadership interact to influence change (Parry & Proctor-Thomson, 2003).

Most of the previous research that studied how organizational culture and leadership influence change focused on corporate and healthcare settings (Burke, 2011; Kezar et al., 2006; Madsen, 2008; Bok, 2003). Although some work has been done on higher education culture (Bergqvist & Pawlak, 2008), this work has been primarily theoretical or editorial in nature. Few researchers have engaged in quantitative research to examine the ways culture and leadership influence change in higher education. Thus, the lack of quantitative research specific to higher education has left a gap in the literature.

While one could argue that some research done in corporate or healthcare settings might generalize to higher education, the culture, leadership approaches (e.g. shared governance) and processes for change in higher education are often different from those used in most corporate

settings (Birnbaum, 1987; Bolman & Deal, 2008; Kezar, 2001; Kezar et al., 2006). Some researchers have argued that the culture and change processes associated with a shared governance leadership model are primary factors which influence an institution's ability to successfully adapt to external challenges and efficiently institute change (Birnbaum, 2010; Kezar, 2001; Shinn, 2004; Tierney, 2008).

Studying the influence of culture and leadership on change in higher education has become more important as university leaders try to develop a better understanding of how the culture of shared governance influences change on their campuses (Andrade, 2011; Birnbaum, 2008; Cartwright, 2005). During the past few decades, public universities have come under increasing scrutiny for raising tuition while retention and graduation rates, already branded by many as too low, have not meaningfully changed (Enrenberg, 2004; Lee, Kelcey, Menson, & Rawls, 2011). Increased tuition at public universities is often attributed to decreased funding from state governments. Paradoxically, while government funding decreases, legislative calls for more accountability in higher education increase requiring universities to spend even more money on administration (U.S. Government Accountability Office, 2011).

Yet, even though public universities are faced with significant pressure to decrease costs and increase graduation rates, little substantive change has occurred in the past few decades and graduation rates have remained relatively flat (American College Testing, 2012; Kezar, 2001; National Center for Education Statistics, 2011; Lee, Kelcey, Menson & Rawls, 2011). Many scholars have explored different reasons why higher education institutions are often challenged when attempting to implement changes.

One often cited challenge involves the basic structure of higher education institutions. Universities are described as having "loosely coupled" organizational structures (Kezar, 2001. p.

70) and change processes may need to go through multiple lines of authority (Shinn, 2004). Another commonly mentioned challenge to implementing change in higher education is shared governance (Andrade, 2011; Birnbaum, 2008; Langland, 2011; Simplicio, 2006). The shared governance culture of higher education can influence how quickly new innovations may be adopted. Additionally, attempts by external agencies to influence change may encounter stiff resistance through the shared governance process (Bergquist & Pawlak, 2008; Tierney, 2008).

While some argue that this kind of cultural resistance may make it more difficult for universities to adapt to changing environments as quickly as other types of corporate organizations (Kezar et al., 2006), others have argued that the shared governance culture actually improves institutional effectiveness (Birnbaum, 2008; Bok, 2003; Eckel, 2000). One way to explore how shared governance influences an institution's ability to adopt and implement change would be to study faculty and administrative leaders' perceptions of leadership and culture at their institutions and how they believe shared governance impacts change. This study attempts just such a feat utilizing faculty and administrative leadership engaged in shared governance at California State University campuses. This university system has recently undergone multiyear budget reductions and has been under pressure from the state legislature to implement changes to decrease costs and increase graduation rates. As such, leaders at campuses within this system should provide a good example of how culture and leadership can impact change in higher education. Before describing the actual study, a brief background of the recent crisis faced by the California State University system is provided.

The California State University Crisis

The Donahoe Higher Education Act of 1960 established the "California State Colleges" in 1961. Based on the Master Plan for Higher Education in California, the Donahoe Act created

the University of California, the California State Colleges and the California Community Colleges. Subsequently, the California State Colleges were renamed and reorganized into the California State University system in 1982 (California State University, 2012). The primary goal of the Master Plan was to provide broad educational access to all high school graduates and otherwise eligible individuals. In addition, the Master Plan was intended to broaden access to underrepresented minorities and women (University of California, 2007).

Today, the California State University (CSU) system includes 23 campuses serving more than 400,000 students. The CSU has been experiencing intense pressure to decrease time to graduation and increase graduation rates during the past few years. Between 2009 and 2012, the CSU system experienced a 33% reduction in state support. Tuition during this same period increased from just over \$3,000 per year to nearly \$5,500 per year.

According to Robert Turnage, CSU Assistant Vice Chancellor for Budget, “as a result of state funding reductions, in 2011-12, the university received the same level of funding as it did in 1996. During 2011-12, however, the CSU served over 90,000 more students than in 1996” (California State University, 2012, para. 2). In response, Turnage stated that the CSU system had been “decreasing staff and faculty positions, reducing enrollment, cutting classes and ultimately had to cap the number of units (credits) students were able to take for the 2012-13 academic year” (California State University, 2012, para. 3). These state funding reductions occurred while admission applications to CSU campuses grew by record numbers from 556,587 for fall 2009 to 742,839 for fall 2012.

During these same years, starting in fall 2009, the university implemented an aggressive initiative to increase graduation rates. The initiative was part of the Access to Education project sponsored by the Education Trust and the National Association of System Heads (NASH). The

CSU's goals were to "Raise the six-year graduation rates of CSU students to the top quartile of national averages on each campus; and cut in half the existing achievement gap between under-represented CSU students and non-underrepresented students" (California State University, 2010, para. 1). The CSU planned to achieve these goals without increasing minimum admissions standards or adding additional costs.

The traditional culture of the CSU reflects the educational goals and values outlined in the 1960 Master Plan for Education in California. The culture values access to education (with special emphasis on low-income and first generation students). According to the plan, faculty and staff are encouraged to provide a supportive environment where all students in California can discover different educational opportunities, develop personally and intellectually, and become productive citizens (University of California, 2009). This culture placed more emphasis on student access and exploration and placed less emphasis on strategies that could decrease time to degree. Combined pressure from on-going budget reductions, reduced personnel resources and the new graduation initiative challenged many of the core access-oriented educational traditions and values which dominated the culture of the CSU community for the past 50 years.

For the university's leadership making broader system-wide change in culture may be further complicated by the substantial variation that exists between many of the individual CSU campuses. Campuses range in size from around 1,500 students at the Maritime Academy to more than 37,000 at CSU Northridge. Some campuses have a highly competitive admissions process (San Diego State, Cal-Poly San Luis Obispo, Cal-Poly Pomona) and, as such, have higher retention and graduation rates. Many of the other campuses, however, are less competitive and provide broader access to California students, approximately 50% of whom are considered under-prepared as freshmen and test into remedial math or English. Because more access-

oriented campuses serve less-prepared college students, they typically report lower retention and graduation rates than more competitive campuses. These differences, among others for the 23-campus system, make the complex issues involved with culture, leadership and change for the CSU as a whole more complex.

According to a survey of CSU faculty, there continues to be broad support for the traditions associated with shared governance (Buck & Highsmith, 2001). Respondents of the report voiced anxiety that shared governance traditions may be at risk from a high degree of impending turnover of senior faculty and administrators and the changing demands of the workplace. Buck and Highsmith concluded that the university should take steps to ensure that shared governance in the CSU “more vital and effective” (p. 9).

With this background, we are left with several questions. How will leaders within the CSU effectively respond to pressure to more efficiently utilize state funding placing more emphasis on time to graduation than access and exploration? Will the shared governance process at campuses help or hinder the implementation of policy changes needed to address declining resources while responding to external pressure to increase graduation rates? Will some campuses respond to change better than others?

One way to investigate these questions is to study how university leaders perceive the shared governance culture on their campuses and their perceptions of how this culture impacts change. If, as some researchers have suggested, faculty and administrative leaders are able to utilize the shared governance model in an effective manner, will they differ in their perceptions of how well the shared governance process impacts change on their campuses? This study investigates these questions.

Purpose

The purpose of this study was to explore organizational culture and leadership through the perceptions of university leaders in a shared governance environment. Then, to ask the same leaders to rate the level and type of impact shared governance had on change at their campuses. The goal of this study was to generate quantitative data in this area that could explore the opinions and observation prevalent throughout the literature on shared governance. The study was conducted while the university was experiencing pressure to move from a culture that placed more emphasis on student access and exploration to one that emphasized efficiency in education and reduced time to graduation.

Two groups (faculty leaders and administrative leaders) involved in shared governance were asked to complete a survey regarding campus culture and then to rate the level of collaboration and impact of shared governance at their campuses. The goal of the study was to provide insight to faculty and administrative leaders on how the university's leadership approaches, within a culture of shared governance, may influence or even sometimes inhibit change on their campuses.

Definition of Terms

Before examining ways a shared governance culture and leadership approaches may interact to influence this change within the CSU system, it was important to first define these terms in a manner that would be appropriate for an academic setting. Thus, for the purposes of this study, the following definitions will be used. Each term is first defined in the broader context. Broad definitions are followed by the more specific higher education context utilized in this study.

Leadership. “A process whereby an individual influences a group of individuals to achieve a common goal” (Northouse, 2007, p. 3). This study will explore perceptions leadership

through a cultural lens focusing on shared governance (i.e. hierarchical, collaborative, etc.) and how that type of leadership impacts change on participants' campuses.

Culture. "The taken for granted values, underlying assumptions, expectations and definitions that characterize organizations and their members" (Cameron & Quinn 2011, p. 18). This study will focus on perceptions of the shared governance culture within higher education using the Competing Values Framework (Cameron, Quinn, DeGraff, & Thakor, 2006).

Shared Governance. "Shared governance describes the relationship between the administration and the faculty in which the faculty participate in giving direction and advice to the university on important policy decisions" (Academic Senate of the California State University, 2001, p. 3). This study will utilize shared governance to frame the context within which participants are asked to rate their current and preferred perceptions of culture and change on their campuses.

Change. "The combination inner shifts in people's values, aspirations, and behaviors with other shifts in processes, strategies, practices and systems" (Senge et al., 1999, p. 15). This study will focus on how participants' perceptions of current and preferred culture influences their rating of how the shared governance culture at their campus impacts change.

Theoretical Framework

The theoretical model used in this study is the Competing Values Framework primarily developed by Cameron and Quinn in the 1980s. "The Competing Values Framework was developed in response to the need for a broadly applicable model that would foster successful leadership, improve organizational effectiveness and promote value creation" (Cameron et al., 2006, p. 6). This framework has been used in numerous studies over the past three decades to

research organizational culture, leadership and change in corporate, health care, non-profit, and K-12 educational settings (Cameron & Quinn, 2011).

The Competing Values Framework classifies organizations (or sub-groups within organizations) into four main culture types: clan, adhocracy, hierarchy and market. The general characteristics of each culture, as explained by Cameron and Quinn (2001), are provided in Table 1. An additional column, added by the author of this study, provides further explanation of how this framework might help describe change. While the adjectives added under the change column are not explicitly outlined in the Competing Values Framework, they are in-line with Cameron and Quinn’s framework.

Table 1

Characteristics of Culture Types

Culture Type	Characteristics		
	Cultural	Leadership	Change
Clan	<ul style="list-style-type: none"> • Value-Driven • Collaborative • Team Oriented • Participants are Involved 	<ul style="list-style-type: none"> • Facilitators • Mentors • Supportive • Committed • Share Power 	<ul style="list-style-type: none"> • Based on Core Values • Established via Shared Goals • Changes are vetted broadly
Adhocracy	<ul style="list-style-type: none"> • Innovative • Entrepreneurial • Adaptable • Risk Taking 	<ul style="list-style-type: none"> • Comfortable with Ambiguity • Visionary • Innovative 	<ul style="list-style-type: none"> • Dynamic • Anticipates New Markets/Needs • Fast and Responsive
Hierarchy	<ul style="list-style-type: none"> • Bureaucratic • Efficient • Reliable • Predictable 	<ul style="list-style-type: none"> • Command & Control • Accountability • Strict Procedures 	<ul style="list-style-type: none"> • Tightly Controlled • Rigid adherence to change processes • Slow & Measured
Market	<ul style="list-style-type: none"> • Competitive • Results Oriented • External Market Orientated • Bottom-Line Oriented 	<ul style="list-style-type: none"> • Tough and Demanding • Competitive • Customer Service Focused • Respond to Results 	<ul style="list-style-type: none"> • Encouraged • Entrepreneurial • Customer Satisfaction Oriented • Profit Oriented • Efficiency Oriented

Based on these four classifications, Cameron and Quinn developed the Organizational Culture Assessment Instrument (OCAI) to assess six dimensions of organizational culture. These dimensions are: Organizational Characteristics, Organizational Leadership, Management of Employees, Organizational Glue, Strategic Emphasis and Criteria for Success. The instrument is intended to provide a glimpse into participants' perceptions of both the current and preferred ways their organizations operate and the values that characterize their perceptions of culture within their organizations (Cameron & Quinn, 2011).

This framework was selected for several reasons: First, to provide a basis for understanding organizational culture that could help account for the multiple cultures which exist in a higher education setting; second, because the instrument has only been used in a limited number of higher education settings; third, because all three areas of interest for this study (culture, leadership and change) are included in this framework; and, fourth, considerable work has already been conducted to test validity and reliability of the OCAI survey instrument in studies utilizing this framework.

Research Questions

With the definitions of leadership, culture, shared governance and change in mind, and utilizing the Competing Values theoretical framework just described, the following research questions were explored. Methodological approaches used to explore the following research questions using study's theoretical framework will be presented in Chapter 3.

The following research questions will be explored in this study:

1. What are the demographic profiles of faculty and administrative leaders who participated in this study at the selected sites?

2. How do faculty and administrative leaders rate current and preferred dimensions of culture on the OCAI?
 - a. How do all participants, regardless of campus or participant type, rate current and preferred cultural dimensions on the OCAI?
 - b. How do all participants, separated by participant type (faculty leader vs. administrative leader), rate current and preferred cultural dimensions on the OCAI?
 - c. How do ratings of current and preferred cultural dimensions differ between the campuses when ratings for all participants from that campus are combined (campus differences)?
 - d. How do ratings of current and preferred cultural dimensions differ between participant groups at each campus (campus differences by participant type)?
3. How well do combinations of participant demographic data combine to predict average OCAI scores?
4. How do faculty and administrative leaders at these campuses differ in their perceptions of shared governance and its impact on change at their campus:
 - a. How do participants rate the level of collaboration at their campus?
 - b. How do participants rate how shared governance impacts change on their campus?
 - c. How do participants rate the type of impact of shared governance has on their campus?

Significance of the Study

To help underscore why this type of study is important, a short excerpt from a recent report by the State Higher Education Executive Officers (SHEEO) is provided. This report underscores several of the challenges facing higher education which are relevant to this study:

One cannot responsibly ignore either the financial realities or the larger economic challenges facing the American people. Somehow the nation and its educators must come to grips with these realities and create effective responses to them. Colleges and universities must find ways to reduce student attrition, the cost of instruction, and time to a degree, while improving instruction and increasing the numbers of students who graduate ready to be productive citizens. (State Higher Education Executive Officers, 2011, para. 11).

Higher education leaders (both administrative and faculty) need new tools and information that can help them develop strategies, within the shared governance model, to lead their institutions through the types of substantive changes needed to address the challenges laid out in the SHEEO report. This study provides important information to higher education leaders by focusing on shared governance culture and its impact on change at public universities. The information gleaned from this study should help leaders better understand the impact of shared governance on their campuses and guide them in the development of strategies to help facilitate changes needed to respond to external pressures to decrease time to degree.

Delimitations

The initial delimitation for this study involved the decision to limit the target population to faculty and administrative leaders within the California State University (CSU) system. The decision was partially based on the geographic proximity of the universities to the researcher. Also, this target population was selected because the researcher had direct access to campus leadership through the President at his own university. Since the purpose of the study was to

explore leadership and change in a shared governance culture, the target population was limited to individuals directly involved in shared governance at each campus (as defined by that campus).

Limitations

It is important to acknowledge that not all colleges and universities have similar shared governance cultures or leadership approaches. Nor do all university leaders, whether faculty or administrative, respond to external pressure to change in the same manner. As such, using an accessible population from the CSU for this study may not be generalizable to other kinds of higher education organizations, or even all campuses within the CSU system.

Additionally, the methodology uses a survey research design. As such, the participants will not be able to provide expanded answers or ask clarifying questions about the items on the survey instrument. Given that individuals interpret culture in different ways; this type of survey research may not be able to help explain why groups rate current and preferred aspects of their campus culture differently.

The CSU does have a faculty union. This study did not attempt to explore how the union might influence perceptions of culture nor the union's influence or impact on shared governance. Staff unions also exist within the CSU. The potential influence of staff unions on administrators perceptions of culture and change were also not explored in this study.

Organization of the Study

Having introduced the study, the next chapter provides a review of the literature on culture, leadership, shared governance and change with a specific focus on higher education. Chapter Three provides the research methodology including a description of the population. Chapter Four will provide the findings and analysis of the data. The OCAI dimensional diagrams discovered through the survey will also be provided in this chapter. Summary comments,

conclusions and recommendations for further research will be provided in Chapter Five. Finally, the reference list and appendixes are provided at the end of the study.

CHAPTER TWO LITERATURE REVIEW

This study explores perceptions of culture, leadership and change from faculty and administrative leaders in higher education. The literature included in this review was focused on four conceptual areas: organizational culture, leadership, shared governance (as a specific type of leadership culture) and change. The studies, essays and reports reviewed often deal with more than one of these conceptual areas within the same article. The review is primarily focused on the late postmodern period (approximately 1990 to 2012). Though not intended to be exhaustive, this review attempts to incorporate many of the more commonly cited works for each conceptual area with specific emphasis on higher education.

One common thread that emerged from the literature is the notion that regardless of whether leadership develops from, and is influenced by organizational culture or, culture is derived from, and influenced by leadership, many authors noted that the interaction of culture and leadership can have a profound impact on organizational change (Brooks, 2007; Cameron & Quinn, 2011; Collinson, 2006; Kellerman, 2008; Kezar et al., 2006).

This review is organized by conceptual area even though most scholars did not typically explore organizational culture, leadership, shared governance (in higher education) and change independently. Many of the scholars focused on the relationships between conceptual areas. This focus on relationships helped guide the methodology used in this study as will be outlined in Chapter Three.

Organizational Culture

The importance of organizational culture as an influential force in leadership and change has become increasingly evident in the literature over the past three decades (Kezar, 2001; Morgan, 1998; Pennington et al., 2003; Schein, 2010; Tierney, 2008; Tjeldvoll, 2011; Waldner

& Weeks, 2006; Waugh Jr., 1998). The implications of culture regularly appear in scholarly books, articles and studies of leadership and change. Cameron and Quinn (2011) cited the inability to understand and influence organizational culture as one of the more common reasons efforts to create organizational change often fail. Schein, who has been one of the primary authors in organizational culture during the postmodern period stated, “if we don’t understand the operation of these [cultural] forces, we become victim to them” (2010, p. 7). Schein argued that developing an understanding of an organization’s culture should be the first step for leadership when developing strategies for change.

As stated in Chapter One, Cameron and Quinn defined organizational culture as “the taken for granted values, underlying assumptions, expectations, collective memories, and definitions present in an organization” (2011, p. 18). There appear to be, however, almost as many definitions of organizational culture as there are books and articles on this subject. Nevertheless, a relatively small group of common characteristics emerged in most definitions.

Deal & Kennedy (1982) offered one of the more basic definitions of organizational culture as “the way we do things around here and the manner in which these norms and values are communicated” (p. 3). Morgan (1998) offered a more complex description by exploring organizational culture through metaphors in his work.

Images of Organizations

For example, Morgan (1998) examined culture, and its influence on leadership and change, as a machine (classical management theory). Like cogs in a machine, workers serve specific functions controlled by central leadership. He went on to review organizations through a living organisms metaphor (organizations grow, adapt to their environment and eventually die). Other metaphors Morgan used included organizations as brains (learning organizations), political

systems and even psychic prisons. In each case, Morgan argued that the metaphor influenced the kind of leadership that would be successful in understanding and leading the organization.

One of authors often cited by scholars when writing about organizational culture was Edgar Schein. In his 1992 book *The Role of the CEO in the Management of Change*, he defined culture as:

A pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 12)

Later, Schein (2010) argued that different categories of culture exist. He divided cultures into:

1. Macrocultures – cultures identified globally (e.g. religions, nations, etc.);
2. Organizational Cultures – cultures identified in similar types of organization (e.g. for-profit, non-profit, government, etc.);
3. Subcultures – cultures identified within identifiable groups within organizations (e.g. divisions, departments or offices with specific functions or identities);
4. Microcultures – Cultures identified within small groups regardless of organizational affiliation (e.g. book club, soccer moms, band groupies, etc.).

Regardless of the way culture is defined in the literature, many authors assert that the organization's culture does influence the kinds of leadership, and as such, the types of change strategies that can be successful. As one researcher put it, "Culture is like surfing for a wave. You cannot make a wave. All you can do is wait and watch for the right wave, then ride it for all it's worth" (Martin, 2002, p. 257).

Martin's metaphor seems particularly applicable to the organizational culture of higher education. Robert Birnbaum (1987, 2004), a proponent of the effectiveness of shared governance

in higher education, posits a more traditional view of university governance where all parties (faculty, administration and trustees) share decision-making authority in a culture of collegiality and consultation. Throughout the literature, Birnbaum's point of view appears to be a common theme appearing in much of the faculty-based literature on culture and leadership in higher education (Birnbaum, 2004; Buck & Highsmith, 2001; Crellin, 2010; Eckel, 2000; Waugh, Jr., 1998).

Kezar et al. (2006) argued that universities are "loosely coupled" organizations with multiple organizational sub-cultures. According to these researchers, for leaders to be effective it is important to know which sub-cultures are involved in, or impacted by decisions and decision-processes. Without this understanding, they argued, leaders may encounter many challenges when attempting to implement institutional changes. Further, Kezar, Carducci and Contreras-McGavin observe that in most universities the culture is entrenched in long-standing traditions which can influence the success or failure of institutional decisions.

In keeping with the idea that colleges and universities are loosely coupled systems, Fralinger & Olson (2007) argued that universities have distinctive "personalities" (p. 86) which are different from other types of organizations (especially private business). They stated:

Universities possess distinctive characteristics which correlate strongly with their respective cultures. Unlike most business organizations, universities often possess goals that are unclear and difficult to measure. Further, the internal and external stakeholders are diverse. As a web, the university can be considered interwoven and continuous, allowing communications among individuals who share responsibility and decision-making power.

Further, Fralinger and Olsen (2007) argued that in order to be effective, leadership needed to take into account the type of organizational culture present. They believed that understanding and working within the organizational culture was more important to leadership effectiveness than any other factor.

Seeking to see whether these assertions included students (which they described as an overlooked group in the study of university culture), Fralinger and Olsen (2007) used the OCAI instrument (Cameron & Quinn, 2011) to study the current and preferred culture of students within the Health and Exercise Science Department at Rowan University. They found that students preferred the collaborative and participatory components of the Clan Culture. Students in the study observed that the Clan characteristics they preferred were also evident in the faculty of the department. Fralinger and Olsen believed that their results suggested a synergy between the preferred culture for these students and the influence of faculty in the student's chosen field of study. They admitted, however, that much more research would need to be done before any further observations could be made.

Berrio (2003), explored organizational culture utilizing the Competing Values Framework developed by Cameron and Quinn. Berrio asked personnel from the Ohio State University Extension Office to complete the OCAI. Similar to other studies in educational settings, Berrio found that the extension employees preferred the Clan culture. IN this study, scores for the Clan culture were highest among participants for both current (now) and preferred scores. Berrio did find significant differences between current (now) scores for both Market and Hierarchy (scores for both culture types dropped between current and preferred).

As observed by many scholars, organizational culture can exert considerable influence over the success of institutional leadership strategies and change initiatives. There is, however, another body of literature that suggests leadership (or individual leaders) can exert considerable influence on the organizational culture. The next section of this literature review explores the role of leadership on culture and change in higher education.

Leadership

In contrast to the researchers who argued leadership develops from, and is influenced by, organizational culture, other researchers have argued conversely that culture can be derived from, and influenced by leadership (Avolio, 1999; Den Hartog, Muijen, & Koopman, 1996; Heifetz, Grashow, & Linsky, 2009; Hesselbein & Goldsmith, 2006; Kotter, 1996; Wergin, 2007). This section of the literature review will present evolving definitions of leadership and briefly review a sampling of studies from authors who argued that leadership influences culture.

The literature reveals that leadership theory and research has evolved during modernity from primarily focusing on the leader (leader-centric), to exploring the relationships between leaders and followers and more recently to emphasizing followership (follower-centric). As such, the review was organized by leader-centric, leader-follower and follower-centric literature.

Leader-Centric Models of Leadership and Change

Classical Management Theory and Scientific Management emerged in the early 20th century based on Max Weber's work on the mechanization of industry and organizational bureaucracies (Morgan, 1998). According to Morgan, Weber observed, "the bureaucratic form routinizes the process of administration exactly as the machine routinizes production" (p. 23). In this model of leadership, and more specifically, leaders played the central role in creating the organization and its culture. Building on the work on scientific management, early leadership models focused primarily on the leader as a "Great Man" (Northouse, 2007). Carlyle, a historian, is credited with popularizing the Great Man Theory (Kellerman, 1986). Carlyle argued that certain men are born to lead and that these Great Men are destined to become leaders.

During the first half of the 20th century, some scholars (Mann, 1959; Stogdill, 1948) focused on defining the traits that might help men to become great leaders versus followers.

Several of these traits included intelligence, responsibility, drive, self-confidence, sociability, etc. Stodgill, however, argued that traits must be considered in context of the situation. Stodgill's observations about viewing leadership in context fueled early debates about the relationships between leadership and culture (Northouse, 2007). Even though many researchers criticized the idea that certain *born leaders* could singlehandedly create and/or change organizational culture, the debate has continued into the present (Avolio, 1999; Cameron & Quinn, 2011; Heifetz et al., 2009; Hesselbein & Goldsmith, 2006; Kellerman, 1986).

Another leader-centric focus of leadership study, beginning in the mid-1950s, centered on leadership skills. Katz (1955) argued that what executives do (the skills and abilities they display at work) might be a better way to identify leaders than using their traits and characteristics. In his article, Katz offered a "Three-Skill Approach" (p. 34) to leadership (Technical, Human and Conceptual). Early work by authors like Katz and Stodgill provided researchers different methods to examine the impact of leadership behaviors on the organization's culture. Additionally, researchers started to develop instruments to help study the leadership/culture phenomena. One example of this type of instrument would be the Leader Behavior Description Questionnaire (LBDQ) developed at Ohio State by Stodgill in 1963.

One study conducted by Pennington et al. (2003) utilized both the Leadership Practices Inventory developed by Kouzes & Posner in the late 1980s and the Organizational Cultural Assessment Instrument developed by Cameron & Quinn in the late 1990s, to explore the relationships between leadership and culture. They found that there were relationships (positive and negative) between leadership practices and culture and that leadership did appear to influence culture.

Den Hartog et al. (1996) argued that “Leaders create, transform and manage organizational cultures” (p. 69). They observed that while this observation commonly appears in leadership literature, there was not yet enough evidence to fully explore the relationships between leadership and culture. Observations about the relationship between leaders and followers seemed to lead to another thread in the literature. This thread was explored next.

Leader Follower Models of Leadership and Change

Early theories that explored leader follower ideas focused on the context and situations within organizations and their influence on leaders and followers. Building on the idea that leadership behavior should be determined based on the context of the situation, behavioral theorists Hershey and Blanchard developed a situational leadership model in the late 1960s. Originally labeled as a life cycle theory of leadership, situational leadership was concerned with leadership behavior in relation to the “task-relevant maturity of subordinates” (Graeff, 1997. p. 285). Task relevant maturity was defined as either job maturity (employee’s ability to do the job) or psychological maturity (employee’s motivation to do the job). As with behavioral leadership studies, situational leadership was still primarily a leader-centric model. Theorists, however, began to introduce the idea that effective leadership might be based on abilities and behaviors of employees (followers). Those ideas are presented next.

Continued study leadership began to give rise to another theory placing leaders and followers in context – Contingency Theory. Originally developed by Fiedler and Mahar at the University of Washington in the mid-1960s, Contingency Theory attempted to match leaders with situations. This leader-match was determined by two factors: (a) The leader’s motivation for the task at hand; and, (b) The level of leader control and influence in a specific situation (Fiedler & Mahar, 1979). Motivation was further described as either task motivated (completing an

objective or reaching a goal) or relationship motivated (developing personal relationships with employees).

Building on emerging work of leader-follower interactions, Leader-Member Exchange Theory (LMX) became popular during the 1970s (Northouse, 2007). Initially called Vertical Dyad Linkage (VDL) theory, early researchers focused on dyadic relationships between leaders and their subordinates creating in- or out-groups based on leader subordinate relationships. LMX, through the exploration of in- and out-groups advanced the cultural significance of leader-follower interactions (Dienesch & Liden, 1986; Masood, Dani, Burns, & Blackhouse, 2006; Scandura, Graen, & Noval, 1986).

With the continued emergence of leader / follower interaction models, Bass and Avolio placed more emphasis on followers and argued that “the culture affects leadership as much as leadership affects the culture” (1993. p. 113). These authors argued that organizations do their best to move from purely transactional cultures (responsibilities, reward and punishment structures explicitly defined), to a more transformational culture while also maintaining those transactional aspects of their organization that are critical to day to day operations including IT infrastructures, payroll, and purchasing (Bass & Avolio, 1993).

Transformational culture characteristics, as described by Bass and Avolio (1993), were usually described using the 4 “T”s: (a) Idealized Influence; (b) Inspirational Motivation; (c) Intellectual Stimulation; and (d) Individualized Consideration. Transformational leaders, according to Bass and Avolio (1993), worked to inspire employees and to build a culture that supports these four characteristics. In contrast, Bass & Avolio argued that transactional leaders build cultures based on rewards or punishments for work activities. Transactional cultures leave

little room for creativity and innovation. Thus, they argued, employees were typically less motivated in transactional environments (Bass & Avolio, 1993).

The work on leader-centric and leader-follower interactions still left one area of leader follower relationship unexplored; follower-centric. The next thread that emerged in the literature focused on followers. Much of this work has emerged in the past decade.

Follower-Centric Models

More recent literature on leadership, organizational culture and change has focused on followership. This topic was not fully explored in the literature review since it is not specifically being examined in this study. This review, however, would be incomplete without at least some mention of a few important works on this topic.

Kellerman (2008) noted that relatively little research focused on followership during the 20th century. Many scholars suggested this was because the term follower was often associated with negative stereotypes (Collinson, 2006; Haslam & Platow, 2001; Kellerman, 2008; Thach, Thompson, & Morris, 2006; Van Vugt, Hogan, & Kaiser, 2008).

Thach et al. (2006), “the term followership is often linked to negative and demeaning words like passive, weak and conforming” (2006, p. 304). Kellerman (2008) observed that most of the literature on leadership appeared, from her perspective, to be based on the “presumption that to be a follower is to be somehow diminished” (p. 6).

As study of followership continued to advance, some authors argued that leadership and followership cannot be studied in isolation. As one author put it, “identities of leaders and followers are frequently a condition and consequence of one another” (Collinson, 2006, p. 187). Rather than continuing to explore theory and research on leadership and followership independently, some have argued that future research must abandon dichotomous notions of

leadership and followership and instead focus on the relationships between them (Collinson, 2006; Kellerman, 2008).

Several scholars cited earlier in this review have suggested that research should be situated in the context of the organization's culture (Bass & Avolio, 1993; Graeff, 1997; Kellerman, 2008). Since the focus of this study is higher education, and scholars have argued that higher education has a different culture than many other types of organizations (Kezar et al., 2006), then this review of literature would not be complete without exploring one of the more prevalent aspects of higher education culture and leadership; shared governance. Thus, the next section of this review briefly explores shared governance.

Shared Governance in Higher Education

According to Birnbaum (2004), the first time a published statement outlining the faculty's role in academic governance was in 1967. This statement was developed and endorsed by three national associations (American Association of University Professors [AAUP], the American Council on Education and the Association of Governing Boards of Universities and Colleges). Commonly referred to as the Joint Statement, it described the relationship between trustees, presidents and faculty and provided the basic ideological underpinnings for shared governance. These included determining which groups were responsible for different aspects of university governance (e.g. general education, internal operations and external relations) in an environment of mutual respect and consultation (AAUP, 2012).

Birnbaum (2004) noted that in response to growing criticism over the cumbersome and political nature of shared governance, a growing number of organizations had called for reform in the governance systems in higher education. Birnbaum, a proponent of shared governance, warned that making drastic changes from a softer, more collaborative governance structure to

one that was harder and more bottom-line driven would be unlikely to produce the results desired by critics. He stated that the “purpose of academic institutions is not to create products but to embody ideas” (Birnbaum, 2008, p. 18). He concluded that involving faculty in shared governance might make it more difficult for institutions to change. Changes that are made, however, would embody the core values of the academy and be more likely to be successful.

Shinn (2004) stated that shared governance is often criticized for being too cumbersome inhibiting an institution’s ability to quickly adapt to change driven by external constituencies. He expressed concern that the differences between faculty culture, administrative culture and trustee culture may exacerbate these issues. He stated:

Faculty culture, for instance, typically promotes individual and collective autonomy, disciplinary or departmental concerns, and deliberative participation processes. Administrative culture is usually concerned with collective equity, institutional controls, bridging diverse constituencies, and timely and effective decision-making. Trustee culture, in turn, often reflects business models where efficiency, authority, and "bottom-line" thinking prevail (Shinn, 2004, p. 18).

Simplicio (2006) observed that not all faculty on a campus may have equal voice in the shared governance process. Faculty who are non-tenured or part-time may not always be included in governance processes. Since part-time faculty have been becoming more prevalent in higher education, he wondered how representative the faculty’s voice really might be at institutions with fewer tenure-track faculty. Simplicio also questioned who was considered administration. He asked whether academic department chairs are really administrators or simply faculty performing a special task on the campus. Even within the curriculum, under the control of the faculty, Simplicio wondered how well faculty in one discipline could help make curricular decisions impacting another academic department of the university. Ultimately, Simplicio concluded that shared governance, in his opinion, was the appropriate way to govern universities. He argued, however, that while faculty should be given an influential role in the process, their

role should not come at the expense of other important stakeholders (administrators, trustees and students).

In a recent article titled, “Shared Governance in an Age of Change,” (Langland, 2011), a faculty member from a large public university lamented the difficulty shared governance faces today versus post World War II in the 1960s. Her argument was that shared governance was, “developed in a gentler age, at least in a more prosperous one. And those procedures reflect a slower pace of change that allowed for both deliberation and consultation” (Langland, 2011, p. 554). In her article, Langland wondered what a more modern shared governance structure could look like; she wondered how shared governance could really be effective in a world of budget reductions and lay-offs. As one way to examine this question, Langland asked readers to consider how shared governance could continue to be compatible amid the pressures for change facing public universities; how shared governance could effectively operate when states continued to reduce their financial support for higher education; and, how faculty could re-imagine their role in shared governance as the values of higher education continued to evolve and change. Ultimately, she appeared to be asking how shared governance might adapt and change to survive.

Writing on the future of shared governance, Crellin (2010) noted that educational leaders must be “at once both agile and purposeful while drawing upon a deeper well of knowledge to inform decision-making” (Crellin, 2010, p. 71). He provided several examples of how institutions can work interdependently to develop shared governance cultures that promote adaptive change and have helped universities to build competitive new programs. Crellin, like some other academic authors writing about shared governance, concluded that this model of governance was unlikely to evolve into some different form. But, when shared governance

systems go array, the core values of trust, shared responsibility and collegiality must be restored for this model to be effective.

Considering the future of university governance, Eckel and Kezar (2006) noted four emerging trends that they argued will influence academic decision-making in the future. The first is the influence of state governments on public colleges and universities. States have often exerted influence over trustee bodies and as such, over the public institutions they govern. Reductions in state spending and increased calls for accountability have already impacted the way academic decisions have been made. In response to reduced state support, the second trend noted by Eckel and Kezar (2006) was the increase in fundraising and alternative fund finding that public universities have been engaging in to replace lost revenues from the state. As external funders became more and more important (e.g. Nike and the University of Oregon), Eckel and Kezar (2006) argued that external funders will exert more influence over academic decisions and impact shared governance.

Third, Eckel and Kezar (2006) discussed the new styles of leadership they believed need to be developed in response to increasing globalization of public universities. International partners and joint programs have already impacted academic decisions. Finally, these authors suggest that the changing academic workforce has impacted shared governance. Untenured and often part-time faculty are growing in record numbers while tenured full professors have declined in numbers. If the majority of faculty become non-tenure track, and non-tenured faculty are not involved in the shared governance process, shared governance may fail to represent the broader views of the faculty.

Overall, the literature on shared governance has several consistent themes:

1. Shared governance is an important aspect of university culture to both faculty and administrators;
2. Although the process may be slow, most authors believe the consultative nature of shared governance helps produce more effective decisions; and,
3. To continue to be relevant, shared governance systems must change and adapt to the changing environments and external pressures that colleges and universities continue to face.

With this third theme in mind, this literature review concludes with a brief review of the concept of change.

Leadership, Culture and Change

“Most leadership strategies are doomed to failure from the onset. Leaders instigating change are often like gardeners standing over their plants, imploring them: Grow! Try harder! You can do it!” (Senge et al., 1999, p. 8).

Burke (2011) argued that the most difficult aspect of leading organizational change may be the influence of the organization’s culture. Many authors have echoed this general sentiment (Burke, 2011; Kezar, 2001; Kotter, 1996; Quinn, 1996; Senge et al., 1999). Brooks (2007) argued that the interaction between culture and leadership is critical to an organization’s ability to adapt to external factors. The argument that the interaction between culture and leadership is important to change has been supported by several recent studies which examined the relationship between leadership, culture and change (Gill, 2003; Masood et al., 2006; Parry & Proctor-Thomson, 2003; Pennington et al., 2003).

Several of these authors argued that for change to occur strategically, or toward specific goals and objectives, effective leadership is essential. Gill (2003) commented that, due to

ineffective leadership, organizations are often plagued by the fragments of former change initiatives. For change to occur, he argued, initiatives must be planned, organized and successfully introduced by leaders.

Parry & Proctor-Thomson (2003) conducted two national surveys in New Zealand to study the relationships between leadership, culture and effectiveness. They found that transformational leadership factors appeared to have the most direct and indirect effects on leadership effectiveness. Additionally, they found that employees must perceive that they work in a climate that supports innovation and risk-taking. Their study suggests that more professional development for leaders is needed to increase their effectiveness in leading change initiatives.

Pennington et al. (2003) explored relationships between leadership practices and cultural profiles. They argued that leadership practices that challenge current processes in a manner that is congruent with the culture of the team (organization), would be more effective on leading change or fostering innovation. Using the Leadership Practices Inventory (LPI) developed by Kouzes and Posner (2002) and the Organizational Culture Assessment Inventory developed by Cameron and Quinn (2011), these researchers conducted a correlational study looking at leadership practices and team cultures for undergraduate students working in teams in a senior capstone course. They found significant positive correlations between leadership practices and Clan culture, and significant negative correlations between leadership practices and Market culture. Since Clan represented a more collaborative culture and Market a more independent culture, they concluded that team leaders who challenge the process in ways that are more reflective of the team's culture would be more effective leading change and fostering innovation.

Masood et al. (2006) developed a new leadership alignment model to identify transformational leaders and examine their alignment with the culture of their organizations.

They asked more than 300 manufacturing workers to complete a survey on behaviors and characteristics of their leaders. They then used these survey results to identify transformational leaders. Then, they asked the associated leaders (77 participated) to complete the Organizational Culture Assessment Instrument (OCAI). They found that transformational leaders preferred to work in Clan and Adhocracy type cultures. Their hypothesis that non-transformational leaders would prefer more Bureaucratic cultures was not supported in their data. They believe that this may be related to the concept of situation strength, but that more research would be needed to further evaluate this finding. They concluded that transformational leadership does facilitate change initiatives and innovation in organizations when aligned with a Clan or Adhocracy culture.

Quinn (1996) suggested three barriers that can inhibit middle-management initiatives. There were bureaucratic culture, embedded conflict and personal time constraints. Quinn described a bureaucratic culture as one with: several layers of hierarchy; a focus on short-term thinking; a lack of support for change within the leadership; and, an emphasis on the status quo. As further evidence that a bureaucratic culture and inhibit change, a participant in Quinn's study commented "To get an initiative approved five people must say yes. But to get it stopped, only one has to say no" (Quinn, 1996, p. 134).

Kezar (2001) suggested that in the postmodern world, external pressures on organizational change and leadership in higher education have intensified to the point that colleges and universities are being compelled to change. Extending the work of Van de Ven and Poole, Kezar (2001) defined six categories of change that exist in higher education. These are: life cycle, evolutionary, dialectical, teleological, social cognition and cultural. Each style of change carries implications of culture and leadership as considerations of potential success or

failure in change efforts. In her 2002 study with Eckel, Kezar observed that “change strategies seem to be successful if they are culturally coherent or aligned with the culture” (Kezar, 2001, p. 457). In 2006, Kezar et al. extended this observation stating that “leaders play a role as cultural workers, helping faculty and staff manage the ambiguity of organizational life” (p. 126).

A considerable amount of literature exists on the relationships between leadership, culture and change. The small sampling discussed in this literature review is representative of many of the additional studies, books and articles on this topic. The theme that emerged from the literature is that leadership and culture are related and must be aligned to foster effective change in organizations.

Summary of the Literature Review and Gap in Research

As noted throughout this review, many authors have highlighted the importance of organizational culture and leadership as two key factors in successful change initiatives (Buono & Kerber, 2010; Higgs & Rowland, 2005; Kezar, 2001; Kotter, 1996; Senge et al., 1999). Exploring whether culture influences leadership, or leadership influences culture, continues to be an on-going interest for many (Avolio, 1999; Bolman & Deal, 2008; Kezar et al., 2006; Schein, 2010). Regardless of differing perspectives on this *chicken or egg* controversy, the importance of the relationship between culture and leadership seems evident based simply on the vast amount of literature focused on these topics.

Thus, taken together, the research, essays, reports and books included in this review of literature have highlighted the importance of the relationships between culture and leadership. Additionally, the interaction of culture and leadership on change continues to be a critical aspect of university governance. In higher education, many authors argue that shared governance plays a central role in the culture of the institutions and must be considered for leaders to be effective.

Little empirical research, however, has been conducted to support these views. Therefore, it seems appropriate to conduct research to explore the interaction of organizational culture and leadership on change in higher education.

To that end, this study was derived by identifying the gaps in quantitative research conducted at colleges and universities on culture, leadership and change. Specifically, to better understand perceptions of higher education leaders in a shared governance environment. It is the hope of this author that more research will be conducted in this area to build a broader body of work that can help leaders more effectively institute change in higher education.

CHAPTER THREE METHODOLOGY

This chapter provides an overview of the research design, questions, participants and sites, survey instrument, measures, procedure and data analysis used for this study. As stated in Chapter One, the purpose of this study was to explore organizational culture and leadership through the perceptions of university leaders in a shared governance environment. Then, to ask the same leaders to rate the level and type of impact shared governance had on change at their campuses. The analysis was focused on differences in perception between faculty and administrative leaders at California State University campuses. Participants were asked to rate the level of collaboration in shared governance culture at their campus and how they perceived shared governance impacted change. Ultimately, the study was intended to assist campus leaders to better understand their organizational culture and in developing strategies on how best to implement changes on their campuses within a shared governance model.

Research Approach and Rationale

This study utilized a non-experimental, survey research approach and provided descriptive, difference and predictive analyses. The decision to use a survey research design was based on the Competing Values Framework and its corresponding survey tool; the Organizational Culture Assessment Instrument (OCAI). Three additional questions regarding shared governance and change were appended to the OCAI instrument (Appendix A).

Participants and Site

The target population for this study was faculty and administrative leaders within the California State University (CSU). The CSU is comprised of 23 campuses, over 400,000 students, and almost 44,000 faculty and staff. After several years of budget reductions, the CSU system experienced considerable external pressure to reduce the costs of education and time to degree.

These demands required university leaders to try to change many long-held policies and practices that had been central to the University's access-oriented mission and culture. Consequently, the CSU, as directed by its Chancellor, engaged in a broad effort to increase graduation rates. The next several years of on-going changes in resource allocation and institutional objectives created an interesting environment at CSU campuses to study culture, leadership and change.

The accessible population for this study included faculty and administrative leaders at several CSU campuses. Faculty leaders were drawn from the Faculty or Academic Senates typically ranging from 50-80 members. Administrative leaders were identified by staff in the president or provost's offices. Administrative leadership groups typically range from 20 to 40 members. The campuses were selected using a convenience sampling approach determined first by the campus presidents' willingness to participate. The objective in selecting campuses was: First, to try to find two similar campuses (e.g. in size of the student body, admission selectivity, being residential vs. commuter and urban vs. rural setting); then, to identify a third campus that was different from the first two campuses using the same set of attributes. The selection process for the three campuses was intended to represent common types of campuses within the CSU system.

Actual Population

After presidents at three campuses replied that they were willing to participate in the study, they each assigned a campus contact to send lists of senate members and administrative leaders. Initially, 280 individuals from these three campuses were invited to participate in the survey. Due to low survey response within the first few weeks of the survey, however, the researcher completed an amendment with the Colorado State IRB Office to include two more

campuses.

Ultimately, the accessible population included 307 individuals from four CSU campuses. One of these campuses, however, had only four respondents. These four surveys were included in the total participant analysis but this campus was not analyzed separately. At the fifth campus, difficulty in obtaining IRB approval prevented participants from receiving the survey until the semester was almost over. Ultimately, a handful of surveys were received from this campus, but since data analysis had already started, those surveys were not included.

Surveys from the four campuses that were included in this analysis were grouped first by campus (labeled Campus 1 through Campus 4) and then by participant type (faculty leader or administrative leader). Of the 307 individuals who were invited to participate, 111 (36%) returned a survey. Of the 111 surveys returned, seven were excluded because the surveys were either incomplete or contained other errors. The final number of participants was 104.

Measures

As described in Chapter One, the theoretical model used in this study was the Competing Values Framework (Cameron et al., 2006). This framework classifies organizations (or sub-groups within organizations) into four main culture types: clan, adhocracy, hierarchy and market. For this study, the Organizational Culture Assessment Instrument (OCAI) was used to collect data on participant perceptions of current (now) and preferred culture at their institutions. Questions were appended to the OCAI for participants to rate their perceptions of the level of collaboration in shared governance at their campus, the impact of shared governance on change and, optionally, to provide any clarifying comments.

OCAI Description

The OCAI uses a 100-point ipsative scale. Survey items (statements) are organized

according to the OCAI's six dimensions of organizational culture (described in Chapter One). The instrument was made available in an on-line and paper format. The OCAI instrument and additional questions are provided in Appendix A.

When completing the OCAI, participants are asked to read four statements under six cultural dimensions and then assign a point value to each statement according to their perception of the statements applicability to their current ("now") and preferred organizational culture. Participants are allotted 100 points to distribute among the four statements within each dimension. The distribution of points is intended to indicate how well the participant believes the statement describes his/her current and preferred organizational culture. According to Cameron and Quinn (2011), the point distribution across all dimensions determines the dominance of each of the four cultures as rated by participants within the organization. From these scores, an organizational culture profile was constructed.

OCAI Plot Example

The following sample plot, reproduced from the OCAI on-line tutorial (OCAI Online, 2012), provides a visual example of summary data gathered from a group of participants. Current and preferred average scores for each of the four culture types, Clan, Adhocracy, Market and Hierarchy, are plotted along a diagonal axis as shown in Figure 1 below.

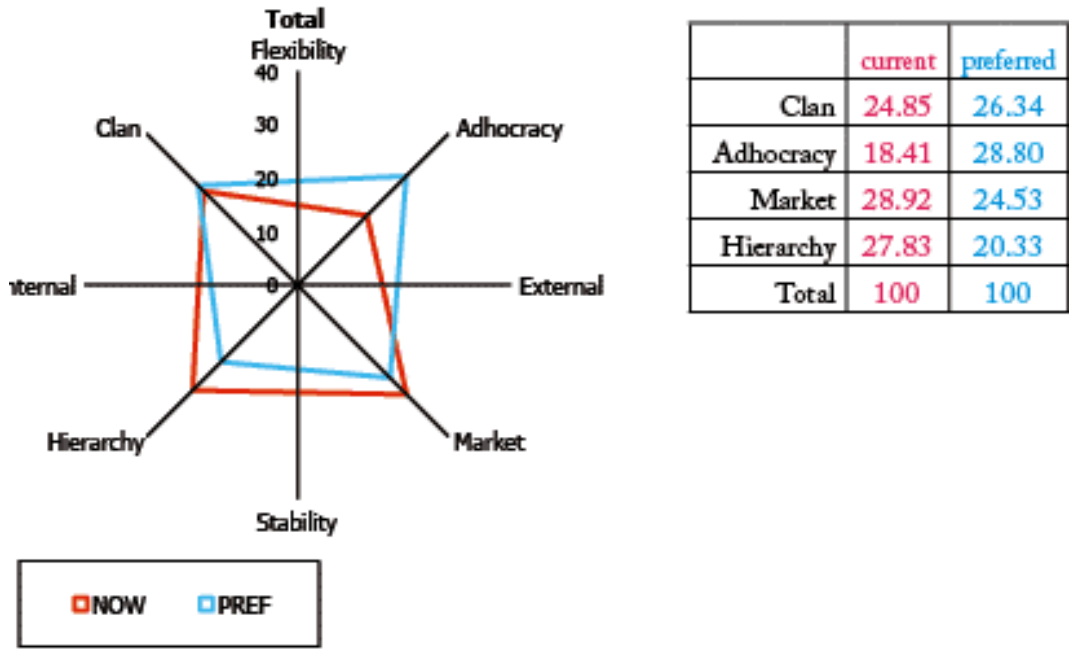


Figure 1. Example of an OCAI Plot.

In this example, the highest average score for participants’ current cultural dimension was Market and preferred was Adhocracy. This rating infers that participants believe their current culture is more competitive, results and bottom-line oriented. Participants average ratings for their preferred culture indicates that they would rather work in an Adhocracy culture where they can be more innovative and change is more dynamic.

Validity and Reliability of the OCAI

Cameron & Quinn (2011) provided evidence from multiple studies to support the validity of the instrument. They contended that the sheer number of studies in a variety of settings with significant findings using the Competing Values Framework indicates support for external validity of the OCAI (Cameron & Quinn, 2011). Cameron and Freeman (1991) conducted a study that specifically supported the validity of the OCAI for higher education. Cameron and Freeman surveyed 3,406 individuals from 334 colleges and universities in the U.S. The authors

argued that the sample was representative of US institutions of higher education. They claimed that the results of their study support external validity, that the results of their study can be generalized to the larger population of U.S. colleges and universities; and that the survey measured the dimensional constructs of culture as designed (Cameron & Freeman, 1991; Cameron & Quinn, 2011).

To evaluate reliability, Cameron and Quinn (2011) reported Cronbach alpha coefficients for each of the culture types from a number of studies using the OCAI. Findings indicated that studies using the OCAI consistently produced reliability coefficients between .71 and .90.

The authors cited two specific studies as examples. Quinn and Spreitzer (1991) asked over 800 participants from 86 different public utility firms to complete the OCAI. They reported Cronbach alpha coefficients of greater than .70 for each culture type in the findings of their study.

In another example, Yeung, Brockbank, and Ulrich (1991) asked 10,300 executives in 1,064 businesses to complete the OCAI. In this study, the authors reported Cronbach alphas between .76 and .80 for each culture type. Citing numerous additional studies, Cameron and Quinn concluded, “sufficient evidence has been produced regarding the reliability of the OCAI to create confidence that it matches or exceeds the reliability of more commonly used instruments in the social and organizational sciences” (Cameron & Quinn, 2011. p. 178).

Research Questions and Approach to Data Analysis

The study’s research questions were used to organize the measures in this chapter. As presented in Chapter One, the following research questions were explored in this study:

1. What are the demographic profiles of faculty and administrative leaders who participated in this study at the selected sites?

2. How do faculty and administrative leaders rate current and preferred dimensions of culture on the OCAI?
 - a. How do all participants, regardless of campus or participant type, rate current and preferred cultural dimensions on the OCAI?
 - b. How do all participants, separated by participant type (faculty leader vs. administrative leader), rate current and preferred cultural dimensions on the OCAI?
 - c. How do ratings of current and preferred cultural dimensions differ between the campuses when ratings for all participants from that campus are combined (campus differences)?
 - d. How do ratings of current and preferred cultural dimensions differ between participant groups at each campus (campus differences by participant type)?
3. How well do combinations of participant demographic data combine to predict average OCAI scores?
4. How do faculty and administrative leaders at these campuses differ in their perceptions of shared governance and its impact on change at their campus:
 - a. How do participants rate the level of collaboration at their campus?
 - b. How do participants rate how shared governance impacts change on their campus?
 - c. How do participants rate the type of impact of shared governance has on their campus?

For the first research question, participants were asked to provide the following demographic data: age, gender and years worked at their current CSU campus. In addition to

these variables, general descriptive data about each group (faculty leaders and administrative leaders) is provided within each campus and for all campuses combined.

To address the second research question, participants were asked to complete the OCAI survey instrument. The participant's summed scores on OCAI ratings for the cultural classifications (clan, adhocracy, hierarchy and market) were used to produce an average score for each cultural classification. Average scores were provided for both current (now) and preferred ratings. These scores were then used to generate OCAI Plots as described earlier in this chapter.

To address the third research question, different combinations of demographic data (age, gender, campus and participant type) were used to explore how well they might combine to predict differences in the average scores for OCAI cultural classifications. To address the fourth research question, participants were asked to rate the level of collaboration for shared governance culture of their campus. Then, participants were asked to rate the impact of shared governance on their campus and whether they perceive the impact to be positive, negative or neutral (Question 8 on the survey instrument). Finally, they were asked to rate the impact of shared governance on change at their campus.

The final question on the survey provided asked participants to provide any comments they had after completing the survey (this question was labeled as optional). This question was open-ended and was developed to allow participants to comment on anything they chose (i.e., the OCAI instrument, shared governance, change on their campuses, etc.). Comments were not qualitatively analyzed. They were intended to be used to offer additional insight into the participants perceptions and, if applicable, to suggest further research on this topic.

Data Collection and Procedure

To invite campuses to participate, a letter of invitation was sent from the researcher's

CSU campus president to presidents from targeted campuses in March 2013. Presidents who agreed to participate were asked to provide a point of contact for coordinating survey distribution and collection. The researcher was then required, per policy of the CSU, to obtain IRB approval from each individual campus in addition to the original IRB approval obtained from Colorado State. Once that approval was received, the researcher worked with the campus contact to identify the target populations from their campus, provide potential participants with a brief introduction of the study (in-person or via email as approved by the campus) and then to distribute the surveys in both an on-line and paper format. Although the participants were asked to provide basic demographic data at the beginning of the OCAI, the survey was anonymous and no other identifying information was collected to help ensure the anonymity of participants.

Data Analysis

Descriptive analysis. To answer the first research question, identifying demographic profiles of faculty senate and administrative council members, the researcher aggregated demographic data from each participant. Demographic attribute variables were age, gender and years worked at their current CSU campus. The *N*, range and mean for these variables are provided by group (faculty leaders and administrative leaders) within each campus and for all campuses combined.

Difference questions. To answer the second research question, the researcher analyzed differences in OCAI scores among the participant groups. Multiple *t* tests were conducted to see if there were significant differences in average OCAI scores between current (now) and preferred culture scores. Differences were examined between campuses and participant types (faculty leader or administrative leader). The effect sizes were also calculated.

Predictive analysis. The third research question explored how well combinations of participant data combine to predict average OCAI scores. To analyze this question, combinations of independent attribute variables (age, gender, campus and participant type) were analyzed using hierarchical linear regression to investigate how well they combined to predict average OCAI Scores (dependent variables) for participants.

Participant perceptions of shared governance culture and the impact on change. To explore the fourth research question, how faculty and administrative leaders differ in their perceptions of the level of collaboration within the shared governance culture and the impact of shared governance on change at their campus, three rating scales and one open ended question were appended to the end of the OCAI survey instrument (Appendix A).

For the first rating scale question, participants were asked to rate their perception of how collaborative the shared governance culture is at their campus. Participants were asked to rate the culture on a scale of 1 to 10 with one being non-collaborative and ten being very collaborative. Then, using a similar scale, participants were asked to rate their perception of the impact of shared governance on change at their campus. For this question, participants were asked to rate the impact of change on a scale of 1 to 10 with one being low and 10 being high. Participants were also asked to rate the type of impact they perceive (negative, neutral or positive). The results included average ratings (with *SD* and *N*) for all campuses and by participant type. Then, *t* tests were conducted to see if there were significant differences in average ratings. The effect sizes were also calculated using the data from each rating question.

Finally, participants were given the option to provide any additional or explanatory comments about the study. As previously stated, this data was not analyzed qualitatively. It was used to help provide insight into the perceptions of participants who provided comments.

Additionally, comments were helpful in interpreting some of the OCAI results (as will be discussed in chapter five).

Summary

This chapter provided an outline of the methodology used in this study. The analysis and statistical methods were chosen in relation to each research question. The researcher acknowledges that many other types of analysis could have been utilized and several were considered. Also, the decision not to conduct a mixed methods survey using the open ended comments and to collect related artifacts from the campuses was made to reduce the initial scope of the study. The researcher did hope that any optional comments provided would be useful in helping to interpret the data and perhaps suggest future study. The next chapter provides the actual findings of the study.

CHAPTER FOUR RESULTS

This chapter provides the results of data analysis. The findings are organized by research question. Thus, descriptive statistics are presented first followed by average ratings and figures from the OCAI results. Within each area of analysis, findings for all participants are provided first followed by findings by campus and group (faculty leaders and administrative leaders).

Descriptive Data for All Participants

To explore the first research question for this study (What are the demographic profiles of faculty and administrative leaders who participated in this study at the selected sites?), participants were asked to provide their age, gender and years worked at their current CSU campus. A descriptive analysis was conducted for all participants. Table 2 provides total *N* (with percent) by participant type and also gender within participant type. Table 3 provides the *N* (with percent) and range (with mean) for age and years worked at the current campus. These data are also broken down by participant type and gender.

Table 2

Total N and Gender by Participant Types

Participant Type	Gender (Percent)	<i>N</i> (Percent)
Faculty Leader		54 (52%)
Male	26 (48%)	
Female	28 (52%)	
Administrative Leader		50 (48%)
Male	26 (52%)	
Female	24 (48%)	
Total Participants		104 (100%)

For all participants, there are approximately the same number of faculty and administrative leaders. Furthermore, the split by gender is relatively close to 50/50 for each participant type. Table 3 shows that there is also little difference in the average age and age ranges of the groups; and little difference in the years worked.

Table 3

Age and Years Worked in the CSU by Participant Type and Gender

Demographic	Age Range (Mean)	Years Worked Range (Mean)	Total (Percent)
All Participants	34 – 68 (52.20)	1 – 41 (15.30)	104 (100%)
Faculty Leaders	34 – 68 (52.04)	2 – 41 (16.86)	54 (51.90%)
Administrative Leader	36 – 66 (52.38)	1 – 40 (13.61)	50 (48.10%)
Female	34 – 68 (52.72)	1 – 40 (16.36)	54 (51.90%)
Male	37 – 66 (51.64)	1 – 41 (14.15)	50 (48.10%)

Descriptive Data by Campus

The same descriptive analysis was conducted for each campus. Campus 4 is included in this descriptive analysis, but due to the small number of surveys returned (four) Campus 4 was not be included in the campus-specific analysis. A summary for each campus is provided below and includes the numbers of faculty and administrative leaders for each campus. The type of senate (faculty governance body) is also described.

Campuses in the study presented two different types of senates:

1. Faculty Senate, which only includes faculty as voting members of the senate
2. Academic Senate, which includes both faculty and administrators as voting members of the senate.

Additionally, selected comments from Question 10 (an open ended question which provided participants with a place to write comments) were included to provide an initial glimpse into some of the more common feedback received from participants at each campus.

Campus 1

This campus is a large comprehensive public university in California. The university offers 64 baccalaureate, 58 master's and two professional doctorate degrees. Current enrollment exceeds 36,000 students and the university employs more than 4,000 faculty and staff.

According to staff in the Provost's Office, shared governance involves the 69 members of the Faculty Senate (faculty leaders) and 70 upper level administrators including the president (administrative leaders). There are no administrative voting members of the Faculty Senate. According to staff in the Provost's Office, several administrators do regularly attend Senate meetings and consult with faculty leaders on most policy issues.

Of the 139 individuals invited to participate in the study, 45 (32%) responded. Five surveys were excluded because participants left part of the survey blank or because responses on the ipsative questions did not add up to 100. The remaining 40 (29%) completed and correct surveys were included in the analysis.

Participants were offered the option of providing comments at the end of the survey. These data were not analyzed qualitatively, but were reviewed to get a glimpse into some participant's thoughts after completing the survey. Of the 40 surveys included in this analysis, 17(43%) of the participants included comments. Four of the participants criticized the instrument. These participants felt the instrument was either not flexible enough to meet their needs or that the wording of ipsative statements were not reflective of the culture in higher education. One participant wrote: "The first portion of the survey did not provide enough latitude and flexibility.

I was forced to make all my answers add up to 100. However, I wanted to rank some much lower.” Another wrote: “Most options did not fit my true understanding of leadership and governance on my campus. I felt forced to provide numbers for areas clearly lacking that were below 100.”

Of the 40 participants: 15 (37.5%) were faculty leaders and 25 (62.5%) were administrative leaders; 22 (55%) were female and 18 (45%) were male; the average age was 53 years. Finally, participant’s average years worked at the campus was 15. A descriptive breakdown for age range and years worked at the campus by participant type and gender is presented in Table 4:

Table 4

Campus 1 Descriptive Data by Participant Type and Gender

Demographic	Age Range (Mean)	Years Worked Range (Mean)	Total
Total Participants	36 – 68 (53)	1 – 41 (15)	40 (100%)
Faculty Leader	37 – 68 (54)	6 – 41 (18)	15 (37.5%)
Administrative Leader	36 – 66 (52)	1 – 40 (14)	25 (62.5%)
Female	36 – 68 (55)	1 – 40 (16)	22 (55%)
Male	37 – 66 (51)	1 – 41 (14)	18 (45%)

Campus 2

This campus is a large comprehensive public university in California. The university offers 69 baccalaureate and 65 master’s degrees. Current enrollment exceeds 30,000 students and the university employs almost 4,000 faculty and staff.

According to staff in the President's Office, shared governance involves the 60 members of the Academic Senate which includes voting members from both faculty representatives (faculty leaders) and 18 upper level administrators including the president (administrative leaders). Of the 78 individuals invited to participate in the study, 34 (44%) responded. Two surveys were excluded. One participant left out "preferred" ratings and the other survey was incomplete. The remaining 32 (41%) complete and correct surveys were included in the analysis.

As with Campus 1, several of these participants commented at the end of the survey. Of the 32 surveys included in the analysis, 10 participants included comments. Two of the participants criticized the instrument. One participant wrote: "This terminology does not suit academia well. It is so hard to answer." Six participants commented on the impact of their new president on shared governance. One wrote: "We have a new President and our campus culture is in flux. The change seems to be away from collaborative planning and team execution toward Presidential control, quick (perhaps impulsive) decisions, lack of prep time and planning, immediate implementation and unrealistic expectation for results."

Of the 32 participants for Campus 2: 18 (56%) were faculty leaders and 14 (43%) were administrative leaders; 15 (47%) were female and 17 (53%) were male; the average age was 53 years. Finally, participant's average years worked at the campus was 15. A descriptive breakdown is presented in Table 5.

Table 5

Campus 2 Descriptive Data by Participant Type and Gender

Demographic	Age Range (Mean)	Years Worked Range (Mean)	Total
Total Participants	34 – 66 (53)	1 – 40 (15)	32 (100%)
Faculty Leader	34 – 65 (51)	4 – 40 (17)	18 (56%)
Administrative Leader	42 – 66 (54)	1 – 26 (13)	14 (43%)
Female	34 – 65 (50)	4 – 38 (15)	15 (47%)
Male	43 – 66 (55)	1 – 40 (15)	17 (53%)

Campus 3

This campus is a smaller comprehensive public university in California. The university offers 76 baccalaureate, 24 master’s and one professional doctorate degree. Current enrollment exceeds 9,000 students and the university employs approximately 1,000 faculty and staff.

According to staff in the Faculty Senate Office, shared governance involves the 46 members of the Faculty Senate (faculty leaders) and 14 upper level administrators including the president (administrative leaders). There are, however, no administrative voting members of the Faculty Senate. Also according to staff in the Faculty Senate Office, the President and Senate Chair do, however, meet regularly and consult on most policy issues.

Of the 60 individuals invited to participate in the study, 28 (47%) responded. No surveys were incomplete or incorrect so none were excluded. Of the 28 surveys included in the analysis, nine participants included comments. Unlike the first two campuses, none of these participants criticized the instrument. Several of the participants did provide comments on the shared governance process. One participant wrote: “I think that shared governance has a very small, but measurable effect on our campus. I think that much of our shared governance seems to be lip

service and that much of it is bogged down in bureaucracy such that it is difficult to bring anything fresh or innovative to the table.” Another wrote: “I believe the institution is a conservative organization with a culture that does not call for, or reward, entrepreneurship. This conservatism is rooted in the culture of the faculty, a meritocracy that views administration with deep suspicion.”

Of the 28 participants: 20 (71%) were faculty leaders and 8 (29%) were administrative leaders; 14 (50%) were female and 14 (50%) were male; the average age was 51 years. Participant’s average years worked at the campus was 15. A descriptive breakdown is presented in Table 6:

Table 6

Campus 3 Descriptive Data by Participant Type and Gender

Demographic	Age Range (Mean)	Years Worked Range (Mean)	Total
Total Participants	36 – 65 (51)	2 – 33 (15)	28 (100%)
Faculty Leader	36 – 65 (50)	2 – 33 (16)	20 (71%)
Administrative Leader	42 – 59 (53)	8 – 23 (15)	8 (29%)
Female	36 – 65 (53)	2 – 33 (18)	14 (50%)
Male	39 – 62 (49)	5 – 23 (13)	14 (50%)

Campus 4

This campus is a small comprehensive public university in California. Because of the low response rate, participants from this campus only the descriptive analysis will be provided for this campus. The four participants will, however, be included in the OCAI analysis for all participants. The university offers 49 baccalaureate and 12 master’s degree programs. Current enrollment is just over 8,000 students and the university employs almost 1,000 faculty and staff.

According to staff in the Office of Institutional Research, shared governance involves the 35 members of the Academic Senate which includes faculty representatives and upper level administrators (including the president). All members of the senate are allowed to vote. Of the 35 individuals invited to participate in the study, 4 (11%) responded. No surveys were excluded. Participants were offered the option of providing comments at the end of the survey. None of the 4 participants offered comments. Of the four participants: 1 (25%) was a faculty leader and 3 (75%) were administrative leaders; 3 (75%) were female and 1 (25%) was male; the average age was 48 years; and the average years worked at the campus was 16.

Table 7

Campus 4 Descriptive Data by Participant Type and Gender

Demographic	Age Range (Mean)	Years Worked Range (Mean)	Total
Total Participants	36 – 68 (53)	9 – 27 (15)	4 (100%)
Faculty Leader	62 – 62 (62)	27 – 27 (27)	1 (25%)
Administrative Leader	41 – 44 (43)	9 – 16 (12)	3 (75%)
Female	41 – 62 (49)	9 – 27 (17)	3 (75%)
Male	43 – 43 (43)	12 – 12 (12)	1 (25%)

Observations About Demographic Differences by Campuses

There was very little variation between campuses by average age (range of means was typically 51-53) and average years worked at the campus (around 15 for all campuses). There was a little more variation in average age by gender. An independent samples *t* test was used to see if the difference between average age for females vs. males was significant. Based on this analysis, there was not a significant difference in age between females ($M = 52.72$; $SD = 9.135$) and males ($M = 51.64$; $SD = 8.987$), $t = .608$, $df = 102$, $p = .544$. Having completed the descriptive analysis, the OCAI scores were plotted for all participants and then for each campus.

Comparisons of Current and Preferred OCAI Scores

The second research question for this study was: How do faculty and administrative leaders rate current and preferred dimensions of culture on the OCAI? This question was further broken down into several sub-questions. Sub-questions were designed to explore different groupings of the participants (e.g., OCAI ratings by participant type or by campus). These findings are provided in the following section.

Average OCAI Ratings for all Participants

The first sub-question was: How do all participants, regardless of campus or participant type, rate current and preferred cultural dimensions on the OCAI? To answer this question, current (now) and preferred average scores were computed for all participants. Average scores were then plotted using the standard OCAI process (OCAI Online, 2012). The same process was used for all following plots. The results are provided in Figure 2 and Table 8 below.

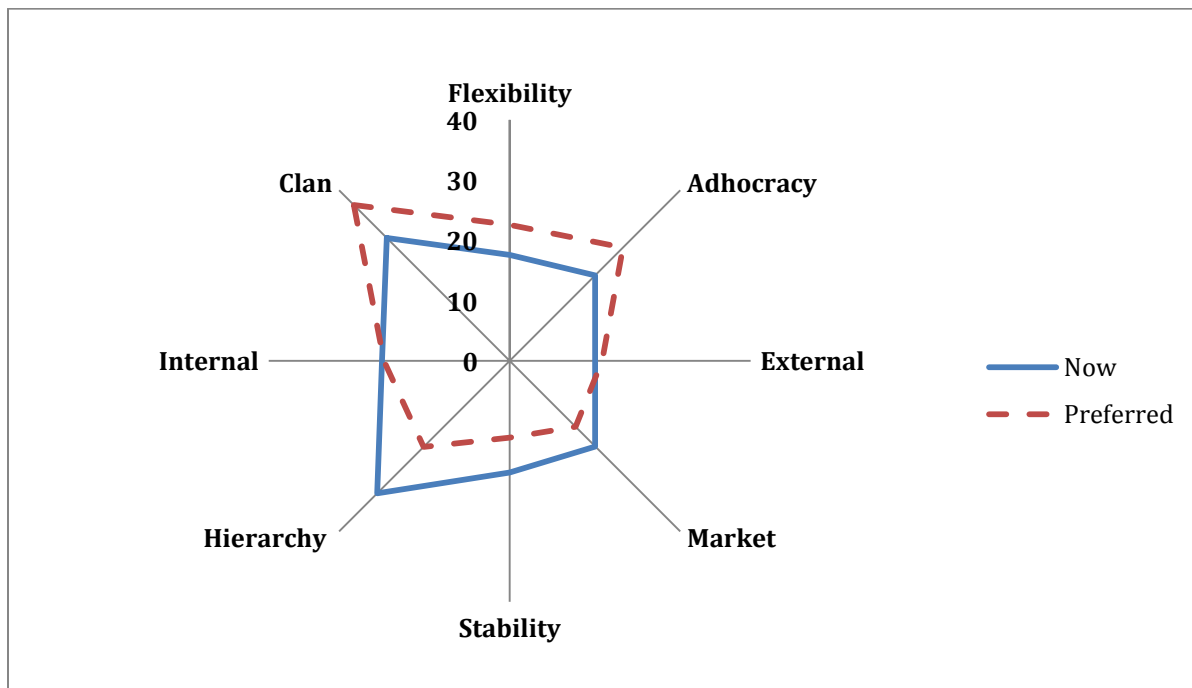


Figure 2. Average OCAI Responses for all Participants.

Table 8

OCAI Average Rating Scores for All Participants

	Now	Preferred	Difference	<i>t</i>	<i>p</i>	<i>d</i>
Adhocracy	20.06	26.56	6.50	10.950	<.001	1.08
Market	20.09	15.50	-4.59	-4.189	<.001	-0.41
Hierarchy	31.09	20.21	-10.88	-10.209	<.001	-1.00
Clan	28.83	36.56	7.73	8.325	<.001	0.82

Reviewing OCAI responses for all participants, most faculty and administrative leaders who participated in this study perceived the current culture on their campuses to be a combination of Hierarchy (bureaucratic, predictable and controlled) and to a slightly lesser extent Clan (collaborative, value-driven and involved) oriented. The participant's preferred culture, however, revealed a different outcome.

Overall, the preference for a Clan culture increased and became the highest. Ratings for Hierarchy decreased as participants rated Adhocracy (innovative, dynamic and adaptable) as the next highest type of preferred culture. To test whether these differences were significant, paired *t* tests were conducted on current and preferred ratings for each of the four cultural types. As shown in Table 8, the mean differences between now and preferred ratings for all for cultural types were significant. The effect size (Cohen's *d*) was computed by dividing the mean of the paired differences by the standard deviation of the paired differences for each culture type. For Clan, Adhocracy and Hierarchy, the effect sizes were large. The effect size for Market was medium (Gliner, Morgan, & Leech, 2009).

Average OCAI Ratings by Participant Types

To explore the second sub-question (How do all participants, separated by participant type rate current and preferred cultural dimensions on the OCAI?), all participants were grouped by participant type (faculty leader or administrative leader). Then, average OCAI scores were calculated for each group. Next, the average scores by group were plotted. Figure 3 provides OCAI ratings for faculty leaders and Figure 4 for administrative leaders.

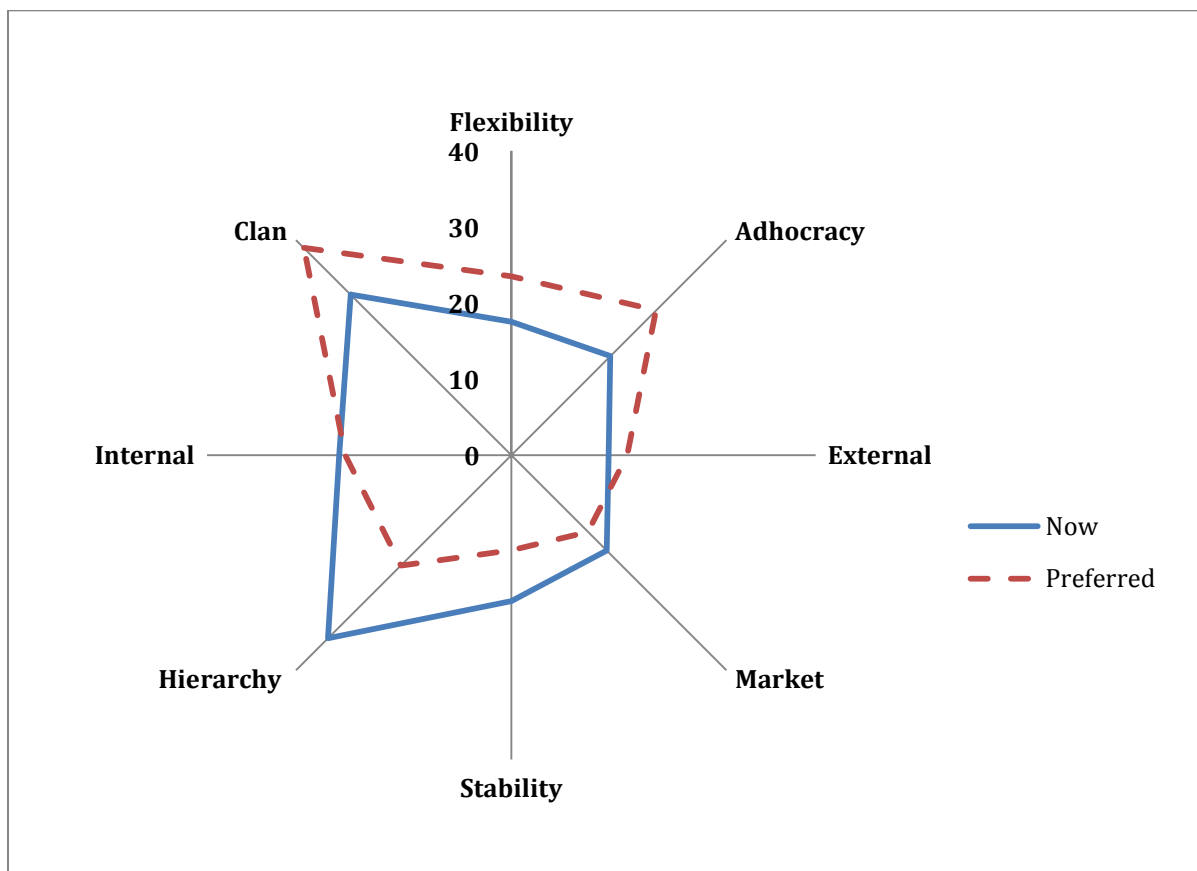


Figure 3. OCAI Average Responses for all Faculty Leaders.

Table 9

OCAI Average Rating Scores for All Faculty Leaders

	Now	Preferred	Difference	<i>t</i>	<i>p</i>	<i>d</i>
Adhocracy	18.42	26.93	8.51	6.91	<.001	.82
Market	17.75	14.26	-3.49	-2.55	.014	-.09
Hierarchy	34.04	20.50	-13.54	-6.88	<.001	-.35
Clan	29.84	38.53	8.69	6.04	<.001	.95

Faculty Leaders, on average, perceived the current (now) culture as more Hierarchical and to a lesser extent Clan. Preferred ratings for faculty leaders showed a different set of mean ratings. They displayed the highest preferred ratings for Clan culture. Preferred ratings for Clan and Adhocracy increased while preferred ratings for Market and Hierarchy decreased. To test whether the differences between now and preferred ratings were significant, paired *t* tests were conducted on current and preferred ratings for each of the four cultural types.

As shown in Table 9, the mean differences between now and preferred ratings for three of the cultural types were significant. The effect size (Cohen's *d*) was computed by dividing the mean of the paired differences by the standard deviation of the paired differences for each culture type. For Clan and Adhocracy, the effect sizes were large. The effect size for Hierarchy was medium and for Market was very small (Gliner et al., 2009). Next, ratings for administrative leaders were plotted as shown in Figure 4 and Table 10 below.

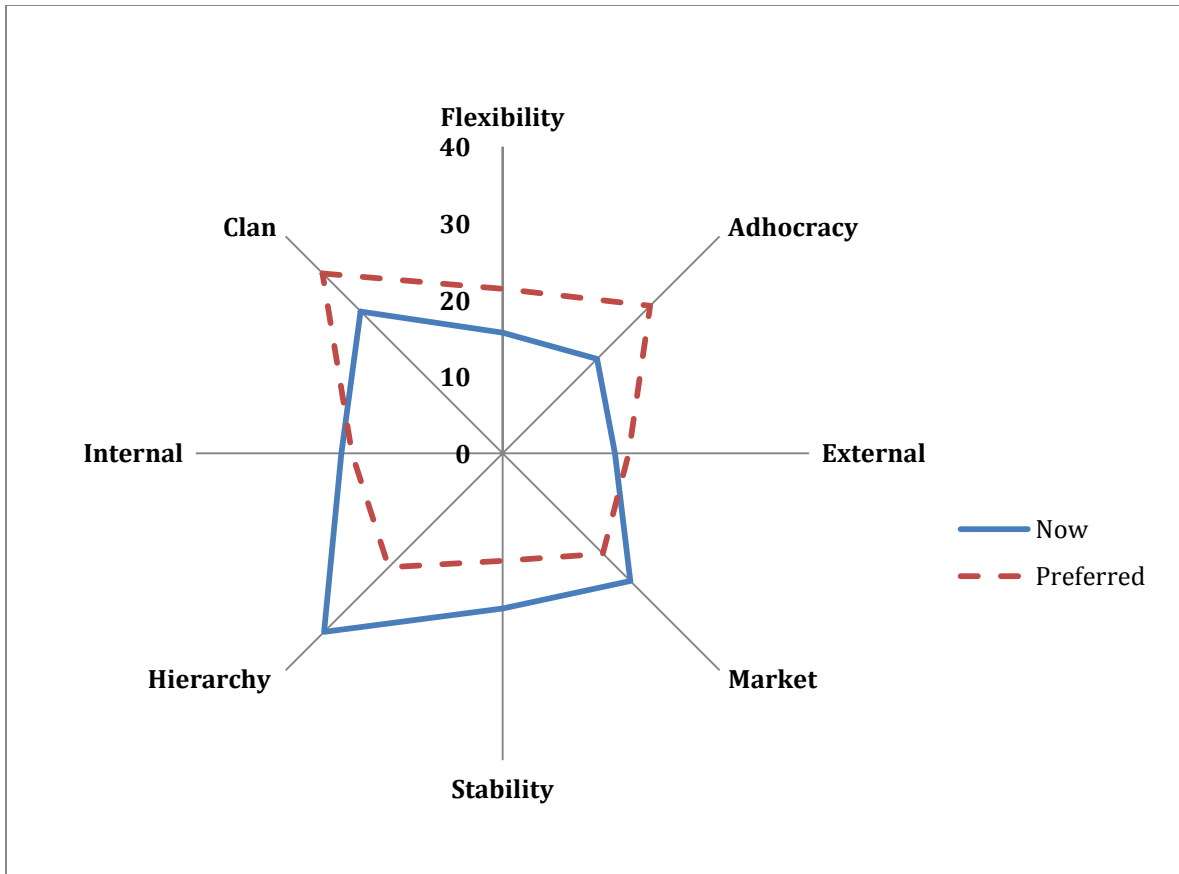


Figure 4. OCAI Average Responses for all Administrative Leaders.

Table 10

OCAI Average Rating Scores for All Administrative Leaders

	Now	Preferred	Difference	<i>t</i>	<i>p</i>	<i>d</i>
Adhocracy	17.44	27.24	9.80	8.73	<.001	.82
Market	23.55	18.49	-5.06	-3.36	.002	-1.23
Hierarchy	32.89	21.00	-11.89	-7.87	<.001	-.48
Clan	26.18	33.21	7.03	5.78	<.001	1.11

The administrative leaders participating in this study rated the current culture on their campuses as more Hierarchical and to a slightly lesser extent Clan oriented. Like faculty leaders, administrative leaders' preferred ratings increased for Clan and Adhocracy (innovative, dynamic and adaptable), and decreased for Market and Hierarchy. To test whether these differences were significant, paired *t* tests were conducted on current and preferred ratings for each of the four cultural types.

As shown in Table 10, the mean differences between now and preferred ratings for all for cultural types were significant. The effect size (Cohen's *d*) was computed by dividing the mean of the paired differences by the standard deviation of the paired differences for each culture type. Similar to faculty leader ratings, the effect sizes for Clan and Hierarchy were large and the effect size for Market was medium. Unlike faculty leaders, the effect size for Adhocracy was large (Gliner et al., 2009). Findings for both groups will be discussed in Chapter Five.

Campus Differences in Current and Preferred Ratings

Next, the OCAI ratings were plotted by campus to explore the third and fourth sub-questions: How do ratings of current and preferred cultural dimensions differ between the campuses when ratings for all participants from that campus are combined? How do ratings of current and preferred cultural dimensions differ between participant groups at the campus (campus differences by participant type)? The findings related to these sub questions are provided in Table 11. This table displays the average and difference scores by campus as well as the results of paired *t* tests and effect sizes. Additional analysis was then conducted on type of academic senate. Findings for this variable are presented in Table 11.

Table 11

OCAI Differences in Average Scores by Campus

Campus/Culture	Now	Preferred	Difference (Preferred – Now)	<i>t</i>	<i>p</i>	<i>d</i>
Campus 1						
Adhocracy	18.54	26.56	8.02	5.78	<.001	.91
Market	20.46	16.25	-4.21	-3.12	.003	-.49
Hierarchy	31.57	21.49	-10.08	-5.92	<.001	-.94
Clan	29.43	35.83	6.40	5.22	<.001	.82
Campus 2						
Adhocracy	14.28	26.01	11.73	8.56	<.001	1.51
Market	21.69	16.11	-5.58	-2.22	.034	-.39
Hierarchy	38.55	21.63	-16.92	-6.63	<.001	-1.17
Clan	24.96	35.92	10.96	4.81	<.001	.85
Campus 3						
Adhocracy	20.23	28.89	8.66	5.49	<.001	1.04
Market	19.58	17.01	-2.57	-1.75	.095	-.33
Hierarchy	31.88	18.88	-13.00	-5.61	<.001	-1.06
Clan	28.72	35.38	6.66	4.87	<.001	.92

The largest negative differences between current (now) and preferred ratings were seen for Hierarchy. When comparing current (now) to preferred scores for all three campuses, average scores for Hierarchy dropped by 10 or more points. The biggest drop was seen at Campus 2 falling from 38.55 current (now) to 21.63 preferred (a 16.92 point drop).

To test whether the differences between now and preferred ratings were significant, paired *t* tests were conducted on current and preferred ratings for each of the four cultural types. As shown in Table 11, the mean differences between now and preferred ratings for all four cultural types were significant with the exception of the Campus 2 and 3 ratings for Market ($p = .035$ and $p = .095$, respectively). The effect size (Cohen's *d*) was computed by dividing the mean of the paired differences by the standard deviation of the paired differences for each

culture type. The effect sizes for all campuses were large for Clan, Adhocracy and Hierarchy. The effect size for Campus 1 for Market was small to medium (Gliner et al., 2009).

Taken together, these findings may suggest that participants at all three campuses indicate a desire for a change in their campus cultures (moving away from a Hierarchy and Market oriented culture toward a more Clan and Adhocracy oriented culture). Campus 2 participants had the biggest mean differences between current (now) and preferred ratings for all four cultures at their campus. But not the largest effect size. Interestingly, Campus 2 also has an academic senate (where both faculty and administrators vote on proposed policy changes) and a new president (having just completed one year as president). Some of the comments provided by Campus 2 participants suggest that the new president is more hierarchical. This may help explain why participants rated the Clan culture relatively low on current (now) statements. Campus 1 and 3 both have faculty senates (where only faculty leaders can vote on policy changes). These observations caused the researcher to include some additional analysis by type of senate.

Academic Senate (Campus 2) Compared to Faculty Senate (Campuses 1 and 3)

Given the difference in the type of senate involved with shared governance and numerically larger changes between current and preferred scores at Campus 2, an additional analysis was conducted combining Campus 1 and 3 participants and comparing them to Campus 2. Table 12 displays the average and difference scores by senate type (faculty vs. academic) as well as the results of independent samples *t* tests and effect sizes.

Table 12

OCAI Differences in Average Scores by Senate Type

OCAI Scores	Campus 1&3 – Faculty Senate	Campus 2 – Academic Senate	Difference (Faculty minus Academic)	<i>t</i>	<i>p</i>	<i>d</i>
Mean Current (Now) Scores						
Adhocracy	19.24	14.28	4.96	3.20	.002	.7
Market	20.10	21.69	-1.59	-0.65	.520	-.3
Hierarchy	31.69	38.55	-6.86	-2.22	.029	-.5
Clan	29.14	24.96	4.18	1.48	.143	.5
Mean Preferred Scores						
Adhocracy	27.52	26.01	1.51	1.20	.233	.1
Market	16.56	16.11	-0.45	-0.29	.775	-.1
Hierarchy	20.41	21.63	-1.22	-0.73	.470	-.1
Clan	35.64	35.92	0.28	-0.11	.911	.0

To test whether the differences between types of senate were significant, paired *t* tests were conducted for each of the four cultural types. Significant differences in current (now) scores between the two types of senates were seen for Hierarchy and Adhocracy. These differences were significant at $p < .05$. The effect size (Cohen's *d*) was computed by dividing the mean of the paired differences by the pooled standard for each culture type. Similar to previous analysis, the effect sizes for the mean current (now) scores for Hierarchy was medium and Adhocracy was large (Gliner et al., 2009).

There were no significant differences on the mean preferred scores between the two types of senates. The means were very similar and the effect sizes were near zero for all four culture types. This result suggests that regardless of the type of senate, participants preferred a more Clan and Adhocracy oriented culture.

As mentioned in the descriptive analysis, some participants from Campus 2 commented that the culture had shifted toward hierarchy after the new president came aboard. More

observations about Campus 2 will be provided in Chapter 5. The next section presents finding for predictive research questions in this study.

Predicting OCAI Scores Using Demographic Data

The third research question explores how well combinations of participant demographic data combine to predict OCAI scores. To explore this question, eight hierarchical linear regressions were conducted using each culture type as the dependent variable. The first model in the regression controlled for gender and years worked at the campus. In the second model, participant type (faculty vs. administrative leader) and campus (grouped by type of senate: academic vs. faculty) were added.

The decisions to combine campuses by “senate type” (which combined responses for Campuses 1 and 3) and to use hierarchical linear regression were based on the previous analysis which indicated that the results for Campus 2 seemed different than for Campuses 1 and 3, for some of the current (now) ratings. An interesting difference between these campuses was that Campus 1 and 3 had faculty senates whereas Campus 2 had an academic senate. Thus, this analysis was conducted to see if the type of senate on these campuses might help explain more about the differences in average OCAI scores. The results using hierarchical linear regression for each culture type are provided next.

Hierarchical Linear Regression for Adhocracy

When gender and years worked at the campus were entered in Model 1, they did significantly predict average current (now) scores at $p < .05$, $F(2,97) = 3.67$, $p = .029$. Adjusted R^2 values indicated that Model 1 variables accounted for 5.1% of the variance for current (now) scores and years worked at the campus was significant, $\beta = .26$, $p = .011$. When senate type and participant type were added (Model 2), they improved the prediction for current (now)

scores for Adhocracy, R^2 change = .11, $F(4,95) = 5.10$, $p = .001$. Adjusted R^2 values indicated that all four variables in Model 2 accounted for 14.2% of the variance for current (now) scores. In Model 2, years worked at the campus and senate type were significant at $p = .012$ and $.001$ respectively. These results indicate that participants who had worked more years at this campus (beta = .24) and those who had an academic senate (beta = -.32) contributed significantly to the prediction of current (now) scores for Adhocracy.

Unlike current (now) scores for Adhocracy, gender and years worked at the campus (Model 1) did not significantly predict for preferred scores for Adhocracy, $F(2,97) = .204$, $p = .816$. Adjusted R^2 values indicated that Model 1 variables accounted for 1.6% of the variance for preferred scores. When Senate type and participant type were added (Model 2), preferred scores were still not significant, $F(4,95) = .474$, $p = .755$. Adjusted R^2 values indicated that the addition of variables in Model 2 accounted for only 2.2% of the variance for preferred scores.

Hierarchical Linear Regression for Hierarchy

When gender and years worked at the campus were entered in Model 1, they did not significantly predict average scores for current (now), $F(2,97) = .86$, $p = .426$. Adjusted R^2 values indicated that Model 1 variables only accounted for 0.3% of the variance for current (now) scores. When senate type and participant type were added (Model 2), the prediction for current (now) scores was still not significant, $F(4,95) = 1.65$, $p = .167$. Adjusted R^2 values indicated that the addition of variables in Model 2 accounted for 2.6% of the variance for current (now) scores.

For preferred scores, when gender and years worked at the campus were entered (Model 1), they still did not significantly predict average scores, $F(2,97) = .04$, $p = .958$ for Adhocracy. Adjusted R^2 values indicated that Model 1 variables only accounted for 2.0% for preferred scores.

When senate type and participant type were added (Model 2), the prediction for preferred scores was still not significant, $F(4,95) = .21, p = .935$. Adjusted R^2 values indicated that the addition of variables in Model 2 accounted for 3.3% of the variance for preferred scores.

Hierarchical Linear Regression for Market

When gender and years worked at the campus were entered in Model 1, they did not significantly predict current (now) scores, $F(2,97) = .62, p = .538$. Adjusted R^2 values indicated that Model 1 variables accounted for 0.8% of the variance for current (now) scores. When senate type and participant type were added (Model 2), improvement in the prediction was significant at $p < .05$ for current (now) scores, R^2 change = .08, $F(2,95) = 4.13, p = .019$. Adjusted R^2 values indicated that with the addition of variables, Model 2 accounted for 5.3% of the variance for current (now) scores. For the current (now) prediction in Model 2, participant type was significant (beta = .28, $p = .006$), which indicates that high Market now scores could be predicted from knowing that a participant type was an administrator.

When gender and years worked at the campus were entered in Model 1, they did not significantly predict preferred scores for Market culture, $F(2,97) = .37, p = .694$. Adjusted R^2 values indicated that Model 1 variables accounted for 1.3% of the variance for preferred scores. When senate type and participant type were added (Model 2), the prediction was significant at $p < .05$, $F(4,95) = 2.77, p = .032$. Adjusted R^2 values indicated that with the addition of variables, Model 2 accounted for 6.7% of the variance for preferred scores. Like current (now) scores, participant type was significant (beta = .31, $p = .002$). These results indicate that administrative participant type, in combination with the other three variables, predicts high scores for preferred Market culture.

Hierarchical Linear Regression for Clan

When gender and years worked at the campus were entered in Model 1, they did not significantly predict current (now), $F(2,97) = .37, p = .694$. Adjusted R^2 values indicated that Model 1 variables only accounted for 1.3% of the variance for current (now) scores. When senate type and participant type were added (Model 2), the prediction for current (now) scores was still not significant, $F(4,95) = 1.26, p = .293$. Adjusted R^2 values indicated that the variables in Model 2 accounted for 1.0% of the variance for current (now) scores.

Similarly, when gender and years worked at the campus were entered in Model 1, they did not significantly predict preferred scores for Clan, $F(2,97) = .54, p = .584$. Adjusted R^2 values indicated that Model 1 variables only 0.9% for preferred scores. When senate type and participant type were added (Model 2), the prediction was still not significant, for preferred ratings, $F(4,95) = 1.47, p = .218$. Adjusted R^2 values indicated that variables in Model 2 accounted for 1.9% of the variance for preferred scores.

Differences in Perceptions of Shared Governance and Change

Finally, the fourth research question explored how faculty and administrative leaders at participating campuses differ in their perceptions of shared governance and its impact on change at their campus. Specifically, participants were asked to rate their perceptions of shared governance in three areas:

1. the level of collaboration at their campus;
2. the level of impact shared governance has on their campus; and
3. the type of impact of shared governance has on their campus (positive, neutral or negative).

Participants rated these areas using a 10-point scale on three questions appended to the end of the OCAI (See Questions 7, 8 and 9 in Attachment A).

Ratings on the Level of Collaboration

On Question 7, participants were asked to rate their perception of the level of collaboration in shared governance on their campus. Participants circled their rating on a scale from one (non-collaborative) to ten (very collaborative). Ratings by campus and participant type are provided in Table 13.

Table 13

Perceived Level of Collaboration in Shared Governance Ratings by Participant Type by Campus

Participant Type	Campus	Mean	<i>SD</i>	<i>N</i>
All Participants	All Campuses	6.69	2.00	100
	Campus 1	6.93	2.11	40
	Campus 2	6.09	2.07	32
	Campus 3	7.04	1.64	28
Faculty Leaders	All Campuses	6.89	2.12	53
	Campus 1	7.80	1.78	15
	Campus 2	6.00	2.47	18
	Campus 3	7.00	1.78	20
Admin Leaders	All Campuses	6.47	1.85	47
	Campus 1	6.40	2.16	25
	Campus 2	6.21	1.47	14
	Campus 3	7.13	1.37	8

For Faculty Leaders, the highest average rating of shared governance collaboration was provided at Campus 1 (7.80). The lowest rating was provided at Campus 2 (6.00). For

Administrative Leaders, the highest average rating of shared governance collaboration was provided at Campus 3 (7.13). The lowest rating was provided at Campus 2 (6.21).

Following on the previous analysis, participants were again grouped by the type of senate to see if this grouping could help explain more of the variation between participant ratings on the level of collaboration. Independent samples *t* tests were conducted with campuses grouped by senate type (Faculty Senate at Campuses 1 and 3 and Academic Senate at Campus 2). Table 14 provides the findings for this analysis on questions 7, 8 and 9 below.

Table 14

Comparison of Ratings for Questions 7, 8 and 9 with Participants Grouped by Type of Senate (Faculty vs. Academic)

	<i>M</i>	<i>SD</i>	<i>t</i>	<i>df</i>	<i>p</i>	<i>d</i>
Question 7: Level of Collaboration			2.075	98	.041	.44
Faculty Senate	6.97	1.924				
Academic Senate	6.09	2.069				
Question 8: Impact of Shared Governance.			1.164	98	.110	.33
Faculty Senate	6.79	1.849				
Academic Senate	6.13	2.106				
Question 9: Type of Impact			.979	98	.330	.21
Faculty Senate	6.76	2.179				
Academic Senate	6.31	2.101				

As displayed on Table 14, ratings for the level of collaboration by type of senate were significant, $p = .041$. This was, however, the only significant finding for the three rating questions. The effect size (Cohen's *d*) was .44 computed by dividing the mean difference by the pooled standard deviations. This would be considered a medium effect size (Gliner et al., 2009). Hierarchical linear regression was again used to see if independent variables, entered in two

successive models (Model 1 and Model 2), would be useful in predicting answers to questions 7, 8 and 9 on the survey.

Hierarchical Linear Regression for Level of Collaboration Ratings

On Question 7 appended to the OCAI, participants were asked to rate the level of collaboration for shared governance on their campus. Using hierarchical linear regression, when gender and years worked at the campus were entered in Model 1, they did not significantly predict ratings on the level of collaboration, $F(2,97) = 2.35, p = .101$. Adjusted R^2 indicated that Model 1 variables accounted for 2.7% of the variance. When senate type and participant type were added (Model 2), the prediction improved and was significant at $p < .05, F(4,95) = 2.524, p = .046$. Adjusted R^2 indicated that the addition of variables in Model 2 accounted for 5.8% of the variance in ratings on the level of collaboration. For Model 2, campus type was significant (beta = .21, $p = .034$), which indicates that for the specific campuses in this study at the time of the survey, ratings for the level of collaboration could be predicted from knowing whether the campus had a faculty-only or academic senate. More discussion on this finding is included in Chapter 5.

Hierarchical Linear Regression for the Impact of Shared Governance on Change

Question 8 appended to the OCAI, participants were asked to rate their perception of the impact of shared governance on change at their campus. Participants circled their rating on a scale from one (low) to ten (high). Using hierarchical linear regression, when gender and years worked at the campus were entered in Model 1, they did not significantly predict ratings on the impact of shared governance on change at the campus, $F(2,97) = .556, p = .575$.

Adjusted R^2 indicated that Model 1 variables accounted for 0.9% of the variance. When senate type and participant type were added (Model 2), the prediction was still not significant,

$F(4,95) = 1.099, p = .362$. Adjusted R^2 indicated that the addition of variables in Model 2 accounted for only 0.4% of the variance in ratings on the impact of shared governance on change at the campuses.

Hierarchical Linear Regression for the Type of Impact for Shared Governance

On Question 9, participants were asked to rate their perception of the type of impact shared governance has on their campus. Participants circled their rating on a scale from one (negative) to ten (positive). Using hierarchical linear modeling, when gender and years worked at the campus were entered in Model 1, they did not significantly predict ratings on the impact of shared governance on change at the campus, $F(2,97) = .711, p = .494$. Adjusted R^2 indicated that Model 1 variables accounted for 0.6% of the variance.

When senate type and participant type were added (Model 2), the prediction was still not significant, $F(4,95) = 1.338, p = .362$. Adjusted R^2 indicated that the addition of variables in Model 2 accounted for only 1.3% of the variance in participant ratings on the type of impact of shared governance has on their campuses.

Summary of Predictive Analysis

The predictive analysis yielded only a few significant findings. Table 15 provides a summary of the significant findings for predicting OCAI scores. The addition of campus and participant type did produce significant results when attempting to predict current (now) scores for Adhocracy, preferred ratings for Market and for the level of collaboration on Question 7 of the survey. As will be discussed in Chapter 5, these findings suggest that other variables may need to be collected in future studies attempting to build a model that significantly predicts mean OCAI scores.

Table 15

Significant Predictors of OCAI Scores by Culture Type

	Model 1: Gender and Years Worked		Model 2: Adding Senate Type and Participant Type	
Mean Current $p < .05$	p scores	Adjusted R^2	p scores	Adjusted R^2
Adhocracy	.029	.051	.001	.142
Market	.538	.008	.019	.053
Hierarchy	.426	.003	.167	.026
Clan	.694	.013	.293	.001
Mean Preferred $p < .05$				
Adhocracy	.816	.016	.755	.022
Market	.694	.013	.032	.067
Hierarchy	.958	.002	.935	.033
Clan	.584	.009	.218	.019

Note: Significant findings are bold

Although most of the findings were not significant, they do suggest that knowing whether participants are administrators could be useful in predicting Market scores. Finally, the findings of this study indicate that the type of senate (faculty-only vs. academic) may have value in predicting mean OCAI scores. After reviewing the comments provided by participants, however, there may be other factors involved in the mean OCAI scores from the participants in this study (e.g. President's leadership style). More discussion of these findings is included in Chapter 5.

Summary of Findings

This chapter presented findings for the research questions presented in Chapters 1 and 3. The descriptive analysis showed that the demographic attributes (age, gender years worked at the campus) by campus were fairly homogeneous. For each campus, the breakdown of participant type and number of participants did vary slightly based on campus size and kind of senate body.

OCAI plots showed that on average, participants perceived their current campus culture as more Hierarchical and Clan oriented. Average scores indicated an increased preference,

however, for Clan and Adhocracy cultures and a reduced preference for Hierarchy. The differences between current (now) and preferred scores for Clan, Adhocracy and Hierarchy were significant and produced large effect sizes. The Market culture did not appear to change as much between current (now) and preferred scores as neither faculty nor administrative leaders scored Market highly.

As summarized in Table 15, most of the combinations of demographic attributes (gender, years at the campus, type of senate, and faculty or administrator) included in this study were not significant in predicting average OCAI ratings (current or preferred). As previously mentioned, the combination of variables did, however, significantly predict current (now) OCAI ratings for Adhocracy. Additionally, the combination of attributes using hierarchical linear regression was more helpful in predicting participant ratings of the level of collaboration at their campus.

CHAPTER 5 DISCUSSION

Why is This Study Important?

“It seems we like the idea of shared governance but in reality we spend all our time in various political struggles to maintain a balance between faculty and administration. This seems no different than watching DC politics - we forget why we are ALL here.” Comment from a survey participant.

What can we learn about the kind of sentiment offered from this participant? Is the “faculty vs. administration” notion associated with shared governance really impeding the ability for leaders to foster and sustain change in higher education? Many scholars have written opinions on the advantages and disadvantages of shared governance (Birnbaum, 2008; Crellin, 2010; Eckel & Kezar, 2006; Langland, 2011; Shinn, 2004). There is relatively little quantitative research, however, available to help scholars better understand the relationships between the culture of shared governance, leadership and change in higher education. It was from that gap in the literature that this research project was born.

As previously stated, the purpose of this study was to explore organizational culture and leadership through the perceptions of university leaders in a shared governance environment. Then, to ask the same leaders to rate the level and type of impact shared governance had on change at their campuses. The goal of this study was to generate quantitative data in this area that could explore the opinions and observation prevalent throughout the literature on shared governance. The results of this study suggest higher education leaders (faculty and administrator) may benefit from building strategies for change based on their cultural similarities vs. their differences. Doing this could help them better navigate change at their institutions. Perhaps this study will stimulate new threads of research devoted to the collection of quantitative and

qualitative data on shared governance, leadership and change instead of relying on opinion and observation.

Environment When the Study was Conducted

This study was conducted near the end of a national economic recession during which public universities experienced large reductions in state support. Throughout this time of limited financial resources, many state and federal legislatures called for increased accountability regarding the funds that were appropriated. Specifically, governments called on colleges and universities to increase graduation rates without increasing tuition or admission standards. Ironically, increasing the administrative burden placed on public colleges and universities may often increase operational costs conflicting with priorities for increasing the number of faculty and courses needed to graduate students faster (Ehrenberg, 2000).

The environment of reduced financial resources and increased accountability can push many colleges and universities to embark on efforts to change. Individuals working in an environment of reduced resources can form strong bonds working together to build solutions to common problems (Senge et al., 1999). The opposite, however, can also occur. Sometimes individuals with different viewpoints and values can interfere with an organization's ability to create and sustain effective change. For organizations like colleges and universities, described as "loosely coupled" with many sub-cultures, the opportunity for resistance to change efforts may be even more intense (Kezar et al., 2006). What impact, if any, the current environment had on participants' responses to the OCAI is unknown. It is important, however, to keep in mind that the faculty and administrative leaders who participated in this study had been working in an environment of declining resources for several years when the study was conducted. Next, the findings of each research question will be discussed.

Discussion of Findings for Research Question

This study explored four research questions. In this section, the findings for each question will be discussed. Links to the literature as well as implications for current practice and future research will be provided where applicable.

Demographic Profiles

The first research question focused on the demographic profiles of faculty and administrative leaders who participated in this study. Overall, the participant groups from each campus were fairly homogeneous. There was roughly a 50/50 split by gender and participant type (faculty or administrative leader). There was some variation by age and years worked at the campus, but when grouped by participant type, the differences were small. While these findings were not surprising, they did help explain why some of the analyses for other research questions (i.e., predictive factors) were also not significant.

Participant Ratings on the OCAI

The second question looked at how participants rated current and preferred dimensions of culture on the OCAI. The findings for this question started to reveal some interesting outcomes from participant ratings. Much of the literature around the organizational culture of colleges and universities suggests different sub-cultures within the institutions (e.g. faculty and administration) may be working from different cultural values and that these cultural differences contribute to challenges for leaders to implement change (Birnbaum, 2008; Crellin, 2010; Eckel & Kezar, 2006; Kuk, Banning, & Amey, 2010; Langland, 2011; Tjeldvoll, 2011).

The literature on this topic, however, appears to be based more on the experiences and observations of the authors than on actual research. While this study does not suggest the observations from the literature are unfounded or incorrect, there does appear to be a lack of

quantitative or qualitative evidence to confirm that the challenges faced do arise from differing cultural value systems between faculty and administrative leaders (as opposed to other factors like individual politics and power issues).

As an example, several authors writing about shared governance could be interpreted (utilizing the OCAI cultural dimension language) to suggest or infer that administrative leaders were often more oriented toward Market and Hierarchy cultures and that faculty leaders were more Clan oriented (Birnbaum, 2008; Crellin, 2010; Bok, 2003; Eckel & Kezar, 2006; Bogue, 2006). Findings from this study, however, suggest that the two groups might be more similar than different.

Bok (2003) and Bogue (2006) both discussed the intrusion of more market or corporate oriented cultures into higher education. According to Bogue, this conflict of cultures was creating what he called a “breakpoint change moment in mission and leadership” (Bogue, 2006, p. 2). Bok (2003) argued that the corporate business model has little relevance to the traditional mission of higher education. But, he concedes that many presidents and upper-level administrators have been increasingly challenged to adopt a more profit-oriented style of governance. Birnbaum, (2008) worried about changes to shared governance. He inferred that the marketplace influences on the attitudes of administrative leaders were not challenging governance, but rather the institutions core values and sense of purpose. He further argued that, for universities, the consultative nature of shared governance actually improved decision-making. Birnbaum based some of his concerns about issues in shared governance on the lack of a more collaborative culture among university administration (most notably presidents and trustees). He worried that many administrative leaders were more bottom-line driven and would set up more hierarchical cultures (Birnbaum, 2008).

Using the OCAI and Competing Values Framework (Cameron & Quinn, 2011), this study suggests that cultural differences between faculty and administrative leaders may not be as different as some have suggested. The initial findings from the OCAI survey indicated that both faculty and administrative leaders perceived their current culture to be a combination of Hierarchy (bureaucratic, predictable, and rules based) and Clan (collaborative, team-oriented, and value-based). In preferred scores, however, both faculty and administrative leaders displayed an increased preference for Clan and a decreased preference for Hierarchy. Both groups also indicated less preference for Market culture for current (now) and preferred scores.

Additionally, findings from this study suggest that fears about the corporatization attitude of higher education administrators may not be as pervasive as some suggest. For participants in this study, the Market culture was scored consistently lower for current (now) by both faculty and administrative leaders in this study. Preferred scores were even lower for both groups. Similarly, preferred scores for Hierarchy were significantly lower for both participant types. Based on these findings, it does not appear that participants in this study differ in their preference toward a more CLAN oriented culture and away from a more Hierarchy and Market oriented culture.

Another Interesting finding in this study was that both faculty and administrative leaders showed a significantly increased preference for Adhocracy (innovative, entrepreneurial, adaptable and responsive). The literature reviewed for this study included almost no observations related to the types of cultural characteristics associated with Adhocracy. As such, the finding that both faculty and administrative leaders showed significantly higher preferred scores for Adhocracy provide another opportunity for future research.

Using Demographic Attributes to Predict OCAI Scores

The third research question explored how well combinations of participant demographic data might combine to predict OCAI scores. Initially, the predictive analysis yielded almost no significant findings for combinations of demographic attributes (age, gender, participant type and years worked at the campus). One interesting difference was noted between the campuses; the type of senate body. Two of the campuses (1 and 3) had a faculty senate (where only the faculty was allowed to vote) and one campus (2) had an academic senate (where both faculty and administrators were allowed to vote). Thus, the predictive analysis was altered by grouping participants according to senate type. To explore differences by type of senate, OCAI scores from Campuses 1 and 3 were combined and compared with Campus 2.

One might initially assume that a campus with academic senates would have a more collaborative culture than campuses with faculty-only senates. This assumption, however, turned out to be false for participants in this study. Ratings on the level of collaboration were lowest at Campus 2 (the campus with the academic senate). These ratings were different than the higher ratings for the level of collaboration observed for Campuses 1 and 3 (which had faculty senates).

Participant comments on this topic suggested the differences in OCAI scores might not be associated with the type of senate, but the style of leadership by the new campus President. Many of the participants who provided comments voiced concern about the leadership style of their new president. Comments from Campus 2 participants (which had an academic senate) included: “Personal agendas especially that of the new president, seem to drive policy rather than betterment of the whole.” And, “Currently the climate on campus is one where administration ignored and rejected shared governance.”

Comments from Campuses 1 and 3 (faculty-only senate) did not reflect this kind of sentiment from the participants. While the written responses were not qualitatively analyzed, they did offer a glimpse into the viewpoints of some of the participants in this study. Their comments suggest that the leadership style of the new president may have influenced the perceptions of the level of collaboration for shared governance by participants at this campus.

Impact of Shared Governance on Change

Part of the initial purpose of this study was to explore the impact of shared governance culture and institutional leadership on change. After collecting the data, it became apparent that the design of this study did not provide much information to address that aspect of the original purpose. From the findings that were collected (provided below), it is apparent that future studies will need to utilize different methodologies and more or different questions to better explore implications for change.

The final research question explored faculty and administrative leader ratings on their perceptions of shared governance at their campus. Ratings were collected regarding the level of collaboration, the impact of shared governance and the type of impact (positive, negative or neutral). Again, participants were grouped by type of senate and compared.

Significant differences were found between the one campus with a faculty-only senate compared to the two campuses with an academic senate regarding perceptions of the level of collaboration (Question 7 appended to the OCAI). Participants with a faculty-only senate rated the level of collaboration significantly lower than those with an academic senate. No significant results were found for the impact of shared governance or the type of impact (Questions 8 and 9).

Some comments from Campus 2 (faculty-only senate) participants helped explain why participants from that campus rated the level of collaboration lower than Campuses 1 and 3. A

few examples from Campus 2 participants included: “Shared governance often results in a debate which slows innovation, often times by parties that are not invested in or affected by the outcome.” and; “I believe the institution is a conservative organization with a culture that does not call for, or reward, entrepreneurship. This conservatism is rooted in the culture of the faculty, a meritocracy that views administration with deep suspicion.”

Some examples from Campus 3 included: “I think that the shared governance has a very small, but measurable effect on our campus. I think that much of the shared governance seems to be lip service and that much of it is bogged down in bureaucracy such that it is difficult to bring anything fresh or innovative to the table.” And, “Since the shared governance has had such little effect, many of the more entrepreneurial parties on campus may not want to bother. I think this is especially true among the faculty because they receive little or no reward for spending time developing new proposals.”

Based on these comments, one starts to wonder if the preference for Adhocracy by faculty and administrative leaders noted earlier reveals that participants desire a more responsive, innovative culture within their campuses. Instead of accepting assumptions that shared governance is slow and non-adaptive, and that administrators are hierarchical and risk-adverse, campus leaders might benefit from spending more time exploring the ways faculty and administration share similar values and cultural preferences when attempting to implement change. Maybe Birnbaum (2008) got it right when he argued that shared governance can be effective if faculty and administration take time to collaborate more often on decision-making in a culture of collegiality and consultation. At least for the participants of this study, there appear to be more similarities between the two types of campus leaders than differences.

Limitations

There are many limitations in this study. Perhaps the most challenging were the lack of empirical research in the literature on the shared governance culture in higher education and the small sample size of this study. Other limitations included the selection of the OCAI as a survey tool vs. developing one that was more specific to higher education and not gathering more demographic data on participants to provide more variables for analysis.

To be clear, there is an abundant amount of empirical research available on culture and leadership. In higher education leadership, however, there is relatively little empirical research focused on the shared governance culture. Most scholarly work discovered in this area was theoretical, historical or opinion based. While the lack of empirical research created limitations for designing the methodology for study, it was precisely that gap in the literature which provided the impetus to do this kind of study.

The next limitation, small sample size, may have been a result of the way the sample was chosen. The decision to select a geographically convenient sample like the CSU limited the researcher to participants within that system. A larger, more geographically diverse sample may have increased the number of respondents (and perhaps improved the analysis).

Regarding the limitation from choosing the OCAI, one of the more common reactions from participants was to criticize the instrument. Many participant comments criticized the lack of flexibility in the tool (being required to score all statements or making scores add up to 100). The large number of individual scores required on the OCAI (24) and time it took to read and react to each set of statements discouraged some participants from completing the instrument. Several potential participants sent emails indicating that they thought the survey would take too much time and declined to participate.

Several others commented on the lack of specificity to higher education vs. private business. These participants criticized the statements on the OCAI commenting that they were not relevant to higher education. A consistent comment was that the participants did not feel there was a “cultural glue” at their campus. The OCAI was chosen based partly on the large number of previous studies conducted in private business, healthcare and other types of organizations. As such, considerable work had already been done to test the validity and reliability of the instrument. It may be interesting for future researchers to consider either adapting the statements on the OCAI to higher education or to create a new instrument entirely.

Lastly, the lack of demographic or other data about the participants limited the analysis. The decision to limit participant-specific information was made to keep the survey anonymous. The idea was if the survey was anonymous, more participants might feel comfortable completing the survey. There is no easy way to know whether collecting more variables would actually have been a limiting factor on the number of individuals who completed this survey. But, it is possible that collecting more demographic data could have provided more interesting and potentially meaningful options for analysis. Perhaps future researchers will consider collecting additional participant data making the survey confidential vs. anonymous.

Implications for Future Research and Practice

As mentioned in the limitations section, future research on this topic should try to include more institutions to try to obtain a larger population from more diverse types of institutions. Future studies might also benefit from collecting department information on participants as this attribute may also factor into perceptions of culture for different administrative or faculty leaders.

Based on the findings of this study, it may be more beneficial for leaders to focus on the perceived cultural similarities between faculty and administrative leaders instead of their

differences. Future research and editorial focus could examine the similarities found in Clan and Adhocracy characteristics for faculty and administrative leaders. Future researchers might also find that although it may be the case that some individual administrative leaders appear more Market (corporate) or Hierarchy oriented, these may not generalize to broader groups of administrators. Much more empirical research needs to be conducted to support arguments that administrative leaders, in general, are more Hierarchy or Market orientated than faculty leaders.

Building on similarities between faculty and administrative leaders could provide rich opportunity for developing models of leadership and change that may prove to be effective in higher education. Further research (qualitative or quantitative) on the perspectives of shared governance more specifically focused on types of senate and leadership styles of presidents could be very useful in helping higher education leaders more effectively understand campus culture and implement change.

As previously mentioned, this study did not collect much data on the impact of leadership and shared governance culture on change. Only two questions (items 8 and 9) ask participants about their perceptions of change. Thus, little can be derived from this study about the interactions between culture, leadership and change in a shared governance environment. Future studies should utilize different methodologies and perhaps more or different questions to better explore implications for change.

Another finding that could be beneficial for future research involved grouping participants by type of senate. This kind of grouping did yield some interesting results. In this study, results by senate type did significantly predict current (now) OCAI scores for Adhocracy and preferred scores for Market. Given these findings, future studies that include a larger number

of institutions may benefit from looking at types of senate (faculty-only vs. academic) and whether participants were faculty or administrators when predicting mean OCAI culture scores.

More studies like the one conducted by Pennington et al. (2003) which explored leadership styles (or behaviors) and organizational culture could provide more empirical support for the similarities and/or differences between administrative and faculty leaders; especially if these studies target differences between top administrators (trustees, presidents and vice presidents) vs. more operational administrative leaders (associate/assistant vice presidents and directors). From the comments provided in this study, most administrative participants appeared to be operational, mid-level administrators. As such, future studies could benefit from disaggregating top level administrators from operational administrators and then comparing those groups separately from faculty leaders.

Perhaps one of the most meaningful quotes that emerged from the literature review of this study was by Edgar Schein, “if we don’t understand the operation of these [cultural] forces, we become victim to them” (2010, p. 7). Most researchers and authors reviewed for this study suggested that leadership and culture does impact change at colleges and universities (Quinn, 1996; Eckel, Hill & Green, 1998; Kezar, 2001; Gordick, 2002; Harding, 2010; Hyland, 2007; Madsen, 2008; Tjeldvoll, 2011). It was interesting to find that most researchers and scholars suggested there were clear cultural differences between administrative and faculty leaders. The results of this study suggest that these long-held ideas may not be as indicative of higher education leaders as inferred by many of these authors. To be more effective, perhaps new leaders should heed the advice of Fralinger and Olson (2007) and try first to understand the organizational culture at their institutions and then attempt to implement change.

Conclusions

Once while attending a faculty-only senate meeting (administrators were allowed to sit in the back to observe), one faculty senator, who was upset with an administrative decision, stood up and stated that she felt the phrase “evil administration was redundant!” There was a low, but audible gasp from the group of administrators I was sitting among in the back of the room. The graduate dean, who was sitting next to me, leaned over and whispered “if we are so evil, why are they always asking us for help?”

I don't believe many administrators are actually evil, or that shared governance makes creating change difficult. I agree with Shein (2010) and Senge et al. (1999) that most of the difficulties creating change are political or power-based vs. being based on cultural differences. If, as suggested in this study, future researchers study the cultural values and preferences of university leadership (faculty or administrator), and continue to find more similarities than differences, perhaps future change initiatives could be more effectively based on those similarities and as such, face fewer challenges.

I suppose believing faculty and administrative leaders would be more collaborative if they were more aware of their cultural similarities might appear a little Pollyannaish to some. The alternative, however, just leads to continued challenges and misunderstandings, at least to me. As someone with 28 years of higher education experience in administration, who hopes to join the academy by completing this Ph.D., I prefer to take the position that university leadership can increase collaboration by focusing on the similarities between faculty and administrative leaders vs. their differences. If future researchers take nothing else from this study, I hope they take that idea away with them.

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APPENDIX A
THE OCAI

Instructions:

The purpose of this survey is to provide a picture of how your organization operates and the values that characterize it. No right or wrong answers exist for these questions just as there is not right or wrong culture.

You are asked to rate your CSU campus in the questions. The survey consists of nine questions. The first six questions have four statements. You are asked to divide 100 points among these four statements depending on the extent to which each statement is similar to your CSU campus. Give a higher number of points to the statement that is most similar to your organization.

For example, in question one, if you think statement A is very similar to your organization, statement B and C are somewhat similar, and statement D is hardly similar at all, you might give 55 points to A, 20 points to B and C, and five points to D. Just be sure your total equals 100 points for each question.

Note, that the first pass through the six questions is labeled “Now”. This refers to the culture, as it exists today. After you complete the “Now”, you will find the questions repeated under a heading of “Preferred”. Your answers to these questions should be based on how you would like the organization to look five years from now.

Please provide the following demographic information:

1. Current Age _____
2. Gender M F
3. Number of years worked at your current CSU campus _____
4. Total years worked within the CSU (if different from item 3 above) _____

Survey

1. Dominant Characteristics		Now	Preferred
A	The organization is a very personal place. It is like an extended family. People seem to share a lot of themselves.		
B	The organization is a very dynamic and entrepreneurial place. People are willing to stick their necks out and take risks.		
C	The organization is very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented.		
D	The organization is a very controlled and structured place. Formal procedures generally govern what people do.		
Total		100	100
2. Organizational Leadership		Now	Preferred
A	The leadership in the organization is generally considered to exemplify mentoring, facilitating, or nurturing.		
B	The leadership in the organization is generally considered to exemplify entrepreneurship, innovating, or risk taking.		
C	The leadership in the organization is generally considered to exemplify a no-nonsense, aggressive, results-oriented focus.		
D	The leadership in the organization is generally considered to exemplify coordinating, organizing, or smooth-running efficiency.		
Total		100	100
3. Management of Employees		Now	Preferred
A	The management style in the organization is characterized by teamwork, consensus, and participation.		
B	The management style in the organization is characterized by individual risk-taking, innovation, freedom, and uniqueness.		
C	The management style in the organization is characterized by hard-driving competitiveness, high demands, and achievement.		
D	The management style in the organization is characterized by security of employment, conformity, predictability, and stability in relationships.		
Total		100	100

4. Organizational Glue		Now	Preferred
A	The glue that holds the organization together is loyalty and mutual trust. Commitment to this organization runs high.		
B	The glue that holds the organization together is commitment to innovation and development. There is an emphasis on being on the cutting edge.		
C	The glue that holds the organization together is the emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.		
D	The glue that holds the organization together is formal rules and policies. Maintaining a smooth-running organization is important.		
Total		100	100
5. Strategic Emphasis		Now	Preferred
A	The organization emphasizes human development. High trust, openness, and participation persist.		
B	The organization emphasizes acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.		
C	The organization emphasizes competitive actions and achievement. Hitting stretch targets and winning in the marketplace are dominant.		
D	The organization emphasizes permanence and stability. Efficiency, control and smooth operations are important.		
Total		100	100
6. Criteria of Success		Now	Preferred
A	The organization defines success on the basis of the development of human resources, teamwork, employee commitment, and concern for people.		
B	The organization defines success on the basis of having the most unique or newest products. It is a product leader and innovator.		
C	The organization defines success on the basis of winning in the marketplace and outpacing the competition. Competitive market leadership is key.		
D	The organization defines success on the basis of efficiency. Dependable delivery, smooth scheduling and low-cost production are critical.		
Total		100	100
		Now	Preferred

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7. Please circle the number that best fits your rating of the shared governance culture on your campus using the scale provided below:

Non-Collaborative				Collaborative			Very Collaborative		
1	2	3	4	5	6	7	8	9	10

8. Please circle the number that best fits your rating of the impact of shared governance on change at your campus:

Level of Impact

Low				Medium			High		
1	2	3	4	5	6	7	8	9	10

9. Please circle the number that best fits your rating of whether this impact is positive, negative or neutral using the scales provided below:

Kind of Impact

Negative				Neutral			Positive		
1	2	3	4	5	6	7	8	9	10

10. Provide any additional or explanatory information regarding your response on the two ratings you've just provided.