

Understanding Higher Education Governance Restructuring: The Case of the University of the  
West Indies

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Ian O'Brian Austin

(ABSTRACT)

Governance is one aspect of university restructuring that in the last 20 years has become ubiquitous worldwide. The restructuring is in part a response to calls for improving governance in higher education. Keller (1983), for example, describes governance in higher education as limiting the capability of universities to make critical strategic decisions.

Higher education researchers are seeking to understand governance restructuring. A few studies have been conducted in the United States of America, the United Kingdom, and Europe. However, developing countries in the Western World have also recognized the limitations of traditional higher education governance and have restructured their systems. This has prompted a need for research on higher education governance restructuring in developing nations. In the English speaking Caribbean, governance restructuring occurred in 1984 and 1996 at the University of the West Indies (UWI) and occurred again between 2004 and 2008.

The purpose of this study was to examine the most recent governance restructuring at the UWI. The focus was on exploring three dimensions of organizational change: the antecedents or the factors that prompted the change in governance, the content of the change, and the change process.

Three categories of antecedents were discovered: organizational, environmental, and relational antecedents. The organizational antecedent had two sub-themes: performance aspiration and institutional coherence. The environmental antecedents were global competition among nation states, competition from other tertiary education providers, and stakeholders' demands for greater access to higher education. The relational antecedent was a desire to strengthen the relationship with external stakeholders.

Four themes related to the content of restructuring emerged from the data: (a) incremental change; (b) corporate/managerial decision-making approach; (c) university-wide strategic planning; and (d) responsiveness to stakeholder demands/needs. Using an archetype approach, the analysis revealed that although the UWI retained the collegiate archetype tradition, elements of another archetype were infused with the collegiate model creating a hybridized governance

system. The process of the restructuring revealed three broad stages: initiation, negotiation, and the implementation stage.

Collectively, the results suggest that UWI is moving, albeit slowly, away from collegiate governance towards a managerial model. More research is needed to explore the long-term impact of this shift.

## DEDICATION

This dissertation is dedicated to five important persons in my life: my father Allan Lovell, my grandmother Millicent Lovell, my aunt Enid Austin, my daughter Lesley Austin, and my wife Rockiel Austin. As I traveled on this journey, you were my source of strength in different but very important ways. In the words of Aunt Enid, “education, education, education is the key.”

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Understanding Higher Education Governance Restructuring: The Case of the University of the  
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Chapter One  
Introduction

Since the 1990s, many countries around the world have undertaken public sector reform in an attempt to change, reinvent, transform or restructure government agencies and public organizations (Fernandez & Rainey, 2006; Pollitt & Bouckaert, 2000). In some countries, these reforms have been driven by the pressures of globalization (Huque & Yep, 2003) and in others by a combination of globalization and structural adjustment programs (SAPs) (Farazmand, 1994; Welch & Wong, 1998). Although there is no single definition of structural adjustment, it is generally accepted that it relates to ongoing changes to economies based, to varying degrees, on the policies of major international economic organizations such as the International Monetary Fund (IMF) and World Bank (Arnové, 1997; Jones, 1998; Mok & Welch, 2003).

Globalization is an economic, political, and cultural phenomenon in which there is an increasing worldwide integration of economies, with exchanges and transactions that transcend borders (Giddens, 1999; Held et al., 1999). It is associated with neoliberal capitalism as the dominant economic mode (King, 2004). It is also an institutionalized cultural account of the world that structures the way institutions and actors operate (Meyers, Boli, & Thomas., 1987). In this context, neoliberal capitalism or (neo-liberalism) is an ideology that advocates a reduction in the state's financial burden and in its responsibility to serve public good (Dale, 1997). Neo-liberalism promotes the transformation of the public sector along business-like lines, and the expansion of the private sector by emphasizing privatization and marketization (Mok & Welch, 2003).

Proponents of globalization challenge the state's capacity to govern the public sector (Mok & Welch, 2003). Nation states are viewed as vulnerable and incapable of managing the global economy and are consequently playing a diminished role in public management (Mok & Welch). This thinking has created a climate of reform in most countries that has led to significant changes in the administration of public affairs and the management of individual countries (Mok & Welch) albeit with variability and significant differences across countries (Dale, 2000; Welch, 2001a, b).

Much of the influence associated with globalization is located within major international institutions and structures. A primary component of the globalization model is the world economy. The locus of control for the world economy resides in the G-8 countries (Canada, France, Germany, Italy, Japan, Russia, United Kingdom, and United States with representation from the European Union), international lending agencies, and multinational corporations (Schugurensky, 1994). In addition, under the current circumstances, organizations with global governing powers such as the World Bank and the Organization of Economic Co-operation and Development (OECD) are assuming greater prominence.

Globalization trends are causing a reordering of national economies, cultures, values, politics, and governance, complemented by new developments in information technology. These shifts, coupled with the sweeping of many economies into a competitive environment of global markets, have led to more competition among nation-states (Giddens, 1999; Mok, 2005; Petrella, 1996; Pierre & Peters, 2000; Skliar, 1999; Waters, 2001). Along with the demands of globalization are structural adjustment requirements that are imposed on some countries by global financial agencies like the World Bank and the IMF.

Structural adjustment programs (SAPs) impose constraints on public expenditures, compel the elimination of subsidies and the imposition of user fees for public services, forcefully recommend the privatization of public agencies, and significantly reduce the redistributive role of the state (Schugurensky, 1994). In this regard, the manner in which governments and the public sector are managed has changed and the focus is now on cost reduction or cost containment (Mok & Welch, 2003).

The combined pressure from globalization and SAPs has resulted in a new public policy environment. This new policy environment is driven by the philosophies of economic rationalism (Pusey, 1991) and managerialism (Pollitt, 1990). Marginson (1993) suggests that economic rationalism is an outcome of neo-classical economics that emphasizes scarcity and competition. The resulting policy environment places emphasis on excellence, efficiency, increasing competitiveness and the adoption of market mechanisms, accountability, and devolution (Welch, 1996). Welch further suggests that the use of strategies such as internal audits, quality assurance mechanisms, and management-by-objectives are associated with this policy environment.

The ideas and practices of managerialism are widespread in the public sector worldwide (Mok & Welch, 2003). Nation states intervene less in regulating business and are also expected to streamline their own administration and management (Mok & Welch). In this context, the state is more focused on the management of scarce resources and less on service delivery and defending the public good; and is more interested in maximizing returns on investments rather than on promoting general welfare. This is driven by a neo-liberal philosophy that advocates for a diminution of the state's responsibility to serve all public good functions (Dale, 1997).

Reforming the public sector and re-organizing the role of the state must of necessity cause a rethinking of governance. The thinking about governance in the public sector in many countries is also influenced by the ideas of economic rationalism and managerialism (Mok & Welch, 2003; Welch, 1998). The new vision of governance perceives modern states as facilitators rather than service providers; the welfare state is a competitive arena where competition among governmental agencies is encouraged and privatization is pervasive (Cerny, 1997; Yeatman, 1994). From a policy perspective, this governance paradigm brings together state and non-state actors and transfers control to agencies that function with little state influence or function totally outside of the boundaries of the state (Mok & Welch). The traditional governance structure that is associated with Weber's classic ideal type of bureaucracy has been replaced by this new philosophical vision (Rhodes, 1997).

From the foregoing discussion, transformation is occurring in the management of the public sector and in its governance. Education is one area of the public sector that generally consumes a significant amount of the government's budget. The changes in the global economy and the philosophy associated with globalization have affected education funding levels directly and indirectly (Dale, 1997). Dale points out that the more indirect effects are felt in developed countries where there has been a decline in the Keynesian welfare-state and the funding of services like education at the levels at which they have been funded in the past seems no longer feasible.

In the case of developing countries, the impact is more direct because of the lending policies of the World Bank and the structural adjustment demands that are made by the IMF and the resulting effect those demands have on shaping the education system (Dale, 1997). Consequently, during the last two decades, there has been fundamental restructuring of education

in Western and Eastern societies. The “Ivory Towers” of colleges and universities have not been exempt from the forces that are reshaping education generally.

### Higher Education

Public universities that function as quasi-public organizations have also been undergoing restructuring (Clark, 1998; Dill & Sporn, 1995; Gumport & Pusser, 1999). Restructuring is a complex phenomenon in which there is a rethinking of the way that resources are allocated, new revenue sources are created, and institutions align with external demands (Gumport & Pusser). The pressure on public universities to respond and make changes have been attributed to factors such as the public policy directions engendered by globalization (Carnoy & Castells, 1997; Mok, 2005; Slaughter & Leslie, 1997), structural adjustment programs that are accompanied by new accountability demands (Green & Hayward, 1997; McLendon & Ness, 2003), the new managerialism wave (Braun & Merrien, 1999; de Boer & Huisman, 1999), the emergence of academic capitalism (Slaughter & Leslie), and market principles that encourage competition among universities (Welch, 1996).

These changes in the administration of higher education are associated with the shift from an interventionist Keynesian state to a more neo-liberal monetarist state (Braun & Merrien, 1999). The Keynesian approach is based on the assumption that the market lacks the capacity to secure favorable profit conditions without regulatory state intervention. This is in contrast with the monetarist philosophy that assumes the profit accumulation process is self-regulating and therefore that the state should not interfere with the free market (Codd, Gordon, & Harker, 1997).

Public universities that previously functioned in quasi-monopolistic positions in higher education systems now face exposure to more global competition. Mechanisms, such as the General Agreement on Trade in Services (GATS), with tertiary education as one of its trade-related sectors, facilitate the expansion of university offerings across national borders (Stromquist, 2007). Through global structures such as GATS, universities are now international enterprises that offer educational services beyond the territorial boundaries of state or national governments.

Other global institutions such as the OECD, the World Bank, the IMF and the European Union (EU) are imposing global demands on higher education. This is evident particularly in lesser developed and emerging countries (Vaira, 2004). One mechanism used by the international

lending agencies is to link financial loans to compliance with the requirements imposed on the nation-state's institutional and higher education structures (Vaira). This policy approach reflects coercive pressures (DiMaggio & Powell, 1991) on universities and colleges to conform to the demands of international institutions.

Another shift in the higher education environment is the emphasis on the "3Es": efficiency, effectiveness, and economy (Welch, 1997). Efficiency refers to obtaining greater outputs with fewer inputs while avoiding delays and it is emphasized even more during times of financial constraints (Schuster et al., 1994). Efficiency in education has been described as both internal and external. Psacharopoulos and Woodhall (1985) describe internal efficiency as the manner in which resources are allocated within an institution with an emphasis on the way inputs are combined to produce the service output. External efficiency is "the extent to which schools, universities or training institutions provide the necessary skills for the smooth running of the economy, and the extent to which school-leavers or graduates are absorbed into the labor market, find the jobs and the earnings they expect, and are able to use their skills in employment" (Psacharopoulos & Woodhall, pp. 205-206). There has been significant pressure for institutions to be efficient and responsive. Effectiveness is the achievement of set objectives and desired outcomes. Economy relates to limiting spending to a minimum.

One approach used to achieve the 3Es is the adoption of managerialism in higher education (Rhodes, 1997). When applied to higher education, managerialism assumes that managerial effectiveness is critical to providing a quality university education at the lowest possible cost (De Boer & Huisman, 1999). It involves a restructuring of colleges and universities through the introduction of management systems as a force for continuing improvement (Trow, 1994). Other examples of managerialism in higher education include the marketization of higher education, the introduction of entrepreneurship in the academy, the private contracting of services, quality assurance mechanisms, and performance audits.

The reforms associated with managerialism are located within the context of a putative paradigm shift in the international economy, corporate structures, and organizational structures (Reed, 2002; Korten, 1995; Clarke & Clegg, 1998). Reed argues that the professional bureaucracy of the academy has not moved with the times and has resulted in a new moral and organizational order in which traditional conceptions of professional specialization and demarcation are superseded by new corporate structures and cultures.

There has been a growing prevalence of the new managerialism model because of a focus on the 3Es and performance. The dominant sentiment is that the 3Es should be the primary value system that guides governance in universities. Based on a view that managers should be given the right to manage and have the freedom to make decisions on resource usage, there is a tendency for university managers to play a significant role, even within academic programs, historically the domain of the faculty (De Boer & Huisman, 1999). For higher education, this represents a significant change in operating culture at the same time that culture is also undergoing greater oversight.

Higher education institutions are facing greater scrutiny from governments, industry, the general public, and various other stakeholders (Newman, Couturier, & Scurry, 2004). One mechanism used to monitor higher education performance is to hold universities more accountable. Consequently, a new accountability culture has engulfed higher education globally (Ewell, 1990). For example, in Italy the state attempted to make universities more responsive to changes in the socio-economic system (Capano, 1999). In the Netherlands, the accountability demand resulted in the government shifting its attention from *ex ante* control by means of regulation to *ex post* control (Currie et al, 2002) in which the onus is placed on the universities to create measures and procedures to demonstrate quality in their programs. Using this approach, the government only intervenes if there is a need to do so.

In the USA, the demand for greater accountability has been driven by the states and their desire for greater responsiveness from higher education to market demands and productivity measures (Rhoades, 2005). Additionally, public oversight agendas are now more committed to the use of policy tools to improve the alignment between the performance of higher education and public expectations (Alexander, 2000). To create such an alignment, higher education institutions have had to adjust to new environmental demands in which more accountability is required while, at the same time, funding is decreasing.

A common global policy trend is a decline in government spending and the use of lower tax regimes (Marginson & Sawir, 2006). Slaughter and Leslie (1997) describe academic capitalism as the growing practice of universities creating commercial enterprises and selling research services in their quest for alternative revenue streams. Therefore, in addition to universities having to operate in a new competitive environment, they now operate in an environment where governments have been forced to reduce public spending on higher education



and universities, feeling the effects of these spending cuts, are seeking alternative sources of funds (Ordorika, 2003). This is causing higher education institutions to make major organizational changes to be financially more self-sustaining and maintain their educational programs.

Many of these changes have resulted in the restructuring of governance systems. In the USA, for example, there were more than 100 initiatives to restructure higher education governance systems between 1985 and 2000 (McLendon, 2003). Advocates of the neo-liberal ideology in Europe believe that the traditional governance models, such as the British and Continental models, have become obsolete and do not fit a rapidly changing environment (De Boer, 2002). Many European countries share this view and have engaged in governance restructuring during the last two decades.

The weakness of higher education governance is a conclusion long articulated by Keller (1983) who uses governance models in the USA to make his argument. As early as 1983, Keller noted that the governance processes in higher education were incapable of making critical strategic decisions and needed restructuring. In support of this view, Benjamin and Carrol (1996) contended that the long-term question of whether higher education governance needed to be restructured was largely moot. The issue was not if, but how higher education governance systems should be restructured.

Developing countries in the Western World have also recognized the limitations of traditional higher education governance and have restructured their systems. Some restructuring was part of a more general transformation of higher education in these countries. For example, in Argentina the Universidad de Buenos Aires (UBA) restructured its governance in the 1990s as part of a larger university restructuring. This restructuring was driven, in part, by the tension between UBA's leaders and government in which the government accused the institution's leaders of being inefficient, obsolete, and insensitive while University leaders claimed state abandonment (Schurgurensky, 1994). In the English speaking Caribbean major governance restructuring occurred in 1984 and 1996 at the University of the West Indies (UWI) and occurred again in 2008.

The UWI has the designation of a regional university with a mandate to deliver tertiary education to the former colonies and current dependent/overseas territories of Britain in the English speaking Caribbean. These countries are small developing states or sometimes referred

to as small open economies that are separated by water. The population ranges from 10,000 in some countries to approximately 2.5 million in Jamaica, with land masses ranging from 35 square miles to more than 4,000 square miles. The per capita gross national product (GNP) which is an indicator of the level of economic resources available to finance services like education varies from approximately US \$2, 400 to over \$15,000 (Bacchus, 2008). This study examined the 2004/2008 governance restructuring at the UWI. Four key factors prompted me to use UWI as the site of this research.

First, I recognized that there are differences in the drivers of change around the world. The effects of drivers of change such as globalization and structural adjustments are experienced in different ways among regions, nations, and institutions (Marginson & Sawir, 2006). This suggests that changes occurring in educational organizations, although sharing some defining parameters globally, vary greatly across regions, nations, and localities (Carnoy & Rhoten, 2002). As a result, the manner in which institutions restructure and the reasons for making adjustments may differ in Britain, Europe, the USA, and the Caribbean. To date, there has been no empirical investigation of the governance restructuring at the UWI that has analyzed the reason for restructuring and the manner in which it is conducted.

Second, studies have shown that a number of universities modified their governance structures in the 1990s (Gumport, 1993; Gumport and Pusser, 1997; Lee, 1991; Marcus, 1997). However, many of these changes were driven by internal dynamics and decision-making (El-Khawas, 2002) and little attention has been paid to the influence of the external environment and the role of external stakeholders such as the state in restructuring. Consequently, much of the discussion in the higher education literature focuses on the allocation of authority, responsibility, and resources within institutions, ignoring the realities of the external environment and the tension between external and internal pressures and the impact of this tension on the functioning of universities (Peterson, 1986).

Third, previous studies have examined governance and change in an environment where a single country, state, or province has political and economic jurisdiction over one or several public universities. However, the UWI is a unique institution. It has a governance structure that includes 15 contributing (funding) countries; that is, several countries have jurisdiction over one university. This is the reverse of governance structures that have been studied previously. The unique structure of the UWI requires that more empirical work be conducted to gain a deeper

insight into governance restructuring in such an anomalous institution. In this environment, the role of the external environment and, more specifically, the role of external actors including the state require greater empirical attention.

Fourth, there is a dearth of research on higher education restructuring in the English speaking Caribbean. Although the UWI is the largest university in the Caribbean, few studies have examined university restructuring and change at this institution especially at a time when the pressure on universities to implement change is so compelling. My study therefore helps to fill a void in the literature on higher education governance restructuring in general, and in the British West Indies in particular. Using these primary reasons as the basis for conducting this study, I developed a conceptual model to guide the research process.

#### Conceptual Framework of the Study

The UWI is a public university with a research focus. Public universities in the USA, especially those with a research focus, are effective sites for studying university restructuring (Pusser & Gumport, 1999). Governance restructuring is one aspect of university restructuring but one that in the last 20 years has become quite ubiquitous worldwide. For purposes of this study, governance restructuring is an organizational change activity (Mortimer & Sathre, 2006) in which institutional leaders redesign an organization's governance because it is perceived to be misaligned with its environment (Nickerson & Silverman, 2003).

Universities function in a larger superstructure. In this regard, university governance restructuring may also be understood from an organizational perspective located within a larger policy environment. Van Loon (2001) notes that universities and colleges behave like large organizations and respond to the need for change. Therefore, university governance restructuring may be examined as the action of an organization that is nested within the broader economic, political and global shifts that have influenced other public organizations in recent decades.

The UWI, the premier and largest public university in the English speaking Caribbean, was an effective site for the study of governance restructuring in higher education. It functions in a region where there is a mosaic of political and economic differences across countries. Given this context, the UWI's governance restructuring initiative needed to be understood as an organizational activity nested within broader multi-state economic, political, regional and global shifts.

Although this is a qualitative case study, I was guided by prior research, theories and models. I did not enter this research without preconceptions. For example, I knew that several countries in the Caribbean region had experienced structural adjustment programs through the IMF, that some nations had been experiencing difficulty with their contributions to the UWI, and that there was a desire among governments for the university to expand its enrollment. Because of this knowledge, I felt it was necessary to enter the study with an open mind, not an empty mind (Siggelkow, 2007) because I wanted to retain the capacity to be surprised. However, I still felt it useful to be guided and influenced by some initial hunches or prior frames of reference (Siggelkow; Suddaby, 2006) and existing models.

Models of change are important to understanding organizational change (Kezar, 2001). They help assess change at a macro level (Kezar, 2001). Models can also assist organizational change researchers in discovering why a change occurred, how it occurred, what changed, and the outcome or consequence of the change. The usefulness of such a multi-faceted approach is that each model provides insight into understanding different aspects of organizational change (Kezar) and lends itself to the possibility of greater insight into the overall change (Van de Ven & Poole, 1995). Multi-faceted models may also respond to some of the unique characteristics of higher education (Kezar; Lindquist, 1978). Restructuring efforts frequently fail due to the simplicity of the model adopted or as a result of incorrect assumptions about the change (Fullan & Miles, 1992; Lueddeke, 1999).

Van de Ven and Huber (1990) note that much of the organizational change literature has focused on two streams of research (a) antecedents and consequences of change in organizational form and structure, or (b) how organizations change, emerge, develop, grow or terminate over time. Studies of antecedents and consequences focus on the inputs or precipitating conditions for change and the outcomes of change respectively. These studies come from the content school of strategic and organizational change (Armenakis, 1988; Greenwood & Hining, 1996).

How organizations change, emerge, develop or terminate over time are from another stream of studies that describe and explain the temporal sequence of events that unfold as an organizational change occurs. This stream of research is associated with process studies (Denis, Lamothe, & Langley, 2001; Kotter, 1995; Pettigrew, 2001; Weick, 2000) and can provide an understanding of how organizational change occurs (Van de Ven & Huber, 1990). Researchers in this school have focused on the role of managers and other key actors in the change process

(Rajagopalan & Spreitzer, 1996) and on strategies adopted in the change (e.g. Kezar & Eckel, 2002).

However, content and process schools of thought have evolved independently and this has hampered the understanding of organizational and strategic change (Rajagopalan & Spreitzer, 1996). Rajagopalan and Spreitzer therefore advocate an integration of the process and content schools of thought to create theoretical and empirical synergy. Studying the antecedents and process of organizational change answer questions of why, and how. Analyzing the content of organizational change captures what has actually changed in the organization (Barnett & Carrol, 1995); that is, it captures the substance of the change (Armenakis & Bedeian, 1999).

In this study, I adopted a multi-faceted model using three organizational change dimensions: antecedents, content, and process of the restructuring of governance at the UWI. The forces and sources (Kezar, 2001) or antecedents (Van de Ven & Huber, 1990) examined the “why” of the restructuring. The scale, the focus, the level, the timing and the degree of the change captured the “what” of the restructuring or the content. The “how” of the change referred to the process and I explored it to determine what critical strategies were adopted and the role of internal and external stakeholders.

Although Benjamin and Carroll (1998) argue that the issue is more how governance should be restructured, the “how” must be linked to the “why” and the “what” to gain a comprehensive understanding of governance restructuring. Therefore, I felt that a multi-faceted model organizational change approach that employed these three dimensions was better suited for this investigation and could provide a clearer understanding of the UWI’s governance restructuring. This constituted one component of the conceptual framework.

The next component of the conceptual framework was developed around governance in higher education. Governance is a central issue in higher education because it determines the manner in which colleges and universities function, and in the case of public universities, it also defines the relationship with the state. Governance encompasses the internal relationships, the external relationships, and the intersection between the inner world of the university and its larger environment, including the state government (Marginson & Considine, 2000). This suggests that higher education governance has an internal and external component; internal campus governance and external governance. External governance is about the roles that actors and policymakers outside of the university play and the influence they have, through boards and

councils, on the institution (Hines, 2000). These groups and persons are also called external stakeholders. Internal governance is characterized by faculty and administration roles, responsibilities and authority (Middlehurst, 2004). These persons are also referred to as internal stakeholders. Internal stakeholders include faculty, administrators, and students while external stakeholders are groups or individuals with an interest in higher education but are not members of the academy (Amaral & Magalhaes, 2002). These include business sector individuals, influential members of the public, parents, the state, and nowadays international organizations.

In this context, therefore, change in universities' internal governance structure is reflective of the external political and economic environment in which universities function. Internal university governance is shaped by the pressure of the external political environment and therefore institutions are forced to adopt a form of governance that can adapt to their environment (Salter & Tapper, 2002). In this regard, governance is perceived as a means of realizing institutional goals, and ideally should be able to respond to the demands of the external environment by regulating the organization internally (Salter & Tapper). This is an important consideration for a study such as mine because it is necessary to understand how universities operate and change, not in isolation, but as they interact with and are influenced by the outside world. For public universities, a major change activity such as the restructuring of governance is intimately related to broader social, political, economic, and historical development nationally, regionally, and globally. Therefore, change in governance should include considerations of the external and internal dynamics.

In considering the internal/external dynamics of restructuring in public higher education institutions, the state and other external stakeholders should be considered as important external constituents. This is even more compelling because organizational change can manifest itself in different ways in different countries. New institutional theory (DiMaggio & Powell, 1991) argues that organizational change must be examined in the context of the role the state and the coercive isomorphic pressure the state has on the thinking of managers and on organizational adaptation. However, the manner in which the state shapes its public organizations is sometimes driven by regional and global forces. Therefore, understanding the origin of the nation-state's institutional configuration and managerial practices are important to understanding the forces for change, the process, and the content of a restructuring effort.

Historically, the state has been seen either as a source of funding or an intrusive force interfering with the development of professional and scientific expertise (Slaughter, 1988). However, the state's role may extend beyond funding and intrusion especially in times of major institutional changes. Higher education scholarship is still slow to address the state and its relationship with education organizations (Carnoy & Levin, 1985; Ordorika, 2003; Rhoades, 1993). Reed, Meek and Jones (2002) point out that any change in the relationship between higher education and the state directly impacts institutional governance. This is especially important when the governance reform is state-imposed and is a source of conflict about what the university is, what it should be, and the extent of its autonomy (Reed et al.). Therefore, understanding the role of the state and its position in higher education and the governance of public universities is even more critical when institutions change their governance structure.

Governance structures and arrangements can cause struggles about what function a university should serve and are central to a complex and evolving relationship between internal and external stakeholders. For example, within university governance is the element of autonomy that is guarded by faculty. Any governance restructuring that diminishes autonomy is typically challenged and resisted by internal actors. Some external stakeholders advocate that public universities must be more accountable to society and that there should be more external involvement in university decision making. These two positions create tension between the internal and external actors. This tension can impact the antecedents, process and content of a restructuring of governance. Using a multi-faceted model conceptual framework of organizational change – antecedents, content, and process - this study attempted to capture these internal and external stakeholder dynamics and the role of the state in the governance restructuring of the UWI in 2008. Figure 1 (see page 14) depicts the multi-faceted conceptual model I employed in the study.

#### Statement of the Problem

In summary, the predominant types of research in organizational change have answered select questions about change (Gioia, Thomas, Denis, Lamonthe, & Langley, 2001; Nelson, 2003; Whelan-Berry, Gordon, & Hinings, 2003; Wischnevsky & Damanpour, 2006). Some studies in higher education have attempted to answer questions about antecedents of organizational change (e.g. Sporn, 1999), the process of change (Kezar & Eckel, 2002; Simsek & Louis, 1994), or the content of change (Wade, 1997) but few researchers have examined all three

dimensions in one study or in a single change event. This study attempted to add to the literature on higher education governance restructuring by conceptualizing it as an organizational change activity that addressed these three dimensions of change.

	Antecedents - Forces for & sources of change	Content - The scale, level/order, focus.	Process – Strategies adopted.
Internal Stakeholders – role & influence	Performance Aspirations Institutional coherence Relational cohesion Threats of Competition	Scale: Incremental change  Focus: Managerialism within collegiate archetype	Initiation: Problem identification Data gathering Data Processing Recommendation for action Negotiation Implementation
External Stakeholders – role & influence	Desire for increased access	Responsiveness to stakeholder needs	Initiation: Problem Identification Data gathering Negotiation

*Figure 1. Conceptual Framework*

Additionally, the nature of higher education governance is such that the internal and external dynamics must be considered in studying governance change (Marginson & Considine, 2000; Salter & Tapper, 2002). Some studies in higher education have explored the internal tensions and processes associated with governance change while others have focused on the external dynamics (Marcus, 1997). Few studies have examined both the internal tensions and external dynamics simultaneously. Therefore, to further improve our understanding of governance change, it was necessary to focus on the connection between the external societal and political dynamics and the internal organizational processes simultaneously in a single governance change event (Ordorika, 2003).

Finally, the uniqueness of the UWI governance structure provided an opportunity to study governance and change in a comprehensive manner and in a context and setting in which there are very few studies of governance. That is, UWI provided a site for the study of governance restructuring in a multi-state university setting using a multi-faceted approach - antecedents, content, and process; and in so doing, capturing the role of the state(s) and role and influence of the internal and external stakeholders.



### Purpose of the Study

The purpose of this study was to examine the 2004/08 governance change at the University of the West Indies. Using an organizational change approach, I explored the dimensions of the change in governance – the antecedents, the content, and the change process. For each dimension, I examined change from the perspectives of both the internal and external stakeholders in the restructuring process.

I used a case study approach to examine the restructuring. The case study approach allowed a comprehensive, holistic, and multifaceted analysis (Pettigrew, 1990) of the governance restructuring. To achieve this, I analyzed published and unpublished documents, and conducted interviews to gather relevant data.

### Research Questions

The present study explored three primary research questions concerning the governance restructuring at the UWI in 2004/08. The following research questions guided the data collection and analysis process.

1. What were the antecedents of the new structure?
  - a. How did the external stakeholders influence the antecedents?
  - b. How did the internal stakeholders influence the antecedents?
2. What was the content of the restructuring?
  - a. How did the external stakeholders influence the content?
  - b. How did the internal stakeholders influence the content?
3. What was the process of the restructuring?
  - a. How did the external stakeholders influence the process?
  - b. How did the internal stakeholders influence the process?

### Significance of the Study

The present study was significant for future practice, research, and policy. In terms of practice, several groups might benefit from the results. The study intended to contribute to a distinctive approach to organizational change within higher education by focusing on governance restructuring. Higher education should approach the study of change with an appreciation for its unique environment, value system, structure, and culture (Winston, 1998). For example, an analysis of any significant change in higher education should consider the loosely coupled nature of colleges and universities. To ignore this distinctiveness may cause mistakes in analysis

(Kezar, 2001). This study contributes further to the understanding of change in higher education, and it may assist change agents by providing them with a broad conceptual knowledge that is necessary to create and sustain change. In addition, the findings of this study might have significance for top management in colleges and universities. Top management might use the findings as a guide to designing and executing organizational change generally, and more specifically restructuring governance.

University senates may also benefit from what the study reveals. The university senate represents the academic community and is pivotal to the internal governance. The findings of this study may inform senate members of the role that they might play in a governance or organizational change.

The present study contributes to the current research on governance and organizational change and may also be the impetus for future studies. In terms of contribution to current research, the UWI is funded by 15 governments. By conducting a study of governance restructuring at this university, I was able to examine organizational change in a higher education setting in which there is an extensive number of external stakeholders and state involvement. This study contributes to the literature on governance because it presented results on multiple state relations to a university and their influences on governance restructuring.

The global pressure that is impacting higher education in the British Caribbean and causing restructuring may also be impacting governance in other sectors in the region. Reforms in higher education governance should be studied comparatively with general reform agendas such as those occurring in corporate governance (Goedegebuure & Hayden, 2007) to determine if parallels exist. This study could provide the basis for such a comparison.

The study may also be useful for policymakers concerned with governance in higher education. For example, the study highlighted the influence of external stakeholders on restructuring. Fifteen governments are involved in the governance and funding of the UWI. Conducting a study of governance restructuring at this university allows for an exploration of organizational change in a higher education setting in which there is an unusual number of external stakeholders and state involvement. The findings may be used by policymakers as a guide to initiating higher education governance change in a complex higher education environment.

### Delimitations

As with all research, this study had some initial delimitations. First, the site of this case study was the UWI. Therefore, the data and findings are institutionally specific.

Second, the researcher in this study is an employee at the institution. There was therefore the potential for bias in the study. However, to reduce the potential for bias in my conclusions, another qualitative researcher reviewed a sample of my data.

Despite being an employee of UWI, I adopted the role of outsider researcher (Gioia et al., 1996). However, being an insider helped me to interpret the subtleties in the data that may not have been readily gleaned by an outsider. My position in the institution also allowed easier access to relevant participants and documents.

Third, organizational change process studies are best conducted as longitudinal real-time research. The longitudinal real-time approach allows the researcher to capture subtleties and nuances through observations. This study was conducted shortly after the conclusion of the 2004/08 restructuring and therefore did not benefit from the use of longitudinal real-time observations, but because of the restructuring was recently concluded, it offset the disadvantages of retrospective interviewing.

Consequences of an organizational change form another important dimension. Analyses of consequences are best conducted between five to seven years after the change event (Kezar, 2005). This study examined a recent governance restructuring and that prevented an analysis of the consequences of the restructuring.

Despite these initial delimitations, the study was important because it presented a comprehensive understanding of governance change in higher education. The study therefore provided policy makers and institutional leaders with a comprehensive study of a governance change. Furthermore, the present study provided a framework for future studies to explore organizational change more broadly.

### Organization of the Study

The present study is organized around six chapters. Chapter One introduced the topic of the study, the research questions, and the significance of the study. Chapter Two provides a brief history of the UWI and previous governance changes that have occurred at the institution. The third chapter describes the methodology of the study. The Fourth Chapter is a bridge chapter that links the first three chapters and the research questions to Chapters Five and Six. Chapter Five is

the first of two manuscripts examining the antecedents of governance restructuring. Chapter six is the second manuscript and it examines content of the restructuring of governance, specifically focusing on the scale and scope, and the underlying direction of the change.

## Chapter Two

### Background and Setting

The purpose of this study was to examine the 2004/08 governance restructuring at the University of the West Indies (UWI). The focus was on exploring three dimensions of organizational change: the factors that led to the change in governance, the content of the change, and the change process. The role and influence of internal and external stakeholders was examined for each dimension. To place the current study in an appropriate context, it is important to understand the UWI. I start by offering a brief history of the University and an explanation of how it is organized. I then describe two previous governance restructurings that took place in 1984 and 1996.

### Brief History of UWI

In the 1930s, the colonies of the British West Indies were experiencing severe socioeconomic hardship. Much of the hardship was the result of increases in the population, poverty, and unemployment coupled with a growing sense of despair (Layne, 1986). The socioeconomic conditions rendered the colonies less attractive and resulted in an investigation by the Royal Commission of the conditions of the colonies. The Commission recommended that mechanisms be put in place to foster the political advancement of the region and that education should form one of the building blocks of that advancement (Brathwaite, 1958).

In 1943, the Asquith commission was charged with a mandate to determine how to establish higher education for learning, research and development in the British colonies (Sherlock & Nettleford, 1990). Also in 1943, the Irvine Committee, serving as a subcommittee of the Asquith Commission, was assembled to investigate higher education in the colonies of the British West Indies. At the end of its investigation, the Committee recommended the establishment of a single university to serve the entire British West Indies region. More importantly, it recommended that the governance structure of the University be similar to British universities. By adopting this model, the university would have a Council and a Senate. The University Council would be comprised of representatives from the governments of each of the colonies in the region and academic administrators of the institution. The University Senate would be comprised of academicians whose responsibility was academic affairs.

The Irvine Committee further recommended that the University should first be established as a university college affiliated with a British university for an apprenticeship

period. This approach allowed the institution to mimic academic standards of the parent university, thereby building public confidence and gaining credibility. Once the university had gained public confidence, it was also recommended that the institution should obtain its own charter and function autonomously with its own Council and Senate.

The recommendations were adopted and in 1948, the University College of the West Indies (UCWI) was established as an affiliate of the University of London. In 1949, the UCWI was incorporated by Royal Charter. His Majesty, King George VI, became the Visitor of the College and Her Royal Highness, Princess Alice, Countess of Athlone became the Chancellor. According to Preston (1986), “the relationship with the University of London gave the fledgling University College a sense of tradition and a ready source of intellectual energy” (p.3).

The University of London became the parent university and students graduated with University of London degrees. The education offered was intended to produce “an indigenous elite culturally and intellectually similar to the colonial administrators and willing to work in harmony with them” (Pratt, 1977, p. 531). The newly established entity was considered a transplantation of the British model of education (Drayton, 1981) and the governance structure was organized around the British model with departments, faculties, a Senate and a Council (Springer 1967).

From its inception, the UCWI was owned and governed by the governments of the English speaking Caribbean. A good relationship existed between the governments and the University (Springer, 1967), and the governments and politicians of the region, not having experience with the conduct of a university, deferred entirely to the University Council and the Senate.

The University Council became the ranking element of the governance structure. Its membership consisted of representatives from the contributing (funding) governments of the colonies, representative members of the academic body of the University, the guild of graduates (students union), nominees of the Chancellor, and the Inter-University nominees and it functioned under the chairmanship of the Chancellor. Because the UCWI had an affiliate relationship with the University of London, the Inter-University Council in the United Kingdom nominated two senior academics to sit on the UCWI’s Council. The University Council met once or twice per year and Springer (1967) notes that at these meetings, although each contributing government had representation on the Council, members approached their council role as

individuals with responsibility for the governing of an autonomous university rather than representing the position of their governments. In the interim periods, the University Council delegated its responsibility to the Finance and General Purpose Committee (F&GPC).

Initially, the UCWI consisted of a single campus in Jamaica. The land was donated by the government of Jamaica as the site for the university while the British government contributed the capital for buildings and equipment through the United Kingdom Colonial Development and Welfare fund. However, it was created as a university to serve the region of the British Caribbean. It therefore had the status of a “Regional University” and in its early years, it served 13 countries that were all colonies.

It is important to note that the early years of the UCWI coincided with a period of discussion about creating a West Indian Federated State. The new University College was thought of as a federal institution established just ahead of the West Indies Federation (Springer, 1967). It was therefore a symbol of regional unity among colonial states and represented the prospects of the federal unity. This federal unity among the islands became a reality in 1957 with the establishment of the West Indian Federation. The governance structure of the University College remained the same but the financing of the institution now came through the Federal Government.

In 1960, a second campus was formed in Trinidad. The Imperial College of Tropical Agriculture in Trinidad was incorporated into the UCWI. This was the first major expansion of the UCWI (Report of the Chancellor’s Task Force on Governance at UWI, 2006). Then in 1962, the University of the West Indies (UWI) came into existence as an independent autonomous institution with its own Royal Charter, and relinquished its affiliation with the parent institution, the University of London. This meant that the UCWI gave way to the new entity, the UWI. The result was a shift in governance arrangements because the nominees from the Inter-University Council in the United Kingdom did not serve on the Council of the new entity. However, the other elements of the governance structure were maintained.

The establishment of the UWI as a single autonomous entity was followed by the formation of a third campus in Barbados. The formation of campuses in Barbados and Trinidad was due in part to the “legitimate desire of the governments of Trinidad and Tobago, and Barbados to have a recognizable university presence in their countries” (Report of the

Chancellor's Task Force on Governance at UWI, 2006, p.2). The UWI became a multi-campus university.

Coincidentally, that same year (1962) the Federal Government was dissolved, Guyana withdrew from the governance structure of the University, and Bahamas joined in financing and governing the institution. The structure of power and politics had changed among the countries of the region but the UWI maintained its autonomy and structure even with one country exiting and one entering. For the University, the one difference between the pre-federation and the post-federation period was that in the post-federation it became the University of the West Indies with no more ties to the University of London.

Over the years, the University of the West Indies has remained quite autonomous. Governments' deference to the University was such that it was treated almost as a sovereign institution with a regional education purpose. This attitude can be traced back to the terms and conditions of its inception (Springer, 1967). Because the University was founded during the colonial years with much assistance from the United Kingdom, the institution was shielded from the control of regional politics and political intrusion. In addition, the Royal Charter was the basis of its constitution and to some extent that shielded the institution from casual and hasty amendments to its constitution (Springer). The University was thus established as an autonomous institution and has developed relations with the governments of the region that respect its autonomy but are still involved in governing the institution. This arrangement gave the University freedom to deal directly with governments, foundations, international organizations, and other academic institutions as its charter permitted.

Although the UWI functioned autonomously, it was still subject to outside control through the University Grants Committee and to a lesser extent through its Council (Lewis, 1963). The University Grants Committee (UGC) represented the Governments and met every three years to determine the financial allocation for the institution. Thus, the financing of the UWI by the contributing governments was through the UGC. Although there was an agreed upon allocation from the various governments, the representatives (typically Ministers of Education) had the power to bind their governments.

Once the UWI became an independent institution, the governments that funded the university nominated 13 of the 44 representatives that made up the Council. However, because Council proceedings were secret, a Minister was not expected to show the Council agenda to his



cabinet colleagues before attending a meeting (Lewis, 1963). Therefore, the governments' interference in decision-making at the level of the University's Council was almost nonexistent.

In the post-1967 period, two other countries gained contributing country status making a total of 15 contributing countries. Recall that there were campuses in three countries (Jamaica, Barbados, and Trinidad and Tobago). University Centers were set up in the 12 contributing countries that did not have a campus. These Country Centers managed the academic and administrative affairs of the University in their respective countries. The expansion created a more complex governance structure. Despite having three campuses and 12 Country Centers, the operational management was still quite centralized. For example, there was a central academic board and an appointments committee for the entire university.

The basic structure for the UWI remained essentially intact between the time of its founding in 1948 except for changes to the Charter and Statutes in 1972. The revision of the Charter and Statutes in 1972 addressed the exiting of Guyana as a contributing country and the consolidation of the campuses' control of academic and financial matters (Chancellor's Task Force on Governance at UWI, 2006). However, two major restructurings have occurred since 1972, one in 1984 and the other in 1996. As a background to the study of the 2004/08 restructuring, I now provide a synopsis of the 1984 and 1996 changes.

#### Governance Restructuring at UWI: 1984 and 1996

Four significant changes were made to the governance structure of the University in 1984. The new structure devolved authority from a central University structure to the campuses. First, each of the three campuses (Jamaica, Barbados, and Trinidad and Tobago) now had its own Campus Council as the principal management body. By virtue of having its own Council, each campus also had its own Campus Grants Committee, and Campus Finance and General Purpose Committee because these committees had responsibilities delegated to them through the Campus Council. Individual campuses had their own campus appointments committee with responsibility for appointing senior administrative staff and academics below the level of senior lecturer.

Second, the three campuses were allowed to manage their academic affairs with final authority on syllabus and curriculum vested in the Campus Academic Board. This meant that each campus had its own academic board with authority delegated through a campus senate.

Third, funding that was previously allocated through the UGC became the domain of the Campus Grants Committee at each campus. As a result of these changes, the campuses became

more autonomous. The multi-campus nature of the institution meant that there was a parallel system of University and Campus boards, councils and committees (Louber, Hughes, Ali, & Bourne, 1988). That is, there were campus level governing bodies that had responsibility for functions and decisions on each campus, the University level system had similar governing bodies, and continued to provide oversight for the 12 Country Centers and the three campuses.

The final major aspect of the restructuring was the establishment of an area of responsibility and authority called Centre, a Centralized Administration. Centre/Centralized Administration fell directly under the control of the Vice-Chancellor and the University committees were included in this office. The concept of Centre/Central Administration was in keeping with idea of a federal government in which some functions belong to the local or campus level while others are under the purview of the central government (Marshall, 1986).

One other change that occurred outside of the 1984 restructuring but discussed as a part of the restructuring exercise was the separation of the function of the Principal of the Jamaica Campus from the Vice-Chancellor. The governance structure of the UWI had a Principal at the Trinidad and Tobago and Barbados campuses but the Vice Chancellor retained headship of the Jamaica campus in addition to fulfilling the function as Vice-Chancellor. In 1988, the University Council agreed to uncouple the function of Principal of the Jamaica Campus from the Vice-Chancellor. The Office of the Principal of the Jamaica Campus and the Office of the Vice-Chancellery assumed different roles and responsibilities. The 1984 restructuring along with this change in 1988 was the basis of governing the UWI in the late 1980s and early 1990s. However, there were a number of problems that arose from these changes along with changes that were occurring in the environment. Collectively, these prompted another restructuring in 1996.

In 1996, the UWI attempted to respond to its many publics by creating a new governance structure. This change was rooted in the University's desire to be more accountable to its constituencies especially in the countries with Country Centers. The task force charged with recommending changes was asked by the Chancellor to place specific emphasis on achieving cost effectiveness, increasing the speed of decision making, clarifying lines of authority and responsibility, achieving greater transparency and accountability, improving communication between the Centre/Central Administration and the rest of the university, improving the outreach sector of the University, and creating the conditions for greater participation in the management of the UWI by outsiders (Wade, 1997).

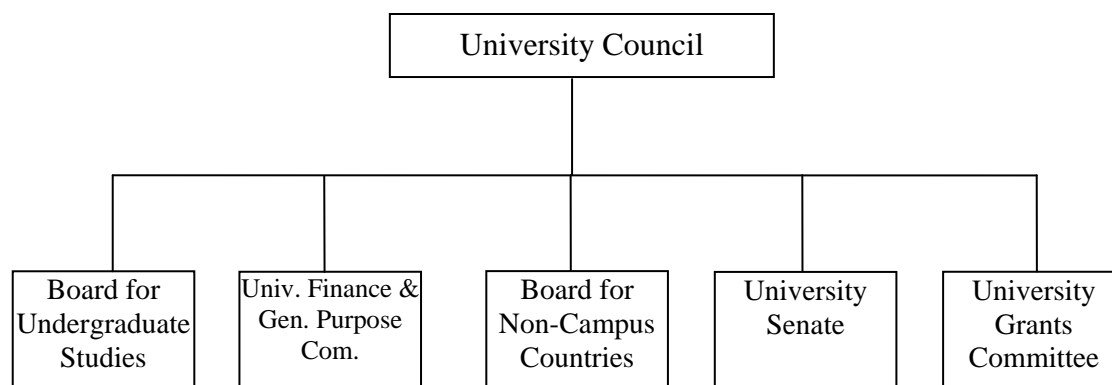
One important change that resulted from the restructuring in 1996 was the abolition of the University Senate. The University Senate was replaced by three boards: the Board for Non-Campus Countries and Distance Education, the Board for Undergraduate Studies, and the Board for Graduate Studies and Research. A Pro-Vice Chancellor was responsible for each board, and reported to the Vice Chancellor and University Council. However, it was later decided that the University Senate should be retained but with a highly restricted membership. Previously, the University Senate had consisted of professors, senior librarians, non-professorial representatives, and all Deans. In the new composition, there were no professors or Deans, *ex officio*, and the new University Senate only had a few academic representatives (Wade, 1997).

At the University Council level, there was an increase in the lay composition of the membership. This was an attempt to involve more industrial, commercial, and professional representation in the decision-making process of the institution. There was a general reduction in the number of academics who served on committees and the new thrust was on having more laypersons. Wade (1997) notes that the University Strategy Committee, the Board for Undergraduate Studies, the Board for Graduate Studies and Research, and the Board for Non-Campus Countries and Distance Education were “so constituted that none was representative of any interests or groups in such a way as to constitute campus, faculty or professional blocks, and to the extent that representatives of such interests appear as members, they [did] not constitute a substantial element (p. 68).” These new boards were viewed as the instruments through which the UWI would overcome inefficiency and cumbersome bureaucracy.

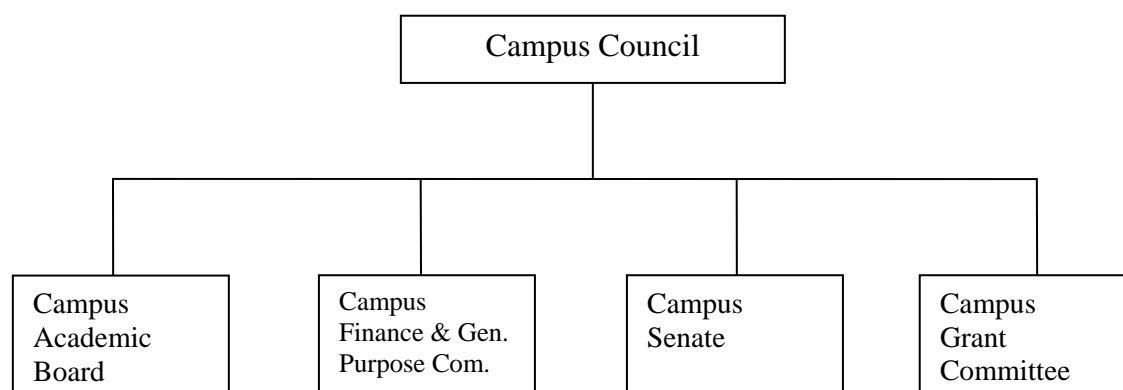
To contain costs, the number of departments and faculties was reduced. For example, at the Barbados Campus, the Faculty of Arts and General Studies was merged with the Faculty of Education to create one faculty thereby reducing the number of departments from six to three. Overall, the number of faculties was reduced from eight to six.

The Centre/Central Administration as an administrative branch was strengthened. Centre/Central Administration was granted the responsibility for strategic planning through a new University Strategy Committee. This removed strategic planning from the campuses and made it a Centre/Central Administration function. The University Strategy Committee had significant representation from the contributing countries and was the body that approved the University’s Five Year Strategic Plan. The budget cycle became annual as opposed to triennial and the budget was linked to the Five Year Strategic Plan.

The operationalizing of the Board for Non-Campus Countries and Distance Education was driven by a desire to respond to the many criticisms that were emanating from those countries without a campus. These countries owned and funded the institution but were not receiving the full benefits of their financial commitments to the UWI. In addition, these countries had established community colleges and wanted articulation arrangements with the UWI. The Board for Non-Campus Countries and Distance Education became the planning forum for servicing these countries. Through this Board, distance education became a modality of delivery of higher education to the countries without a campus and a Tertiary Level Institutional Unit established within the UWI facilitated the development of articulation agreements with community colleges. To ensure that the policies and programs of the institution were the ones needed in these countries, two representatives from among the Heads of the UWI Country Centers served on this Board. The UWI's response was in keeping with the accountability ethos that was becoming pervasive in the management of public institutions. Figures 2 and 3 depict the post-1996 governance system at the university and campus levels respectively.



*Figure 2. Boards and Committees - University Level Governance Post 1996*



*Figure 3. Boards and Committees - Campus Level Governance Post 1996*

Accountability as a driver in the formation of the Board for Undergraduate Studies was evident in some of its new responsibilities. For example, the Board took responsibility for quality assurance in programs and established a quality assurance unit within its operations. Although there was a devolution of academic responsibility to the campuses through the respective campus academic boards, the Board for Undergraduate Studies was responsible for monitoring and quality control of programs on the three campuses and there was an *ex ante* consultation requirement imposed on the campuses for programs (Wade, 1997). Through this mechanism, the institution guaranteed its constituencies that it was maintaining a high quality and relevant education to students.

Thus, the re-structuring of the UWI in 1996 was a signal that the UWI had embraced the philosophy of accountability and was responsible to the community it served. Through the Pro-Vice-Chancellors, the Vice-Chancellor was holding his office accountable to the contributing countries. To achieve this, the Centre/Central Administration was strengthened, the committee system re-organized, more lay persons became involved in the governance, and the overall structure of governance became leaner.

## Chapter Three

### Research Methodology

The purpose of this study was to examine the 2004/08 governance restructuring at the University of the West Indies. The focus was on exploring three dimensions of organizational change: the antecedents, the content, and the change process. The influence of internal and external stakeholders was examined for each dimension. Based on the literature on governance in higher education and on organizational change, the study was guided by three research questions:

1. What were the antecedents of the new structure?
  - a. How did the external stakeholders influence the antecedents?
  - b. How did the internal stakeholders influence the antecedents?
2. What was the content of the restructuring?
  - a. How did the external stakeholders influence the content?
  - b. How did the internal stakeholders influence the content?
3. What was the process of the restructuring?
  - a. How did the external stakeholders influence the process?
  - b. How did the internal stakeholders influence the process?

To achieve the exploratory and descriptive purpose of this study, I used a qualitative case study approach. Qualitative research is used when rich thick descriptions are required to better understand the phenomenon under investigation. This form of research goes beyond survey data; it captures and helps to clarify particularities and peculiarities of a specific issue or phenomenon (Ambrose, Huston & Norman, 2005) and it has the capacity to capture meaning from participants, how context influences outcomes and actions, unanticipated discoveries and influences, the process by which events and actions occur, and complex causal relationships (Maxwell, 1996). Therefore, to capture these aspects I selected qualitative research as the methodology.

The case study approach investigates a contextualized contemporary phenomenon within specified boundaries (Yin, 1994; Merriam, 1988). Despite the fact that case study methodology has boundaries that are limited to the specific case under consideration, and that it is used to investigate a specific occurrence, it is a useful research design for ultimately illuminating a general issue (Merriam; Stake, 2000). I therefore used the case instrumentally (Stake, 1995) to explore and illuminate the general issue of governance restructuring.

In this study, the bounded entity was the UWI. The contextualized phenomenon was the 2004/08 governance change at the UWI. The general issue that was ultimately illuminated was the factors involved in the restructuring of governance and in organizational change in higher education. The UWI was purposefully selected as the site of the investigation for four reasons: (a) because the UWI undertook governance restructuring in 2004/08 and little or no empirical investigations have analyzed the reason for the restructuring and the manner in which it has been conducted at the UWI; (b) few studies have examined the internal and external stakeholders role and influence in the restructuring of governance; (c) to examine and document a recent restructuring of governance in a multi-state and multi-campus environment; and (d) because there is a dearth of literature in the English speaking Caribbean on governance restructuring in higher education.

This chapter describes the methodology and procedures used in the study. Specifically, I describe case study as a research design, the epistemological issues and assumptions associated with this investigation, the sample selection, instrumentation, data collection and analysis procedures, and the accuracy and trustworthiness of the data.

### The Case Study Design

Case study research designs are typically used to answer research questions about “how” and “why” especially in situations where the investigator has little or no manipulative control. The design is well-suited to the exploration of organizational research questions that do not readily fit with experimental design (Lee, 1999), and in this regard it has been used in studies on decision making, implementation processes, and organizational change (Yin, 1994). One critical determinant to using case study method is based on the assumption that context and phenomenon are tightly interconnected and should be treated together (Sporn, 1999).

Case study research can be single- or multiple-case investigations and can have numerous levels of analysis (Yin, 1994). Single-case research design can be used in instances where there is an opportunity to analyze a phenomenon in a previously unexplored or sometimes inaccessible setting (Yin). This study was a single-case research design which focused on understanding the dynamics of governance restructuring within a single setting.

The decision to adopt a single-case design strategy was based on the uniqueness (Yin, 1994) of the UWI’s governance structure (15 nations play a role in the governance of a single institution). The uniqueness of the structure makes context an important consideration in the

restructuring. Linking the phenomenon of governance restructuring to context was necessary to gain a holistic picture and was a factor in the choice of case study design.

Single-case study can be holistic or embedded. With holistic case studies, one institution is used as the only case. The embedded approach is used to study different units within an institution as multiple cases (Yin, 1994). For this study, I adopted a holistic approach because the restructuring was studied as a single case.

The UWI is the largest university in the British Caribbean region. It is central to the economic, social, political, and cultural development of this region and therefore it is viewed as a very important institution. The significance of the UWI to the region and the uniqueness of its structure made it worthwhile to use a single-case design. Therefore, I felt that the holistic single-case study design was most appropriate for this study.

Single-case designs are criticized for a lack of transferability. Transferability was not the purpose of this study, but the phenomenon of restructuring is of such importance in higher education that this study may be of general use and applicable in other post-secondary settings (Punch, 1998).

A single-case study can be designed in a way that allows the investigator to discover variables that are important in the history or development of the subject or entity (Yin, 1994). When single-case studies are designed this way, they allow the researcher to move beyond simple descriptive presentations. Sometimes principles emerge that are not context specific and may have some transferability. In studying the consequences of radical change in governance at a traditional religious women's college, Kezar (2005) discovered general principles that had transferability and created theoretical propositions from the data that were aligned with political, cultural, and institutional theories of radical change. Given that governance restructuring in higher education occurs regularly, it is possible that the findings of this case study, although based on a university with an unusual structure, may have some transferability to other universities, especially multi-campus institutions or have theoretical significance.

#### Epistemological Issues and Assumptions

This study was grounded in the interpretive paradigm. The interpretive paradigm is associated with qualitative process research strategies such as ethnography, phenomenology, and case study. Over the past three decades, there has been an increase in management and organizational researchers' interest in qualitative studies that adopt the interpretive research



tradition (Prasad & Prasad, 2002). The increase in the interpretive approach stems mainly from a growing dissatisfaction with positivistic methods and procedures as a means of producing knowledge (Sandberg, 2005) and the limitations of the positivistic approach for understanding organizational phenomena (Denzin & Lincoln, 1994; Prasad & Prasad)

From an ontological perspective, there is recognition of multiple socially constructed realities that are complex and indivisible into discrete variables. The researcher accepts the role of constructing and co-constructing meaning. In the process, the viewpoints, thoughts, feelings, experiences of the participants are interpreted and understood by the researcher as accurately as possible (Johnson & Christensen, 2000).

To achieve this, I ensured that the internal stakeholders and the external stakeholders' frames of reference and perspectives were reflected in the choice of data sources, data collection (Rajagopalan & Spreitzer, 1996) and in the analysis of data. The intent was to capture the experiences of those involved in the restructuring and use these actors' meaning to understand the restructuring phenomenon. I used interviews to capture the perception of these two (internal and external) groups of stakeholders and I located the antecedents, the content, and the process of the restructuring within their perceptual frame. Throughout the data collection and analysis process, I kept their perspective central.

The assumption about the interpretative scheme is that human understanding and action rely on the interpretation of information and events experienced by the participants (Rabinow & Sullivan, 1979). It is from this interpretation that socially constructed meanings were assigned to the restructuring event. As an employee of UWI for approximately 15 years, I was grounded in the culture of the organization and used this background to assist me in understanding the participants' views. However, I made every effort to suspend any *a priori* assumptions and focus my attention on the conceptual lenses of the participants in the study so that I could gain their understanding and interpretation of the restructuring.

#### Procedure

##### *Sample Selection*

To achieve the sample needed for this study, I used a combination of purposive and network selection. Purposive sampling is used in qualitative research to select the participants, the site, and the documents that will best help the researcher understand the phenomenon and answer the research questions (Creswell, 2003). This sampling technique relies on the

researcher's judgment to arrive at a typical sample (Ary, Jacobs, & Razavieh, 2002) and is used frequently in case study research in which researchers want to study typical or critical cases (Whitley, 2002). As an employee of the UWI, I knew some of the key players involved in the restructuring. I therefore used my experience and knowledge to select a preliminary sample of participants to be interviewed.

The sample of participants for the study was drawn from a population of persons within the UWI and persons external to the institution. To be selected as a participant for the study, individuals had to have an in-depth knowledge about either the reason for the governance change, and/or the content of the change, and/or the change process. To determine the participants who had an in-depth knowledge of one or more elements of the change, I developed a list of interviewees based on my own knowledge of the institution and from restructuring documents that list persons as participating in the restructuring activities.

An attempt was made to ensure that there was representation from as many of the stakeholder governments as possible; that is, individuals from as many of the 15 member nations who were familiar with the UWI's governance prior to the restructuring, what occurred during the change process, and the end product of the restructuring effort. This ensured that the contributing countries' voices were heard through their governmental representatives. I established contact in each contributing country through the Ministries of Education or the Minister of Education Office to determine the persons who were familiar with the governance change and the government's position during the change. I then conducted some interviews by telephone and some in person.

It was difficult to gain interviews with some government representatives. In some cases, the minister had demitted office because of a change in government. In the end, six different country's views were represented through interviews; two from countries with a campus and four from countries without a campus.

Internal stakeholders constituted another source of interview data on the restructuring. To ensure comprehensiveness of data, I prepared a list of persons who are employed by the UWI across the three campuses and countries without a campus who I felt were knowledgeable about the governance restructuring. The initial list contained persons from three groups: the senior management of the University; middle level academic managers, including academic deans,

department heads, and heads of Centers in countries without a campus; and senior campus administrators.

To contact potential internal participants, I used the University's information and directory listing. Contact information for the external stakeholders who were knowledgeable about the restructuring was ascertained from Government Ministry's websites and discussions with my colleagues in different countries.

Network selection or snowball sampling is a strategy in which the initially selected participants suggest the names of others who are appropriate for the sample and the latter suggest others until there is data saturation. This technique is used particularly when potential respondents are not centrally located at one site (Ary, et al., 2002). At the conclusion on each interview, I discussed with the participants the names of other possible participants who might have information relevant to the study and other documents that may contain useful data. This approach was useful in establishing contacts with participants.

Potential participants were contacted by telephone or email to ascertain if they were willing to participate in the study (an initial interview) and if they would agree to a possible follow-up interview. The final sample was comprised of 22 participants who agreed to participate. However, by the end of the 22<sup>nd</sup> interview, I also sensed data saturation.

### *Documents*

Documents were the second source of data for this study. Documentary information was gathered from published and unpublished materials. Documents may be a primary or secondary source. Primary sources are those in which the originator of the document is reconstructing first-hand experience with the phenomena of interest (Ary, Jacobs, & Razavieh, 2002). For this study, examples of primary sources were internal correspondence, internal memos, position papers written by key UWI players in the governance change, and the final report written by the Chancellor's Commission on the Governance of UWI. I was assisted with the document selection by the secretary of the governance restructuring secretariat.

Secondary sources are reports of a phenomenon by those who have not directly experienced the phenomenon (Ary et al., 2002). An example of a secondary source of data was non-verbatim minutes of governance restructuring meetings. In judging the value of the documents from these sources of data, I asked myself whether the document contained information or insights relevant to the research questions. Based my own reflections, I prepared a

preliminary list of primary and secondary source documents to review. I then asked those participating in interviews if they knew of other documents I should include in the study and used their responses to expand the sample of documents. For example, one document that turned out to be extremely useful was the restructuring implementation schedule.

#### Instrumentation

To gather the data needed to answer the research questions, I developed two interview protocols (one for internal stakeholders and the other for external stakeholders) and an instrument for the analysis of documents. The interview instruments consisted of a list of semi-structured questions. I used these questions as a guideline to gain a deeper perspective of the governance change. The first part of the interview focused on the participants' views of the precipitating reasons for the change in governance. The second phase solicited views on the process of the restructuring, and in the third section, I gathered data on the content of the restructuring. A complete copy of the interview protocols can be found in Appendix A. Given that the interviews were conducted across different groups of people in different professional capacities, some questions on the instrument were adjusted for some interviews.

The instrument for the document analysis was a cross-reference list. On that list, I created three categories: antecedent activity, content, process activity. I then assigned language in the documents to one of these categories and noted whether the language related to the role and influence of internal stakeholders or of external stakeholders. Using this method, I kept track of the common categories of concepts found in the documents, and it helped in creating a corroborating link to the themes emerging in the interviews. The document analysis protocol appears in Appendix B.

#### Data Collection

Before collecting any data, I first sought approval from the Institutional Review Board for Research Involving Human Subjects (IRB) to conduct the study. A copy of that approval letter appears in Appendix C. Once I obtained approval, I proceeded with data collection.

Interviews and documents were the two main sources of data. The data collection process began with seeking out the documents earmarked for review. First, I contacted the University registrar to gain access to a list of documents that I wanted to review initially. I traveled to Jamaica to review documents and files pertinent to the governance restructuring.

Throughout the data collection process, I remained mindful of documents that may not have been on my list but may have emerged during my searches. One way of doing this was to use the references from documents as the basis for seeking out other documents not included on my list. As I encountered such documents, I added them to my list.

For the interview aspect of the data collection, I initially contacted the interviewees by telephone. I explained the nature of the study and probed to find out how much they knew about the governance change. For example, I asked them what role they played in the governance change and how involved they were in the change. Once I was satisfied that the participant could provide rich, thick data in an interview, I arranged for a face-to-face or a telephone interview. In advance of all interviews, I provided participants with a copy of the interview protocol, and a copy of the Informed Consent form. All participants were asked to sign an Informed Consent form signifying their agreement to participate in the study.

At the beginning of each interview, participants were reminded of the purpose of the study and I clarified any questions that they had about the interview protocol. I then conducted in-depth interviews with participants. These interviews were ethnographic-style interviews (Spradley, 1979) in that they were semi-structured and allowed open-ended probes. I allowed and encouraged informants to use their own terminology and to steer the interview towards issues and concepts that best represented their experience (Gioia & Thomas, 1996) of the change in governance that occurred.

All interviews, except one for one participant who emailed me his/her responses, were audiotaped and transcribed verbatim. However, during the interview, I took notes, sought clarification, and asked supplementary questions. As the data collection proceeded, some participants were interviewed more than one time so that I could refine the interpretation of data, seek clarification and explanations, and ask follow-up questions.

At the end of each interview, I first read my notes to the participants to ensure that I had captured the essence of the discussion. Second, I encouraged a free discussion if I sensed that the interviewee wanted to talk more about the UWI's governance. This discussion was also taped. Finally, I asked the participants to suggest other persons to interview and other sources of evidence. This technique was used to ensure that important elements of the data were not excluded.

## Data Analysis

Data analysis is the process of organizing the interview transcripts, notes, documents, and other materials acquired during a study to present the information to others (Ary, et al., 2002). In this study, the analysis focused on addressing the research questions posed in the study.

First, document analysis was conducted in an attempt to gain insight into the governance change phenomenon. Second, interviews were conducted to understand the subtleties associated with the change and also to gain the emic perspective of the persons internal and external to UWI.

Data analysis began as soon as I had access to documents and the first interviews were completed. Document analysis is a research method applied to written or visual material for the purpose of identifying specified characteristics of the materials (Ary, et al., 2002). Documents were analyzed with a focus on antecedents, process and content of the restructuring.

As I reviewed and analyzed documents, I placed excerpts from them under the relevant category. For instances, where there was a statement about the reason for the restructuring such as “in view of the competitive environment [in which the University exists] the University needed a more efficient governance” was placed under antecedent because it signaled one of the reasons for the change was the need to be more efficient in the functioning of governance. Using this approach, I created a list of antecedent, content and process excerpts from the documents. As the data collection proceeded, document analysis and interviews occurred simultaneously and documents were used primarily to corroborate the themes emerging in the interviews.

At the end of each interview, I scheduled time to write additional field notes and reflections. To capitalize on the immediacy of the data, I used a 24-hour rule for conducting preliminary analysis (Gioia & Thomas, 1996). That is, I replayed the interview and began analyzing the data and making additional notes within 24 hours of the interview. This preliminary analysis ensured that the data collected allowed me to think about possible probes to include in the next interview.

As soon as the verbatim transcripts were available, I began analyzing and coding the data for patterns, themes, and categories. In qualitative research, the collection of data and analysis occurs simultaneously. Thus, recording and tracking analytical insights during data collection was part of the fieldwork.

Coding is a way of allowing the researcher to simplify and focus on some specific characteristics of the data (Ary, et al., 2002). Extra caution was given to coding in order to preserve the meaning of actual comments. I used color-coding to represent different views from respondents and the research questions that they helped to answer. Thus, each research question (antecedents, process, and content) had a different color. As I coded, I assigned the excerpts from the interviews as originating from internal or external stakeholders. This enabled me to consider both perspectives when interpreting the findings.

Despite recording the interviews, I made field notes during the interviews. I reviewed the field notes frequently. The field notes included my own reflections on the data and words and phrases from participants that caught my attention. Frequent reference to the field notes assisted me in the coding process.

In the coding process, themes were identified within each of the three categories (antecedents, process, content) based on the language in the interviews. For example, if a respondent said “If I were to put my finger on one thing [one driver of restructuring], it would be the whole question of the regionality of the University. I think there’s a very legitimate concern then [1996] and now that we are fragmented,” it was coded as fragmentation under the category of antecedent. If a participant indicated that “the individual territories [states] realized that they absolutely had to have a critical mass of well-educated, thinking people to drive that effort at the local level.... and if our people are going to survive and compete effectively, it means we should have more of our nationals educated at those [university] levels,” it was coded as need for access and placed as an antecedent.

As the analysis proceeded, I revisited the literature on organizational change and governance to determine if the emerging themes were consistent with the literature on antecedents, content, process of change and the stakeholders’ role in governance change. In instances where there were distinct differences between the literature and the finding, I reviewed the data and the field notes and sought corroboration from the documents. In some cases, I used the member check technique and asked the participants if my analysis corresponded with what they had said. If there were discrepancies, I resolved them in a manner that reflected the participant’s meaning.

The analysis of documents and interviews provided a form of triangulation of data. Triangulation is the use of multiple sources of data and/or multiple methods (Ary, et al., 2002).

The combination of document analysis and interviews constituted both method and data triangulation. It yielded two outcomes: (a) the data collected from one procedure confirmed the data collected from the other procedure; and (b) the combination of methods resulted in more comprehensive evidence. Furthermore, I used constant comparison (Glaser & Strauss, 1967) to triangulate comparative data from different participants to discern shared understanding and meaning of the governance reorganization.

#### Accuracy and Trustworthiness of Data

Accuracy and trustworthiness of data and findings are important to qualitative studies (Greene, 2000). To ensure accuracy and trustworthiness in this study, I used: (a) audio-recording and verbatim transcription, (b) triangulation, (c) and expert review.

Audio-recording interviews permits analysis and re-analysis of the data. It also makes the data and the analytic conclusions drawn from them open to public scrutiny (Patton, 1991). To ensure the accuracy of the data collected, 21 of 22 interviews were audio-taped and transcribed verbatim. One participant emailed his responses.

Triangulation was also used to enhance the trustworthiness of the analysis. Triangulation involves the use of multiple data points to determine themes from the data (Creswell, 2003). To obtain multiple data points, I used interview sources internal and external to the UWI and reviewed documents from multiple sources. I used a cross-referencing system to relate findings emerging from interviews to documents. Through triangulation, I was able to report the findings with more confidence.

Expert review is one way of enhancing the credibility and trustworthiness of findings in qualitative research (Creswell, 2003). Using an expert to corroborate the coding of the data was another means of increasing the accuracy of the findings. To ensure that the themes fitted the language, a sample of my transcripts was coded by a qualitative researcher. I also discussed the data and my findings with another qualitative researcher to ascertain his/her interpretation.

Member checking is another way of increasing the trustworthiness of the data. Miles and Huberman (1994) define trustworthiness as assuring the truthfulness of the data collected in a qualitative study. I selectively sent copies of the findings to some of my participants as one way of member checking.

Throughout the research process, I tried continually to be aware of my own preconceptions. This was an important consideration because I was employed at the UWI during



the restructuring. As a researcher, I was concerned about my own subjective biases affecting my interpretation of findings. To lessen this possibility, I tried to bracket and hold in exclusion my own biases throughout the study. To achieve this, I engaged in dialogue with UWI colleagues who were knowledgeable about the change. In addition, I used self-reflection as a means to resolve differences between my own suppositions and the emerging empirical evidence.

In conclusion, interviews and documents were the most appropriate means of gathering data to answer the research questions posed in this case study. I was careful to include a wide range of views and perspectives within each of these two means. I ensured that the sample, the data collection, and analysis mapped closely to the research questions. In the end, this approach allowed me to answer the research questions posed in this study.

## Chapter Four

### Summary of Findings

This study examined the restructuring of governance in higher education at the University of the West Indies. Using an organizational change framework, the antecedents, process, and content of the change were examined. In this chapter I (a) provide an overview of the findings that emerged from the data analysis; (b) provide “code maps” (Anfara, Brown, & Mangione, 2002) of antecedents, process, and content of the restructuring that capture the emergence of themes and categories as the data were analyzed; and (c) create a bridge between the first three chapters and the final two chapters. The two final chapters are two scholarly manuscripts that I am permitted by the University to write in lieu of the final two traditional dissertation chapters.

### Discussion of Findings

The analysis of the data for each of the elements I examined revealed a number of different themes. These themes were interpreted using a variety of theories and perspectives as lenses of analysis.

#### *Antecedents of Restructuring*

Three categories of antecedents emerged from the data: organizational, environmental, and relational antecedents. These categories each consisted of a number of sub-themes. The organizational antecedent had two broad subthemes, performance aspiration and institutional coherence. Performance aspiration resulted from the perception that actual performance was lower than expected performance in key organs of governance. The data revealed a desire to improve performance through the application of the principles of efficiency, effectiveness, and economy (3Es). Institutional coherence reflected participants’ perceptions about a growing fragmentation of the University into campuses.

The environmental antecedents were competition from other tertiary education providers and stakeholders’ demands for greater access to higher education. Finally, the relational antecedent was impelled by a desire to strengthen the relationship with external stakeholders.

*Stakeholders’ influence.* This study also included a secondary research question about the influence of stakeholders on antecedents. From the data, the forces driving the restructuring were influenced by both external and internal stakeholders. For example, the demand for increase student access was made by external stakeholders while issues such as University Council’s effectiveness and institutional coherence were driven primarily by internal stakeholders.

### *Process of Restructuring*

The data revealed three stages of restructuring: initiation, negotiation, and implementation. Different phases (subthemes) emerged at each stage.

*Stage one – Initiation stage.* The initiation stage had four sequential phases: problem identifications, data gathering, data processing, and recommendations for action.

#### *Problem Identification*

The process of restructuring began with the Chancellor's initial concerns about perceived problems in governance of the University. To address those concerns, a task force was established to examine the problems and issues of governance that were hindering the effectiveness of the University.

#### *Data Gathering*

The task force began its undertaking by gathering data from internal and external stakeholders. One respondent described the data gathering from internal stakeholders in this way:

Almost all departments were given the opportunity to shape the outcome of the restructuring. Some were involved more than others....where there was no response from particular faculty, they were asked to submit some thoughts, some ideas, to discuss it at their faculty boards, and to come up with suggestions which would help the governance committee in its deliberations.

External stakeholders' views, concerns, and expectation were also sought. A member of the task force said:

We met with ministers of education; we got comments from them. Some of them gave written comments which we followed up with interviews. We did have significant input from the governments of the region on their views of their restructuring.

#### *Data Processing*

The data collected by the task force were then analyzed to reach conclusions about the problems found and possible recommendations. One respondent noted:

We did do a SWOT analysis; strength/weaknesses/opportunities/threats, and we were able to put into that SWOT analysis some of the suggestions made by the various departments in terms of how they saw the changes...as well as with persons outside the institution.

*Recommendations for Action*

The final phase in the initiation stage was the creation of a governance restructuring report that presented recommendations for improving the governance of the University Council. The governance report provided the basis for stage two of the process.

*Stage two -Negotiation stage.* The report produced by the task force was circulated among internal and external stakeholders to ascertain their views on its content. Deliberation took place at the University Council meetings where internal and external stakeholders engaged in a negotiated outcome. A respondent captured it in this way:

It would have been [University] Council to accept it [the report]. The report was not accepted on the very first meeting that it was presented. The people putting that report together had to go back. In fact, I believe there was a special team of people appointed for that.

Another respondent noted:

We had a full day's discussion at Council...of the report. It generated a tremendous amount of discussion and debate, which was very healthy. Some of the things recommended, governments were not comfortable with....one or two of them were not comfortable because they saw a diminution of the role of governments.

An external stakeholder summed up the process in this way:

Stakeholders have different views and I think what we have arrived [at] now is the best consensus that we can achieve in terms of moving forward. I think initially, that had to take place in terms of arriving at something quickly, which was acceptable to all the various stakeholders. But I think each of the sectors will continue to exert the influence as the process moves forward.

*Stage three - Implementation stage.* The implementation began after the University Council accepted the report. This respondent noted:

The idea was that following the Council's acceptance of the report, there would be again an internal committee which would make us a recommendation and then work out the practicalities of how this was going to actually be implemented.

*Stakeholders' influence.* At different stages in the restructuring, both internal and external stakeholders influenced the process. For example, at the initiation stage, internal and external stakeholders provided their views and opinions as part of the data collection exercise. At the

negotiation stage, both groups were involved but at the implementation stage, only internal stakeholders influenced the process.

### *Content of Restructuring*

Four themes related to the content of governance restructuring emerged from the data: (a) incremental change; (b) corporate decision-making approach; (c) university-wide strategic planning; and (d) responsiveness to stakeholder demands/needs. These findings were interpreted using an archetype model. The analysis revealed that although the university may operate from the collegiate archetype tradition, elements of other archetypes can coexist with the collegiate model. The UWI retained its collegiate tradition but the themes of corporate decision-making in major organs of governance, and university-wide strategic planning are associated with the corporate/managerial university. This suggests that the content of the restructuring, while retaining the collegiality model overall, embraced elements of the enterprise/corporate model.

*Stakeholders' influence.* The content of the restructuring was shaped significantly by the views of internal and external stakeholders and the outcome of the negotiations between them.

It may be helpful to see how initial coding led to themes and narratives. Figures 4, 5, and 6 depict the data analysis process for the elements of antecedents, process, and content, respectively.

### Manuscripts

Depending on the preference of the student, the traditional format or the manuscript option for completing a dissertation can be used. I chose the manuscript option. Therefore, in lieu of Chapters Five and Six, I have crafted two scholarly articles for publication. The first article, titled “Not again! What prompts governance restructuring in higher education” answers research question one about the antecedents of governance restructuring. The title of the second article is “Where is higher education governance going? Examining the content of governance restructuring.” Although the research questions in the second article are phrased as “scale and scope of change” and “the underlying direction of change”, they answer the research question on content of restructuring.

These two were chosen because the data were very compelling. I believe these two articles can make a significant contribution to the scholarship on higher education governance restructuring. At the conclusion of each manuscript, I list the references for that manuscript.

Following the second manuscript, I provide a complete list of references for the dissertation, followed by appendices.

Coding Matrix of Antecedents of Restructuring		
<i>RQ: What are the antecedents of governance restructuring in higher education?</i>		
1. Organizational Antecedents	2. Environmental antecedents	3. Relational antecedent
Third Iteration: Application to Data Set		
In a multi-campus stakeholder oriented university, the restructuring of governance is impelled by internal organizational considerations, external environmental conditions, and considerations of maintenance/strengthening existing relations with primary stakeholders.		
Second Iteration: Themes		
1A. Performance Aspiration v. Performance Gap	2. A&B. External Environmental Conditions: Competition and Access	3A. Relational Cohesion through stakeholder re-engagement
1B. Decentralization v. Institutional Coherence		
First Iteration: Initial Codes/Surface Content Analysis		
1A. Effectiveness: <ul style="list-style-type: none"> <li>- Ineffectiveness of governance for service needs</li> <li>- Performance shortfall of key governance organs</li> <li>- Post ten year review of attainment of aspirations</li> </ul>	2A. Competition <ul style="list-style-type: none"> <li>- Competition from foreign institutions</li> <li>- Competition from local colleges</li> <li>- Competition for resources</li> <li>- Global entity facilitating competition</li> </ul>	3A. Relationship strengthening <ul style="list-style-type: none"> <li>3A. Uncertainty reduction</li> <li>3A. Maintaining commitment from Stakeholders</li> <li>3A. Stakeholder re-engagement</li> </ul>
1A1. Efficiency: <ul style="list-style-type: none"> <li>- Utilitarian/efficiency response</li> <li>- Need for more lean &amp; efficient Council</li> <li>- Slow response to stakeholder needs</li> </ul>	2B. Access <ul style="list-style-type: none"> <li>- Stakeholders demand for more enrollment</li> <li>- Stakeholders seeking out alternative providers</li> <li>- Stakeholders need for greater access</li> </ul>	
1A2. Economy: <ul style="list-style-type: none"> <li>- Size and cost of functioning of key organ of governance</li> </ul>		
1B. Coherence <ul style="list-style-type: none"> <li>- Concerns of fragmentation</li> <li>- Maintenance of regional orientation</li> <li>- Need to assert central/university level influence</li> </ul>		
1B1. Decentralization: <ul style="list-style-type: none"> <li>- Tension between Campus autonomy v. University level influence</li> </ul>		
DATA	DATA	DATA

Figure 4. Coding Matrix of Antecedents of Restructuring

Coding Matrix of Process of Governance Restructuring		
<i>RQ1: What was the process of the governance restructuring?</i>		
RQ1 Restructuring Initiation Stage	RQ1. Negotiation stage	RQ1. Implementation Stage
Third Iteration: Application to Data Set		
The process of governance restructuring in public higher education institutions can be limited to three stages: the initiation stage, the negotiation stage, and the implementation stage.		
Second Iteration: Themes		
RQ1. Problem identification Data gathering Data Processing Recommendations for change action.	RQ 1. Consensus building Negotiation and Compromise	RQ1. Implementation
First Iteration: Initial Codes/Surface Content Analysis		
1A. Problem Recognition 1B. Internal & External stakeholders direct input 1C. Consultations with key stakeholders 1D. Data gathering from external stakeholders 1E. SWOT analysis – processing 1F. Task Force recommendations for change	1G. Creating a sense of ownership. 1H. Discussions of recommendations. 1I. Consensus building thru repeated exchanges 1J. Consensus thru active discussions and negotiations with stakeholders 1K. Consensus seeking discussions stakeholders 1L Negotiation/compromise	1M. Internal implementation committee activated.
DATA	DATA	DATA

*Figure 5.* Coding Matrix of Process of Restructuring

Coding Matrix of Content of Governance Restructuring		
<i>RQ1: What was the scale and scope of the governance restructuring?</i>		
<i>RQ2: What factors define the underlying direction of the governance restructuring?</i>		
RQ1. Incremental Change.	RQ2. Stakeholder Responsiveness	RQ2. Strategic planning oriented.
RQ2. “Business-like”/corporate decision-making approach.		
Third Iteration: Application to Data Set		
Despite a volatile higher education environment, a multi-campus university used incremental change in governance to achieve a shift to a more “business-like” functioning of the upper-level organs of governance, a more focused strategic planning in orientation, and a more stakeholder responsive university.		
Second Iteration: Themes		
RQ1. 1A-D. Scale of Change – Incremental	RQ 2. 2E-G. External stakeholder Responsiveness.	RQ2. 2H-K. Strategic planning given greater status and importance.
RQ2. 2A-D. Strengthening policy decision-making capabilities.		
First Iteration: Initial Codes/Surface Content Analysis		
1A. A fine-tuning exercise compared to 1994	2E. Establishing a new campus --Created coherence to fractured programming.	2H. Reorganization of strategic planning committee.
1B. Incremental change	-- Response to stakeholder academic needs.	2I. Planning & Development portfolio established with senior management status.
1C. Change as a Tinkering	-- Strengthened collaboration between stakeholders’ tertiary institutions.	2J. Vice Chancellor is ex-officio in committee of Deans.
1D. Renewal and continuity of previous restructuring		
2A. Decreased size of University Council – effectiveness, efficiency, economy.	2F. Strengthening graduate education delivery.	2K. Planning & Development monitoring the strategic achievements of faculties and campuses.
2B. More focused attention in key decision-making bodies		
2C. leaner governance v democratic traditions.	2G. Strengthening capacity to deliver non-academic services to stakeholders – consultancy services.	
2D. Changes made in high level committees.		
DATA	DATA	DATA

Figure 6. Coding Matrix of Content of Restructuring



## Chapter Five

### Manuscript One

#### Not Again! What Prompts Governance Restructuring in Higher Education

##### Abstract

This study investigated the antecedents of governance restructuring in higher education. I used a qualitative case study approach to examine the phenomenon at a multi-campus university. Interviews and documents were the primary sources of data. My analysis suggests that there are three categories of antecedents: organizational, environmental and relational. The forces that impel governance restructuring are best understood by reference to these three categories of antecedents. I conclude with suggestions for future research on governance restructuring.

## Introduction

During the past 30 years, countries around the world have undertaken public sector reform in an attempt to reinvent, transform, or restructure government agencies and public organizations (Fernandez & Rainey, 2006; Pollitt & Bouckaert, 2000). In the United States, for example, the bureaucratic approach to management in the public sector has been cited as the cause of inadequate performance, lack of responsiveness, and poor accountability (McLendon, Deaton, & Hearn, 2007). This has led to reorganization initiatives.

Higher education, one element of the public sector, has been an active player in the restructuring mania. An exceptional number of public universities, in particular, have reorganized (Sporn, 1999). Notably, governance at public colleges and universities worldwide has been at the forefront of discussions about institutional performance (Currie et al, 2002). Research has revealed the frequency with which universities have restructured their governance in the last few decades as they seek performance improvements (Gumport, 1993; Gumport & Pusser, 1997; Lee, 1991; Marcus, 1997). For purposes of this study, governance restructuring is an organizational change activity (Mortimer & Sathre, 2006) in which institutional leaders redesign an organization's governance because it is perceived to be misaligned with its environment (Nickerson & Silverman, 2003).

Although change in university governance is rampant, scholarship about change that might guide decision makers is much more limited (Kezar, 2004). Higher education scholars have traditionally focused on different ways in which governance is organized, the effect of different governance arrangements on campuses (McLendon et al., 2007), and the impact governance change has on the professorate's voice in the academy (El-Khawas, 2002). Far less is known about the forces and sources, or antecedents of governance restructuring in higher education. Why institutions change, how they change, and how often they change are questions that beg for empirical investigation. This study sought to address that gap in the body of knowledge on higher education by examining the antecedents to governance restructuring.

## Background

Antecedents of organizational change are the forces that drive change; they relate to "why" organizational change has occurred. Much of the scholarly work in this area has been conducted on for-profit organizations (e.g. Goodstein, Gautam, & Boeker, 1994; Hoskisson, Johnson, & Moesel, 1994). Generally, the literature on antecedents has been centered on

performance (Cyert & March, 1963), the internal and external driving forces for change, and the interaction of these forces (Morris, 2007). That is, organizational change can be driven by performance considerations, reasons that are external to the organization (DiMaggio & Powell, 1983; Hannan & Freeman, 1984), as well as sources internal to the organization (Baker, 1990; Boies & Prechel, 2002). Because much of the literature on these three broad forces of change is found in the for-profit domain, I discuss them individually by first referring to the for-profit literature and then to relevant higher education literature.

Performance relates to the operation of the organization and measures of output or productivity. Hoskisson and Turk (1990) argue that weak or inadequate governance can lead to weak strategy formulation in organizations, and ultimately necessitate a restructuring/organizational change. Studies have shown an association between performance and organizational change in for-profit entities. For example, Morris (2007) found that banks respond to poor internal financial performance indicators and change accordingly. Declining organizational performance in the corporate world generates pressures that lead to change (Grinyer & Mckiernan, 1990). Indeed, organizations that restructure are often performing poorly in comparison to their competitors (Markides, 1992).

The performance challenges facing higher education are many: expanding access, increasing regulatory requirements, global pressures, and a growing competitive environment (Kezar, 2006). These challenges require functioning governing boards. The question is whether the performance of boards (and other instruments of governance, for that matter) is an antecedent of restructuring? Data in the higher education sector are anecdotal and the issue needs to be explored empirically.

External conditions that catalyze organizational change include factors such as governmental regulations, technological advancements, and market forces (Armenakis & Bedeian, 1999). Scholarly research on the external antecedents of restructuring includes the work of Sporn (1999), Zajac and Kraatz (1993), and Tapper (2007). Sporn identified five major external antecedents that drive change in higher education: the restructuring of national economies, the changing role of the state, shifting demographics, new technologies, and the increasing pressure of globalization. Zajac and Kraatz reported some similar antecedents. Like Sporn, they found that organizations undergo restructuring in response to changing environmental conditions but, additionally, found financial distress also to be a driver of change.

Further, institutions restructure despite the presence of opposing environmental and organizational forces (Zajac & Kraatz).

External drivers of organizational change have also been examined from the policy perspective. Tapper (2007) argues that change in the governance structure of higher education is propelled by the propagation of economic ideology that promotes a smaller but stronger state, and a state that can monitor and regulate institutional performance to ensure compliance with policy goals. In other words, policy changes that grapple with the crisis of the state, emphasize the state's regulatory function, and are grounded in notions that education is an economic resource in global competition are at the heart of restructuring in the postsecondary sector.

Furthermore, in the literature on the for-profit sector, environmental conditions bring about change; namely, organizations restructure to align themselves with the external environment to create an environment-structure fit (Lawrence & Lorsch, 1967). What is not known is whether this also holds in higher education restructuring. That is, what are the external environmental conditions that impel restructuring?

In addition to external factors, internal antecedents to restructuring have also been identified in the literature on private sector organizations. Internal conditions include experience with previous change and factors related to the nature of work (Armenakis & Bedeian, 1999) and the role of history, structure, cultures, power, and politics that enable or constrain change (Pettigrew, Woodman & Cameron, 2001). In the higher education literature, however, discussion about internal factors that influence reorganization are relatively absent except for anecdotal references to the managerial philosophy of efficiency, effectiveness, and economy or the 3Es. Managerialism is an ideology that advocates that good management is the solution to organizational ills (Pollitt, 1990) and that the 3Es should be the primary drivers in governance (de Boer & Huisman, 1999). The 3Es raise more questions for those who study higher education. Are these the real drivers of governance restructuring? Are there other internal antecedents associated with organizational change in academe? Finally, are there antecedents that are relevant to higher education that may not be germane in the private sector?

Given the centrality of governance to the functioning of colleges and universities, and the growing frequency of university governance restructuring (Collis, 2004; Kezar, 2005), it is surprising that more scholarship is not available to guide leaders who initiate change in higher education. In this paper, I contribute to the limited empirical work on these issues by analyzing

the antecedents of governance restructuring in postsecondary education. The goal of my study was to provide a comprehensive analysis of the antecedents of governance restructuring and by asking one overarching research question:

1. What are the antecedents of governance restructuring in higher education?

Answering this question may provide a more comprehensive explanation of what prompts restructuring and shed light as to why universities undergo governance restructuring.

### Conceptual Framework

The choice of conceptual frame for this study was informed by two important considerations. First, universities and colleges behave like other organizations and respond to the need for change (Van Loon, 2001). Second, restructuring is a strategic or organizational change phenomenon (Zajac & Kraatz, 1993). Based on these assertions, the study uses an organizational change conceptual framework as its primary guide.

Van de Ven and Huber (1990) note that much of the organizational change literature has focused on two streams of research (a) antecedents and consequences of change in organizational form and structure, or (b) how organizations change, emerge, develop, grow or terminate over time. Studies of antecedents and consequences focus on the inputs or precipitating conditions for change and the outcomes of change respectively and typically emerge from work on strategic and organizational management (Armenakis, 1988; Greenwood & Hining, 1996). This study focused on the antecedent aspect of the restructuring.

### Research Design

The aim of this qualitative study was to identify themes associated with governance restructuring antecedents. I used a case study approach (Yin, 2003; Stake, 1995) to achieve this goal. The case study approach investigates a contextualized contemporary phenomenon within specified boundaries (Yin, 1994; Merriam, 1988). Therefore, one critical determinant to using case study method is the assumption that context and phenomenon are tightly interconnected and should be treated together (Sporn, 1999) and interconnectedness was a feature in my study.

To answer the research question posed, I applied an interpretive approach to the case study (Rabinow & Sullivan, 1979). The interpretive approach assumes that understanding and action depend on the interpretation of events and information by individuals (Rabinow & Sullivan) and the meaning they assign to the events (Daft & Weick, 1984). I applied the

interpretive assumptions because I wanted the antecedents of the governance restructuring to be based on the meaning ascribed by the participants to the event.

Studies of antecedents often use large samples for a particular sector or industry and apply quantitative methods of analysis (Gibbs, 1993; Ginsberg & Buchholtz, 1990). While results from such studies can be more readily generalized, they fail to reveal the underlying, and perhaps richer, predecessors to change. To address this omission, I adopted a case study approach to governance restructuring and conducted a qualitative interpretive case study.

#### *Site of Study and Context*

The site selected for this investigation is a multi-campus institution called the University of the West Indies (UWI) that was founded approximately 60 years ago and enrolls about 30,000 students. UWI is a university with campuses or operations in 15 different small, developing, nation states in the Caribbean. Consequently, there are multiple states/stakeholder governments with interests in its operations.

The 15 countries served by UWI are all separated by water. The population ranges from 10,000 in some countries to approximately 2.5 million, with land masses ranging from 35 square miles to more than 4,000 square miles. The per capita gross national product (GNP) which is an indicator of the level of economic resources available to finance services like education varies from approximately US \$2, 400 to over \$15,000 (Bacchus, 2008).

UWI is an outcome of a previous “parenting” arrangement with the University of London and consequently its governance is based on the British model (Drayton, 1981; Springer, 1967). The governance is structured around Councils, Senates, Boards, and Committees. Both external and internal stakeholders serve on all Councils and on some Boards.

The site was selected because the University had undergone a restructuring effort in 1996 and undertook another restructuring of its governance system between 2004 and 2008. The site therefore provided an opportunity to examine the antecedents of restructuring from the perspective of stakeholders who, in some instances, had been directly involved in both reorganizations.

#### *Sample*

I used a combination of purposive sampling and network selection to determine the participants. The sample included both internal and external stakeholders. As an employee of the University, I knew some of the key internal players involved in the restructuring. I therefore used

my experience and knowledge to select a preliminary sample of participants to be interviewed. Through network sampling, some of the other interviewees were selected based on recommendations from this initial group of participants. Some of the external participants were selected based on documents that listed them as agents in the restructuring discussions. This group was expanded through network sampling. This sampling technique continued until I noticed data saturation.

The sampling method was criterion-based (Miles & Huberman, 1994). To be selected the participants (a) were directly involved in the restructuring, and (b) were either an internal stakeholder or an external stakeholder with extensive knowledge of the restructuring efforts at UWI. The final sample consisted of 22 respondents.

#### *Data Collection*

Before collecting any data, I first sought and gained approval from the Institutional Review Board for Research Involving Human Subjects (IRB) to conduct the study. Interviews and documents were the two primary sources of data for this case study. The data from both sources were mostly retrospective in that they were collected after the restructuring.

In the data collection process, I first sought documents about the restructuring to gain an initial insight into the phenomenon. I had access to the minutes of the restructuring meetings along with other internal reports and memos containing pertinent data. After a careful review of the minutes and other documents, I selected the ones that contained relevant data for this study. Documents were used to corroborate and augment evidence from interviews (Yin, 2003; Stake, 1995).

The interview data were collected over an eight month period, between June, 2008 and January, 2009. To gather interview data, I developed two protocols (one for internal stakeholders and the other for external stakeholders) with semi-structured questions. The 22 interviews lasted on average between one and two hours. Some of them were conducted in person and others over the telephone. All of the interviews, except one, were audio-recorded and transcribed verbatim. One respondent elected to answer my questions in writing and emailed me a copy of his/her responses.

Typical interview questions included: (a) In your opinion, why did the University embark on the governance change at the time it did? And (b) who were the major players calling for the restructuring of the University? I conducted in-depth interviews with participants. These were

ethnographic-style interviews (Spradley, 1979) in that they were semi-structured and allowed open-ended probes. I encouraged informants to use their own terminology and to steer the interview towards issues and concepts that best represented their experience (Gioia & Thomas, 1996) of the change in governance that occurred.

Each interviewee was assured of confidentiality before the start of the interview. Confidentiality was necessary because I needed the participants to speak freely and candidly about the content of restructuring. Although interview responses were subject to hindsight bias, they allowed me to gain the emic perspective of the respondents (Denis, Lamothe, & Langley, 2001) about the antecedents of the restructuring.

### *Data Analysis*

Data analysis began as soon as I had access to documents and the first interview transcripts were available. I began analyzing and coding the data for patterns, themes, and categories. First, the data were broken down into “thought units” (Butterfield, Reed, & Lemak, 2004; Gioia & Sims, 1986) using open coding. At the open coding stage, I examined sentences and paragraphs for major ideas and “thoughts” that related to the antecedents of restructuring.

Emerging categories of codes that represented a common theme were grouped together using axial coding. A guiding principle at this stage was to ensure similarity of thoughts within categories and the maximization of differences across categories (Butterfield et al., 2004). In the final iteration, some of these codes were further collapsed and I derived themes of antecedents of restructuring. To enhance reliability of the categorization process, another qualitative researcher reviewed a sample of transcripts and the codes and themes that emerged from the data. In addition, as themes emerged, I looked for similar concepts in relevant literature.

### Findings

The findings from this study reveal three broad categories of antecedents to governance restructuring: organizational, environmental, and relational antecedents. Within each category of antecedents were sub-themes. The themes and sub-themes are interpreted through relevant theoretical frameworks including rational decision-making, open systems theory, and relational cohesion theory.

This study uses an emergent design because I did not have *a priori* knowledge of what the data would have revealed as the antecedents of governance restructuring. Because of the emergent design I am using, I apply the relevant theories to themes as they emerge. Thus, in this



section, theories are linked to the findings to place the emerging themes and categories within a theoretical frame of reference.

### *Organizational Antecedents*

Classic organizational theory emphasizes issues of coordination and functional control within formal structures of organizations (e.g. Simon, 1957). In this study, issues related to internal governance that impeded the University's control, coordination, and execution of work activities were categorized as organizational antecedents of restructuring. For example, inefficiencies in the functioning of major organs of governance and some of the associated boards and committees were problematic and cited as reasons for restructuring. Two subthemes were identified as organizational antecedents: (a) performance aspiration versus performance-gap and (b) decentralization versus institutional coherence.

*Performance aspiration versus performance gap.* Aspiration as it relates to performance is "the smallest outcome that would be deemed satisfactory by the decision maker" (Schneider, 1992, p. 1053). This implies that there is some acceptable performance level aspired to by an organization and failure to achieve that level of performance creates concerns – a performance gap - in the mind of the decision makers. The performance-gap logic is rooted in the rational theory of decision-making which assumes that performance is the primary concern of an organization (Wischnevsky & Damanpour, 2006).

Improving the performance of the major organs of governance was a central reason for the restructuring at the University of the West Indies. That is, the restructuring was designed to improve the effectiveness of these organs in producing policies, strategies, and in decision-making with a view to ensuring that the University remained relevant (Chancellor's Governance Review Meeting Minutes, 2004). Overwhelmingly, the respondents felt that a driving force behind the restructuring was the view that some of the major organs were not functioning as effectively as intended and not attaining the level of performance to which the organization aspired. One participant noted: "I think there was some feeling that although things had changed [after the 1996 restructuring], maybe they weren't working as well as they could, and some things that had been recommended may not have been implemented as they ought." More pointedly another participant said,

The Chancellor wanted to have a look at the degree of congruence between what was recommended [in 1996] and what actually happened..... and try to tease out any factors

that seemed to be inhibiting the effectiveness of what the 1996 restructuring was hoping to achieve.

One major concern centered around the effectiveness of the overarching governance agency, the University Council. A participant noted,

The Chancellor was correctly concerned about [the University] Council being more of a formality.... he felt that the Council was perfunctory; people...wrote reports, and read reports, but people weren't engaged, it was more a formality. So the first thing one had to do is to rethink Council and [what it did].

Another example of performance gap was summed up by a participant in this way: "I think most people felt that the Strategy Committee...was not functioning as a Strategy Committee.... it really was not carrying out the mandate that was expected of it." These findings indicate that the failure to meet a certain level of effectiveness, or performance triggered a search for ways to improve the functioning of governance organs at the institution.

Cost and efficiency were also major performance-related considerations in the restructuring. One internal participant summed up the antecedents for restructuring in this manner: "I could not identify any one argument or set of arguments, other than the usual search for cost." And another voice described the restructuring in this way: "This was seen as a purely utilitarian type of efficiency response to the needs of governance at the highest level of the university, which is Council." This was also the view of an external stakeholder who noted that "in view of the competitive environment [in which the University exists] the University needed a more efficient governance" (Minutes of the Annual Business Meeting of the University Council, 2006, p.5).

Two important and theoretically grounded points are gleaned from these findings. First, improvements in the functioning of governance to attain some pre-determined level of performance were driven by considerations about efficiency, effectiveness, and economy (cost containment). This finding is consistent with the managerialism philosophy that focuses on the 3Es (de Boer & Huisman, 1999).

Second, according to rational decision-making theory, a performance decline or shortfall from the aspiration level is a signal to top management that organizational modifications are needed. In essence, the theory advocates that organizational change is initiated when performance aspiration levels are not achieved (Cyert & March, 1963; Greve, 1998; March &

Simon, 1958). Therefore my findings *vis-a-vis* performance-gap and aspiration as an antecedent to restructuring are supported by the organizational change literature.

*Decentralization versus institutional coherence.* Institutional coherence was the second organizational antecedent to restructuring. The increasing fragmentation of the University with a focus on those states that housed campuses at the expense of states that did not was viewed by participants as hindering the delivery of service to stakeholders in some locations. The fragmentation stemmed from the level of autonomy and decentralization granted to the campuses and “the devolution of authority [that was] threatening the regional nature of the University” (Chancellor’s Governance Review Meeting, 2004, p. 1). Participants spoke of the tension between decentralization/devolution and the need for a governance structure that strengthens institutional coherence. A participant captured the tension in this way:

The hard facts of geography and history must lead us to decentralize. But even as we accept what those facts tell us, we must recognize too that we say that we are one university. And as we decentralize, we must in fact create mechanisms to ensure coherence and coordinated development.

Another participant further elucidated this tension:

If I were to put my finger on one thing [one driver of restructuring], it would be the whole question of the regionality of the University. I think there’s a very legitimate concern then [1996] and now that we are fragmented – or at least the way in which we are structured tends to take away from us being a real regional entity.

The data suggest that decentralization of decision making authority to the campus level in a multi-campus university needs to be balanced by governance mechanisms that create institutional coherence and ensure a unified university strategic direction. The following comment is insightful in this regard:

I think that there is also a reason that had to do with power and authority too, which is that you cannot have a regional institution with a regional mandate, and a regional *raison d’être* if this institution is run by Principals [Head of campuses] on their campuses. So that you had to find a way of ... if not establishing a central command because I don’t think that’s possible in the University—you had to find a way of forging a situation in which you can build consensus by central [University] influence.

At the state level, the logic of decentralization is consistent with the managerial philosophy in which the state's task is to supervise the higher education system, also referred to as "steering from a distance" (Braun & Merrien, 1999). In this study, decentralization was "pushed down" from university- to campus-level decision making.

#### *Environmental Antecedents*

Environmental changes are another antecedent of restructuring in organizations (Johnson, 1996). That is, change can be driven by reasons that are external to the organization (DiMaggio & Powell, 1983; Hannan & Freeman, 1984). Some organization researchers have argued that environmental conditions such as increases in global competition (Hoskisson & Hitt, 1994; Shleifer & Vishny, 1991), changes in government regulations, and resource scarcity are environmental antecedents that trigger restructuring (Meyer, Brooks & Goes, 1990).

In this study, changing conditions and situations external to the University that had an impact on the institution and its governance were categorized as environmental antecedents. As the Chancellor remarked, "among these issues [driving the governance restructuring] were the changed environment within which the University currently operated" (Chancellor's Governance Review Meeting Minutes, 2004, p.1). Two environmental sub-themes were extracted from data: (a) increased competition and (b) the demand for increased access.

*Increased competition.* Participants pointed to the influx of international education providers along with an increase in the number of, or expansion of, local colleges as creating a more competitive environment for the University and prompting the change. One participant said:

There were a number of external forces that had come into play since the 1994-96 restructuring. [The University] no longer had a monopoly in terms of higher education...in the region because there had been an influx of a number of overseas institutions...and so the whole issue of competition now became an important element in terms of how [the University] viewed itself and structured in order to meet the needs of the [region].

This competition was exacerbated by the global regulatory power of the World Trade Organization (WTO) and its General Agreements on Trade and Services (GATS) that classified education as a tradable service. One government minister noted, "I think it [the restructuring] was driven by local concerns and by all the impact of globalization and the WTO agreement with

respect to the movement of services, and more particularly the movement of educational services across borders.”

Viewed in these terms, restructuring was essential because, as described by one participant, the University was operating in “an environment where there was so much encroachment by extra-territorial institutions.” One respondent more pointedly described the influx of competition as “poaching in our area.”

Competition as a catalyst for change in universities is found elsewhere in the higher education literature (Dill & Sporn, 1995), usually under the heading of marketization policies. However, much of this literature has been descriptive and criticizes the forces of competition (Dill, 1997). My study offers empirical evidence that the marketization of the higher education environment with its attendant emphasis on competition can be antecedent of governance restructuring.

*Demand for increased access.* The increased demand for access to higher education was the second environmental antecedent revealed in my analysis. As human capital development becomes essential to the economic success of nations (Dill, 1997), there is greater demand for higher education. As noted by one participant:

The individual territories [states] realized that you absolutely had to have a critical mass of well-educated, thinking people to drive that effort at the local level. And if our people are going to survive and compete effectively, it means we should have more of our nationals educated at those [university] levels.

Another participant remarked that nation states needed to increase the number of university graduates to compete more successfully in the global economy:

It was felt that the output of tertiary graduates was insufficient to meet the needs of a region which was to take its place in a developed, globalized world. [At the institutional level], we needed to see how well those [governance] structures were able to take account of the increased student registration that resulted from the increased enrollment and the arrangements made for increased enrollment.

The demand for more tertiary education access originated with and was driven by the external stakeholders and therefore this sub-theme was classified as an environmental antecedent to restructuring.

In general, then, environmental antecedents are one of the drivers of restructuring. Global competition among nation states is significantly fuelling the demand for increased access to higher education, and consequently, competition at the institutional level is significantly attributed to the increased demand. This notion is supported by open systems theory. Open systems theory posits that decision makers propel organizational change to structurally (and strategically) align an organization with its external environment (Morgan, 2006; Scott, 1992). Theoretically, there is a continuous and dynamic interaction between the University and its external environment and the University's leaders adjust the institution's governance in response to changes in the external environment.

#### *Relational Antecedents*

Relational antecedents were the third category of antecedents to restructuring. In the case of public universities, the government-university relationship is a key element of governance (McLendon, 2003). Changing this relationship often results in changes in governance. For example, a shift from control and regulation of higher education by the state to self-regulation by universities typically requires that institutions restructure (Kivisto, 2008; van Vught, 1997). At the UWI, this was accomplished by building relational cohesion through re-engagement of stakeholders in richer and more extensive policy discussions.

*Building Relational Cohesion through Re-engagement of Stakeholders.* The theory of relational cohesion posits that an endogenous process of repeated exchanges between actors is a unifying force that can result in enhanced commitment and a reduction in uncertainty (Lawler & Yoon, 1996). One respondent noted that “. . . the governments [of the University's nation states], with the restructuring of governance, feel that the University is listening.”

More pointedly, another participant stated:

One of the challenges for institutions is to embrace all of the constituent members [nations] and that came up more and more and more [during discussions with stakeholders].... The urgency for incorporation was much more acute on this occasion than on the previous [1996] occasion [of restructuring].

One external participant assessed it in this way:

I think the University in recognition of its very strategic role in national and regional, political, social, economical and cultural development...the top brass of the University saw it as no other way to go forward, if they wanted to do it in a structured way, because

they needed the support of the stakeholders [nations] more so than ever. And they wanted more than financial support.... they need to feel comfortable that the stakeholders [nations] value and value greatly their work and then potentially increase the worth of the University to the region's development.

Little has been written in the literature on higher education about building relational cohesion with stakeholders. However, this notion is supported in the body of work on organization theory. Lawler and Yoon (1993) posit that increasing the frequency of exchanges among organizational agents enhances the possibility of more affective group formation, creates the possibility a greater willingness to stay in existing relationships even though alternatives are available, and reduces uncertainty.

The application of the principal-agent theory (Jensen & Meckling, 1976) further strengthens the notion of uncertainty reduction; in this case, the university as agent and stakeholders as principals. When the frequency of exchange increases (Lawler & Yoon, 1993), there is a reduction in uncertainty about the relationship between principals and agents since frequency of exchange increases the principal's knowledge of the agent (Williamson, 1975) and reduces information asymmetry. A government minister (principal) noted:

The Planning Task Force took time off and went through the region to explain the modus operandi of the University and what they were looking to get out of the restructuring exercise....to give people a sense of comfort that their views were going to be respected, etc....And it has really redefined the relationship between the university and the stakeholders.

An internal stakeholder expressed the principal-agent notion in this way:

I get the sense that the [*stakeholder*] governments feel more involved in the University. I get the feeling that the governments think that they are taken seriously by the University. And I also get the feeling from the University leadership that engagement of the governments of the region is a necessity of the trade, so to speak, given the relationship between government and the university [*principal-agent relationship*].

Governance restructuring that is driven, in part, by a desire to improve relational cohesion through increases in exchanges between internal and external stakeholders could reduce uncertainty among external stakeholders about whether the university is acting in their best interest. Consequently, the University may be able to reduce competition from other higher

education providers for principals' attention, increase financial support from principals (Lawler & Yoon, 1993), and reduce monitoring by those principals (external stakeholders) (Kivisto, 2008).

### Discussion

In this study, I endeavored to identify the precursors of governance restructuring in higher education by ascertaining categories of antecedents. I hoped to provide a baseline for developing a distinctive analytical approach to the study of restructuring. The findings revealed three categories of antecedents: organizational antecedents, environmental antecedents, and relational antecedents. Within each category of antecedents were sub-categories or sub-themes (see Figure 1). The findings offer four new insights.

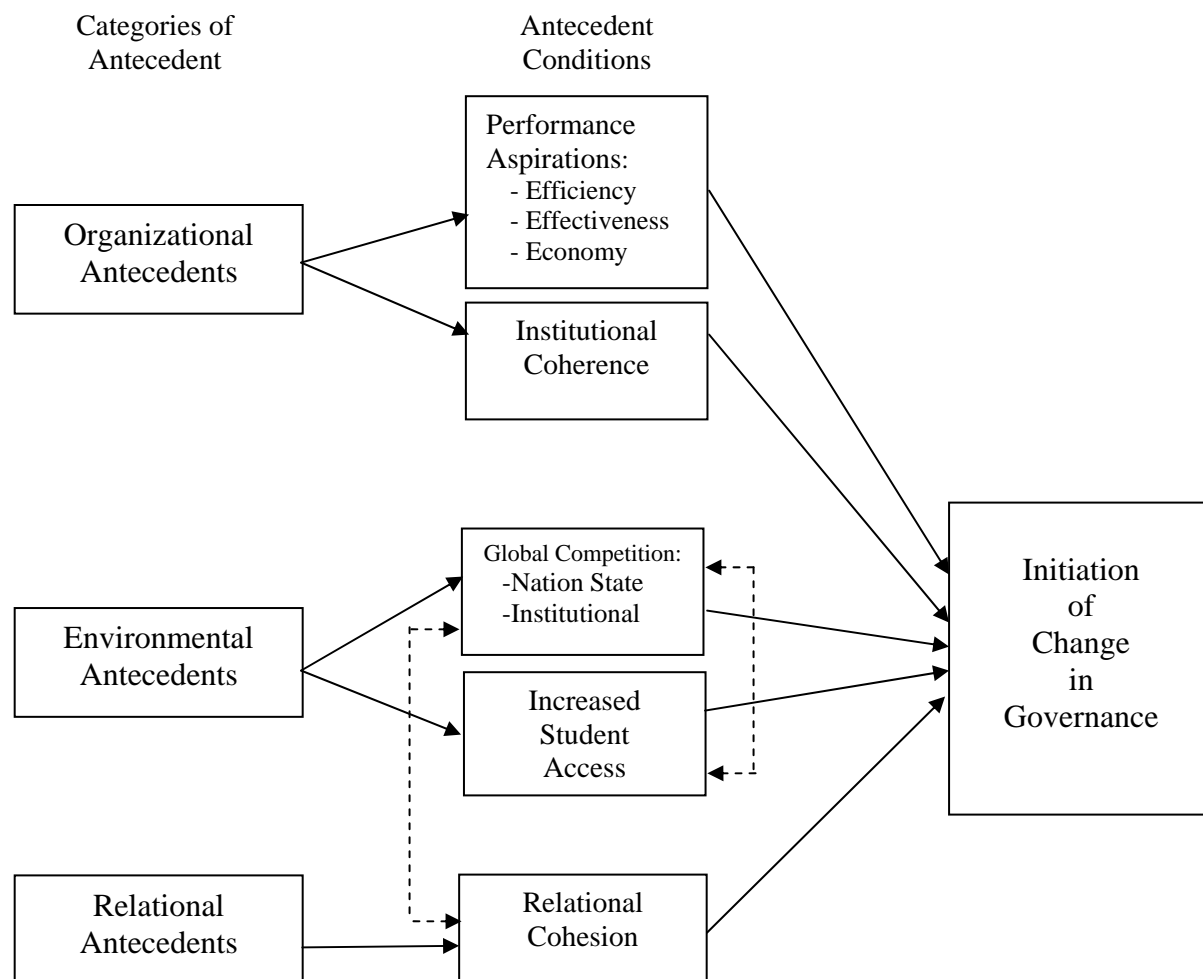


Figure 7. Antecedents of Governance Restructuring.



First, relational antecedents and relational cohesion are areas not previously associated with organizational change but were found to be an antecedent of change in this study. This is an interesting discovery since relational cohesion has previously been associated with exchange activities and relationship-building between individuals, groups, and organizations (Lawler & Yoon, 1993). That is, in the past relational cohesion has been associated with sustaining organizations. In my study, it led to changing the organization. This is a significant contribution to the body of work on restructuring since the theory of relational cohesion argues that commitment and increased contributions are outcomes of increased cohesion. In today's complex world, the number of stakeholders who claim an interest in higher education is climbing. As the number of external stakeholders grows (Amaral & Magalhaes, 2002), the discovery of relational cohesion as an antecedent of restructuring takes on added significance.

In the case of the UWI, building cohesion can increase stakeholders' confidence in the University. It can also create a more positive perception of the University and it has redefined the relationship between the university and its stakeholders. It is plausible that, despite the GATS ruling on education as a global tradable service, having a stronger relationship with stakeholder governments may mitigate competition from foreign universities.

Second, there were two forms of tension associated with organizational antecedents in my study: performance aspiration versus performance-gap, and decentralization versus institutional coherence. The performance aspiration/performance gap tension was associated with perceptions of efficiency, effectiveness, and economy. Improvements in these areas are related to the internal dynamics and functioning of the key organs of governance, in particular, the University Council. Goodstein, Gautam, and Boeker (1994) argued that poor internal dynamics may also affect the decision-making capability of boards, boards' effectiveness, and their ability to direct change. Some suggest that the inclusion of more external stakeholders on governance bodies can improve effectiveness. Adding more external representation to governing boards and councils is becoming more universal in higher education (Collis, 2004). However, there is no definitive conclusion about improving the effectiveness of governance in higher education by adjusting the ratio of insiders/outside on boards.

In the case of the UWI, external stakeholder representation on the University's Council had increased in the 1996 governance restructuring (Chancellor's Report on Governance Restructuring, 1996). Nevertheless, effectiveness and efficiency of the University Council

remained a major performance concern and consequently a driver of the restructuring. “Unwieldy” was the term repeatedly used by respondents to describe the structure and functioning of the Council. This would suggest that size of the Council was viewed as the underlying reason for the performance shortfall.

On corporate boards, Kosnik (1990) argues that outsiders are not a monolithic group with similar interests and researchers should incorporate diversity of membership when assessing board performance. Extending this notion to higher education, improving governance effectiveness and efficiency should be examined from the perspective of board members with varying demographic characteristics (Johnson, 1996; Goodstein et al., 1994) in conjunction with variations in size of key decision-making bodies.

In prior research, the findings about the effect of board size and diversity on effectiveness are mixed. Some scholars argue that organizations with more diverse boards are less likely to initiate change than boards that are more homogenous and there is moderate support for the notion that board size positively influences effectiveness of change (Goodstein et al.). However, Judge and Zeithaml (1992) found that board size influenced the likelihood of participation in decision making with members of larger boards being less involved. In my study, the size of the UWI’s Council was viewed as hampering the efficiency and effectiveness of its performance.

Future research in higher education should examine these conflicting findings. In particular, future studies of public sector colleges and universities should examine how an emphasis on the 3Es leads to improvements in the internal dynamics and functioning of boards and committees. Research on the 3Es is important particularly for guiding developing countries. Emphasis on efficiency, effectiveness, and economy in higher education governance may be desirable, particularly, in these countries. These small developing states have small per capita and resources shortages (Bacchus, 2008) that challenge their capacity to fund university education at the level needed to adequately develop their human capital base. Challenged by global competition, implementing measures in governance that can improve efficiency, effectiveness, and that contain cost can be one of the mechanisms used to overcome funding shortages.

The data suggest that the UWI demonstrated a self-regulatory capacity by initiating action towards improving its performance shortfall. Other universities can learn from the UWI and be introspective about their performance and similarly consider implementing these

performance improvement measures in governance, including emphasizing the 3Es. Research, however, would be useful in guiding institutional leaders on how to implement efficiency and effectiveness in boards and committees.

There are other elements of governance that merit more attention as well. For example, Kezar (2006) noted the need for studies on governing board culture, agenda/leadership roles, and external relations. The results of my study prompt a call for research on the consequences of restructuring the processes of governance. Overall, the literature signals a dearth of research in the area of internal dynamics of governing bodies. Studies of restructuring consequences that lead to improvements in governance would be a useful in understanding how to attain greater effectiveness and efficiency in the functioning of these bodies.

With regards to institutional coherence/decentralization, the literature on decentralization has generally been about the state and the amount of procedural and substantive autonomy (Berdahl, 1999) devolved to universities, or the loose coupling (Weick, 1979) between units and departments. My study reveals that the need to strengthen institutional coherence in a multi-campus university is an antecedent of governance restructuring. At the heart of this is the decentralization/devolution of authority given to Principals of Campuses at the UWI to engage and negotiate with the host government directly. Respondents felt that this practice was fragmenting the University and may have been limiting the capacity of the UWI to fulfill its regional mandate. Thus, one driver of restructuring at the University was the attenuation of fragmentation.

While loose coupling at the campus level in a multi-campus environment may be used to encourage adaptation to local conditions, it may not always facilitate integrated organizational action (Cohen & March, 1986). It has the potential to erode the power of the university level leadership and the strategic coherence of the University as a whole (de Boer & Huisman, 1999). At UWI, the Vice Chancellor is the university level leader. In a multi-campus environment, institutional leaders should have governance structures that are the right balance between decentralization and coherence to ensure overall institutional goal attainment. There is even more pressure on the UWI in this regard because of the multiple stakeholder governments that the institution has to serve.

Coherence as a measure of relevance/relatedness (Teece et al., 1994) and of consistency of strategic direction (Nath & Sudharshan, 1994) in a multi-campus university has not been

investigated. Future research should explore these measures of relatedness and also how coherence enhances organizational effectiveness and the delivery of educational services.

Finally, there is extensive organization theory and strategic management literature on environment-organization alignment (Hofer & Schendel, 1978; Miles & Snow, 1994; Zajac, Kraatz, & Bresser, 2000). The two environmental antecedents that emerged in my study, competition and access, have previously been discussed in higher education literature. My findings empirically support the view of Salter and Tapper (2004) who argue that governance is a means to an end and that universities should adjust their governance to match the external environment to compete effectively for resources.

The interpretation of environmental-organization fit depends on the cognition of the top management. To be successful in leadership roles, top executives must assess the environment and determine the appropriateness of the organization-environment fit to determine the timing of and need for change (Schwenk, 1988). If managers fail to update their cognitive orientation under changing environmental conditions (Wiersema & Bantel, 1993) they may not initiate change when it is needed or initiate unnecessary change. Future studies should explore managerial cognition and mental schemas in the initiation of the change in academe where collegiality and consensus are the cultural norms.

Overall, my study has uncovered new areas to be explored by academics to improve the state of the governance literature. More organizational analysis is needed and researchers might use the scheme that emerged from this study when designing future studies. For example, future investigations could explore the linkages across categories to determine whether antecedents occur sequentially or simultaneously, and if they lead to different modes of restructuring (Johnson, 1996). Alternatively, researchers could explore whether there are environmental antecedents that directly affect organizational antecedents and vice versa or whether environmental antecedents are associated with different modes of restructuring than organizational or relational antecedents.

Measures of governance performance in higher education are also needed. This study presented constructs that are antecedents to governance change. However, objective measures are needed to improve links between governance restructuring and performance. In other words, if a change occurs in governance structures what are the associated changes in performance?

Such an approach might provide a clearer link between restructuring and performance aspirations for change agents.

Research on restructuring in higher education needs to continue to help academics, institutional leaders, and practitioners to better understand the antecedents of change so that the restructuring process is more closely aligned with the drivers of that process. This sort of alignment allows higher education administrators to maximize the benefits of restructuring while avoiding the pitfalls. This study is a starting point in that process. By clearly delineating categories of antecedents and their associated themes, the findings move the knowledge base forward.

Practitioners and institutional leaders now have additional tools with which to work. They can use the results of my study to compartmentalize and streamline their change efforts. Knowing the antecedent conditions might help institutional leaders to avoid change that is not needed. A better understanding of antecedents should also help them anticipate when restructuring is called for and to select an appropriate means of responding to that call (Smart & Hitt, 1994). However, care should be exercised in determining when restructuring is necessary. In this era of increased accountability, performance expectations are likely to continue to grow, so underperformance may be a near-continuous state. Institutional leaders may wish to consciously distinguish between those occasions when underperformance would seem to merit restructuring efforts versus situations in which growing underperformance are simply an artifact of increased productivity expectations.

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## Chapter Six

### Manuscript Two

#### Where is Higher Education Governance Going? Examining the Content of Governance

#### Restructuring

#### Abstract

This study investigated the content of governance restructuring in higher education by examining the scale and scope of change and the underlying direction of restructuring at a multi-campus university. I used a qualitative case study approach to examine the phenomenon. Interviews and documents were the primary sources of data. Using an archetypal analysis, my findings suggest that the change was incremental, the underlying direction was towards a corporate/managerial form of governance, but the university retained its collegial culture, thereby adopting a hybrid structure. A hybrid structure is likely to strengthen the capability of a traditional collegial structure to cope with the pressure of the global environment. I conclude with suggestions for future research on governance restructuring and implications for practitioners.

## Introduction

Since the mid-1990s, higher education institutions have confronted enormous challenges, including the need to respond to wider societal issues, greater demand for access, and a more competitive and entrepreneurial environment (Kezar, 2006; Tierney, 2004). This has led to pressure to restructure governance systems and improve relationships between institutions and the state (Wellman, 2004). The calls to restructure stem from the perceived weaknesses of traditional governance structures to cope with changing demands and volatile external environments.

Petitions to overhaul post-secondary governance models in the U.S. are not new. As early as 1983, Keller (1983) noted that the governance processes in higher education were incapable of making critical strategic decisions. Traditional governance structures that rely on bureaucracy and collegiality are considered suitable to dealing mainly with routine issues (Mortimer & Sathre, 2006) and therefore the question of whether higher education governance needs to be restructured is largely moot. The issue is not if, but how governance should be restructured (Benjamin & Carroll, 1998).

In response, many universities have revamped their governance structures. In the U.S., for example, there were more than 100 initiatives to restructure institutional governance systems between 1985 and 2000 (McLendon, 2003). This is not an issue only in America. Advocates of the neo-liberal ideology in Europe argue that the traditional British and Continental governance models have also become obsolete and no longer fit a rapidly changing environment (de Boer, 2002). Consequently, scores of universities in these countries have undergone governance restructuring.

Restructuring implies new governance arrangements (Tierney, 2006). Some of these new arrangements include replacing the collegial, democratic form of governance with an executive style structure that minimizes democracy and uses traditional practices like participation and consultation only selectively (Marginson & Considine, 2000). As institutions implement new governance forms, important questions arise about the scale and scope of the change, the defining characteristics of the change, the prevailing conditions that prompted the change, and the perceived centrality of the change.

These questions constitute the substance, the “what”, of organizational change (Dawson, 2003). Few studies have investigated this element of governance restructuring however,

particularly the scale and scope, and the direction of change. Benjamin and Carroll (1998) for example advocated a radical change and called on universities to completely modify their processes and structures of governance. However, there is no agreement on the appropriateness of radical change (Kezar, 2005) or any assurance that radical change will ameliorate the challenges higher education faces.

There is also no agreement on the general direction governance restructuring might take (Kezar, 2005). Should there be a refocusing on the bureaucratic style (Benjamin & Carroll, 1998) or is a corporate approach more appropriate (Keller, 1983)? Questions like this beg empirical clarification. Countries are restructuring their higher education governance systems without clear data (Kezar, 2005), in many instances, driven by pressure from global institutions such as the Organization for Economic Co-operation and Development (OECD), the International Monetary Fund (IMF) and the World Bank (Dale, 1997) and the current neoliberal ideology (Arnové, 1997; Mok & Welch, 2003). These organizations have promoted the notion that higher education is a commodity that can be traded trans-nationally. As a result, colleges and universities have been coerced to re-conceptualize their goals and the governance system needed to accomplish those goals.

Change can have beneficial or harmful effects on organizations (Barnett & Carroll, 1995). Because there are so few studies on the content of change, it is difficult to know the effects that particular changes will cause (Barnett & Carroll). There is a need for more scholarly work on governance restructuring that will codify the scale and scope of the changes being made and provide an analysis of the general direction of changes. My paper attempts to respond to the need for empirical studies on governance in higher education by investigating the restructuring of governance at one multi-campus university. The specific focus of the study was the scale and scope of the change, and the general/underlying direction of the restructuring.

### Background

Governance restructuring is an organizational change activity (Mortimer & Sathre, 2006) in which institutional leaders redesign an organization's governance because it is perceived to be misaligned with its environment (Nickerson & Silverman, 2003). As post-secondary institutions respond to internal pressures and environmental challenges by restructuring, they must decide on the extent of that restructuring; whether to make significant modifications but essentially retain their existing model or to adopt a new model. If a new model is adopted leaders must identify the

underlying ideology, beliefs, and values that will guide the restructuring. These are questions about the “what” of organizational change (Dawson, 2003) and they delineate the differences in an institution before and after a change (Barnett & Carroll, 1995) and the model the governance structure will adopt.

The literature provides different conceptual models of higher education governance including: the collegial (Millett, 1978); the bureaucratic (Stroup, 1966); organized anarchy (Cohen & March, 1974); professional bureaucracy (Mitzberg, 1979); and more recently the entrepreneurial university (Clark, 1998); the enterprise university (Marginson & Considine, 2000); and the corporate/managerial university (Deem, 1998). These models or “ideal types” (Reed, Meek, & Jones, 2002) can be also be understood as archetypes (Greenwood & Hinings, 1993).

An archetype is a set of ideas, beliefs, and values embedded in structures and systems of an organization that form its interpretive scheme (Greenwood & Hinings, 1993; Ranson, Greenwood & Hinings, 1980). Greenwood and Hinings argue that archetypes are essential to understanding organizational change. For example, the scope of change can include dichotomous characterizations such as incremental (Quinn, 1982) versus frame-breaking (Nadler & Tushman, 1989), first-order versus second-order (Bartunek & Moch, 1987), or convergent versus radical change (Greenwood & Hining, 1996; Tushman & Romanelli, 1985). Incremental, first-order, and convergent change all signal a change that is small in scale and occurs within an archetype while frame-breaking, second-order, and radical change all signal a large scale or transformational change that involves movement from one archetype to another (Greenwood & Hinings, 1993). For example, a university that abandoned a collegiality model to adopt an enterprise model would need to undergo a second-order change.

In reality, organizations change but inertia often causes them to remain within the framework of an existing archetype (Tushman & Romanelli, 1985). Nickerson and Silverman (2003) found that adjustment costs and inertia limit the extent of change and adaptation that organizations undertake. For instance, the scale and scope can be constrained by issues such as commitments to union contracts. Conversely, some higher education institutions have undertaken radical change but have suffered negative outcomes as a result (Kezar, 2005).

With higher education heading in the direction of massification, commodification, and rationalization (Reed, Meek, & Jones, 2002), and as institutions seek alternative structures, the



underlying ideologies that shape how universities are governed come to the fore. The form of governance an organization adopts can vary by circumstance and country (Reed et al.) and by values and beliefs. Thus, as higher education governance restructuring continues, there is a movement away from traditional models/archetypes but the direction of the change remains unclear and varies in content and intensity across regions.

In the Netherlands, for example, Currie et al. (2002) found that governance at one university had formally shifted towards managerialism but elements of the collegial model remained. Similarly, in Norway, they found a shift towards managerialism mixed with increased bureaucracy but with remnants of the academic culture of democracy and collegiality still evident. Managerialism existed to varying degrees across the universities they investigated but at the “shop floor” level, collegial and democratic decision-making endured.

In Australia, on the other hand, the common organizational template is the enterprise university and institutional leaders are averse to collegial decision-making (Marginson & Considine, 2000). Marginson and Considine found a significant diminution of participative structures in governance, and collegiality was overshadowed by a system of performance control mechanisms and centralized modes of decision-making.

The findings of Currie et al. (2002) seem to suggest movement within archetype but a gradual adoption of features from other archetypes of governance. Conversely, Marginson and Considine (2002) reveal a movement away from the traditional archetype of governance. What is apparent is that the direction of higher education governance restructuring is somewhat unclear and varies in content and magnitude from country to country and over time (Reed, Meek, & Jones, 2002).

To gain a better picture of the restructuring of governance, more studies emphasizing the content of change are needed. Ignoring the content of governance restructuring limits the potential to understand the forms of governance that are best suited for specific circumstances. It also reduces the ability to predict the form of governance that enhances an institution’s performance. In addition, existing studies do not explain what campus governance mechanisms are appropriate to address environmental changes (Kezar, 2004). Furthermore, the scale and scope of governance restructuring should be linked to the general direction of the change to ascertain the type of change that is needed to achieve specified outcomes. Finally, very few studies of governance restructuring have examined a multi-campus university.

This paper attempted to contribute to literature on governance restructuring by filling these gaps. To achieve this, I formulated two research questions about the content of the restructuring:

1. What was the scale and scope of governance restructuring?
2. What defines the underlying direction of governance restructuring?

#### Conceptual Framework

The choice of conceptual frame for this study was informed by two important considerations. First, colleges and universities behave like other organizations and respond to the need for change (Van Loon, 2001). Second, restructuring is a strategic and organizational change phenomenon (Zajac & Kraatz, 1993). Based on these assertions, I use an organizational change conceptual framework as my primary guide.

The literature on organizational change emphasizes a theoretical framework that classifies antecedents, content, context, and process of change as important factors that shape change efforts (Armenakis & Bedeian, 1999; Rajagopalan & Spreitzer, 1996). This study focused on the content aspect of restructuring.

#### Research Design

The aim of this qualitative study was to identify themes related to the content of governance restructuring. Specifically, I sought to ascertain themes that captured the scale and scope and the underlying direction of the change. I used a case study approach (Yin, 2003; Stake, 1995) to achieve this goal. One critical determinant to using case study method is the assumption that context and phenomenon are tightly interconnected and should be treated together (Sporn, 1999) and interconnectedness was a feature in my study.

To answer the two research questions, I applied an interpretive approach to the study (Rabinow & Sullivan, 1979). The interpretive approach assumes that understanding and action depend on the interpretation of events and information by individuals (Rabinow & Sullivan) and the meaning they assign to the events (Daft & Weick, 1984). I applied the interpretive assumptions because understanding the underlying direction of the restructuring of governance was based on the meaning ascribed by the participants to the event.

#### *Site of Study and Context*

The site selected for this investigation is a multi-campus institution called the University of the West Indies (UWI) that was founded approximately 60 years ago and enrolls about 30,000

students. The UWI is a university with campuses or operations in 15 different small, developing, nation states in the Caribbean. Consequently, there are multiple states/stakeholder governments with interests in its operations.

The 15 countries served by the UWI are all separated by water. The population ranges from 10,000 in some countries to approximately 2.5 million, with land masses ranging from 35 square miles to more than 4,000 square miles. The per capita gross national product (GNP), which is an indicator of the level of economic resources available to finance services like education, varies from approximately US \$2, 400 to more than \$15,000 (Bacchus, 2008).

The UWI is an outcome of a previous “parenting” arrangement with the University of London and consequently its governance is based on the British model (Drayton, 1981; Springer, 1967). The governance is structured around Councils, Senates, Boards, and Committees. Both external and internal stakeholders serve on all Councils and on some Boards.

The site was selected because the University had undergone a restructuring effort in 1996 and undertook another restructuring of its governance system between 2004 and 2008. The site therefore provided an opportunity to examine the scale and scope, and the underlying direction of restructuring from the perspective of stakeholders who, in some instances, had been directly involved in both reorganizations.

### *Sample*

I used a combination of purposive sampling and network selection to determine the participants. The sample included both internal and external stakeholders. As an employee of the University, I knew some of the key internal players involved in the restructuring. I therefore used my experience and knowledge to select a preliminary sample of participants to be interviewed. Through network sampling, some of the other interviewees were selected based on recommendations from this initial group of participants. Some of the external participants were selected based on documents that listed them as agents in the restructuring discussions. Network sampling led to additional external respondents. This sampling technique continued until I noticed data saturation.

The sampling method was criterion-based (Miles & Huberman, 1994). To be selected the participants (a) were directly involved in the restructuring, and (b) were either an internal stakeholder or an external stakeholder with extensive knowledge of the restructuring efforts at UWI. The final sample consisted of 22 respondents.

### *Data Collection*

Before collecting any data, I first sought approval from the Institutional Review Board for Research Involving Human Subjects (IRB) to conduct the study. Interviews and documents were the two primary sources of data for this case study. The data from both sources were mostly retrospective in that they were collected after the restructuring.

In the data collection process, I first sought documents about the restructuring to gain an initial insight into the phenomenon. I had access to the minutes of the restructuring meetings along with other internal reports and memos containing pertinent data. After a careful review of the minutes and other documents, I selected those that contained relevant data for this study. Documents were used to corroborate and augment evidence from interviews (Yin, 2003; Stake, 1995).

The interview data were collected over an eight month period, between June, 2008 and January, 2009. To gather interview data, I developed two protocols (one for internal stakeholders and the other for external stakeholders) with semi-structured questions. The 22 interviews lasted on average between one and two hours. Some of them were conducted in person and others over the telephone. All of the interviews, except one, were audio-recorded and transcribed verbatim. One respondent elected to answer my questions in writing and emailed me a copy of his/her responses.

I conducted in-depth interviews with participants. These were ethnographic-style interviews (Spradley, 1979) in that they were semi-structured and allowed open-ended probes. I encouraged informants to use their own terminology and to steer the interview towards issues and concepts that best represented their experience (Gioia & Thomas, 1996) of the change in governance that occurred.

Each interviewee was assured of confidentiality before the start of the interview. Confidentiality was necessary because I needed the participants to speak freely and candidly about the content of restructuring. Although interview responses were subject to hindsight bias, they allowed me to gain the emic perspective of the respondents (Denis, Lamothe, & Langley, 2001) about the underlying direction of the restructuring and the scale of it.

### *Data Analysis*

Data analysis began as soon as I had access to documents and the first interview transcripts were available. I began analyzing and coding the data for patterns, themes, and

categories. First, the data were broken down into “thought units” (Butterfield, Reed, & Lemak, 2004; Gioia & Sims, 1986) using open coding. At the open coding stage, I examined sentences and paragraphs for major ideas and “thoughts” that related to the content of restructuring.

Emerging categories of codes that represented a common theme were grouped together using axial coding. A guiding principle at this stage was to ensure similarity of thoughts within categories and the maximization of differences across categories (Butterfield et al., 2004). In the final iteration, some of these codes were further collapsed and I derived themes of content of restructuring. To enhance reliability of the categorization process, another qualitative researcher reviewed a sample of transcripts and the codes and themes that emerged from the data. In addition, as themes emerged, I looked for similar concepts in relevant literature.

### Findings

Four themes related to the content of governance restructuring emerged from the data: (a) incremental change; (b) corporate decision-making approach; (c) university-wide strategic planning orientation; and (d) responsiveness to stakeholder demands/needs. The theme of incremental change described the scale and scope of the restructuring. The other three themes signaled the underlying direction of the change. These themes illuminated not only the type of change the University undertook but also highlighted the notion that for the University to keep up with the times, the restructuring had to address imbalances in its governance structures and processes.

*Research Question One: The scale and scope of governance restructuring at the UWI was incremental in nature*

The findings revealed that the restructuring of governance was limited to “the functioning of major University [governance] bodies, namely, [University] Council and its standing committees” (Chancellor’s Governance Review Meeting Minutes, 2004, p.1). The University Council at UWI is the supreme decision making body and includes members of the senior management team, governmental stakeholders, other external stakeholders, academic representatives, and students. The restructuring did not affect faculty governance, with the exception that it formalized a Committee of Deans, a body that includes the Deans of Faculties across the University and the Vice Chancellor.

Overwhelmingly, respondents described the scale and scope of the restructuring as incremental. Incremental change is a first-order change. When undergoing first-order change,

organizations retain their strategic orientation and remain within a prevailing archetype (Fox-Wolfgramm, Boal & Hunt, 1998). Most of the respondents used the governance restructuring that occurred in the 1990s as a point of reference. As one respondent noted, “The last one [1996 restructuring] was really revolutionary in a sense. Some people may say that this time around, we didn’t have the sort of deep changes that might have happened the last time.” Lending credence to this view, another respondent described the 2008 restructuring in this manner:

There were many challenges...the 1994/96 restructuring sought to address. The recent restructuring, if we can call it that...is really in fact a tinkering with some of the smaller edges.... I thought that it was really an act of fine-tuning.

The findings also revealed that the UWI’s governance is based on the collegiality model and that incremental change occurred within the beliefs and values of this tradition. Collegiality in the traditional sense is based on the notion that decision-making in the academy is a collective, consensual, and democratic effort (Tapper, 1998). One respondent described the UWI in this way, “The University is run on a collegiate basis which means that you have a lot of committees and a lot of meetings and given the federal nature of this institution, just to meet face to face is costly.” Another respondent noted, “there was [is] a fairly long tradition of democratization of university committees.”

In summary, the findings revealed that the scale and scope of the restructuring at the UWI was incremental/first-order change and it occurred within the existing collegiate governance tradition/archetype.

*Research Question Two: The restructuring introduced three new elements into the governance process: corporate decision-making, university-wide strategic planning, and increased responsiveness to stakeholders.*

#### *Corporate Decision-Making*

The major organs of governance at the UWI include the University Council, Finance & General Purpose Committee, and the Strategy and Planning Committee. The Finance and General Purpose Committee is a standing committee of the University Council that “exercise[s] the powers of Council in all matters connected with the receipt and expenditure of money...” (Statutes and Ordinances, 2008, p.59). The University Strategy and Planning Committee is a Standing Committee of the University Council that “exercise[s] planning functions in relation to the University’s operations...[and] provides guidance and advice on the Strategic Plan, including

its budgetary requirements...implementation...and periodic review” (Statutes and Ordinances, 2008, p. 62). To achieve greater efficiency, the size of the main decision making body, the University Council, was reduced. The composition of the Strategy and Planning Committee was changed to facilitate decision-making. One respondent noted, “they actually reduced it [size of University Council]... they felt that it needed to be more efficient; and they dropped the Deputy Principals; they threw out a whole series of other people.”

The philosophical orientation underlying the restructuring of these major decision making bodies was rooted in efficiency, effectiveness, and economy (3Es) principles. Efficiency and effectiveness of decision making in key organs of governance were major considerations embedded in the restructuring at the UWI. The aim behind revamping these organs of governance was to create a decision making process that unfolds smoothly and maximizes contributions from members. One former Council member and senior manager explained:

It [the new University Council] gives more people an opportunity to make a contribution... Just imagine 61 members trying to say something...in one day...So it provides for a greater participation on the part of the membership to me, as one [member].

Prior to the change, meetings were described as ritualistic formalities in which members were disengaged. One respondent said: “The Chancellor was correctly concerned about Council being more of a formality. He felt that the Council was perfunctory.” As a result of the changes, University Council and other committees have a more corporate approach to decision making. This was interpreted by one respondent in this way,

I do think that the Council meetings are more businesslike now. And I do think that we tend to focus on serious matters affecting the university now. And I do think that there is a seriousness about the decisions taken at the Council.... and the other institutions [committees] like F&GPC [Finance & General Purpose Committee]; I think there has been again a sharpness of focus.

However, achieving efficiency, effectiveness, and economy in decision making bodies was a trade-off at the expense of maintaining consensus among the academic community. One Dean expressed his disappointment in the change in size and composition of Council and expressed it in this way:

One of the sections of the community that suffered was the academic representatives. The academic representatives on [University] Council were

reduced and therefore in a sense we said it was only the [administrative] Council people that would carry the big discussion.

In summary, the changes made to the size, composition, and orientation of Council and its standing committees show that the underlying direction of restructuring adopted by the UWI was informed by a more business-like, corporate, and managerial approach to governance.

#### *University-wide Strategic Planning Orientation*

The theme of developing a university-wide strategic planning orientation was very evident in the University's new governance structure. Overwhelmingly, respondents felt that the University Strategy and Planning Committee, a standing committee of the University Council created in a previous restructuring, had failed in its mandate and did not achieve unified institutional planning. One respondent described it in this way:

One change... I would like to think was important, was.... the Strategy Committee. Strategy Committee has always seemed to me to be a total mess, because it didn't seem to have anything working for it. It didn't seem to have any resources in a sense....And it had very important responsibilities. It was meant to be where general strategy [for the University] was done. So that always struck me as a very dubious system.

In the restructuring, this committee was repositioned, its membership reconstituted, and it was given greater functional prominence in the institution. As one respondent noted, "One of the changes made was to the Strategic Planning Committee. The latest governance really seeks to refashion the Strategic Planning Committee so that its agenda is genuinely strategic planning. It had lost that agenda in the previous iteration."

Furthermore, the restructuring aimed to ensure that planning at the UWI was pivotal. One respondent explained it this way, "A major thing for us was a clear indication of the locus for planning in the institution. The former Strategy Committee...was not a formal locus for planning within the institution." This emphasis on strategy and planning is further evidenced in the new structure by the creation of an Office of Planning and Development with responsibility for that office vested in a senior manager. This respondent said,

What we've done is....created a Pro Vice Chancellor for Planning and Development now, so that the current strategic plan doesn't have a middle



manager; but has a senior manager overseeing the whole enterprise. And, in fact, it gets a larger remit in that the development is added to planning.

The emphasis on a strategic planning regime enhances accountability for the institution. Those who manage resources are held accountable for the achievement of strategic plan objectives. They are now assessed using specific measures of attainment. A senior manager described the process in this manner,

We've developed a set of measurement instruments at Planning and Development in which each year...we ask them, what are you going to do? How much is it going to cost? Did you get the budget for it? How much did you actually achieve? What are the gaps? What are the reasons for not achieving it? And we do an assessment of that. And we then say... let's see if we can deal with some of the gaps next year; but what are you going to do next year? . . .We're going to measure them again in two years.

In fact, the previous institutional strategic plan was not followed by all campuses in the same way. This created fragmented institutional strategic policies. One respondent noted:

People were not engaged in the [previous] strategic plan. One campus had gone off and done their own strategic plan. Amazing! So you have an institutional strategic plan and another campus bumped off and did their own strategic plan because their populous didn't have enough input or they didn't feel particularly aligned with the existing strategic plan, and went off and did their thing. And the [same] tendency I think was in other places [campuses].

Closer monitoring of achievement in terms of the strategic plan is also accomplished through the Finance & General Purposes Committee (F&GPC). F&GPC is a standing committee of the University Council that is responsible for approving budget allocations. Members routinely address progress on the strategic plan at their meetings. One respondent said,

The strategic plan is now central to the agenda of the F&GPC. One of the things that we have succeeded in doing....was how to change the agenda to make sure that the Strategic Plan, the progress on it, and the challenges with it are always an item at every F&GPC meeting.

Greater strategic orientation also is embedded in the newly formalized Committee of Deans. Prior to 2008, this committee functioned as an informal "pressure group" as one former

member described it. Post-restructuring, the Committee's charge is to improve institutional-wide faculty planning and "serve as a forum for the coordination of inter-campus discussions among Deans" (Statutes and Ordinances, 2008, p. 65). Achieving greater planning coherence and coordination is further fostered through "the Vice Chancellor, by virtue of office, [having] the right to attend at and participate in meetings of the Committee of Deans" (Statutes and Ordinances, 2008, p. 65). A senior manager explained it this way:

The Committee of Deans now exists...that facilitates a lot. The Vice Chancellor did a very wise thing. He comes to the Committee of Deans meetings... he might talk to them at the beginning; but he has asked me to be his representative on the Committee. That means that there's a direct link between the deans all together [as a group] and the Strategic Plan. You would not believe the value of that.

The formalization of the Committee of Deans allows University-wide buy-in among the deans, especially on strategic and planning matters. A respondent noted:

At the end of the engagement, all the deans were part of [any decision made]. So if we agree to do something... that is buy-in across the university and it is all you could hope for. And the deans are really powerful in the system.

Thus far, the findings have focused on elements of change that impacted internal stakeholders at the UWI – faculty, deans, and committee structures. There were, however, changes that affected external stakeholders as well. For example, the governmental stakeholders were removed from the University Strategic and Planning Committee. This paved the way for strategic planning to be "free" of excessive political influence during the development phase. A respondent noted,

I feel that the Strategy and Planning Committee should be able to look at the institution [strategically]...without the sort of special interest push from different [external] groups. I think the special needs of the particular countries can be dealt with at [University] Council, but I think it's important for the university to be able to present to the [University] Council ...this is the direction that we want the institution to go.

Another significant finding is the increased focus on securing external, non-governmental financing to support the future development of the UWI. A respondent said,

Their [Office of Planning and Development] charge is I think more of going out and looking for sources of funding from international agencies, so you can plan in a specific way—actually attracting the sort of funding to finance the plan....We have to have strategies to finance the growth of the university, utilizing non-governmental sources.

In summary, developing a university-wide strategic orientation was a key outcome of the change in governance and signaled the underlying direction of the restructuring. The UWI is a multi-campus institution that is highly decentralized and loosely coupled at the campus level. The strategic planning orientation is an integrative mechanism to strengthen institutional coherence and planning across campuses.

#### *Responsiveness to Stakeholder Needs*

The final theme related to the content of restructuring was responsiveness to stakeholder needs. Stakeholder responsiveness addresses the external environment. The external environment represents the contextual reality the University member nations face, including global economic pressures to compete. Stakeholder governments felt that to compete effectively, a greater percentage of university-age students needed to access higher education. One governmental stakeholder viewed it in this manner,

The economic environment regionally and hemispherically [globally] is a hostile one and we need to be assured that there is access to greater numbers of our students on the ground. So political pressure now has been brought to bear on the University so as to have it providing that mechanism which allows the OECS [12 member nations of the Organization of the Eastern Caribbean States] territories to feel more comfortable and that the university is responding in an explicit way to the requirement for greater access.

After restructuring, the University of the West Indies was viewed even more as a key player in regional social and economic development and perceived as the vehicle for preparing a highly skilled workforce – a much-needed resource in the region. Although there were variations in policy positions among stakeholder governments about how to achieve it, respondents were unanimous in their sentiments about the need for increased access. Overall, the mandate given to the University by the governments was captured in this respondent's comment:

There was actually a mandate given by the [stakeholder] governments to increase the number of tertiary graduates by 2005 to 15% of the [high] school leaving population. [At] the time when that mandate was given the actual output was 7%, so it meant a doubling of capacity.

The nexus between national and regional development and the role of the University is further illustrated in this comment by an external government stakeholder:

Gone are the days when there was this divorce between the University and the other parts of society. As finance became a little tighter, as the international focus on education tended towards higher education, as governments saw the need to have the economy benefitting more and more from having a higher proportion of its citizens with higher education, then questions began to be asked....So there was pressure on the university to accommodate more; there was pressure on the university to focus more on dealing with crucial issues that hit at the core of our development in all of its dimensions.

Governmental stakeholders' desires to have structural mechanisms that addressed the needs for greater access and societal development are further captured in this comment, "One thing that we [stakeholder governments] were all agreed on was that the governments in the region had to find mechanisms through which their interests became better reflected in what university was doing." The restructuring responded to this call from government stakeholders, as one participant noted:

The external stakeholders told us what they wanted and how they felt the university was falling short, or not satisfying their needs. And so I think what we have now is a structure, which in our opinion really meets the needs and counters the problems which have been experienced by our stakeholders.

In this regard, governance structures were modified to facilitate the formation of another campus. Until 2008, there were physical campuses in only three of the 15 member nations. The new campus, the Open Campus, was one of mechanisms implemented to respond to the needs of the governmental stakeholders in the remaining 12 countries and to tertiary education access in the underserved regions in the three countries with physical campuses.

A respondent noted:

Now we can say they [the 12 member countries] have an Open Campus Principal with whom to talk... but the Open Campus, really only speaks to some of the need of UWI-12 [OECS] countries... What one can argue is that with the new Open Campus Principal, this is someone who is going around and engaging [stakeholder] governments and is not only representing the Open Campus, but is representing the other three campuses.

One respondent insightfully captures the general perception of the external stakeholders' need for greater access to higher education and the Open Campus' role in providing such access:

I think from the standpoint of ministers of education at the regional level, we need to have a cohort of at least 15% of our people who are exiting the secondary school system to receive tertiary education.... I think that the Open Campus arrangement will further accelerate that and help us not only to reach that 15% but to go way beyond that.

Graduate education and research were also viewed as critical elements of national and regional development. The UWI responded by improving its graduate education and research delivery capability. A respondent directly associated with graduate education asserted, "The university.... also has to make sure that the region has a cadre of people that could help in the development of the region. I think that is the mandate of the university." Prior to 2008, many of the University's graduate programs did not focus on research, hence limiting their responsiveness to regional needs. One respondent summed it up in this way:

We were responding, but...not necessarily with research. We responded with taught masters [*degrees*]...But the creation of knowledge is through research. And...we haven't done as well in terms of our graduate research experience vis-à-vis our taught masters experience.

In the aftermath of the restructuring, another respondent noted:

I think we're much better now [in terms of graduate education]... We've identified research priorities.....within the priorities we have identified little niches that have developed into clusters....We are funding graduate students in research. We have now cleared the way for funding approved post-docs....And I think a regime...for managing research and innovation is emerging.

In summary, underlying the governance restructuring was strengthening the responsiveness of the UWI to its stakeholders. In large part, this was due to the global pressure on stakeholder governments and stakeholders' perception that higher education serves a social and economic development role in the region, enhancing member nations' global competitiveness.

### Discussion

In this study, I attempted to answer two research questions on the content of governance restructuring in higher education: the scale and scope of the restructuring and its underlying direction. Examining the scale and scope enabled me to discern whether first order or second order changes occurred. Focusing on the underlying direction enabled me to explore the notion of governance as a means to an end (Salter & Tapper, 2004). I therefore examined the underlying values and ideologies embedded in the restructuring and the outcomes that were sought. The themes that emerged from the data analysis are best understood through the archetype perspective.

#### *The Scale and Scope of Change was Incremental*

Despite calls for radical change in higher education governance (Kezar, 2005), the findings suggest that changes at the UWI were incremental. Incremental change is a first-order change that involves behavior alterations within an organization's explicit or implicit beliefs about the way it should function (Bartunek & Moch, 1987). That is, change occurs but within the existing belief and value system. For example, a first order change might result in improvements in the functioning of a university committee in which there is already shared agreement that consensus is valued in decision making. Radical change, on the other hand, is a second-order change that addresses the underlying cognitive frameworks, deep structures, and shared schemas that guide the meaning ascribed to organizational activities (Bartunek & Moch, 1987; Egri & Frost, 1991). Abandoning existing values and the organizational meaning ascribed to consensus and consultation in decision-making would represent a second-order change.

Archetypes are important when assessing organizational change (Greenwood & Hinings, 1993). Archetypal analysis is based on the notion that organizations are infused with meaning, beliefs, and values that guide the systems, structures, and functioning of the organization (Brock, et al., 2007; Greenwood & Hinings). In archetypal analysis, one indicator of the scale and scope of a first-order change is retaining these underlying values, beliefs, and meaning. Therefore,

viewed through the archetypal lens, the UWI operated as a collegiate archetype before and after the restructuring. That is, the UWI's governance retained the meanings, beliefs, intentions, and values associated with collegiality.

The values, beliefs, and ideology associated with the collegiality archetype are consultation, reflection, consensus, and a process orientation (Ferren, Kennan, & Lerch, 2001). Prior to restructuring, the University Council included 61 members representing all internal and external constituency groups. This ensured that all parties had a voice at the table. Yet Council was not perceived as functioning at its optimum under the old system and was revamped to limit membership to a more manageable size while still ensuring that most constituencies retained representation. This suggests that the underlying values and beliefs of collegial consultation were maintained and thus the change occurred within the existing archetype. Change within archetype is typical of incremental first-order change.

Similarly, changes in the composition of the Strategy and Planning Committee, such as the removal of the governmental representatives did not constitute a shift in the values and beliefs associated with collegial consultation and consensus. The general view was that consultation with the governmental stakeholders on strategic matters would occur in other committees such as Finance and General Purpose Committee, and the University Council.

Colleges and universities are expected to satisfy a myriad of societal expectations that can sometimes blur what is really needed from higher education (Ramaley, 2006). As these expectations intensify, many higher education organizations are overwhelmed. Adopting major change is challenging and there are no assurances that radical second-order change will lead to desired outcomes. In fact, Kezar (2005) has shown that radical change can have negative consequences in higher education. As a result, organizations often elect to initiate smaller changes in hopes that they will be sufficient to lead to new outcomes while avoiding the stress of the potential negative consequences associated with radical change.

The UWI is not immune to this tension and the first order changes in governance structures enacted in 2008 reflect an attempt to incorporate aspects of the corporate/managerial model while retaining some semblance of collegiate archetype. While there are clear benefits to the incremental change adopted at the UWI, the failure to address some issues through more radical change may lead to the need for more restructuring at the University in the future.

*The Content of Change (Underlying Direction) can be described as Corporate/managerial, Strategic, and Responsive*

The three themes that emerged related to the content of change at the UWI (corporate-like in decision-making, university-wide strategic planning, and responsiveness) combine to provide evidence that elements of another archetype were infused into the collegiate model of governance that the University had employed since its founding. In particular, the restructuring reflected a move towards a corporate/managerial (Deem, 1998) archetype.

The corporate/managerial archetype is defined by the values and ideology of managerialism. Managerialism emphasizes instrumental rationality stressing the 3Es, efficiency, effectiveness, and economy (Currie et al., 2002) as the leading values in governance in public higher education (de Boer & Huisman, 1999). Managerialism has at least three variants that may simultaneously be found at the same university: an efficiency oriented variant, a market oriented variant, and a user oriented variant (de Boer & Huisman). The efficiency variant emphasizes productivity in performance, and managerial control systems. The market variant stresses competition, and the user variant focuses on quality of service and responsiveness (de Boer & Huisman). My study suggests that the UWI stressed two variants in its restructuring: the efficiency variants and the user/responsive variant.

The UWI's shift to the 3Es was evident in the restructuring of University Council, downsizing that body so it could be more efficient. Further evidence of the efficiency variant at the UWI is embedded in the use of managerial control systems that strengthen institution-wide strategic planning. For example, the Strategy and Planning Committee was repositioned, its membership reconstituted, and it was given greater functional prominence in the institution. In addition, the Office of Planning and Development was created with responsibility for that office vested in a senior manager (a Pro Vice Chancellor). These changes have given the UWI a defined locus for planning and a system to monitor achievements. Measures of attainment are used to monitor progress on the strategic plan and progress is also regularly monitored by the Finance and General Purpose Committee that meets at least twice per year. The Committee of Deans meetings also serve as a forum for institution-wide planning about faculty matters.

The user variant with its focus on responsiveness is also indicative that the underlying direction of the governance restructuring was based on managerialism. In the global environment, stakeholder governments felt that to compete effectively, a greater percentage of



university-age students needed to access higher education. The challenge for the UWI was to create structural mechanisms to facilitate increased access. The University responded by establishing a new entity, the Open Campus. The University also modified the governance of Graduate Education and Research to ensure a more coordinated approach to the delivery of graduate education and the conduct of research in the region.

Trow (1994) refined the ideology by distinguishing between hard and soft managerialism. In soft managerialism, leaders attempt to eliminate inefficiency and ineffectiveness in the system and seek to implement rational mechanisms to improve the university by ascertaining collegial consent (Trow). Proponents argue that universities should be governed according to the academy's norms, values, and traditions but with an emphasis on effective management systems that are compatible with the academic community (Deem, 1998; de Boer & Huisman, 1999; Trow).

Hard managerialism advocates argue for reshaping the values and traditions of higher education by introducing management systems, including rewards and punishments for employees, based on a corporate rationality (de Boer & Huisman, 1999; Neave & van Vught, 1991; Trow, 1994). From an archetypal perspective, hard managerialism challenges the underlying interpretive scheme of traditional collegiality.

The findings suggest that the underlying ideological direction of the restructuring at the UWI was soft managerialism. The emphasis on the 3Es, the responsiveness orientation, and strengthening institution-wide strategic planning are features of soft managerialism. Although these are evidence of the corporate/managerial archetype, the University maintained the core values of the collegiate archetype. For example, although the Council size was reduced, there was still wide representation and the University maintained a consultative approach. The UWI also retained its committee structure and actually added another committee to the structure, the Committee of Deans. This implies that collegiate and corporate/managerial values co-existing in a hybridized form.

Hybrid forms of organizations are those in which new values are embraced but traditional core characteristics are maintained (Powell, 1987). Brock, Powell, and Hinings (2007) note that hybrid structures are more likely to emerge in an effort to strengthen the capability of traditional structures to cope with the new global environment. Like institutions world-wide, the UWI is experiencing the dynamics of global pressures and the hegemony of the neoliberal discourse

(Torres & Schugurensky, 2002). Hence, it is plausible that global pressures and the neo-liberalism partly explain the emergence of hybridization between the collegiate and corporate/managerial models of governance at the UWI.

Although change occurred, it is also reasonable to conclude that the restructuring did not fundamentally alter the way the University is governed. Respondents still point to the University as a collegiate institution. However, there is evidence of the corporate/managerial archetype (soft managerialism) co-existing with collegiate archetype values.

#### Implications for Future Practice and Research

The findings of this study are based on a single case analysis but may still serve as a guide to practitioners and change agents who are undertaking restructuring in higher education. The findings may also trigger more research to gain a more generalized view of the scale and scope of governance restructuring and the underlying direction of the change.

The nature of the changes at the UWI may be paradigmatic and generally indicative of what is happening in higher education in response to globalization and the neo-liberal discourse. For example, intense environmental pressure on post-secondary institutions to become more efficient is forcing leaders to improve the speed and timeliness of decision-making (Kezar & Eckel, 2004). Issues of strategic policy and planning now dominate governing boards and university councils. Some argue that the efficiency of strategic decision making in boards, councils, and senates is hamstrung by their current structures (Kezar & Eckel). The question now is whether the trajectory of change is assumed to be a migration away from the collegiate archetype of governance. In other words, are these changes first-order in which collegiality is retained, or second-order where the collegiate model is abandoned in favor of managerialism? These are decisions that administrators and policy makers will face. There is little literature on post-secondary institutions that provide practitioners with guidance on the type of change to use and on what occasion. The UWI might serve as a model to demonstrate how incremental change may be employed in a multi-campus context to restructure governance even in volatile environments in which there are significant global pressures and numerous external stakeholders.

A change from one archetype to another is characterized as re-orientation (Hinings & Greenwood, 1988). Reorientation is typically accomplished through a second-order change. However, it can be achieved through incremental steps using first-order change (Fox-Wolfgramm, Boal, & Hunt, 1998). In the case of the UWI, university leaders used incremental

change to align the institution with environmental realities while retaining some traditional collegial core values. The incremental approach allows for small changes that can be implemented with minimal disruption but can yield significant outcomes. In a multi-campus context in particular, this approach to change can allow university administrators to select a few organizational changes that are appropriate for the circumstances and easily adopted across campuses. However, the aggregate of incremental steps may lead eventually to a change in the underlying belief and value structure. In other words, repeated changes that infuse soft managerialism may eventually lead to the inculcation of hard managerialism ideology and the full adoption of the corporate/managerial archetype.

In terms of future research, Torres and Schugurensky (2002) argue that despite countries in different parts of the world having different social, economic, and political systems, the neoliberal global hegemony is causing a convergence to more corporate/managerial oriented archetypes. In the face of continuing global pressure, future research should examine whether higher education institutions that show evidence of competing organizational models (e.g., collegiate and managerial) are gravitating to a universal archetype (Brock et al., 2007). That is, universities that are subjected to similar neoliberal hegemony can either revert to the traditional values of the collegiate archetype, a move some refer to as the “aborted excursion” (Greenwood & Hinings, 1988) or can adopt more corporate/market-driven models of governance. In cases where hybrid forms of governance persist, an examination of these institutions would assist researchers and practitioners alike in determining the suitability and sustainability of hybrid structures in the long-term (Brock et al.).

Furthermore, if the corporate/managerial model becomes the dominant universal archetype, it is possible that higher education might lose its distinctive character. This has been a concern for academics in particular, who worry about the implications of corporatism on research, in particular. Studies should be conducted on institutions that have already adopted the corporate/managerial archetype to ascertain how the character and culture of these institutions have changed.

Finally, this study was conducted at a multi-campus university that operates in 15 developing countries. Given the ubiquity of governance restructuring, more research is needed on scale and scope of change in governance and the underlying direction that governance is

headed at other multi-campus institutions facing similar global pressures. These studies can provide further evidence of the current trends in higher education governance.

In conclusion, higher education has been criticized as unresponsive, slow in decision making, and lacking in strategic decision making capacity. This study provides evidence of how one multi-campus university, challenged by the pressures of globalization faced by the nation states it serves, restructured its governance system to address these censures. The incremental change employed at the UWI seems to have alleviated some organizational problems. The pressure on higher education institutions to become even more competitive, however, is pervasive. Whether the first-order changes adopted by the UWI withstand this pressure remains to be seen.

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## Appendix A: Interview Protocols

### Internal Stakeholders

Interviewer: Ian Austin

Name of Interviewee (Optional):

Title:

Institution:

Government:

Date:

Interviewer:

This interview focuses on the 2004/08 governance restructuring at the University of the West Indies. The objective of this interview is to gather data on the forces that drove the restructuring, the process of the restructuring, the final content or result and how these dimensions have been impacted by internal and external stakeholders. I define internal stakeholders as faculty, administrators, and students while external stakeholders are groups or individuals with an interest in higher education but are not members of the academy (Amaral & Magalhaes, 2002). External stakeholders include business sector individuals, influential members of the public, parents, the state, and nowadays international organizations.

#### Antecedents

1. How involved were you in the most recent governance restructuring of the UWI?
2. In your opinion, why did the University embark on the governance change at the time it did?
3. Do you think that the governance restructuring was good for the UWI? [Probe: Why?]
4. Who were the major players in calling for the restructuring of UWI?
5. Would you say that the change was driven mainly internally or externally? Why?

#### Process

6. What were some of the key steps taken in the restructuring process?
7. How involved were you or your department in the process?
8. How would you describe the level of involvement by the governments in the process?

#### Content

9. How is the governance structure different from the previous structure?
10. Would you say that you or your department helped to shape the final outcome of the restructuring?
11. Are you satisfied with the final outcome? [Probe: why?]

12. Would you say that the new governance structure is somewhat similar to what we see in the public sector in the region? [Probe: How?]

## External Stakeholders

Interviewer: Ian Austin

Name of Interviewee (Optional):

Title:

Institution:

Government:

Date:

Interviewer:

This interview focuses on the 2004/08 governance restructuring at the University of the West Indies. The objective of this interview is to gather data on the forces that drove the restructuring, the process of the restructuring, the final content or result and how these dimensions have been impacted by internal and external stakeholders. I define internal stakeholders as faculty, administrators, and students while external stakeholders are groups or individuals with an interest in higher education but are not members of the academy (Amaral & Magalhaes, 2002). External stakeholders include business sector individuals, influential members of the public, parents, the state, and nowadays international organizations.

### Antecedents

1. How involved were you in the most recent governance restructuring of the UWI?
2. In your opinion, why did the University embark on the governance change at the time it did?
3. Do you think that the governance restructuring was good for the UWI? [Probe: Why?]
4. How does the new structure fit with your country's approach to public management?
5. In your opinion, what economic, social, political, and cultural forces prompted the change?

### Process

6. What were some of the key steps taken in the restructuring process?
7. How would you describe the level of your government involvement in the restructuring?
8. In your opinion, how did the economic, social, political, and cultural forces influence the change?

### Content

9. How satisfied are you and your government with the new structure? [Probe: why?].

10. Do you think that there should be an expansion of the external stakeholders' involvement in the governance of UWI? [Probe: Why?]
11. In your opinion, how did the economic, social, political, and cultural forces influence what was changed?

## Appendix B: Document Analysis Protocol

## Document Analysis Protocol

## Key themes &amp; Issues

Document Title	Antecedents	Process	Content
Themes & Issues			

## Documents Initially Identified for Analysis

1. University Council Minutes prior to, during, and at the ratification of the Restructuring.
2. Position papers written on the restructuring.
3. Recent Strategic Planning Documents
4. Minutes of University Senate minutes.
5. The report of the Commission on UWI governance
6. Minutes of UWI faculty Union discussion about the plan to restructure the governance
7. Correspondence from Ministries of Education addressing the restructuring.

## Appendix C: Institutional Review Board Approval Letter



Office of Research Compliance  
 Institutional Review Board  
 2000 Kraft Drive, Suite 2000 (0497)  
 Blacksburg, Virginia 24061  
 540/231-4991 Fax 540/231-0959  
 e-mail moored@vt.edu  
 www.irb.vt.edu

FWA00000572( expires 1/20/2010)  
 IRB # is IRB00000667

DATE: May 19, 2008

## MEMORANDUM

TO: Joan B. Hirt  
 Ian Austin

FROM: David M. Moore 

Approval date: 5/19/2008  
 Continuing Review Due Date: 5/4/2009  
 Expiration Date: 5/18/2009

SUBJECT: **IRB Expedited Approval:** "Understanding Higher Education Governance Restructuring: The Case of the University of the West Indies", IRB # 08-315

This memo is regarding the above-mentioned protocol. The proposed research is eligible for expedited review according to the specifications authorized by 45 CFR 46.110 and 21 CFR 56.110. As Chair of the Virginia Tech Institutional Review Board, I have granted approval to the study for a period of 12 months, effective May 19, 2008.

As an investigator of human subjects, your responsibilities include the following:

1. Report promptly proposed changes in previously approved human subject research activities to the IRB, including changes to your study forms, procedures and investigators, regardless of how minor. The proposed changes must not be initiated without IRB review and approval, except where necessary to eliminate apparent immediate hazards to the subjects.
2. Report promptly to the IRB any injuries or other unanticipated or adverse events involving risks or harms to human research subjects or others.
3. Report promptly to the IRB of the study's closing (i.e., data collecting and data analysis complete at Virginia Tech). If the study is to continue past the expiration date (listed above), investigators must submit a request for continuing review prior to the continuing review due date (listed above). It is the researcher's responsibility to obtain re-approval from the IRB before the study's expiration date.
4. If re-approval is not obtained (unless the study has been reported to the IRB as closed) prior to the expiration date, all activities involving human subjects and data analysis must cease immediately, except where necessary to eliminate apparent immediate hazards to the subjects.

**Important:**

If you are conducting **federally funded non-exempt research**, please send the applicable OSP/grant proposal to the IRB office, once available. OSP funds may not be released until the IRB has compared and found consistent the proposal and related IRB application.

cc: File

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