Chapter 2: Background to Study

> *Cultural obstacles to change are common in all societies, for the obvious reason that an impending transformation threatens habits, ways of life, beliefs and social prejudices.... To respond to change might mean altering ones own social priorities, educational system, patterns of consumption and saving, even basic beliefs about the relationship between the individual and society.* Paul Kennedy (1993), Preparing for the Twenty-First Century

> *The purpose of education is life enhancing: it contributes to the whole quality of life....In the next century, the economically successful nations will be those which will become learning societies: all are committed, through effective education and training, to lifelong learning. So, to be a successful nation in a competitive world, and to maintain a cohesive society and a rich culture, we must invest in education to develop our greatest resource our people.*
> National Committee of Inquiry into Higher Education, (1997) Report

2.1 Introduction

Planned change is historically about a rational, logical process, designed to do something to an individual, group, or organisation. The process was initiated from the top and people followed what the leader 'said'. The problem with this approach, was that considerable resources of time and money were required to make the change happen and propagate it down through the organisation. When the pushing stopped, the change stopped i.e. the process was not self-sustaining. Then followed a period when change was based upon manipulative assumptions and 'literally inserted from the top'. In this approach, proponents thought that if the rewards were high enough, people could be 'bought off.". These change programmes included: TQM, Quality Circles, Strategic Visioning, Reengineering. Then a new approach entered, based on the 'bottom up', employee involvement, where agreement was reached through dialogue and mutual understanding. These approaches : Organisational Development (OD) and Transformation, had their basis in humanistic psychology. That these approaches still fail, is now argued (e.g., McKay, 1997) due to a lack of understanding of the total dynamics of the situation(culture). (This is also in part due to the 'change agents' applying the inappropriate techniques that they have found successful elsewhere). An understanding of the total dynamic, which includes the deeper patterns of human behaviour(belief systems), as well as the 'organisations psyche' is now recommended. This understanding is now being developed in the 'learning organisation' school.

In this review, there is not time to go into detail of all the differing approaches. This can be found elsewhere in many texts (e.g. Johnson & Scholes, 1988, Thompson, 1990). Instead, an approach which outlines the developments, but focuses on some areas (NB. particularly those that may find application i.e., appreciation, in the engineering

environment context of this project), will be taken. This also includes a focus on areas of significance to this project e.g., 'resistance to change'. Following the background to the management of change, a review of the University context in which this project is situated, will ensue. This leads into a review of change and its management within the HE context.

2.2 Management of Change

The basic underlying theme of organizational development (OD) is that developing an appropriate organizational culture will generate desirable changes in strategy (McKay, 1997). Beckhard (1969) defined OD as effort which is 'planned, organization-wide, and managed from the top, designed to increase organizational effectiveness and health through planned interventions in the organization's processes, using behavioural science knowledge'. The aim of OD is thus to establish mechanisms which encourage managers to be more open, participative and co-operative when dealing with problems and making decisions. Specifically the objectives are.

- improved organizational effectiveness and, as a result,
- higher profits and better customer service (in its widest context),
- more effective decision making,
- the ability to make and manage changes more smoothly,
- increased innovation,
- reduced conflict and destructive political activity,
- greater trust and collaboration between managers and business units.

Organized OD programmes involve activities such as team building and collaborative decision making, bringing managers together and encouraging them to share and discuss problems and issues. The thinking is that when managers learn more about the problems which face the' organization as a whole, and other managers who may have different technical or functional perspectives, they become more aware of the impact of the decisions they make. In addition, if they collaborate and share responsibilities, they are more likely to feel committed to joint decisions.

An example of one such current model used formally in Higher education (Sommerville, 1996), is that of the European Business Excellence Model, implemented in 1992 as the European Quality Award by the European Foundation for Quality Management (Total Quality Management, 1992). Briefly organisations undertake an audit (in the form of evidence of excellence) of the nine elements in the model: leadership, people management, policy and strategy, resources, processes, people satisfaction, customer satisfaction, impact on society and business results (see Figure 1.1). By targeting improvement performance to best effect, from the audit 'score cards', business excellence is suggested to be achieved

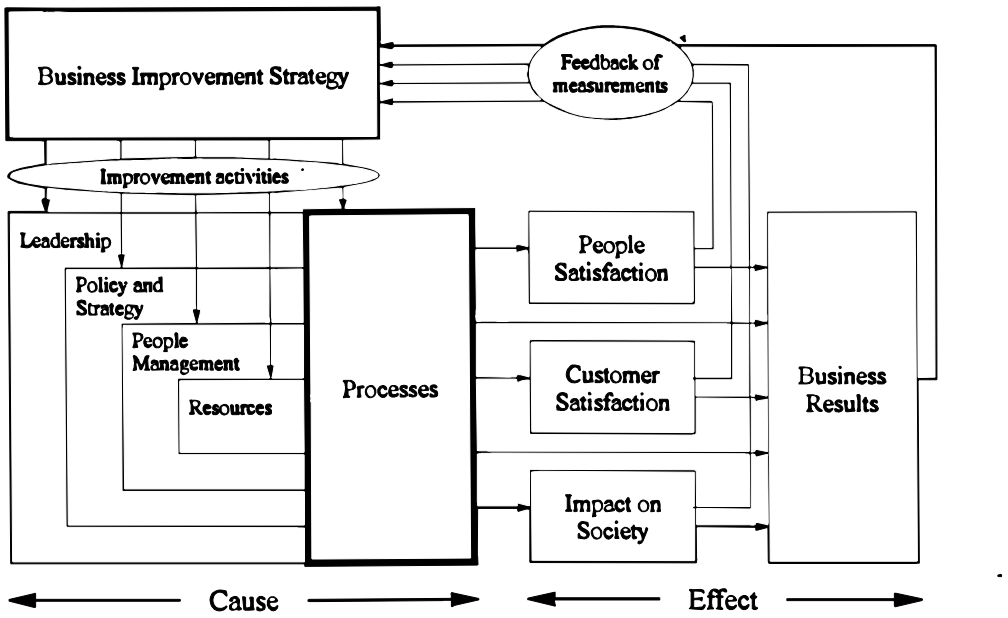

Figure 2.1: The Business Excellence Model (Source: IEE, 1998[1])

2.2.1 Types of change

The types of organisational change, as presented in the literature, can be classified as either prescriptive or descriptive change according to Legge (1984). Prescriptive approaches are basically guides to help managers implement and sustain change, were as the descriptive approach attempts to understand and model the process. Alternatively it can be useful to characterise the change by the severity of the change process (Grundy, 1993). This section looks briefly at these approaches to gain an overview for understanding later.

Grundy sees three change types:-

- Smooth incremental: characteristic of slow, systematic and predictable organisation evolution
- Bumpy incremental: characteristic of periods of quiet then accelerated change (this being perceived as overload and often occurs during periodic reorganisation)
- Discontinuous change: characteristic of rapid change (of strategy, culture or structure or all three) often after a period of smooth incremental change

Quinn (1980) argues that managers manage the complexity of change by an incremental approach, as a strategy to balancing the (political) compromises which must be made. Whilst Quinn's model is primarily a top-down approach it suggests a high degree of political skill on the part of the strategic leader, who appreciates the difficulties involved

[1] Paragon Consulting Associates, Carrinton Business Park, Carrington, Manchester M31 4XL (0161 777 8660).

in implementing change. Quinn (1988) argues that the hardest part of strategic management is implementation, as transition and change impacts structures and systems, organisation culture and power relationships. The strategic leader is critical in the process because he or she is either personally or ultimately responsible for the proposed changes in strategy, and for establishing the structure and processes within the organisation.

Quinn's approach (from Thompson, 1990) is as follows:

- The strategic leader will develop his or her own informal information and communication channels, both within and external to the organisation. He will draw on this as much as using the formal systems.
- The strategic leader must generate awareness of the desired change with the appropriate managers within the organisation. This involves communication and cultural issues.
- The strategic leader will seek to legitimise the new approach or strategy, lending it authority, if not, at this stage, credibility.
- He will then seek to gather key supporters for the approach or strategy.
- The new strategy may be floated as a minor tactical change to minimise resistance, and possibly keep the ultimate aim unclear. Alternatively the strategy may be floated as a trial or experiment.
- Opposition will be removed by, for example, ensuring that supporters chair key committees, and that stubborn opponents are moved to other parts of the organisation.
- The strategy will be flexible so that incremental changes can be made in the light of the trials. There will be a strong element of learning by doing, go that any unexpected resource limitations, such as a shortage of key skills, will be highlighted.
- Support for the change will harden.
- The proposals will be crystallised and focused.
- Finally the proposed changes will be formalised and ideally accepted within the organisation. This should involve honest evaluation and attempts to improve upon the original ideas. It is particularly important to look ahead and consider how the new strategy might be developed further in the future.

Quinn's approach incorporates an appreciation of the likely impact upon people and the culture and pragmatically searches for a better way of doing things once the decisions have been made.

Bourgeois and Brodwin (1984) have identified five distinct basic approaches to strategy implementation and strategic change:-

Powerful strategic leader undertaking top-down strategic change alone.

- The strategic leader, possibly using expert planners or enlisting planning techniques, defines changes of strategy and then hands over to senior managers for implementation. The strategic leader is primarily a thinker/ planner rather than a doer.

- The strategic leader again decides major changes of strategy and then considers the appropriate changes in structure, personnel, and information and reward systems if the

strategy is to be implemented effectively. Quinn (1988) contends that the strategic leader may reveal the strategy gradually and incrementally as he or she seeks to gather support during implementation. See his approach below.

Centralised approach, several managers involved.

- The strategic leader and his or her senior managers (divisional heads, business unit general managers or senior functional managers) meet for lengthy discussions with a view to formulating proposed strategic changes. All the managers are briefed and knowledgeable, and the aim is to reach decisions to which they will all be committed. Strategies agreed at the meetings are then implemented by the managers who have been instrumental in their formulation.

Decentralised approach.

- The strategic leader concentrates on establishing and communicating a clear mission and purpose for the organisation. He or she seeks to pursue this through a decentralised structure by developing an appropriate organisation culture and establishing an organisation-wide unity of purpose. Whilst the strategic leader will retain responsibility for changes in the strategic perspective, decisions concerning competitive and functional strategy changes are decentralised to general and functional managers who are constrained by the mission, culture and policies established by the strategic leader.
- Managers throughout the organisation are widely encouraged to be innovative and come up with new ideas for change. The strategic leader establishes a framework for evaluating these proposals - recognising that those which are accepted and resourced result in increased status for the managers concerned.

2.2.2 Assessing Change

Hersey, Blanchard & Johnson (1996) believe change is achieved through a careful choreography of many parts. They recommend the 'A VICTORY' acronym (Barabba & Zaltman, 1991) to focus on the factors important to successful implementation of change:

- *A = Ability.* What are the abilities and inability's of the organisation and its members with respect to change? Are the necessary resources and capabilities available?
- *V = Values.* How compatible are management's attitudes and practices with the values, cultural norms, and attitudes required by the change?
- *I = Idea /Information*. Complex information about the proposed change should be provided as simply as possible. The reason and need for the change should be understood by all.
- *C = Circumstances.* What factors in the organisation affect the acceptance and implementation of the change?
- *T = Timing.* How ready is the organisation to implement the proposed change? Are current circumstances to your advantage?
- *0 = Obligation.* Do relevant decision makers and "champions' perceive the need for change? Are they ready and committed?

• *R =Resistance.* What is the level of resistance to change? How can you overcome or manage this resistance?
• *Y* = Yield. What are the benefits of the change for those who are asked to approve it or implement it? Do measurable benefits facilitate the implementation of the change process?

An alternative approach is that of Lewin (1951). He suggested the practical force field analysis model, which clarifies whether change is likely to happen. Briefly, the extent to which change happens depends on shifting the equilibrium point of countering driving(e.g. economic necessity i.e., based on logic) and opposing forces(e.g., personnel resistance perhaps based on emotion). This approach requires an assessment of the strength of all the forces, which are summed to gauge the likely resultant force direction. It is used successfully later (Chapter 4.3).

Other tools are discussed by Grundy (1993) and Wood Parker (1997) e.g., paradigm analysis, change systems, stakeholder analysis and change project management.

2.2.3 Dynamics of Change

Lewin (1947) contended that permanent changes in behaviour involved three aspects:
- unfreezing: when people become willing to accept that change is needed NB a trigger is usually required e.g., external threat, and also may be aided by e.g., on the individual level by selective promotion or on the climate level by questionnaire feedback on management practice.
- change/ movement: when people actually try out/ implement changes.
- Refreezing: when the new behaviour patterns are accepted and followed willingly. This may be through formalising (institutionalising) the changes in new systems/ procedures. Rewards can make sure that refreezing actually takes place.

A more 'complete' model of the change dynamic, is described by Carnall (1990). The stages he proposed, are:-
1. denying there is any problem,
2. defending the old,
3. dropping of the old and looking for the new,
4. adopt the new,
5. finally believing in it!

A critical aspect is the identified dip in performance linked to a drop in self esteem, due to poor communication by management.

An alternative enhancement to Lewin has been proposed by Isabella (1990). She adds a preliminary stage, 'anticipation' and suggests that movement between the four stages is initiated by a trigger event. For example the movement from 'anticipation' to 'unfreezing' may be triggered by the announcement that a change event will occur etc. This model suggests that leaders can view resistance to change not as an obstacle but as part of the mental process people experience as they under go change and personalise the event. A further enhancement uses Schein's idea of psychological safety (Schein, 1992). He suggests that as an organisation 'unfreezes' it faces two types of anxiety:

- Anxiety 1: is associated with inability or willingness to learn something new because it appears too difficult or disruptive i.e., caused by the fear of failing.
- Anxiety 2: is the induced anxiety of continuing to do something that will lead to failure i.e., caused by the fear of not changing.

To implement change anxiety 2 must be greater than anxiety 1. To accomplish the needed psychological safety, a powerful vision is recommended to reduce the fear of changing and enhance the fear of not changing. This is taken up later in developing a theme 'To Develop a Blueprint for Survival' (Chapter 4.5).

2.2.4 Motivation

Motivation is discussed in a number of texts (e.g., Cowling & Mailer, 1998, Campbell Martin, 1993, Hersey, Blanchard, & Johnson, 1996). Specific theories are:

- McGregor's Theory X and Theory Y: describes two different assuptions about human nature.
- Argyris's Immaturity-Maturity Theory: describes seven changes that should develop in the personality of individuals if they are to develop into mature people.
- Herzberg's Motivation-Hygiene Theory: describes two different sets of needs: motivators to do with the job itself and hygiene factors associated with the environment.
- Maslow's Hierarchy of Needs Theory: a hierarchy which one progresses up, ranging from physiological to self-actualisation.
- Alderfer's Hierarchy: a three tier hierarchy of Existence , Relatedness, and Growth, in which more than one level can be active at one time and down which one can regress.
- Expectancy Theory: based on Equity Theory and Attribution theory (Kelly) to evaluate ones own motivation (see Campell Martin, 1993).

Two polar positions stand out from these theories, that people are motivated only by psychological and safety needs and satisfy hygiene factors or that people are motivated by affiliation, esteem and self-actualisation needs. Recent thinking on creating a motivating environment at work (Robertson & Cooper, 1993) implies that managers take into account a combination of these theories.

Of particular interest to this programme is the motivation of academics. The nearest reference to this specific group is perhaps that by Tampoe (1994), referring to 'knowledge workers' i.e., 'those workers who apply their theoretical and practical understanding of a specific area of knowledge to produce outcomes which have a commercial, social or personal value'. As Tampoe observes:-

- The supervision of knowledge workers is difficult as their work can usually only be assessed after it is complete. They are less susceptible to routine and process than other types of employee.
- Knowledge workers tend to resent being supervised and managed by those who are, technically speaking, subordinate to themselves.
- Specialists gain their security from their specialisation. Their expert power gives them the leverage to demand more freedom in their methods of operation. Specialists

who are dissatisfied with the level of autonomy given may lose corporate loyalty, perform poorly or even resign to sell their skills elsewhere.

- With Personal Motivation, there are four key characteristics that determine the performance of knowledge workers. These are:

  - *Task Competence* (the development of specialist knowledge);
  - *Peer and Management Support* (help from peers and managers given to each knowledge worker);
  - *Task Role and Clarity* (understanding what is expected with clear measures for success that can be self-assessed);
  - *Corporate Awareness* (understanding what the organisation is trying to achieve and the environment in which it is operating).

Tampoe has developed a model (Figure 2.2) containing the above observations. The model shows the relationships between key variables (in capitals) with each one moderated or enhanced (indicated thus: 'X') by the external variables shown in italics.
In the model personal motivation is ultimately dependent on:-

- Rewards received as compared to rewards expected.
- The value that the individual places on the rewards received.
- The success rate in achieving personally expected performance levels.

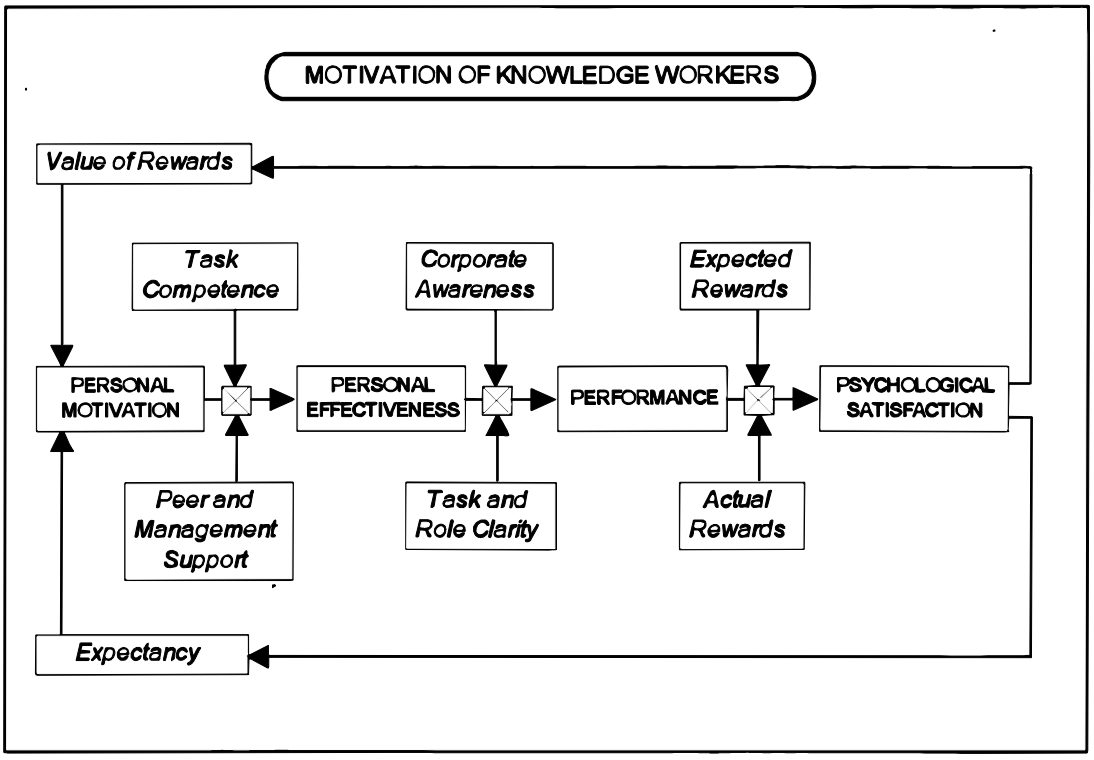

Figure 2.2: Motivation of knowledge workers (source: Tampoe, 1994).

The use of this model is that it has the potential to be adapted to an understanding of the academic, in the authors opinion.

2.2.5 Power

Thompson(1990) suggests that managers can exert power and influence through:

- budgets
- rewards
- Organization structure and positions
- promotions and management development
- information systems
- symbols of power and status

Checkland (1986) defines organizational politics 'as the process by which differing interests reach accommodation'.

Thompson(1990) identifies what he called the bases of power:-
- Reward and coercive power(the ability to sanction and punish - major determinates on employee motivation)
- Legitimate power(through organisation structure)
- Personal power (support & trust)
- Expert power
- Information and connection power (IT)
- Invisible power(e.g. membership of informal but influential groups, access and ability to withhold information, effective communication)

MacMillan (1978) argues that introducing and implementing change frequently requires the use of power and influence, which he examines in terms of the control of situations and the ability to change people's intentions. He identifies four tactics:-

- Inducement. Inducement implies an ability to control the situation, and the outcome is perceived as beneficial by others involved. A large retail organisation with several stores might require managers to be mobile as a condition of their employment, and reward them with improved status, salary increases and relocation expenses every time they move. The situation is controlled; ideally the managers concerned feel positive about the moves.
- Coercion. The situation is again controlled, but the outcome is perceived negatively. In the above situation the same managers might be threatened with no further promotions unless they agreed to certain moves within the company.
- Persuasion. The manager does not try to control or change the situation but argues that the other people can or will benefit by behaving in certain ways. The desired outcome is positive. People might be persuaded to agree to a change which is not immediately desirable by suggestions that future rewards will he forthcoming.
- Obligation. Obligation is another intentional tactic, but the outcome is negative. People are persuaded to behave in a certain way by being made to feel that they have an obligation. It might he suggested that people
- owe the company something for the money that has been invested in their previous training, or

- owe particular managers a favour for some- thing which has happened in the past, or
- are obligated to the group of people that they have been working with for some years and should not let them down.

2.2.6 Resistance to change

Thompson (1990) discusses resistance to change. He suggests:

- Some resistance can be expected where people have worked out ways of doing things which are beneficial to them in terms of their objectives and preferences. They may see change as a threat. Similarly when people have mastered tasks and feel in control of their jobs and responsibilities, they are likely to feel relatively safe and secure personally. Again change may he perceived as a threat to their security, although the aim might be to ensure the security of the organisation as a whole.
- Where particular policies, behaviour patterns and ways of doing things have been established and accepted for a long time and in effect have become part of the culture of the organisation, change will require careful implementation. The need for change may not be accepted readily.
- It is not unusual for people to have some fear of the unknown and to feel comfortable with situations, policies and procedures they know. Awareness and understanding is therefore an important aspect of change
- The organisation itself, or particular managers, may resist external pressures if the change involves considerable expense, investment in new equipment and the associated risks. This issue can be exacerbated where there has previously been substantial investment in plant and equipment which technically is still satisfactory. Although demand may be falling there may be a reluctance to sell or close.
- Resistance is likely to be forthcoming where there are perceived flaws or weaknesses in the proposal. Change decisions may be made by the strategic leader and then delegated for implementation. Managers who are closer to the market may have some justified reservations if they have not been consulted during the formulation process.

Further reading on resistance to change can be found in Anderson, Barker & Dennis (1996).

2.2.6.1 Overcoming Resistance To Chance

Kotter and Schlesinger (1979) suggest six ways to overcome resistance to change. Each method has situation specific advantages and disadvantages:-

- **Education And Communication**

Education and communication should help people understand the logic and the need for change. A major drawback can be the inherent time delays and logistics when a lot of people are involved. It also requires mutual trust.

- **Participation And Involvement**

The contention is that people will be more supportive of the changes if they are involved in the formulation and design. Again it can be time consuming; and if groups are asked to deliberate and make decisions there is a risk that some decisions will be compromises leading to sub optimisation.

- **Facilitation And Support**

This can involve either training or counselling but there is no guarantee that any resistance will be overcome.

- **Negotiation And Agreement**

Negotiation and agreement are normally linked to incentives and rewards. Where the resistance stems from a perceived loss as a result of the proposed change, this can be useful, particularly where the resisting force is powerful. However, offering rewards every time changes in behaviour are desired is likely to prove impractical.

- **Manipulation And Co-Optation**

This encompasses covert attempts to influence people, for example by the selective use of information and conscious structuring of events. Co-optation involves 'buying-off' informal leaders by personal reward or status. These methods are ethically questionable, and they may well cause grievances to be stored for the future.

- **Explicit And Implicit Coercion**

The use of threats can work in the short run but is unlikely to result in long-term commitment.

2.2.7 Organisational Change and Learning

Individual learning can be defined as *'the acquiring of knowledge and skill'*. It thus encompasses: an operational learning facet i.e., acquisition of skill or 'know how', and a conceptual learning facet i.e., the acquisition of 'know why'. Learning can then be seen as a cycle (e.g., Lewin's model (1951) of:- having a concrete experience, making observations and reflections on that experience, forming abstract concepts and generalisations based on those reflections, and testing those ideas in a new situation, which leads to another concrete experience (and so the cycle repeats). Similarly described cycles are used in education theory of individual learning e.g. Kolb (1976) learning cycle consisting of: doing, reflecting, theorising, planning for action, doing etc. (Figure 2.3).

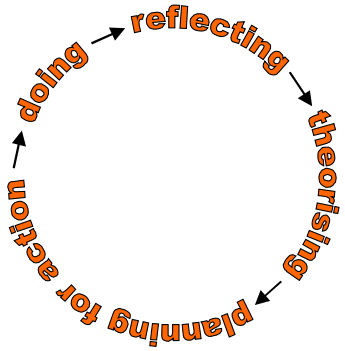

Figure 2.3: The Kolb Learning Cycle.

Organisational learning many theorists argue, has a very similar analogy. Koffman's version of the learning cycle (**OADI** cycle), uses terms that have clearer connections to

activities conducted in organisational contexts i.e., **O**bserve - **A**ssess - **D**esign - **I**mplement.

Kim (1993) has developed an integrated model of organisational learning (Figure 2.4), which includes the individual learning cycle. The critical role in linking individual to organisational learning is through memory 'translated' into the concept of mental models. Mental models (individual) are described by Senge (1990) as 'deeply held images of how the world works, which have a powerful influence on what we do because they also affect what we see'. The individual operational learning, is seen as, captured as 'routines', and the conceptual learning gives rise to new 'frameworks', in the individual mental model. The organisational 'memory' is conceptualised as 'shared mental models', with a distinction made between the organisations 'weltanschauung' i.e., reflecting its culture, deep-rooted assumptions, artefacts and overt behaviour rules, and its 'organisational routines' e.g., standard operating procedures. Individual and/or organisational learning then takes place when a complete loop or cycle (Figure 2.4) has taken place.

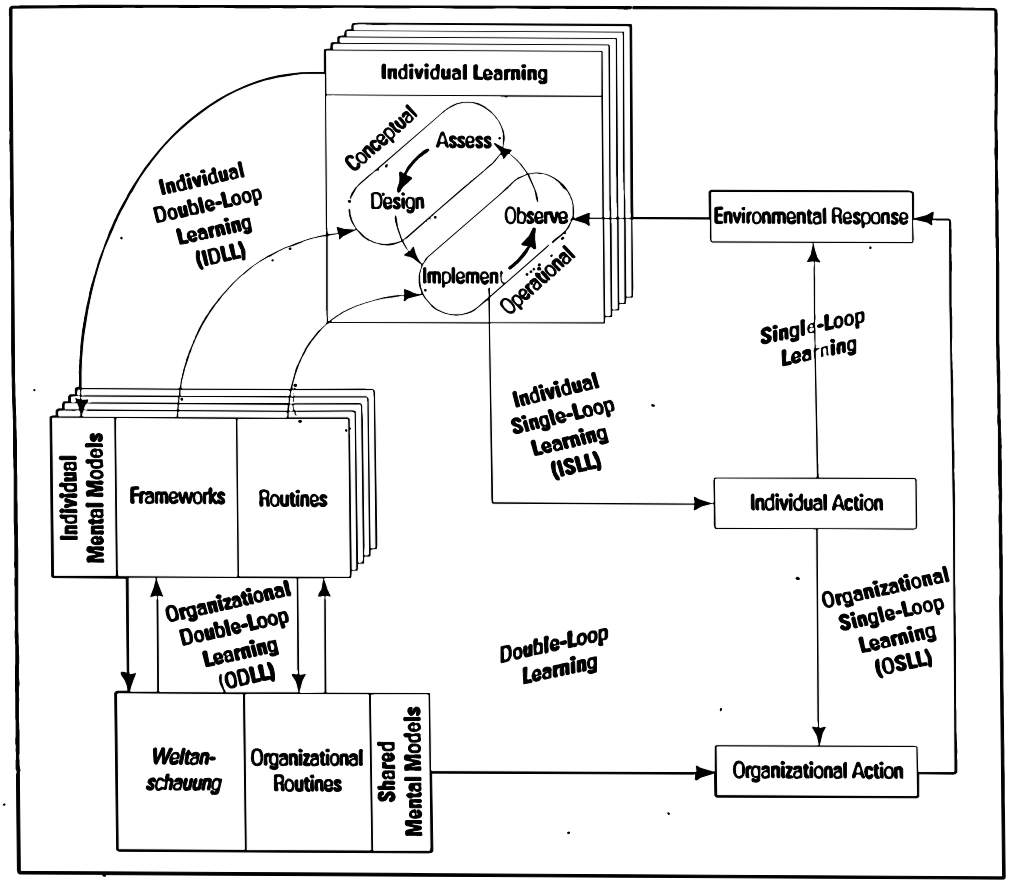

Figure 2.4: Kim's Integrated Model of Organisational Learning: Source Kim, 1993.

The full model shows two types of loops referred to as single and double loop learning. Using Kim's model of organisational learning (Figure 2.4), individual single and double loop learning, and organisational single and double loop learning can be shown. For example, individual double loop learning can be traced out on the figure as the process through which individual learning affects individual mental models, which in turn

affects future learning. Organisational double loop learning occurs when individual mental models become incorporated into the organisation through shared mental models, which can the affect organisational action i.e., double-loop learning occurs when an error is detected and corrected in ways that involve the modification of an organisation's underlying norms, policies and objectives.'

The Threefold Model of Learning

An alternative perspective, is given by Argyris and Schon, (1978) They developed a 'threefold typology of learning' which they describe as single-loop, double-loop and deutero-learning, which has many similarities to approaches to individual learning i.e., as organisational learning involves the detection and correction of error. When the error detected and corrected permits the organisation to carry on its present policies or achieve its present objectives; then that error-detection-and-correction process is single-loop learning. Double-loop learning occurs when error is detected and corrected in ways that involve the modification of an organisation's underlying norms, policies and objectives.' As Argyris states: 'Single-loop learning is fine for routine issues. Double-loop learning is more relevant for the complex non-programmable issues.'

Senge's shift of mind i.e., systems thinking

Senge (1990) defines five key characteristic 'disciplines' or organisational learning processes that he believes are essential for an organisation to be classed as a learning organisation (see also Pedler, Burgoyne, & Boydell, 1991) i.e., 'an organisation which facilitates the learning of all its members and continually transforms itself' (in other words, an organisation which has no major blocks), These 'disciplines' are:

1. Systems thinking - the ability to think in terms of the whole rather than the component parts.
2. Personal mastery - a special level of proficiency achieved through commitment to lifelong learning.
3. Mental models - learning how to surface, challenge and adapt our mental models, our strongly held assumptions and generalisations that determine our understanding of the world around us.
4. Building a shared vision- where there is a genuine vision, people become capable of outstanding achievements and significant learning takes place because of strong motivations.
5. *Team learning* - teams can learn and when this happens they excel and at the same time their members are developing. Team learning is essential since teams and not individuals are the 'fundamental learning unit in modern organisations'.

Senge (1990) cites the term 'the Fifth Discipline' to emphasis in his opinion, the most important of these. This is systems thinking, since it is the one that integrates all the disciplines. But he notes that, systems thinking needs the other disciplines if it is to realise its potential. He goes on to define a number of laws which underpin systems thinking.

Senge's five disciplines suggest that a 'shift of mind' is necessary:
from seeing parts to seeing wholes
understanding two kinds of complexity -

- 'detail' complexity, where there are many variables;

- 'dynamic' complexity, where the relationships are subtle and involve time-lags.

He explains, the real leverage in organisations comes from understanding dynamic complexity e.g., improving quality, lowering costs and keeping customers satisfied. The key to seeing things in systems terms is to see circles of influence rather than straight lines and to look for the feedback processes. These are of two kinds:-

- 'reinforcing' feedback processes which are a feature of growth;
- 'balancing' feedback processes - as with a regulator or thermostat.

Many feedback processes involve delays. Reinforcing feedback can lead to self fulfilling prophecies etc.

Senge (op. cit.) also gave some practical advice for communicating between individuals. His guidelines on the 'discipline of balancing enquiry and advocacy, are a practical outcome of system thinking. Further reading on practical facilitating organisational learning, is given by Probst & Buchhel (1997).

2.3 The University Context

In 'Leading Academics', Robin Middlehurst (1993), discusses the core features of academic institutions:-

- Operation of individual autonomy
- Importance of individual expertise and reputation
- The existence of a dual hierarchy of professional and administrative authority
- Value placed on consensus, on reasoned argument, on self-governance and self-determination.

Both Middlehust, Becher & Kogan (1992), and Miller (1995) discuss how and why Universities are changing. In 'Managing for Quality', a Higher Education Quality Council publication (HEQC, 1995), the present tension can be observed. 'Discussions of change again raised the tension between the new managerialism in universities - representing a corporate view on quality and standards - and professional perspectives linked to excellence and innovation in academic work. Universities are often, it seems, attempting to achieve a balance between academic professionalism and the need to enhance corporate interests. In the quest for quality, however it may be defined, it is important to achieve this balance since at the heart of professional value systems is a commitment to standards and to the delivery of an individual service, while a key part of a corporate approach is consistency and reliability of that service. If the balance tips too heavily towards the corporate at the expense of professionalism, or *vice versa,* then quality may well suffer.
However, a sharper focus on outcomes, or results, as well as a continuing focus on processes and procedures may achieve the desired results. Professionals can retain discretion in key areas but it is conditional on the achievement of agreed targets and

improved outcomes. Clearly, universities can learn a great deal from the ways in which other organisations in the public sector have managed similar changes.'

Further developments in management perspectives are given by Sanyal (1997). On the staff perspective Ford et al (1996) give examples of academic roles and some of the pressures and issues related to them, that change has brought (see Appendix A21). They conclude:-

- the roles of academic staff highlight the importance of clearly defining the role to the business need.
- In the changing world of HEI's(higher education institutes) it could be argued that the future roles of academic staff will he less as pure presenters of knowledge and more as authors and developers of learning material and managers of learning. To achieve this successfully they will need to reassess their attitude to the question of reuse of learning materials, by themselves and others, and the institution will need to provide more professional support, staff to support the delivery of the essential functions.
- Additionally, systematic staff development needs to he provided for academic staff, particularly in the area of integration of IT(information technology) into the learning processes.
- The variety of academic roles essential for the creation of a successful learning environment needs to recognised and appropriately rewarded.
- Institutions need to address the issue of specialisation; given the variety of roles and the different skill sets needed for each, what role should each individual academic planing. This suggests a much more proactive human resources strategy than is common at present, with, for example, more specific job descriptions, frequent appraisal, focused development opportunities and new career pathways.

Shirley Fisher(1994) discusses the pressures in academic life and the stress that this causes. She discusses problem focused and emotion focused coping strategies.

2.3.1 Environment

The Higher Education (HE) environment or 'social system' (Ford et al, 1996) can be considered to consist of:-

- people - classified as influencers, users, service providers, and related agencies
- organisational structures - internal and external
- roles - high level tasks performed by individuals with identifiable knowledge and skills, supporting business process
- workgroups - informal or formal networks achieving shared goals (not necessarily reflected by organisational structure). They may be permanent, in which case they may well be defined as part of the organisational structure, or they may be temporary, set up to complete a particular project and disbanded on its completion. Several models are available. Laurillard (1993), for example, has proposed that wider use be made of the kinds of course team arrangement evolved by the Open University.

Figure 2.5 summarises the major users, service providers, influencers and related organisations to Universities. As Ford et al (1996) conclude, 'it is important to identify these groups for your own HEI and take account of their needs and influence'.

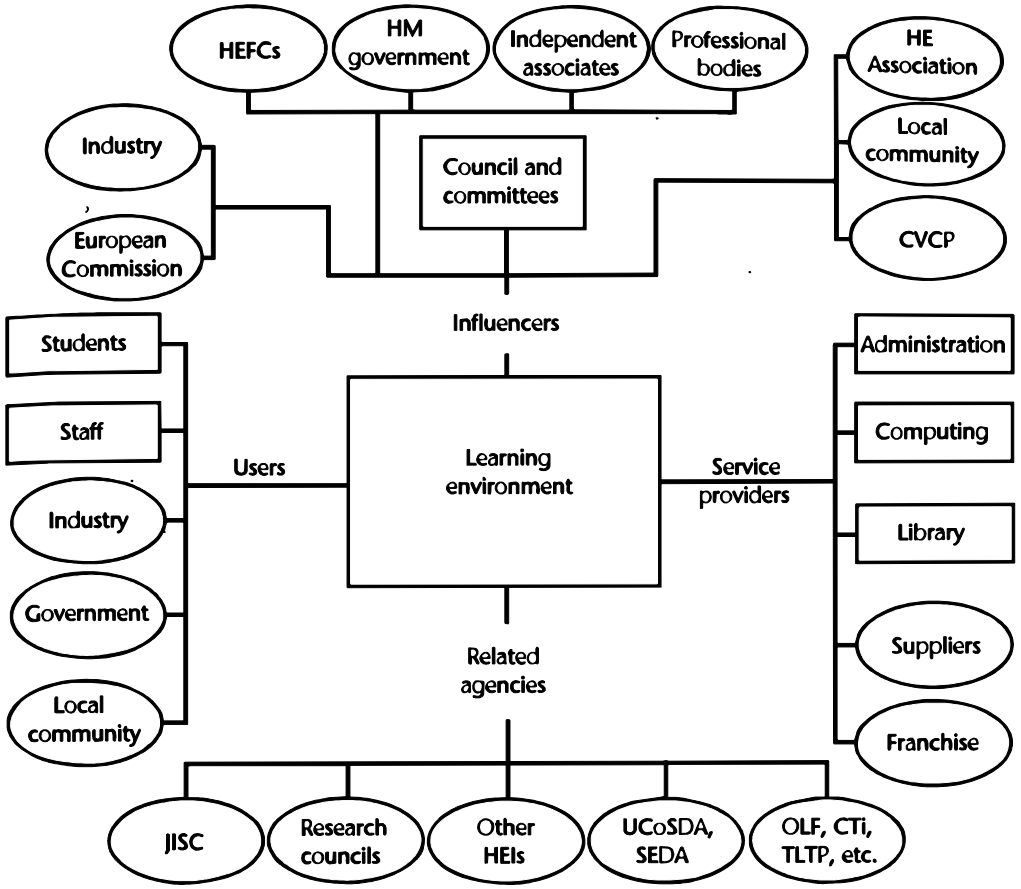

Figure 2.5: Some of the external relationships associated with HEIs (Source: Ford et al, 1996).

2.3.2 Pace of change

A number of pressures are forcing change in HE. Amongst these are:-

- Plans to have professional accreditation for all university teaching staff i.e., to have their skills formally recognised, is well underway. The proposals are contained in a consultation document: the Booth report[1] and are likely to be administered by the Dearing proposed Institute for Learning and Teaching in Higher Education.
- The Dearing Report on UK Higher Education (see Appendix A2)
- New quality and enhancement systems introducing e.g., performance indicators (HEQC, 1996) and getting value for money for the tax payer (Knight, 1993)
- Learning for the Twenty-First Century, First report of the National Advisory Group for Continuing Education and Lifelong Learning (Lifelong learning: Fryer R H (1997)). Recommendations include widening access to HE, appropriate reward systems for teaching and appropriate reward for institutions and staff who can clearly demonstrate

[1] Available off the internet at www.cvcp.ac.uk

their contribution to a national strategy to develop a culture of lifelong learning for all. Changes expected include new partnerships and collaboration for workplace learning.

- Salaries 'in the 'old' and 'new' universities and colleges haven fallen behind other comparable professions by 20-25% in the last 20 years' (AUT, 1998).
- Research into what is learning and what constitutes a good lecturer (Smith & Brown,1995, Dwyer)
- IT developments associated with the delivery and process of learning (Perrone, Clark & Repenning, 1996, Warkins, Calverley, Bacon, 1995)
- Entry of new managerial perspectives and culture e.g., the student as a customer and implementing TQM (Bailey, & Bennett, 1996)

2.3.3 Implementing change in HE

Goodyear (1990) discusses managing change in higher education from an institutional architecture perspective, focusing on the learning environment. In chapter 3 'Managing Change', he discusses the importance of capturing the vision and then evolving a business plan. Although he gives no recommendations, he describes the potential for IT to drive business transformation. He uses a MIT/Sloan model which describes five levels of business transformation:-

1. localised exploitation
2. internal integration
3. business process redesign
4. business network redesign
5. business scope redefinition

The lowest level ('1') having the least degree of business transformation and range of potential benefit (i.e. an evolutionary transformation) to the highest level ('5') having the greatest degree of business transformation and range of potential benefit (i.e., a revolutionary transformation). This model is revisited in chapter 3.4.1. It is interesting to note that Universities are at present experiencing all levels e.g., at level 5, the roles of HEI's are being reassessed, leading to a redefinition of the HEI's activity (e.g. delivery of learning, management of learning, assessment of learning - much of this is IT driven).

Sommerville (1996) is one of the few authors who has written on practical experiences gained in implementing change in HE. She describes the implementation of a total quality management approach, using the European Quality Model as its framework (IEE, 1998: Peacock, R.) to shift their institutions culture away from 'public-sector mentality' to 'more customer orientated', to create a marketing edge. The approach reported was to generate value statements on the kind of organisation they wanted to be (culminating with a meeting with all staff) and then generate the actions required to be implemented to change. It was then found necessary to gain commitment by the Senior Management Team (SMT), and this was undertaken during a four day development programme. Interestingly the approach taken to embed the culture was that the SMT

agreed to 'challenge anyone contravening these philosophies, whether they were members of staff or SMT. This would not be done in an aggressive way, but by drawing to the attention of the person concerned how their behaviour could be interpreted and what an alternative approach might be.' Central to this paper is the authors belief that changing to a TQM culture, 'the most important part of "getting it right"' is of culture change (and this factor is not explicitly mentioned in the quality model). As she concludes, 'culture change should come first in the quality process. Unless attitudes and behaviours change, any improvement will be temporary.'

2.3.4 The Learning University

Creating collaborative partnerships in education is seen as an essential development (Nicholls, 1997). This is also part of the new way of seeing universities in the next century i.e., operating as learning enterprises/ organisations (Duke, 1992, Gray, 1995). This is being attempted over a five year period at Glasgow Caledonian University. Their Partnership for Quality Initiative (PQI) is designed to create equal decision-making partnerships of university staff, students, employers and community groups and claims that 'partnerships have improved decision making and increased resources' (Borzony & Hunter, 1996). The PQI is 'designed to help the university become a learning organisation'. A basic premise of the PQI is that 'people are capable of making their own decisions'. A 'flexible framework has been created for explaining and developing learning organisations, which "speaks" to all partners' (i.e., education). This framework differentiates between three broad, interrelated dimensions, linking culture to behaviour and learning, briefly:-

- Culture
    - symbols
    - attitudes
    - beliefs
- Behaviour
    - allowed to learn/change
    - able to learn/change
    - willing to learn/change
- Learning
    - single loop learning
    - double loop learning
    - triple loop learning

Their approach to translate the theory into practice, is by:-

- redesigning and utilising Honey and Mumford's Learning Diagnostic Questionnaire (1990) to analyse the degree to which people are able, willing and allowed to learn.

- analysing the response for learning behaviours
- uses a collective approach to develop desirable behaviours
- then explore potential partnerships

Recardo, Molloy and Pellegrino (1995/6) give advise on how learning organisations manage change.