

© 2014

Stacy Smulowitz

ALL RIGHTS RESERVED

PLANNED ORGANIZATIONAL CHANGE IN HIGHER EDUCATION: DASHBOARD
INDICATORS AND STAKEHOLDER SENSEMAKING-A CASE STUDY

By

STACY SMULOWITZ

A dissertation submitted to the

Graduate School-New Brunswick

Rutgers, The State University of New Jersey

in partial fulfillment of the requirements

for the degree of

Doctor of Philosophy

Graduate Program in

Communication, Information and Library Studies

Written under the direction of

Professor Brent D. Ruben

And approved by

New Brunswick, New Jersey

January, 2014

ABSTRACT OF THE DISSERTATION

Planned Organizational Change in Higher Education: Dashboard Indicators and Stakeholder Sensemaking-A Case Study

By STACY SMULOWITZ

Dissertation Director:

Brent D. Ruben, Ph.D.

This dissertation examined the introduction and implementation of an organizational Dashboard as a planned organizational change within four educational support service departments and the senior leadership group within a large, Northeastern university. General systems theory provides a theoretical framework for conceptualizing planned organizational change and the role of communication in these processes (Bertalanffy, 1950; Thayer, 1968; Ruben, 1983). Similarly, the role communication plays in the organizational stakeholder model of change implementation (Lewis, 2007) is used to understand these phenomenon.

Interviews from 32 participants were used in this case study. Findings suggest the following themes: accountability- the way participants provide evidence to internal and external constituents about the impact of higher education (Zumeta, 2011); organizational changes- how members perceive a result or consequence of the Dashboard effort (Outcome, n.d.); leadership issues- members' perception of the presence, or lack thereof, of leadership commitment to the

Dashboard effort (Commitment, n.d.)¹; information exchange- how members perceive the focus on the exchange of information about the Dashboard effort; and the overarching theme of communication- the process through which sensemaking and negotiation occur through social interactions (Berger & Luckmann, 1967).

Findings suggest that communication is necessary to understand planned organizational change and change effort strategies because people negotiate meanings of the change effort through communication and as a result their perceptions of the effort based on communication can stall, promote or halt the change effort itself (Ruben, 2009a). Many of the three organizational levels of employees studied had different perceptions about the change effort because of their different perceptions of reality which stem from their membership in different organizational levels (Gallivan, 2001; Ruben, 1979; Thayer, 1979).

Findings also suggest the importance of leadership and continuous facilitation of the change effort. A perceived shift in focus by leaders from the effort may be viewed by others in the organization as a lack of commitment which can stall or halt the effort. A change agent of the effort is imperative to keep the leader visibly engaged and others in the organization actively focused on results, especially in loosely coupled organizations such as institutions of higher education.

¹ The designation for Commitment, n.d. is required by APA format to designate a term found in a resource such as a dictionary. In these instances a dictionary was used to formally define terms associated with some themes. As such, the dictionary term, i.e. commitment, was defined and listed in APA format.

Acknowledgements

To complete a dissertation takes the support, advice and encouragement of many people. I am grateful to my advisor and chairperson Dr. Brent Ruben for his guidance, support and encouragement. His untiring reviewing of my rough drafts from locations all over the world and at all times of the day and night were a source of inspiration to me.

I owe special thanks to the members of my committee, Dr. Laurie Lewis, Dr. Lea Stewart, and Dr. James Giarelli, who encouraged me to reach for the stars. Thanks also to Dr. Kate Immordino, Sherri Tromp, and Barbara Corso in the Rutgers Center for Organizational Development and Leadership. Thanks also to Joan Chabrak; her eagerness to escort me through the academic process provided much help to me.

To my academic family, Dr. Christina Beck, Dr. Jane Elmes-Crahall, Dr. Diane Gayeski, and Dr. Jan Kelly, who provided unending guidance, support and encouragement; I am indebted to them. Their dedication to my career has been paramount to my successes.

I am thankful for the best friends, Christine, Doreen & Tim, Ellen, Joan, Meredith, Melissa, Patty, and Sue, who have supported me through the last eight years.

To my wonderful family, Grammy, Mom, Dad, Gigi, Jack, Grandma Martha, the Aukers, Rosie, Jerry, Carol, Pat, Marty, Sta, Lois, Tony, Genene, Beth, Marc, Judy, Steve, Mark, and Sister Carolyn, who have supported me, encouraged me, cared for my children and prayed for me throughout this process.

This dissertation is dedicated to the most significant people in my life; my husband John, daughter Victoria, and son Alexander. Their love, patience, and cooking while Mommy was working allowed me to complete this lifelong dream.

TABLE OF CONTENTS

ABSTRACT	ii
ACKNOWLEDGEMENTS	iv
TABLE OF CONTENTS	v
LIST OF TABLES	x

INTRODUCTION PURPOSE OF THE DISSERTATION

Introduction	1
Purpose of the dissertation	2
Research questions	9
Organization of dissertation	10

CHAPTER ONE THE NATURE OF ORGANIZATIONAL CHANGE

What is organizational change?	11
Why organizational change is an important issue	12
Characteristics of planned and unplanned change	12
The origin of change	12
The “magnitude of change”	12
The effect of planned change on organizations	13
Research on the success and failure of planned change efforts	14
Theoretical framework	19
Core concepts for understanding organizational change	22
Individual reality and meaning	26
The information-communication relationship	28
Communication, social units and meaning	30

CHAPTER TWO APPROACHES TO THE PROCESS OF PLANNED ORGANIZATIONAL CHANGE

Strategies for planned organizational change efforts	35
Fundamental research on organizational change	35
Training and the promotion of change	36
Change agents	37
Information gathering and dissemination	37
Focus on productivity and quality-of-work-life (QWL)/quality circles	38
The socio-technical debate	39
Models of organizational change	40
Unfreeze, change, freeze	40
Five-phase model of change	40
Organizational change guidelines	41

Readiness for change	41
Stages of change	42
Rational, normative and power strategies	42
Performance measurement systems	44
What is a performance measurement system?	44
How does performance measurement fit into the bigger system?	45
Why is performance measurement an important focus for many organizations?	46
Examples of performance measurement strategies	46
Performance measurement strategies distinctive to industry	47
Balanced Scorecard	47
Dashboard	48
Six Sigma	48
Lean	49
Kaizan	50
ISO	51
Malcolm Baldrige National Quality Award program	51
Performance measurement strategies distinctive to higher education	52
Excellence in Higher Education	52
Regional accreditation programs	53

CHAPTER THREE METHOD

Dissertation purpose	55
Research questions	55
Method: What and why?	56
The case study process	57
Why the case study approach?	57
Research setting	58
Selection of site and cases	58
Background information about the University	59
Structure of planned change effort	60
Selection of participants	61
Data collection and recording procedures	63
Research instrument	64
Phase one: Informal data collection and approvals	65
Phase two: Pilot study	66
Phase three: Senior leadership and department head data collection	66
Phase four: Department staff data collection	68
Phase five: Review, analyze and interpret data for each ESSD	70
Phase six: Review, analyze and interpret data for cross ESSD analysis	71
Coding	72
Themes	72
Reliability	74
Member checking	74
Researcher and participant roles	74

CHAPTER FOUR
Results and Interpretations
Themes: Accountability and Organizational Changes

Development of codes and themes	76
Themes: Accountability and organizational changes	76
Accountability: Introduction	77
Transparency	79
Justify existence	83
Measure results	85
Responding to national assessment trend	87
Organizational changes: Introduction	90
Continuous improvement	94
Culture change	97
Increased awareness	101
Increased network collaboration	103
Redundancy	105
Pride	107

CHAPTER FIVE
Results and Interpretations
Themes: Leadership Issues and Information Exchange

Leadership issues: Introduction	110
Short term momentum	113
Issues of priority	117
People unaware of the effort	120
Skepticism	124
Resources	129
Other extenuating circumstances	131
Information exchange: Introduction	133
Process	136
Feedback	140
Uncertainty	142
Promote University	145
Influence administration	146

CHAPTER SIX
DISCUSSION AND IMPLICATIONS

Summary of research questions	148
Research question 1 – purpose of initiative	149
Research question 1 – value of initiative.	150
Research question 1 – impact of initiative on individual and organizational performance	151

Research question 1 – success of initiative	152
Research question 2 – member attitudes toward measurement	153
Research question 2 – member motivation	154
Research question 2 – productivity	154
Research question 2 – organizational values	155
Research question 2 – aspirations	155
Research question 2 – morale	156
Research question 2 – work habits	156
Research question 3 – role of communication	157
Summary of findings by theme	157
Accountability: Introduction	157
Transparency	157
Justify existence	158
Measure results	158
Responding to national assessment trend	159
Organizational changes: Introduction	159
Continuous improvement	159
Culture change	160
Increased awareness	160
Increased network collaboration	161
Redundancy	161
Pride	162
Leadership issues: Introduction	162
Short term momentum	162
Issues of priority	163
People unaware of the effort	163
Skepticism	163
Resources	164
Other extenuating circumstances	164
Information exchange: Introduction	164
Process	165
Feedback	165
Uncertainty	165
Promote University	165
Influence Administration	166
Implications for theory	166
The overarching theme communication	168
The role of communication among the three levels of employees within the Institution	169
Models of planned organizational change and this case study	177
Implications for practice	181
Limitations and future research opportunities	201
Particularity limitations and future research opportunities	201
Subjectivity limitations and future research opportunities	202
Generalizability limitations and future research opportunities	203
Reliability limitations and future research opportunities	203

Time interval limitations and future research opportunities	204
Participant comments limitations and future research opportunities	205
Researcher lens limitations and future research opportunities	206
Loose coupling in higher education limitations and future research opportunities	206
Tensions in the themes limitations and future research opportunities	206
CONCLUSION	207
REFERENCES	209
APPENDICES	220-260
Appendix A- Performance measurement strategies: Prevalent in business and industry	220
Appendix B- Performance measurement strategies: Prevalent in higher education	222
Appendix C- Research and interview question grid	224
Appendix D- Interview guide for senior leadership level	238
Appendix E- Interview guide for department head level	242
Appendix F- Interview guide for department staff level	246

LIST OF TABLES

Table 1 - Data collection and recording procedures	64
Table 2 - Themes (T) and their corresponding codes (C)	73
Table 3 - Accountability theme and corresponding codes	79
Table 4 - Organizational Changes theme and corresponding codes	93
Table 5 - Leadership Issues theme and corresponding codes	113
Table 6 - Information Exchange theme and corresponding codes	135
Table 7 - Relationship of communication to the themes	181
Table 8 - Steps to successful planned change programs	194
Table 9 - Visible leadership commitment checklist	198
Table 10 - Dashboard for successful planned change	199

INTRODUCTION

Over the years, institutions of higher education, like all large institutions, have been faced with the need for organizational change initiatives. One area where the impetus for change has been particularly dramatic is in the assessment of performance and outcomes, and the use of the resulting information to document, report upon and improve institutional effectiveness. In recent years, the perceived need for organizational change relative to assessment, accountability and continuous improvement has been prompted by many constituencies, and brought into the national spotlight with the 2006 Spellings Commission Report (U.S. Department of Education, 2006).

To meet these challenges for assessment, accountability, and continuous improvement many measurement-based strategies have been introduced to help facilitate planned organizational change efforts. One such strategy highlighted in this dissertation is that of the Dashboard. “The driving force behind the development and adoption of...Dashboards is simple – accountability” (Miller & Cioffi, 2004, p. 238).

A Dashboard is a small group of key indicators – similar to what’s seen in an automobile’s Dashboard – of an organization’s goals arranged in a manner so that organizational members can assess performance gaps at a glance. According to Edwards and Thomas (2005) a Dashboard “translates the strategic direction into a set of specific strategic outcomes that are tracked and monitored” (p. 375). “The Dashboard is designed to provide a vehicle for comprehensive reporting, review, and analysis of how well...the various operating agencies are performing” (Edwards & Thomas, 2005, p. 376). As such, the Dashboard provides a method for organizations to link measurable objectives to actual outcomes which provides an outlet to

document performance measurement, and thus show transparency and accountability. The Dashboard concept is discussed more in-depth in Chapter Two.

Reported success rates for implementing planned organizational changes are dismal. According to many sources 60-80 percent of change efforts do not accomplish their objectives (Kee & Newcomer, 2008; Ruben, 2009a; Wheatley & Kellner-Rogers, 1998). Moullin (2002) states that in health and social care alone, “seven out of ten projects fail” (p. 129). A Standish Group (2000) report indicates that the success rate of new information technology change efforts were a bleak 28% in 2000 (p.2).

One of the significant planned organizational changes in higher education is the need to document; organizations must show accountability and efforts to continuously improve through assessment measures. An increasingly popular strategy for institutions of higher education to address the challenges for assessment is through the use of performance measurement. Performance measurement is a well-accepted and widely used tool in business but less so in higher education.

Purpose of the Dissertation

This dissertation studies the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change. In doing so, this dissertation will consider the perspectives of the planned change effort from three organizational levels of employees within the institution. In addition, this study seeks to improve our understanding of the role of communication in facilitating and/or impeding this planned organizational change by examining the social interactions and realities from these organizational levels within the institution through an analysis of the perceptions of each about the planned change effort. The three organizational levels of employees include senior leaders,

department directors and department staff levels. In this case study analysis the Dashboard performance measurement strategy involves the creation of a set of performance indicators which is part of a planned change effort.

In conducting this study of planned change efforts, four educational support service departments and the senior leadership group within a large, Northeastern university were examined using a case study analysis (Stake, 2006). The case study approach proves valuable to this study because it gleans rich, descriptive data that allows for an exploration of the planned organizational change effort from the perspectives of three organizational levels of employees within the institution.

The interest in examining the three organizational levels of employees within an institution during the implementation phase of a planned organizational change is purposeful because it provides a communicative view of the planned change effort “to examine and explain organizing activity” (Lewis, 2011, p. 6). Planned change occurs through the social interactions of these organizational members (Ford & Ford, 1995; Lewis, 2011). These social interactions take place through communication, and ultimately communication processes produce and reproduce the social reality of the organization, and thus the planned change effort (Berger & Luckmann, 1967; Ford & Ford, 1995; Lewis, 2011; Poole, 2009). In addition, employees from different organizational levels within the institution, in most instances, possess a different perception of reality and have different goals, experiences, background, etc. (Ruben, 1979; Thayer, 1979). As such, it is important, to understand the perspectives of all three organizational levels of employees within the institution from a communicative framework through the planned change process.

Although there is a growing volume of literature focusing on issues of change in higher education, the literature to date has predominantly focused on industry. For example, after a review of 626 journal article titles found in several online databases dating 1990 through 2010 using performance measurement as a search requirement the author found that only 16 journal articles concerned higher education, whereas 64 journal articles concerned industry. Other journal articles focused on health care, government, policing, and general issues of organizational change.

Within this search the researcher also found only two articles that concerned Dashboards and higher education, and an additional three that concerned other performance measurement and higher education. The articles that researched Dashboards in higher education dealt with specific measures for the Dashboards such as “attractiveness” and “efficiency” (Secundo, Margherita, Elia & Passiante, 2010) as well as visualization (Mohd, Embong & Zain, 2010). Neither of these studies focused on the communicative implications from the viewpoints of several levels of employees within the institution.

Another study uses a popular performance measurement strategy developed by Kaplan and Norton (1992; 1993; 1996), the Balanced Scorecard, as a measure to promote a culture of assessment within the university library (Self, 2003). However, the study is purely descriptive of the process used to implement the strategy. It lacks any assessment of the performance measurement strategy from the perspectives of several levels of employees of the institution.

In another study of a university library, the use of performance measurement was extolled as essential to continuing improvement of the library’s services (Crawford, 2003). The study, however, did not include data about the perceptions of the planned change effort from three levels of employees within the institution, which might have led to an enhanced understanding of

the communicative dynamics involved. Finally, a third study recommends the use of the Balanced Scorecard as a way to bolster support for management and best practices (Cullen, Joyce, Hassall & Broadbent, 2003). Again, however, the study does not discuss the strategy from perspectives of several organizational levels of employees within the institution.

The literature found shows that performance measurement was researched four times more in industry than in higher education. It also shows that no studies examine organizational change from the perspectives of three organizational levels of employees within an institution of higher education such as the one proposed here. This provides evidence of a gap in the literature regarding the research on higher education and performance measurement.

While, as a whole, institutions of higher education are different than organizations in traditional industry, the administrative side of higher education – or those functions that view current students as their primary stakeholders; such as alumni affairs, human resources, and finance – operates more similarly to traditional industry than does the academic side. The dynamics of change in higher education can be quite different from those in industry, a theme that has received considerable attention. Because the academy tends to place greater value on engagement, collegiality, and shared decision-making, rather than more hierarchical decision-making styles characteristic of industry, the dynamics of change are generally more *negotiated* within higher education rather than *mandated* as is an available option in business. However, the combination of these two distinct environments within each institution of higher education can make the change process even more complex. For most planned organizational change efforts, both academic and administrative areas must be taken into account since many, if not most, planned change initiatives will have implications that span both. For example, when an

institution administers university-wide budget cuts both the academic and administrative areas are affected.

Making a distinction between the context of industry and higher education is important for several reasons. As suggested previously, one distinction between industry and higher education has to do with the structure of the academy. A typical institution of higher education consists of part of a traditional organizational hierarchy with a President, Chief Financial Officer, Unit Heads, and staff on the administrative side. The academic side typically has Chief Academic Officer followed by group leaders, the Deans of each college or school, followed by smaller group leaders, the Department Chairperson, and Program Chairs. (Other considerations include differences in this structure for research institutions as compared to teaching institutions and community colleges.)

These structural differences between administrative and academic structures within colleges and universities correspond to differing primary missions and roles. The academic side is focused as a whole on scholarship, teaching, and service. Generally speaking, these functions are addressed by individual disciplinary units, with minimal institution-wide coordination or centralization. This unique structure and differentiated missions and roles bring with it a difference in the nature of decision-making particularly in academic areas, but also to some extent, in administrative areas that interact with academic areas. This unique structure leads to the more loosely structured lines of accountability that often characterize the academy (Kuo, 2005) which is another reason why the dynamics of planned organizational change initiatives in higher education can be quite different than industry.

The academy has a structure where entities within are loosely tied – or coupled – together (Weick, 1976) which can often make them more difficult to discern than traditional organizations

(Kuo, 2005). While administrative units typically have relatively little autonomy, the academic side has considerable autonomy due to the academic goals being pursued, as well as the members' extensive training and demand for such freedom (Baldrige, 1983). Academic units, in particular, operate on a daily basis with much looser lines of direct accountability – and hence much greater autonomy – than do most organizations in industry, with their prevalent hierarchical structures and distinct and tight lines of direct accountability. While this circumstance is most pronounced with academic units, the philosophy of decentralized decision-making, territoriality, academic decentralization, and loose coupling is often seen as characteristic of the culture of higher education more generally. Such loosely-coupled (Weick, 1976) organization contributes to the complexity of change efforts in higher education versus other settings.

The administrative side is focused on their own mission to support the institution of higher education as a whole with everything from financial to human resources and IT services for employees, and admissions, housing, dining services, career services, and other educational support services for students (Ruben, 2009a). The administrative side is more closely aligned to industry in that of its hierarchical line of human resources reporting as well as typical “business hours.” According to Ruben (2009a) these differences in mission between the academic and administrative departments “often have quite different priorities, work styles, and work schedules” (p. 24).

Any planned organizational change process is difficult to implement. Given their complex, and loosely-coupled structure and decision-making processes, as well as internally competing values, and multiplicity of constituencies, institutions of higher education bring additional difficulties to the implementation process than do most organizations in industry. In

fact, standard planned organizational change theory and concepts may not apply at all to institutions of higher education because of these complications. If this holds true, then, perhaps practical strategies for planned, organizational change may not apply to institutions of higher education either. For this reason a better understanding of the dynamics of the process, actions and reactions of multiple levels of employees within the institution and communication processes can be extremely valuable from both a theoretical and practical point of view. In light of this, conducting a case study analysis is important and adds to the growing literature base by providing a new way to look at the change process, in general, and within higher education, in particular.

This dissertation, therefore, studies the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change. In doing so, this dissertation will consider the perspectives of the planned change effort from three organizational levels of employees within the institution. In addition, this study seeks to improve our understanding of the role of communication in facilitating and/or impeding this planned organizational change by examining the social interactions and realities from these three organizational levels of employees within the institution through an analysis of the perceptions of each about the planned change effort.

Because of the complexity of higher education organizations – their complex, and loosely-coupled structure and decision-making processes, as well as internally competing values and multiplicity of constituencies – communication is essential to understanding and implementing the dynamics of planned change within higher education. As noted previously many measurement-based strategies are used to facilitate planned change within organizations. This study will focus specifically on one of the increasingly popular strategies for institutions of

higher education to address the challenges for assessment, accountability and continuous improvement—the use of performance measurement. Performance measurement is a well-accepted and widely used tool in business but less so in higher education. This dissertation studies the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change from the perspectives of three organizational levels of employees within an institution of higher education. A Dashboard is a small group of key indicators – similar to what’s seen in an automobile’s Dashboard – of an organization’s goals arranged in a manner so that organizational members can assess performance gaps at a glance. The Dashboard provides a method for organizations to link measurable objectives to actual outcomes which provides an outlet to document performance measurement, and thus show transparency and accountability. Dashboards are discussed more in-depth in Chapter Two.

This case study analyzed data from participant interviews. Subsequent communicative analysis increases our understanding of the social interactions and realities of members from the three organizational levels within the institution of the large-scale, planned organizational change effort.

The following research questions guide this study:

RQ1: What are the perceptions of three organizational levels of employees regarding the introduction and implementation of a performance measurement initiative? Specifically, how do participants understand the purpose of the initiative, assess the value of the initiative, assess the impact of the initiative on individual and organizational performance and assess the overall success of the initiative?

RQ2: How have the values (issues of most importance and meaning) inherent in the culture) played a role in this planned organizational change initiative with regard to member

attitudes and motivations? Responses to this question will include members' attitudes toward measurement, motivation, productivity, organizational values, aspirations, morale and previous work habits.

RQ3: What was the role of communication in facilitating and/or impeding this planned organizational change?

Organization of this Dissertation

This chapter has provided an overview of the study proposed here as well as reasons why this study is important. In doing so, this chapter discussed the purpose of the study, an overview of the proposed methodology, the gap in the literature to justify this study, reasons for studying higher education in particular, and an introduction to the key concept of this study. Chapter Two provides a literature review of organizational change as well as discusses the central concept of communication in this dissertation. In doing so, the second chapter discusses the concepts of planned organizational change, approaches to the study of organizational change, approaches to the process of planned organizational change, and planned organizational change in higher education. Chapter Three provides the research questions and methodology used in this study. Chapters Four and Five detail results of the study by emergent themes and Chapter Six provides an analysis of results by research questions and the overarching theme as well as implications for practice and theory, conclusions, limitations and suggestions for future research.

CHAPTER ONE

THE NATURE OF ORGANIZATIONAL CHANGE

What is Organizational Change?

Organizational change is defined by Zorn, Christensen, and Cheney (1999) as “any alteration or modification of organizational structures or processes” (p. 10). It may be used to refer to circumstances that are purposefully undertaken within an organization—*planned change* (Lewis, 2011, p. 37). A planned change program can be described as change of an existing behavior or process into a new behavior or process to advance the overall performance of the organization (Poole & Van de Ven, 2004). In many instances, this planned change is implemented to address or anticipate a problem or failure of some sort (Weick & Quinn, 1999). According to Poole and Van de Ven (2004), “planned change attempts to improve the situation and has as its reference point a desired end state” (p. 4). The term organizational change may also be used to refer to situations that are naturally occurring or uncontrollable—*unplanned change* (Lewis, 2011, p. 37). It is a “change that *happens* to an organization” versus a “change that is *planned* by organizational members” (Huse & Cummings, 1985, p. 19).

Planned change efforts may involve months of planning, such as in the case of a strategically planned merger, while unplanned change efforts may involve a spontaneous reaction to an event or occurrence, such as the attempts to solve the summer 2010 Gulf oil spill crisis in the United States. While this distinction is very helpful in thinking about change, in actual practice change initiatives typically lie somewhere between these two extremes—creating what might be termed a continuum of organizational change. As Lewis (2011) describes this, there is a fine line where on one hand organizational members intentionally plan a change versus

the other hand where organizational members react to a change due to a force that is the result of something like a natural disaster.

WHY ORGANIZATIONAL CHANGE IS AN IMPORTANT ISSUE

Characteristics of Planned and Unplanned Organizational Change

Similar to the proposed continuum discussed previously, each change effort occurs at different extents and from different origins. As such it is important to consider these aspects when studying change efforts (Burke, 2008). This section of the dissertation will discuss the “terms of degree (how much things really change)” (Zorn, Christensen & Cheney, 1999, p. 10) by looking at the origin of change and the “magnitude of change.”

The origin of change.

The origin of change, or external versus internal change, is a distinction Zorn, Christensen and Cheney (1999, p. 17) confer to types of change. They claim that externally driven unplanned change is based on pressures or concerns from outside the organization. Internally driven planned change, they claim, is based on a need determined by management.

The “magnitude of change.”

Orlikowski (1993) defines the “nature of planned or unplanned change” as either incremental or radical (p. 331). Incremental change refers to small changes undertaken to fix the existing condition while keeping the “big picture” intact. Radical change, on the other hand, requires a new way of thinking and complete overhaul of the existing condition so that the “big picture” entirely changes.

Zorn, Christensen and Cheney (1999) define the “magnitude of change” as either first or second order planned change (p. 10). Here, first order change is looked at similarly to

incremental change where the purpose of the implementation is to avoid a complete overhaul or second order change.

Weick and Quinn (1999) assert that the “characteristic rate, rhythm, or pattern of work or activity” (p. 365) is an important type of planned or unplanned change that can be delineated by episodic and continuous change. Here, Weick and Quinn determine episodic change as one that occurs only infrequently whereas they determine continuous change as constant and steady.

According to Burke (2008), revolutionary change is such that a sudden and drastic “jolt” or event occurs to spur change to the organization leaving a completely new organizational outlook or identity (p. 68). Evolutionary change, on the other hand, is one that develops in small steps over time leaving the organization intact. Burke (2008) notes that this distinction is best described by an understanding of deep structure.

Deep structure, as defined by Gersick, (1991) is “a network of fundamental, interdependent “choices,” of the basic configuration into which a system’s units are organized, and the activities that maintain both this configuration and the system’s resource exchange with the environment” (p. 15). A change in deep structure, then, is exemplified in revolutionary change as it affects the way organizations are organized and function – the organization’s culture. Evolutionary change, on the other hand, does not affect the organization’s deep structure.

The Effect of Planned Change on Organizations

Planned, or intentional change, can affect organizations in both positive and negative ways. Since many change efforts fail at significant rates their effects can have large or small impact on organizational members (Lewis, 2011).

Costs include financial expenditures; lost productivity; lost time in training and retraining workers; confusion, fatigue, and resentment for workers, clients, customers, suppliers and other key stakeholders; damage to brand; disruption in workflow; and loss of high value stakeholders including workers, supporters, clients/customers among others. (Lewis, 2011, p. 25)

But, if successfully implemented, a planned organizational change can increase employee morale, boost productivity and overall profit for the organization (Klein & Sorra, 1996).

According to Huber and Glick (1993):

Organizational change is important to employees, as it directly affects work environments and social relationships. It is especially important to managers, as it so strongly impacts their workloads and stress levels. And it is important to organizational scientists, as organizational change is a phenomenon that has effects at all levels of analysis from individuals to industries. (p. 16)

Research on the Success and Failure of Planned Change Efforts.

Reported success rates for implementing organizational changes are dismal. According to many sources 60-80 percent of change efforts do not accomplish their objectives (Kee & Newcomer, 2008; Ruben, 2009a; Wheatley & Kellner-Rogers, 1998). Moullin (2002) states that in health and social care alone, “seven out of ten projects fail” (p. 129). A Standish Group (2000) report indicates that the success rate of new information technology change efforts was a bleak 28% in 2000 (p. 2). In discussing success and/or failure of planned change efforts most researchers use more general terms such as problems of implementation (Lewis, 2000a), employee reactions to change (Lewis, 2006), the extent to which the organization met all the objectives of the change effort (IBM, 2008), and by degrees of fidelity – “degree of departure

from the intended design of the change” and uniformity – “range of use of the change across adopting unit(s)” (Lewis, 2007, p. 184). Some barriers to change occur when: organizational leaders are not committed; funding, human resources, and/or technological capabilities are deficient; change recipients’ reactions are not anticipated (Dent & Goldberg, 1999; Piderit, 2000); or organizational culture (Cameron & Quinn, 2006) and communication methods are overlooked or ignored.

A review of the literature indicates that “significant and successful” examples of large-scale change implementation efforts are rare (Burke, 2008, p. 11). Burke (2008) asserts that there are three reasons for this: 1. “Deep organization change, especially attempting to change the culture of an organization, is very difficult”; 2. While the best time to “plan for and bring about significant change” is during the height of success, it’s also the most difficult time “to make a case for change”; and 3. “Our knowledge for how to plan and implement organization change is limited” (p. 11).

According to Zorn, Christensen and Cheney (1999), many change efforts fail because organizations introduce too many change programs in a short amount of time which can cause employees to become resistant, skepticism, and even just worn out to newer efforts (p. 31). The phrase “resistance to change” has a long history dating back to the research of Kurt Lewin (Dent & Goldberg 1999) who likened the concept to one from physics where the resistance was a force within the system that preferred the status quo (Piderit, 2000). However, according to Dent and Goldberg (1999), once a case was made for the change, then the process was underway in what Lewin (1951) described as unfreezing the status quo, changing, and then freezing into a new status quo.

Throughout their analysis of five management textbooks' treatment of the concept of resistance to change, Dent and Goldberg (1999) identified 13 causes of resistance – including threat to job status/security, lack of trust, and personality conflicts – and nine strategies for overcoming resistance – including participation, negotiation, and manipulation. Further, Dent and Goldberg (1999) and Piderit (2000) assert that a majority of the literature provides a slant towards management while placing blame on the employee for the lack of success in change efforts. Both authors call for a better understanding of the reactions of employees to change efforts. Piderit (2000) provides several ways to view resistance including the following: 1.) Resistance as a behavior- an “action or intentional inaction” (Brower & Abolafia, 1995, p. 151); purposefully leaving something out or insubordination (Ashforth & Mael, 1989); and purposeful dishonesty toward supervisors (Shapiro, Lewicki, & Devine, 1995). 2.) Resistance as an emotion- “frustration,” and “aggression” (Coch & French, 1948, pp. 515, 519); and worry, unease, and defensiveness (Argyris & Schon, 1974; 1978). 3.) Resistance as cognition- “a component of negative thoughts about the change” (Piderit, 2000, p. 786); “reluctance” (Watson, 1982, p. 261); and unreadiness (Armenakis, Harris & Mossholder, 1993). Further, Lewis (2000a) states that “uncertainty about job security, job evaluation, personal competency, and other social and work-related priorities...are associated with large-scale planned change” (p. 49). Lewis (1999) turns the slant towards management around with the need for implementers to be prepared to communicate effectively through education, information and persuasion of the change targets – implying that the structure has accountability with regard to resistance. In another study, resistance was seen to facilitate organizational goals in the case where a new rule from a change initiative might impede these goals (Brower & Abolafia, 1995). In addition to recipients' reactions, many researchers cite participation as key to successful organizational

change efforts (Bordia, Hobman, Jones, Gallois, & Callan, 2004; Coch & French, 1948; Lewis, Schmisser, Stephens, & Weir, 2006). When recipients of the planned organizational change effort participate in the effort rather than having the effort details decided upon for them, the “struggles are far [less] draining and prone to failure” (Wheatley & Kellner-Rogers, 1998, p. 3). “By being involved in and contributing to decision-making, employees experience less uncertainty about issues affecting them, and feel more in control of change outcomes” (Bordia, Hobman, Jones, Gallois & Callan, 2004, p. 526). In a study conducted of 24 of the “top 100 best-selling books on organizational change” half focused on the importance of communication and participation of employees in the change effort (Lewis, Schmisser, Stephens, & Weir, 2006).

Weaknesses in leadership also contribute to the number of change efforts that don’t meet their objectives (Kee & Newcomer, 2008). Burke (2008) states that:

Without leadership, planned organization change will never be realized. It is the leader who articulates and brings together the external environment with the organizational mission, strategy, and culture and then provides a vision for the future; the destination, the change goal(s). (pp. 225-226)

Some leadership weaknesses include underestimates of: the “complexity of the change” process (Kee & Newcomer, 2008, p. 5); the leadership obligations towards the process (Kee & Newcomer, 2008; Schein, 1985); the high level of support for the process (Kee & Newcomer, 2008; Schein, 1985); the formulation of a vision (Fairhurst, 1993; Lewis, 2006; Schein, 1985); the participation and commitment of the recipients of the effort (Kee & Newcomer, 2008); the nuances of organizational culture and subcultures (Kee & Newcomer, 2008; Schein, 1985); and the ability of the organization to begin and sustain a change effort (Kee & Newcomer, 2008;

Schein, 1985). “The single most visible factor that distinguishes major cultural changes that succeed from those that fail is competent leadership at the top” (Kotter & Heskett, 1992, p. 84). “Leadership is the fundamental process by which organizational cultures are formed and changed” (Schein, 1985, p. ix).

Cameron and Quinn (2006) assert that some change initiatives fail because of an oversight of the culture of the organization. Cameron and Quinn assert that:

A strong, unique culture [can] reduce collective uncertainties (that is, facilitate a common interpretation system for members), create social order (make clear to members what is expected), create continuity (perpetuate key values and norms across generations of members), create a collective identity and commitment (bind members together), and elucidate a vision of the future (energize forward movement) (see Trice & Beyer, 1993). (p. 5)

In all, Cameron and Quinn (2006) state that no matter the tools involved, without culture change an organization will have “little hope of enduring improvement in organizational performance” (p. 11). The researchers (Cameron & Quinn, 2006) give credit to the reliance of organizational members on the status quo. “When the values, orientations, definitions, and goals stay constant – even when procedures and strategies are altered – organizations return quickly to the status quo” (p. 11).

Alternatively, Lewis (2006) considers success in terms of the recipient of the change effort. Lewis (2006) defines “evaluation of success...as respondents’ own assessments of the degree to which the change has achieved intended outcomes and has produced a sense that success outweighs failure” (p. 24). Lewis (2006) states that:

Employee perceptions of outcomes are most likely to predict their attitudes

toward future change initiatives and the methods used to implement them.

Whether their own evaluations of success align with those of other participants and observers is an interesting question, but of more immediate concern is the degree to which their own perceptions of change success are related to their experiences of implementer's communication practices. Success of change programs has been treated in the most general ways (whatever the respondent interprets "success" to mean) in the empirical literature to date (cf. Colvin & Kilmann, 1990; Young & Post, 1993). (p. 24)

THEORETICAL FRAMEWORK

General systems theory provides a very helpful theoretical framework for conceptualizing planning organizational change—and more generally, human change-- and the role of communication in these processes (Bertalanffy, 1950; Thayer, 1968; Ruben, 1983). According to Ruben and Stewart, (2006) "*communication is the essential life process through which animals and humans create, acquire, transform, and use information to carry out the activities of their lives*" (p. 56).

The notion of open systems is a fundamental concept within the systems theory paradigm. Open systems are defined as living systems that "exist only through continual exchanges with the environment" (Bertalanffy, 1968, p. 32). It is through these continual exchanges of matter-energy and information with the environment that living or open systems create what it is to be 'their' system through the processes of disruption, and restoration (Bertalanffy, 1975; Miller, 1965; Ruben 1983; Thayer, 1968). Drawing on the concept of open systems, an organization viewed in this perspective is an open system made up of subsystems (components or subparts) which have functions and boundaries in their own right.

Communication and information processing are important at each level and also in interactions between levels (Ruben, 1979; Ruben & Kim, 1975; Ruben & Stewart, 2006; Thayer, 1979).

Within organizations there are various levels of analysis from which they can be considered, including those that span across the organization, at the organizational level, the group level, and the individual level (Mohrman, Mohrman & Ledford, 1989). Together individuals at each of these levels can accomplish much more than any one of them can do alone.

Open systems generally operate in such a way as to seek a harmonization or homeostasis, (Miller, 1965; Bertalanffy, 1975) with the environment. Natural change occurs within systems and changes in the environment become salient through information and communication processes, and these trigger adjustments within the system (Ruben, 1979; Thayer, 1979).

From a systems point of view, *planned* change can be seen as purposeful efforts to change the dynamics of the system – and therefore involve disruption to the harmony of a system or subsystem. The disruption and subsequent efforts to restore harmony, by definition, involve communication and information processes. The systematic processes of disruption and restoration occur through communication and information processing. It is through these processes that members of a system or subsystem co-create the restored version of the system or subsystem – just as they originally co-created their original system through their social structure (Berger & Luckmann, 1967; Burr, 2003) to enable organization and functionality.

Lewis' (2007) organizational stakeholder model of change implementation and the role communication plays in this process is very consonant with the systems approach because of its emphasis on interacting and mutually influencing open subsystems—stakeholder groups—which interact to play a dynamic role as the disruptive and restorative forces of change take place. In the Lewis view, communication and information processing enable the implementer of the

planned organizational change to base the “implementation communication strategy selection and enactment” on elements such as their “perceptions of change context” or “institutional factors” (Lewis, 2007, p. 181). These decisions affect “stakeholders’ perceptions, concerns, assessments [of other stakeholders], and interactions [between other stakeholders and implementers, and at the same time stakeholders’ reactions reciprocally affect] implementer strategies” (Lewis, 2007, p. 181). These continual give-and-take exchanges (Bertalanffy, 1975; Miller, 1965; Ruben, 1983; Thayer, 1968), or negotiated meaning of messages (Weick, 1979; Westley & MacLean, 1970) continue as members of the organization seek to make sense (Weick, 2001) of information to recreate relationships between members of the organization and the environment as well as reestablish boundaries to create harmony once again through these social systems (Berger & Luckmann, 1967).

The previous discussion about open systems and general systems theory explains that organizational changes can most likely affect the organization as a whole in either a positive or negative way. While most changes to a system or subsystem are made with the best of intentions from a particular perception, there are times when consequences to the system are not fully thought out (Anatol & Rapaport, 1975). As changes to one organizational level most often will affect the other organizational levels in a system, then, it is important to consider all levels within the organization, not just the one targeted for the planned organizational change effort. This notion of systems allows one to understand from a theoretical standpoint how change, no matter how potentially useful, is disruptive of a systems – both individual and organizational – harmonious state. This system disruption, then, can be seen as a source of much of the “resistance” accompanying change efforts at all levels. Finally, the systems way of thinking

allows for greater understanding of the importance of communication and information processes since changes are created, detected, and responded to through these processes.

In summary, the research presented thus far provides support for this study by emphasizing that: 1) While planned organizational change is complex, the planned change efforts can bring about significant and lasting benefits to an organization; 2) Communication is an essential life process that can aid or inhibit the change effort. 3) Changes in one part of the organization will have an impact on other parts of the organization. 4) Institutions of higher education are a unique type of organization, characterized by loosely coupled components (Weick, 1976) co-created by its members (Ruben 1979; 1992). Based on the understanding of these concepts, the following section examines core concepts for understanding organizational change, followed by a final section in chapter two that examines approaches to the process of planned organizational change efforts including performance measurement strategies.

Core Concepts for Understanding Organizational Change

Communication is critical when considering any planned change effort – especially planned organizational change in higher education. According to Ruben (2009a) communication “refers to the ways in which people create, convey, select, and interpret the messages that inform and shape their lives – including how they promote, accept, and/or resist change” (p. 20).

Examining the dynamics of communication in the introduction and implementation of planned change is the central purpose of this study. In the change literature, communication is used in two ways; the most frequent focus is on information exchange and strategies for introducing, promoting and coordinating change implementation. For example, Lewis (2011) highlights “one critical part of formal communication [as] the first official announcement of change” (Lewis, 2011, p. 53). Timmerman (2003) notes that this announcement is typically of a

“preplanned, top-down nature” that is reflective of the more traditional focus on one-way communication and information exchange. A less frequent focus is on the richer concept of communication in terms of sensemaking—the way individuals involved negotiate interpretations of the meaning of the change process (Lewis, 2011). In this latter sense, communication is seen as the means by which social interactions occur (Berger & Luckmann, 1967). It is through the social interactions of organizational members that produce and reproduce their social reality that change is understood and transpires (Ford & Ford, 1995; Poole, 2009). Both views of communication are considered in this study.

Communication runs through each of the approaches mentioned thus far, sometimes explicitly and sometimes implicitly. Any planned organizational change effort, regardless of size, is complex. According to the research detailed in this section, understanding the organizational system where the changes will be made – not just the exact part of the organization where the changes are to occur – is a key to preparing for a planned organizational change effort (Porras, 1987). As discussed previously, every organization is made up of a system where changes to one part of the organization likely result in changes to other parts of the organization which, as a result, may be affected in either a negative or positive way (Mohrman, Mohrman & Ledford, 1989; Ruben, 1979; Bertalanffy, 1950, 1975). Accordingly then, increases in our understanding of the interactions, realities and sensemaking (as opposed to the mere exchange of information) of members from three organizational levels within the institution should allow for better planning for the large-scale, planned organizational change effort. The three organizational levels of employees include senior leadership, department heads and department staff levels.

Communication, then, is a means by which social interactions occur (Berger & Luckmann, 1967). Organizational change is understood and occurs through the social interactions of organizational members that produce and reproduce their social reality (Ford & Ford, 1995; Poole, 2009). Communication is, thus, essential to understanding any organizational change as well as always important to understanding strategies for organizational change efforts.

The literature discusses the importance of understanding the role communication plays in a planned organizational change effort. “Problems centrally concerned with communication rank among the most problematic in implementers’ hindsight” (Lewis, 2000a, p. 63). Understanding that everyone has a different worldview and perception of reality can enable the selection of the most effective communication methods and messages (Ruben, 1979, 1992; Thayer, 1979). The literature also explains that the participants in the planned change effort interpret these messages given their worldview and perception of reality prior to acting on them (Luckmann, 2008). In addition, organizational members socially construct their reality over and over again in order to produce and sustain their social group (Blumer 1979; Giddens, 1985; Luckmann, 2008; Poole, 2009; Ruben, 1979). Understanding that the frames of reference, perceptions and views of reality differ between the three distinct organizational levels of employees within the institution will enhance the foundation of a planned organizational change effort. Similarly, knowing that these perceptions and views of reality can change over time will also enhance preparations for a planned organizational change effort.

“Communication process and change implementation are inextricably linked processes” (Lewis, 1999, p. 44). Social interactions occur through communication (Berger & Luckmann, 1967). Communication “refers to the ways in which people create, convey, select, and interpret the messages that inform and shape their lives – including how they promote, accept, and/or

resist change” (Ruben, 2009a, p. 20). The following section focuses on the concept of communication, in general, and more specifically on the way individuals attribute meanings to events, objects and people. The next section focuses on the relationship between communication and information. A third topic is the relationship between communication, social units and meaning. This is important to this study because of the focus on the perceptions of three organizational levels of employees within the institution of higher education. Each organizational level is its own social unit and therefore has its own meaning for events, objects and people. It is through an analysis of the way these three distinct organizational levels, or social units, used information and communication to attribute meaning to the Dashboard planned change effort that this dissertation sought to understand.

Essential to this discussion is the distinction between the two ways that communication is used in the change literature. The most recurrent emphasis is given to information exchange and strategies for introducing, promoting and coordinating change implementation. More importantly, communication is centered as a process through which sensemaking and negotiation occur through social interactions (Berger & Luckmann, 1967).

Social interactions occur through communication (Berger & Luckmann, 1967). It is through information processing that communication – “the process by which living systems interact with their environment and other systems” – is possible (Ruben, 1992, p. 21).

Over time, social units define what it is to be a part of that individual social unit by “negotiation,” “mutual validation,” (Ruben, 1992, p. 21) and social construction of meaning (Salancik & Pfeffer, 1978). According to Berger & Luckmann (1967) communication is a means by which social interactions occur, and it is through these social interactions that organizational members produce and reproduce their social reality as well as the way that organizational

members understand and materialize organizational change efforts (Ford & Ford, 1995; Poole, 2009).

From a practitioner's standpoint, it is important to understand that organizational members interpret information (Luckmann, 2008) about the planned change effort based on their own perceptions of reality and therefore the meaning it holds for them (Blumer, 1979; Ruben, 1979; Thayer, 1979; Weick, 2001). The meanings derived (Halloran, 1985) come about based on the individuals perception of what's going on (Thayer, 1979) and the context within which it takes place (Smith, 1979).

From that point Luckmann (2008) says there will be an evolution of communication patterns that takes place over time and through reconstruction of events by members of the social group. This evolution of communication patterns and reconstruction of events allows members to make sense (Weick, 2001) of information and cues from the environment in terms of what they mean individually and as part of a larger social group (Ruben, 1979, 1992; Thayer, 1979). In doing so the social group co-creates the way their system or subsystem is organized and functions through establishing boundaries to create harmony with their environment (Ruben, 1979, 1992; Bertalanffy, 1950, 1975). Members of the social group become aware of changes in the environment through information and communication processes which prompt alterations within the system or subsystem (Ruben, 1979; Thayer, 1979). These alterations, no matter their sincerity, cause individual and organizational disruption to the harmony of the system and can be credited with much of the "resistance" that coincides with planned change efforts. As such it is important to understand the role of communication and information processes in creating, detecting, and responding to organizational change efforts.

Individual reality and meaning.

Reviewing the literature provides many insights into individual reality, such as: contexts give meaning (Smith, 1979), perception is reality (Thayer, 1979), objective versus internal realities are different (Dervin, 1977), reality is a constant work in progress (Weick, 2001), and intentions aren't always what occurs (Halloran, 1985). When an event occurs individuals can describe what they see (Smith, 1979), draw inferences about what they saw (Smith, 1979), and then make decisions based on their perceptions, and thus reality (Dervin, 1977; Luckmann, 2008). Reality is determined for each individual based on their "purposes, perspectives, capabilities, and competencies" (Smith, 1979, p. 86) and are "temporary, communicationally created assumptions subject to continuous revision" (Smith, 1979, p. 89). According to Luckmann (2008) these perceptions are "artificial...reconstructions of social realities based on a social stock of knowledge...through communication" (p. 282). During a planned organizational change effort, then, individuals "who observe the same events or receive the same messages will interpret these as signifying different implications for the organization, even contradictory ones" (Gallivan, 2001, p. 244).

Taking into account previous experiences and perceptions of reality, individuals continually add new experiences that, over time, can change and recreate their perceptions of reality. In doing so the mind helps individuals to organize and interpret (Luckmann, 2008; Weick, 2001) their thoughts, perceptions and experiences so that they can better understand and give meaning to them "as [they] seek to make sense of [their] life encounters" (Ruben, 1979, p. 112). In the same way the mind helps individuals to connect with others to create and maintain significances and negotiate meaning that both influence and influences their relationships, social units, and environments (DeSanctis & Poole, 1994; Giddens, 1985; Luckmann, 2008; Orlikowski & Yates, 1994; Ruben, 1979), help individuals to make sense of their own reality and to develop

the meaning it holds for them (Dervin, 1977; Weick, 2001). The way individuals understand things (or not), construct information, and act in response to others actions and words is dependent on their “cognitive map” made up of previous experiences (Delgado, 1979; Miller, 1965; Ruben, 1979; Thayer, 1979; Weick, 2001), genetics (Delgado, 1979; Smith, 1979), memories (Miller, 1965; Thayer, 1979), assumptions (Thayer, 1979), and beliefs (Ruben, 1979).

In this same way – via communication –human beings develop social systems (Mokros & Ruben, 1991). These social systems, then, co-create boundaries of their system by defining the way the system or subsystem is organized and functions in an effort to create and maintain harmony within the system (Ruben, 1979, 1992; Bertalanffy, 1950, 1975). As the individual strives to maintain this harmony within the system, then, an organizational change effort is seen as a source of discomfort and strain (Miller, 1965; Ruben, 1979; Bertalanffy, 1975). Naturally the individual, in most instances, will resist the lack of harmony and perceived chaos over the calmness of the status quo (Ruben, 1979).

The information-communication relationship.

As discussed earlier in the chapter, matter-energy and information processing are both a necessity for living systems (Miller, 1965; Thayer, 1968; Ruben, 1972). Living or open systems “exist only through continual exchanges with the environment” (Bertalanffy, 1968, p. 32). And, it is through information processing that communication – “the process by which living systems interact with their environment and other systems” – is possible (Ruben, 1992, p. 21). However, *“information arises out of communication: it is the product of communication...process and product are inseparable...and interdependent”* (p. 22). “There is no occasion where information may be viewed independently of communication” (Mokros & Ruben, 1991, p. 378).

Looking further into what is meant by information Ruben (1992) provides differentiation between several orders of the concept of information. The first order of information is “*Information_e*,” which “*is environmental data, stimuli, messages, or cues – artifacts and representations – which exist in the external environment*” (Ruben, 1992, p. 22). These are the “raw data...or messages” that individuals come into contact with each day (Ruben, 1992, p. 22). The second order of information is “*Information_i*,” which is “*internalized appropriations and representations...configured for use by a living person*” (Ruben, 1992, p. 22). It is in this sense of *Information_i* that one individual may give meaning to an artifact as an indispensable work aid, while another individual might view the same object as useless (Miller, 1965; Weick, 2001). The third order of information is “*Information_s*,” which is the “*socially/culturally constructed, negotiated, validated, and sanctioned appropriations, representations, and artifacts* that comprise the shared information/knowledge base of societies and other systems” (Ruben, 1992, p. 23). While each order is a separate function of information, Ruben (1992) notes that they are interdependent. Ruben (1992) states,

Humans must invent and internalize – encode and decode – the messages (*Information_e*) and meanings (*Information_i*) they need to relate to the environment and others of the species through symbolic language. It is symbolic language which makes it possible for (and requires) individuals to achieve a creative, ongoing accommodation with the environment and its socially privileged symbolic realities (*Information_s*), and to create and use the many social systems upon which we depend. (p. 23)

It is through these continual give-and-take exchanges (Ruben & Stewart, 2006), or negotiated meaning of messages (Weick, 1979; Westley & MacLean, 1970), that members of the

organization seek to make sense (Weick, 2001) of information and recreate relationships between members of the organization and the environment as well as reestablish boundaries to create harmony once again through these social systems (Berger & Luckmann, 1967; Burr, 2003).

Communication, social units, and meaning.

Luckmann (2008) states that:

social worlds are historical communicative systems: historical stocks of knowledge and historical institutional structure are constructed, maintained, transmitted, transformed and, occasionally, destroyed in social interaction. (p. 281)

Further Ruben (1992) states that “it is through communication and information processing that social units are defined” (p. 21). As time progresses social units define what it is to be a part of that individual social unit by “negotiation,” “mutual validation,” (Ruben, 1992, p. 21) and social construction of meaning (Salancik & Pfeffer, 1978). In further defining the social unit, members

construct meanings that take the form of language, common symbols, knowledges, folklore conventions, information processing patterns, interpretive conventions, rules, rituals, habits, life styles, values, and attitudes, that are created and shared in common by members of a particular social system or subsystem.

(Ruben, 1992, p. 21)

These characteristics change over time as a result of an evolution of communication patterns and through the reconstruction of events by members of the social group (Luckmann, 2008; Ruben, 1983). Therefore, some items become more meaningful than others based on the

perception of the member of the social group reconstructing the event (Blumer, 1979; Luckmann, 2008). “Each person at the same time contributes to validation and perpetuation of these standards by his or her actions” (Ruben, 1983, p. 141).

“Thus, the...social system has its own constructed, privileged meaning – its own information/knowledge base – which serves to link individual members to one another and gives the system an identity” (Ruben, 1992, p. 22). This information/knowledge base can also distinguish one system from another² (Ruben, 1992) through communication (Mokros & Ruben, 1991). Such an information/knowledge base may include organizational heroes and stories within a culture – also called Information_s (Ruben, 1992). Further, “members use of rules and resources in interaction...produce and reproduce the social systems” (Poole, 2009, p. 237).

As individuals become socialized into their groups (be it a religion, community or work organization, etc.) they learn how to behave appropriately through memories of previous events; negative and positive experiences; feedback from other organizational members; evaluation of context; and negative feedback or gaps between the status quo and a goal (Belkin & Robertson, 1976; Luckmann, 2008; Ruben, 1979, 1992; Salancik & Pfeffer, 1978; Wiener, 1961). As individuals continuously go through socializations into various groups throughout their lifetime these communicative systems (Luckmann, 2008) help individuals to develop their sense of self (Thayer, 1979). Accordingly, no two individuals can duplicate exact experiences – even if they lead similar lives and hold similar roles (Delgado, 1979; Dervin, 1977; Ruben, 1979; Smith, 1979; Thayer, 1979). This socialization into one group occurs via communication and is a necessity to “participation in social reality” (Mokros & Ruben, 1991). Blumer (1979) asserts

² This idea is similar to that of social identity theory based on Turner, J.C, (1975). Social comparison and social identity: Some prospects for intergroup behaviour. *European Journal of Social Psychology*, 5(1), 5-34. In this article, Turner asserts that individuals look to identify with a social group – considered the in-group – versus other social groups – considered the out-groups.

that “meanings are social products” (p. 139). In addition, it is this socialization that allows our unconscious self to participate in the activities of life and teaches us from an early age important social group habits and taboos (Mokros & Ruben, 1991). However, it is the same unconscious socialization that can permit individuals to be rigid in their thinking, which can in turn allow for conflict and misunderstandings (Ruben & Stewart, 2006). Thus, it is the interaction between initiator and recipients that “in part” affect the “outcomes” of a planned, organizational change effort (Lewis, 2007). “Change as an organizational phenomenon necessarily occurs in a context of human social interactions, which constitute and are constituted by communication” (Giddens, 1985; Poole & DeSanctis, 1990)” (Ford & Ford, 1995, p. 542). “Change is created, sustained, and managed in and by communications” (Ford & Ford, 1995, p. 560).

Ruben (1983) offers this summary:

the individual’s ways of acting and reacting on the one hand, and his or her symbolic environment on the other hand, are reciprocally defining and mutually causal. The individual organizes to cope with his or her physical and symbolic environment. As a consequence, he or she is shaped by the environment and in his or her behavior he or she also shapes the environment. (p. 139)

Communication is further defined by Ruben (1983) as “the processing and transformation of information by a living system in order to adapt to and adapt its environment” (p. 138). As such Lewis (1999) states that “communication process and change implementation are inextricably linked processes” (p. 44).

In summary, communication is a necessary concept for understanding planned organizational change and change effort strategies because communication “refers to the ways in which people create, convey, select, and interpret the messages that inform and shape their lives

– including how they promote, accept, and/or resist change” (Ruben, 2009a, p. 20). According to Berger and Luckmann (1998), communication is a means by which social interactions occur. It is through these social interactions that organizational members produce and reproduce their social reality as well as the way that organizational members understand and materialize organizational change efforts (Ford & Ford, 1995; Poole, 2009).

Knowing that change efforts occur through social interactions, this study’s concern with three distinct organizational levels of employees of an institution of higher education during the introduction and implementation phases of a planned organizational change provides important implications for the study of planned organizational change efforts. Senior leaders are a key component of this study because the communication processes and strategies they select and implement influence the planned organizational change effort (Ford & Ford, 1995). Further, the negotiation of meaning between the senior leaders and other members is of equal importance as that process will also influence the overall planned organizational change effort (Ruben, 2009a). The three distinct organizational levels of employees of the institution most likely approach the planned organizational change effort with different perceptions of reality and from different organizational levels and status (Gallivan, 2001; Ruben, 1979; Thayer, 1979) which has further implications for the introduction and implementation of a planned organizational change effort – such as interpretations and outcomes being perceived differently by some members than what was intended by other members. Perhaps one of the major obstacles for participants in a planned change effort is to overcome the disruption of harmony that an organizational change brings about to their everyday way of acting (Miller, 1965; Ruben, 1979, Bertalanffy, 1975).

These concepts are important to understand the planned organizational change process because they are the pieces to understanding the puzzle of the power of communication within

the organizational system. In doing so, one must analyze the structure – how does the organizational member or members go about producing and reproducing their reality, how do they interact with each other, how do their goals mesh or conflict, how do they socially interact and exchange information with each other, what are the meanings of these interactions, and how do their structures help them organize and make sense of their reality? This study seeks to improve our understanding of the role of communication in facilitating and/or impeding this planned organizational change by examining the social interactions and realities of these three organizational levels of employees within the institution through an analysis of the perceptions of each about the planned change effort.

CHAPTER TWO

APPROACHES TO THE PROCESS OF PLANNED ORGANIZATIONAL CHANGE

This section of the study reviews research on strategies for planned organizational change efforts; the technical versus human side of organizational change and the implementation of effective performance measurement systems. In doing so, the next few pages present strategies and approaches for the process of planned organizational change efforts.

Strategies for Planned Organizational Change Efforts

The literature on planned change has a substantial history that provides a helpful context for the present study. Here the National Training Laboratories, The Research Center for Group Dynamics, quality-of-work-life, and quality circles will be discussed as a means to enhance work productivity by training, team building, and the integration of technology with organizational members.

Fundamental Research on Organizational Change.

World War II spawned many revolutionary ways of thinking and acting. During this time it became apparent that knowledge gleaned from academic research could and did belong in the industrial world (Bennis, 1966). Further, the Weberian style of bureaucratic organization was being challenged by organizational leaders and academics alike to find a new way to organize work practices and behavior (Bennis, 1966). Unto this new worldview the notion of planned change began to explode.

One has only to review the academic journals since the 1970's to grasp the expansive discourse surrounding the concept of organizational change which was tied closely to the concept of organizational development. In the literature, "adaptive change" precedes organizational development which is said to have become an official term around 1960 (Sashkin

& Burke, 1987). At some point in these early years lines between organizational change and organizational development became blurred and they were frequently used interchangeably or in tandem (Beer & Walton, 1987; Faucheux, Amado, & Laurent, 1982; Porras & Berg, 1978; White & Mitchell, 1976). In all, organizational change derives from “a wide variety of disciplines and settings...including...clinical and social psychology, family group therapy, ethnography, military psychology and psychiatry, the theater, general semantics, systems theory, mathematics and physics, philosophy, psychodrama, client-centered therapy, survey methodology, experimental and action research, personnel and industrial relations, organizational behavior, and general management theory” (French & Bell, 1990, pp. 30-40).

This section looks at three specific pieces to the early history of organizational change: training and the promotion of change through the National Training Laboratories; information gathering and dissemination; and a focus on productivity and quality-of-work-life and quality circles. They are significant because they reflect a change in the way the field was developed from pure academics to a mix of academics and practical experience. These were the early attempts at understanding organizational change processes and range in scope from broad and cross-cutting, to more of a focused view in specific organizational settings and for particular kinds of challenges.

Training and the promotion of change.

The National Training Laboratories (NTL) was developed by Kurt Lewin in 1945 at the Research Center for Group Dynamics at the Massachusetts Institute of Technology (MIT) and focuses on specific organizational settings and challenges. Lewin developed a T-group or a small group of individuals brought together to reflect on records of their own actions as a learning exercise for individual and group behavior which could then be continued back at their

office environment. From these experiments came about the studies of group dynamics and team building. Many well-known researchers were a part of the NTL in some fashion including Chris Argyris who later became a leading expert in organizational development and learning, training and consulting, and wrote the timeless book *Intervention Theory and Method*³; others include Robert Blake and Jane Mouton, coauthors of *The Managerial Grid*⁴ (French & Bell, 1990; Tannenbaum, Kallejian & Weschler, 1954).

Change agents.

An outgrowth of the NTL was the concept of change agent. Change agents are described as “trained professionals” who help the organizational system or subsystem to manage the change effort (Beckhard, 1969; Bennis, 1964; Bennis, Benne & Chin, 1969; Lippitt, Watson & Westley, 1958; Ottaway, 1983). Many years later Ottaway (1983) developed a taxonomy for change agents. Within this taxonomy, change generators are the first to enter the change effort, followed by change implementors and finally change adopters. (Ottaway, 1983). More recent research provides three commonalities for change agents including “promote[ing] communication and participation, facilitate[ing] the process for change, and create[ing] a vision” (Lewis, et. al, 2006).

Information gathering and dissemination.

The Research Center for Group Dynamics was founded by Kurt Lewin in 1945, and again focused on specific organizational settings and challenges. Lewin developed a process of surveying group attitudes and providing feedback to the participants to spur the planned change process. Well-known researchers from this area include Floyd Mann and Rensis Likert (French & Bell, 1990).

³ Argyris, C. (1970). *Intervention theory and method*. Reading, MA: Addison-Wesley.

⁴ Blake, R.R., & Mouton, J. S. (1964). *The managerial grid: Key orientations for achieving production through people*. Houston, TX: Gulf Publishing Co.

Focus on productivity and quality-of-work-life (QWL)/quality circles.

The birth of sociotechnical research was first conducted at the Tavistock Institute of Human Relations in London by Eric Trist and colleagues (French & Bell, 1990; Huse & Cummings, 1985). Researchers looked at the integration of technology and humans. Out of this research came QWL tactics known as self-regulating work groups and quality circles (which allow a group of employees to determine their own work rules such as participation, rewards and punishments – more focused organizational challenges). One of the well-known researchers who has links with the Tavistock Institute is Robert Blake (French & Bell, 1990).

Although these four approaches are discussed separately, there are many crossovers in the literature. For example, Argyris was involved with NTL but also worked with Tavistock and developed his own version of action research called action science (see Argyris, Putnam & McLain Smith, 1985) and Lewin is seen as instrumental in all areas (French & Bell, 1990).

Throughout this literature there is an abundance of research that discusses the amount of practitioner-based versus academic-based research. Kurt Lewin is credited with bridging academic and practitioner-oriented research through the use of action research (Bennis, 1993). Here, the concern was to provide a method for social scientists to academically study social action and provide a means to lead to social action (Lewin, 1946) or the “practical concerns of people” (Susman & Evered, 1978, p. 587). Lewin stated “research that provides nothing but books will not suffice” (p. 35). For Lewin, the triad of action, research and training was the key to success in the study of social science (1946). In 1970, Chris Argyris developed *Intervention Theory and Method*, which provides a systematic approach to organizational scientists using their research to consult, or intervene, for organizations (Argyris, Putnam & McLain Smith, 1985). A major goal for Argyris with all interventions is that the person responsible for the

intervention, “the intervenor [*sic*],” is responsible for helping the organization “to become more effective in problem solving, decision making, and decision implementation in such a way that the system can continue to be increasingly effective in these activities and have a decreasing need for the intervenor [*sic*]]” (Argyris, 1970, p. 16).

The Socio-Technical Debate

Different disciplines bring with them different worldviews and therefore different perspectives on the nature of change. Accordingly, a strong debate came about in the literature as to whether the purpose of organizational development, and hence organizational change, was to improve organizational performance or to improve the “human condition” within the organization (Sashkin & Burke, 1987, p. 397). In their pioneering study, Friedlander and Brown (1974) conceptualized the organizational development field in two separate areas. The Human-Processual Approach looks at individuals and how they interact while the Techno-Structural Approach looks at technology and structure (Friedlander & Brown, 1974). This sociotechnical gap was called to the front, once again, in an article by Faucheux, Amadio and Laurent (1982) which they claim provides a “significant transformation” in the field of planned change (p. 365). While much controversy surrounded which approach by Friedlander and Brown should prevail (Beer & Walton, 1987; Faucheux, Amado, & Laurent, 1982; Sashkin & Burke, 1987) one can look to the literature to find that the organizational change literature is also split showing a value of both people and performance. A review shows that some of the organizational change literature is interpersonal in nature, leading towards a Human-Processual Approach (Albrecht & Hall, 1991; Beer & Walton, 1987; Church, 2001; Cobb & Margulies, 1981; Lewis, 2006; Lewis, Hamel & Richardson, 2001; Porras & Berg, 1978; White & Mitchell, 1976) while other literature

is non-interpersonal in nature, leading towards a Techno-Structural Approach (Church 2001; Faucheux, Amadio & Laurent, 1982; Timmerman, 2003; White & Mitchell, 1976).

Models of Organizational Change

There is much research with a focus on the phases of organizational change efforts. Within this research all of the planned change efforts are examples of purposeful efforts to change the dynamics and disrupt harmony of the system or subsystem. This section details such research, including: Lewin's (1951) three stages of change; Lippitt, Watson, and Westley's (1958) five-phase model of planned change; Weisbord's (1987) organizational change guidelines; Armenakis & Harris' (2009) readiness for change and Ruben's (2009a) stages of change.

Unfreeze, change, freeze.

To begin, one must consider the three stages of change recognized as durable throughout the ages (Weick & Quinn, 1999): 1) unfreeze the status quo; 2) move or change to a new level of operation; and 3) freeze so the status quo remains at that level and does not regress to the prior status quo level (Lewin, 1951)⁵. Lewin suggests targeting the group rather than the individual because individuals tend to go along with the group as a whole. A few years later another group of researchers came to the forefront with their thoughts on the change process.

Five-phase model of change.

Taking Lewin's three stages a bit further, Lippitt, Watson, and Westley (1958) introduced a five-phase model of planned change. The phases include the following: 1) "Development of a need for change" which is similar to Lewin's unfreezing of the status quo; 2) "Establishment of a change relationship" where the client finds the consultant as both distant enough from

⁵ The taxonomy of change agents (Ottaway, 1983) mentioned earlier was designed to coordinate with Lewin's three stages of change where the change generators were the unfreezers, the implementors were the movers and the adopters were the refreezers.

organizational habits yet close enough to understand the organization; 3) “Working toward change” which is similar to Lewin’s move or change stage and consists of three sub areas: clarification of the problem, examination of new avenues to solve problem, and transformation or implementation of actions to solving the problem; 4) “Generalization and stabilization of change” is similar to Lewin’s third step of freeze so that all parts of the system are involved in the change process; and 5) “Achieving a terminal relationship” where the client becomes independent and no longer needs the consultant to function (Lippitt, Watson & Westley, 1958, pp. 130-143).

Organizational change guidelines.

Weisbord (1987) created the following organizational change guidelines: 1) Gauge the organization’s capacity to mobilize by the “commitment of its leaders,” “good business opportunities,” and “energized people” to determine whether or not to move forward – “should we/shouldn’t we” 2) Involve everyone in the “system” from all ranks and tenure to enable a mass agreement or conclusion about the process 3) Concentrate on “images for potential” in the future versus priority lists of problems to energize and keep morale high and 4) Develop systems and processes to provide independence to stakeholders.

Readiness for change.

Also following in the footsteps of Lewin (1945), Armenakis & Harris (2009) developed a plan for discerning change recipient readiness by assessing five recipient beliefs. They define readiness as the “cognitive precursor of the behaviors of resistance to or support for organizational change (Armenakis, Harris & Mossholder, 1993). Such cognitive precursors are the five beliefs of discrepancy, appropriateness, efficacy, principal support and valence (Armenakis & Harris, 2009). The foundational concept here is the idea that assessing recipients

level of these five beliefs should enable change agents to determine whether or not recipients are ready for the organizational change effort.

In this model, the change agent must make the case to the recipients and the recipients must agree that there is a discrepancy between what is occurring in the organization and what needs to occur in the organization. Next, recipients must agree that the chosen change effort is appropriate. Efficacy is the belief that the change can be done by the change recipients and the organization as a whole. Recipients must also agree that leaders and change agents are indeed committed to the change effort and will maintain the momentum needed to see the effort through to fruition. Finally, recipients must agree that they are getting something out of the change effort.

Stages of change.

In a newer model of organizational change processes Ruben (2009a) defines the following five stages of successful change that organizational members will undergo: 1) Attention- where members will first determine that there is a need for a change; 2. Engagement- where members need to be involved in the change process; 3. Commitment- where organizational members commit to a position (either investment in the change or parting the organization); 4. Action- where members act on one's investment in or commitment to the change process; and 5. Integration- where organizational members internalize the change as an ongoing and normal part of their job.

Rational, Normative, and Power Strategies

The previous sections looked at training, team building, the integration of technology with organizational members as a way to improve productivity via a planned change program,

and phases of change programs. This section of the dissertation looks at three “broad strategies” – or processes – that can be used for change program initiatives (Burke, 2008).

Chin and Benne (1985) developed three broad strategies for planned change initiatives that change agents can choose from prior to the actual implementation. Chin and Benne (1985) believe that one of these broad strategies would be a best fit for each situation. Their strategies include the following: 1.) Empirical-rational strategies argue that behavior change will be spurred by a motivation of “rational self-interest” (Chin & Benne, 1985, p. 23). In this strategy the change agent is responsible for finding out the personal motivations of the organizational members in advance and then using that information to provide a rational proposition to them in support of both the planned change initiative and the members’ self-interest. 2.) Normative-re-educative strategies are those where organizational change agents assist members to form new attitudes and customs about the circumstances, which in turn allows them to assume a new behavior (Chin & Benne, 1985; Mohrman, Mohrman & Ledford, 1989). This strategy takes into account the culture of the organization or group. The change agent must determine the rituals and values of the culture first and then support members to change their culture to reflect the new rituals and values of the proposed change program. 3.) Power-coercive strategies “focus on the power and influence that can be used to create change” (Mohrman, Mohrman & Ledford, 1989, p. 146). Here, the change agent must use the influence that those in power of the organization hold over those with lesser power (Chin & Benne, 1985).

Once the change agent has decided on the appropriate top-level strategy for implantation of the organizational change program, then he or she must decide on a task-specific strategy. The following section on performance measurement systems is one such frequent strategy of importance to highlight in this dissertation.

Performance measurement systems.

The previous section detailed top-level strategies from which change agents can choose to chart their overall planned organizational change program. The following section burrows deeper into types of planned change strategies. Here the change agent has a myriad of choices when it comes to the actual method of implementing the change initiative. Performance measurement systems are used frequently as implementation strategies of change agents. As such they make a good topic of research.

What is a performance measurement system?

While performance measurement strategies abound (Bititci, Turner, & Begemann, 2000; Neely, 1999) they all rest on the common theme of continuous improvement through benchmarks and goals that are consistently monitored by organizational members. Performance measurement strategies serve to promote or document change programs – where information exchange between change agents and constituencies is key.

With an increase in popularity, there is an ever-increasing supply of performance measurement strategies used within change program models. Likewise there is a budding consulting, publication, and conference industry that surrounds them (Kennerley & Neely, 2002). There have been a number of popular performance measurement strategies over the past few decades such as the following: Balanced Scorecard, Dashboard, Six Sigma, Lean, Kaizan, MBNQA, ISO, as well as customized applications in various settings such as the Compstat model in law enforcement and Excellence in Higher Education. One popular example is the book *Lean Thinking* by Womack and Jones (2003). This book looks at a specific performance measurement strategy – Lean – and details its principles, action plans and case studies. Another popular example is the book *Juran's Institute's Six Sigma: Breakthrough and Beyond* by DeFeo

and Barnard (2004). This book looks at a different specific performance measurement strategy – Six Sigma – and details their strategies for raising the quality of organizational performance with their methods.

DeFeo and Barnard (2004) claim, a “critical step...is to measure the actual performance of the product or the process” (p. 94). While DeFeo and Barnard are proponents of Six Sigma, this “critical step” holds true for all performance measurement strategies. Where performance measurement strategies differ is in the measurement process. These measurement processes contribute to the clutter of performance management strategies; some of the more prominent ones will be detailed next.

How does performance measurement fit into the bigger picture?

In addition to measurement processes, performance measurement strategies emphasize such processes as linking measures to strategic objectives (Kaplan & Norton, 1996) and accountability (Tromp & Ruben, 2004). Kennerley and Neely (2002) provide six characteristics of performance measurement frameworks wherein they say the set of measures needs to, “1. Provide a ‘balanced’ picture of the business” 2. “Provide a succinct overview of the organization’s performance” 3. “Measure all areas of performance that are important to the organization” 4. “Be comprehensive – map all performance measures and show gaps” 5. “Be integrated both across the organization’s functions and through its hierarchy” and 6. “Use results to monitor past performance and plan for future performance.” (pp. 149-150)

Ruben (2008) summarizes the process in three steps, “1. Establishing goals 2. Monitoring the extent to which these goals are being met and 3. Using the resulting information to plan and execute improvements.” (p. 1)

Moullin (2002) defines performance measurement as, “evaluating how well organizations are managed and the value they deliver for customers and other stakeholders” (p. 188).

Kennerley and Neely (2002) define several parts of a performance measurement system including, “1. individual measures that quantify the efficiency and effectiveness of actions” 2. “a set of measures that combine to assess the performance of an organization as a whole” and 3. “a supporting infrastructure that enables data to be acquired, collated, sorted, analyzed, interpreted, and disseminated.” (p. 145)

Performance measurement, then, is a means organizational leaders have to accomplish a planned change effort – whether facing external threats or internal desires for enhanced performance. A performance measurement strategy, such as a Dashboard, can help determine gaps as well as provide ongoing indications of the impending success or failure of planned change effort. Such a performance measurement is an important piece of the planned change effort.

Why is performance measurement an important focus for many organizations?

Many organizations find significant benefits from performance measurement programs including: building consensus and shared perspective on organizational strengths, weaknesses, priorities and improvement needs; increased performance (Kennerley & Neely, 2002); comparison of the organization’s status versus set plans and other similar organizations that are successful (Moullin, 2002), communicate organizational status to stakeholders and the public (Moullin, 2002), identify performance gaps and thus be certain priorities are correct (Moullin, 2002), and “compel progress” (Moullin, 2002, p. 190) by measuring and sharing results with stakeholders.

Examples of performance measurement strategies.

Although a few earlier models existed, the performance measurement “revolution” (Kennerley & Neely, 2002) came about with the critique of measures based solely on financial indicators by Johnson and Kaplan in 1987⁶ (Kennerley & Neely, 2002). Since then there have been dozens of performance measurement strategies introduced. For a complete review see Kennerley and Neely (2002). The following list and description of performance measurement strategies is meant only to provide the reader with an overview of some of the available strategies. Its purpose is not to provide an in-depth analysis, nor to cover all the existing performance measurement strategies available to-date. One should note that the different types of measurement systems have different goals, some of which are broadly focused and others more narrow in focus. See Tables Two and Three for a comparison and contrast of several of these strategies.

Performance Measurement Strategies Distinctive to Industry

Balanced Scorecard

One of the most popular strategies is that of the Balanced Scorecard developed by Kaplan and Norton (1992) in the early 1990’s and has been used widely in business since its inception. The intent of this program is to provide a system to measure effectiveness in an organization’s overall progress by tracking performance in four key areas: customers, finances, internal business, and innovation and learning (Kaplan & Norton, 1993, 2005). From here the organization’s managers can set its goals in terms of a strategic plan and the paths necessary to achieve them. This is accomplished by linking measures to the way work gets done by each employee (Kaplan & Norton, 2005). In this way, then, the shift is made from other performance measurement strategies which use control as motivation to the use of “strategy and vision” to

⁶ Johnson, H.T. & Kaplan, R.S. (1987). *Relevance lost – The rise and fall of management accounting*. Boston, MA: Harvard Business School Press.

enable employees to adapt to the new way of doing work (Kaplan & Norton, 2005, p. 180). Note the narrow scope of this performance measurement indicator is in four areas of operation: customers, finances, internal business and innovation and learning.

Dashboards

Another popular strategy is the Dashboard. A variety of styles and forms of Dashboards exist depending on the organization and their goals. Dashboards are key indicators of an organization's goals arranged in a manner so that organizational members can assess performance gaps at a glance. The name Dashboard was meant to refer to the Dashboard on a vehicle that provides the driver with a quick gauge of how the system is operating (gas, temperature, etc.). In any organization the Dashboard might refer to gross sales, profit margin, overhead, manufacturing status, human capital, web statistics, customer retention rates, etc. Dashboards will vary by organization based on strategic goals. As such, departments within organizations may have different Dashboards to reflect their responsibilities towards the overall strategic goals and directions of the organization. Depending on the organization, employees either create their own Dashboard measures based on what they feel are important indicators, or the management does it for them. Note that the Dashboard performance measurement indicator has a broad area of focus which allows complete customization for every organization.

Six Sigma

A third strategy is Six Sigma. According to iSixSigma.com (2009) the main emphasis behind this strategy is process improvement. Specifically, Six Sigma looks at quality standards and defect reductions by introducing a standard measurement and methodology for assessing the organization's progress (iSixSigma.com, 2009). In doing so the process uses the following method to reduce and eliminate defects: determine, measure, analyze, implement and control

(Ferguson, 2006). While the method has proven to be successful, it has the downside of creating silos within the organization because typically only the team members are aware of happenings while others in the organization are left to wait to find out what's involved (Ferguson, 2006). "Sig Sigma is all about exclusion" (Ferguson, 2006, p. 15). Six Sigma programs are mostly used to target a specific area within the organization by forming teams specific to that area and typically last until that area meets its goals (Ferguson, 2006). These teams are responsible for everything from determining the problem to implementation of the recommendations to fix the problem and then monitoring results of the implementation (Ferguson, 2006). From there the organization relies on measurements to control the process (Ferguson, 2006). However, due to the exclusionary process involved with employees, "there is no effect on the culture or the organisation as a whole" (Ferguson, 2006, p. 15). Note the narrower focus of this performance measurement indicator.

Lean

Another type of performance measurement strategy is Lean. According to Ferguson (2006), lean is a philosophy that uses continuous improvement to "identify and eliminate waste" from the entire system (p. 15) while focusing on what is valued by customers using some sort of process mapping – possibly value stream mapping or flow analysis (Lean.org, 2010). Here everyone in the organization is aware of and involved with the philosophy through the transfer of knowledge and learning (Ferguson, 2006). Involving everyone in the organization in a continuous improvement process is a daily task that keeps the waste identification and elimination effort ongoing in stakeholders mind (Ferguson, 2006). "The lean organization educates, engages, and empowers the entire workforce to identify and eliminate waste throughout the value stream" (Ferguson, 2006, p. 15). There are five principles of Lean

manufacturing: 1.) “Value” of product or service from the customer’s viewpoint (Womack & Jones, 2003, p. 16) 2.) “Identify the value stream” of the product or service from conception through final delivery to the customer (Womack & Jones, 2003, p. 19) 3.) Produce products or services in a “Flow” method rather than in batches to maximize time and energy (Womack & Jones, 2003, p. 22) 4.) Allow customers to “Pull” the product or service from the manufacturer as they need it and not have it pushed on them as the manufacturer has the product or service ready and waiting (Womack & Jones, 2003, p. 24) 5.) While the first four principles work together as a continuous system “Perfection” becomes easier to achieve (Womack & Jones, 2003, p. 25). These five principles are the basis for the continuous improvement process. As the cycle moves towards perfection it becomes easier to spot areas where value can become more streamlined and so on, leading to increased perfection. Hence, a common measurement in Lean is productivity. Many organizations change their employees compensation based on individual or team productivity as a reward. Note the overall broad focus of recognizing value within the system and at the same time eliminating waste. But also note the narrow focus within each section of the organization. For example, the lean process can apply first to manufacturing processes and then to the office.

Kaizan

A fifth strategy is Kaizan. Based on a change strategy from Japan, Kaizan is a philosophy to bring change throughout a person or an organization. It is embedded within and used as a source of strength to continuously improve over time (Value Based Management.net, 2009). The philosophy is based on the following five elements: “teamwork, personal discipline, improved morale, quality circles, and suggestions for improvement” (Value Based Management.net, 2009, p. 1). Three key factors occur from these elements: “elimination of

waste and inefficiency, good housekeeping (tidiness, orderliness, cleanliness, standardized clean-up, discipline), and standardization (Value Based Management.net, 2009, p. 1). Involvement of all employees is critical to the philosophy (Value Based Management.net, 2009). According to Value Based Management.net (2009) Kaizen does well as a long-term change program within collective cultures. Note that this performance measurement indicator has a broad focus.

ISO

The International Organization for Standardization (ISO) is a unique model in that it is non-governmental and consists of a “network of national standards institutes in 163 countries” (ISO, 2010a, para. 2). The organization claims that it is “the world’s largest developer and publisher of International Standards” (ISO, 2010a, para. 1). The standards used by ISO organizations are consistent internationally which makes this an especially important model for global organizations. Overall quality and consistency are measured through a variety of standards created for each industry (ISO, 2010b; Mallak, Bringelson & Lyth, 1997). In most instances employees are presented with intended changes to their work along with training, and the employees are given the freedom to then rewrite their own work instructions. While the ISO performance measurement system is broad in its overall scope, the system is meant to become narrow as it evaluates the inclusion or exclusion of organizations into its community based on individual production processes. For example, one of the over 18,000 international standardizations to-date includes that of “telephone and banking cards” (ISO, 2010b, para. 4).

Malcolm Baldrige National Quality Award Program

The Malcolm Baldrige National Quality Award Program (MBNQA) is another widely used and influential model. However, this model includes a self-assessment tool designed for

full employee involvement and input into the program. The approach stresses the importance of the following: leadership; strategic planning; customer focus; measurement, analysis, knowledge management; workforce focus; process management; and results or outcomes of product, customer, financial and market, workforce, process, and leadership categories. An underlying theme is that review, planning, and continuous improvement are fundamental to organizational effectiveness and should be thoroughly integrated into the fabric of every organization aspiring to excellence. Due to its popularity, this program has had some spin-offs and adaptations including the European Foundation for Quality Management's (EFQM) Business Excellence Model (<http://www.eiqa.com/certification/efqm>), *Excellence in Higher Education* (Ruben, 2009b), and *Core Communication* (Ruben & Smulowitz, 2007). While this performance measurement indicator is broad in nature, it is structured into seven narrower categories.

Performance Measurement Strategies Distinctive to Higher Education

Excellence in Higher Education

The Excellence in Higher Education (EHE) strategy is based on the MBNQA program reviewed earlier as well as standards in use by the U.S. higher education accrediting associations. Similarly, it stresses the importance of the following: leadership; purposes and plans; beneficiaries and constituencies; programs and services; faculty/staff and workplace; assessment and information use. The strategy can be used at any level of analysis and institutions of higher education can facilitate the process by either using a consultant or in-house staff. EHE can be conducted as a self-assessment tool and total inclusion of employees is recommended for optimum results. The EHE process is available in its entirety as a book (Ruben, 2009b) and workbook (Ruben, 2009c) that can help guide participants, and has been used in over 40 institutions to-date. In addition, a number of studies have been conducted using this framework

(Ruben 2009b, 2009c). One study (Ruben, Russ, Smulowitz, & Connaughton, 2007) analyzed six university departments that separately participated in EHE/Baldrige workshops administered by the Center for Organizational Development and Leadership at a Northeastern University between 2003-2005. Findings indicate that participants did acquire knowledge from the workshops, and the majority of participants demonstrated dedication to a positive change in their organizational practices (Ruben, Russ, Smulowitz, & Connaughton, 2007). Similar to MBNQA, this performance measurement indicator is broad in nature, but is structured into seven narrower categories. In addition, the program is flexible so that it can be focused broadly on the entire organization or narrowly on a single program or department.

Regional Accreditation Programs

There are six regional accreditation programs for institutions of higher education. For purposes of this study the following two will be highlighted: Academic Quality Improvement Program (AQIP) and Middle States Commission on Higher Education (MSCHE). These are included in this section of the study as they relate to the discussion of performance measurement strategies. Each accreditation program has its own set of criteria to which institutions of higher education must meet or exceed to become accredited or retain accreditation. In this sense, then, the accreditation programs measure performance based on their individual set of criteria.

Academic Quality Improvement Program (AQIP) is based on nine criteria as follows: helping students learn; leading and communicating; valuing people building collaborative relationships planning continuous improvement; supporting institutional operation; measuring effectiveness; understanding needs of students and other stakeholders; and accomplishing other distinctive objectives. The primary focus is on learning. The Middle States Commission on Higher Education (MSCHE) operates on 14 standards as follows: mission, goals, objectives; planning,

resource allocation, institutional renewal; institutional resources; leadership and governance; administration; integrity; institutional assessment; student admissions; student support services; faculty; educational offerings; general education; related educational activities; and assessment of student learning. The primary focus is on teaching and learning. These programs are broadly focused on the overall institution and then narrowly focused on the specific unit such as student learning outcomes.

The review of research in this section examined the evolution of strategies and approaches to planned organizational change. In summary, while there is a vast array of strategies available for use with planned organizational change efforts, some distinctions can be made between the strategies depending on the scope and goal of the individual effort. The research presented in this section support this study by emphasizing that: 1.) There is a long history of introducing and implementing different changes in different ways within organizations. 2.) There is a long history of academically-supported planned change strategies for practitioners. 3.) There is a long history of tension between the technical and human side of organizational change. 4.) There is a long history of debate over using the “right” performance measurement system.

CHAPTER 3

Method

This section of the dissertation begins with a brief summary of the purpose of this dissertation, followed by a detailed discussion on the methodology that has been employed in this study.

Dissertation Purpose

One of the increasingly popular strategies for institutions of higher education to address the challenges for assessment, accountability and continuous improvement is the use of performance measurement. Performance measurement is a well-accepted and widely used tool in business but less so in higher education. This dissertation studies the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change from the perspectives of three organizational levels of employees within a large Northeastern University using a case study method. The case study approach in this dissertation focuses on four educational support service departments within that organization, and particularly includes senior leadership, department heads and department staff from those departments. In addition, this study sought to clarify the role of communication in facilitating and/or impeding this planned organizational change by examining the social interactions and realities from these three organizational levels of employees within the institution through an analysis of the perceptions of each about the planned change effort.

Research Questions

Research question 1.

What are the perceptions of three organizational levels of employees about the introduction and implementation of a performance measurement initiative? Specifically, how do

participants understand the purpose of the initiative, assess the value of the initiative, assess the impact of the initiative on individual and organizational performance and assess the overall success of the initiative?

Research question 2.

How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member attitudes and motivations? Responses to this question will include members' attitudes toward measurement, motivation, productivity, organizational values, aspirations, morale and previous work habits.

Research question 3.

What was the role of communication in facilitating and/or impeding this planned organizational change?

Method: What And Why?

This study analyzed data from interviews from four educational support service departments and the senior leadership group in a large, Northeastern university that allowed for a greater understanding of the commonalities and uniqueness's that exist within each educational support service departments. The reasons this institution of higher education was chosen for use in this case study were because it met Stake's (2006) criteria which include the following: 1.) the educational support service departments and the senior leadership group were relevant to the study in that they were involved to some extent with the introduction and implementation of a large-scale, planned organizational change in higher education involving performance measurement; 2.) The educational support service departments and the senior leadership group provided diversity in that they were all separate programs in separate contexts to study the planned change effort; and 3.) the educational support service departments and the senior

leadership group provided an opportunity to understand the complexities of the planned change effort. Using the four educational support service departments and the senior leadership group provided access to the three organizational levels of employees within the institution vital to this study. The three organizational levels of employees include senior leaders, department heads and department staff.

The Case Study Process

Why the case study approach?

This study examined the social history (Orum, Feagin & Sjoberg, 1991) of three organizational levels of employees. This was accomplished by examining the social interactions and realities from these three organizational levels of employees within the institution through an analysis of the perceptions of each about the Dashboard planned change effort. In doing so, the researcher “wishes to make claims that are grounded in the claims of those who make them” (Orum, Feagin & Sjoberg, 1991, p. 8). The case study method provided the researcher with an opportunity for “insight, discovery and interpretation” of the phenomenon in this study (Merriam, 2009, p. 42).

There are four lessons to be learned from the case study approach (Orum, Feagin & Sjoberg, 1991). The first lesson is that a case study allows the researcher the ability to “study people in (their) natural setting” versus the reproduction of a natural setting via experimentation (Orum, Feagin & Sjoberg, 1991, p. 7). The second lesson is that a case study provides a more complete view of the action and meanings of the social system. According to Orum, Feagin & Sjoberg (1991) then, a case study that looks at performance measurement indicators

allows the observer to examine social action in its most complete form. The

investigator is better able to grasp the total complex world of social action as it

unfolds. For someone who is interested in how people act in organizations, and how daily routines influence their work, such a gain can be quite considerable. (p.9)

The third lesson is that a case study provides a sense of “time and history” so that the researcher can look at social interactions and routines to determine changes and constants (Orum, Feagin & Sjoberg, 1991, p. 12). The fourth lesson is that a case study promotes theory development (Orum, Feagin & Sjoberg, 1991, p. 13).

Research Setting

Selection of Site and Case

A large, Northeastern University which had just undergone a large-scale, planned organizational change using a Dashboard effort was identified by the researcher’s advisor. In addition, the key people for the case study analysis were approachable through a relationship with the researchers’ advisor. This access made the use of the University an appropriate site to locate a case for the study (Stake, 2006).

The key person for access to the division was the Vice President for Undergraduate Education within the Division of Undergraduate Education. At the time of data collection the Vice President had 13 direct reports including several Assistant Vice Presidents, Deans, an Executive Associate and Administrative Assistant. Each Assistant Vice President had a number of educational support service departments (ESSDs) reporting to them. At the time of the data collection there were a total of 16 ESSDs reporting collectively to the four Assistant Vice Presidents. Each educational support service departments varied from six to 30 members.

Due to the large number of units and individuals involved with the overall planned organizational change initiative a decision to focus on a smaller number of units was based on workload and timing. The researcher wanted to allow for greater clarity and understanding of

the planned organizational change process as well as allow for manageability of data and analysis. In addition, the researcher wanted to focus on the four educational support service departments that were involved in the initial introduction and implementation process during the timeframe of the study. This decision, by nature, excludes other units that had not yet gone through this process.

The four educational support service departments and the senior leadership group in this case study were chosen because: 1.) are all relevant to the overall study in that they were all involved with the transformation of undergraduate education and Dashboard performance measurement system. This common bond provides a unique way to study the overall phenomenon of large-scale, planned organizational change in higher education (Stake, 2006). 2.) all provide diversity across contexts in that they are all separate programs in separate contexts for undergraduate students (Stake, 2006). 3.) all provide “good opportunities to learn about complexity and contexts” (Stake, 2006, p. 23). They each operate in separate contexts and entities within the University while serving different groups of students.

Background Information on the University

In 2005 the University reorganized its campus structure to transform the undergraduate education experience with a primary focus on the interaction of undergraduate students and faculty, and also on educational support service departments (Northeastern University, 2005). As a result of the transformation many educational support service departments (ESSD's) were physically relocated, in some instances from many separate locations, to one central location on campus. In addition to the individual ESSD's being physically moved, many of the ESSD's now reported to a new, and individual Vice President. This reorganization was significant because each ESSD had distinct missions and no common history; the entire division of Undergraduate

Education was a newly formed entity as a result of the transformation. While the ESSD's within the division of Undergraduate Education existed previous to the transformation, they reported to different Vice Presidents. This was the first time these ESSD's reported as a group to the new Vice President of Undergraduate Education. Organizational members in these ESSD's didn't know one another and operated generally in distinct and self-contained units with their own management structure.

Structure of Planned Change Effort.

Beginning with the four educational support service departments (ESSD) in this study – ESSD1, ESSD2, ESSD3, and ESSD4 – each unit went through a process of reflection, structure and measurement with the help of staff from an internal Center for Organizational Development at the University, referred to as COD in the study⁷. As a part of this process the staff from the COD facilitated a series of planning meetings to help the educational support service departments to look deep into their organizations to determine the meaning and value, or culture, of their individual programs and to examine and in some cases clarify their mission and purpose, and how the work of the unit fit within the larger organizational and institutional context. In this process, the “individual units developed or refined their mission, goals [*sic*] as well as learned of the true value of their service and how it relates to undergraduate education and ...[the University]... as a whole” (Ruben, 2007b, p. 8). From here, members of the educational support service departments chose the performance measurement indicators that appropriately captured the mission and purposes of their programs. Next, members of the educational support service departments collected data relative to these indicators. Finally, data were integrated into a web-

⁷ The internal Center for Organizational Development is used as a fictitious name to protect the confidentiality of participants in this study.

based Dashboard to enable internal and external constituencies' access. The results would be used to assess effectiveness and identify areas for improvement by the units.

Selection of Participants

To determine desired interviewees the researcher compiled a list of all potential candidates in the overall population of the four educational support service departments and their senior leadership group. To do so the researcher copied names, titles, and contact information from each department website. Next the researcher contacted each department by telephone to ask for confirmation that the website listing was correct. Once an overall population listing was developed the researcher consulted with staff from the Center for Organizational Development (COD) who helped the departments to create the Dashboard indicators. The COD staff members were able to identify members of the organization who were involved with the introduction and implementation of the Dashboard measures and could indicate the level of involvement for each member. The identification of these key members assisted the researcher to better understand the case study at hand (Stake, 1995). Finally, the researcher asked members of this original list to identify other potential interviewees.

Upon compiling the population list the researcher segmented the members into three main interview categories of Senior Leadership: those at an administrative level such as representatives from the Center of Organizational Development (COD), Assistant Vice President or Vice President level who were the high-level members; Department Heads: those at the department level who were mid-level members; and Department Staff: those at the departmental level who may or may not have been involved with the Dashboard planned change effort⁸. After

⁸ Upon data analysis the researcher changed "recipients" to "departmental staff" because in some instances these staff members either had no idea anything had occurred or they were involved in depth in the process of the Dashboard effort. In this same way, then, Unit heads description has been expanded to describe them as mid-level members. At times they acted as initiators and other times as recipients. In some instances they were completely out

segmentation the researcher reviewed the lists along with the input from members of the Center for Organizational Development to determine which members of the population to include in the sample. The researcher determined the following: a.) each of the members in the senior leadership group would be included in the interviews because they were directly involved with the Dashboard planned change effort; b.) each of the department heads and their direct assistants would be included in the interviews for unit heads because they were directly involved with the Dashboard planned change effort on the department level; and c.) a proportional stratified sample of 20% of the staff in each department⁹ was used to determine the interviews for department staff to allow for proper representation. The interview participants for the department staff were drawn by systematic sample.

In all, the researcher contacted 61 prospective participants including eight senior leaders, 13 department heads, and 40 department staff. The researcher interviewed 32 people including seven senior leaders, 10 department heads, and 15 department staff. One department staff member did not return the signed consent form which made that interview invalid and the others either declined an interview or never returned the researcher's inquiry.

It is important to note that the inclusion of department staff into the Dashboard effort varied greatly by department because of the size and variety of tasks performed within each department. As such, the researcher relied on the department heads to identify additional interview participants. Only one department head indicated additional interview participants within their unit. Another department head identified an additional senior leader as an interview

of the loop. The Associate Vice Presidents were also at times secondary initiators as well as implementers of the change...although not implementers to the extent of their unit heads.

⁹ The researcher added an extra interview participant to both EESD3 and ESSD4 units because the 20% inclusion rate yielded only one person in these smaller departments.

participant. As such, the researcher modified the original interview participant list to include those identified by the department heads.

A brief description of the study was orally explained to the participants, and the researcher assured them of their confidentiality. Every effort was made on the part of the researcher to develop sensitivity and a timeline that adhered to the participants' schedules and available resources – especially since data collection occurred at the beginning of a semester when the units were most busy. Finally each participant was asked to sign an agreement to participate in the study. Permission was granted from the Vice President for Undergraduate Education, and approval from the Institutional Review Board was obtained prior to contact with the participants. To be certain that the researcher took appropriate notes, “member checks” were conducted where the researcher asked select participants to review notes to check for accuracy in meaning (Stake, 1995, p. 56).

In all 32 in-depth personal interviews were conducted within the three organizational levels of employees in this study. The remaining sections of Chapter Three details the data collection and recording procedures used in this dissertation.

Data Collection and Recording Procedures

This study is organized into six phases (See Table 1.): 1) informal data collection as well as obtaining approvals to conduct the study from various sources; 2) execution of a pilot study; 3) execution of seventeen in-depth interviews with senior leaders and department heads; 4) execution of fifteen in-depth interviews with department staff; 5) review, analysis and interpretation of data for each educational support service departments and the senior leadership group; and 6) review, analysis and interpretation of data across all educational support service departments and the senior leadership group.

Table 1. Data Collection and Recording Procedures

- Phase 1: Informal Data Collection and Approvals
- Phase 2: Pilot Study
- Phase 3: Senior Leaders and Department Head Data Collection
- Phase 4: Department Staff Data Collection
- Phase 5: Review, Analyze and Interpret Data for each ESSD
- Phase 6: Review, Analyze and Interpret Data for cross ESSD Analysis

Research Instrument

The research instrument used in this study was in-depth interviews. The researcher chose interviews as a research instrument because the format best fit the intentions of the dissertation which included the understanding of perceptions of three organizational levels of employees within an institution of higher education (Fontana & Frey, 2005). “Interviewing is necessary when we cannot observe behavior, feelings, or how people interpret the world around them. It is also necessary to interview when we are interested in past events that are impossible to replicate” (Merriam, 2009, p. 88).

Interviews were, thus, vital to accomplish the goals of this dissertation because the researcher had no prior access to the events surrounding the introduction and implementation of the Dashboard effort. In addition, the researcher’s interest in participants’ perceptions could only be told through stories by participants themselves (Lindlof & Taylor, 2002).

Three interview guides were developed, one for each of the three organizational levels of employees in the study (See Appendices A for senior leaders, B for department heads and C for department staff). The interview guides were developed with the same questions except for the first few questions which were phrased differently for each organizational level. For example, senior leaders were asked, “What led to your decision to use a Dashboard approach?”

Department heads and staff were asked, “What goals do you think the administration wanted the Dashboard to accomplish?”

From these interviews the researcher was able to gather information about the perceptions of the three organizational levels of employees within the study (Hatch, 1993). The researcher took care to be sure that the participants spoke more than they listened. The researcher recorded the meeting with participant approval and took notes throughout the meeting. The researcher asked follow-up questions that allowed for a more thorough understanding of the participants’ responses. Finally, the researcher asked clarifying questions to ensure the correct interpretation of the participant’s responses had been documented. Once the interview was complete the researcher immediately transferred and expanded on the field notes to a digital journal while the event was fresh in the researcher’s mind (Stake, 1995).

Phase One: Informal Data Collection & Approvals

Informal data collection for this case study analysis began as the researcher was uncovering background information about the large, Northeastern University in the study (Stake, 1995). In this sense, the researcher reviewed key documents about the large-scale planned change initiative from public data available on the university web site. The researcher also attended a meeting where three of the four educational support service departments (ESSD) heads were presenting information about their experiences with the change process to the next four ESSDs in line to undertake the Dashboard process. At this meeting the researcher had an opportunity to ask permission from the leaders for access to information and key people within their respective departments. Permission was granted. In addition, the researcher met with the Vice President for Undergraduate Education to discuss the scope of the study and to ask for

permission to approach members of Undergraduate Education. Permission was granted. The researcher also sought and was granted permission through the Institutional Review Board.

Phase Two: Pilot Study

A pilot study was conducted in July and August of 2011. The researcher interviewed one participant from the senior leadership group and one participant from the department head group. To choose these participants, the researcher consulted the original population listing determined in the sampling method described earlier and reviewed the lists for participants within each organizational level being studied. The desired participant for the senior leadership group assisted with the Dashboard process and rollout. The desired participant for the department head group met with the researcher last year and indicated a willingness to participate in the study. During this pilot study the following important items of note became clear:

1. The number of staff within each department varied from six to 30 staff members.
2. Each department faced a unique set of challenges to realize their goals.
3. Two of the four departments in this study were already collecting data as a requirement for outside funding agencies, and thus were more familiar with data collection.
4. Each department used a similar process to create their Dashboards, but there was some variety in the way the departments involved other members of the department.

Understanding these items helped the researcher to know that understanding each department would require flexibility.

Phase Three: Senior Leadership and Department Head Data Collection

Phase Three of the dissertation served to identify organizational members who were in key roles as senior leaders of the planned change effort, as well as to gain insights into the perceptions of these more senior members of the organization as to the goals, strategies and intentions of the planned change effort. The senior leaders of the organization are further

segmented into those at an administrative level, such as representatives from the Center for Organizational Development (COD), Assistant Vice President or Vice President level who were the high-level members. Through seven in-depth, open-ended interviews the researcher sought to discover the perceptions of senior leaders about the Dashboard effort. In addition, Phase Three of the dissertation served to identify department heads who were in mid-level roles that served at the organizational level between the senior leadership and the department staff. These ten in-depth, open-ended interviews also helped the researcher to determine additional interviewees for Phase Three as well as Phase four. In all, the researcher sought to learn the following from senior leaders and department heads:

- how the more senior members of the organization decided to use Dashboards
- what goals they felt the Dashboard would accomplish
- the way in which the Dashboard was developed and introduced
- names of individuals responsible for initiating and implementing Dashboard measures
- what was involved with the initiation and implementation of Dashboard measures
- the way the Dashboard measures were introduced
- the reaction to the Dashboard measures
- whether or not the senior leaders and department heads of the organization felt the introduction of Dashboards was successful
- how the Dashboard measure was implemented in each department
- how members used the Dashboard measures
- staff members' perceptions about the role of communication in facilitating and/or impeding the effort

- key lessons learned. (See Appendix D: Interview Guide for Senior Leadership and Appendix E: Interview Guide for Department Heads for complete listing of interview questions.)

This phase of interviews provided insights into the perceptions of the senior leaders and department heads about the planned change effort and provided the foundation for Phase Four. In addition, the researcher gained knowledge to define data gathering strategies for Phase Four. From the analysis of interviews the researcher gained insights into the way the planned organizational change effort was introduced and implemented. This helped inform the researcher of additional interviewees for phases three and four.

Specifically, the researcher looked for the senior leaders and department heads to identify by organizational chart the other individuals who were involved in the planned organizational change effort. In addition, the researcher sought to discover to what extent these identified individuals were involved in the planned organizational change effort. Finally, the researcher looked for the senior leaders and department heads to identify documents and/or artifacts that could aid the researcher in answering the research questions.

Phase Four: Department Staff Data Collection

Phase Four of the dissertation examined the planned change effort from the perspective of 15 of the departmental staff within the educational support service departments through in-depth, open-ended interviews (see Appendix F for the interview guide). The purpose of the interviews was to explore the staff member's perceptions of the change effort such as the following:

- staff members' perception of the senior leaders' purpose or goals of the use of Dashboard measures

- staff members' goals of the use of Dashboards
- staff members' thoughts as to the importance of the initiative
- members involved with initiating and implementing the Dashboard measures
- the way in which Dashboard measures were introduced and implemented
- perceptions of differences in the way the Dashboard measures were introduced and implemented in different departments
- reactions to the introduction and implementation of Dashboard measures
- attitudes and opinions towards measurement
- the ways the members use the Dashboard measures
- perceptions of value of the initiative to individual and organizational performance, motivation, productivity, values, aspirations, morale and previous work habits
- staff members' perceptions about the whether or not the change was a success
- staff members' perceptions about the role of communication in facilitating and/or impeding the effort
- and key lessons learned. (See Appendix E: Interview Guide for Senior Leaders and Appendix F: Interview Guide for Department Heads for a complete listing of interview questions.)

This phase of interviews directly provided insights into the perspectives of the staff members about the planned change effort. During these interviews the researcher requested and/or was suggested documents and other artifacts from senior leaders, department heads and staff members. These materials consisted of the Dashboards as they were displayed on the

University web site, a few e-mails from senior leaders, a copy of the organizational chart for the division and a timeline of the Dashboard effort¹⁰.

Phase Five: Review, Analyze and Interpret Data for each ESSD.

To analyze the data the researcher used the research questions as a guide to develop categories or themes by coding data that ultimately led to answers to research questions about the large-scale, planned organizational change from the perspective of the educational support service departments (ESSD's) and the senior leadership group (Merriam, 2009). Specifically, the researcher looked at the Dashboard approach in terms of why it was chosen, who was involved, what goals the Dashboard should serve, the way it was introduced, when it was introduced, and what impact(s) it has had since implementation from the perspectives of the ESSD's and the senior leadership group.

Therefore, the following process (Merriam, 2009) was used:

1. The researcher recorded data – such as interview transcripts, field notes, documents, researcher comments and notes.
2. Next the researcher coded, organized and labeled the data from the first data collected through final analysis. Data were coded according to relevance to the study, organized and labeled so that it was available to the researcher in an easy-to-find system.
3. Then the researcher generated answers to the research questions by looking for a key word or stories about an event as described through participant interviews.

¹⁰ During interviews with senior leaders and department heads, and in a few instances with department staff, the researcher requested documents and/or artifacts surrounding the introduction and implementation of the Dashboard effort. The researcher intended to use documents and artifacts from research participants as another means to analyze and cross-check data from interviews (Merriam, 2009). While some documents were obtained many participants either could not find or did not have easy access to documents from the Dashboard effort. In some instances participants repeatedly told the researcher they would find documents, but never followed through on their intent. The online representations of the Dashboards were the only artifacts found during this study.

Throughout data collection and analysis the researcher compared data to each other to further subdivide or confirm findings by grouping alike data. “The challenge is to construct categories or themes that capture some recurring pattern that cuts across your data” (Merriam, 2009, p. 181).

4. Next the researcher determined themes from linking the categories together in an effort to lead to a model of explanation about the perceptions of the three organizational levels of employees within the institution of higher education.

Phase Six: Review, Analyze and Interpret Collected Data for Cross-ESSD Analysis.

The researcher reviewed and analyzed all data to allow for similarities and differences to be found across ESSD’s. This enabled the researcher to build on the data from phase five to explore whether individual ESSD findings were unique or span across all the ESSD’s within the dissertation (Stake, 2006).

To conduct this cross ESSD analysis, the researcher looked for examples from participants about the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change from the perspectives of three organizational levels of employees of the organization. This study also sought to understand the role of communication in facilitating and/or impeding this planned organizational change by examining the social interactions and realities of these members. In addition, the researcher looked for similarities or differences among ESSD’s. For example, the researcher examined the perceptions about the goal of the Dashboard effort by members of the three organizational levels in this study. During analysis several key words or phrases were consistently mentioned by participants. These key words or phrases were helpful to the researcher’s development of a coding scheme.

Coding.

The researcher began data analysis by reading through the transcripts to determine potential codes (Charmaz, 2005) using key words or phrases from interview participants which was key to the coding process (Bishop, 2005; Merriam, 2009). Research shows that the analysis of a series of interviews can actually be used to “co-construct a mutual understanding by means of sharing experiences and meanings” for participants (Bishop, 2005, p. 126). It is through the subsequent analysis of these shared experiences and meanings, going back and forth through the data to compare data (Charmaz, 2005; Merriam, 2009), that the researcher can develop a coding procedure (Bishop, 2005). As such the researcher went through the data line-by-line to discover key words or phrases that were common among participants. As key words or phrases emerged from the data the researcher constantly compared the data to earlier data and kept track of how many times the data appeared (Merriam, 2009). In addition, upon discovery of a new key word or phrase the researcher doubled back to the transcripts to find if indeed this was a new code that should be included in the study (Merriam, 2009). Most of the codes were taken directly from quotes from the transcripts and a few were re-worded by the researcher for parallelism. One example is the code redundancy that was reworded from a synopsis of data that said “we’ve already done this,” or “we do this already.” Another example is the code resources which was re-worded by the researcher to be all-encompassing for participant explanations of “additional staff,” “more funding,” etc. In all, 20 coding categories were identified based on an analysis of interview transcripts. (See Table 2.)

Themes.

Once codes were developed, the researcher further analyzed these categories for meaningful patterns that joined the data into four themes and one overarching theme to explain

research findings (Merriam, 2009). The themes include: Accountability, Organizational Changes, Leadership Issues, Information Exchange and the overarching theme of Communication. (See Table 2.)

Table 2. Themes (T) and their corresponding codes (C).

Accountability	T
Transparency	C
Justify Existence	C
Measure Results	C
Responding to National Assessment Trend	C
Organizational Changes	T
Continuous Improvement	C
Culture Change	C
Increased Awareness	C
Increased Network Collaboration	C
Redundancy	C
Pride	C
Leadership Issues	T
Short Term Momentum	C
Issues of Priority	C
People Unaware of the Effort	C
Skepticism	C
Resources	C
Other Extenuating Circumstances	C

Information Exchange	T
Process	C
Feedback	C
Uncertainty	C
Promote the University	C
Influence Administration	C

Reliability

“Reliability is usually interpreted as the ability to replicate the original study using the same research instrument to get the same results” (Orum, Feagin & Sjoberg, 1991, p. 17).

Qualitative research, and more generally, case studies, come under intense scrutiny because many quantitative researchers feel they cannot live up to this definition. One way to combat this argument is to “conduct case studies of the same phenomenon over roughly the same time period” (Orum, Feagin & Sjoberg, 1991, p. 18). This dissertation does just that by looking at four educational support service departments and the senior leadership group undergoing a planned organizational change at the same time.

Member checking.

The researcher used “member checking” by submitting a draft of a section of the results section to a participant in which his or her comments are included (Stake, 1995, p. 115). The participant was asked to confirm or disconfirm the draft for accuracy. Accuracy of the draft was confirmed.

Researcher and Participant Roles

The role of the researcher in this multiple case study analysis was twofold. As an “evaluator” the researcher described each educational support service departments and the senior leadership group’s perceptions of the planned change effort (Stake, 1995, p. 96). In another, more prominent way, the researcher acted as an “interpreter” to identify perceptions about the planned organizational effort from the interviews of the three organizational levels of employees in the institution (Stake, 1995, p. 27).

Since the case study analysis involved so much interaction between the researcher and participants whether during interviews or requests for documents, there was much to be taken into consideration in terms of credibility of the researcher. Knowing this, the researcher took extra care to clearly spell out her role with the participants by approaching the participants from the standpoint of needing to learn about the planned organizational change initiative process (Stake, 1995). No participation, assistance, or advice was offered to the participants by the researcher (Stake, 1995). The goal of the researcher was to be able to tell the story of each educational support service departments and the senior leadership group in a way that contributed to the study of large-scale, planned organizational change.

While the goal of the in-depth interviews was to gain truthful insights, there was a chance that some participants were less vocal or censored what they said, and in other instances there was a chance that participants may have embellished what they said because the researcher was present. This is a limitation of the study and will be included as such in Chapter six.

CHAPTER 4

Results and Interpretations

Themes: Accountability and Organizational Changes

This research examined the introduction, implementation and communication processes related to a specific performance measurement system, the “Dashboard,” as the planned organizational change effort as perceived by seven senior leaders, 10 department directors and 15 department staff of a large, Northeastern University through a grounded theory approach (Charmaz, 2006; Glaser & Strauss, 1967). The results and interpretations in this and the following two chapters are based on perceptions garnered from in-depth interviews with these participants.

Development of Codes and Themes

Through a grounded theory, constant comparative method (Charmaz, 2006; Glaser & Strauss, 1967) a set of 21 codes emerged from the data (See Appendix D). Upon further analysis of these codes the researcher discovered four consistent main ideas or themes: accountability, organizational changes, leadership issues and information exchange. Additional analysis revealed relationships between the themes as well as an overall concept of communication (Charmaz, 2006). This and the next chapter include a description and interpretation of the codes and corresponding themes and their relationships that emerged from the data collected in this study. Chapter Six includes a description and interpretation of the concept and its implications for theory and practice.

Themes Accountability and Organizational Changes

Two of the themes that emerged from the codes in the study were accountability and organizational changes (See Table 2). This section describes and interprets each of the codes and

their corresponding emergent themes. Codes are presented for each theme with most frequent codes appearing first.

Accountability: Introduction¹¹

Interpretations of the data sorted into the theme accountability describe how members provide evidence to internal and external constituents about the impact of higher education (Zumeta, 2011). Participants perceived that the Dashboard effort provided them with the means to have accountability in four different areas: (a) transparency, (b) justify existence, (c) measure results and (d) responding to national assessment trend. (See Table 3.)

The code *transparency* emerged from the data where participants referred to ways to show “clear and accessible information about crucial aspects” of their department, the division or the University for their various constituents (U.S. Department of Education, 2006). In particular, participants were focused on providing access to their various constituents about University programs and services, and showing how their department adds value and is meaningful to their constituents. In addition, participants pointed out the importance of the Dashboard effort to help increase their visibility by providing them with an outlet to tell their story to their constituents about the impact of their programs and services. These observations show that participants are concerned with being accountable to their constituents by making their program and service information publicly available.

Participants remarked about ways the Dashboard effort validated the existence of their job, the department, the division or the University as reflected in the code *justify existence*. In doing so, participants discussed ways the Dashboard effort provided evidence to internal and external constituents that the programs at this University do have a positive impact on students

¹¹ Accountability was the third-most discussed theme with 270 of 1144 total comments from this dissertation addressing this issue.

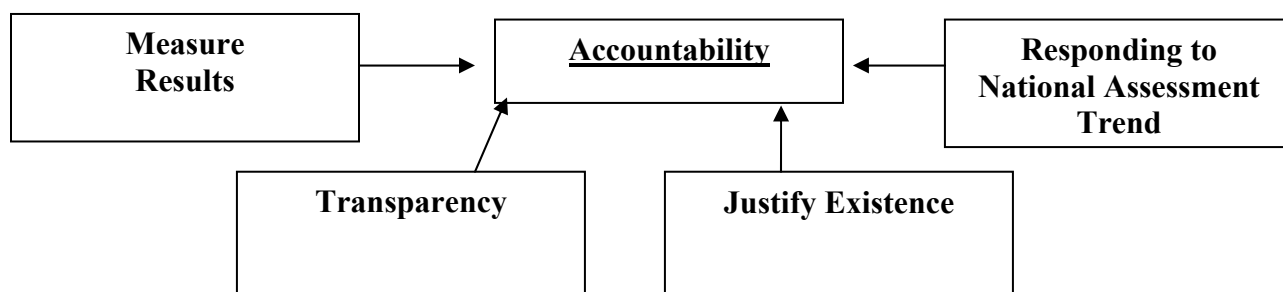
and resources are being used wisely to support these successful programs. These remarks show the responsibility participants have to report to constituents that they are effectively using resources to achieve their goals and that they are accountable for their actions.

The code *measure results* emerged from the data where participants referred to ways to “provide evidence about the impact” of their department, the division or the University to their various constituents (Zumeta, 2011). Many interview participants discussed ways the Dashboard effort helped them to evaluate whether or not their programs were valuable to their constituents. In doing so, members provided evidence to constituents to help them understand department goals and whether or not they successfully completed their goals. Participants also pointed out the difference between using the Dashboard effort as a way to evaluate departmental goals versus evaluation methods and anecdotes used previous to the effort. In addition, participants discussed the importance of the Dashboard effort to provide a system of checks and balances to determine whether or not their performance is clear and coordinated to meet goals. These remarks show participants focus on determining whether or not their department, the division or the University was successful by measuring the results of their work. In addition, these discussions link to their desire to be accountable to their constituents.

The code *responding to national assessment trend* emerged from the data where participants referred to ways to respond to requests from the public for increased accountability and improvement from Universities (U. S. Department of Education, 2006; Zumeta, 2011). Many interview participants discussed ways the Dashboard effort helped to satisfy national calls for the transformation of accreditation processes and increased focus on student learning and performance of universities (U. S. Department of Education, 2006). In addition, participants discussed ways the Dashboard effort could help them with upcoming regional reaccreditation

based on the national call to make accrediting agencies use performance measures such as student learning a critical piece in the reaccreditation process (U. S. Department of Education, 2006). These discussions show participants focus on increased emphasis on assessment as well as promoting accountability for the departments, the division and the University. Next, each code for the accountability theme is discussed in detail.

Table 3. Accountability Theme and Corresponding Codes.



Transparency.¹²

The code transparency emerged from the data where participants referred to ways to show “clear and accessible information about crucial aspects” of their department, the division or the University for their various constituents (U.S. Department of Education, 2006). Participants perceived the Dashboard effort provided them with the means to have transparency in four areas: telling their story, access to information, increasing visibility and showing their value-added.

By telling their story participants perceived that they would be able to share information about the impact of their programs to their constituents (forty-four of 94 total comments within the transparency code addressed this issue). A staff member explained,

For the University it provides them with a way to articulate the resources that they provide to their students. Overall the easier things to have conversations [about] are the

¹² Transparency was the third most addressed issue with 94 of 270 total comments from the accountability theme and 1144 total comments from interview participants.

majors, sports and things that are quantifiable...[The Dashboard] lets the University have a conversation about what other areas they are touching upon and how it stands and how much it really goes to the holistic student and ensure they go through [the] University with a clear understanding of themselves, their resources and can make the best of their...University education. (Participant 22, 2011)

Similarly, a member of the senior leadership group clarified how telling their story can keep their programs viable. The senior leader rationalized,

You can't have the conversation with the taxpayers and the community about some of the things I talked about, but you can deliver to the constituents and the community and the taxpayers and the other faculty and staff about what it is that we do. And this is a great way to explain what the program is about and what it does and what the division does in the University, and also how we're measured. (Participant 21, 2011)

Similarly, a senior leader explained,

I think it's important and worthwhile because we tend to get very caught up in the implementation of initiatives and in the work that we do every day and I think for an organization that's undergone huge transformational change which is what this effort represented it's important to be able to step back and say 'here's what we did, here's why we did it, here's how we can demonstrate that it works.' And it's a way to tell our story to people either inside or outside the university so that they can understand why we did what we did. It becomes important for the internal stakeholders. It becomes important for the public. It becomes important for students. So I think it's a good way to demonstrate to people that when you come through change you really need to step back and understand that everything you went through in getting there was worthwhile because you do have

results. And we don't often think about those results we just keep going (Participant 32, 2011).

In addition to addressing the need for being able to better tell the story of their department, some participants focused on the ability of the Dashboard effort to provide accessibility of information to internal and external constituents (twenty-seven of 94 total comments within the transparency code addressed this issue). Participant comments centered on the Dashboard indicators as being clear, concise and comprehensive as well as easy-to-read for laypeople. A director stated the Dashboard indicators are, "To provide a clear and comprehensive measure of performance which would be available to the public" (Participant 2, 2011). A staff member commented that, "The Dashboard made a way for everyone to present their information clearly and so we can all see what was going on. It allowed you to see what every program was doing and what their goals were and what they've achieved" (Participant 22, 2011). Similarly, a senior leader explained that the Dashboard "was a good way of making data easily digestible for a non-specialist audience" (Participant 28, 2011).

Some of the departments in this study were already collecting data for external organizations and they commented that the Dashboard effort provided them a way to make this information accessible to people within the University. A director affirmed, "This helped all of us to articulate certain things to the University in a better way and I think that if nothing else that's what makes it helpful" (Participant 21, 2011).

In addition to addressing the need for telling their story and accessibility, participants also focused on using the transparency of the Dashboard effort to increase the visibility of their department to their various constituents (sixteen of 94 total comments within the transparency code addressed this issue). Some participants focused on the benefit of showing others within

the University the successes of their department. A staff member declared, “We can say ‘Wow, look at us!’ They had no idea we are doing great things. It benefits our program a lot” (Participant 17, 2011).

Other participants focused on the benefit to their department of gaining visibility to the university administration through the Dashboard effort. A director stated, “One of the downfalls of [this University] is that they have never had a strong discussion about what [this department] means to the institution and I guess it was my hope that the Dashboard would be one more push towards that discussion” (Participant 24, 2011). Similarly, other members focused on the increase in visibility to the Vice President of their division. A senior leadership member commented,

It was a boost. In part because they were first being asked to do this [the Dashboard] and in some ways for two of four of them that were already collecting data and now demonstrating publicly that we’ve been doing this all along. It’s just a new venue in which to share the information and perhaps a new venue that hasn’t really looked at them before. So for [two of the departments] to be on [the VP’s] radar – that’s great and they took that seriously. For morale this was very, very nice because they had the attention of the VP. (Participant 26, 2011)

In addition to addressing the need for telling their story, accessibility and visibility, participants also focused on using the Dashboard effort to discuss the importance of transparency to show various constituents the value-added of their department (seven of 94 total comments within the transparency code addressed this issue). Most participants focused on the value their department adds to the University experience. A staff member indicated, “People question if it’s

worth sending a child to four years of higher education. This shows it's meaningful to students, to parents and the legislature" (Participant 4, 2011). A senior leader explained,

To share the information with people. There are a lot of stakeholders here. Some of them are faculty. Some of them are the leadership of the University. But some are just the students and their families. I thought this was a way to make this value added clear to them. (Participant 29, 2011).

Justify Existence.¹³

The code justify existence emerged from the data where participants referred to using evidence to show internal and external constituents that their programs and services do have a positive impact on students and resources are used wisely to support these successful programs. Half of these participants focused on evidence for internal constituents (forty of 80 total comments within the justify existence theme addressed this issue). Some found value in the Dashboard effort to justify individual's presence. A director commented, "Higher education institutions must be held accountable for what they're delivering given the rising costs of education. It's about making sure that people are doing what they are supposed to be doing and that they are effective" (Participant 1, 2011). Similarly, another director noted, "I think it validated in some ways the work that we do" (Participant 2, 2011). This director observed, "I think that it helps kind of justify people's existences in some ways. It's kind of being put under the microscope" (Participant 1, 2011).

Other participants commented on the ability of the Dashboard to justify to internal constituents why their department is important. A staff member stated,

¹³ Justify Existence was the fourth most addressed issue with 80 of 270 total comments from the accountability theme and 1144 total comments from interview participants.

I think it's very important for us to assess how well we're doing what we want to do, and to see if we're having the kind of impact we need to have. Holds us accountable, I think that's important. Then it demonstrates to upper level management our accomplishments and the contribution we make in the University. (Participant 6, 2011)

A director discussed the importance of justifying their department as a way to become noticed and compete with other programs for resources. The director explained,

It's helpful because we [in our department] need [the University] to understand why we're here, because we're competing with so many other units, there's so much bureaucracy, they need to understand what we do, and that was very helpful in doing that, because of the explanations given, and because Undergraduate Ed is new and it talks about the programs and I think that follows up with Undergraduate Ed. I think it really helps us say look - look at the quality of the programs we offer and look at what they are already doing. So I think that 100% - we all were on board – this is great. (Participant 21, 2011)

Some members described the Dashboard effort as a way to justify the creation and existence of the Division of Undergraduate Education. A member of the senior leadership group explained,

The overall Dashboard indicator with bits and pieces of each of these would justify the reorganization of the division and the existence of this division...these decisions to reinforce this aspect. We don't have an undergraduate education division and we should. It could justify why they did it. Now that would be in an ideal world. (Participant 26, 2011)

Also concerned with justifying existence, other participants focused on the need to defend the value of the University to external constituents (forty of 80 total comments within the justify existence theme addressed this issue). Some, such as this senior leader focused on purposes of reaccreditation, ties to funding sources and broader public interests,

The University is increasingly, like all universities, called upon to document the effectiveness of what they're doing. The efficiency, the fact that money is being well spent and so on. And, those requests are coming from accrediting associations, they're coming from boards, they're coming from parents, they're coming from the state. And there's really no alternative for something like the Dashboard. You know, Dashboards and Scorecards are metrics that – there's not really any choice. Every institution's having to do this and this is a head start. (Participant 31, 2011)

Similarly, a member of the senior leadership team rationalized, “The point is with a great research university – the public's not going to support it if they don't have a sense of what it is” (Participant 30, 2011). A director explained, “People obviously are concerned and saying is this a good way to spend money” (Participant 16, 2011)? Another participant questioned, “To the outside world, how do we stand up” (Participant 12, 2011)? Another staff member explained further,

Again, it's holding them accountable. It's good to have that kind of information to look at the programs and services they offer and be accountable for the results and be able to report that to outside parties. And to show that they're using their funding appropriately. It really contributes to the whole area of accountability. (Participant 6, 2011)

Measure Results.¹⁴

¹⁴ Measure results was the sixth most addressed issue with 68 of 270 total comments from the accountability theme and 1144 total comments from interview participants.

The code measure results emerged from the data where participants referred to instances where members can provide “evidence about the impact of” the department, the division or the University to a variety of constituents (Zumeta, 2011). Many participants interviewed discussed the importance of the Dashboard effort on evaluation of work (thirty of 68 total comments within the measure outcomes code addressed this issue). Within this group members provided evidence to constituents so that they can understand department goals and whether or not they are successfully being met. A senior leader remarked critically about the effort, “It’s been a little less successful in suggesting how Dashboard indicators are actually measuring the outcomes and their impact” (Participant, 30, 2011). A director stated, “I wanted a Dashboard to create better measurements for us to use internally to gauge our effectiveness so I like that it was going to create standards and quality control for the work that we do” (Participant 1, 2011). A staff member recalled some questions their department members deliberated during the Dashboard effort such as this one; “What criteria are we using for the Dashboard in order to get a sense of our actual impact on them? It’s very difficult to measure that because [the students] are impacted by so many things” (Participant 8, 2011).

The Dashboard effort was perceived as important to many because its presence signified an increased focus on the clarification of and evaluation and measurement of departmental results (twenty of 68 total comments within the measure outcomes code addressed this issue). A staff member noted, “I think they gleaned a clearer and better understanding of what we do and how we can measure what we do and why it’s important - why we do that so they’ll know if we’re being successful and meeting our goals” (Participant 10, 2011). A director explained, “Having a body of material comprising the Dashboard that is truly reflective of a unit’s work” (Participant 2, 2011). A senior leader noted, “Making [individuals] think about their goals, their

departments, what they were doing, who they were serving, and then having a way of seeing how well you did those things” (Participant 27, 2011).

Several participants pointed out that many departments were never asked nor had attempted to evaluate their work prior to the Dashboard. Other participants were concerned with the level of pre-Dashboard evaluation strategies, claiming there either was none, what was there was hearsay, or what was there was ineffective (eighteen of 68 total comments within the measure outcomes code addressed this issue). A director declared, “Typically our decisions are based on anecdotal information or subjective ways of thinking about things” (Participant 13, 2011). A senior leader stated, “For some of the units that [the Vice President] was reporting on there were some numbers that would relate to performance but in a lot of cases there were just stories...people were looking for more specifics about their effectiveness” (Participant 31, 2011). Another senior leader explained, “A lot of times we base our sense of value on just some assumptions and I thought we really did need to become much more intentional about identifying performance outcomes in our students” (Participant 29, 2011). A staff member indicated, “We probably did it in a similar way, we just didn’t really have as much scientific data to base our decisions off of. We would still review things that we did – workshops, programs and services – but it was more just our own opinions” (Participant 6, 2011).

Responding to National Assessment Trend.¹⁵

The code responding to national assessment trend emerged from the data where participants referred to ways to respond to requests from the public for increased accountability and improvement from Universities (U. S. Department of Education, 2006; Zumeta, 2011). Several participants discussed ways the Dashboard effort could help them with upcoming

¹⁵ National assessment trend was tied for the 15th most addressed issue with 28 of 270 total comments from the accountability theme and 1144 total comments from interview participants.

regional reaccreditation based on the national call to make accrediting agencies use performance measures such as student learning a critical piece in the process (U. S. Department of Education, 2006). These discussions show participants focus on increased emphasis on assessment as well as promoting accountability for the departments, the division and the University (17 of 28 total comments within the responding to national assessment trend code addressed this issue).

Participants addressed the importance of the Dashboard to assist with the upcoming regional reaccreditation process. A member of the senior leadership group explained,

There was a Dashboard binder that was developed for our [regional reaccreditation] evaluation. This is my sense that, certainly after our last [regional] reaccreditation process, there were many tough questions asked about assessment. And the university pledged from the highest levels to develop a culture of assessment within the university. And so from vice president's office came this call to engage in this. (Participant 29, 2011)

In addition, interviews participants discussed ways the Dashboard effort helped to satisfy national calls for the transformation of accreditation processes and increased focus on student learning and performance of Universities (U. S. Department of Education, 2006) (eleven of 28 total comments within the responding to national assessment trend code addressed this issue). A compelling example of a response to the national call for assessment is reflected by this participant from the senior leadership group,

I think everyone in a University administration position in 2011 understands the importance of assessment and understand that we have to communicate what we do to non-specialists including state legislatures, and that we had better communicate what we do ourselves and come up with our own assessment mechanism because if we don't, the

assessment will be imposed upon us from outside the university and most university administrators do not want it to get that far. (Participant 28, 2011)

Another senior leader pointed out the benefit of the Dashboard effort toward answering the national calls for assessment,

I think by putting that first set of Dashboards on the web and making them very visible and talking about them being out there it helped [this University] be part of that whole debate about who's measuring what's going on in Higher Ed because it was very proactive for them to go out and say 'we'd like to show you what we're doing.' So even though it was a small number of units I think it gave [this University] an edge in a lot of ways in that discussion about whether people are measuring the right things in Higher Education. We measure a lot of things but are we measuring the right things? (Participant 32, 2011)

A participant from the senior leadership group explained how the Dashboard effort was a means to both respond to calls as well as to assist with regional accreditation,

Why was assessment on the agenda? It was a national item already when that report was done in 2004-5 – transformation of undergraduate education report. But so that's number one. They are not necessarily in one or two order. But anyhow the other thing was that at the same time about five years ago the task force report was done first about six to seven years ago. The University was going through one of its – every 10 years there's a university reaccreditation visit from the [regional accrediting organization]. And one of their mantras from Washington obviously was does the school know how to assess what it's doing? Is there an assessment program in place? Whether it be in departments, classes, any offices. So we in undergraduate education... We saw the fact that this was

essentially a new office even though it had units that had been here awhile – as an opportunity from day one to develop measures of assessment. So that it was built into the office, built into each program, ongoing, updatable. And that’s very important. So between the task force report and the reaccreditation program assessment has become a major thing at [this University]. Undergrad education was given new support, new emphasis by the President. It started [with the Spellings Report]. (Participant 30, 2011)

As explained previously, the theme accountability centers on four important segments: transparency, justify existence, measuring results and responding to national assessment trend. Overall, participants responding to the theme of accountability focused on efforts of their department to provide and use evidence to show internal and external constituents that the programs and services at this University do have a positive impact on students and the funding is used wisely to support these successful programs. In addition, participants also focused on being able to use “clear and accessible information about crucial aspects” of this University so that their internal and external constituents could have access to and understand the value-added of the University-wide experience (U. S. Department of Education, 2006). Finally, participants were focused on the ability of members of the University to provide measures for regional accreditation as well as being a part of the trend to respond to national calls for greater assessment and accountability. The next section focuses on the theme of organizational changes.

Organizational Changes: Introduction¹⁶

Interpretations of the data sorted into the theme organizational changes describe how members perceive a result or consequence of the Dashboard effort (Outcome, n.d.). Participants perceived that the Dashboard effort had the potential to provide them with the following

¹⁶ Organizational Changes was the second-most discussed theme with 309 of 1144 total comments from this dissertation addressing this issue.

organizational changes: (a) continuous improvement, (b) culture change, (c) increased awareness, (d) increased network collaboration, (e) redundancy and (f) pride. (See Table 3.)

The code *continuous improvement* emerged from the data where participants referred to ways the Dashboard effort led to, or failed to lead to, “evaluation and achievement through the analysis of work output” and using this evaluation to determine how to constantly advance work output (Vakkuri & Meklin, 2003). During interviews participants discussed ways the Dashboard effort helped to identify and improve productivity and/or performance. In addition, participants discussed ways the Dashboard effort clarified departmental mission and goals. Finally, participants discussed the clarity the Dashboard effort brought to individuals in terms of the personal fit within the organization which contributed to these individuals wanting to improve their productivity. These discussions show participants focus on improving their current work and contribute to the theme of organizational changes as a result of the Dashboard effort.

The code *culture change* emerged from the data where participants referred to ways the Dashboard effort could have made “alterations to employee values, behaviors and assumptions that should lead to increased organizational performance” (Ogbonna & Wilkinson, 2003, p. 1152). During interviews many participants discussed their perceptions that the Dashboard effort did not have an impact on employee values, behaviors and assumptions. Many other participants perceived that the Dashboard effort did have a small impact on employee values, behaviors and assumptions. These participants cited some of the changes made within their department as a result of the Dashboard effort. Other participants discussed that there was no impact on employee values, behaviors and assumptions associated with the Dashboard effort. These participants perceived that members used the same information before and after the Dashboard effort, but in a different manner. Finally, a few participants are not sure whether

“alterations to employee values, behaviors and assumptions” have occurred because it’s possible that the program has not been in existence long enough to tell (Ogbonna & Wilkinson, 2003, p. 1152). These discussions show participants perceptions about the lack of a specific organizational change, culture change, as a result of the Dashboard effort.

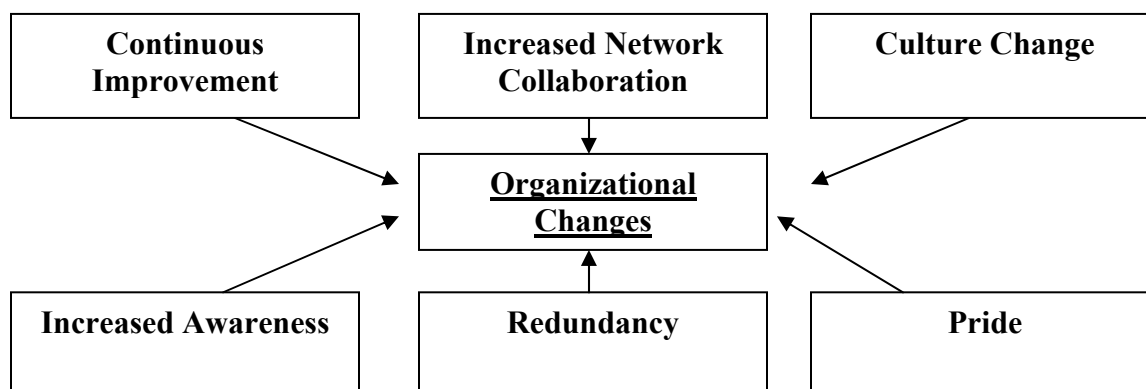
The code *increased awareness* emerged from the data where participants referred to ways the Dashboard provided greater knowledge than they previously had about assessment (Awareness, n.d.; Increased, n. d.). Throughout interviews participants discussed ways the Dashboard effort helped members to have greater knowledge about how assessment fits into their daily jobs, to have greater knowledge about assessment in general and to provide members with an increased comfort level with assessment. These discussions show participants focus on increased awareness as an organizational change resulting from the Dashboard effort.

The code *increased network collaboration* emerged from the data where participants referred to ways the Dashboard effort resulted in “linking different groups of” employees to gain improved understanding, engagement and goal setting (Vakkuri & Meklin, 2003, p. 752). During interviews participants discussed ways the Dashboard effort helped them to come together with others in the University for meaningful discussions and collaborations about departmental objectives and priorities. In addition, participants discussed the importance of the Dashboard effort to help members of the University to collaborate with a shared objective in mind. Finally, participants discussed ways the Dashboard effort helped them to meet and learn about others within the University which in turn allowed them to collaborate across departments and disciplines within the University. These discussions show the organizational change as a result of the Dashboard effort where participants focus on collaborating with others in the University to continuously improve the services and programs they offer to their constituents.

The code *redundancy* emerged from the data where participants referred to ways the Dashboard effort was “superfluous repetition or overlapping” to current activities (Redundancy, n.d.). During interviews participants discussed the indicators from the Dashboard effort as identical or similar to indicators department members used prior to the effort. In addition, participants discussed ways members of their department were already productive and motivated prior to the Dashboard effort. In addition, some participants found no correlation between motivation, productivity and the Dashboard effort. These discussions show participants perception that the Dashboard effort was unnecessary because they perceive that their department(s) were already meeting the organizational changes planned for the effort.

The code *pride* emerged from the data where participants referred to ways the Dashboard effort provided members with a “pleasure or satisfaction taken in something done by or belonging to oneself or believed to reflect credit upon oneself” or the group (Pride, n.d.). During interviews participants discussed ways the Dashboard effort provided recognition of accomplishments which in turn helps to increase employee pride in themselves as well as their department, division and the University. In addition, some participants addressed that many employees, in general, have an existing high work ethic in which they have pride. These discussions show participants focus on pride as a result of the Dashboard organizational change effort.

Table 4. Organizational Changes Theme and Corresponding Codes.



Continuous improvement.¹⁷

The code continuous improvement emerged from the data where participants referred to ways the Dashboard effort led to, or failed to lead to, “evaluation and achievement through the analysis of work output” and using this evaluation to determine how to constantly advance work output (Vakkuri & Meklin, 2003). A majority of participants interviewed perceived that the Dashboard effort provided a means for them to identify and improve productivity and/or performance (seventy-three of 123 total comments within the continuous improvement code addressed this issue). An example of the perception of the way the Dashboard provides value to their department is by identifying areas of improvement. A director explained, “We were interested in finding out whether or not what we do and how we did it affected graduation rates. We made some changes to our summer program as a result” (Participant 15, 2011). This staff member provided a compelling example of the potential value of the Dashboard effort by stating,

I think it’s a positive contribution that it makes. It’s a chore, it’s another project, but ultimately the information that you get can help you to plan future programs, services, can help you to report to other departments, upper level management, outside people...It helps you to become better organized with what you’re offering. You review what you offered. You get to take a better look at the results. I think it helps for planning more organized, moving forward more efficiently. (Participant 6, 2011)

Fewer participants saw only a minimal impact on the departments as a result of the Dashboard effort. A staff member noted, “You know, little... we made a couple of adjustments to try to measure” (Participant 10, 2011). Another staff member stated they felt the Dashboard

¹⁷ Continuous improvement was the second most addressed issue with 123 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

effort had minimal impact, however went on to list the ways in which there was value. The staff member remarked,

I would say it had a minimal effect. One of the things we looked at after the Dashboard was how we evaluate our workshops...now we send out [surveys] after the fact and the results are more meaningful. Our staff is not carrying papers during workshops. Not a major change in overall work. We did also try to write more directed questions. We did try to hit them with specific things. We tried to be more specific in terms of learning objectives. We found it good in terms of the electronic survey because of a decrease in paper and the tools such as Survey Monkey which makes running stats easier. However it's more challenging in terms of getting the number of participants to fill it out. Our response rate is too low. (Participant 4, 2011)

Two participants perceived that the Dashboard effort did not help their department to improve. A director declared, "The Dashboard as is – not working. It doesn't help us improve." (Participant 1, 2011)

In addition to identifying and improving productivity and performance participants addressed the importance of the Dashboard to clarify departmental mission and goals (forty-one of 123 total comments within the continuous improvement code addressed this issue). A senior leader positively stated,

I think one value is being clear on mission of the unit and its aspirations. I think it had a very major effect from what I can see at least for the senior and some of the leaders of departments. And I guess it would have had an effect even on people who don't know it had an effect on. You might ask if they know about measures or the Dashboard and they might say 'I don't.' But my guess is that if you asked them what's our unit doing, what's

our core mission, our core purpose, a lot of them would be clearer now even though they don't have any idea why that is. Because I would guess that as leaders got clearer on the mission and so on they conveyed that to others. And they might not even know what caused that. (Participant 31, 2011)

Many participants perceived that the Dashboard effort provided them with the permission to “stop the boat” and “look at the bigger picture” – their departmental goals (Participant 11, 2011; Participant 15, 2011). A senior leader offers this compelling example of the impact of clearly defined goals, “It helps you to turn away from certain things that are just not being effective and then turn toward areas that are effective” (Participant 29, 2011).

In addition to the continuous organizational changes identifying and improving productivity and performance and clarification of mission and goals participants addressed the importance of the Dashboard effort to clarify personal and organizational fit (nine of 123 total comments within the continuous improvement code addressed this issue). A staff member perceived that seeing the Dashboard results provides clarity of their fit to the organization. The staff member observed,

By seeing these measurements and realizing you've been part of this success helps you understand where you fit into this and how valuable you are and creating value for the organization. You see the success of the organization as a whole. (Participant 22, 2011)

This senior leader's comments exemplify personal, professional and organizational development and fit,

I think that it's professional development for all of them to understand that this is a kind of a best practice out there. There are other organizations that are very conversant. It's very hard to find someone in another sector that doesn't know about Dashboards or

Scorecards and have an opinion for better or for worse so you know. So professional development in terms of knowing what's going on in the world of organizations. There is also organizational development for them in the sense of moving their own organization along and helping them advance and probably there's some personal development in that it's a little different way of thinking – a little more precise way of thinking that can be applied to other things. Can be applied to one's own life. You know, I know a person who uses a Scorecard, Dashboard, whatever every six months to sort of reevaluate using his Dashboard and he takes a reading and sees if the right gauges are there and how he is progressing in his personal life, you know, finances, health, all these things, family.

(Participant 31, 2011)

The Dashboard effort was described by a member as contributing toward clarity for individuals seeking to find their place within the organization. The senior leader commented,

I think the value for individuals was that it helped them clarify where they fit in mission of their department. That by looking at and kind of firming up the mission and the goals of the organization they were able to understand what their part was and what they were working toward and its not to say they didn't understand the mission before but I think it gave them some additional clarity to the discussions. And in some cases like [one person] it really gave them a chance to show what they could do and to really contribute in a very tangible way to what was going on through this process. (Participant 32, 2011)

Culture change.¹⁸

The code culture change emerged from the data where participants referred to ways the Dashboard effort could have made “alterations to employee values, behaviors and assumptions

¹⁸ Culture change was the 9th most addressed issue with 53 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

that should lead to increased organizational performance” (Ogbonna & Wilkinson, 2003, p. 1152). During interviews many participants discussed their perceptions that the Dashboard effort did not have an impact on employee values, behaviors and assumptions (twenty-two of 53 total comments within the culture change code addressed this issue). For the most part, members expected the Dashboard effort to become a new part of their culture and were disappointed and let down that it didn’t happen. Participants felt as if they had wasted their time, which is a precious resource to them. An example reflecting this expectation is from this staff member who commented, “I’m not sure as of yet that it’s had an impact on what we do. I don’t think it’s really changed the way we work or the way we think” (Participant 9, 2011).

Some participants perceived that the Dashboard effort did not succeed in directing their everyday work. A director revealed, “To be honest with you, we don’t use that. We pretty much went back to what we had been doing. It wasn’t something we needed to continue to be effective” (Participant 13, 2011). Another director explained, “Success would be getting the program off and running and being operational to the extent that at the end of every semester or at the end of every year everybody is reporting this information somewhere. That’s not happening” (Participant 13, 2011).

Some participants perceived that the Dashboard effort should direct their everyday work. Another director commented, “It would be something that guides our work on a day-to-day basis, and I don’t think it does at all” (Participant 3, 2011).

Fewer participants put a positive spin on the lack of integration of the Dashboard into their culture. A staff member revealed, “I do not [think the Dashboard was integrated into our culture]. And I don’t necessarily think that that’s a negative thing. I think from a department

standpoint our work habits are the same as they've been prior to any Dashboard initiative” (Participant 7, 2011).

Many other participants perceived that the Dashboard effort did have a small impact on employee values, behaviors and assumptions (twenty of 53 total comments within the culture change code addressed this issue). Several participants cited some of the changes made within their department as a result of the Dashboard effort. A staff member noted,

So going back to some of the things I've mentioned that relates such as evaluation forms, student appointments, [and other events]. Yeah I think it did have an effect - a positive effect on the work habits...but I didn't really see an across the board spike in work habits where people were really digging in deeper or because of Dashboard wanting to get to work early or anything. (Participant 10, 2011)

One participant commented on the impact of the existing culture on their department. The director explained, “You become a slave to what you're accustomed to. We have state regulations and we know what they are. You naturally migrate back to your natural shape, color, etc” (Participant 13, 2011).

Other participants perceived that the Dashboard effort merely reported their existing data in a different manner than what they were doing already. A director exclaimed, “If you're going to ask them the same question, change the name of the program at the top and say did you learn anything before and after – well, okay, but to me that's not good enough” (Participant 1, 2011). A director explained,

The things that we were doing, we were putting in more formal – we were formalizing it and documenting it but we weren't changing what we really were doing. It's not like we went in and we did this program and we did it one way and completely changed how we

did it to address certain learning outcomes. We're doing the same thing. We're just taking back information that we didn't collect it in that way before. (Participant 1, 2011).

A few participants agreed that the Dashboard effort provided a culture change (seven of 53 total comments within the culture change code addressed this issue). A majority of participants who perceived there was a culture change addressed the importance of the Dashboard effort to increase individual engagement. A senior leader noted,

That is has a profound effect on the actual people who work in the areas 'cause they're the people who are deciding what to measure and actually taking the temperature of their programs. I think it increases their engagement. I think they're invested in it. (Participant 29, 2011)

Likewise a senior leader stated, "I think for a lot of units it heightened engagement - another value. Engagement around looking at mission and looking at what they should be measuring and how they should be judged" (Participant 31). Similarly, a staff member stated, "Once the initiative was put forth, everyone became much more aware, much more dedicated to it" (Participant 6, 2011).

A few participants are not sure whether "alterations to employee values, behaviors and assumptions" have occurred because it's possible that the program has not been in existence long enough to make that decision (Ogbonna & Wilkinson, 2003, p. 1152) (four of 52 total comments within the culture change code addressed this issue). A senior leader remarked,

What I would want to know is if as the Dashboards are done, have people been doing more or doing things differently? Or maybe it's too soon to answer. Some units have the Dashboard and others are just getting them. And I think that's actually the key piece now. I think as people start seeing what's measured I'm sure it has had some impact on

productivity. In any systematic way it's probably premature to know. (Participant 31, 2011)

Increased awareness.¹⁹

The code increased awareness emerged from the data where participants referred to ways the Dashboard provided greater knowledge than they previously had about assessment (Awareness, n.d.; Increased, n. d.). During interviews participants discussed ways the Dashboard effort helped members to have greater knowledge about how assessment fits into their daily jobs (thirty of 45 total comments within the increased awareness code addressed this issue). In doing so many members addressed the importance of the Dashboard effort to motivate members to think about and become aware of opportunities to use assessment in their everyday work. A senior leader stated, "I think in at least some of the cases it really got them motivated to change how they did business or think about how they did business, or really reexamine how they did business" (Participant 32, 2011). Similarly, a staff member explained, "This initiative has caused us to kind of think about what we do in a different way and place more value on the quality of the work that we do" (Participant 9, 2011). A director commented,

It made us more conscious of the importance of gathering this information and really stretching our student evaluation forms...So, you know, all of that I think contributed to, you know, how we work in a positive way, and effects what we do and what we gather and what we value. (Participant 2, 2011)

In addition to a greater level of knowledge about how assessment fits into daily work habits, other participants discussed ways the Dashboard effort helped members to have a greater knowledge about assessment in general (ten of 45 total comments within the increased awareness

¹⁹ Increased awareness was the 11th most addressed issue with 45 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

code addressed this issue). A compelling example of the perception of the way the Dashboard effort increased awareness of assessment to organizational members is by this director who stated, “I understand now the why of decisions” (Participant 12, 2011). A staff member confirmed, “There has been some increased awareness of measurement” (Participant 5, 2011). This participant perceived that success was found through building awareness of the steps to completion. A director remarked, “Success is exposing people to the concept – what and how it needs to happen. Yes, we’ve had success” (Participant 13, 2011).

In addition to increasing awareness about assessment and how affiliated activities fit into their daily jobs, participants addressed the importance of the Dashboard to provide organizational members with an increased comfort level with assessment (five of 45 total comments within the increased awareness code addressed this issue). A senior explained, “It was a way to introduce the concept of measurement and outcomes so that people would begin to get familiar with it and would eventually feel comfortable using it” (Participant 32, 2011).

Some participants focused on the varying levels of anxiety that came along with the Dashboard initiative. A senior leader noted, “I would say for the most part that it showed most people that assessment wasn’t some monster-beast thought up by bureaucrats to waste their time” (Participant 30, 2011). Similarly, another senior leader observed,

Assessment was a big fearsome elephant on the table. That we all felt we ought to be doing more of but it was a sort of poorly defined and seemingly mammoth task. Once we accomplished the process we were pretty satisfied with the results and felt that we could continue to engage in this so I think there was some satisfaction and relief – I guess our confidence was built in our ability to engage in this kind of assessment. (Participant 29, 2011)

Increased network collaboration.²⁰

The code increased network collaboration emerged from the data where participants referred to ways the Dashboard effort resulted in ‘linking different groups of’ employees to gain improved understanding, engagement and goal setting (Vakkuri & Meklin, 2003, p. 752). During interviews participants discussed ways the Dashboard effort helped them to come together with others in the University for meaningful discussions and collaborations about departmental objectives and priorities (nineteen of 43 total comments within the increased network collaboration code addressed this issue). A compelling example of the perception of the way the Dashboard effort triggered many important conversations is offered by this senior leader,

[The representative from COD] then needed to reeducate us that it’s not about this piece of paper it’s the conversations that they had, it’s how they came to these, it’s the examination of what they’re doing and why it works and so she had to reeducate the entire leadership group that the real work invisible inside these bullet points that is real important and is the real goal of the process...it’s about the process. (Participant 26, 2011)

Similarly, another senior leader remarked,

And that conversation really changed the way a lot of people felt about [this specific department]. It created a very useful dialogue. It turned out that the upper management, you might say, did not share the same goals as the people who were actually working in the trenches. And that is a very worthy conversation to have. So, it creates opportunities, pursuit is the best word indicators that I have seen. It creates an opportunity for the

²⁰ Increased network collaboration was tied for the twelfth most addressed issue with 43 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

conversation among educators to be sure that we are all on the same page. That we are sharing the same goals. Sometimes we are surprised what a manager of an area, a director of an area, chooses to measure. You say why did you measure that? And then that points out that maybe we really didn't understand what each other's goals were.

(Participant 29, 2011)

Likewise a director observed, “It opens up some of the opportunities we have and just starts more of the conversations about what we need to do to make sure that we keep these numbers going” (Participant 21, 2011). Another director remarked, “We had to come to a consensus on a lot of things and people see things differently. That could be painful” (Participant 1, 2011).

In addition to coming together and collaborating about departmental objectives and priorities participants addressed the importance of the Dashboard effort collaborate with a shared objective in mind (thirteen of 43 total comments within the continuous improvement code addressed this issue). A staff member explained, “Knowing what was going on made us feel like we were part of the whole – a common purpose. It was great” (Participant 18, 2011). Similarly, a senior leader pointed out, “I think there were moments – and this was face-to-face – where we said it has potential and says ‘we are one large division and we are all working towards the same goal’ even if we haven’t articulated that goal” (Participant 26, 2011).

In addition to coming together to collaborate about departmental objectives and priorities as well as collaborating with a shared objective in mind, participants addressed the importance of the Dashboard to help them to meet and learn about others within the University which in turn allowed them to collaborate across departments and disciplines within the University (eleven of 43 total comments within the increased network collaboration code addressed this issue). This

increase in network collaboration is another of the organizational changes afforded by the Dashboard effort. One director exclaimed, “It’s important because it allows us to get our information out to a larger community...also to hear what others are doing...because there are so many offices and I don’t know what you do” (Participant 12, 2011)! A director further explained,

It was successful in getting departments to come together at a time that there was great transition in the university. Just the opportunity to even be at a meeting and to say ‘Oh okay this is the new vice president. And, I’ve heard your name mentioned and now I see you.’ So in that respect, I’m connecting with people and I try to make connections on behalf of our department and for our students, so in that way, it was a success.

(Participant 16, 2011)

Redundancy.²¹

The code redundancy emerged from the data where participants referred to ways the Dashboard effort was “superfluous repetition or overlapping” to current activities (Redundancy, n.d.). During interviews participants discussed the indicators from the Dashboard effort as identical or similar to indicators department members used prior to the effort (twenty-three of 35 total comments within the redundancy code addressed this issue). A director explained, “No, because for our department we’ve been doing these things. We always do these things, and a lot of the other departments have measured things they just haven’t had the chance to articulate them” (Participant 21, 2011). Similarly, a staff member confirmed, “We were already kind of keeping these measures so it wasn’t really new to our program” (Participant 17, 2011).

²¹ Redundancy was the 14th most addressed issue with 35 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

In addition to repetitious activities, participants discussed ways members of their department were already productive and motivated prior to the Dashboard effort and some participants found no correlation between motivation, productivity and the Dashboard effort (six each of 35 total comments within the redundancy code addressed this issue for motivation and productivity).

A compelling example of the perception of the way organizational members are motivated beyond the Dashboard is through their passion for helping students succeed. A senior leader explained,

The groups that I worked with were very motivated to start with in terms of the services that they provide for students. It's hard to say they were motivated more because these were really motivated people who really obviously cared about what they did.

(Participant 32, 2011)

Similarly, a director stated,

Because I don't think [the Dashboard] motivates people. I don't feel motivated by that. They're motivated in making a difference and helping students and they feel like this is just a bog down. We were already doing it and now we're just doing it a different way.

(Participant 1, 2011)

A staff member clarified that member motivation was a reflection of factors other than the Dashboard effort,

I don't think it's really changed people's motivation in terms of what we do and how we do it. And, you know, it hasn't really made us any more motivated to come to work on a daily basis. Maybe that sounds like a negative answer but I think as a staff we're a pretty

motivated staff and I don't think the Dashboard initiative has changed that motivation.

(Participant 9, 2011)

In addition to existing high motivation participants addressed the perceived intent of the Dashboard to increase member productivity; however participants perceived that member productivity was already high. A staff member noted, "I don't think it's changed much. And again, I think our department is – personally I think it's very productive in the work that we do...and I don't think that just the Dashboard has brought about any change in that" (Participant 9, 2011). A director exclaimed,

Yeah and you're talking to a workforce unit that is already highly productive. I don't know how much more productive they could be. And I'm not sure just switching up some of the evaluations would – they'd view that as changing their effectiveness either.

(Participant 1, 2011)

Similarly, a senior leader declared,

I'd have to say no change. Yeah. I mean I don't see a direct – these were people who were already working hard and producing a lot. This may have given them ways to refine the way they thought about their office and what they did, but make them work harder?

(Participant 27, 2011)

Pride.²²

The code pride emerged from the data where participants referred to ways the Dashboard effort provided members with a "pleasure or satisfaction taken in something done by or belonging to oneself or believed to reflect credit upon oneself" or the group (Pride, n.d.). During interviews participants discussed ways the Dashboard effort provided recognition of

²² Pride was the 17th most addressed issue with 10 of 309 total comments from the organizational changes theme and 1144 total comments from interview participants overall.

accomplishments which in turn helps to increase employee pride in themselves as well as their department, division and the University (eight of ten total comments within the pride code addressed this issue). One participant coined this recognition to be a “stamp” to show organizational members why they are individually important (Participant 13, 2011). A compelling example of the perception of the way the Dashboard can recognize organizational members for their hard work is given by this director who stated,

What they wanted to do is extremely important and has a lot of value within the University. [It helps people] realize their worth. [It] helps people personally. People don't realize how well they do things until they see the data. (Participant 12, 2011)

A staff member further explained, “Giving clear cut direct information to these organizations made them feel prouder of their organization since it's a clear way of indicating their success rates and taking more value in what they're doing so they see where they're successful” (Participant 22, 2011).

Other participants focused on the pride of their staff. A senior leader explained, “I think the process let us be proud that we could put something up and share something with faculty, and parents, and students at orientations, and admissions” (Participant 29, 2011). Another senior leader pointed out that being included in the first four pilot groups held a special meaning to members of the department, and thus contributed to their departmental pride,

So we were an example. And I think being used as an example by his unit gave us a sense of ‘Oh, you mean we're ahead of everybody? We're the only ones to have this online in the entire University?’ A sense of ‘oh yeah we're doing something that is new and good.’ They saw this as a positive motivator. (Participant 26, 2011)

In addition to providing recognition of accomplishments, some participants addressed that many employees, in general, have an existing high work ethic in which they have pride (two of 10 total comments within the pride code addressed this issue). A staff member explained, “A lot of these organizations pride themselves and the people pride themselves of being a part of the organization for what they stand for” (Participant 22, 2011).

The focus of the theme organizational changes is about members perceptions of a result or consequence of the Dashboard effort and centers on six important segments: continuous improvement, culture change, increased awareness, increased network collaboration, redundancy and pride. Overall, participants responding to the theme of organizational changes focused on ways the Dashboard effort (a) led to, or failed to lead to, “evaluation and achievement through the analysis of work output” and using this evaluation to determine how to constantly advance work output (Vakkuri & Meklin, 2003), (b) could have made “alterations to employee values, behaviors and assumptions that should lead to increased organizational performance” (Ogbonna & Wilkinson, 2003, p. 1152), (c) provided greater knowledge than they previously had about assessment (Awareness, n.d.; Increased, n. d.), (d) resulted in ‘linking different groups of’ employees to gain improved understanding, engagement and goal setting (Vakkuri & Meklin, 2003, p. 752), (e) was “superfluous repetition or overlapping” to current activities (Redundancy, n.d.) and (f) provided members with a “pleasure or satisfaction taken in something done by or belonging to oneself or believed to reflect credit upon oneself” or the group (Pride, n.d.). The next chapter focuses on the themes of leadership issues and information exchange.

CHAPTER 5

Results and Interpretations

Themes: Leadership Issues and Information Exchange

Two of the themes that emerged from the codes in the study include leadership issues and information exchange (See Table 1). This section describes and interprets each of the codes and their corresponding emergent themes. Codes are presented for each theme with the most frequent codes appearing first.

Leadership Issues: Introduction²³

Interpretations of the data sorted into the theme leadership issues describe how members perceive the presence, or lack thereof, of a “pledge or obligation” from leadership towards the Dashboard effort (Commitment, n.d.). Participants perceived that there was a lack of dedication toward the Dashboard effort in six different areas: (a) short term momentum, (b) issues of priority, (c) people unaware of the effort, (d) skepticism, (e) resources, and (f) other extenuating circumstances. (See Table 4.)

While much of the literature on organizational change in higher education indicates that everyone involved in the effort should be prepared for a lengthy process (Kezar & Eckel, 2002), the code *short term momentum* that emerged from the data suggests that participants referred to ways the “driving power or strength” (Momentum, n.d.) of the Dashboard effort lasted only for a “limited period” of time (Short Term, n.d.). In particular, participants perceived that the Dashboard effort lost momentum or stalled early on in the process. Some participants even perceived that the Dashboard effort was complete, while others perceived that initially there was some positive impact, but it was fleeting. Several participants attributed the short term

²³ Leadership issues was the most discussed theme with 329 of 1144 total comments from this dissertation addressing this issue.

momentum of the Dashboard effort to its origin as a mandate and others to its poor timing. These observations point directly to perceived issues with leadership by the participants.

While much of the literature on organizational change in higher education indicates the importance of leadership to be consistent, persistent and continuously a topic of discussion (Burke, 2008), the code *issues of priority* that emerged from the data suggests that participants perceived that there were competing priorities that won out over the Dashboard effort. In addition, participants were looking for leadership to reinforce the priority of the Dashboard effort through discussion, incentives and rallies. Some participants perceived that the senior leaders were dedicated toward the Dashboard effort and content with its outcome. These perceptions about the involvement of leadership have direct impact on the Dashboard effort.

The code *people unaware of the effort* emerged from the data where participants referred to ways stakeholders such as staff members were unaware or uninvolved with the Dashboard effort (Kezar & Eckel, 2002). In particular, participants were most concerned that staff members who are dealing with the day-to-day activities of the department and who directly serve the constituents were not involved with the Dashboard effort. Other participants were concerned that there were staff members who were not even aware that the Dashboard effort existed. Some, but much less, members perceived that staff members were aware of the Dashboard effort. These perceptions about the involvement and awareness of staff members with the Dashboard effort are directly linked to perceptions of lack of priority on the senior leaders' part about the effort.

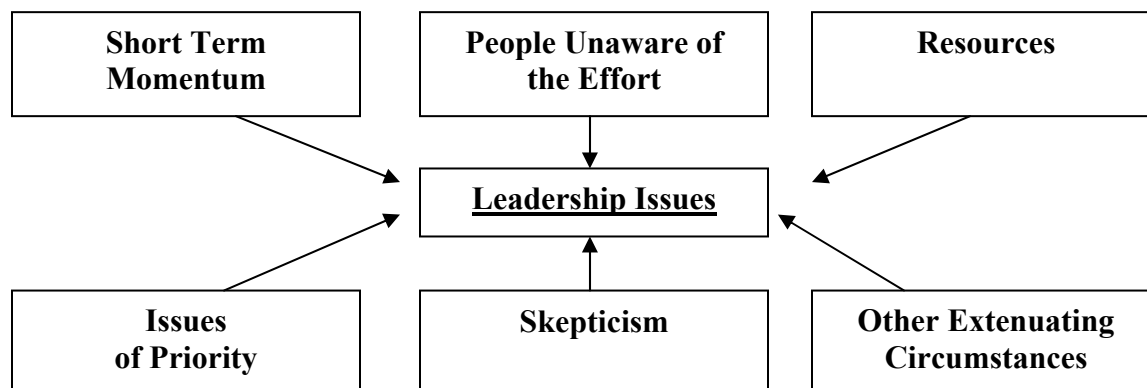
The code *skepticism* emerged from the data where participants referred to their mistrust about the information collected for the Dashboard (Vakkuri & Meklin, 2003). In particular, participants questioned the usefulness of the information collected to their department's benefit.

In addition, participants questioned the objective for the Dashboard effort. Was the objective to truly improve the organization or to defend the University to external constituents? Finally, participants questioned whether or not the Dashboard effort was a fad. These perceptions about the mistrust of the Dashboard effort is directly linked to perceptions of leaders' priority and commitment to the effort.

The code *resources* emerged from the data where participants referred to “support structures” to aid members with work related to the Dashboard as well as other activities which will in turn help protect them from cutbacks” (Kezar & Eckel, 2002, p. 300). In particular, participants were most concerned with resources related to the Dashboard effort. In addition, participants were concerned with resources related to department programs and services that would, in turn, help protect the department from cutbacks. Participants perceptions about are posed from the perspectives of subordinates who are hopeful that their leaders will provide adequate resources.

The code *other extenuating circumstances* emerged from the data where participants referred to ways organizational members became “distract[ed] from the planned, change effort” (Kezar & Eckel, 2002, p. 299). Participants became distracted by staffing issues, their concerns for job security and lack of salary increases over several years. These perceptions indicate issues for leaders at the time of the Dashboard effort. Next each code for the leadership theme is discussed in detail.

Table 5. Leadership Issues Theme and Corresponding Codes.



Short Term Momentum.²⁴

The code short term momentum emerged from the data where participants referred to ways the “driving power or strength” (Momentum, n.d.) of the Dashboard effort lasted only for a “limited period” of time (Short Term, n.d.). A majority of participants interviewed perceived that the Dashboard effort lost momentum or stalled before it was complete (fifty of 80 total comments within the short term momentum code addressed this issue). Some participants spoke of the initial zest surrounding the introduction of the Dashboard effort, as well as the quick vanishing act. A staff member pointed out, “Over time it just stopped showing up on the agenda” (Participant 9, 2011). Similarly, a staff member revealed, “I think there was a big splash initially when we heard a lot about it and then it kind of hasn’t been talked about in quite a while” (Participant 9, 2011). Some participants proposed that in the future change agents of the change effort should keep the momentum going. A director suggested, “I guess if they really wanted to see this project come to fruition, they would’ve needed to keep on it with that same level of intensity that it started” (Participant 16, 2011).

²⁴ Short term momentum was the fifth most addressed issue with 80 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

Other participants were left wondering whether or not the work they contributed toward the Dashboard effort was worthwhile. A staff member indicated, “I have to believe that what we offered is helpful to them in some way and whether they’re working on it diligently now or just kind of shelving that at the moment and going to get back to it” (Participant 10, 2011).

Other participants revealed their frustration with the Dashboard effort, concluding that it was a waste of their time. A director revealed, “At this point it’s stalled and just another exercise” (Participant 12). Similarly, this staff member remarked, “Well to be honest with you, I’m not sure it went anywhere. And, if it did, no one knows about it. I think it’s dropped. (Participant 8, 2011)

In a moment of reflection, a senior leader discussed the impact of lost momentum on the Dashboard effort,

[A member of COD] was the best critic for the things that were working well and not working well for our division. She said what wasn’t working well is that we would let moments go by without capitalizing on them and if we wanted to make the stuff work we had to keep moving forward immediately. Once you lose the momentum it’s gone. (Participant 27, 2011).

In addition to lost momentum, some participants perceived that the Dashboard effort was complete (five of 80 total comments within the short term momentum code addressed this issue). A staff member stated, “I think that some may be relieved that the work is done” (Participant 11, 2011). Similarly, a staff member asked, “Where do we go from there to see continued success as opposed to an abrupt completion” (Participant 22, 2011)? Similarly, a director pointed out, “This jump started another conversation. But again, it jump starts the conversation, it happened, and then it stops. And that’s the part that frustrating” (Participant 21, 2011). Some senior

leaders revealed that their focus was getting all the departments through the process, not continuing the process,

I don't know how relevant it is to talk about doing it again because it's very recent. So I think maybe in a couple years it would be worth having departments go back and revisit. But at this point, I think we're still trying to get everyone through doing it. (Participant 27, 2011)

In addition to lost momentum and some participants perceiving that the Dashboard effort was complete, other participants perceived that initially there was some positive impact but it was fleeting (four of 80 total comments within the short term momentum code addressed this issue). A staff member stated, "I don't know that it's permeated on a consistent, sustained level" (Participant 5, 2011).

In addition to lost momentum, the effort being complete and fleeting impact, other participants attributed these perceptions of the Dashboard to its origin as a mandate (fifteen of 80 total comments within the short term momentum code addressed this issue) and others to its poor timing (six of 80 total comments within the short term momentum code addressed this issue). Some participants focused on the perception that the Dashboard effort was a mandate from senior leadership. A director pointed out, "Certain administrative department leaders would feel that these Dashboard measures could be useful, but didn't want them rammed down their throats" (Participant 24, 2011). A staff member stated, "No one asked if we wanted to do it" (Participant 17, 2011). A staff member further explained,

Department heads have no choice but to follow the lead of the directives that come down from the VP level, and the department staff...we just mostly do what we're told. Not much choice whether we like it or not is a different story. (Participant 7, 2011).

Some participants perceived the lack of interest as a possible result of the mandate. A director offered,

It seemed to be kind of something imposed from the outside and I think if it had resonated more with our program, like, ‘this is something we’re really interested in’ then it might have kept the momentum up. (Participant 16, 2011).

Other participants focused on the timing of the Dashboard effort. A senior leader noted, “We might need to be a little more realistic about the timeframe given everyone’s constraints” (Participant 27, 2011). To that end, a director pointed out, “Not to diminish the importance, it’s just kind of frustrating when you have to do that and you’re already doing all these other sorts of reports that were all due at the same time” (Participant 21, 2011). A staff member explained,

My first reaction was why now? I consider our down time to be the summer...so to take place in the fall or spring while we’re midstream – maybe to know that it’s coming ahead of time...like this is something we’re going to work on and pre-plan the summer before. The timing for me personally, I guess professionally, was like oh my gosh, now what does this mean? How is this going to affect what we’re already doing? The committee already had their goals for the upcoming semester, and this was something new. (Participant 11, 2011)

Similarly, a director explained the challenge of having a major project “plopped” on the department,

You know, for us, it always amuses me when people say, ‘We’re going to have a meeting September 12th.’ Are you kidding me? I’m packed to the gills. I don’t even know if I’ll have an hour to brush my teeth in the morning! You know, it’s like crazy. Other people – I don’t know what they’re doing. Our busyness level is incredible so when something

like that gets layered over it's just like, what did you think we were doing over here?
(Participant 1, 2011).

Issues of Priority.²⁵

The code issues of priority emerged from the data where participants referred to ways the leadership either gave consistent, persistent attention to the Dashboard effort, or failed to do so (Burke, 2008). A majority of participants interviewed perceived that the leadership failed to keep the Dashboard effort a top priority among other competing priorities (twenty-six of 67 total comments within the leadership code addressed this issue). A compelling example of the perception of the way leadership failed to prioritize the Dashboard over other activities is provided by this director, "It was like another one of these things let's get it off our checklist and move on to another activity" (Participant 3, 2011). Another director explained,

There are more and more demands on our time. We are kind of overwhelmed and stretched in many different ways. So, I wish it were different. I wish there had been more time to really absorb everything the Dashboard represents. But anyway, with these kinds of extenuating circumstances it's just sort of another project. I think it could be deeper and richer and, you know, more integrated into the work that we do, but there seems to be just too little time. (Participant 2, 2011)

Several senior leaders tried to explain why the Dashboard effort was not kept as a top priority. A senior leader explained,

I can tell you very honestly, we haven't kept these up to date. We put them up last year, and I haven't had a discussion about Dashboard indicators with my staff for a year. We

²⁵ Issues of priority was the seventh most addressed issue with 67 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

have had some people out sick. There are all different reasons that I can point to for that but I am remiss in that I have not kept this as a priority. (Participant 29, 2011)

Similarly, another senior leader defended,

My sense is it's always something that gets put on the back burner because there are so many other more pressing concerns and daily running of an office and will take precedence over any kind of assessment tool which doesn't have an immediate urgency. (Participant 28, 2011)

A participant defended the perception that at the time the Dashboard effort was introduced the senior leaders were struggling with other priorities. The director indicated,

I think that it's a wonderful thing for senior leaders to focus on – how can we improve, how can we use Dashboard measures to improve what we're doing, but at the time, most of my discussions with anybody senior at the university centered around 'how do we keep our head above water.' (Participant 24, 2011)

A senior leader condensed the issues of the Dashboard effort with this remark, "Everyone knows it's important but they could never prioritize it. That sums up assessment" (Participant 26, 2011).

In addition to competing priorities winning out over the Dashboard effort, participants perceived that leaders did not reinforce the priority of the Dashboard effort through discussion, incentives and rallies (twenty-three of 67 total comments within the leadership code addressed this issue). Several participants discussed the need for leaders to keep programs such as the Dashboard effort a priority. A senior leader explained the importance of leader reinforcement,

One of the things you find out in these initiatives, and I would be surprised if it didn't come up here too, is the importance of leadership to make these things. Leadership to

endorse and support. But then also leadership to keep things moving. (Participant 31, 2011)

Another senior leader reiterated the importance of leadership reinforcement, “The DB project from the VP position doesn’t become an aspiration until he tells them it’s their aspiration – then it is on their radar” (Participant 26, 2011). A director provided a compelling reaffirmation of this importance, “I just need to update it because I haven’t been asked to and it’s just other priorities seem to be in play right now” (Participant 2, 2011). A senior leader team summed the Dashboard effort by declaring, “I think that’s evidence of if you don’t have someone driving the bus it’s not going anywhere” (Participant 26, 2011).

Some participants offered suggestions as they tried to make sense of the lack of leadership reinforcement. A staff member offered,

I think maybe making it - keeping it as a priority. I think initially it was a high priority and then it kind of got pushed down on the priority list. And maybe that was because of again things at higher levels. So I’m not sure who organizes that priority list. (Participant 9, 2011)

Similarly, a senior leader explained the Dashboard system imperfections, Once those Dashboard measures are up online they become static and if there isn’t someone who decides to continue to drive it....there is no internal motivation to go back and replenish data or revisit the data to find out how you’re doing. It’s not built into the system. And it’s a major flaw so far. (Participant 26, 2011)

Finally, other participants discussed the lack of incentives and cheerleading to work on the Dashboard effort. A director noted,

Um no speeches about how we gotta get this done or any rallies from [the Vice President] or anything where it was like ‘Yay let’s do this – you guys are part of the pilot, and what comes out of you is gonna get spread across – it’s gonna be terrific and here’s some free time to work on it or some incentive to do so.’ So I don’t remember any strong incentives symbolically or literally. (Participant 24, 2011)

In addition to competing priorities winning out over the Dashboard effort, and the lack of senior leader reinforcement, participants perceived that the senior leaders were dedicated toward the Dashboard effort and content with its outcome (eighteen of 67 total comments within the leadership code addressed this issue). A senior leader commented, "[The VP] was pleased with how it’s turned out so far” (Participant 26, 2011). Speaking about the commitment of the Vice President a senior leader offered,

I think it was very important that [the Vice President] took an active role because it showed not only that he wanted them to do it but that he believed in it and it had his support. He spoke to the group. He was the initial person who when we had the group meetings he was there and he told people why he thought it was important and I know that he also had those discussions with his AVPs. So he was perceived throughout as being very supportive of this...So I think that having the support of the top leader in the organization was very important almost for some obvious reasons. It let people participate and also showed them that it was okay to talk about what was going on in terms of mission and really kind of take apart what was working and what wasn’t working. (Participant 32, 2011)

People Unaware of the Effort.²⁶

²⁶ People unaware of the effort was the eighth most addressed issue with 60 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

The code people unaware of the effort emerged from the data where participants referred to ways stakeholders such as staff members were unaware or uninvolved with the Dashboard effort (Kezar & Eckel, 2002). In particular, participants were most concerned that staff members who are dealing with the day-to-day activities of the department and who directly serve the constituents were not involved with the Dashboard effort (thirty-one of 60 total comments within the people unaware of the effort code addressed this issue). Staff members were quite vocal about their lack of involvement. A staff member explained that the Dashboard effort was done, “behind closed doors” (Participant 17, 2011). Another staff member revealed that there was no impact from the Dashboard because of the small amount of people involved in the process, “Nothing. It has to exist for everyone, not just a couple of people” (Participant 8, 2011). Similarly, a staff member commented on their frustration about their lack of involvement with the Dashboard effort,

Everyone needs to know what’s going on. I have no clue. I believe that if you have an organization everyone needs to know what’s going on. Everyone needs to be a part of that in some way – directly or indirectly – but you need to be aware of what’s going on. It’s about communication. It’s about contributing to that. If that’s not happening then the questions in terms of the Dashboard are – I have no clue. That’s almost like locking me in a closet. And life goes on. So I have no clue. (Participant 8, 2011)

Another staff member pointed out that with an effort such as a Dashboard the people working on everyday projects should be involved,

I think differently would be – maybe I think what happened with the project is that I think the Sr. level members of the department were involved. I think it would have been a good idea to include some of the [others on staff] who, you know, really do more of the day-to-

day service delivery to have them more involved in the Dashboard project so that we're more familiar with it and I think that would be more impactful in the long run.

(Participant 9, 2011)

Other participants felt that by being left out of the planning stage of the Dashboard effort that they missed out from a complete feeling of accomplishment. A director explained,

I think the first train of thought is just that people at this institution don't know that we do this stuff already daily. And maybe someone could have consulted us or talked with us about it or I thought to include us in a general conversation because they have this idea out there especially in large institutions that maybe only – like [the office of COD], the leadership development office can do this or only this is an org development issue and it's not. You want to talk to people who do this sort of work. (Participant 21, 2011)

Other participants discussed that the involvement and awareness of all employees would improve the impact of the Dashboard effort. A director indicated,

So, I would really have the whole staff, so this, this is really important, then the whole staff has to be involved, there has to be training, and an understanding. I think we had, you know we had several people that were chosen to be involved in this and if it's something that's very important, then the whole department needs to be involved, undergo training and be committed to it, and understand how to do that. (Participant 3, 2011)

A director revealed, "I wish we had spent more time involving the entire department, not just the task force" (Participant 2, 2011).

In addition to the concern about staff members who were not involved with the Dashboard effort, other participants were troubled that some staff members were not even aware

that the Dashboard effort existed (twenty-two of 60 total comments within the people unaware of the effort the code addressed this issue). In fact, four staff members from three different departments randomly selected as a part of the interview sample had no idea what a Dashboard was and had no idea the Dashboard effort existed on their campus and in their department. A staff member remarked, “I don’t think any of my colleagues know anything about it” (Participant 8, 2011). Another staff member observed, “I don’t know if there’s anything that was done to individual departments to be shared with staff members” (Participant 7, 2011). A director further offered,

So, if it were to be successful, people would know and understand the importance of the Dashboard, and it would be something that guides our work on a day-to-day basis, and I don’t think it does at all. I don’t even think people could tell you what the Dashboard is. (Participant 3, 2011)

A few participants discussed the importance of sharing information with others in the organization. A staff member recommended, “If you introduce something new, you need to market it to the lower level. I think if you want everybody to know what it is; you target it from ground up instead of to VP meetings. Sometimes you walk away and that is it. Nothing’s really shared. (Participant 7, 2011). Similarly, this staff member shows their frustration with the lack of awareness of the Dashboard effort,

I think your questions are geared for people who - making assumptions that they created a Dashboard, use the Dashboard – and not only created it but everyone on board is using it in some way, is aware of it, is having a discussion about it. Um, that’s not happening here so far as I know. If I am...using it or if the department were talking about this is how we’re measuring and using it then everyone should be having that discussion about

‘that’s how we’re doing it,’ ‘what are we looking at?’ And if that’s happening, it’s not happening on my level. It’s happening on, if at all, at a higher level. And I think if you’re gonna have a Dashboard everyone needs to be on board about what’s going on, how’s it being handled, how can we add to that? And that’s not a conversation. I don’t have any information. I’m out of the loop. (Participant 8, 2011)

Leaving people out of the effort – whether by not including them in planning or not making them aware of the effort had several effects. Some members felt left out and unimportant, while others felt that the Dashboard effort itself was unimportant.

In addition to the concern about staff members who were not involved or aware of the Dashboard effort, other participants, but much less, perceived that staff members were aware of the Dashboard effort. A senior leader stated, “They were all involved” (Participant 27, 2011). A director explained,

We have several full staff meetings during the course of the year so we certainly provided an update to the staff through those meetings, through individual office meetings. I wouldn’t say there was any consistent or strategic – it wasn’t like a monthly report or monthly update. So we just tried to keep the rest of the staff informed about what we were doing largely through email and occasional live meetings. (Participant 2, 2011).

Skepticism.²⁷

The code skepticism emerged from the data where participants referred to their mistrust about the information collected for the Dashboard (Vakkuri & Meklin, 2003). A majority of participants interviewed questioned whether or not the information from the Dashboard effort would be useful to their department (forty-one of 53 total comments within the skepticism code

²⁷ Skepticism was tied for the 9th most addressed issue with 53 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

addressed this issue). Many participants were concerned that their efforts would only add to their existing level of work and not amount to any real impact for the department or the University. A senior leader revealed, “Honestly, at first [two senior leaders] were not on board. They were skepticism it would be useful vs. an exercise that we have to do that would teach us anything. They were on board to do it...just skeptical” (Participant 26, 2011). Similarly, a staff member echoed the same concerns, “I think it was just questioning again to make sure that again we were making the best use of our time and the best use of the time for the folks who had asked us to do it” (Participant 10, 2011). A director stated, “We are notorious in education and I guess corporate is too, and we do nothing but produce reports to say that we have reports” (Participant 12, 2011).

Other participants were concerned with how the information collected for the Dashboard effort would be used. A staff member explained, “You start thinking there’s more work, more paperwork. And then you also want to question if these Dashboards are going to have a negative effect on your program and what you do” (Participant 17, 2011). Similarly, another staff member stated,

They take it very seriously. Maybe even a little bit of alarm. That’s kind of a strong word, but definitely they’re concerned about it because I think it reflects on the University. It reflects on individual divisions and the departments. So I think everyone kind of feels at attention when this topic comes up. (Participant 6, 2011).

In addition to questioning the usefulness of the information, participants questioned the objective of the Dashboard effort. Was the objective to truly improve the organization or to defend the University to external constituents (seven of 53 total comments within the skepticism code addressed this issue)? A director provides a compelling example, “The skepticism part

comes in that I didn't believe that the University should be spending so much energy and time to justify its own existence" (Participant 24, 2011). A director exclaimed, "They want to say here's what great about what we're doing. They don't want to uncover dirt...they want to paint the pretty picture. So that part creates a bit of skepticism" (Participant 1, 2011). Another director voiced concerns about the goal of the effort,

More work. This is a huge place and I often wonder the – what is going to be the point in doing this? Why are we doing this? Are you saying we're using this as a tool to show a measurement? I mean I still don't know exactly why we did it except that it was a useful tool to show what we do. (Participant 21, 2011).

Other participants criticized the type of Dashboard data that was shared publicly. A senior leader explained,

I think anybody who comes from a social sciences background would look at these [indicators] and say, 'Okay, fine. So you came up with four graphs that show you're good at the following four things. But what about all these other things you didn't measure?' It doesn't take a genius to figure out that we're gonna measure and promote things we're doing well. We're not gonna put on our website some measurement that made us look terrible. And, that's an inherent problem. (Participant 29, 2011)

Similarly, another director explains,

So my standard would be that we would devise learning outcome assessment for every content area we deliver a service on and that we electronically assess every time we go out and do this whether it's individual or in a group format, and that's collected and dropped into something magically that somebody else, not me, can look at and provide additional data points for the Dashboard moving forward. And it would become a way for

us to gauge what we're doing well but also help us understand what we're not doing so well. So, if that were really what was happening, I would say, 'wow, this is a really great thing.' But if you're just trying to paint a pretty picture for the sake of pictorial, visual pie charts and bar graphs for the outside community to see, oh isn't that great. Come on.

What is that about? Now I'm getting skeptical, right? I want to use this to show we need to shift this around. This isn't happening. This isn't good or this needs to be looked – you know if you're really using this in the right way, it's not a PR venture. It's a tool to improve the quality and the effectiveness of what you do. And so, if you're not using it that way and it's just kind of there, scraping out all of the good stuff, you know, it's like evaluation – or what I like to call 'happy sheets.' You hand them to the person, they say how great you are, they give them back to you, and you're like, "Great!" Well, sure.

Except I don't think that's an effective way to capture the learning. So, I will just forget it. If you got me in a room with [the others], and we go around and around and around, and [one] will say, 'Yeah, you're right. It's antiquated.' Then [the other] will say, 'We don't get this – and we don't get a good response.' And we go around and around and around. I'm like forget it. I don't even want to do this anymore. Do I sound jaded?

(Participant 1, 2011)

In addition to questioning the usefulness of the information and the objective of the Dashboard effort, participants questioned whether or not the effort was a fad (five of 53 total comments within the skepticism code addressed this issue). A director asserted, "I think that this is sort of like when total quality management came to be and everyone was all hot and now it's all about assessment, learning outcomes, and whether or not we're truly effective at what we're doing" (Participant 1, 2011). Similarly a staff member recalled, "At the time I was just

wondering if it was more busy work or another fad. You know, you have these fads that come in and out of education” (Participant 3, 2011).

A director explained,

I think most of [the directors] would think that it’s – shall we say – [Academic Department] psychobabble? I mean I hate to denigrate [this Academic Department] – I love what’s going on there, but I think you get a lot of faculty in traditional disciplines who think that all this soft science is just bunk. And theories change too often and what are we really doing here? So I think there would have been some resistance along those folks...Not to knock your school, again...I think what’s going on there is great, and I love what comes out of the quality centers and those types of things, but I do think that we got TQM out of them and QCI and things like that and I think that there’s a large number of faculty members who simply roll their eyes when these things come through. (Participant 24, 2011)

Resources.²⁸

The code resources emerged from the data where participants referred to “support structures” to aid members with work related to the Dashboard as well as other activities which will in turn help protect them from cutbacks” (Kezar & Eckel, 2002, p. 300). A majority of participants interviewed focused on resources to ensure that the Dashboard effort could work better in their department (thirty-five of 43 total comments within the resources code addressed this issue). Increased resources such as computer programs, access to University databases, staff knowledgeable with surveys and statistics and were the focus of participants discussions about the Dashboard effort. A director explained, “Success would be having a mechanism to easily

²⁸ Resources was the thirteenth most addressed issue with 43 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

and maybe almost automatically update the Dashboard” (Participant 2, 2011). Highlighting the desire for additional education and help with data this staff member explains,

Bring in or make available more info, benchmarking from other Universities how exactly they did it and show examples of how they did it and maybe preparing people a little sooner before they were asked to for the data so we could plan how we would gather the data ahead of time so we could have set it up so that data would have been coming in already in a way that was easy to analyze. And then of course give out any amount of resources, money and everything to help organize data and analyze it (Participant 6, 2011).

Some participants were frustrated by a lack of expertise in their department to adequately collect data for the Dashboard. A senior leader describes,

[In one instance] there was nobody on the staff of [the department] or even on the, in the staff of all six units that reported to me, who had the skills to measure [the key goals they had chosen]. They didn’t have the money, we didn’t have the time, we couldn’t do questionnaires, we couldn’t do surveys, we didn’t have anybody to code the data if we did interviews and we didn’t have anybody to produce a Dashboard, even if we could have collected that data. It was beyond our background or training. (Participant 28, 2011)

Other participants focused on the need for additional change agents. A senior leader commented,

I would identify more coaches. I would identify a support team that all the people being asked to develop the Dashboard indicators could reach out to and I would insist that there would be enough of them that they could give regular and timely feedback when directors

were developing their goals. This was very important. This was the most important improvement we could have. (Participant 29, 2011)

In addition to the need for resources for the Dashboard effort, participants were concerned with resources related to department programs and services (six of 43 total comments within the resources code addressed this issue). Department staff were hopeful that the ability to show their good work would result in increased resources. A staff member explained, “Obviously it shows the importance and the value of your department and it can certainly have an impact in terms of resources both in terms of maybe increasing staff or the budget” (Participant 9, 2011). Other, but fewer, participants were more negative about the perceived lack of help the Dashboard effort was for their department. A senior leader noted,

You know, I don’t think any planning was adjusted because of them. Not that I could see. I didn’t receive any more funding or any more staff. And it could be that simply resource-wise there’s less flexibility than you might think for department heads to make change. (Participant 29, 2011)

In addition to resources for the Dashboard effort and their department, participants addressed the importance of the Dashboard to insulate their department from cutbacks (two of 43 total comments within the resources code addressed this issue). A director justified, “[The department was] never cut back on funding on the state level due to our Dashboard indicators” (Participant 15, 2011). Similarly, a senior leader explained the reasoning for this insulation from cutbacks,

I think the credibility that came to [the Vice President’s] whole area for doing this probably insulated them against threats of cuts and so on and probably heightened resources they were getting and it positioned them as a real leader within the University

and the TUE initiative because they were doing this which was progressive. Because they were able to demonstrate and talk about their effectiveness. (Participant 31, 2011)

Other Extenuating Circumstances.²⁹

The code other extenuating circumstances emerged from the data where participants referred to ways organizational members became “distract[ed] from the planned, change effort” (Kezar & Eckel, 2002, p. 299). Participants noted the struggle employees faced trying to deal with both at the same time. A director remarked, “I think there were some that truly did believe that Dashboard measures could help, but the state of [the University] as it was at that time didn’t allow you to focus on that” (Participant 24, 2011).

Participants became distracted by a series of staffing issues, their concerns for job security and lack of salary increases over several years. Addressing staffing issues (twelve of 26 total comments within the other extenuating circumstances code addressed this issue) a senior leader explained, “Too much transition with too many people moving in the spring semester. It became let’s survive the spring rather than let’s set this up on the strongest foot possible” (Participant 26, 2011). Another senior leader explained the staffing issue from a department standpoint, “Thy simply don’t have time to sit down and do these things. Everybody’s short-staffed” (Participant 27, 2011).

In addition to staffing issues, some participants interviewed perceived that there was a more immediate focus on the lack of salary increases over several years (eight of 26 total comments within the other extenuating circumstances code addressed this issue). This can be seen by the focus of this comment from a director,

²⁹ Other extenuating circumstances was the 16th most addressed issue with 26 of 329 total comments from the outcomes theme and 1144 total comments from interview participants overall.

Well, I guess, maybe it's hard to isolate the Dashboard. Just when you asked the questions - just had the thought of, you know, more and more demands on our time as individuals within the department, at the same time no raises for the last three years. I mean, that's, you know, that's that. (Participant 2, 2011)

Similarly, another director commented on the state of the University, I don't think that that's changed and I don't think Dashboard indicators, at least at [our university], could do that. We are a huge institution that for nearly four years has not received an increase. Staff has not received an increase. A lot of things have been stagnant, so any time things are changing or there's more shifts, they are becoming growingly frustrated. And I don't think that Dashboard indicators or more professional development or anything that helps them build is gonna change morale. Morale is low. And it more has to do with the institution and bureaucracy and politics than it does focusing on these things. (Participant 21, 2011)

Senior leaders also focused on these negative circumstances as a distraction from other work-related issues such as the Dashboard. A senior leader reflected, "None. Employee morale here has been high in this unit. Employee morale has also been affected by things like no salary raises and things like that" (Participant 30, 2011). Similarly, another senior leader observed,

I think it would be impossible to tell [about the level of employee morale] because the time period in which this occurred has been a really difficult time for the University. On one hand there's enthusiasm because of the new TUE when the whole thing started. On the other hand there have been layoffs, there have been – you know it's been a really difficult time. Environmental factors. No salary increases. There have been some other things that have undermined morale so I don't know how you'd sort it out. (Participant 31, 2011)

In addition to staffing issues and salary increases, some participants interviewed perceived that there was a more immediate focus on job security (six of 26 total comments within the other extenuating circumstances code addressed this issue). A staff member discussed the impetus to increase professional development skills, “When all these changes started if you were worried about job security you started thinking about other options and more professional development – learning new skills” (Participant 17, 2011). Another staff member exclaimed, “People feared for the safety of their job because of budget cuts” (Participant 4, 2011). Similarly another staff member explained,

There’s always talk now about vacancies and filling positions. If you don’t fill them they will take the position away. So you have to protect your job. Keep your job. Is their job worth keeping? The Dashboard will see what’s going on in the programs. If people are looking at department data, will they keep your job? (Participant 17, 2011).

Overall, participants responding to the theme of leadership issues focused on the perception that there was a loss of momentum to keep the Dashboard moving forward. In addition, participants focused on issues of priority such as competing priorities, the need for reinforcement from leaders and lack of incentives. Other participants focused on the lack of awareness and involvement with the effort while some expressed their skepticism about the usefulness and goal of the effort. Finally, some participants focused on resources to accomplish their tasks as well as other extenuating circumstances that distracted from the Dashboard effort. The next section focuses on the theme of information exchange.

Information Exchange: Introduction³⁰

³⁰ Information exchange was the fourth-most discussed theme with 237 of 1144 total comments from this dissertation addressing this issue.)

Interpretations of the data sorted into the theme information exchange describe how members perceive the focus on the exchange of information about the Dashboard planned change effort. Participants perceived information from and about the Dashboard in five key areas: (a) process, (b) feedback, (c) uncertainty, (d) promote the university and (e) influence administration.

The code *process* emerged from the data where participants referred to “a series of actions or operations conduct[ed] to [achieve the Dashboard effort]” (Process, n.d.). In particular, most participants addressed the change agent, or person who “helps to bring about an outcome” to the Dashboard effort. Other participants addressed the importance of face-to-face meetings to make decisions, and others addressed the need for education about the Dashboard effort. These perceptions about the facilitation, meetings and education for are means that participants exchanged information about the Dashboard effort.

The code *feedback* emerged from the data where participants referred to information about the status of the Dashboard effort from directors and senior leaders as “a resource for attaining goals within an organization” (p. 373, Ashford & Cummings, 1983). In particular, most participants addressed the lack of feedback about the Dashboard effort. Other participants addressed the importance of feedback in a planned, organizational change effort such as this. These perceptions about the need for and importance of feedback represent a method for participants to gather information about the Dashboard effort.

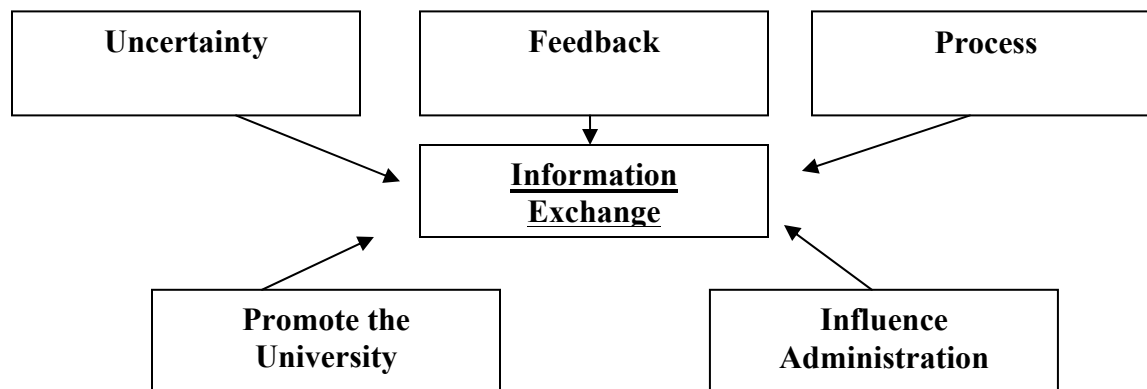
While much of the literature on organizational change in higher education indicates the importance of providing clear direction and goals (Kezar & Eckel, 2002), the code *uncertainty* that emerged from the data suggests that participants perceived that there was much uncertainty surrounding the Dashboard effort. In particular, participants were unclear about the benefits of

the Dashboard effort. Some participants questioned the sustainability of the effort, others were unclear about the goals and yet others were uncertain about how to proceed. These perceptions about the uncertainty surrounding the Dashboard effort are directly linked with leaders efforts to exchange information with participants.

The code *promote the University* emerged from the data where participants referred to ways the University could use information from the Dashboard effort as “advertising or publicity” to the various constituents (Promote, n.d.). These perceptions about using information from the Dashboard to advertise to constituents directly relate to the theme information exchange.

The code *influence administration* emerged from the data where participants referred to ways the information from the Dashboard effort could help them to have “power” over administration’s decisions about their department (Influence, n.d.). These perceptions about influencing the administration directly relate to an exchange of information. Next, each code for the information exchange theme is discussed in detail.

Table 6. Information Exchange Theme and Corresponding Codes.



Process.³¹

The code process emerged from the data where participants referred to “a series of actions or operations conduct[ed] to [achieve the Dashboard effort]” (Process, n.d.). A majority of participants interviewed addressed the change agent, or person who “helps to bring about an outcome” to the Dashboard effort. (sixty-four of 136 total comments within the information exchange code addressed this issue). Many participants addressed the importance of the employees who helped to facilitate the Dashboard effort. The senior leader noted, “Once they met with [the representative from ODL], people saw that this was not gonna be a waste of time and also was not gonna eat up their lives” (Participant 30, 2011). Another senior leader commented,

I think that it was really helpful to have these discussions facilitated because it isn't their day-to-day work. It isn't going to be the highest priority because their most important work is what they do with students. So I think it was important that they had some continuity in who was facilitating it and that it was facilitated. (Participant 32, 2011)

A senior leader commented,

[The representative from COD] was really an important figure and she really gently, kindly prodded people to move this up on their list of things to do. Also [another member of the senior leadership team] was often put in the position to gather information from people who had a million other things to do, and she didn't really have any way of lighting a fire under people. (Participant 28, 2011).

Validating these perceptions a director stated thoughtfully, “I really liked working with [the representative from COD]. I really liked how she got us to think about it. I thought

³¹ Process was the most addressed issue with 136 of 237 total comments from the information exchange theme and 1144 total comments from interview participants overall.

she was a great facilitator and she kept us on task. That made the exercise enjoyable, but I wouldn't call this a very enjoyable exercise. I liked how she provided that framework and that structure and direction for us. It really mattered. (Participant 1, 2011)

Speaking about the importance of their own role in the process a participant discussed the need for facilitation. A senior leader remarked,

I was a project manager not a decision maker. Sometimes I had to remind 'are we doing this or this' or I would have felt the project was lagging behind. I made sure staff meeting conversations were happening, kept on schedule, asked 'where are we?' And 'do we have progress?' Tried to keep inching the progress forward and worked with [the representative from COD] to keep things moving on schedule. (Participant 26, 2011)

In addition to the change agent, other participants addressed the importance of face-to-face meetings to make decisions about the Dashboard effort (forty-seven of 136 total comments within the information exchange code addressed this issue). A senior leader confirmed, "It's funny because I hadn't thought about that, but the progress we made always occurred when we sat down face-to-face" (Participant 26, 2011). A senior leader pointed out, "I thought the [summer meeting where the first group presented to the second group] was a really important turning point because with the first groups it was a real leap of faith...Now they heard it from their peers" (Participant 32, 2011). A senior leader supported this thought,

When we had conversations about this and people had presented what they had found out about themselves I think it was sort of infectious in that the other groups were anticipating when they would become a part of this process and when they would become tapped to do their own Dashboard measures. (Participant 26, 2011)

Other participants agreed that face-to-face meetings were important to moving the Dashboard effort along. A director noted, “I think we really needed the face-to-face. We really needed to bring in people’s opinions and I think that having that occur in a live environment is much more effective” (Participant 1, 2011).

In addition to the change agent and the importance of face-to-face meetings, other participants addressed the need for education about the Dashboard effort (twenty-five of 136 total comments within the information exchange code addressed this issue). Participants describe the process of establishing and creating Dashboard measures and subsequent reports, not the final numbers, was the valuable part. A senior leader explained their perception of staff member reactions to the Dashboard effort,

Initially it was ‘Oh My God, something else to do that doesn’t have to do with my daily work.’ It was an educational process to say ‘look this has directly to do with your daily work and though it may take some time the whole point is to make your daily work more efficient and more sensible.’ So that was an educational issue. (Participant 26, 2011)

Similarly, the senior leaders had thoughts along the same lines as the staff members. A senior leader revealed

[When we] brought the first group of Dashboard indicators to [the Vice President] and the seniors leaders meeting after [the department members had worked on them for] nine months and the [Vice President] said, ‘That’s it? Why did this take so long? I could have come up with this myself. I don’t see the point of this.’ He could have done this in seven minutes. That’s what makes you a VP and all of that. [The representative from COD] then needed to reeducate us that it’s not about this piece of paper. It’s the conversations they had. It’s how they came to these. It’s the examination of what they’re

doing and why it works and so she had to reeducate the entire leadership group that the real work invisible inside these bullet points that is real important and is the real goal of this process – it's about the process. (Participant 26, 2011)

Several participants noted that as their education about the Dashboard effort increased so did their interest. A director explained, “As my knowledge grew and as the staff's knowledge about the process about the outcomes, as all that grew I think more and more people became more enthused, if not excited and thrilled, about the whole process” (Participant 2, 2011).

Not all participants were satisfied with the education provided. Some perceived that there was too much time for groups to come to a consensus. A senior leader pointed out, “It needs to be simple out of the gate. People need simple instructions to follow and less time soul searching. And they need a hard deadline” (Participant 28, 2011). Other participants never felt fully relaxed with the process. A director stated, “I never quite go the gist of it. I never fully understood it” (Participant 3, 2011). Similarly, another senior leader remarked,

None of us feels like we were particularly good at this. In some ways the process showed me that it's not rocket science. There is more common sense involved in this than you would think. But I am left with the general feeling that there must be assessment procedures and, you know, that I'm unaware of. I've never had a course in assessment. I've never taken a stats course. I'm a humanities person. So I feel just a vague sense that I ought to know more about this. And I think my staff feels the same. (Participant 29, 2011).

Yet other participants were unsure about the process. A staff member stated, “We were not exactly sure what it was we were being asked to do” (Participant 10, 2011). A staff member offered some advice,

I think I probably would just work on the communication. How am I delivering on this information, about the changes going on in the University and the Dashboard initiative with other staff and administrators and faculty at the University because for a lot of it, I think it's been kind of putting messages out there so everyone is just confused. Instead of trying to come up with a concrete message or a complete message saying this is how things are going to do, initially, and then kind of trickling down, because it happened differently for different aspects of the University. So meeting with them – because undergrad education has its own meetings so you kind of meet with them and just say this is how things are going to go, this is how we envision it, things like that, I think things would have gone much more smoothly. They would have had less resistance and things like that. So I guess it's just the delivery. (Participant 17, 2011)

Feedback.³²

The code feedback emerged from the data where participants referred to information about the status of the Dashboard effort from directors and senior leaders as “a resource for attaining goals within an organization” (Ashford & Cummings, 1983, p. 373). Most participants interviewed perceived that there was a lack of feedback about the Dashboard effort (thirty-six of 50 total comments within the feedback code addressed this issue). This left members feeling frustrated and as if they had wasted much of their time which is a precious resource to them. A staff member stated, “I didn't get a copy” (Participant 18, 2011). Another staff member asked, “I don't know. I don't know. Have we done that type of report? I have no clue” (Participant 11, 2011). A director stated, “I haven't seen the results” (Participant 14, 2011).

A staff member declared,

³² Feedback was the tenth most addressed issue with 50 of 237 total comments from the outcomes theme and 1144 total comments from interview participants overall.

It would be a continuous conversation. Not just unveil it and then roll it up and then we move on our merry way. Otherwise it's futile. It doesn't make any sense. It's a waste of time. I can't be bothered. It doesn't make sense. It's not rational or logical to me. It's frustrating. (Participant 8, 2011)

Another staff member observed,

I don't know. It's like one of those things where I feel like okay someone from the top tells you okay you need do X, Y, and Z because we need to do it, but then how it's being used and incorporated to better serve the students in our department or the vision within the university? I don't see it - I don't see the information coming back full circle. I'd like to think it's positive for the University but again I don't know. (Participant 11, 2011)

In addition to the lack of feedback, other participants addressed the importance of feedback in a planned, organizational change effort such as this (thirteen of 50 total comments within the feedback code addressed this issue). Some participants discussed the importance of feedback during an effort such as the Dashboard. A staff member stated, "The more you hear, the more it becomes less unfamiliar. More and more becomes a part of your conversation. Then we won't be so resistant" (Participant 7, 2011). The senior leader clarified,

If leaders then move on and fail to keep employees tuned into how important this thing was and leaders quit talking about these things then they start to lose the benefit of these things and then pretty soon someone could say well 'gee that program wasn't as effective as we thought. Maybe we need something new.' But the problem wasn't the program it was follow through and the communication. (Participant 31)

Similarly another senior leader pointed out,

It's really important to identify more coaches who can provide regular and timely feedback when directors are developing their goals. This was very important. This was the most important improvement we could have. We had one person who was to be available to give that feedback and it just wasn't enough. It was high quality when we had it but the periods in between were long and un, you know, people just had to wait in line to get that help. (Participant 29, 2011).

Uncertainty.³³

While much of the literature on organizational change in higher education indicates the importance of providing clear direction and goals (Kezar & Eckel, 2002), the code uncertainty that emerged from the data suggests that participants perceived that there was much uncertainty surrounding the Dashboard effort. In particular, participants were unclear about the benefits of the Dashboard effort (twenty-one of 45 total comments within the uncertainty code addressed this issue). A staff member stated, "I think people's attitude was really about disinterest to frustration. How do we do this? And maybe shutdown because what does this have to do with me? Why should I care" (Participant 8, 2011)? Relatedly a director commented that the added benefit to the department was not made clear, "Speaking for our department...perhaps we didn't know what the additional benefit would be for us" (Participant 16, 2011). A senior leader explains the value of conveying benefits of an effort such as this,

To someone such as myself who's got kind of a bigger view it is really important to [staff and department heads] and they benefit from that and if they didn't know that then I think that that would be a failing - a lesson learned about an important communication component in this process that shouldn't ever be missed which is to let the people down

³³ Uncertainty was the eleventh most addressed issue with 45 of 237 total comments from the information exchange theme and 1144 total comments from interview participants overall.

in the trenches – and I’m referring to everybody but the senior people – really understand the benefits that are derived from their work on this. It doesn’t just apply to the measures it applies to things in general. If you ask people to do things and you know why they’re important as a leader but they might not and you need to – I think a good leader is continually finding ways to say ‘you know we asked you to do that and it really turned out to be an important thing. It helped us. It helped you. It helped the reputation. It helped secure resources and so on and so on.’ (Participant 31, 2011)

A senior director provides a compelling summary to understanding benefits of the effort, From what I have heard [people didn’t understand the benefits of the Dashboard effort in] all cases. And if it didn’t happen it’s a communication problem not a problem in the tool because the potential for these outcomes is definitely there. If leaders didn’t find ways to keep people involved and help them understand the benefits which often happens – not everybody understands these – it sort of a breakdown in leadership communication and a lesson that I increasingly and consistently learn. (Participant 31, 2011)

In addition to clarity of benefits, participants also questioned the sustainability of the effort (nine of 45 total comments within the uncertainty code addressed this issue). A staff member asked, “Will we be able to implement effectively? Do we have the tools and resources to sustain and keep moving with it” (Participant 4, 2011)? Similarly a senior leader stated, “Afterward everyone thought it was important and useful and we have to do this. Not sure if it will continue” (Participant 26, 2011). A staff member indicated what they perceived others to be thinking about the Dashboard effort by indicating,

They assumed it was [a] temporary focus. Will it really be an integral focus that is sustained? I think that was something that was questioned – will we stick with it and

implement in terms of trying to evaluate these things and report on them. I feel like people said its good but will the University maintain focus? Will my individual department maintain this focus? (Participant 4, 2011)

In addition to clarity of benefits and sustainability of the effort, some participants were unclear about the goals of the Dashboard effort (eight of 45 total comments within the uncertainty code addressed this issue). A staff member provides a compelling example of these perceptions, “To really have a much clearer outline of what it was and purpose and results and kind of what would happen to it and how we would be contributing to that particular experience. (Participant 10, 2011)

Similarly, a director revealed,

I’m always leery because I don’t understand – because my whole thing is when you do these things, what is going to be your outcome? What do you really want to do? And while we’ve done them, I’m not necessarily sure what the overall goal was. (Participant 21, 2011)

Other participants questioned the rationale behind their department being chosen to participate in the early stages of the Dashboard effort, “Why did they choose the programs who were already doing this? There are so many that are doing nothing. Why were we being targeted” (Participant 13, 2011)?

In addition to clarity of benefits, sustainability of the effort and clarity of goals, some participants were uncertain about how to proceed with the Dashboard effort (seven of 45 total comments within the uncertainty code addressed this issue). Participants were interesting in finding out more about the Dashboard effort; a description of what the Dashboard was, how they should create the Dashboard and use the information. A staff member exclaimed, “How do we

do this?” (Participant 8, 2011). Another staff member stated, “The concepts are very ambiguous” (Participant 6, 2011)

Promote the University.³⁴

The code promote the University emerged from the data where participants referred to ways the University could use information from the Dashboard effort as “advertising or publicity” to the various constituents (Promote, n.d.). Participants interviewed perceived that the Dashboard effort provided a means for the University to promote their programs to potential students, parents and other constituents by providing positive examples of their work (five of five total comments within the promote the university code addressed this issue). An example of the perception of the way the Dashboard provides such promotion is exemplified by this director,

I believe that, and it’s impossible to know, whether a student decided to come here...because of the Dashboard. But it does have that potential. I mean, I would say this – that - and this is not a criticism or a flaw but just an observation - that clearly, it’s like advertising...I think it’s the nature of Dashboards and it’s the nature of communication, and you know publicity, advertising, marketing, whatever you might call it it’s just the nature that, you know, those are gonna reflect the good things that are happening and not reflect anything that needs major improvement. I’m not saying that’s a criticism of Dashboards, that’s just the reality, and totally understand that I don’t, you know, any - any negative aspects or aspects or criticisms of, you know, what we’re doing, we would want to include that in any public setting. (Participant 2, 2011)

Similarly, other participants focused on admissions-related promotion. A staff member explained,

³⁴ Promote the University was the 18th most addressed issue with 5 of 237 total comments from the information exchange theme and 1144 total comments from interview participants overall.

Potentially, those types of results, the information can be used to promote the University in a positive light in terms of how we assist in preparing our students for their life after [graduation]. And I think that's a, you know, higher education that has become really important especially to parents. You know, we've noticed with a lot of...events and things like that when parents come to visit and when they go on tours and when we have information tables a lot of them are becoming, I think, a lot more aware of 'okay If I pay X number of dollars to send my student to [this University] what are you going to do for that student? How are you going to help my son or daughter and basically is my son or daughter gonna be able to get a job when they graduate? And again I think if we have some qualitative data to back that up that can really help to mark and sell the University. (Participant 9, 2011)

Influence Administration.³⁵

The code influence administration emerged from the data where participants referred to ways the information from the Dashboard effort could help them to have “power” over administration's decisions about their department (Influence, n.d.). Participants interviewed perceived that results from the Dashboard effort have the potential to provide them with information necessary to make their case to the administration as to why their department is most deserving of increased assets (two of two total comments within the influence administration code addressed this issue). A director explained,

It would have been successful from my perspective if I was able to use the Dashboard measures to indicate to an upper administration where changes needed to be made, and if I was able to influence the commitment to making those changes. (Participant 24, 2011)

³⁵ Influence administration was the 19th most addressed issue with 2 of 237 total comments from the outcomes theme and 1144 total comments from interview participants overall.

The theme information exchange centers on five important segments: process, feedback, uncertainty, promote the university and influence administration. Overall, participants responding to the theme of information exchange focused on the process of the Dashboard including the importance of facilitation, face-t-face meetings and education. In addition, participants focused on the lack of and importance of feedback, the importance of everyone in the organization understanding the benefits and goals of the effort, as well as the potential to use the information from the Dashboard to promote the University to its constituents and to influence administrators to provide increased assets to departments.

Analyzing the themes leadership issues and information exchange leads one to understand that both themes represent the disappointments from each level of employee through their experience with the Dashboard effort. The next chapter focuses on the analysis, implications, limitations and future research.

Directors discussed the code influence administration twice as much as senior leaders and staff members. Directors were more focused on positioning their department in a positive way to encourage administration to provide them with increased assets.

The central issue found with the theme information exchange also applies to the theme of leadership issues where there was a disparity about the amount of information being exchanged about the Dashboard effort between the three levels of employees at the University.

CHAPTER 6

DISCUSSION AND IMPLICATIONS

The final chapter provides the following sections: a summary of the research questions; a summary of the research findings by theme; implications for theory including an explanation of the overarching theme of communication and a discussion about the comparisons and contrasts of the findings within the three levels of employees in this organization; a comparison of several models of change; implications for practice; and limitations of the research. Considerations for future research are also included in this chapter.

The results of this research extends the knowledge in the field by exploring the impact of a performance measurement system, the Dashboard, as the planned organizational change from a communicative perspective which analyzes the similarities and differences between three levels of employees in a large, public University – a system. The research is built on the 32 in-depth interviews consisting of seven senior leaders, ten directors and 15 staff members.

Summary of Research Questions

The summary presented in this section of the study pertains to the research questions and their sub-questions. As the analysis to this dissertation progressed the dissertation evolved somewhat in focus and approach as is often the case with qualitative research. Initially the study was to focus on the concepts of communication and culture. This focus provided to be too broad and so the focus on communication became the primary focus, and attention to culture was minimized. Secondly, during the interview stage the researcher discovered that viewed from the participant point of view, parts of research questions one and two tap the same set of issues – individual and organizational productivity and performance. To avoid duplication, all information about individual and organizational productivity and performance is listed and

discussed in the section for responses to research question two as it relates to these issues of individual and organizational performance.

Next, after the researcher did initial coding and analysis, she determined that the initial coding scheme needed to be revised. This led to the renaming of some of the themes as well as some refinement of codes to more clearly align with definitions of their themes. Finally, after the researcher examined the five sets of responses to the interviews she found that based on the similarity of responses to the interviews, there was no logical basis for treating them separately. In fact the researcher believed that greater clarity would be realized by integrating the responses together in a collective profile. Given that, this chapter begins with a summary of responses to the original research questions and their sub-questions for the study, followed by a brief summary of the thematic findings, then comparing and contrasting the similarities and differences between the three levels of the organization, and then shifting to a focus on the overarching theme that emerged.

Research question 1 – purpose of initiative.

The first research question of this study is: What are the perceptions of three organizational levels of employees about the introduction and implementation of this performance measurement initiative, and how do they understand the purpose of the initiative? Overall, participants were not clear on the purpose of the initiative and as such most tried to make sense of the purpose through previous experiences and cues from their environment.

As such, most participants within all three levels of employees interviewed perceived the purpose of the Dashboard effort as a means of accountability to internal and external constituents. Internal constituents included, but are not limited to, many employees such as department members, senior leaders of the division, senior leaders of the University, other

departments, students and faculty. External constituents included, but are not limited to, parents, community members, alumni, government officials and funding sources.

Some of the areas that all three levels of employees found particularly important were issues of accountability such as being able to justify to internal and external constituents the value of their department and the University. In addition, participants perceived that the effort could help them to have a clear and concise way to show internal and external constituents the effectiveness of their department and the University.

Research question 1 – value of initiative.

What are the perceptions of three organizational levels of employees about the introduction and implementation of this performance measurement initiative, and how do they assess the value of the initiative? Participants were asked to be specific in answering this question as it relates to the following groups: individuals, their department, the Division of Undergraduate Education and the University. Throughout interviews, the participants in most instances preferred to answer this question “in general” because each level had little to no idea what the value was to the levels other than their own. For example, staff members knew little to nothing about how senior leaders might perceive the initiative. As such, staff members and others like them were likely to answer the question “in general.”

Of those participants who responded from each level of employee, with regard to the value of the Dashboard effort to the individual, organizational changes from the effort were perceived to be the most important aspect. For the most part, participants perceived that the Dashboard effort would provide individuals an opportunity for continuous improvement to their programs and services.

For those participants who responded from each level of employee, with regard to the value of the Dashboard effort to the department, the Division of Undergraduate Education and the University, accountability was perceived to be the most important aspect. For the most part, participants perceived that the Dashboard effort would provide departments an opportunity to be transparent about the effectiveness of their programs and services to internal and external constituents.

Participants who responded from each level of employee, with regard to the value of the Dashboard effort in general, accountability was perceived to be the most important aspect. For the most part, participants perceived that the Dashboard effort would provide departments an opportunity to be transparent about the effectiveness of their programs and services to internal and external constituents. In addition, staff members indicated that organizational changes of the Dashboard effort were just as important because they perceive that they will be afforded an opportunity to improve their programs and services.

Research question 1– impact of initiative on individual and organizational performance.

What are the perceptions of three organizational levels of employees about the introduction and implementation of this performance measurement initiative, and how do they assess the impact of the initiative on individual and organizational performance? During the interview stage the researcher discovered that viewed from the participant point of view, parts of research questions one and two tap the same set of issues – individual and organizational productivity and performance. To avoid duplication, all information about individual and organizational productivity and performance is listed and discussed in the section for responses

to research question two as it relates to these issues of individual and organizational performance.

Research question 1 – success of initiative.

What are the perceptions of three organizational levels of employees about the introduction and implementation of this performance measurement initiative, and how do they assess the overall success of the initiative? Participants at each employee level were positive about the potential for the Dashboard effort to have success. Even though the majority of participants stated they perceived that the Dashboard effort was not a success, most went on to discuss that there was partial success. In most of these instances participants discussed the increased employee awareness about assessment, and specifically the Dashboard. In addition, participants perceived that the Dashboard effort was a success in bringing some improvements to the departments. Some indicated that they had revised surveys and programs based on Dashboard results. Others perceived that being able to increase their collaboration within their department and throughout the Division of Undergraduate Education was a success from the Dashboard effort.

Participants addressed lack of integration into the culture of the departments and the Division of Undergraduate Education as one reason for perceiving that the Dashboard effort was not a success. Other participants perceived that the Dashboard effort was short-lived. Many participants perceived that the Dashboard effort started off strong but then quietly vanished. Some directors even asked the researcher if they should be updating the Dashboard with year-two data, and a senior leader indicated that the first groups to go through the effort were done until the rest of the departments had a chance to go through the process for the first time.

Finally, other participants perceived that not many people were involved with or knew that the Dashboard effort existed. In fact, four staff members from three different departments randomly selected as a part of the interview sample had no idea what a Dashboard was and had no idea the Dashboard effort existed on their campus and in their department. Further, one department in this sample never completed the Dashboard effort.

Research question 2 – member attitudes toward measurement.

The second research question of this study is: How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member attitudes toward measurement? Two of the four educational support service departments (ESSD's) studied as a part of this dissertation had previous experience collecting and reporting data to external constituents. As a result, responses to this question varied from senior leaders. For those ESSD's with previous experience, senior leaders perceived that there was minimal change in members' attitudes toward measurement from before to after the Dashboard effort was introduced and implemented. For ESSD's with little or no previous experience senior leaders perceived that there was some change. Senior leaders perceived that these members feel some comfort knowing that the Dashboard effort "wasn't some monster-beast thought up by bureaucrats to waste their time" (Participant 30, 2011).

Directors and staff members were consistent with their perception that overall there was no change to member attitudes. In the ESSD's that had no or little previous experience with measurement, participants perceived that some members initially thought it was just "more work" and after completing the Dashboard effort found the information helpful to improve

programs. Other participants perceived that the Dashboard effort provided members with an increased awareness about measurement.

Research question 2 – member motivation.

How have the values (issues of most importance and meaning, inherent in the culture) played a role in this planned organizational change initiative with regard to member motivation? Many participants discussed ways members of their department were already highly motivated prior to the Dashboard effort. In addition, some participants found no correlation between motivation and the Dashboard effort. A director provides a compelling example of this, “Because I don’t think [the Dashboard effort] motivates people. I don’t feel motivated by that. They’re motivated in making a difference and helping students and they feel like this is just a bog down” (Participant 1, 2011).

Research question 2 – productivity³⁶.

How have the values, or issues of most importance and meaning, inherent in the culture played a role in this planned organizational change initiative with regard to member productivity? Some participants, such as senior leaders, perceived that there was increased productivity because the process of the Dashboard effort involved the creation of department mission and goals. Further, the mission and goals would help department directors and staff members to prioritize projects and focus on only those efforts that were directed toward the mission and goals.

A majority of directors and staff members perceived that there was minimal impact on productivity. In part, this lack of impact on productivity was explained as a result of the

³⁶ During the interview stage the researcher discovered that viewed from the participant point of view, parts of research questions one and two tap the same set of issues – individual and organizational productivity and performance. To avoid duplication all information about individual and organizational productivity and performance is listed and discussed in the section for responses to research question two as it relates to these issues of individual and organizational performance.

perceived short-term focus of the Dashboard effort as well as the many employees who were either uninvolved or not aware of the effort. Many participants (including some senior leaders) discussed ways members of their department were already productive prior to the Dashboard effort. In addition, some participants found no correlation between productivity and the Dashboard effort. A staff member indicated, “I don’t think the Dashboard has anything to do with in terms of what we do with productivity at all. I think it’s either individual or other factors. It’s not anything connected to the Dashboard” (Participant 8, 2011).

Research question 2 – organizational values.

How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member organizational values? Overall, within all three levels of employees there was consensus that a project such as the Dashboard effort had some positive impact on values. A staff member explained, “I think the value came from...having us stop and think and make sure that we were doing everything we could or if we weren’t, how could we” (Participant 10, 2011). Many participants within the three levels of employees also perceived that the Dashboard effort had no impact on values.

Research question 2 – aspirations.

How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member aspirations? For the most part, all three levels of employees within the University agreed that the Dashboard effort had no impact on aspirations. Of those in the minority who perceived that there was some potential impact on aspirations, being involved in the effort and seeing results are what they felt made employees want to aspire to do more.

Research question 2 – morale.

How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member morale? Directors and staff members perceived that the Dashboard effort had no impact on employee morale. They believe that there were other issues happening at the University at the same time as the Dashboard effort, such as layoffs and no salary increases, which impacted morale. Senior leaders perceived that the Dashboard effort had a positive impact on employee morale in part because the department members can use the information from the effort to make their work more visible to the Vice President and other key administrative leaders. A senior leader's comments explain, "There was probably one Ah-ha! moment for each group...where people just kind of lit up and thought 'yeah this is really good stuff. I can really show people what we're doing'" (Participant 32, 2011).

Research question 2 – work habits.

How have the values (issues of most importance and meaning inherent in the culture) played a role in this planned organizational change initiative with regard to member previous work habits? Across all three levels of employees within the University, responses to whether or not the Dashboard effort had an impact on work habits was mixed. Most participants perceived that there was some impact on work habits. Several participants stated that there had been changes to the way they or their staff work as well as updates to surveys and programs. A staff member explained, "Our staff is not carrying papers during workshops" (Participant 4, 2011). Those participants who said there was a positive change to work habits cited the increase in awareness of employees in general to know what to look for and collect for future assessment purposes.

Research question 3 – role of communication.

The third research question of this study is: What was the role of communication in facilitating and/or impeding this planned organizational change? Communication played a major role in this study. As such the answer to this question is addressed in a section of this chapter dedicated to the overarching theme of communication. The next section of this chapter discusses each theme from the perspectives of the three levels of employees interviewed followed by implications for theory and an explanation of the overarching theme of communication.

Summary of Findings by Theme

This section is a summary of the thematic findings of the study. Upon analysis of the themes it appears that there is a correlation. The themes of accountability and organizational outcomes represent what participants expected from the Dashboard planned change effort and as such they are presented together in chapter four and together below. The themes of Leadership and Information Exchange represent shortcomings of the planned change effort and are presented together in chapter five and together below. The following summary is presented in the same order as results chapters four and five, beginning with the theme accountability.

Accountability: Introduction.

Interpretations of the data sorted into the theme accountability describe how members provide evidence to internal and external constituents about the impact of higher education (Zumeta, 2011). Participants perceived that the Dashboard effort provided them with the means to have accountability in four different areas: (a) transparency, (b) justify existence, (c) measure results and (d) responding to national assessment trend.

Transparency.

The code transparency emerged from the data where participants referred to ways to show “clear and accessible information about crucial aspects” of their department, the division or the University for their various constituents (U.S. Department of Education, 2006). In particular, participants were focused on providing access to their various constituents about University programs and services, and showing how their department adds value and is meaningful to their constituents. In addition, participants pointed out the importance of the Dashboard effort to help increase their visibility by providing them with an outlet to create documents and tell their story to their constituents about the impact of their programs and services.

Justify existence.

Participants remarked about ways the Dashboard effort validated the existence of their job, the department, the division or the University as reflected in the code justify existence. In doing so, participants discussed ways the Dashboard effort provided evidence to internal and external constituents that the programs at this University do have a positive impact on students, and resources are being used wisely to support these successful programs.

Measure results.

The code measure results emerged from the data where participants referred to ways to “provide evidence about the impact” of their department, the division or the University to their various constituents (Zumeta, 2011). Many interview participants discussed ways the Dashboard effort helped them to evaluate whether or not their programs were valuable to their constituents. In doing so, members provided evidence to constituents to help them understand department goals and whether or not they successfully completed their goals. Participants also pointed out the difference between using the Dashboard effort as a way to evaluate departmental goals versus evaluation methods and anecdotes used previous to the effort. In addition, participants discussed

the importance of the Dashboard effort to provide a system of checks and balances to determine whether or not their performance is clear and coordinated to meet goals.

Responding to national assessment trend.

The code responding to national assessment trend emerged from the data where participants referred to ways to respond to requests from the public for increased accountability and improvement from Universities (U. S. Department of Education, 2006; Zumeta, 2011). Many interview participants discussed ways the Dashboard effort helped to satisfy national calls for the transformation of accreditation processes and increased focus on student learning and performance of universities (U. S. Department of Education, 2006). In addition, participants discussed ways the Dashboard effort could help them with upcoming regional reaccreditation based on the national call to make accrediting agencies use performance measures such as student learning a critical piece in the process (U. S. Department of Education, 2006). These discussions show participants focus of increased emphasis on assessment as well as promoting accountability for the departments, the division and the University.

Organizational changes: Introduction.

Interpretations of the data sorted into the theme organizational changes describe how members perceive a result or consequence of the Dashboard effort (Outcome, n.d.). The focus of the theme organizational changes is about members perceptions of a result or consequence of the Dashboard effort and centers on six important segments: continuous improvement, culture change, increased awareness, increased network collaboration, redundancy and pride.

Continuous improvement.

The code continuous improvement emerged from the data where participants referred to ways the Dashboard effort led to, or failed to lead to, “evaluation and achievement through the

analysis of work output” and using this evaluation to determine how to constantly advance work output (Vakkuri & Meklin, 2003). During interviews, participants discussed ways the Dashboard effort helped to identify and improve productivity and/or performance. In addition, participants discussed ways the Dashboard effort clarified departmental mission and goals. Finally, participants discussed the clarity the Dashboard effort brought to individuals in terms of the personal fit within the organization which contributed to these individuals wanting to improve their productivity.

Culture change.

The code culture change emerged from the data where participants referred to ways the Dashboard effort could have made “alterations to employee values, behaviors and assumptions that should lead to increased organizational performance” (Ogbonna & Wilkinson, 2003, p. 1152). During interviews many participants discussed their perceptions that the Dashboard effort did not have an impact on employee values, behaviors and assumptions. Many other participants perceived that the Dashboard effort did have a small impact on employee values, behaviors and assumptions. These participants cited some of the changes made within their department as a result of the Dashboard effort. Other participants discussed that there was no impact on employee values, behaviors and assumptions associated with the Dashboard effort. These participants perceived that members used the same information before and after the Dashboard effort, but in a different manner. Finally, a few participants were not sure whether “alterations to employee values, behaviors and assumptions” have occurred because it’s possible that the program has not been in existence long enough to tell (Ogbonna & Wilkinson, 2003, p. 1152).

Increased awareness.

The code increased awareness emerged from the data where participants referred to ways the Dashboard provided greater knowledge than they previously had about assessment (Awareness, n.d.; Increased, n. d.). Throughout interviews, participants discussed ways the Dashboard effort helped members to have greater knowledge about how assessment fits into their daily jobs, to have greater knowledge about assessment in general and to provide members with an increased comfort level with assessment.

Increased network collaboration.

The code increased network collaboration emerged from the data where participants referred to ways the Dashboard effort resulted in ‘linking different groups of’ employees to gain improved understanding, engagement and goal setting (Vakkuri & Meklin, 2003, p. 752). Participants remarked that the Dashboard effort provided them a means to come together with others in the University for meaningful discussions and collaborations about departmental objectives and priorities. In addition, participants stated that the Dashboard effort helped them to meet and learn about others within the university which in turn allowed them to collaborate across departments and disciplines within the University.

Redundancy.

The code redundancy emerged from the data where participants referred to ways the Dashboard effort was “superfluous repetition or overlapping” to current activities (Redundancy, n.d.). During interviews participants discussed the indicators from the Dashboard effort as identical or similar to indicators department members used prior to the effort. In addition, participants discussed ways members of their department were already productive and motivated prior to the Dashboard effort. Also, some participants found no correlation between motivation, productivity and the Dashboard effort.

Pride.

The code pride emerged from the data where participants referred to ways the Dashboard effort provided members with a “pleasure or satisfaction taken in something done by or belonging to oneself or believed to reflect credit upon oneself” or the group (Pride, n.d.). During interviews participants discussed ways the Dashboard effort provided recognition of accomplishments which in turn helps to increase employee pride in themselves as well as their department, division and the University. In addition, some participants addressed that many employees, in general, have an existing high work ethic in which they have pride.

Leadership Issues: Introduction.

Interpretations of the data sorted into the theme leadership issues describe how members perceive the presence, or lack thereof, of a “pledge or obligation” from leadership towards the Dashboard effort (Commitment, n.d.). The theme leadership issues centers on six important segments: short term momentum, issues of priority, people unaware of the effort, skepticism, resources and other extenuating circumstances.

Short term momentum.

The code short term momentum emerged from the data where participants referred to ways the “driving power or strength” (Momentum, n.d.) of the Dashboard effort lasted only for a “limited period” of time (Short Term, n.d.). Leaders need to make clear their confidence and commitment to the planned change effort through efforts to instill a “sense of urgency” in others about the effort’s vital importance to the “future of the institution” (p. 12, Guskin, 1996; Gersick, 1991). Many participants perceived that the Dashboard effort lost momentum or stalled early on in the process. Some participants even perceived that the Dashboard effort was complete, while others perceived that initially there was some positive impact, but it was fleeting. Several

participants attributed the short term momentum of the Dashboard effort to its origin as a mandate and others to its poor timing. These observations point directly to perceived issues with leadership by the participants.

Issues of priority.

The code issues of priority emerged from the data where participants referred to ways the leadership either gave consistent, persistent attention to the Dashboard effort, or failed to do so (Burke, 2008). While much of the literature on organizational change in higher education indicates the importance of leadership to be consistent, persistent and continuously a topic of discussion (Burke, 2008), the code issues of priority that emerged from the data suggests that participants perceived that there were competing priorities that won out over the Dashboard effort. In addition, participants were looking for leadership to reinforce the priority of the Dashboard effort through discussion, incentives and rallies.

People unaware of the effort: participation.

The code people unaware of the effort emerged from the data where participants referred to ways stakeholders such as staff members were unaware or uninvolved with the Dashboard effort (Kezar & Eckel, 2002). A review of the literatures confirms that participation in a planned change effort is an extremely important part of the planned change process (Smulowitz, 2013; see also Lewis & Russ, 2011). Participants were most concerned that staff members who are dealing with the day-to-day activities of the department and who directly serve the constituents were not involved with the Dashboard effort. Other participants were concerned that there were staff members who were not even aware that the Dashboard effort existed. A few members perceived that staff members were aware of the Dashboard effort.

Skepticism.

The code skepticism emerged from the data where participants referred to their mistrust about the information collected for the Dashboard (Vakkuri & Meklin, 2003). In particular, participants questioned the usefulness of the information collected to their department's benefit. In addition, participants questioned the objective for the Dashboard effort. Finally, participants questioned whether or not the Dashboard effort was a fad. These perceptions about the mistrust of the Dashboard effort is directly linked to perceptions of leaders' priority and commitment to the effort.

Resources.

The code resources emerged from the data where participants referred to "support structures" to aid members with work related to the Dashboard as well as other activities which will in turn help protect them from cutbacks" (Kezar & Eckel, 2002, p. 300). Participants were most concerned with resources to improve the Dashboard effort. In addition, participants were concerned with resources related to department programs and services that would, in turn, help protect the department from cutbacks.

Other extenuating circumstances.

The code other extenuating circumstances emerged from the data where participants referred to ways organizational members became "distract[ed] from the planned, change effort" (Kezar & Eckel, 2002, p. 299). Participants became distracted by staffing issues, their concerns for job security and lack of salary increases over several years.

Information exchange: Introduction.

Interpretations of the data sorted into the theme information exchange describe how members perceive the focus on the exchange of information about the Dashboard planned change effort. Participants perceived information from and about the Dashboard in five key

areas: (a) process, (b) feedback, (c) uncertainty, (d) promote the university and (e) influence administration.

Process.

The code process emerged from the data where participants referred to “a series of actions or operations conduct[ed] to [achieve the Dashboard effort]” (Process, n.d.). In particular, most participants addressed the change agent, or person who “helps to bring about an outcome” to the Dashboard effort. Other participants addressed the importance of face-to-face meetings to make decisions, and others addressed the need for education about the Dashboard effort.

Feedback.

The code feedback emerged from the data where participants referred to information about the status of the Dashboard effort from directors and senior leaders as “a resource for attaining goals within an organization” (Ashford & Cummings, 1983, p. 373). In particular, most participants addressed the lack of feedback about the Dashboard effort. Other participants addressed the importance of feedback in a planned, organizational change effort such as this.

Uncertainty.

While much of the literature on organizational change in higher education indicates the importance of providing clear direction and goals (Kezar & Eckel, 2002), the code uncertainty that emerged from the data suggests that participants perceived that there was a lack of clarity surrounding the Dashboard effort. Participants were also unclear about the benefits of the Dashboard effort. Some participants questioned the sustainability of the effort; others were uncertain how to proceed.

Promote the University.

The code promote the University emerged from the data where participants referred to ways the University could use information from the Dashboard effort as “advertising or publicity” to the various constituents (Promote, n.d.). Participants interviewed perceived that the Dashboard effort provided a means for the University to promote their programs to potential students, parents and other constituents by providing positive examples of their work

Influence administration.

The code influence administration emerged from the data where participants referred to ways the information from the Dashboard effort could help them to have “power” over administration’s decisions about their department (Influence, n.d.). Participants interviewed perceived that results from the Dashboard effort have the potential to provide them with information necessary to make their case to the administration as to why their department is most deserving of increased assets.

Implications for Theory

General systems theory provides a very helpful theoretical framework for conceptualizing planning organizational change—and more generally, human change-- and the role of communication in these processes (Bertalanffy, 1950; Thayer, 1968; Ruben, 1983). According to Ruben and Stewart (2006), “*communication is the essential life process through which animals and humans create, acquire, transform, and use information to carry out the activities of their lives*” (p. 56).

The notion of open systems is a fundamental concept within the systems theory paradigm. Open systems are defined as living systems that “exist only through continual exchanges with the environment” (Bertalanffy, 1968, p. 32). It is through these continual exchanges of matter-energy and information with the environment that living or open systems

create what it is to be ‘their’ system through the processes of disruption, and restoration (Bertalanffy, 1975; Miller, 1965; Ruben 1983; Thayer, 1968). Drawing on the concept of open systems, the organization analyzed in this study can be viewed in this perspective as an open system made up of subsystems, or various levels of analysis, (the division of undergraduate education, as well as the three layers of employees studied here) which have functions and boundaries in their own right. Communication and information processing are important at each level and also in interactions between levels (Ruben, 1979; Ruben & Kim, 1975; Ruben & Stewart, 2006; Thayer, 1979).

Open systems generally operate in such a way as to seek a harmonization or homeostatis, (Miller, 1965; Bertalanffy, 1975) with the environment. From a systems point of view, *planned* change can be seen as purposeful efforts to change the dynamics of the system – and therefore involve disruption to the harmony of a system or subsystem. The disruption and subsequent efforts to restore harmony, by definition, involve communication and information processes. The systematic processes of disruption and restoration occur through communication and information processing. It is through these processes that members of a system or subsystem co-create the restored version of the system or subsystem – just as they originally co-created their original system through their social structure (Berger & Luckmann, 1967; Burr, 2003) to enable organization and functionality.

It is at the point of disruption to harmony with the systems, or three levels of employees within an institution of higher education, that the current study sought to analyze. The current study examined these layers of employees to better understand the impact of communication on the planned change effort.

Lewis' (2007) organizational stakeholder model of change implementation and the role communication plays in this process is very consonant with the systems approach because of its emphasis on interacting and mutually influencing open subsystems—in this dissertation the subsystems consist of the three levels of employees within an institution of higher education—which interact to play a dynamic role as the disruptive and restorative forces of change take place.

The overarching theme: communication.

Communication and information processing enable the implementer of the planned organizational change to base the “implementation communication strategy selection and enactment” on elements such as their “perceptions of change context” or “institutional factors” (Lewis, 2007, p. 181). These decisions affect “stakeholders’ perceptions, concerns, assessments [of other stakeholders], and interactions [between other stakeholders and implementers, and at the same time stakeholders’ reactions reciprocally affect] implementer strategies” (Lewis, 2007, p. 181). These continual give-and-take exchanges (Bertalanffy, 1975; Miller, 1965; Ruben, 1983; Thayer, 1968), or negotiated meaning of messages (Weick, 1979; Westley & MacLean, 1970) continue as members of the organization seek to make sense (Weick, 1995, 2001) of information to recreate relationships between members of the organization and the environment as well as reestablish boundaries to create harmony once again through these social systems (Berger & Luckmann, 1967). Therefore, it is the interaction between stakeholders of the organization (such as leaders, change agents and other organizational members) that will in part determine the result of the planned change effort (Lewis, 2007). It is through this interaction that organizational members make sense of the planned organizational change and recreate their reality (Berger & Luckmann, 1967; Lewis, 2007, Weick, 1995).

Taking into account the perceptions of several layers of organizational members of this large-scale, planned organizational change provides for greater understanding of the change process because the different perspectives allow examination of the same phenomenon from many different viewpoints (Gallivan, 2001). Specifically, this study sought to understand from the perspective of several layers of organizational members the way the planned organizational change was introduced and implemented. These findings will elicit a better understanding of the value of performance measurement, and specifically the Dashboard, in higher education, as well as providing insight on the multiple perspectives about planned change efforts.

The role of communication among three levels of employees within the Institution.

The central issue in this study is the failure of leaders to pay attention to the communication environment. This involves the inattention to the messages created and the process of those messages flowing to and from others in the organization. Other leadership shortcomings included a lack of information exchange and a lack of monitoring sensemaking among others in the organization.

Recall that communication is “the processing and transformation of information by a living system in order to adapt to and adapt its environment” (Ruben, 1983, p. 138). Further, communication “refers to the ways in which people create, convey, select, and interpret the messages that inform and shape their lives – including how they promote, accept, and/or resist change” (Ruben, 2009a, p. 20). Communication is a means by which social interactions occur and it is through these social interactions that organizational members produce and reproduce their social reality as well as the way that organizational members understand and materialize organizational change efforts (Ford & Ford, 1995; Poole, 2009). “Change is created, sustained, and managed in and by communications” (Ford & Ford, 1995, p. 560). Thus, it is the interaction

between members of the organization, in this study between the three levels of employees of the organization, that “in part” affect the outcomes of the planned organizational change effort (Lewis, 2007).

Also implied is the importance of differentiating between information flow and information strategy on the one hand versus communication processes and outcomes on the other. The former has to do with purposeful, intentional message sending and the latter with sensemaking and the sense people make of the messages and situations they encounter and their interpretations of them. As the following paragraphs will show, the two concepts are closely linked.

Reviewing the perceptions of the three levels of employees within the organization, there appears to be a great disparity in focus on many issues. The first hint of this disparity stemmed from an analysis of the theme accountability. Out of the four main concepts in this theme, three of them (transparency, justify existence and responding to national assessment trend) were discussed two to three times more by senior leaders than by directors and staff members. Conversely, directors and staff members discussed the concept of measure results twice more than senior leaders.

A close review of participant transcripts pertaining to these issues shows a vast difference in the perception of the senior leaders compared to directors and staff members about the audience and goal of the Dashboard effort. While senior leaders were concerned with Dashboard indicators that showcased the strengths of their division as a defense to external constituents, directors and staff members were more concerned with Dashboard indicators that could help with internal improvements to their departmental operations and effectiveness.

A second hint of the disparity between the three levels of the organization stemmed from the theme organizational changes. Out of the six main concepts in this theme, three of them (culture change, network collaboration and redundancy) were discussed one-and-a-half to four times more by directors than by senior leaders and staff members. Conversely, staff members discussed another concept of this theme, continuous improvement, twice more than directors and one-and-a-half times more than senior leaders. The final concept of this theme, increased awareness, was discussed by senior leaders twice more than directors and one-and-a-half times more than staff members.

A close look at participant transcripts pertaining to these issues shows a vast difference in the perception of the senior leaders compared to directors and staff members about the understanding of the goal(s) of the Dashboard effort. While senior leaders were concerned with increasing awareness among directors and staff members, staff members were concerned with continuous improvement. Directors were more concerned with the ability of the Dashboard effort to increase their network collaboration and enact culture change within their department. Directors were also most concerned with issues of redundancy. Some directors explained that because they already collect similar data there was an outlay of labor to transfer the information into a new format. Others were concerned that because their department was part of the first four groups to use the Dashboard indicators, they were being “targeted.”

The perspectives of participants for the themes of accountability and organizational changes also reflect a disparity between employees in different levels of the organization in terms of their understanding of the goals and expectations for the Dashboard effort. As members of the organization undergo a disruption to the harmony of their system when a planned change, such as the Dashboard effort, occurs, they use communication and information processing to

help them co-create the restored version of their system (Berger & Luckmann, 1967). In addition, leaders and change agents can use communication and information processing to plan the message strategy and or information flow to the other members of the organization (Lewis, 2007). In turn, these messages affect the sensemaking and interpretations of the messages of other members in the organization (Lewis, 2007). This is a back-and-forth negotiation of the meaning of messages between leaders, change agents and others in the organization (Bertalanffy, 1975; Miller, 1965; Ruben, 1983; Thayer, 1968; Weick, 1979, 1995; Westley & MacLean, 1970). It is this interaction between the three levels of employees within the institution that can, in part, affect the outcome of the Dashboard effort (Lewis, 2007). The lack of corrective messages from leaders about the goal(s) of the Dashboard effort led members to believe that their interpretation of the goal(s) was the correct one.

Examining the communication environment, with the concepts in the theme information exchange and leadership, helps to understand this disparity in greater detail and also shows some tension throughout the themes that emerged from this study (See Table 6 for a graphic of the relationship of communication to the themes). Staff members and directors were one-and-a-half more times likely to discuss their uncertainty within the information exchange theme about the Dashboard effort than were senior leaders.

A close review of participant transcripts pertaining to this issue shows a difference in the perception of the directors and staff members versus the senior leaders about the reason and goal(s) of the Dashboard effort. Specifically, directors and staff members commented that they were unclear as to why the Dashboard effort was implemented. In addition, they were unclear about the expectations for the Dashboard effort.

The concept of feedback was discussed by staff members nearly four times as much as directors and three-and-a-half times as much as senior leaders. Looking closely at participant transcripts pertaining to this issue shows a difference in the perception of the staff members versus the senior leaders and directors about the amount of information exchange surrounding the Dashboard effort. Staff members who were more involved and aware of the effort were the most vocal about the lack of feedback. They were extremely concerned about the time they spent collecting data for the Dashboard effort and wanted a confirmation as to whether or not their time spent was useful or wasted.

Involvement and awareness about the Dashboard effort is a part of the leadership theme which also relates to understanding the perceived lack of information flow. The greatest disparity between members in different organizational levels came from this concept. Staff members were eleven times more likely and directors were seven times more likely to discuss issues of organizational members who were either unaware or uninvolved with the Dashboard effort. Senior leaders barely mentioned this concept. This was a topic of high focus on the criticisms of leadership. Perhaps this could be explained as another failure of information flow and exchange as senior leaders may have expected the directors to involve and keep their staff aware of the Dashboard effort.

Priority was another concept in the leadership theme related to participant sensemaking. Senior leaders and directors discussed issues of priority more than twice as much as staff members. A closer look at participant transcripts pertaining to this issue shows a difference in the idea about priority for the staff members versus the senior leaders and directors. The criticism of leadership was that the Dashboard effort was not kept as a priority and therefore understood as urgent by other organizational members. Most senior leaders also had this

complaint. Most members didn't understand the benefit of the Dashboard effort; they viewed it as an obstacle that got in the way of their "real" work, making the Dashboard effort a lower priority for them.

Related to the issue of priority is the concept of short term momentum. Directors were one-and-a-half times more likely as staff members and two-and-a-half times more likely than senior leaders to discuss short term momentum. Looking closely at the transcripts, directors and staff members state that the Dashboard effort began with gusto and then just fizzled out. As a result they were left wondering whether or not they had wasted their time. In addition, they were unsure if the Dashboard effort had ceased or if they should continue to collect data for year-two reporting purposes.

Further, resources were discussed one-and-a-half times more by directors and staff members than senior leaders. A closer look at participant transcripts revealed the major concern of directors and staff members was with regard to resources that they perceived would enable them to successfully collect and analyze data for the Dashboard indicators. Senior leaders also expressed this concern, but not as often.

Directors were nearly twice as likely as senior leaders and staff members to be skeptical about the Dashboard effort. Transcripts show that they were concerned that the effort would divert staff and department resources away from their primary responsibilities toward something that would not prove fruitful in the end. Diversions for staff members in terms of other extenuating circumstances such as a lack of salary increases and staffing issues were highlighted more than one-and-a-half times as much than by senior leaders and directors. Perhaps this is because employees at this lower level in the organization aren't as attuned to some of the other,

more pressing concerns. Or perhaps employees at this level are already being asked to perform at a high rate, and may rely more on paycheck-to-paycheck to get by.

The perspectives of the participants for the themes of leadership and information exchange suggest some of the reasons why there is such disparity between employees in different levels of the organization in terms of their understanding of the goals and expectations for the Dashboard effort. To co-create a restored version of their system, members rely on communication and information processing (Berger & Luckmann, 1967). In this study, most participants perceived that information about the Dashboard effort came to a halt. This lack of information provided members with an unintentional cue from leaders that the Dashboard effort either stalled or had ceased. In addition, members found other unintentional cues from leaders such as a perceived lack of priority, urgency, resources, feedback, momentum, awareness and involvement of other members of the organization.

The culmination of these environmental cues aided most organizational members to process this information as they tried to make sense and interpret the situation surrounding the Dashboard effort. As such, most organizational members assumed the Dashboard effort was stalled or ceased and as a result there was a lack of action on their part and a lack of corrective messages from leaders which reinforced their interpretation of the Dashboard effort as having failed.

The tensions here lie in the themes. While the themes accountability and organizational outcomes represent the expected outcome for each level of employee, the themes leadership and information exchange represent barriers to success. For instance, some senior leaders expected the Dashboard effort to yield results they could use to defend their division to external constituents, perhaps accrediting bodies or the government. Similarly, some directors and staff

members expected the Dashboard effort to produce results they could use internally to improve the operations of their departments. A few of these results were realized; some Dashboard indicators were published in an online format for external constituents to see and some changes were made to programs and assessment forms in the departments. However, many participants commented that the issues of leadership and information exchange prevented a full-scale effort toward making the best use of the Dashboard effort.

Another apparent tension relates to transparency and a lack of awareness by those who were uninvolved with the effort. While much focus was on capturing, displaying and getting Dashboard information onto the public web site for external constituents to view, little focus and energy was spent on making people inside the organization aware of and involved in the effort. In fact, the concept of invisibility is striking given the time some participants spent discussing the Dashboard effort as a way to promote visibility of the University, the division and the departments.

A third tension in the study is that of a mandate to complete the Dashboard effort, yet the leadership commitment was lacking. Many participants stated that the Dashboard effort was the result of a mandate. When asked why they were completing the effort one senior leader replied that they were told to do so. While the language varied, the sentiment of the mandate was persistent in participant comments. In fact the Vice President reported that the motivation for organizational members to complete the Dashboard effort “came from the top.” Mandating change can lead to a difficult path for employee acceptance and institutionalization of the change (Klein & Sorra, 1996). A practical issue for mandating change, especially in loosely coupled systems, is that such mandates might not only uninspire “local managers,” but they may also lessen their understanding of the key reasons that particular change effort was chosen (Klein &

Sorra, 1996). Further, the combination of uninspired managers and a lack of leadership are most certain to be lethal to any planned change effort.

Finally, the tension between faculty and staff cultures is to be noted. While most of the participants in this study were staff members, some of the senior leaders were faculty members. As noted early in the dissertation there are many distinct differences between the two cultures. A major difference is the perspective of each about the “core values” of the institution which lead to further differences in “priorities, work styles and work schedules” (Ruben, 2009a, p. 24). Other differences in perspective include language and decision making styles. All these differences may have contributed toward the lack of leadership and information exchange in this study. These tensions are only speculative and should therefore, be tested further.

Models of planned organizational change and this case study.

Earlier in chapter two several models of organizational change were outlined. This section of the dissertation will detail each of these models along with the perspectives gleaned from participants in this study. The models begin with the need for planning (Ruben, 2009a) and gauging the organizational capacity to mobilize (Weisbord, 1987). These models speak to the need for determining the reason, goals and vision for change, identification of those areas where change is required, preparing and completing plans for action (Tromp & Ruben, 2004), assessing the leaders’ and others’ commitment and energy as well as the business reasons to make the change (Weisbord, 1987). A review of the findings from this study indicate that while there may very well have been a planning stage, the lack of information exchange prevented most participants from understanding the reason, goals and vision for change and the business reason to make the change.

The next stage of change from this combination of literatures appears to be when the members of the organization see the need, priority and urgency for change. This stage is similar to Lewin's (1945) unfreeze stage, Lippitt, Watson, and Westley's (1958) development of a need for change, Ruben's (2009a) attention stage and Armenakis and Harris' discrepancy belief. These models share the importance of awareness on the part of the organizational members that there is a need for the organization to change. To get to this stage, researchers admit there is much work for change agents and leaders to do. Likewise, crafting specific and consistent messages about the need for change is vital to acceptance of the planned change effort by organizational members. In this study, it appears that most participants, even senior leaders, were open to the need to change. However, there was a consistent lack of information exchange from leaders that there was an urgent need for the Dashboard effort and that the effort should be placed high on the priority list. The unintended effect of this lack of information exchange was that the other organizational members followed through with the same lackluster sense of urgency about the Dashboard effort.

Engagement (Ruben, 2009a) or involvement (Armenakis & Harris, 2009; Lippitt, Watson & Westley, 1958; Weisbord, 1987) are terms used throughout these literatures to describe the third stage of change. Researchers agree that the more organizational members are involved in the change process, from defining goals to choosing a change strategy, the more likely they are to support the program and see it through to fruition. Further, involving organizational members throughout the change process also increases the likelihood that they will share in the beliefs that they can accomplish change (efficacy), that the appropriate change strategy was chosen (appropriateness), that there really is a need for change (discrepancy), and that even though the implementation of the change effort may be difficult it will bring them benefits (valence)

(Armenakis & Harris, 2009). A close look at the findings from this study indicate that there were very few organizational members involved with the planning and strategies for the Dashboard effort. In fact, one of the loudest complaints from directors and staff members was that many organizational members were either unaware or uninvolved with the Dashboard effort.

The fourth stage of change discerned from a combination of these literatures is commitment. There is an established commitment on the part of leaders and other organizational members to support not only the change that's needed, but the specific change strategy chosen (Armenakis & Harris, 2009; Ruben, 2009a). Further organizational members will be committed with the belief that they can make the changes needed and that the changes will benefit them ultimately (Armenakis & Harris, 2009; Ruben, 2009a). Leadership in this study appeared to have a lack of commitment to the Dashboard effort from the perspective of the participants. Furthermore, many organizational members perceived that they did not have the ability to make the changes required to complete the Dashboard effort properly.

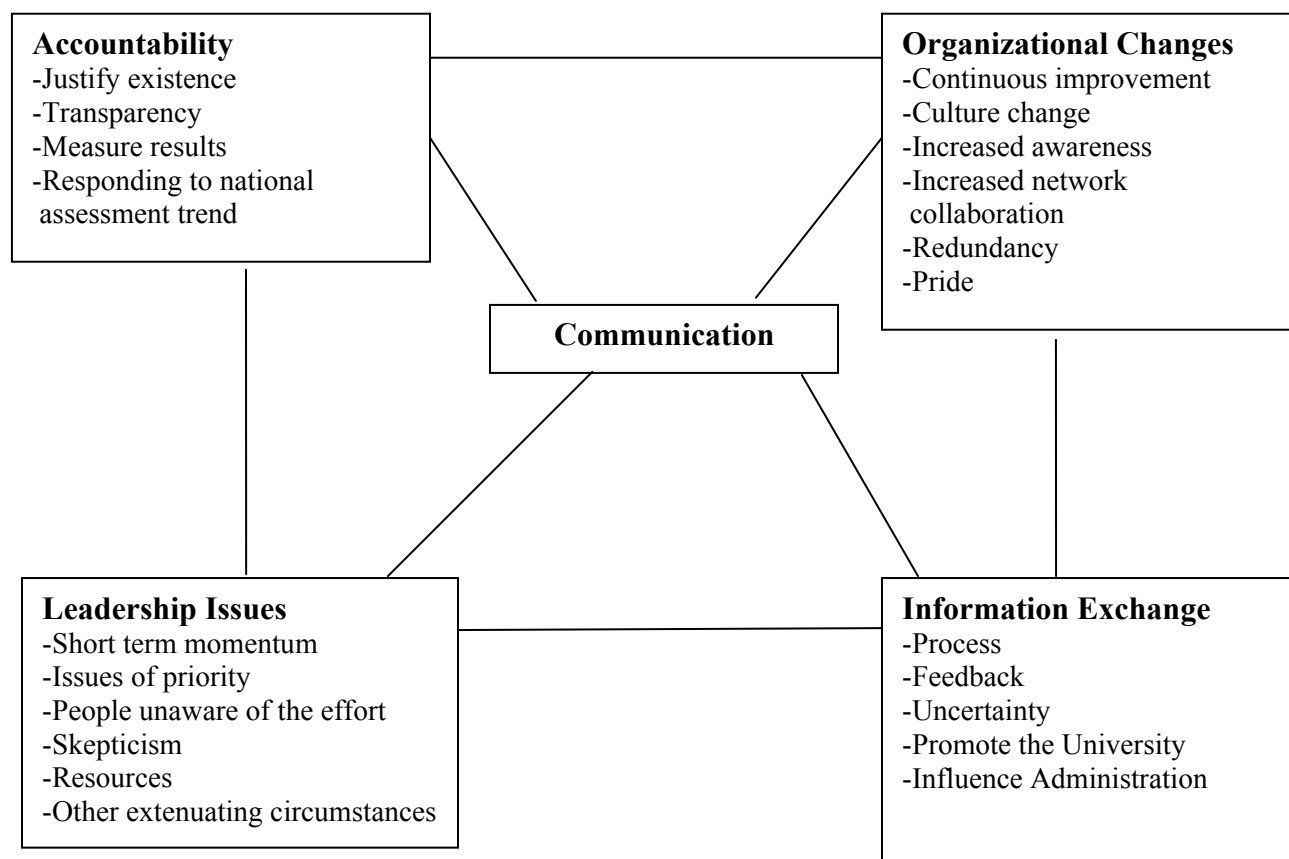
Action is the fifth stage of change and infers the implementation of the change effort. For this to take place organizational members must hold the five beliefs (Armenakis & Harris, 2009): discrepancy – the change is necessary; appropriateness – the strategy chosen is the right one; efficacy – it is possible for organizational members to make the change; principal support – leadership is supportive; and valence – there is a benefit for organizational members. Researchers indicate that the action stage is the implementation, or where organizational members are working toward a change (Lippitt, Watson & Westley, 1958; Lewin, 1945; Ruben, 2009a). All four of the educational support service departments (ESSD's) in this case study began the Dashboard effort, although not all of them completed the indicators.

A review of the five beliefs will be helpful to understand potential reasons for this lack of persistence for all the ESSD's (Armenakis & Harris, 2009). In this study not all members had discrepancy, the belief that change was necessary. However, many of the participants remarked that they were very open to trying new programs in an effort to continuously improve their services. A few participants questioned the Dashboard effort as the chosen change strategy, but none challenged its appropriateness. Most participants did not have efficacy – the belief that they could make the changes necessary for the Dashboard effort. Many participants were concerned because they felt they lacked expertise, such as statistical skills, to contribute to the Dashboard effort. A majority of participants expressed the concern that the effort lacked principal support from their leaders. However, most participants perceived that they did receive principal support from the change agents, although they desired more. Many participants did not experience valence – the belief that they will benefit from the results of the Dashboard effort. In fact, most participants remarked that they were unsure of the benefits and many were scared that the results from the Dashboard effort would be used against them. While some participants saw a discrepancy and most did not challenge the appropriateness of the Dashboard effort as the chosen change strategy, the other three beliefs (efficacy, principal support and valence) were not met. This could provide evidence as to some of the key indicators that the Dashboard effort would fail.

Integration or institutionalization is recognized as the sixth stage of change. Researchers indicate that this is the stage where the change effort becomes integrated into the culture or way of doing things in the organization and is similar to Lewin's freeze stage (Lippit, Watson & Westley, 1958; Ruben, 2009a; Weisbord, 1987). Armenakis & Harris' (2009) five beliefs are also expected to help move the process to this stage.

Finally, Ruben (2009a) recommends that organizational members take time to assess the change process. Leaders and change agents should be particularly concerned with insights gained to identify that the change effort achieved its goal(s) as well as to conclude how the resulting knowledge will be used in continuous efforts to improve (Ruben, 2009a).

Table 7. Relationship of communication to the themes.



Implications for Practice.

There is a plethora of literature on leadership (Smulowitz, 2013). Without solid leadership the planned change effort is certain to fail (Aune, 1995; Luddeke, 1999). To begin, it is the leader who should establish and initiate the planned change effort (Guskin, 1996; Lueddeke, 1999; Nadler & Tushman, 1990; Ruben, 2008). In doing so it is important that a vision is set that validates the planned change effort and provides an idea of what the future

might hold given success with the change effort (ASHE-ERIC, 2001; Guskin, 1996; Lewis, Schmisser, Stephens & Weir, 2006). A challenge with the Dashboard effort in this study is that setting the vision was not a priority. The change agent from the Vice President's office addressed this as a concern and a failure.

Creating a vision of the future necessitates confidence by the leader in the methods chosen to get there, for example, a Dashboard. The leader needs to exude this confidence with others in the organization (Guskin, 1996) and this confidence is a requirement for showing leadership commitment to the planned change effort (Lewis, et al., 2006). A lack of clarity of goals of the planned change effort was cited as having a negative impact on the change effort itself (Colvin & Kilmann, 1990). Further, Ford and Ford (1995) claim that this lack of clarity on goals, or vision, produces a "failure to create a shared understanding among participants to produce a clear statement of the conditions of satisfaction for the change" (p. 557).

Several participants in this study addressed the hesitance, and at first skepticism, of the senior leadership group for the Dashboard effort. Participants stated that they perceived that the senior leaders, including the Vice President, were willing to complete the Dashboard effort, but had to "see it to believe it" and were concerned that the effort would end up causing more work for members without adding value. This sort of "'wait and see' attitude [stems from a lack of] trust in the new system" (Kezar, 2005, p. 653).

Leaders should become adept at telling stories about the vision, values and meaning of the planned change effort as well as stories about successes along the way (Bolman & Deal, 1991; Simsek & Louis, 1994). In this study most of the initial four educational support service department's (EDDSs) Dashboard indicators were represented on the division's web site. However, most participants noted that they didn't know what the other ESSD's were doing,

whether or not the other ESSD's had completed their Dashboard indicators and in some instances didn't know whether or not their own departmental Dashboard indicator was completed. Giving meaning to the planned change effort is viewed as a more effective leadership strategy than focusing on vision alone as it allows for sensemaking (Bolman & Deal, 1991; Simsek & Louis, 1994).

By gathering information through information exchange (such as stories about the vision) stakeholders try to reduce uncertainty and gain control (Kramer, Dougherty & Pierce, 2004; Lewis & Seibold, 1996). The lack of clarity by participants in this study about the purpose of the goal of the Dashboard effort could have been a result of a lack of information exchange from senior leaders about the vision for the planned change effort which, in turn, would lead to uncertainty among members. Vision establishes direction for the change program, provides consistent and compelling justification for the change, provides focus for the organization and increases the likelihood that employees will "stay the course" (Lewis, et al., 2006, p. 122).

The issue of leadership commitment was a major shortcoming repeated by participants who reflected on the Dashboard effort. Part of this shortcoming was the lack of feedback to and from participants. "Feedback gathering from employees concerning implementation issue serves an important evaluative function for organizational leaders" (Lewis, 2000b, p. 145). However, Lewis (2007) states that while research shows gathering of feedback from employees about their perceptions of the implementation is vital to the change effort, most programs only disseminate information from a top-down approach. Holding true to what Lewis (2007) found, other than issues that would arise in small group meetings with the member from the Center for Organizational Development (COD), the researcher came across no formal means to gather feedback from any of the institution's members.

Feedback to members of the institution was also lacking. Lewis (2000b) also cites this type of feedback as essential to the planned change effort because it can provide “channels that are likely to provide opportunities to re-vitalize dying change programs or reinvent poorly operationalized programs” (p. 146). Leaders who fail to keep employees tuned into the importance of the change effort lose the benefit of change, will end up thinking the program wasn’t as effective as it could have been and might begin looking for a new change program. The problem wasn’t the program; the problem was follow through and communication (Smulowitz, 2011).

People look for cues to help them make sense of what’s happening (Weick, 1995) and they attach meaning to them (Schneider, 1990). Participants in this study paid attention to cues such as the lack of rewards, symbols of achievement, “cheerleading,” stories, message reinforcement and importance placed on the effort by senior leaders (Bolman & Deal, 1991; Gersick, 1991; Lewis, 2000b; Simsek & Louis, 1994). “Leaders need to instill optimism, confidence, enthusiasm and urgency to keep momentum going because it is easy for members to stick to patterns from the previous deep structure or give up” (Gersick, 1991, p. 27). Participants did not recall such enthusiasm or incentives by the Vice President or any of the senior leaders, with the exception of the always-positive and encouraging nature of the interventionist from the COD during department meetings.

In this study, participants were concerned with the perceived loss of momentum of the Dashboard effort. Some members described the due dates for their Dashboard data collection as one that kept moving. Others remarked about the extended period of time since they, or anyone else, had discussed the Dashboard. Other members thought the planned change effort had concluded.

Erratic activities by those in charge of the planned change effort were cited as having a negative impact on the change effort itself (Colvin & Kilmann, 1990). Participants in a planned change effort may feel the event has failed if they were to discontinue work on the effort for a time because of perceived inactivity (Gersick, 1991; Levinson, 1978). These literatures are reflected by participants who commented that over time the Dashboard stopped appearing on agendas.

Newcombe and Conrad (1981) assert that one of the reasons that change programs fail is that there are some who do not complete the program and there are only irregular attempts to make them fulfill their duties. One of the four educational support service departments included in this dissertation never completed their Dashboard measures. Through interviews it became apparent that the department never saw the benefits of the Dashboard effort. In addition, attempts by the researcher to interview members of the department were met with hostility. In one instance a prospective interviewee asked the researcher why she kept contacting different members of the department about a program that no one knew anything about. In two related interviews one member of this department was suggested as a resource and potential interviewee because of their involvement with the early stages of the Dashboard effort. When the researcher contacted this person she was told that the potential interviewee knew nothing about the effort and was referred to a former director. Upon speaking with the former director the researcher was again told that this member was the best resource. To the researchers knowledge, no formal attempts were made by senior leaders to enforce this educational support service departments participation in the planned change effort.

The uncertainty of vision (Fairhurst, 1993) coupled with the seemingly short term momentum (Bordia, et. al, 2004) and lack of feedback and information exchange (Kramer,

Dougherty & Pierce, 2004; Lewis & Seibold, 1996) led some participants in this study to believe that the effort had ended abruptly. Directors were unsure if the effort had vanished or if they were still responsible to produce a year two report. Some directors reported that it had been well over a year since anyone senior to them had discussed the Dashboard. Many staff members knew little to nothing about the Dashboard effort. Even many of those who had been involved with a sub-committee knew nothing about the status of the effort.

The lack of information exchange or “talk” by senior leaders about the status of the effort created a sense of lack of urgency and lack of priority about continuing or creating a new Dashboard. As a result many competing activities gained prominence over the Dashboard effort by many participants. Further, many participants questioned leadership commitment to the Dashboard effort. The consensus of those who felt that there was a lack of “talk” about the Dashboard effort was that if leaders were not asking about it or discussing it then it must not be a priority. This perception, in turn, had a damaging impact on the progress of the change effort throughout the organization. Members, then, shifted priorities away and/or discontinued work from the change effort to other more pressing daily work activities.

Also contributing to the perceived lack of leadership commitment is the issue of resources, particularly as it pertains to those resources participants felt they needed – but didn’t get – to complete the Dashboard effort (Kimber, Barwick & Fearing, 2012). Examples of these types of resources include, but are not limited to, the following: benchmarking, survey software, access to data, access to statisticians, people to enter and code data and additional change agents. Many participants continuously addressed these needs as being unaddressed or unmet. One of the real challenges of a planned change effort is securing resources so that the effort can be continued (Ludekke, 1999).

Relatedly, some members had concerns about their ability to create Dashboard indicators and collect and analyze data. Members' attitudes coupled with these performance concerns will contribute to the level at which the planned change effort will be used in their own work (Lewis and Seibold, 1993). As shown in this study, member's uses of the results of the Dashboard effort were limited.

In some instances these performance concerns were cause for a major pause to the continuation of the Dashboard effort. One educational support service department, for example, had several heated discussions about the virtues of using paper versus online surveys. Once paper surveys were selected there was more heated discussion about who could perform data entry. The lack of identification and coordination of resources between levels of the organization such as the three levels of employees in this study are often the cause of a failed change effort (Ludekke, 1999).

One resource that many participants addressed intensely was the need for additional change agents. At first glance, the line between a change agent and a leader might be blurred. As such it is possible that participants who indicated the need for additional change agents may actually be indicating the need for stronger and clearer leadership, or both.

Ottaway (1983) provides a useful taxonomy for understanding people who are involved with a planned organizational change effort. Lewin's (1952) three stages of change play a large role in understanding this taxonomy. As discussed in Chapter Two, the first stage of change is "freeze" (Lewin, 1952) which relates to a "change generator" whose responsibilities include various duties such as recognizing the need, showing support, generating support and defending the change effort (Ottaway, 1983).

The second stage of change is “moving” (Lewin, 1952) which relates to a “change implementor [*sic*]” who can be internal or external and whose responsibilities include carrying out the change effort into the organization (Ottaway, 1983). The third stage of change is “refreezing” (Lewin, 1952) which relates to “change adopters” who range in scope from those who are the first to use the new change, to those who use the new change to allow the organization to succeed, and those who “integrate” or “institutionalize” (Ruben, 2009a) the change into their everyday work habits (Ottaway, 1983).

While Ottaway’s (1983) taxonomy can be debated, it provides a useful way to conceptualize the many roles necessary for a planned organizational change effort. For purposes of this study the “change generators” included a member of the Center for Organizational Development (COD) who recognized the need for the change effort and a senior leader who initially approved the change effort and provided resources (such as the change agents from the COD and the senior leadership team) to see the change effort to fruition.

A review of the literatures suggests that the change agent is responsible for three key functions of a planned change effort. The first is participation and empowerment through communication (Lewis, Schmisser, Stephens & Weir, 2006). Here, change agents use strategies such as meetings where members can talk and make sense of versus being talked to about the planned change effort (Lewis, et al., 2006). While there was one meeting where the first wave of four educational support service departments spoke to the second wave, the researcher did not uncover more than one opportunity for the first wave to talk among themselves throughout the planned change effort. Senior leaders addressed the importance of this meeting and some senior leaders and directors contemplated doing more of this in the future. The importance of the arrangement of this type of face-to-face meeting should be noted as a way

to combat the “uncoordinated” characteristic associated with loosely coupled systems (ASHE-ERIC, 2001, p. 117).

Participants perceived that people within their department were generally either uninvolved or unaware of the Dashboard effort. Several participants interviewed had no idea what a Dashboard was, let alone that there was an effort on in their department to develop one. Consequently, senior leadership commitment to the planned change effort was questioned.

Employee participation during implementation would provide an “increased commitment to change by the stakeholders, increase in accuracy in perceptions about reasons for and goals of change initiatives, improvement in system design from a user perspective and decrease in employee resistance to change” (Lewis, Hamel, & Richardson, 2001, p. 50). In addition, Lewis & Russ (2011) note that using participation as a resource also allows members to contribute their expertise to the planned change effort. Some participants were irritated that they were not asked to be a part of the planning for the Dashboard effort since their department already collects and reports on similar data. Including employees as participants in a planned change program also helps make them feel as if they are “authors of change” versus “targets of change,” which Aune (1995) claims will make them less likely to resist planned change efforts.

Johnstone, Dye and Johnson. (1998) found that combining various groups of stakeholders, such as the three levels of members in this dissertation, allow for each group to have an increased appreciation for the others’ perspectives, and garners support for the planned change effort from those included. In addition, members of each group will come to realize that they are all working together, rather than one group asking why this planned change is being “done” to them (Johnstone, et al., 1998). This is consonant with the findings of this study that suggest that in many instances the three organizational levels of employees of the institution had

different perceptions of reality which stem from their membership in different organizational levels (Gallivan, 2001; Ruben, 1979; Thayer, 1979).

Participation in a planned change effort can lead to stakeholders feeling empowered which can provide them with a sense of ownership in and the impetus to complete the change effort (Johnstone et al., 1998; Lewis, Schmisser, Stephens, & Weir, 2006). Further, Lewis, et al. (2006) found that empowered stakeholders will most likely spread the messages about the planned change effort into the organization through their informal networks. Similarly, Aune's 1995 case study of a system-wide initiative affecting 34 technical college campuses found that empowerment led to better accommodations for students with disabilities, as well as less impact on those involved.

Collaboration can help to bring about successful change implementation in institutions of higher education (Guskin, 1996). This is possible because participants can discuss their fears about the planned change program and discover collectively that those fears will most likely never occur (Aune, 1995). Similarly, uncertainty can be reduced in a planned change effort through participation in decisions (Bordia, Hobman, Jones, Gallois & Callan, 2004). Despite the popularity of participation in the literature Lewis and Russ (2011) found that participation is underused in practice. Participant perceptions from this dissertation confirm their findings. A part of the leadership issues theme, participants questioned the level of leadership commitment toward the Dashboard if all members of the department were not involved or at least aware of its existence.

A second responsibility of the change agent is to assist the progress of "the change process" (Lewis, et al., 2006, p. 118). The change agents from the COD and the Vice President's

office played the role of change agent. In fact, when participants spoke about the change agent from the COD they did so in a very positive light. Some asked for clones.

The change agent from the COD was helpful in pulling together groups of participants. Initially there was a meeting with the directors from the four educational support service departments (ESSDs) to introduce the concept of the Dashboard as well as discuss their involvement. Next, this change agent met with each of the department heads and in some instances more members of the department. These meetings continued sporadically until the Dashboards were complete and ready to be included on the division web site.

The change agent who worked with the Vice President assumed the role of project manager. This change agent was the person who would ask the Associate Vice Presidents for status updates on the Dashboard effort at the division meetings. Both change agents would “nudge” the departments to keep the effort moving forward. This concept of “nudging” was referenced by many participants as crucial to moving the Dashboard effort forward. Ironically, neither change agent had authority over the employees they were charged with moving through the change process. However, they had the ability to “facilitate groups of people through the processes to develop, organize, and sell new ideas” (Lewis, et. al, 2006, p. 119).

Unfortunately, only the change agent from the COD was assigned to meet with educational support service departments (ESSD) members to help them understand and complete the Dashboard effort. This resulted in several ESSD’s competing for attention from the same change agent (Lewis & Seibold, 1993). Further, once the initial four ESSD’s detailed in this dissertation “went through” the program the change agent quickly moved onto the next four groups, and so on. This left little to no time to double back to the original four ESSD’s. In

addition, the change agent who worked closely with the Vice President of the division to keep the Dashboard effort a topic of discussion and a key priority resigned, leaving a void.

The third responsibility of a change agent according to Lewis et al. (2006) is the creation of a vision. As previously stated this step was missed in the planned change effort as detailed in this study. Perhaps a vision could have saved some time for the change agent from the COD who needed to continually reeducate participants about the process and benefits of the Dashboard effort.

Stemming from issues such as unclear goals, “uncertainty is one of the most commonly reported psychological states in the context of organizational change” (Bordia, Hobman, Gallois & Jones, 2004, p. 509). It is “an aversive state that motivates strategies aimed at reducing or managing it” (p. 508). Further Bordia, et. al. distinguish three types of uncertainty: strategic, structural and job-related. This study finds that members of the university experienced all three types of uncertainty.

The focus of strategic uncertainty is on the organizational level and concerns issues of “reasons for change, planning and future direction of the organization” (p. 510). Many participants stated they did not know the purpose of the Dashboard initiative.

The second type, structural uncertainty, focuses on changes to “the inner workings of the organization...such as reporting structures...reallocation of services and staff are physically relocated to different parts of the organization (Terry, et al, 1996)” (Bordia, et. al, 2004, p. 510). Throughout data collection, many participants referred to the transformation of undergraduate education, which was the catalyst for the new Department of Undergraduate Education to which each of these ESSD’s now report. Prior to the transformation of undergraduate education, these ESSD’s had a different reporting structure. In addition, some of the ESSD’s went through

reorganization where members were physically relocated to different campuses within the University.

The focus of job-related uncertainty is on “job security, promotion opportunities, changes to the job role, and so forth” (p. 511). All levels of employees within the institution echoed similar distractions in this case study.

Lack of knowledge of benefits and the way the Dashboard information helped the division as well as the department and the individual employee also contributed to participant uncertainty. Data showed that those in the trenches had no idea of the potential benefits of the Dashboard to them or their department. By not providing this type of information to members the planned change effort will suffer negatively (Colvin and Kilmann, 1990). In addition, when a planned change effort has a good fit for one layer of the organization, but a weak fit in another typically the part of the organization that finds the results of the planned change effort to be weakly related to them will either use it sporadically or not at all (Klein and Sorra, 1996). The results of this dissertation found that while senior leaders had a good fit for the Dashboard information, some department members felt there was a weak fit because they did not understand the benefits of the planned change effort. As a result, members with a perceived weak fit found no use for the Dashboard. A director remarked that the Dashboards were finally visible online for anyone to see, although the director was at a loss as to who might be looking for them, and when they might be looking. Conversely, a senior leader was elated that the Dashboards were helpful in a board meeting.

Lueddeke (1999) asserts that as a foundation, participants in organizational change efforts need to understand the benefits of the planned change effort in order for them to be fully

supportive. Throughout participant interviews it became apparent that even some of the senior leaders were not quite clear on the benefits of the Dashboard effort at the outset.

Finding the right balance of leadership, planning and information exchange can be a daunting task even for a leader who has gone through several change programs. The next few paragraphs will detail the steps and key factors for a successful planned change implementation program (See Table 7)³⁷.

Table 8: Steps to Successful Planned Change Programs

Step 1: Planning

Step 2: Agreement

Step 3: Involvement

Step 4: Commitment

Step 5: Action

Step 6: Integration

Step 7: Assessment

Step 1: Planning.

The first step to a successful planned change program is proper planning. It's imperative to begin the planning stage by involving people from various areas and in all levels of the organization to form a change team. Once the team is formed they should determine the need for the change effort first by conducting a SWOT analysis or similar analysis that considers issues both internal and external to the organization. In addition, team members should discuss which subsystems and members of the organization will be affected as well as identify skeptics and opinion leaders and assess organizational member's potential commitment to the change. Then

³⁷ To develop the Steps to Successful Planned Change Programs the researcher used a combination of ideas from several sources including the following: Armenakis & Harris, 1999; Lewin, 1945; Lippitt, Watson & Ruben, 2009a; Westley, 1958; Weisbord, 1987.

the goal(s) and vision must be defined, made clear and agreed upon. Next a rollout plan including strategies and tactics should be developed. This should include the crafting of key messages to be used throughout the effort such as the vision, competitive need to change, urgency, plan, goals, benefits and expectations for the change program. The planning team should agree on and document the plan. Finally, team members must begin their campaign to prepare organizational members for step two.

Step 2: Agreement about the Need to Change.

Think of the second step as a continuum from unaware to fully aware. Team members will begin a campaign to make all organizational members fully aware of the competitive need to change as developed in the SWOT analysis. Part of the awareness program will involve a weekly team activity report indicating key happenings with the change program. Depending on the organization there may be several channels to distribute the report. For example, in a manufacturing facility where the majority of employees are working on a line all day, postings in the cafeteria along with paycheck stuffers and inclusion in any rolling information slides on televisions in break areas would be appropriate. For employees who work at their desks and have ready access to computers, emails or inclusion in the portal might make a better channel to display team updates. Another part of the awareness program will be to provide a way for the change team to monitor and provide a way to promote sensemaking and decrease levels of uncertainty and skepticism. This might include time for employees from all levels to get together formally to catch up with each other, discuss the change effort and ask questions. Communication should also be an important part of each step in the process. Remember that communication involves the way organizational members use information to make sense of their situation and restore harmony to their social structure.

Step 3: Involvement.

As team members are rolling out their awareness campaign throughout the organization, they will be recruiting organizational members who are interested in taking a larger role in the effort. This stage of involvement may happen in two different phases. The first phase may occur prior to the formation of the change team and the second may occur just prior to the rollout plan. Regardless, the point is to involve everyone at some point, even if some people are involved only in meetings about the change effort. There will be members on the change team from all levels of the organization.

Step 4: Commitment.

Commitment to the change effort is key for leaders, change agents and organizational members. As such, there should be time to assess the amount of commitment to the change effort from all levels of the organization. One way to do this is for the change team to interview organizational members. However, if the organization is large, spans several states and/or countries and consists of people working in dispersed locations (such as telecommuting) then a quantitative survey similar to the five beliefs scale developed by Armenakis & Harris (2009) is ideal.

The survey should focus on the five beliefs and the awareness program: a) discrepancy- people see a reason to change; b) appropriateness- the change strategy chosen is the right one; c) efficacy- we are capable of making the change; d) visible leadership commitment- leaders and change agents are visibly supportive of the change effort e) valence- there is a benefit that is appealing to me; and f) awareness program- the information provided by the weekly team activity report and other discussion opportunities keep me informed about the change effort.

In addition to the survey a leadership checklist (See Table 8) will be completed by the leader of the organization and the results from both will be compiled into a Dashboard of key planned change indicators (See Table 9) which will be kept by the change agent. Results of the survey, checklist and Dashboard will be presented quarterly to the change team, leader and organizational members. The importance of measuring these items periodically throughout the change program is to ensure that organizational members have confidence that the change program is important to the health of the organization and that it is fully supported by everyone in the organization. If the change agent finds that organizational members show a decrease in any of the indicators then the change agent, along with the change team and any other employees who want to be involved, can determine the appropriate strategy to improve. For example, should the survey reveal that the people do not perceive that they are fully aware of the progress of the change program, then the change agent can increase or add elements to the awareness program. If the survey shows that all or most of the indicators are declining then the change agent can modify the program so that it does not fail. It is important to include organizational members in this step so that they feel part of and buy into the process.

Step 5: Action.

Implement the change effort. Begin with some fanfare where the leaders, change agents and change team gather all employees to celebrate the start of the new vision. This is a key opportunity for leaders to show they are committed to the change effort by telling the story of the vision and showing confidence in the rollout. Periodically throughout the change program process the survey and leadership checklist should be administered again. In addition, keeping up with the awareness program is essential as is monitoring employee sensemaking of the change

effort. Also, along the way the leader should continue to tell success stories and engage in conversation with employees about the change program.

Step 6: Integration.

To get to the integration stage is cause for great celebration. This means that the change has become routine in the organization.

Step 7: Assessment.

At this point is it necessary to take a step back to determine whether or not the initial or modified goal(s) was met. Consider what was learned throughout the process and how that learning can become a part of a continuous plan to improve.

Table 9: Visible Leadership Commitment Checklist

Indicate in the space available what you are doing as a leader of this change effort for the following key factors:

1. How are you monitoring organizational member sensemaking process?
2. How are you monitoring organizational member uncertainty?
3. How are you monitoring organizational member skepticism?
4. How are you providing feedback to organizational members?
5. How are you gathering feedback from organizational members?
6. How are you keeping the organizational change effort a top priority?
7. What types of rewards do you provide, and how, to organizational members?
8. How do you share success stories with organizational members?
9. How do you share stories about the vision with organizational members?
10. How do you monitor and reassess resource allocation?
11. How do you know you have enough change agents?

12. How are your change agents making sure that organizational members from all levels are aware, involved and engaged?
13. How are your change agents working with organizational members to fulfill the change effort?
14. How are you keeping momentum strong?
15. How are you showing your confidence in change agents, strategies, change team and organizational members abilities to complete the change effort?
16. How are you telling stories about the values and meaning of the change effort?
17. How do you ensure that the perspectives from all levels of the organization are heard?
18. What does your Success Dashboard tell you about the health of your change effort?
19. What do the results of the employee survey tell you about the health of your change effort?

Table 10. Dashboard for Successful Planned Change

Key Indicators

1. Discrepancy measures the extent to which organizational employees see the reason change is necessary.
2. Appropriateness measures the extent to which organizational employees agree that the change strategy chosen is the right one.
3. Efficacy measures the extent to which organizational employees feel that they and the other organizational members are capable of creating this change.
4. Visible Leadership Commitment measures the extent to which organizational employees believe that leaders and change agents are visibly supportive of the change effort.

5. Valence measures the extent to which organizational employees see a benefit from the change program.
6. Awareness Program measures the extent to which organizational employees believe that the information provided by the weekly team activity report and other discussion opportunities keep me informed about the change effort.

Overall, practitioners can learn many important facets about the planned organizational change effort from this study. The attention to the role the leader plays and the associated perceived level of commitment by subordinates is not to be overlooked. If subordinates do not perceive commitment on behalf of the leader, then they will find good reason to move onto other activities and even regress to structures or procedures they had in place prior to the introduction of the planned change effort. Leadership commitment was perceived as lacking in this study for many reasons: the effort was perceived as having stalled; there was a lack of urgency or priority about the effort; not many people were perceived to be a part of the effort; many people didn't know the effort existed; there was a perceived lack of feedback about the effort's status quo; and there was much uncertainty about the goal of the effort. Perhaps this combination was lethal to the planned change effort in this study.

Viewing planned change efforts as purposeful efforts to change, or disrupt, the dynamics and harmony of the system provides a good basis for understanding the complications of the Dashboard effort in this study. The disruption and subsequent attempts to restore harmony occur through communication and information processing. It is through these processes that members of a system co-create the restored version of the system (Berger & Luckmann, 1967; Burr, 2003) to enable organization and functionality.

The decisions about communication strategy and frequency of information exchange made by the senior leaders “affect the perceptions, concerns, assessments and interactions” of other members of the organization (Lewis, 2007, p. 181). Without a continual give-and-take of information (Bertalanffy, 1975; Miller, 1965; Ruben, 1983; Thayer, 1968), or negotiated meaning of messages (Weick, 1979; Westley & MacLean, 1970) organizational members will have a tough time making sense (Weick, 1995, 2001) of the planned change effort and as a result will find it difficult to find harmony and restore the system (Berger & Luckmann, 1967). It is the interaction between the different levels of employees that “in part” affect the outcomes of a planned, organizational change effort (Lewis, 2007). Thus, it was communication in the sense of a shared understanding of the purpose and goal of the effort as a key reason for a perceived lack of leadership commitment throughout the organization about the planned change effort (see also, Lewis, 2000b, p. 151).

Some of the questions raised by this study include the following: a) how can a leader turn around a floundering planned change program; b) what effect will this outcome have on the next planned change effort at this institution; c) how can a change agent ensure commitment from leadership? These questions could easily become topics for future research by examining the same or a similar population. The next section will discuss limitations of the study as well as future research opportunities.

Limitations and Future Research Opportunities

No study is without limitations. This dissertation is no exception and includes the following limitations: particularity, subjectivity, generalizability, reliability, time interval, participant comments, researcher lens, loose coupling and tensions in the themes.

Particularity limitations and future research opportunities.

The researcher particularly chose three levels of employees within an institution of higher education for this study because she wanted to be able to discover similarities and differences of perceptions between the three levels of employees in a planned, organizational change effort. “No system beyond a certain level of complexity can be completely known in all its details. Therefore the system theorist is interested in singling out certain global properties of systems that characterize systems of a given type” (Anatol & Rapoport, 1975, p. 40).

The ability to be particular about a phenomenon, such as being able to determine similarities and differences of perceptions between three levels of employees within this University setting, provides the researcher with an in-depth understanding of this aspect of this specific planned organizational change effort (Merriam, 2009). In doing so, the researcher can better tell the story of the groups involved, rather than a more general synopsis of similar groups. However, this leaves a gap for future researchers to study other details of the organizational system. In addition, future researchers may wish to study the same aspects of planned organizational change efforts in general.

Subjectivity limitations and future research opportunities.

The findings of this research are based on the interpretations of participant perceptions by the researcher. Inherent in this kind of research are limitations based on the subjectivity of each interview participant’s perceptions as well as the interpretations of those perceptions by the researcher. Thus by its nature qualitative research inherently involves subjectivity from the research participants and the researcher (Lindlof & Taylor, 2002). It is unavoidable because participant perceptions and researcher interpretations constitute qualitative research (Lindlof & Taylor, 2002). Future researchers could take the themes that emerged from this study and use them and their subthemes in a survey or other quantitative method.

Generalizability limitations and future research opportunities.

In this case study analysis, all the educational support service departments report to the same vice president making it possible to reflect on the way in which each educational support service department handles department meetings, reporting structure, physical location, and other items that many other institutions of higher education have in common. Should the findings from the educational support service departments and the senior leadership group in this dissertation show constant findings in one area, then one can generalize those findings to other institutions of higher education (Yin, 1993). In all but a few instances findings were different between members of the three organizational levels of the University. In fact, findings typically demonstrated that one of the three groups of organizational levels of the University were in disagreement with the other two. For example, while participants overall were highly concerned with the ability of the Dashboard effort to help them to justify the existence of their department and the University to internal and external constituencies, senior leaders were twice as likely to discuss this code as were directors and staff members.

However, qualitative methods in general do not appropriately provide generalizability because of their characteristic subjective nature (Lindlof & Taylor, 2002). As such future researchers could use the themes that emerged from this study in quantitative studies with additional institutions to confirm their generalizability. With the growing influence of accrediting agencies and the federal government, the opportunity to study additional institutions of higher education should be bountiful.

Reliability limitations and future research opportunities.

This study used interviews to gather data (Lindlof & Taylor, 2002). By their nature, interviews are not repeatable because participants are asked a set of questions only once (Lindlof

& Taylor, 2002). Each interview participant has a unique view of the world and their situation and as such it would be impossible to replicate the interview with others and have the consistent outcomes (Lindlof & Taylor, 2002; Merriam, 2009).

In an effort to combat the lack of reliability, the researcher used four educational support service departmentss and the senior leadership group within the University to study the perceived impact of the same Dashboard effort (Merriam, 2009; Orum, Feagin & Sjoberg, 1991, p. 18). In addition, the researcher conducted member checks by submitting a draft of a section of the results section to a participant in which his or her comments are included (Stake, 1995, p. 115). The participant was asked to confirm or disconfirm the draft for accuracy. Accuracy of the draft was confirmed.

While reliability is not as much a focus in qualitative studies as in quantitative studies, one could argue that the results of this qualitative study are not fully reliable (Lindlof & Taylor, 2002). Future research could use quantitative methods, known for reliability.

Time Interval limitations and future research opportunities.

According to interview participants, about a year had passed between their initial introduction to the Dashboard effort and the researcher's inquiries. It is possible that some of the participants could have forgotten facts about the Dashboard effort. Several interview participants promised the researcher that they would send meeting notes, emails and other documents; most participants could not find these materials. This was likely due to the length of time since the Dashboard effort had been part of their daily work. Future researchers could time their interviews and requests for documentation closer to the time of the planned organizational change effort.

All the departments within the Division of Undergraduate Education had not yet completed the Dashboard effort and a few participants mentioned that they felt they had a hard time answering or could not answer some questions because they thought it was too soon to tell whether or not the Dashboard effort could be attributed to things such as employee productivity or even if the effort itself was successful. Future researchers could complete a longitudinal study to determine perceptions at several stages of the planned organizational change effort.

Participant comments limitations and future research opportunities.

A common limitation of interviews is that participants might either censor what they say or be more forthright than normally because of concerns about confidentiality, of the presence of an interviewer or the interview process itself. In this study it is hard to discern whether or not either of these instances occurred. However there were several occasions where interview participants appeared to be choosing their words very carefully and others where participants appeared to be letting off some steam about their feelings of frustration about the planned change effort. For example, early during the interview one director repeatedly told the researcher that “it was an honor and a privilege for my department to have been chosen for the pilot study” (Participant 2, 2011). While the researcher had not previously known this participant one can make the case that this participant was testing out the researcher’s credibility and to ensure that positive comments would be attributed to them. In another instance it was apparent that a director was letting off some steam about their frustrations surrounding the Dashboard effort. In fact, the participant at one point apologized for “venting” (Participant 1, 2011).

In addition, responses to the research questions asking participants to assert their opinions of other non-peer levels of employees about certain aspects of the Dashboard were mostly met with hesitancy. For example, when staff members were asked to assert their opinion of the value

of the Dashboard effort to the senior leaders and directors, many staff members noted that they were unable to speak for the other levels. However, in many instances staff members would assert their opinions for other staff members as a whole. Interestingly senior leaders for the most part also declined to assert their opinions about staff members.

It would be interesting for future studies to evaluate the frequency of either participant censorship or venting during interviews. In addition, future studies could focus more on the reasons behind levels of employees unwillingness to speak for other levels of employees.

Researcher lens limitations and future research opportunities.

This study was conducted by a researcher using a communicative lens to study the planned organizational change effort. As such there was a heightened focus on issues of communication. Other researchers might use a different lens and thus see the same data in a different way. Future studies could include researchers each using a different lens to view the data. The comparison of a communication researcher versus an economics researcher would yield interesting results.

Loose coupling and higher education limitations and future research opportunities.

Many participants talked about what they saw as “insufficient facilitator support” during the change effort. Perhaps that expressed need was, in part, due to the loosely coupled nature of institutions of higher education. While this study acknowledges that institutions of higher education tend to be loosely coupled, the study did not address this directly. Future studies could make a point to study whether or not the loosely coupled nature of institutions of higher education plays a role in the level of support participants seek from change agents.

Tensions in the themes limitations and future research opportunities.

As noted, a review of the findings reveals several tensions. The first tension is that between the themes of accountability and organizational changes. The tension comes into play with the addition of the last two themes of leadership and information exchange as the issues in these themes were barriers to the success of the first two themes.

The second tension was between transparency and people unaware or uninvolved in the effort. The irony here is the time participants spent remarking about the need for visibility to external constituents when their internal constituents were reported being largely unaware of the Dashboard effort.

A third tension is that even though there was mandate “from the top” about the Dashboard effort, there was a perceived lack of leadership throughout. A fourth tension was the tension between the cultures of faculty and staff, which may have contributed to some of the failure in this planned change effort. These tensions are appropriate topics for further examination in future research.

CONCLUSION

The need for ongoing, planned organizational change in organizations is growing. This is true especially in institutions of higher education where the impetus for change has been particularly dramatic in the assessment of performance and outcomes, and the use of the resulting information to document, report upon and improve institutional effectiveness.

One of the many measurement-based strategies of assessment is the Dashboard which is widely used in industry but new to higher education. Success for Dashboards in higher education must account for its inherent loosely coupled nature which leads to impediments and facilitators of any planned, organizational change effort. Communication can be both an impediment and a facilitator and, as such, is vital to any change effort.

Communication was an important focus in this dissertation because it was found to be the basis of many of the impediments and facilitators of the planned organizational change effort studied. Findings indicate that communication is important in this planned organizational change effort so that all members can have a shared understanding about the effort. The lack of information exchange previous to and throughout the planned organizational change effort can lead to member uncertainty and skepticism about the following: a) purpose of the effort; b) commitment behind the effort; c) benefit of the effort; d) usefulness of the effort; e) importance, and hence, priority of the effort; and f) sustainability of the effort. The culmination of these issues leads participants of the planned organizational change effort to experience frustration, disgust and even shut-down which can contribute to the perception that the effort failed.

To summarize, communication is vital to planned organizational change efforts such as the one studied here. Change agents considering a planned organizational change effort should review the results found in this study and determine the fit to their own institution. Researchers who study planned organizational change should review the results found in this study to determine further areas of research to advance the field.

References

- Albrecht, T. & Hall, B. (1991). Facilitating talk about new ideas: Extrarole efforts to initiate workplace change. *Academy of Management Journal*, 42, 403-419.
- Anatol & Rapoport, A. (1975). Modern systems theory: An outlook for coping with change. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 95-118). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Argyris, C. (1970). *Intervention theory and method: A behavioral science view*. Reading, MA: Addison-Wesley Publishing Company.
- Argyris, C., Putnam, R., & McLain Smith, D. (1985). *Action science*. San Francisco, CA: Jossey-Bass.
- Argyris, C., & Schon, D. A. (1974). Theory in practice: *Increasing professional effectiveness*. San Francisco, CA: Jossey-Bass.
- Argyris, C., & Schon, D. A. (1978). *Organizational learning*. Reading, MA: Addison-Wesley.
- Armenakis, A. A., & Harris, S. G. (2009). Reflections: Our journey of organizational change research and practice, *Journal of Change Management*, 9(2), 127-142.
- Armenakis, A. A., Harris, S. G., and Mossholder, K. W. (1993). Creating readiness for organizational change, *Human Relations*, 46 (June), 681-703.
- ASHE-ERIC Higher Education Report. (2001). Special issue: Understanding and facilitating organizational change in the 21st Century: Recent research and conceptualizations [Electronic version]. *ASHE-ERIC Higher Education Report*, 28(4), 1-162.
- Ashford, S. J., & Cummings, L. L. (1983). Feedback as an individual resource: Personal strategies of creating information. *Organizational Behavior and Human Decision Processes*, 32, 370-398.
- Ashforth, B. E., & Mael, F. (1989). Social identity theory and the organization. *Academy of Management Review*, 12(1), 20-39.
- Aune, B. P. (1995). The human dimension of organizational change [Electronic version]. *Review of Higher Education*, 18(2), 149-173.
- Awareness, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/awareness>
- Baldrige, J. V. (1983). Organizational characteristics of colleges and universities. In J. V. Baldrige, & T. Deal (Eds.). *The dynamics of organizational change in education* (pp. 38-59). Berkeley, CA: McCutchan Publishing Company.
- Beckhard, R. (1969). *Organizational development: Strategies and methods*. Reading, MA: Addison-Wesley.
- Beer, M. & Walton, A. E. (1987). Organization change and development. *Annual Review of Psychology*, 38, 339-367.
- Belkin, N. J., & Robertson, S. E. (1976). Information science and the phenomenon of information. *Journal of the American Society for Information Science*. 27(4), 197-204.
- Bennis, W. G. (1964). The change agents. In R. T. Golembiewski, A. Blumberg (Eds.), *Sensitivity training and the laboratory approach*. Itasca, IL: F.E. Peacock Publishers.

- Bennis, W. G. (1966). *Changing organizations*. New York, NY: McGraw-Hill Book Company.
- Bennis, W. G. (1993). *Beyond bureaucracy: Essays on the development and evolution of human organization*. San Francisco, CA: Jossey-Bass Publishers.
- Bennis, W. G., Benne, K. D., & Chin, R. (1969). *The planning of change*, 2nd Ed. New York: Rinehart & Winston.
- Berger, P. L., & Luckmann, T. (1967). *The social construction of reality: A treatise in the sociology of knowledge*. Garden City, NY: Doubleday.
- Bertalanffy, L. v. (1950). An outline of general system theory. *The British Journal for the Philosophy of Science*, 1(2), 134-165.
- Bertalanffy, L. v. (1968). *General systems theory, foundations, developments, applications*. New York, NY: Braziller.
- Bertalanffy, L. v. (1975). General system theory. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 95-118). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Bishop, R. (2005). Freeing ourselves from neocolonial domination in research. In N. K. Denzin, Y. S. Lincoln (Eds.), *The Sage handbook of qualitative research*, 3rd Ed. Thousand Oaks, CA: Sage Publications, Inc.
- Bititci, U. S., Turner, T., & Begemann, C. (2000). Dynamics of performance measurement systems. *International Journal of Operations and Production Management*, 20(6), 692-704.
- Blake, R. R., & Mouton, J. S. (1964). *The managerial grid: Key orientations for achieving production through people*. Houston, TX: Gulf Publishing Co.
- Blumer, H. (1979). Symbolic interaction. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 7-31). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Bolman, L. G., & Deal, T. E. (1991). *Reframing organizations: Artistry, choice and leadership*. San Francisco, CA: Jossey-Bass.
- Bordia, P., Hobman, E., Jones, E., Gallois, C., & Callan, V. J. (2004). Uncertainty during organizational change: Types, consequences, and management strategies. *Journal of Business and Psychology*, 18(4), 507-532.
- Brower, R. S., & Abolafia, M. Y. (1995). The structural embeddedness of resistance among public managers. *Group and Organization Management*, 20(2), 149-166.
- Burke, W. W. (2008). *Organization change: Theory and practice*. (2nd ed.). Thousand Oaks, CA: Sage Publishing.
- Burr, V. (2003). *Social constructionism*. 2nd ed. New York, NY: Routledge.
- Cameron, K. S., & Quinn, R. E. (2006). *Diagnosing and changing organizational culture*. San Francisco, CA: Jossey-Bass.
- Charmaz, K. (2005). Grounded theory in the 21st century: Applications for advancing social justice studies. In N. K. Denzin, Y. S. Lincoln (Eds.), *The Sage handbook of qualitative research*, 3rd Ed. Thousand Oaks, CA: Sage Publications, Inc.
- Chin, R. & Benne, K. D. (1985). General strategies for effecting change in human systems. In W.G. Bennis, K. D. Benne, and R. Chin (Eds.), *The planning of change*. (4th ed.) New York: Holt, Rinehart & Winston.
- Church, A. H. (2001). The professionalization of organization development: The next step in an evolving field. *Research in Organizational Change and Development*,

- 1-42.
- Cobb, A. T. & Margulies, N. (1981). Organization development: A political perspective. *The Academy of Management Review*, 6(1), 49-59.
- Coch, L. ; & French, J. L. P. Jr. (1948). Overcoming resistance to change. *Human Relations*, 1(4), 512-532.
- Colvin, T. J., & Kilmann, R. H. (1990). Participant perceptions of positive and negative influences on large-scale change. *Group and Organizational Studies*, 15, 233-248.
- Commitment, n.d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/commitment>
- Crawford, J. (2003). Reviewing a programme of evaluation in an academic library: The case of Glasgow Caledonian University. *Performance Measurement and Metrics*, 4(3), 113-121. doi:10.1108/14678040310507860
- Cullen, J., Joyce, J., Hassall, T., & Broadbent, M. (2003). Quality in higher education: From monitoring to management. *Quality Assurance in Higher Education*, 11(1), 5-14.
- DeFeo, J. A., & Barnard, W. W. (2004). *Juran Institute's Six Sigma: Breakthrough and beyond*. New York, NY: McGraw-Hill Book Company.
- Delgado, J. M. R. (1979). Neurophysiology. In R. W Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 119-134). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Dent, E. B., & Goldberg, S. G. (1999). Challenging "Resistance to change." *Journal of Applied Behavioral Science*, 35(1), 45-47. Retrieved from ABI/INFORM Global. (Document ID: 39370613).
- Dervin, B. (1977). Useful theory for librarianship: Communication, not information. *Drexel Library Quarterly*, 13(3), 16-32.
- DeSanctis, G., & Poole, M. S. (1994). Capturing the complexity in advanced technology use: Adaptive structuration theory, *Organization Science*, 5(2), 121-147.
- Eccles, R. G. (1991). The performance measurement manifesto. *Harvard Business Review*, 69(1), 131-137.
- Edwards, D.; & Thomas, J. C. (2005). Developing a municipal performance measurement system: Reflections on the Atlanta Dashboard. *Public Administration Review*, 65(3), 369-376.
- Fairhurst, G. T. (1993). Echoes of the vision: When the rest of the organization talks Total Quality. *Management Communication Quarterly*, 6, 331 - 371.
- Faucheux, C., Amado, G., & Laurent, A. (1982). Organizational development and change. *Annual Review of Psychology*, 33, 343-370.
- Ferguson, D. (2006). Lean and Six Sigma: The same or different? *Management Services*, 14-16.
- Fontana, A., & Frey, J. H. (2005). The interview: From neutral stance to political involvement. In N. K. Denzin, Y. S. Lincoln (Eds.), *The Sage handbook of qualitative research*, 3rd Ed. Thousand Oaks, CA: Sage Publications, Inc.
- Ford, J. D., & Ford, L. W. (1995). The role of conversations in producing intentional change in organizations. *The Academy of Management Review*, 20 (3), 541-570. Retrieved from <http://www.aom.pace.edu/amr/>
- French, W. L., & Bell, Jr., C. H. (1990). *Organization development: Behavioral science interventions for organization improvement*. (4th Ed.) Englewood Cliffs, NJ:

- Prentice-Hall.
- Friedlander, F. & Brown, L. D. (1974). Organization development. *Annual Review of Psychology*, 33, 313-341.
- Gallivan, M. J. (2001). Meaning to change: How diverse stakeholders interpret organizational communication about change initiatives. *IEEE Transactions on Professional Communication*, 44(4), 243-266.
- Gersick, C. J. G. (1991). Revolutionary change theories: A multilevel exploration of the punctuated equilibrium paradigm [Electronic version]. *The Academy of Management Review*, 16(1), 10-36.
- Giddens, A. (1985). Marx's correct views on everything: (With apologies to L. Kolowkowski). *Theory and Society*, 14(2), 167-174.
- Giddens, A. (2003). Runaway world: How globalization is reshaping our lives. New York, NY: Routledge.
- Glaser, G. G., & Strauss, A. L. (1967). The discovery of grounded theory: Strategies for qualitative research. Chicago, IL: Aldine Publishing Co.
- Guskin, A. (1996). Facing the future [Electronic version]. *Change*, 28(4).
- Halloran, J. D. (1985). Information and communication: Information is the answer, but what is the question? In B. D. Ruben (Ed.), *Information & Behavior: Vol. 1.* (pp. 27-39). New Brunswick: Transaction Books.
- Hatch, M. J. (1993). The dynamics of organizational culture. *Academy of Management Review*, 18(4), 657-693.
- Huber, G. P., & Glick, W. H. (1993). Sources and forms of organizational change. In G. P. Huber & W. H. Glick (Eds.), *Organizational change and redesign* (pp. 3 - 15). N.Y.: Oxford University Press.
- Huse, E. F. & Cummings, T. G. (1985). *Organization development and change*. (3rd. Ed.). St. Paul, MN: West Publishing Co.
- IBM Corporation. (2008). Making change work. Somers, NY: IBM Corporation. Retrieved from <http://www-935.ibm.com/services/us/gbs/bus/pdf/gbe03100-usen-03-making-change-work.pdf>
- Increased, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/increased>
- Influence, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/influence>
- ISO. (2010a, July 20). About ISO [Online website content]. Retrieved from <http://www.iso.org/iso/about.htm>
- ISO. (2010b, July 20). About ISO: Discover ISO [Online website content]. Retrieved from http://www.iso.org/iso/about/discover-iso_examples-of-the-benefits-standards-provide.htm
- iSixSigma.com. (2009, April 29) New to Six Sigma [Online content provider for the Six SigmaCommunity]. Retrieved from http://www.isixsigma.com/six-sigma/six_sigma.asp
- Johnson, H. T., & Kaplan, R. S. (1987). Relevance lost – The rise and fall of management accounting. Boston, MA: Harvard Business School Press.
- Johnstone, D. B., Dye, N. S. & Johnson, R. (1998). Collaborative leadership for institutional change [Electronic version]. *Liberal Education*, 84(2).
- Kaplan, R. S., & Norton, D. P. (1992). The balanced scorecard – Measures that drive performance. *Harvard Business Review*, 70(1), 71-79.

- Kaplan, R. S., & Norton, D. P. (1993). Putting the balanced scorecard to work. *Harvard Business Review*, 71(5), 134-147.
- Kaplan, R. S., & Norton, D. P. (1996). *The balanced scorecard: Translating strategy into action*. Boston, MA: Harvard Business School Press.
- Kee, J. E., & Newcomer, K. E. (2008). Why do change efforts fail?: What can leaders do about it? *The Public Manager*, 37(3), 5-12. Retrieved from ABI/INFORM Global. (Document ID: 1592581511).
- Kennerley, M. & Neely, A. (2002). Performance measurement frameworks: A review. In Neely, A (Ed.), *Business performance measurement: Theory and practice*. (pp. 145-155). Cambridge, UK: Cambridge University Press.
- Kezar, A. (2005). Consequences of radical change in governance: A grounded theory approach. *The Journal of Higher Education*, 76(6), 634-668.
- Kezar, A., & Eckel, P. (2002). Examining the institutional transformation process: The importance of sensemaking, interrelated strategies and balance. *Research in Higher Education*, 43(3), 295-328.
- Klein, K. J. & Sorra, J. S. (1996). The challenge of innovation implementation. *Academy of Management Review*, 21(4), 1055-1080.
- Kimber, M., Barwick, M. & Fearing, G. (2012). Becoming an evidence-based service provider: Staff perceptions and experiences of organizational change. *The Journal for Behavioral Health Services and Research*, 39 (3), 314-332.
- Klein, K. J., & Sorra, J. S. (1996). The challenge of innovation implementation. *Academy of Management Review*, 21(4), 1055-1080.
- Kotter, J. P., & Heskett, J. L. (1992). *Corporate culture and performance*. New York, NY: The Free Press.
- Kramer, M. W., Dougherty, D. S., & Pierce, T. A. (2004). Managing uncertainty during a corporate acquisition. *Human Communication Research*, 30(1), 71-101.
- Kuo, H.-M. (2005). *Communication, culture, relationships, and collaboration between faculty and administrators in higher education*. (Unpublished doctoral dissertation.) Rutgers, The State University of New Jersey, New Brunswick, NJ.
- Lean.org (2010, January 11). Home Page. [Online website content.] Retrieved from <http://www.lean.org/>
- Levinson, D. J. (1978). *The seasons of a man's life*. New York, NY: Knopf.
- Lewin, K. (1946). Action research and minority problems. *Journal of Social Issues*, 2(4), 34-46.
- Lewin, K. (1951). *Field theory in social science*. New York: Harper & Brothers Publishers.
- Lewis, L. K. (1999). Disseminating information and soliciting input during planned organizational change: Implementers' targets, sources, and channels for communicating. *Management Communication Quarterly*, 13(1), 43-75. Retrieved from ABI/INFORM Global. (Document ID: 43697065).
- Lewis, L. K. (2000a). "Blindsided by that one" and "I saw that one coming": The relative anticipation and occurrence of communication problems and other problems in implementers' hindsight, *Journal of Applied Communication Research*, 28(1), 44-67.
- Lewis, L. K. (2000b). Communicating change: Four cases of quality programs. *The Journal of Business Communication*, 37(2), 128-155.
- Lewis, L. K. (2006). Employee perspectives on implementation communication as predictors of perceptions of success and resistance. *Western Journal of Communication*, 70(1), 23-46.
- Lewis, L. K. (2007). An organizational stakeholder model of change implementation

- communication. *Communication Theory*, 17, 176-204.
- Lewis, L. K. (2011). *Organizational change: Creating change through strategic communication*. Malden, MA: Wiley-Blackwell.
- Lewis, L. K., Hamel, S. A., & Richardson, B. K. (2001). Communicating change to nonprofit stakeholders: Models and predictors of implementers' approaches. *Management Communication Quarterly*, 15, 5 – 41.
- Lewis, L. K., & Russ, T. L. (2011). Soliciting and using input during organizational change initiatives: What are practitioners doing? *Management Communication Quarterly*, 26(2), 267-294.
- Lewis, L. K., & Seibold, D. R. (1993). Innovation modification during intraorganizational adoption. *Academy of Management Review*, 18, 322-354.
- Lewis, L. K., & Seibold, D. R. (1996). Communication during intraorganizational innovation adoption: Predicting users' behavioral coping responses to innovations in organizations. *Communication Monographs*, 63, 131 - 157.
- Lewis, L. K., Schmisser, A., Stephens, K., & Weir, K. (2006). Advice on communicating during organizational change: The content of popular press books. *Journal of Business Communication*, 43 (2), 1-25.
- Lindlof, T. R., & Taylor, B. C. (2002). *Qualitative communication research methods*. (2nd ed.). Thousand Oaks, CA: Sage Publications, Inc.
- Lippitt, R., Watson, J., & Westley, B. (1958). *Dynamics of planned change*. New York: Harcourt, Brace.
- Luckmann, T. (2008). On social interaction and the communicative construction of personal identity, knowledge and reality. *Organization Studies*, 29(02), 277-290.
- Lueddeke, G. R. (1999). Toward a constructivist framework for guiding change and innovation in higher education [Electronic version]. *The Journal of Higher Education*, 70(3), 235-260.
- Mallak, L. A., Bringelson, L. S., & Lyth, D. M. (1997). A cultural study of ISO 9000 certification. *International Journal of Quality & Reliability Management*, 14(4), 328-348.
- Merriam, S. B. (2009). *Qualitative research: A guide to design and implementation*. San Francisco, CA: Jossey-Bass.
- Miller, A., & Cioffi, J. (2004). Measuring marketing effectiveness and value: the Unisys marketing Dashboard. *Journal of Advertising Research*, 44(3), 237-243.
- Miller, J. G. (1965). Living systems: Basic concepts. *Behavioral Science*. 10(3), 193-237.
- Mohd, W. M. B. W., Embong, A. & Zain, J. M. (2010). A framework of Dashboard system for higher education using graph-based visualization technique. *Nephrology, Dialysis, Transplantation*, Part I, CCIS 87, 55-69.
- Mohrman, S. A., Mohrman, A. M. & Ledford, G. E. (1989). Interventions that change organizations. In A. M. Mohrman, S. A. Mohrman, G. E. Ledford, E. E. Lawler & Associates (Eds.), *Large scale organizational change*. San Francisco, CA: Jossey-Bass Inc., Publishers.
- Mokros, H. B. & Ruben, B. D. (1991). Understanding the communication-information relationship: Levels of information and contexts of availabilities. *Knowledge: Creation, Diffusion, Utilization*, 12(4), 373-388.
- Momentum, n. d. In *Merriam-Webster's online dictionary* (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/momentum>

- Moullin, M. (2002). *Delivering excellence in health and social care*. Buckingham, UK: Open University Press.
- Nadler, D. A. & Tushman, M. L. (1990). Beyond the charismatic leader: Leadership and organizational change. *California Management Review*, 32(2), 77-97.
- Neely, A. (1999). The performance measurement revolution: Why now and what next? *International Journal of Operations and Production Management*, 19(2), 205-228.
- Newcombe, J. P., & Conrad, C. F. (1981). A theory of mandated academic change. *The Journal of Higher Education*, 52(6), 555-577.
- Northeastern University, Task force on undergraduate education. (2005). *Transforming undergraduate education: Report of the task force on undergraduate education*. (Third printing.) Retrieved from <http://ur.rutgers.edu/ugtaskforce>
- Ogbonna, E., & Wilkinson, B. (2003). The false promise of organizational culture change: A case study of middle managers in grocery retailing. *Journal of Management Studies*, 40, 1151-1178.
- Orlikowski, W. J. (1993). The duality of technology: Rethinking the concept of technology in organizations. *Organization Science*, 3(3), 398-427.
- Orlikowski, W. J. & Yates, J. (1994). Genre repertoire: The structuring of Communicative practices in organizations. *Administrative Science Quarterly*, 39, 541-574.
- Orum, A. M., Feagin, J. R., & Sjoberg, G. (1991). Introduction: The nature of the case study. In A. M. Orum, J. R. Feagin, G. Sjoberg (Eds.), *A case for the case study*. Chapel Hill, NC: The University of North Carolina Press.
- Ottaway, R. N. (1983). The change agent: A taxonomy in relation to the change process. In M. Foster, L. Hilgendorf (Eds.), *Human Relations*, 36(1), p. 361-392.
- Outcome. (n.d.). In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/outcomes>
- Piderit, S. K. (2000). Rethinking resistance and recognizing ambivalence: A multidimensional view of attitudes toward an organizational change. *Academy of Management Review*, 25(4), 783 – 794.
- Poole, M. S. (2009). Adaptive structuration theory. In E. Griffin (Ed.), *A first look at communication theory*. (7th ed., pp. 235-246). New York: McGraw Hill.
- Poole, M. S., & DeSanctis, G. (1990). Understanding the use of group decision support systems. In J. Fulk & J. Steinfield (Eds.), *Organizations and Communication Technology*, Beverly Hills, CA: Sage, 173-193.
- Poole, M. S., & Van de Ven, A. H. (2004). *Handbook of organizational change and innovation*. New York: Oxford University Press.
- Porras, J. I. (1987). *Stream analysis*. Reading, MA: Addison-Wesley.
- Porras, J. I. & Berg, P. O. (1978). The impact of organization development. *Academy of Management Review*, 3, 249-266.
- Pride, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/pride>
- Process, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/process>
- Promote, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from <http://www.merriam-webster.com/dictionary/promote>
- Redundancy, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from

- <http://www.merriam-webster.com/dictionary/redundancy>
- Ruben, B. D. (1979). General system theory. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 95-118). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Ruben, B. D. (1983). A system-theoretic view. In W. B. Gudykunst (Ed.), *Intercultural Communication Theory* (pp. 131-145). Beverly Hills, CA: SAGE.
- Ruben, B. D. (1992). The communication-information relationship in system-theoretic perspective. *Journal of the American Society for Information Science*, 43(1), 15-27.
- Ruben, B. D. (2007a). Higher education assessment: Linking accreditation standards and the Malcolm Baldrige criteria [Electronic version]. *New Directions for Higher Education*, (137), 59-82.
- Ruben, B. D. (2007b, September 15, 2009). *Organizational assessment and outcomes measures*. [PowerPoint presentation]. The Center for Organizational Development and Leadership. Rutgers, The State University of New Jersey, New Brunswick, NJ.
- Ruben, B. D. (2008a). *Understanding, Leading and Planning Social and Organizational Change*. Washington, DC: National Association of College and University Business Officers.
- Ruben, B. D. (2009a). *Understanding, planning, and leading organizational change: Core concepts and strategies*. Washington, DC: National Association of College and University Business Officers.
- Ruben, B. D. (2009b). *Excellence in Higher Education Guide 2009: An Integrated Approach to Assessment, Planning and Improvement in Colleges and Universities*. Washington, DC: National Association of College and University Business Officers.
- Ruben, B. D. (2009c). *Excellence in Higher Education Workbook 2009: An Integrated Approach to Assessment, Planning and Improvement in Colleges and Universities*. Washington, DC: National Association of College and University Business Officers.
- Ruben, B. D. & Kim, J. Y. Eds. (1975). *General systems and human communication theory*. Rochelle Park, NJ: Hayden.
- Ruben, B. D., Lewis, L., Sandmeyer, L., Russ, T., Smulowitz, S., & Immordino, K. (2008). *Assessing the impact of the Spellings commission: The message, the messenger, and the dynamics of change in higher education*. Washington D.C.: National Association of Business Officers.
- Ruben, B. D., Russ, T., Smulowitz, S., & Connaughton, S. L. (2007). Evaluating the impact of organizational self-assessment in higher education: The Malcolm Baldrige/Excellence in Higher Education framework. *The Leadership & Organization Development Journal*, 28(3), 230-250.
- Ruben, B. D., & Smulowitz, S. (2007). *Core Communication*. San Francisco, CA: IABC.
- Ruben, B. D., & Stewart, L. P. (2006). *Communication and human behavior* (5th ed.). Boston, Massachusetts, Pearson Education.
- Salancik, G. R., & Pfeffer, J. (1978). A social information approach to job attitudes and task design. *Administrative Science Quarterly*, 23, 224-252.
- Sashkin, M. & Burke, W. W. (1987). Organization development in the 1980's. *Journal of*

- Management*, 13(2), 393-417.
- Schein, E. H. (1985). *Organizational culture and leadership*. San Francisco, CA: Jossey-Bass.
- Schneider, B. (1990). The climate for service: An application for the climate construct. In B. Schneider (Ed.), *Organizational climate and culture*. (pp. 383-412). San Francisco, CA: Jossey-Bass Publishers.
- Secundo, G., Margherita, A., Elia, G., & Passiante, G. (2010). Intangible assets in higher education research: Mission, performance or both? *Journal of Intellectual Capital*, 11(2), 140-157. doi10.1108/14691931011039651
- Self, J. (2003). From values to metrics: Implementation of the balanced scorecard at a university library. *Performance Measurement and Metrics*, 4(2), 57-73. doi:10.1108/14678040310486891
- Shapiro, D. L., Lewicki, R. J., & Devine, P. (1995). When do employees choose deceptive tactics to stop unwanted organizational change? *Research on Negotiation in Organizations*, 5: 155-184.
- Short Term, n. d. In *Merriam-Webster's* online dictionary (11th ed.). Retrieved from [http://www.merriam-webster.com/dictionary/short term](http://www.merriam-webster.com/dictionary/short%20term)
- Simsek, H., & Louis, K. S. (1994). Organizational change as paradigm shift: Analysis of the change process in a large, public university [Electronic version]. *The Journal of Higher Education*, 65(6), 670-695.
- Smith, A. G. (1979). Anthropology. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 57-70). Rochelle Park, New Jersey: Hayden Book Company, Inc.
- Smulowitz, S. M. (2006). When does culture really matter and to whom? *Intercultural Communication Studies*, 16(1), 1-13.
- Smulowitz, S. (2011). An interview with Brent D. Ruben, Ph.D., Rutgers University, New Jersey.
- Smulowitz, S. (2013). A review of the literature on planned organizational change in higher education versus industry. *Unpublished manuscript*.
- Stake, R. E. (2006). *Multiple case study analysis*. New York, NY: The Guilford Press.
- Stake, R. E. (1995). *The art of case study research*. Thousand Oaks, CA: Sage Publications, Inc.
- Standish Group. (2000). Extreme CHAOS. Retrieved from www.standishgroup.com/sample_research/index.php
- Susman, G. I., & Evered, R. D. (1978). An Assessment of the Scientific Merits of Action Research. *Administrative Science Quarterly*, 23 (4), 582-603
- Tannenbaum, R., Kallejian, V., & Weschler, I. R. (1954). Training managers for leadership. *Personnel*, 30, 1-8.
- Terry, D. J., Callan, V. J., & Sartori, G. (1996). Employee adjustment to an organizational merger: Stress, coping and intergroup differences. *Stress Medicine*, 12, 105-122.
- Thayer, L. (1968). *Communication and communication systems*. Homewood, IL: Irwin.
- Thayer, L. (1979). Communication: Sine qua non of the behavioral sciences. In R. W. Budd, B. D. Ruben (Eds.), *Interdisciplinary approaches to human communication*. (pp. 7-31). Rochelle Park, New Jersey: Hayden Book Company, Inc.

- Timmerman, C. E. (2003). Media selection during the implementation of planned organizational change: A predictive framework based on implementation approach and phase. *Management Communication Quarterly*, 16 (3), 301-340.
- Turner, J. C. (1975). Social comparison and social identity: Some prospects for intergroup behaviour. *European Journal of Social Psychology*, 5(1), 5-34.
- Trice, H. M., & Beyer, J. M. (1993). *The cultures of work organizations*. Upper Saddle River, NJ: Prentice Hall.
- Tromp, S. A., & Ruben, B. D. (2009). *Strategic planning in higher education: A leader's guide. Planning and Improvement in Colleges and Universities*. 2nd Ed. Washington, DC: NACUBO.
- U.S. Department of Education. (2006). *The Spellings Commission report*. Washington, DC: Department of Education.
- Vakkuri, J., & Meklin, P. (2003). The impact of culture on the use of performance measurement information in the university setting. *Management Decision*, 41(8), 751-759.
- ValueBasedManagement.net (2009, April 29). Kaizen philosophy and Kaizen method. Retrieved from http://valuebasedmanagement.net/methods_kaizen.html
- Watson, T. J. (1982). Group ideologies and organizational change. *Journal of Management Studies*, 19 (3), 259-275.
- Weick, K. E. (1976). Educational organizations as loosely coupled systems. *Administrative Science Quarterly*, 21, 1-19. Retrieved from <http://www2.johnson.cornell.edu/publications/asq/>
- Weick, K. E. (1979). *The social psychology of organizing*. (2nd ed.). Reading, MA: Addison-Wesley.
- Weick, K. E. (1995). *Sensemaking in organizations*. Thousand Oaks, CA: Sage.
- Weick, K. E. (2001). *Making sense of the organization*. Malden, MA: Blackwell Publishing.
- Weick, K. E., & Quinn, R. E. (1999). Organizational change and development. *Annual Review of Psychology*, 50, 361-386.
- Weisbord, M. R. (1987). Toward third-wave managing and consulting. *Organizational Dynamics*, 15(3), 5-24.
- Westley, B. H. & MacLean, M. S. (1970). A conceptual model for communications research. In K. K. Sereno & C. D. Mortensen (Eds.), *Foundations of Communication Theory* (pp. 103-107), New York, NY: Harper and Row Publishers.
- Wheatley, M. J., & Kellner-Rogers, M. (1998). Bringing life to organizational change. *Journal of strategic performance measurement*, April/May, 6-13.
- White, S. E. & Mitchell, T. R. (1976). Organization development: A review of research content and research design. *The Academy of Management Review*, 1(2), 57-73.
- Wiener, N. (1961). *Cybernetics: or control and communication in the animal and the machine*. New York, NY: MIT Press.
- Womack, J. P., & Jones, D. T. (2003). *Lean thinking: Banish waste and create wealth in your corporation*. New York, NY: Free Press.
- Yin, R. K. (1993). Case study research: Design and methods. 2nd Ed. In *Applied Social Research Methods Series*, Vol. 5, Thousand Oaks, CA: Sage Publications.
- Young, M., & Post, J. (1993). *Managing to communicate, communicating to manage:*

- How leading companies communicate with employees.
 Organizational Dynamics, 22 , 31-43
- Zorn, T., Christensen, L. T., & Cheney, G. (1999). *Do we really want constant change?*
 Beyond the bottom line series. San Francisco, CA Berrett-Koehler
 Communications Inc.
- Zumeta, W. M. (2011). What does it mean to be accountable? Dimensions and
 implications of higher education's public accountability. *Review of Higher
 Education*, 35(1), 131-148.

*"It must be considered that there is nothing more difficult to carry out, nor more doubtful of
 success, nor more dangerous to handle, than to initiate a new order of things."*

~ Niccolo Machiavelli, The Prince ~

Appendix A
Performance Measurement Strategies: Prevalent in Business & Industry

	Goal	Method	Level of Analysis	Timeframe	Pro	Con	Description
Balanced Scorecard	Report on four key areas progress: assist in strategic planning	Provide goals and measures for four key areas and monitor and adjust performance as needed.	Targets four key areas: customers, finances, internal business, innovation and learning	Continuous.	Provides method to align strategies to overall strategic plan.	No description of tactics to achieve plan.	Provide a system to look at the organizations overall progress in four key areas
Dashboard	Report on key area progress toward organizational goals	Determine areas, measure areas, report areas, analyze areas Make necessary adjustments/stay same in areas based on analysis	Can look at any number of areas as determined by organizational leaders. Can be organization-wide or department-wide.	Until measures are changed	Provides quick view of key areas	Too many area measures can be confusing	Key indicators of an organization's goals that can be viewed at a glance.
Six Sigma	Process Improvement: reduce/eliminate defects	Determine, Measure, Analyze, Implement, Control	Target specific area within the organization	Until the specific area meets its goals	Has proven track record of success	Can create silos in the organization	Quality standards and defect reductions: introduces a standard measurement and methodology for assessing org. progress
Lean	Continuous Improvement: eliminate waste	Determine value based on consumer wants, provide a map of the process with the least waste to achieve the value, create the workflow, move to the next waste elimination step.	Organization-wide effort.	Continuous.	Involves every employee allowing for buy-in and top-of-mind awareness and concern.	Keeping all employees up-to-speed is time consuming and can be costly.	Use continuous improvement to eliminate waste from the entire system while focusing on what is valued by your customers.

Kaizen	Continuous Improvement: bring change throughout the individual or organization.	Teamwork Personal Discipline Improved Morale Quality Circles Suggestions for Improvement	Can be used individually or at the organizational level.	Meant for long-term programs.	Good results in long-term programs with collective cultures.	Timeframe too long for many organizations.	Continuous improvement to eliminate waste and inefficiency, good housekeeping, and standardization.
MBNQA	Review, planning, continuous improvement: integrate into everyday life.	Self-assessment tool.	Can be used at the organizational, departmental or project level.	Continuous.	Self-assessment tool can be used at any level of analysis.	Implementation requires buy-in, time and resources from leadership.	Leadership, strategic planning, customer focus, measurement, analysis, knowledge management, workforce focus, process management, and results or outcome of product, customer, financial and market, workforce, process and leadership categories.

Appendix B
Performance Measurement Strategies: Prevalent in Higher Education

	Goal	Method	Level of Analysis	Timeframe	Pro	Con	Description
Excellence in Higher Education (EHE)	Review, planning, and continuous improvement are fundamental and should be integrated into everyday life.	Self-assessment tool.	Can be used at the organizational, departmental or project level.	Continuous.	Self-assessment tool can be used at any level of analysis.	Implementation requires buy-in, time and resources from leadership.	Stresses the importance of leadership, purpose and plans, beneficiaries and constituencies, programs and services, faculty/staff workplace, assessment and information use.
Academic Quality Improvement Program (AQIP)	Assist HLC members to retain accreditation and non-HLC members to continually improve.	Involves a structured set of goal-setting, networking, and accountability activities.	Primary focus is on learning.	Continuous.	Action project directory useful for benchmarking	All institutions in program required to notify HLC of many changes within organization – some prior to the change.	Based on 9 criteria: helping students learn, leading and communicating, valuing people building collaborative relationships, planning continuous improvement, supporting institutional operation, measuring effectiveness, understanding needs of students and other stakeholders, as well as accomplishing other distinctive objectives.
Middle States Commission on Higher Education (MSCHE)	Assist Middle States members to retain accreditation.	Self-reports, peer review visits and evaluator team report. Eight steps in all.	Primary focus is on teaching and learning.	Periodic.	Many institutions wait until they need to work on the self-report and find they are rushed to get through the process.	Consistency of evaluators not always equal.	Operates on 14 standards: mission, goals, objectives; planning, resource allocation, institutional renewal; institutional resources; leadership and governance; administration; integrity; institutional assessment; student admissions; student support services; faculty; educational offerings; general education; related educational activities; and assessment of student learning.
Association	Assist US	Various	Various.	Various	Many	Many	Based on 5 criteria: mission and integrity;

of American Colleges & Universities (AAC&U)	institutions in assessment and change needs.	programs.			programs.	programs.	preparing for the future; student learning and effective teaching; acquisition, discovery, and application of knowledge; engagement and service.
--	---	-----------	--	--	-----------	-----------	---

Appendix C
Research and Interview Question Grid

Summarizing Statement

One of the increasingly popular strategies for institutions of higher education to address the challenges for assessment, accountability and continuous improvement is the use of performance measurement. Performance measurement is a well-accepted and widely used tool in business but less so in higher education. This project studies the introduction and implementation of a specific performance measurement system, the “Dashboard,” as the planned organizational change from the perspectives of three levels of employees within the institution. In addition, this study seeks to understand the roles of communication and culture in facilitating and/or impeding this planned organizational change by examining the social interactions and realities of three levels of employees through an analysis of the meanings for each behind messages, artifacts and documents.

Senior Leadership

RQ1	How do three levels of employees of this planned change initiative--the introduction and implementation of an organizational performance measurement--think about and:	Corresponding Interview Questions
	A. understand the purpose of the initiative?	1. What led to your decision to use a Dashboard approach? 2. What goals did you think Dashboards might help you accomplish?
	B. assess the value of the initiative?	2. Why do you feel this is so important/worthwhile? 9. What value did the implementation of Dashboards bring to the individuals? To the departments? to the department of Undergraduate Education overall? To the university overall? -If so, what and how?
	C. assess the impact of the initiative on individual performance?	8. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i> 9. What value did the implementation of Dashboards bring to the

		<p>individuals? To the departments? to the department of Undergraduate Education overall? To the university overall? If so, what and how?</p> <p>11G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	D. assess the impact of the initiative on organizational performance?	<p>8. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i></p> <p>9. What value did the implementation of Dashboards bring to the individuals? To the departments? to the department of Undergraduate Education overall? To the university overall? -If so, what and how?</p> <p>11G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	E. assess the overall success of the initiative?	<p>10. As you have thought about the Dashboard initiative, do you believe it has been successful—before answering, it might be helpful if you could say a little about how you think success should be defined for an initiative like this.</p>
RQ2	How have the values, or issues of most importance and meaning, inherent in the culture played a role in this planned organizational change initiative with regard to member:	
	A. attitudes towards measurement	<p>7. Prior to the initiative what attitudes or opinions do you think the</p>

		<p>following groups had about measurement: -senior leaders? -department leaders? -other staff? -After the initiative what attitudes or opinions do you think the following groups had about measurement: -senior leaders? -department leaders? -other staff?</p> <p>11A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	B. motivation	<p>11B. When speaking about motivation, they usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had on workplace motivation? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	C. productivity	<p>11C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance. So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	D. organizational values	<p>11D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of values in those ways, what affect would you say that the initiative had on organizational values? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	E. aspirations	<p>11E. When speaking about aspirations, they usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>

	F. morale	11F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale? <i>Use scale of 1(no change) – 5 (extensive change)</i> Then ask follow up for more description of how in each.
	G. previous work habits	11G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change)</i> Then ask follow up for more description of how in each.
RQ3	What was the role of communication in facilitating and/or impeding this planned organizational change?	<p>3. What was/were the reaction or reactions to the introduction of the Dashboard measures:-by your fellow senior leaders? -by the department leaders? -by the other staff? -Please explain.</p> <p>4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain. <i>Show org chart to clarify senior leaders vs dept leaders vs other staff.</i>-senior leaders? -department leaders? -other staff?</p> <p>5. Who was most directly involved with both initiating and implementing the Dashboards into the departments, and what role(s) did each person play?</p> <p>6. How did you go about initiating and implementing the Dashboards into the departments (looking for both process – meetings, written, online, etc. – and timeline)? A) What steps did you undertake? B) What communication methods did you use to introduce and implement the Dashboards – such as meetings, memos, email, website, other media, etc.? Goals, theme/message/timing/frequency: <i>Use communication vehicle checklist.</i> C) How did you decide upon these messages/themes, timing,</p>

		<p>frequency, etc.? D) How did you decide which units would begin the Dashboard implementation in the first round, second round, etc. (Question for senior leaders only.)? E) Did the implementation of the Dashboards vary from department to department? If so, how and why do you think that was?</p> <p>12. What might you do differently if you were starting again? Why?</p>
Other		<p>13. It's important that I leave today with a complete and accurate understanding about your experience with the initiative. A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative? B) Would it be okay to contact you as I review my notes to check for accuracy? C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)</p>

Unit Heads

RQ1	How do three levels of employees of this planned change initiative--the introduction and implementation of an organizational performance measurement--think about and:	Corresponding Interview Questions
	A. understand the purpose of the initiative?	1. What goals do you think the administration wanted the Dashboard to accomplish? What goals, if any, did you want the Dashboard to accomplish?
	B. assess the value of the initiative?	1. What are your thoughts as to the importance of this initiative? 10. Did the implementation of Dashboards bring any meaning or significance to the university? To your department? to the department of Undergraduate Education overall? To the university overall? -If so, what and how?
	C. assess the impact of the initiative on individual performance?	9. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i> 10. Did the implementation of Dashboards bring any meaning or significance to the individuals? To your department? to the department of Undergraduate Education overall? To the university overall? If so, what and how? 12G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	D. assess the impact of the initiative on organizational performance?	9. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you

		<p>address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i></p> <p>10. Did the implementation of Dashboards bring any meaning or significance to the individuals? To your department? to the department of Undergraduate Education overall? To the university overall? -If so, what and how?</p> <p>12G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	E. assess the overall success of the initiative?	<p>5. Explain what it was like to be expected to use and lead the implementation of the Dashboard in your department. Did these expectations at any times conflict?</p> <p>11. As you have thought about the Dashboard initiative, do you believe it has been successful—before answering, it might be helpful if you could say a little about how you think success should be defined for an initiative like this.</p>
RQ2	How have the values, or issues of most importance and meaning, inherent in the culture played a role in this planned organizational change initiative with regard to member:	
	A. attitudes towards measurement?	<p>8. Prior to the initiative what attitudes or opinions do you think the following groups had about measurement: -senior leaders? -department leaders? -other staff? -After the initiative what attitudes or opinions do you think the following groups had about measurement: -senior leaders? -department leaders?-other staff?</p> <p>12A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you</p>

		think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	B. workplace motivation?	12B. When speaking about motivation, they usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had on workplace motivation? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	C. workplace productivity?	12C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance. So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	D. organizational values?	12D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of values in those ways, what affect would you say that the initiative had on organizational values? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	E. aspirations?	12E. When speaking about aspirations, people usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	F. morale?	12F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>

	G. previous work habits?	12G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
RQ3	What was the role of communication in facilitating and/or impeding this planned organizational change?	<p>2. What was your first reaction to the idea of Dashboards? Explain. Did this change over time?</p> <p>3. What was/were the reaction or reactions to the introduction of the Dashboard measures:-by the senior leaders in Undergraduate Education?-by your fellow department leaders? -by the other staff within your department?</p> <p>4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain. <i>Show org chart to clarify senior leaders vs dept leaders vs other staff.</i> -senior leaders? -department leaders? -other staff?</p> <p>5. Explain what it was like to be expected to use and lead the implementation of the Dashboard in your department. Did these expectations at any times conflict?</p> <p>6. Who was most directly involved with both initiating and implementing the Dashboards into the departments, and what role(s) did each person play?</p> <p>7. What was involved for you as the unit head and also from your perspective of the role(s) of the senior leaders and other staff with both initiating and implementing the Dashboards into your department (looking for both process – meetings, written, online, etc. – and timeline)? A) What steps did you undertake? B) What communication methods did you use to introduction and implement the Dashboards – such as department meetings, individual meetings (purpose, when, who attended, agenda for each), emails, websites, memos, other media and sources, etc.? Goals,</p>

		<p>theme/message, timing (<i>see communication vehicle chart</i>). C) How did you decide upon these messages or themes?</p> <p>13. What might you do differently if you were starting again? Why?</p>
Other		<p>14. It's important that I leave today with a complete and accurate understanding about your experience with the initiative. A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative? B) Would it be okay to contact you as I review my notes to check for accuracy? C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)</p>

DEPARTMENT STAFF

RQ1	How do three levels of employees of this planned change initiative--the introduction and implementation of an organizational performance measurement--think about and:	Corresponding Interview Questions
	A. understand the purpose of the initiative?	1. What goals do you think the administration wanted the Dashboard to accomplish?
	B. assess the value of the initiative?	1. What are your thoughts as to the importance of this initiative? 9. What value did the implementation of Dashboards bring to the individual -To the departments?-department of Undergraduate Education overall?-university overall? -If so, what and how?
	C. assess the impact of the initiative on individual performance?	8. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i> 9. What value did the implementation of Dashboards bring to the individual -To the departments? -department of Undergraduate Education overall?-university overall?-If so, what and how? 11G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits?
	D. assess the impact of the initiative on organizational performance?	8. How do you (or others) use the Dashboard – the process and the information it provides? -Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? <i>(Perhaps nothing was done – as the first question here is answered this next question may vary.)</i> 9. What value did the implementation of Dashboards bring to the

		<p>individual -To the departments?-department of Undergraduate Education overall?-university overall?</p> <p>-If so, what and how?</p> <p>11 G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) and None. Then ask follow up for more description of how.</i></p>
	E. assess the overall success of the initiative?	<p>10. As you have thought about the Dashboard initiative, do you believe it has been successful—before answering, it might be helpful if you could say a little about how you think success should be defined for an initiative like this.</p>
RQ2	How have the values inherent in the culture played a role in this planned organizational change initiative with regard to member:	
	A. attitudes towards measurement?	<p>7. Prior to the initiative what attitudes or opinions do you think the following groups had about measurement:-senior leaders?-department leaders?-other staff?-After the initiative what attitudes or opinions do you think the following groups had about measurement: -senior leaders? -department leaders?-other staff?</p> <p>11A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i></p>
	B. workplace motivation?	<p>11B. When speaking about motivation, they usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had</p>

		on workplace motivation? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	C. workplace productivity?	11C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance. So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	D. organizational values?	11D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of values in those ways, what affect would you say that the initiative had on organizational values? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	E. aspirations?	11E. When speaking about aspirations, they usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	F. morale?	11F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
	G. previous work habits?	11G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits? <i>Use scale of 1(no change) – 5 (extensive change) Then ask follow up for more description of how in each.</i>
RQ3	What was the role of communication in	2. What was your first reaction to the idea of Dashboards? Explain. Did

	facilitating and/or impeding this planned organizational change?	<p>this change over time?</p> <p>3. What was/were the reaction or reactions to the introduction of the Dashboard measures: -by the senior leaders? -by the department leaders? -by your fellow staff within your department?</p> <p>4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain.</p> <p><i>Show org chart to clarify senior leaders vs dept leaders vs other staff.</i>-senior leaders? -department leaders?-other staff?</p> <p>5. Who was most directly involved with both initiating and implementing the Dashboards into the departments, and what role(s) did each person play?</p> <p>6. What was involved with both initiating and implementing the Dashboards into your department (looking for both process – meetings, written, online, etc. – and timeline)?</p> <p>A) What was your role, if any? B) What communication methods were used to introduce and implement the Dashboards: Goals, theme, message, timing, and frequency (<i>use communication vehicle chart</i>).</p> <p>12. If you were in charge and starting again, what might you do differently? Why?</p>
Other		<p>13 It's important that I leave today with a complete and accurate understanding about your experience with the initiative. A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative? B) Would it be okay to contact you as I review my notes to check for accuracy? C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)</p>

Appendix D

Interview Guide for Initiators – **Senior Level Leadership**

Thank you for agreeing to participate in this interview. I'm doing a dissertation that will focus on how educational organizations are addressing the many challenges they face. I'm particularly interested in how "Dashboards" and other systems for assessing organizational activity are used. The goal of this interview is to discover how you think about and describe the way in which the Dashboards were introduced and implemented into the educational support service departments of career services, EOF, study abroad and upward bound. In addition, I would like to learn what you think were impediments or facilitators towards this introduction and implementation.

To begin with, can you tell me about the decisions and events that occurred with the introduction and implementation of the Dashboard, from the way the Dashboard was actually chosen to the way it was introduced, implemented and now functions within the departments using the Dashboard.

Probe to find out the following:

1. What led to your decision to use a Dashboard approach?
2. What goals did you think Dashboards might help you accomplish?
-Why do you feel this is so important/worthwhile?
3. What was/were the reaction or reactions to the introduction of the Dashboard measures:
 - by your fellow senior leaders?
 - by the department leaders?
 - by the other staff?
 -Please explain.
4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain.
Show org chart to clarify senior leaders vs dept leaders vs other staff.
 - senior leaders?
 - department leaders?
 - other staff?
5. Who was most directly involved with both initiating and implementing the Dashboards into the departments, and what role(s) did each person play?
6. How did you go about initiating and implementing the Dashboards in the departments (looking for both process – meetings, written, online, etc. – and timeline)?
 - A) What steps did you undertake?
 - B) What communication methods did you use to introduce and implement the Dashboards – such as department meetings, individual meetings (purpose, when,

who attended, agenda for each?), emails, websites, memos, other media and sources, etc.?

			Fdbk				
Communication Vehicle	To Dept Lead	To Othr Staff	To Sr Lead	Goals	Theme/Message	Timing	Frequency
Meetings Department Individual Roundtables Review Town Mtg Minutes							
E-Mails Group Individual							
Memo							
Web site							
Newsletters Electronic Paper							
Bulletin Boards Electronic Paper							
Flyers							
Videos Online Handheld							
Snail Mail Home Campus							
Surveys							
Telephone Individ Live Individ VM Group VM							
Grapevine							
Training							
Other							

C) How did you decide upon these messages/themes, timing, frequency, etc.?

D) How did you decide which units would begin the Dashboard implementation in the first round, second round, etc. (Question for senior leaders only.)?

E) Did the implementation of the Dashboards vary from department to department? If so, how and why do you think that was?

7. Prior to the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?
- department leaders?
- other staff?

-After the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?
- department leaders?
- other staff?

8 . How do you (or others) use the Dashboard – the process and the information it provides?

-Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? (*Perhaps nothing was done – as the first question here is answered this next question may vary.*)

9. What value did the implementation of Dashboards bring to the:

- individuals?
- departments?
- department of Undergraduate Education overall?
- university overall?

-If so, what and how?

10. As you have thought about the Dashboard initiative, do you believe it has been successful—before answering, it might be helpful if you could say a little about how you think success should be defined for an initiative like this.

11. *Use scale of 1(no change) – 5 (extensive change)*

Then ask follow up for more description of how in each.

A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement?

B. When speaking about motivation, people usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had on workplace motivation?

C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance. So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity?

D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of

values in those ways, what affect would you say that the initiative had on organizational values?

E. When speaking about aspirations, people usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations?

F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale?

G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits?

12. What might you do differently if you were starting again? Why?

13. It's important that I leave today with a complete and accurate understanding about your experience with the initiative.

A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative?

B) Would it be okay to contact you as I review my notes to check for accuracy?

C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)

Appendix E

Interview Guide for Initiators – **Unit Heads**

Thank you for agreeing to participate in this interview. I'm doing a dissertation that will focus on how educational organizations are addressing the many challenges they face. I'm particularly interested in how "Dashboards" and other systems for assessing organizational activity are used. The goal of this interview is to discover how you think about and describe the way in which the Dashboards were introduced and implemented into your department. In addition, I would like to learn what you think were impediments or facilitators towards this introduction and implementation.

To begin with, can you tell me about the decisions and events that occurred with the introduction and implementation of the Dashboard, from the way the Dashboard was introduced, implemented, and now functions in your department.

Probe to find out the following:

1. What goals do you think the administration wanted the Dashboard to accomplish?
 - What goals, if any, did you want the Dashboard to accomplish?
 - What are your thoughts as to the importance of this initiative?
2. What was your first reaction to the idea of Dashboards? Explain. Did this change over time?
3. What was/were the reaction or reactions to the introduction of the Dashboard measures:
 - by the senior leaders in Undergraduate Education?
 - by your fellow department leaders?
 - by the other staff within your department?
4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain.
 - Show org chart to clarify senior leaders vs dept leaders vs other staff.*
 - senior leaders?
 - department leaders?
 - other staff?
5. Explain what it was like to be expected to use and lead the implementation of the Dashboard in your department.
 - Did these expectations at any times conflict?
 - Where did you find facilitators as well as impediments to the implementation of the Dashboards?
6. Who was most directly involved with both initiating and implementing the Dashboards into your department, and what role(s) did each person play?

7. What was involved for you as the unit head and also from your perspective of the role(s) of the senior leaders and other staff with both initiating and implementing the Dashboards into your department (looking for both process – meetings, written, online, etc. – and timeline)?

A) What steps did you undertake?

B) What communication methods did you use to introduction and implement the Dashboards – such as department meetings, individual meetings (purpose, when, who attended, agenda for each), emails, websites, memos, other media and sources, etc.?

	Fdbk					
Communication Vehicle	To Dept Lead	To Othr Staff	To Sr Lead	Goals	Theme/Mess age	Timing
Meetings Depart Individual Roundtable Review Town Mtg Minutes						
E-Mails Group Individual						
Memo						
Web site						
Newsletters Electronic Paper						
Bulletin Boards Electronic Paper						
Flyers						
Videos Online Handheld						
Snail Mail Home Campus						
Surveys						
Telephone IndividLive Individ VM Group VM						
Grapevine						
Training						

Other						
-------	--	--	--	--	--	--

C) How did you decide upon these messages or themes?

8. Prior to the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?
- department leaders?
- other staff?

-After the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?
- department leaders?
- other staff?

9. How do you (or others) use the Dashboard – the process and the information it provides?

-Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? (*Perhaps nothing was done – as the first question here is answered this next question may vary.*)

10. Did the implementation of Dashboards bring any value to:

- the individuals?
- your department?
- the department of Undergraduate Education overall?
- the university overall?

-If so, what and how?

11. As you have thought about the Dashboard initiative, do you believe it has been successful—before answering, it might be helpful if you could say a little about

how you think success should be defined for an initiative like this.

12. Use scale of 1 (no change) – 5 (extensive change) and None.

Then ask follow up for more description of how in each.

A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement?

B. When speaking about motivation, people usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had on workplace motivation?

C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance.

So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity?

D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of values in those ways, what affect would you say that the initiative had on organizational values?

E. When speaking about aspirations, people usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations?

F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale?

G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits?

13. What might you do differently if you were starting again? Why?

14. It's important that I leave today with a complete and accurate understanding about your experience with the initiative.

A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative?

B) Would it be okay to contact you as I review my notes to check for accuracy?

C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)

Appendix F

Interview Guide for **Department Staff**

Thank you for agreeing to participate in this interview. I'm doing a dissertation that will focus on how educational organizations are addressing the many challenges they face. I'm particularly interested in how "Dashboards" and other systems for assessing organizational activity are used. The goal of this interview is to discover how you think about and describe the way in which the Dashboards were introduced and implemented into your department. In addition, I would like to learn what you think were impediments or facilitators towards this introduction and implementation.

To begin with, can you tell me about the events that occurred with the introduction and implementation of the Dashboard, from the way the Dashboard was introduced, implemented, and now functions within your department.

Probe to find out the following:

1. What goals do you think the administration wanted the Dashboard to accomplish?
-What are your thoughts about the importance of this initiative?
2. What was your first reaction to the idea of Dashboards? Explain. Did this change over time?
3. What was/were the reaction or reactions to the introduction of the Dashboard measures:
 - by the senior leaders?
 - by the department leaders?
 - by your fellow staff within your department?
4. Did you find that some colleagues in the following groups were either overly resistant or highly enthusiastic when the Dashboard idea was introduced and implemented? How many? How so? Please explain.
Show org chart to clarify senior leaders vs dept leaders vs other staff.
 - senior leaders?
 - department leaders?
 - other staff?
5. Who was most directly involved with both initiating and implementing the Dashboards into your department, and what role(s) did each person play?
6. What was involved with both initiating and implementing the Dashboards into your department (looking for both process – meetings, written, online, etc. – and timeline)?
 - A) What was your role, if any?
 - B) What communication methods were used to introduce and implement the Dashboards:

Communication Vehicle	To Dept Lead	To Other Staff	To Sr Lead	Goals	Theme/ Message	Timing	Frequency
Meetings Department Individual Roundtables Review Town Mtgs Minutes							
E-Mails Group Individual							
Memo							
Web site							
Newsletters Electronic Paper							
Bulletin Boards Electronic Paper							
Flyers							
Videos Online Handheld							
Snail Mail Home Campus							
Surveys							
Telephone Individ Live Individ VM Group VM							
Grapevine							
Training							
Other							

7. Prior to the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?
- department leaders?
- other staff?

-After the initiative what attitudes or opinions do you think the following groups had about measurement:

- senior leaders?

- department leaders?
- other staff?

8. How do you (or others) use the Dashboard – the process and the information it provides?

-Before you had the Dashboards, how did you address these issues or uses you say the Dashboard currently provides? (*Perhaps nothing was done – as the first question here is answered this next question may vary.*)

9. What value did the implementation of Dashboards bring to the:

- individuals
- departments?
- department of Undergraduate Education overall?
- university overall?

-If so, what and how?

10. As you have thought about the Dashboard initiative, do you believe it has been successful – before answering, it might be helpful if you could say a little about how you think success should be defined for an initiative like this.

11. Use scale of 1(*no change*) – 5 (*extensive change*) and *None*.

Then ask follow up for more description of how in each.

A. When people talk about attitudes towards measurement, they usually speak about the disposition or opinion of themselves or others. So as you think of attitudes towards measurement in those ways, what affect would you say that the initiative had on attitudes towards measurement?

B. When speaking about motivation, people usually talk about the inner drive of an individual or group of employees. So as you think of motivation in those ways, what affect would you say that the initiative had on workplace motivation?

C. Typically, as people talk about organizational productivity, they usually speak about the way people work – the quantity, quality, and overall performance. So as you think of productivity in those ways, what affect would you say that the initiative had on workplace productivity?

D. When people talk about values, they usually speak about the worth, merit, significance, meaning, or importance of their actions. So as you think of values in those ways, what affect would you say that the initiative had on organizational values?

E. When speaking about aspirations, people usually talk about ambition. So as you think of aspirations in that way, what affect would you say that the initiative had on employee aspirations?

F. Typically, as people talk about employee morale, they usually speak about one's mental condition with respect to enthusiasm, confidence, etc. So as you think of employee morale in those ways, what affect would you say that the initiative had on employee morale?

G. When people talk about previous work habits, they usually speak about the manner in which they went about their daily tasks and routines. So as you think of previous work habits in those ways, what affect would you say that the initiative had on those previous work habits?

12. If you were in charge and starting again, what might you do differently? Why?

13. It's important that I leave today with a complete and accurate understanding about your experience with the initiative.

A) Is there anything else you feel I should know that would help me get an accurate picture of the introduction, implementation and use, and value of the Dashboard initiative?

B) Would it be okay to contact you as I review my notes to check for accuracy?

C) Also, you are more than welcome to contact me at any time if you have further information. (Hand them business card.)