Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study

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Anita Cook Hazelwood

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Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study

Anita Cook Hazelwood

APPROVED:

Dianne F. Olivier, Chair Associate Professor of Educational Foundations and Leadership	William R. Fossey Professor of Educational Foundations and Leadership
Jennifer Sughrue Professor of Educational Leadership and Technology Southeastern Louisiana University	Mary Farmer-Kaiser Dean of the Graduate School

DEDICATION

Everything I have accomplished in my life has been with the full love and support of my family. My mother and father instilled in their children the importance of education, and this dissertation journey would not have been possible without their guidance throughout my life. Although I lost my father many years before I began this journey, his vision for me was a guiding force in my life.

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I can't thank my three siblings enough for their help. Ellen bullied me into starting this program with her, and I am very glad that she did. She made the challenging patches much easier. I know I couldn't have finished without her! Thanks to Kathy for helping out with Mom, my kids, and grandkids and taking on some of the roles that I could not! And thank you, Kathy, for being supportive of this crazy idea that your two sisters had. The three Cook girls have done pretty well for themselves! My brother, Bert, is a ray of sunshine in all of our lives and can bring laughter and joy to any situation; I needed that a lot, and he was always there for me. My siblings and I are extraordinarily close, and I can't imagine my life without each of them in it. I love you all.

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CHAPTER ONE: INTRODUCTION

Overview

Mergers and consolidations within the higher education sector are "relatively rare occurrences and each merger has a distinct set of circumstances, actors, and characteristics" (Etschmaier, 2010, p. 1). Researchers describe the merger process through a variety of models, characteristics, and steps. Martin and Samels (1994) noted that mergers are a response to growth and change in higher education referring to the potential as "mutual-growth strategy" (p. ix). They further defined an academic merger as "a creative opportunity to combine significant and powerful educational resources and academic cultures" (p. 5). According to Etschmaier (2010),

> Some leaders in higher education in the U.S. today are speculating that there may be an increase in the number of mergers as colleges struggle with the increasing market pressures of small endowments, competition for the best students, an economic recession, and limited availability of financial aid. (p. 3)

Statement of the Problem

In the current challenging environment, colleges and universities face a variety of pressures, most notably, lack of financial support. One response to these financial challenges is a merger of two or more institutions. Another term that is used synonymously is consolidation. These terms are used interchangeably in this research. State governing boards and higher education administrators face the difficult problem of how to successfully accomplish such mergers due to the complex issues involved. In examining the literature on institutions of higher education as they undergo reorganization thru merger, it is clear that research in this unique area of change management is limited. Through the research

conducted, decision-making and leadership exhibited during the stages of the merger and the role of culture will be examined. Finally, the components of the resulting culture will be evaluated.

Background

Selected literature on mergers provides guidelines for a successful merger. Eastman and Lang (2001) described *process* steps - informal gatherings, compiling of information, convening of work groups, and finally, completing the merger agreement—and *substantive* steps, those by which the features of the merged institution are determined, such as establishing the administrative structure of the new institution, making personnel decisions, developing a budget framework to guide financial decisions, and academic planning. Habeck, Kroger, and Tram (2000) suggested seven rules of successful post-merger integration: clear vision, strong leadership, growth, early wins without exaggeration, accurately addressing cultural differences, honest communication, and proper risk management. Swanepoel (2003) offered eight similar success factors: preparation, support and stability, complementary missions, communication, honesty, leadership, understanding cultural issues, and visible and strong management.

Jansen (2003) identified seven clear guidelines that emerged from five higher education studies suggesting conditions under which mergers could be successful:

1. A strong and reliable institutional leadership whose authority is respected across the various institutions concerned, including government and the two institutions targeted for merger;
2. A strong and verifiable financial position on the part of the entity being merged – the stronger the entity (small or large) being merged in terms of

financial resources, the greater its capacity to negotiate a favorable position for its staff, students, and curriculum;

3. A strong and strategic leadership that, having accepted the broad macro-political arrangements for incorporation, then decides to deploy its energy and resources for optimal positioning of its staff, students, and curriculum in the merged entity;
4. A strong and reliable student enrollment, which, together with other factors, creates a favorable basis for negotiations, especially if the other entity has fewer students or worse, declining numbers of students at the time of the merger discussions;
5. A strong and loyal staff complement whose commitment and participation is ensured and sustained by the institutional leadership throughout the merger process;
6. A well-planned and well-timed merger implementation that proceeds at an appropriate period of time in the lifecycle of one or more of the partner institutions; and
7. A strong and interventionist government that intervenes proactively, decisively, and appropriately to ensure that the merger process stays on track, especially in times where the proposed merger threatens to disintegrate. (p. 49)

Millet (1976) suggested that "Merger is a more complicated business than many persons in higher education have thus far been disposed to expect" (p. 5).

Institutional mergers require well-planned and strategic organizational change (Ohman, 2011; Schein, 2010; Weber & Camerer, 2003). Part of that change includes an examination of organizational culture and the process of acculturation. Culture becomes increasingly important when mergers between institutions of higher education take place. While there has been research on various aspects of higher education mergers (strategic management, politics, and theory and practice) there has been little on the process of integrating institutional cultures. Yet Eastman and Lang (2001) believed that "Given the collective power and the individual autonomy enjoyed by faculty members, and the extent to which institutional success depends on their performance and achievement, it is especially important to attend to the human side of higher education mergers" (p. 176).

Existing research supports the view that merging divergent cultures is a challenge (Buono & Bowditch, 1989; Hagberg Consulting Group, 2002; Harman 2002; Martin & Samels, 1994; and Selingo, 1999). "Understanding different cultures and where and how to integrate them quickly is vital to the success of an acquisition or a merger" (Hagberg Consulting Group, 2002, p. 1). Devoge and Shiraki (2000) submitted that in mergers, the people factors were the most poorly handled and received less attention than financial and technical issues, although this should have been just as important as the others. Buono and Bowditch (1989) believed:

> The full potency of organizational culture can be seen during a merger or acquisition when two disparate cultures are forced to become one . . . organizations that may appear to be highly compatible on the surface and that seemingly should be able to achieve valuable merger synergies can have underlying cultural differences that seriously threaten their

> integration.…Organizations' members are usually so embedded in their own culture prior to major organizational changes that they rarely fully realize its influence on their behavior. (p. 142)

Pritchard and Williamson (2008) determined that "The degree of integration achieved by mergers is highly variable. Sometimes the merger of institutions will lead to a genuinely unitary culture with a shared ethos, whereas in other cases it will result in a pseudo culture or conflicting subcultures" (p. 51).

Compounding the challenge is that the degree of assimilation among institutions is variable (Appelbaum, 2000; Buono & Bowditch, 1989; Millett, 1976; Pritchard & Williamson, 2008; Stybel, 1986). This integration of cultures takes time to fully accomplish. Researchers have estimated varying time periods for full integration: three to five years (Walter, 1985), five to seven years (Appelbaum, 2000; Stybel, 1986), and ten years or longer (Buono & Bowditch, 1989; Millett, 1976). Pritchard and Williamson (2008) examined the merger between New University of Ulster and Ulster University in Ireland and found after twenty-two years, the merged Northern Ireland's University of Ulster was still exhibiting cultural issues.

Purpose of the Study

Research in the area of change management in higher education, especially in regard to mergers, is limited. As mergers are becoming a viable response to the challenging environment in higher education, research into the processes and results of mergers is important. The overarching research question directing this study was, *What roles do leadership, change management, and culture play in mergers between institutions of higher*

education? Through the research conducted, decision-making and leadership exhibited during the stages of the merger as well as the role of culture were examined.

The purpose of this study was to: (a) ascertain the reasons that prompted the merger of two institutions of higher education; (b) identify the characteristics of the change process and how the process influenced the response to change by the faculty, staff, and students of the merging institutions; (c) examine the role of the leaders in facilitating the merger; (d) determine the extent to which organizational culture played a part in the merger; and (e) identify the evolving organizational culture. To properly frame this study, it was appropriate to examine the history of mergers both in the corporate world and in higher education, looking specifically at the reasons for merger, the types of mergers, and to give some examples of successes and failures in mergers. To understand the effect of culture on merging institutions, the various definitions of culture were explored including the differentiation between culture and climate. Several models of culture were examined and the stages and modes of acculturation were reviewed.

Significance of the Study

Given the economic conditions in higher education, interest in mergers is growing and this case study on mergers, change management, leadership, and the cultural assimilation of the individuals involved in the merger will be of value to state boards of education, policy-makers within the states, and higher administration in colleges and universities across the nation.

As the literature supports, culture is arguably the most powerful component of successful organizations. According to Cameron and Quinn (2006), "Virtually every leading firm you can name, small or large, has developed a distinctive culture that is clearly

identifiable by its employees" (pp. 4-5). Many noted scholars have recognized the effect that culture has during a merger process in organizations and institutions of higher education. However, there are few studies that examine how acculturation occurs after a merger in higher education.

Conceptual Framework

The study examined the roles that leadership, change management, and culture played in the successful merger of two institutions of higher education. To properly frame this study, it was appropriate to examine the history of mergers both in the corporate world and in higher education, looking specifically at the reasons for merger, the types of mergers, and to give some examples of successes and failures in mergers.

A merger is certainly a type of organizational change, so it must be examined from the standpoint as the type of change, the level of change, and what conceptual model is most appropriate in understanding and implementing the change. Another important concept to study is the individual's response to change and the various stages of concern that are experienced by the individuals affected by the change.

The perception of culture, according to many researchers (Buono & Bowditch, 1989; Devoge & Shiraki, 2000; Eastman & Lang, 2001; Habeck, Kroger & Tram, 2000; Hagberg Consulting Group, 2002; Pritchard & Williamson, 2008), is the most important concept to consider when considering merging of institutions. To understand the effect of culture on merging institutions, the various definitions of culture were explored. Several models of culture were studied as well as the stages and modes of acculturation. When two institutions merge, there are a number of possible scenarios for the resulting culture. The extensive

literature review in Chapter Two describes many of these and specifically examines post-merger results in education.

As this study examines a consolidation just one year post-consolidation, it is more appropriate to consider the *evolving* culture rather than to expect a new culture. Figure 1 graphically describes the merger process, the components of the merger, and the resulting change in culture.

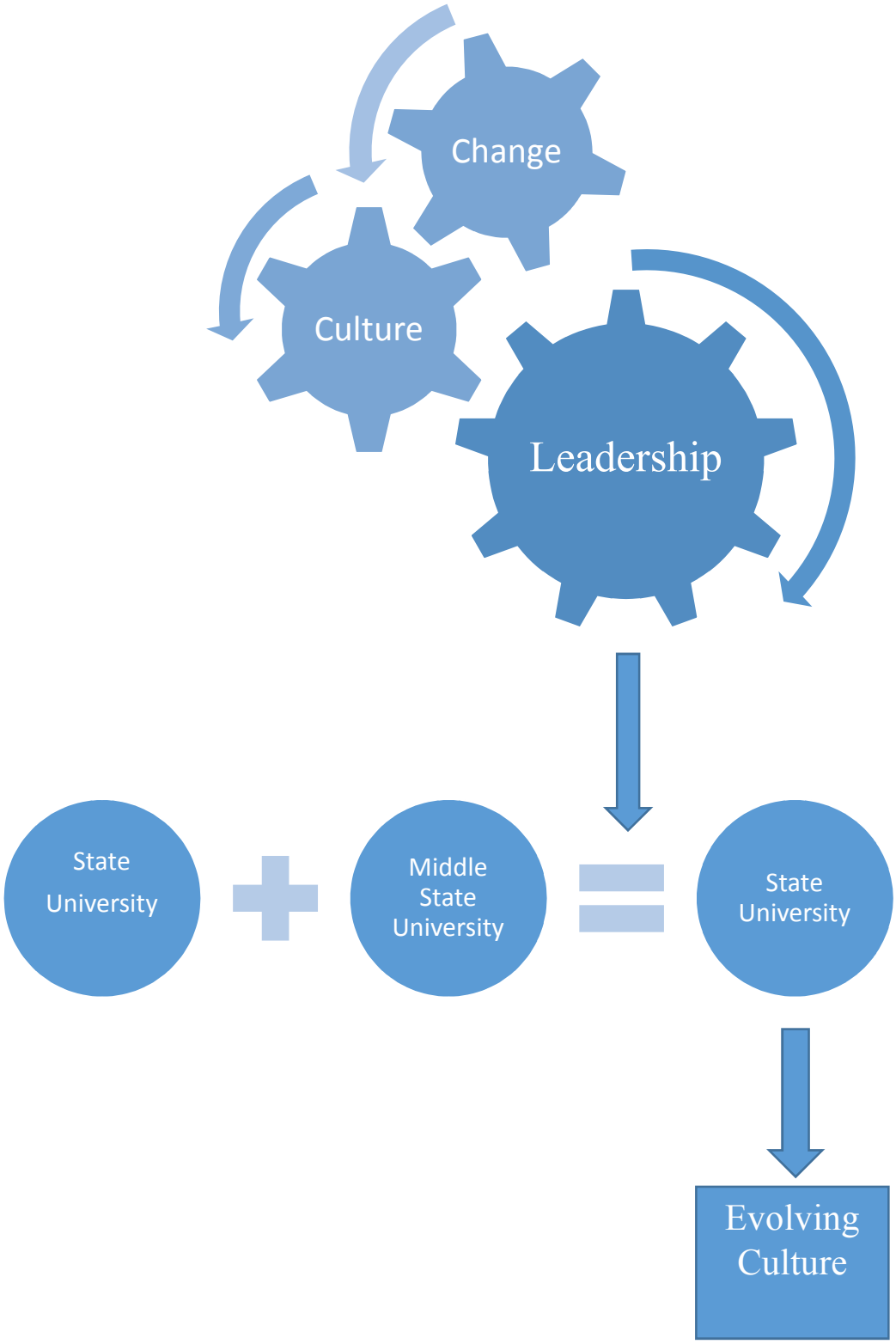
Research Questions

The research questions developed for this study reflected the effort to assess organizational change in relation to a merger between two universities, the use of change models to advance the merger, the role of leadership in facilitating the change, and the role that culture plays in any change. Finally, the research questions attempted to evaluate the predominant culture in the newly-merged university.

Research Question 1: What were the major reasons leading to the consolidation between State University and Middle State University?

Rationale: As state and private funding to American universities decreases, many of these institutions are looking at mergers and consolidations as a means of reaching an efficient economy of scale. While there are other reasons for mergers and consolidations including diversity, desire for a competitive advantage, accreditation issues, and academic issues, the need for increased funding remains the most predominant reason for mergers. This study examined the consolidations that took place in State A and identified the reasons for those mergers.

Figure 1. Conceptual Framework



Research Question 2: What were the characteristics of the change process and the impact on the re-organization of the institutions?

Rationale: Stichler (2011) opined that "Change in individuals or an organization is rarely easy; it's complex, chaotic and convoluted" (p. 166). Several change theories have been proposed that identify the phases of change and individual's responses to change. Recognizing the phases of change will expedite the change process. This study sought to determine what phases of change the faculty and staff navigated as well as the stages of concern throughout the process.

Research Question 3: How did the leadership within each organization facilitate the change management process?

Rationale: The research suggests that mergers are revolutionary or transformational changes and, as such, require strong leadership to effectively change and transform the individuals of an institution. Chipunza and Gwardina (2010) posited "Leaders who play transformational leadership roles in the merger will be able to promote risk-taking behaviours among followers and mobilize resources towards followers in an effort to produce the desired level of effort for success" (pp. 2-3).

Research Question 4: What role did organizational culture play during the merger of the institutions?

Rationale: The research strongly suggests that organizational culture may be one of the most important components of an organization's workforce and the most difficult component to address during the merger process. This study sought to ascertain the predominant culture in the individual institutions prior to merger and to identify the subsequent culture in the combined university.

Research Question 5: What was the nature of the evolving culture following the merger of the two institutions?

Rationale: According to Cartwright and Cooper (1993), "When two societal cultures come together, anthropologists use the term acculturation to describe the resultant process of contact, conflict and adaptation" (p. 65). There are specific stages that can be recognized as the process of acculturation begins. This study sought to ascertain the evolving stage of the acculturation at the new State University.

Conceptual and Operational Definitions

The following section offers conceptual and operational definitions for the major constructs identified in the conceptual review.

Acculturation

Conceptual Definition

The process following a merger of contact, conflict and finally, adaptation. (Cartwright & Cooper, 1993).

Operational Definition

Acculturation will be operationally defined through interviews as well as through observations of the campus and artifacts.

Change process management

Conceptual Definition

"Process has to do with how the change is planned, launched, more fully implemented, and once into implementation, sustained" (Burke, 2014, p. 23).

Operational Definition

Change process management will be operationally defined through the interviews with faculty, staff and administration.

Organizational culture

Conceptual Definition

Although there are numerous definitions of culture all are similar, in that, the culture revolves around an individual's beliefs, values, and norms.

Operational Definition

The pre-merger cultures will be defined through the interviews with faculty, staff, and administration. The post-merger culture will be defined through interviews as well as observations from the State University campus.

Transformational leadership

Conceptual Definition

A process that changes and transforms people. It is an exceptional form of influence that moves followers to accomplish more than what is usually expected of them (Northouse, 2013, p. 185).

Operational Definition

Leadership styles including transformational leadership will be operationally defined through interviews with faculty, staff, and administration.

Key Terms

Academic merger – "A creative opportunity to combine significant and powerful educational resources and academic cultures" (Martin & Samels, 1994, p. 5).

Case Study – "The in-depth study of instances of a phenomenon in real-life settings and from the perspective of the participants involved in the phenomenon" (Gall, Gall, & Borg, 2007, p. 634).

Consolidation – used synonymously with merger.

Revolutionary Change – Large scale or deep organizational change (Burke, 2014).

Assumptions

Data collection included a review of documents, observations and interviews. The following assumptions were made in data collection and data analysis:

1. The participants will respond candidly, honestly, and thoughtfully;
2. The participants in the study will agree to participate fully;
3. The perceptions of the participants will be valid and reliable;
4. The participants will understand the questions as asked and will ask for clarification as needed; and
5. Reviewed documents will be accurate and unaltered.

Limitations and Delimitations

This research is a case study on the culture of merged institutions of higher education limited to the newly-merged State University. While eight other institutions of higher education merged in State A (a pseudonym) over the past few years, this study carefully examined only one of the mergers in order to create a rich, detailed description of the change process at State University and Middle State University. Administrators, full-time faculty, and staff of the two merged institutions were included in this study. Data was collected in the summer of 2016.

There were, of course, limitations present in this study. As with many qualitative investigations, this research was conducted with a small pool of participants; therefore, it cannot necessarily be applied to other settings or other mergers. However, the findings of this study can be used to better understand and explain the experiences and perceptions of the participants involved in this research.

Chapter Summary

Mergers among and within institutions of higher education are one of the responses to the current challenging landscape of higher education. These mergers represent the highest level of change - that is, revolutionary change. Culture is an important component of the change process and often leads to the success or failure of a merger. Chapter One placed the study in the context of educational research, presented the problem statement, research questions with rationales, and explained the conceptual framework for this study on mergers in higher education. This conceptual framework is derived from the literature review presented in Chapter Two and guides the development of the research questions and their rationale. Conceptual and operational definitions are also included in Chapter One.

CHAPTER TWO: REVIEW OF LITERATURE

Introduction: Current State of the United States Higher Education System

According to the Organization for Economic Cooperation and Development's (OECD) *Education at a Glance 2014,* the United States currently ranks 5th in tertiary education attainment among the major industrialized countries; alarmingly, several countries are trailing closely behind (OECD, 2014). This is an improvement from its ranking in 2005 which prompted Margaret Spellings, then U.S. Secretary of Education, to commission a report on the future of U.S. higher education. She asked that the commission examine four main issues related to higher education: access, affordability, quality, and accountability. Regarding the issues of cost and affordability, the commission found the following:

> Our higher education financing system is increasingly dysfunctional. State subsidies are declining; tuition is rising; and cost per student is increasing faster (Education, 2006) than inflation or family income. Affordability is directly affected by a financing system that provides limited incentives for colleges and universities to take aggressive steps to improve institutional efficiency and productivity. (A Test of Leadership, 2006, p. 10)

The report identified other issues relating to cost and affordability. From 1996 through 2005, the average tuition and fees rose 36% at private four year colleges and universities, 51% at public four-year institutions, and 30% at community colleges. In part, this was due to reduced state funding; however, increased spending by the institutions resulted in higher costs. The report also found that colleges and universities were reluctant to contain costs for fear of losing prestige or academic reputations (A Test of Leadership, 2006).

According to the Condition of Education (2015), tuition has increased 39% from 2002-2003 through 2012-2013 in public institutions and 27% for the same time period in private non-private institutions. This is due to decreased funding from the state governments.

However, as the country begins to climb out of the recession, many states have restored some of the budget cuts that were made to higher education. Forty-two states have increased funding by about 7.2% per student. Unfortunately, eight states (Pennsylvania, Arkansas, North Carolina, Wisconsin, Kansas, Louisiana, West Virginia, and Wyoming) continue to cut higher education budgets, and even with restored funding, almost all states are still below pre-recession levels. Alaska and North Dakota are the only two states that are spending more per student than before the recession.

Universities are forced to respond to state budget cuts with major institutional changes. The funding cuts have led to higher tuition as stated above, personnel layoffs, and decreases in services. Public universities have cut faculty positions, closed campuses, limited computer labs, decreased library hours, readjusted work weeks, and eliminated course offerings. The University of North Carolina at Chapel Hill cut 16,000 course seats, eliminated 493 positions, increased class sizes, eliminated two distance learning centers, and cut computer labs from seven to three (Mitchell, Palacios, & Leachman, 2014).

There are other examples: (a) The University of Florida cut 261 positions for full-time tenure and tenure-track faculty while adding part-time and non-tenure track positions; (b) Louisiana State University eliminated 1,021 full-time equivalent positions; (c) Colorado State University at Fort Collins cut more than 355 faculty and staff positions; (d) Arizona's university system cut more than 2,100 positions and consolidated 183 colleges, schools, programs and departments; (e) the University of Akron in Ohio eliminated 150 positions; (f)

West Virginia University fired thirteen employees and did not fill more than 100 positions; (g) in October 2014, the University of Southern Maine cut fifty faculty members and eliminated two academic programs to balance its budget; and (h) the University of North Carolina at Greensboro eliminated 390 class sections, or about 6% of its course offerings, to counteract a $4 million budget cut (Mitchell & Leachman, 2015; Mitchell, Palacios, & Leachman, 2014).

America's colleges and universities are experiencing decreased state support, rising costs of educating students, competition among institutions, and calls for accountability and affordability from the public. Institutions are being required to do more with less resources and support.

Responses to Challenges in Higher Education

Universities are forced to respond to state budget cuts with major institutional changes. One of the more extreme responses to financial problems in higher education are mergers (Harman & Harman, 2008). Carlson (2015) stated that given the financial challenges facing higher education, a greater number of mergers was expected particularly in the Midwest and the Northeast. According to Rick Staisloff, a financial consultant for higher education mergers, "There is certainly not an explosion of mergers and alliances happening. However, we are certainly seeing more activity around mergers, consolidations, alliances and consortiums" (Carlson, 2015, p. A8). Carlson (2015) posited that "One reason it's hard to gauge the level of interest in potential mergers is that colleges remain quiet about it, given the sensitivities" (p. A8). Ribando and Evans (2015) agreed that "Faced with conflicting pressures of ensuring access and budget reductions, along with a backlash over increasing tuition, fees and skyrocketing student debt, public colleges and universities have intensified

their focus on finding new ways to generate income and cut costs" (p. 100). Mergers are an option being considered by some institutions of higher education.

Institutional Mergers

Eastman and Lang (2001) defined a merger as "two or more institutions combine to form a new single organization with a single governing body and chief executive" (p. 17). The authors elaborated on the definition with the following specific descriptors of a merger:

1. At least one institution and potentially all merging institutions relinquish autonomy and separate legal identities;
2. All assets, liabilities, legal obligations, and responsibilities of the merging institutions are transferred to a single successor institution; and
3. Mergers are virtually impossible to reverse. (Eastman & Lang, 2001, p. 17)

Mergers are more commonly found in the business sector, and while they are generally perceived as good business strategy by employees, consumers, and stockholders, research shows that the majority of mergers have mediocre to poor results (Carleton & Lineberry, 2004; Etschmaier, 2010; Fubini, Price & Zollo, 2007; Marks & Mirvis, 2001; Steelman, 2009; Weber & Camerer, 2003). Marks and Mirvis (2001) posited that "Fewer than one quarter of mergers and acquisitions achieve their financial objectives, as measured in ways including share value, return on investment, and postcombination profitability" (p. 80), while Etschmaier's (2010) research showed a greater than 50% failure rate based on financial results. Weber and Camerer (2003) offered a similar prediction referencing falling stock prices, lower profitability, high turnover, and selling off of acquired assets as consequences of mergers. Ohman (2011) suggested that the framework of corporate mergers would be applicable to mergers among higher educational institutions. As with corporate

mergers, there is a concern for sustainability and productivity post-merger (Martin & Samels, 1994).

Mergers in Higher Education

Martin and Samels (1994) defined an academic merger as "A creative opportunity to combine significant and powerful educational resources and academic cultures as well as books, microscopes, and sports equipment" (p. 5). Harman and Harman (2008) defined a full merger as

> The combination of two or more separate organizations, with overall management control coming under a single governing body and single chief executive. Normally all assets, liabilities and responsibilities of the former institutions are transferred to either a continuing institution or to a new institution. (p. 105)

History of Mergers

There is a long history of mergers among and within higher education institutions (Brown & Humphries, 2003; Goedegebuure, 1992; Harman & Harman, 2008; Harman & Meek, 1998; Jansen, 2002; Lang, 2002a; Lang, 2002b; Locke, 2007; Ribando & Evans, 2015; Rowley, 1997; Schoole, 2005; Stephenson, 2011). According to Ahmadvand, Heidari, Hosseini, and Majdzadeh (2012), "Hundreds of universities and colleges in different countries have recently undergone merger processes. We specifically located merger experiences in China, the United States of America, Norway, South Africa, Germany, and Hong Kong" (p. 737). Harman and Harman (2008) posited that "Over the past four decades, mergers became an increasingly common phenomenon across many higher education systems, particularly as higher education provision rapidly expanded and governments looked for cost savings and ways to build stronger degree-awarding institutions" (p. 102).

From the 1960s through the 1990s, there were several notable mergers in the United States: Carnegie Institute of Technology merged with the Mellon Institute of Industrial Research to become Carnegie Mellon University; Iona College in New Rochelle merged with Elizabeth Seton College; the Delaware Law School and Boston State College merged with the University of Massachusetts Boston; and Mercy College merged with the University of Detroit to become the largest private Catholic university in Michigan (Etschmaier, 2010; Harman & Harman, 2008).

Internationally, there were numerous mergers, particularly in the United Kingdom, Norway, the Netherlands, and China. The United Kingdom experienced almost fifty mergers in higher education from 1992–2006. Norway consolidated ninety-eight vocational colleges into twenty-six state colleges, the Netherlands consolidated its 350 colleges to fifty-eight colleges in the 80s and 90s, and China merged some 207 universities into eighty-four universities (Harman & Harman, 2008).

Martin and Samels (1994) had predicted that there would be a major increase in American mergers but in 2002 retracted that statement and showed that various national and regional databases only recorded six to eight mergers per year. However, McBain (2009) opined:

> Mergers are part of the historical cycle of American higher education and not aberrations stemming from the current recession. As such it is prudent for state and institutional decision-makers to examine the history of higher education mergers when considering merger proposals. (para. 18)

Reasons for Mergers

Mergers may occur for a number of reasons, including economic challenges, fragmentation and non-viability among institutions, academic quality and reputation, external threats from competitors, accreditation issues, and diversity (Ahmadvand, Heidari, Hosseini, & Majdzadeh, 2012; Brinkman & Leslie, 1986; Etschmaier, 2010; Harman, 2002**;** Harman & Harman, 2008; Harman & Meek, 2002; Lang, 2003; Layard, 1974; Patterson, 2000; Schumacher, 1983; Sear, 1983; Skodvin, 1999; Stephenson, 2011; Watson, 1988). According to Pritchard and Williamson (2008), "economics is usually the most prominent" reason (p. 48). Skodvin (1999) concurred and posited that:

> The main force behind a merger is always some kind of assumed gain. The most frequent motive is the wish to achieve administrative, economic and academic benefits, by merging several (small) institutions into a larger unit. The thought is that larger units would yield qualitatively stronger academic institutions, better management and use of administrative resources and they would improve the use of physical facilities. (p. 68)

Economy of scale. Economy of scale (also referred to as economies of scale) is a concept often cited in the literature (Lang, 2003; Layard, 1974; Ohman, 2011; Patterson, 2000; Schumacher, 1983; Sear, 1983; Skodvin, 1995; Watson, 1988) and, in general terms, is the perception that larger institutions spend less per student than smaller institutions. Therefore, merging two schools would create a more attractive financial picture for each of the institutions (Patterson, 2000). Patterson cautioned that there is difficulty in defining the size-cost relationship due to the numerous components of cost (fixed, variable, direct,

indirect, projected, historical or institution, and personal) as well as the complexity of characterizing scale.

There have been several studies on economy of scale (Bowen, 1980; Brinkman, 1981, Brinkman & Leslie, 1986; Cohn Rhine & Santos, 1989; deGroot, McMahon, & Volkwein, 1991; Koshal & Koshal, 1995; Nelson & Hevert, 1992; Schumacher, 1983; Sear, 1983; and Watson, 1988). Brinkman and Leslie (1986) found that the more significant economies occurred with lower numbers of students, that is, around the 1000 full-time equivalency student enrollment mark for two year colleges and 1500-2000 full-time equivalency student enrollment mark for four year colleges. In general, researchers based their estimates on full-time equivalency student enrollment. The authors acknowledged that there were other factors to consider when evaluating economy of scale, namely, salaries of faculty, type of institutions, and administrative costs versus academic costs.

Schumacher (1983) argued that economy of scale was achieved at 1500 to 4000 students. Other research shows that significant savings begins with 9,000 students and begins to drop at about 20,000 students (Lang, 2003; Layard, 1974; Patterson, 1999; Schumacher, 1993; Toutkoushian, 1999).

Other researchers supported the concept of economy of scale but did not suggest enrollment levels at which it would be achieved (Brinkman, 1981; Cohn, et al, 1989; de Groot, et al, 1991; Koshal & Koshal, 1995). According to Sear (1984), costs continue to fall as full time equivalency student numbers increase. Finally, several researchers (Bowen, 1980; Nelson & Hevert, 1992; Watson, 1988) argued that the economic benefits of mergers are unsupported by research.

Sav (2011) reviewed several of the studies previously cited. He claimed that his "results bring into question some of the previous findings of widespread teaching and research economies of scale and scope" (p. 143) but conceded that more study was needed (Sav, 2011).

Martin and Samels (1994) argued that mergers strictly for financial gain were not successful and promoted mutual growth and mission enhancement as the major benefit. They advocated that a mutual growth merger "does not merely reposition the institution within its natural category but develops an expanded institutional identity within a new category of colleges and universities" (p. 12). Martin and Samels (1994) designated core principles or benefits of a mutual growth merger including enhancing complementary missions, encouraging mutual growth, strengthening academic offerings while concurrently strengthening finances, improving administrative efficiency, stabilizing enrollment, achieving economy of scale, expanded alumni base, and identifying public relations prospects. While Skodvin (1999) posited that financial necessity did drive many mergers, she supported Martin and Samels' (1994) mutual growth concept.

Diversity. Diversity is another often-cited justification for merging. This includes both court-mandated mergers based on segregation issues (Harman & Leek, 2002; Ohman, 2011) as well as diversity in course offerings and academic profiles (Harman & Meek, 2002; Stephenson, 2011; Skodvin, 1999). In post-apartheid South Africa, for example, the government utilized mergers as a means for addressing race issues in the country (Jansen, 2002). In the United States, the state government mandated the merger between Tennessee State University (established in 1992 to educate African-Americans) and the University of

Tennessee - Nashville, a predominately white institution, with the intent to desegregate middle Tennessee (Stephenson, 2011).

According to Lang (2003), a "Merger is an efficient and economic means towards the end of diversity" (p. 28). However, mergers of like institutions generally are more successful than mergers in fundamentally different institutions; thus, diversity and successful mergers are often at odds with one another (Eastman & Lang, 2001). Lang (2003) posited:

> The role that mergers can play in promoting diversity needs to be clarified and separated from the role that they play in promoting economy and efficiency. The roles are not only different; they are often mutually exclusive and conscious choices have to be made about which objective should have priority. (p. 28)

Conversely, Skodvin (1999) alleged that diversity would lead to long-term success post-merger. He articulated:

> Studies show that mergers are not marriages between equal partners. The greater the differences are in regard to size and course programmes between the institutions involved, the greater the probability that the mergers will be successful. (p. 73)

Part of the difficulty in determining the success of mergers based on diversity is that there are several different concepts of diversity (Lang, 2003). Birnbaum (1983) identified six dimensions of diversity including programmatic, procedural, systemic, constituential, reputational, and structural and opined that these dimensions "present a bewildering number of possible combinations" (p. 55).

Lang (2003) summarized the balance between economic issues and diversity when he voiced:

> Efficiency and economy are among the strongest reasons for merger. So, which performance is more important: administrative efficiency or diversity, and which can be best pursued through merger? This is a dilemma because of the inverse relationship between the costs of diversity and the costs of the management that diversification requires. Merger could have one future or the other but usually not both. (p. 34)

Other drivers of mergers. While economy and diversity are two major motivations for mergers of higher institutions, there are other drivers. These include accreditation issues, academic issues, governmental pressure, and desire for a competitive advantage (Harman & Harman, 2008; Lang, 2003; Skodvin, 1999; Stephenson, 2011; Ursin, Aittola, Henderson, & Valimae, 2010). Stephenson (2011) expressed concern that institutions were "buying accreditation" when non-accredited institutions seek merger with accredited institutions. Non-profit institution Dana College, located in Nebraska (and plagued with substantial financial difficulties), was approached by an educational corporation with a merger proposal. The educational corporation hoped to achieve accreditation from the Higher Learning Commission of the North Central Association of Colleges and Schools. However, the accreditation request was denied and the merger fell through. Dana College closed a short time later (Stephenson, 2011). Skodvin (1999) suggested that the elimination of duplicative programs, increased national and international prominence in various disciplines, increased multidisciplinary and interdisciplinary fields, and increased collaboration and integration among institutions and within institutions were academic issues to be considered. He included diversification of academic profiles to this list. In Norway and Australia, elimination of duplicate programs and creation of multidisciplinary fields were the primary

movers. Prior to 1992, higher education institutions in the Netherlands merged to eliminate duplicative programs and create new disciplines; after 1992, the major driver was diversification of academic profiles. Competition is quite strong for resources, students, and staff but equally as strong for reputation and prestige (Harman & Harman, 2008).

Internationally, government pressure to solve problems of too many small, fragmented institutions, inaccessibility of education to students, and the need for cost-reduction and economy of scale have resulted in large numbers of mergers. The United Kingdom, Australia, Canada, the Netherlands, and Norway all launched major efforts at consolidation to solve these problems (Harman & Harman, 2008; Lang, 2003). While governmental policy is usually a strong reason for merger, government policy "may actually put individual HIE (higher educational institutions) at greater long-term risk" (Locke, 2007, p. 100).

Types of Mergers

Chambers (1987) identified three merger types specific to higher education: (a) bankruptcy-bailout, (b) mutual growth of institutions combining complementary offerings, and (c) mutual retrenchment of institutions with like academic programs (Weinblatt, 2012). However, mergers may be described from a number of viewpoints. International mergers tend to be involuntary as governments restructure to create larger and more comprehensive institutions. Mergers in the United States generally are voluntary in the private sector. In the U.S., public sector mergers often result from political pressures within state government (Loontz, 2009; Skodvin, 1999). In 1991, the Minnesota Legislature passed a law to merge the state's two-year community colleges, the technical colleges, and the state universities (Etschmaier, 2010). The Medical University of Ohio and the University of Toledo merged in

2006 to become Ohio's third-largest public higher education institution. In 2012, the Louisiana Legislature mandated the merger of the state's two-year colleges with its technical colleges to form the Louisiana Community and Technical College System (LCTCS).

Vertical versus horizontal. Mergers may also be defined as vertical versus horizontal. Horizontal mergers are those involving mission-complimentary institutions while vertical mergers are between institutions with very diverse missions (Ahmadvand, Heidari, Hosseini & Majdzadeh, 2012; Meek, 1988; Steiner, 1975). Mergers in the United Kingdom, Norway, and Australia were vertical mergers as was the merger between Ulster Middle State University and New University of Ulster to form the University of Ulster (Harman, 2002). A horizontal merger may also be described as one where both institutions offer the same or similar curricula while the vertical merger is usually between institutions with differing types of fields of study. Many of the international mergers were between Middle State University institutions and four-year colleges, an example of a vertical merger (Loontz, 2009).

Single Sector or Cross-Sectoral. Finally, mergers may be classified as single sector or cross-sectoral. When two or more institutions of similar sector merge, such as two colleges, it is deemed a single sector merger, while cross-sectoral mergers are those between institutions of differing sectors, such as a college and a university (Harman, 2002; Harman & Robertson Cuninghame 1995; Loontz, 2009).

Mergers between departments or colleges within a university are examples of single sector mergers. Mergers between the departments of journalism and communication recently occurred in a number of four-year universities including Ohio State University, San Diego State University, and the University of Southern California. At San Diego State University, the journalism department merged with telecommunication and film and speech

communication to create a School of Communication. The Journalism School at the University of Southern California merged with the communication arts and sciences department to become the Annenberg Center for Communication (Nelson, 1994). In all of these cases, the mergers were based on low enrollment and budget cuts.

Other examples of mergers within universities include the merger of the agronomy and horticulture departments at the University of Nebraska (Nebraska Green Industry, 2000); the mergers of the Ph.D. programs in economics, finance, and agricultural economics at the Washington State University (Leigh, Huffaker, & Shumway, 2002); the merger of the School of Earth and Environmental Science with the Department of Natural Resource Science, again, at the Washington State University; and the merger of two economic Ph.D. programs at Virginia Tech (Orden & Gilles, 2002). Other common mergers appear to be between geography and environmental studies and between university libraries and technology units (Foster, 2008; Harvey, Forster, & Bourman, 2002; Holmes, 2002). According to Brown, Perez, and Reeder (2007), "The last two decades have seen significant changes in organizational structures within higher education" (p. 3). The authors proposed that there were three main factors for these types of mergers, including financial pressures, desire to improve services to students, and administrative mandates.

There has not been a lot of literature on mergers within academic departments. Siegfried (2002) stated:

> In view of the vast literature on the economics of education, it is surprising to find almost nothing written about mergers among or dissolutions with academic departments. Perhaps this is the case because such research belongs more appropriately in journals about politics rather than economics. (p. 863)

Successes and Failures

According to Lang (2003),

> Merger is seen as a means of promoting efficiency in production and ensuring an optimal allocation of scarce resources. In other words, mergers allow the reduction of inputs without reducing the level of output. Many mergers have met these expectations. Others have not. (p. 19)

Certainly, there are many success stories. Drexel University successfully merged with MCP Hahnemann University, Elizabeth Seton College merged with Iona College (Etschmaier, 2010), Westark Community College joined the University of Arkansas to become the University of Arkansas at Fort Smith (Van der Werf, 2001), and Georgia Baptist College of Nursing merged with Mercer in Macon, Georgia (Van der Werf, 2001). Bradford College in Massachusetts and Trinity College in Vermont were both saved from closing by mergers. Longy School of Music merged with Bard College to enrich the students' educational experiences (Weinblatt, 2011). The Institute of New York merged with New York University providing NYU with an engineering school (Weinblatt, 2011). In each of these cases, it is difficult to identify one specific factor leading to the success of the mergers, but in each instance, there were positive factors relating to the mergers. For example, Westark Community College had strong community support for merging with a four-year institution and a substantial endowment; the merger was for educational not economic reasons (Higgins, 2015). Elizabeth Seaton College, too, was in sound fiscal shape with significant assets but had a dwindling enrollment. The president of the college had been exploring possibilities for mergers for several years and concluded that Iona was the best fit

(Feron, 1988). In the case of the Institute of New York and NYC, the merger was of complementary institutions with no duplication of programs (Weinblatt, 2011).

However, there are failures. Two of the most widely documented are the mergers between Barat College and DePaul University and that between Marymount College and Fordham University. In 2001, Barat College was purchased by DePaul University to become one of DePaul's seven colleges. However, in 2004, DePaul sold Barat's assets to the American College of Education. DePaul claimed that they had underestimated the amount of money needed to renovate and keep the campus open. In 2006, the campus was sold for development of condominiums (June, 2006).

Marymount College was founded over a century ago as an independent women's college. Due to falling enrollment, it consolidated, in 2002, with Fordham University. However, Fordham claimed Marymount was a drain on resources with decreasing enrollment and closed the school in 2007 (Brenner, 2008; Weinblatt 2012). This scenario is not uncommon among all-women's colleges. In the United States, at the beginning of the 20th century, there were almost 160 all-women's colleges; today more than 100 of them have closed, have become co-educational, or have merged with larger universities (Santos, 2007).

Chapman University entered into merger talks with Western University of Health (both in California) in an attempt to achieve a combined national prominence. However, after a year of discussions, the merger plans were abandoned; the two institutions could not decide on who would govern the university and what name would be used (Stephenson, 2011).

The proponents of mergers claim that "Mergers are collaborative strategic approaches to address a range of different issues, particularly fragmentation among institutions, lack of financial and academic viability, and external competitive threats among providers"

(Stephenson, 2011, p. 118). Merger advocates also assert that quality and quantity of services are improved (Van der Werf, 2001). The detractors argue that mergers are costly to implement, disruptive to both institutions, and should be entered into only after all other alternatives are investigated (Lang, 2001; Stephenson, 2011).

Organizational Change

All mergers, regardless of whether they are in the business or educational sector, require effective change management and strong leadership. Organizational change occurs every day; this daily change is usually gradual in nature and unplanned (Burke, 2014). This continuous change is referred to as evolutionary or transactional change. Large scale or deep organization change constitutes revolutionary or transformational change (Burke, 2014). In addition to types of change, there are levels of change: individual, group, or total system. Finally, there are causes of change – internal or external.

Elements of change. There are important change concepts to explore in relation to mergers. According to Burke (2014), the large majority of changes are evolutionary in nature. Evolutionary change is "Typically an attempt to improve aspects of the organization that will lead to higher performance. The fundamental nature, or deep structure of the organization, its culture, for example, remains undisturbed" (Burke, 2014, p. 98). Evolutionary changes would include changes to product packaging, development of new products due to market demands, improvement in customer service, refining of policies and procedures, expansion of sales territory, and upgrades in technology (Burke, 2014; Senior & Swailes, 2010). While these may be small in nature, they are cumulative and "can trigger radical change" (Senior & Swailes, 2010, p. 41).

According to Burke (2014), "Organizations that change their missions exemplify revolutionary change" (p. 76). The British Airways story is a case of revolutionary change where the airline experienced a "fundamental modification of its deep structure" (Burke, 2014, p. 248). British Airways was a government-run airline when Prime Minister Margaret Thatcher moved to deregulate many of the publicly owned agencies to encourage private enterprise. Though challenging, British Airways successfully transformed itself into one of the industry's most profitable airlines (Burke, 2014).

There are other definitions of types of change that should be mentioned. Mintzberg and Westley (1992) described change very simply as change at the "Broadest, more conceptual level (a mindset or culture) to the narrowest and most concrete (for example, of a piece of equipment or a person in a job)" (p. 40). Grundy delineated three levels of change: discontinuous, smooth incremental, and bumpy incremental (Grundy, 1999; Senior & Swailes, 2010). Discontinuous change included shifts in strategy, culture, or structure (or in all three concurrently); smooth incremental referred to slow, smooth, incremental changes; and bumpy incremental referred to periods of tranquility interrupted by "acceleration in the pace of change" (Senior & Swailes, 2010, p. 34). Balogun and Hope-Hailey (2004) described four types of change or paths: evolution, adaptation, revolution, and reconstruction. These paths were based on the dimensions of scope (nature of change) and scale (end result of change). The dimensions of scope were incremental change or big-bang change, and the scale was transformation or realignment (Senior & Swailes, 2010).

Levels of change. Change can occur at various levels of an organization (Burke, 2014; Cech, 2010; Hall & Hord, 2011; Marshall, 2011). Burke (2014) and Cech (2010) described three levels of change: individual, group, and system. According to Cech (2010),

"Organizational change at the individual level is influenced by (a) recruitment, selection, and replacement; (b) the extent to which the organization instills the principles of a learning organization; and (c) coaching and counseling" (Cech, 2010, p. 32). Individual change is predicated on the need to move the organization forward, even if this results in workforce reduction. British Airways' decision to reduce the workforce by approximately 20,000 workers validated this phenomenon. This large reduction in workforce assisted the organization in moving forward in a more profitable direction (Burke, 2014). This type of change is also reflective in the appointment of a new CEO, most often from outside the current organization. Training, coaching, and counseling are all aimed at the individual level (Burke, 2014).

A second level of change is group change. Burke (2014) reminded readers that "Organization change efforts typically rely heavily on the use of work groups" (p. 115). The group as a whole has to make changes in their procedures and often benefit from team-building activities. Beckhard (1972) suggested four purposes for team building. These include setting priorities for the group, examining communication and decision-making roles of the group members, assessing interpersonal relationships, and determining the various roles for the team members.

In discussing the third level of change, Burke (2014) claimed that "The larger-system level is so complex it is useful to think strategically about different orders of change" (p.122). Burke (2014) referenced Kimberly and Nielsen's (1975) work, which described three levels of system change: first-order, second-order, and third-order. A first-order change is a result of an intervention in a subsystem of the organization. A second-order change occurs in response to the first-order change. A third-order change "eventually influences

some organizational process or outcome that is affected by multiple factors. Third-order change, therefore, means the involvement of multiple factors in some causal sequence toward an ultimate goal" (Burke, 2014, p. 123).

Hall and Hord (2011) described three levels as well – individual, organizational, and system – and opined that "Change is highly complex, multivariate, and dynamic" (p. 5). Marshall (2011) also depicted change as operating at different levels, but labeled them as process, systems, structures, organizations, and institutions. According to Marshall (2011), "Process and systems change happens frequently as new ideas, technologies or capabilities become available within an organization and can be driven by individuals or small groups within the organization" (p. 23). He claimed that the organizational and structural changes were more discontinuous, marked by periods of stability followed by periods of instability, change, and return to a stable level (Marshall, 2011). Senge (1990) reminded the reader that change in any one part of any organization will affect all parts of that organization and should not be perceived as an isolated change.

Leadership and Change

According to Ehrhart, Schneider, and Macey (2014), "One continuing question within the literature on organizational culture change has been the extent to which leaders can move their cultures in a certain direction within the context of attempts to improve organizational effectiveness" (p. 187). Schein (2004) posited that "Culture is intricately linked with leadership" and "the only thing of real importance that leaders do is create and manage culture" (p. 11). He also mentioned that at times leaders must destruct and then reconstruct culture.

Cameron (1985) argued that "the conventional wisdom asserts that a culture that is strong, congruent, and supports the structure and strategies of the organization is more effective than a weak, incongruent or disconnected culture" (p. 5). According to Hofstede (1998), an organizational culture may be the single most decisive influence on the success or failure of an organization.

Culture and leadership are also "two sides of one coin" (Schein, 2010, p. 3). Schein (2010) stated that to be effective leadership must understand the culture of the organization, a concept that is largely ignored. This holds true for both new and established companies. A leader in a new company will have the opportunity to influence the culture that is being created. For an established company, a new leader will have to adopt his leadership style to blend with the established culture of the company.

Culture is also tied to transformational leadership. Transformation leaders are able to change and transform people. Thus, they are changing the culture of the organization. According to Northouse (2013), "Transformational leadership involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them" (p. 185). He continued,

> Transformational leaders had a clear vision of the future. When an organization has a clear vision it is easier for people within the organization to learn how they fit in with the overall direction of the organization and the society in general. Although leaders play a large role in articulating the vision, the emergence of the vision originates from both followers and the leaders. (Northouse, 2013, p. 197)

Burns (1978) and Burke (2014) contend that transformational leaders can make a difference in terms of organization change as well as focusing on followers' needs, morals, ethics, and values.

In the context of mergers, Chipunza and Gwardina (2010) posited that "Leaders who play transformational leadership roles in the merger will be able to promote risk-taking behaviours among followers and mobilize resources towards followers in an effort to produce the desired level of effort for success" (pp. 2-3). The researchers further stated that "Evidence has shown that there is no difference in transformational leadership, whether it is utilized within an education or a business environment especially considering the present day trend of running educational institutions as businesses" (p. 2). Several studies on mergers in education (both in the United States and internationally) have shown that one important factor in the success of the merger is transformational leadership (Chipunza & Gwardina, 2010; Fernandez, 2005; Hall, Symes & Leucher, 2004; Hope, 2002; Reddy, 2001). Ohman (2011) suggested "Effective leadership and management are seen as one of the most important factors before, during and after a merger" (p. 29). The author specifically mentioned that transformational leadership should be used during a merger. Harman (2002) posited "Effective leadership and management from the top are seen as the most important factors in assuring the success of a merger" (p. 110).

Conceptual Models for Understanding Organization Change

Stichler (2011) opined that "Change in individuals or an organization is rarely easy; it's complex, chaotic and convoluted" (p. 166). She suggested that the leader's role is vital as is a plan for change. Several change theories have been proposed which outline phases of

change and individuals' responses to change (Burke, 2014; Lewin, 1947; Senior & Swailes, 2011; Stichler, 2011).

Lewin's Change Management Model: The Three Step Theory. Lewin's (1947) Three-Step theory is regarded as seminal in the change theory field (McCarry, Cashin & Fowler, 2012; Ruta, 2005; Stein, 1996; Yukl, 2012). Lewin (1947) described his three-step process as unfreezing, moving, and freezing at a new level (refreezing). Step 1 or unfreezing refers to letting go of old patterns or removing restraining forces on employees (Kritsonis, 2005; Schein, 1996). Unfreezing is accomplished by motivating employees to accept that a change is needed when current policies and procedures are not working (Lewin, 1947; McGarry, Cashin & Fowler, 2012; Schein, 1996; Stichler, 2011). Building trust is another important component of Step 1 (Kritsonis, 2005). According to Senior and Swailes (2010), unfreezing "concerns the 'shaking up' of people's habitual modes of thinking and behavior to heighten their awareness of the need for change" (p. 322). Lewin (1947) recognized that Step 1 is unique to each situation and the steps to unfreeze the status quo must be tailored to the individual organization (Burke, 2014). Stichler (2011) concurred and stated that "Not all change is alike nor should it be approached in the same way or be expected to yield the same outcomes" (p. 167).

Lewin (1947) labeled Step 2 as moving or change as this is the stage where individuals move to the new phase of behavior and they look at the organization from a new, fresh perspective (Kritsonis, 2005). Communication, positive feedback, recognition, and encouragement are needed to reassure the workers about how the change will benefit them (Kritsonis, 2005; Stichler, 2011).

Finally, the refreezing step, Step 3, is where there is stabilization of the new norm. Without this stage, the change will not be sustained and individuals may move back to their previous values, attitudes, and behaviors (McGarry, Cashin & Fowler, 2012; Schein, 1996).

Lewin's (1947) change model is an easy-to-understand process to implement and a proven method for managing change (Kritsonis, 2005; Schein, 1996). His work was the basis for Schein's (1987) work on the change process.

Schein's Model for Change Management. Schein (1987) expanded on Lewin's (1947) process by keeping the same phases but expounding on the components of the three steps as well as providing more detail for achieving each step. Using a more psychological approach, he broke unfreezing into three key components: disconfirmation, creation of survival anxiety or guilt, and creation of psychological safety to overcome learning anxiety (Stragalas, 2010). Each of these sub-processes would result in a readiness to change. Disconfirming data "creates discomfort/balance" (Stragalas, 2010, p. 32). Schein (1996) referred to this step as "unlearning." He referenced his work with POWs in helping them to unlearn behaviors forced upon them by the enemy. Schein (2004) stated, "Some sense of threat, crisis, or dissatisfaction must be present before enough motivation is present to start the process of unlearning and relearning" (p. 324). Threats are a form of disconfirmation articulated by the leadership. In other words, if change does not occur, the company will go out of business (economic threat); or unless the individuals change, they will become obsolete and unnecessary (technological threat); or unless a change takes place, an individual may face fines or jail (legal threat) (Schein, 2009). Schein posited that natural disasters or scandals are the most powerful triggers of change. He cited examples such as Hurricane

Katrina, the Challenger Explosion, British Petroleum oil spill, and Enron. Mergers, too, are a source of disconfirmation as two companies join and try to work in concert (Schein 2009).

A second sub-process of unfreezing is promoting survival anxiety or guilt in workers with resulting increased efforts to make things better. Part of this sub-process is learning anxiety or the fear of being able to master the new behavior. A delicate balance exists between survival anxiety and learning anxiety. According to Schein (2009) "Learning anxiety is a combination of several specific fears" (p. 112). These include fear of loss of power or position, fear of incompetence, fear of punishment for incompetence, fear of loss of identity, and fear of loss of group memberships (Schein, 2009). Therefore, the final sub-process of unfreezing is creating psychological safety for the individuals; they need to feel comfortable about the changes and not fear embarrassment, inadequacy, or loss of self-esteem. This is combatted by training, involvement of the learner, positive role models, support groups, practice fields, coaches, and feedback (Burke, 2014; Schein, 2009; Stragalas, 2010).

Schein (2009) identified two sub-processes needed to accomplish the changing (moving) stage. Schein also referred to this second phase as cognitive restructuring (Burke, 2014; Stragalas, 2010). The first is introduction of a leader, a mentor, or a consultant with whom the workers can identify and feel comfortable. The second is provision of information to the workers about similar changes in other industries that have been successful (Burke, 2014).

Refreezing is the third phase of Schein's change theory. According to Schein (1996), "The main point about refreezing is that new behavior must be, to some degree, congruent with the rest of the behavior and personality of the learner or it will simply set off new

rounds of disconfirmation that often lead to unlearning the very thing one has learned" (p. 31). He stressed that refreezing includes both individual comfort with the new behavior as well as comfort with the other individuals in the group.

Bridges' Transition Framework. Bridges (2003) proposed three stages in change or transition. Bridges (2003) differentiated between change and transition indicating that change happened to an individual while transition is the individual's reaction to that change. Shy and Mills (2010) posited that Bridges' Transition Framework is "built on the theory that change is situation and transitions are psychological" (p. 419). Bridges (2003) concentrated on three stages of transition and called these stages "Ending, Losing, Letting Go; Neutral Zone; and New Beginning" (p. 5). The author stressed that a transition is not complete until all three stages have been concluded. The first stage is the process of letting go and acknowledging that there is an ending. Bridges (2003) suggested that the second stage, the neutral zone is often the most difficult of the three stages as levels of uncertainty and confusion are raised. Bridges (2003) articulated "One of the most difficult aspects of the neutral zone is that most people don't understand it…. people need to recognize that it is natural to feel somewhat frightened and confused at such a time" (p. 43). Shy and Mills (2010) suggested "Clients can be assisted in moving through the neutral zone by including supporters and loved ones in the process of transition" (p. 422). Bridges (2003) acknowledged that new beginnings can be challenging and articulated four rules for the New Beginning stage: (a) be consistent, (a) ensure quick successes, (c) symbolize new identity, and (d) celebrate the success (Stragalas, 2010). Bridges (2003) submitted that the three stages do not happen in clearly defined time periods but often occur in concurrent contexts.

Kotter's Eight Steps to leading change. Kotter's (1996) comprehensive implementation model includes eight stages for successful organizational transformation and adaptation (Cech, 2010; Periyakoil, 2009; Stragalas, 2010). Stragalas (2010) opined that Schein's (1996) and Bridges' (2003) works are change process models while Kotter's (1947) work is more of a change implementation model. He stated "Although Kotter's work has been validated through significant research" (Stragalas, 2010, p. 31), it has not been used extensively in corporate transitions. Periyakoil (2009) disagreed and articulated that Kotter's (1996) work is "one of the most widely used change management models" (p. 329). What can be agreed upon are the eight steps Kotter proposed for change management (Cech, 2010; Periyakoil, 2009; Stragalas, 2010). These are: (a) Establish a sense of urgency, (b) Create a coalition for change, (c) Create vision and strategy, (d) Communicate the change vision, (e) Empower individuals to act on the initiative, (f) Generate and celebrate short-term wins, (g) Consolidate gains and produce more change, and (h) Institutionalize the new approaches (Cech, 2010; Periyakoil, 2009; Stragalas, 2010). Through his research with over 100 companies, Kotter identified specific conditions necessary for successful change. For example, in relation to the sense of urgency, Kotter (1996) asked the following question

> When is the urgency rate high enough? From what I have seen, the answer is when about 75% of a company's management is honestly convinced that business as usual is totally unacceptable. Anything less can produce very serious problems later on in the process. (p. 62)

This relates to Schein's disconfirming phase and Lewin's unfreezing stage (Stragalas, 2010). Kotter (1996) found that as many of 50% of companies that he studied actually failed the first step and identified several major errors that we observed. Some of these errors are: (a) not

creating a powerful enough coalition; (b) lacking a vision or under-communicating the vision; (c) not removing obstacles to a new vision; (d) not systematically planning for and creating short-term wins; and (e) declaring victory too soon (Kotter, 1996). He emphasized that "Change sticks when it seeps into the bloodstream of the corporate body" (Kotter, 1996, p. 67). This sentiment is shared by many researchers (Bridges, 2003; Lewin, 1947; McGarry, Cashin & Fowler, 2012; Schein, 1996; Stragalas, 2010).

Lippitt, Watson, and Westley's Seven Steps to Change. There are other models for change. Lippitt, Watson, and Westley (1958) used Lewin's process as a starting point to their seven steps of change: (a) Diagnosing the problem; (b) Assessing the employee's or organization's motivation and capacity to change; (c) Assessing the leader's or change agent's resources, motivation, power, stamina, and commitment to change; (d) Developing strategies and action plans to move the change process; (e) Identifying roles of change agents, such as champion, cheerleader, facilitator, and expert; (f) Maintaining and sustaining the change through communication, feedback, and group coordination; and (g) Gradually withdrawing over time as the change becomes part of the organizational culture (Stichler, 2011, p. 168). The change theory proposed by Lippitt (1958) and his colleagues placed greater emphasis on the role of the organization's leader than Lewin (1947) or Schein (1996) but again emphasized the critical nature of sustaining the change (Stichler, 2011). Table 1 summarizes the major change models.

Burke-Litwin's Causal Model of Organization. The Burke-Litwin causal model of organization performance and change is derived from earlier work by Litwin on organizational climate (Burke, 2014). Burke and Litwin's collaboration begin while consulting with Citibank and British Airways (BA); the model itself was derived from work

that was conducted with BA (Burke, 2014). The model is comprised of twelve boxes that "represent our choices of what we consider to be primary for organizational understanding and analysis" (Burke, 2014, p. 226). The top boxes (external environment, mission and strategy, leadership, and organizational culture are deemed the transformational factors, meaning that a change in any of these four areas would almost certainly affect the whole organization. The lower boxes (structure, management practices, systems, work unit climate, task requirements and individual skills/abilities, motivation, and individual needs and values) are considered transactional factors, meaning that the processes related to these boxes are more concerned with the day-to-day functions of the organization. Burke and Litwin emphasized the importance of the external environment to organizational change and ultimately, to performance (Burke, 2014). Neves (2009) agreed and stated that "External events and crises trigger changes far more than planned events and as such organizations have to prepared to react quickly" (p. 215). However, Neves (2009) added that although changes may come from external events, "Its outcome will be shaped by internal processes within the organization" (p. 216). The Burke-Litwin model is used to understand both the organizations itself as well as to serve as a template for organizational change.

Responses to Change

Individuals' responses to change may help or hinder organizational change and must be recognized. Burke (2014) suggested that stages of change are similar to the stages that individuals go through after a diagnosis of a terminal illness. These are (a) shock and denial; (b) anger; (c) bargaining; (d) depression; and (e) acceptance (Kubler-Ross, 1969). As organizations change, individuals will move from one stage to another or remain fixed in one

stage. Levinson (1976) argued that all change is a loss experience even when change is accepted and desired. He stated:

Table 1. Conceptual Models for Understanding Organization Change

Theory	Components of Change Process
Lewin's Change Management Model: Three Step Theory	Unfreezing Moving Re-freezing
Schein's Model for Change Management	Unfreezing Disconfirmation Creation of survival anxiety or guilt Creation of psychological safety Moving Re-freezing
Bridges Transition Framework	Ending, losing, letting go Neutral Zone New Beginning
Kotter's Eight Steps to Leading Change	Establish a sense of urgency Create a coalition for change Create vision and strategy Communicate the change vision Empower individuals to act on the initiative Generate and celebrate short-term wins Consolidate gains and produce more change Institutionalize the new approaches
Lippitt, Watson, and Westley's Seven Steps to Change	Diagnosing the problem Assessing the employee's or organization's motivation and capacity to change Assessing the leader's or change agent's resources, motivation, power, stamina and commitment to change Developing strategies and action plans to move the change process Identifying roles of change agents, such as champion, cheerleader, facilitator and expert Maintaining and sustaining the change through communication, feedback and group coordination Gradually withdrawing over time as the change becomes part of the organizational culture

> Most organizational change flounders because the experience of loss is not taken into account. When the threats of loss are so severe as to increase people's sense of helplessness, their ability to master themselves and their environments decreases. To undertake successful organizational change, an executive must anticipate and provide means of working through that loss. (p. 83)

Burke (2014) posited that individuals do not necessarily resist the change itself but resist the loss of a known entity – the familiar. Added to this is the element of loss of freedom to make decisions, especially when the change is mandated. Hambrick and Cannella (1989) described three types of resistance and argued that identifying the type of resistance being displayed is important to addressing that resistance. Blind resistance is found in individuals who are just resistant to and afraid of change. Providing repeated assurances to these individuals is usually an effective approach to take. Individuals engaged in what the authors called political resistance relates to a feeling of loss of position, status, power-base, or income. Showing these individuals the big picture or the long-term goals may allay their concerns. Individuals demonstrating ideological resistance sincerely believe that the change is not in the best interest of the organization. Countering this resistance with data, facts, and substance is the most constructive approach to take (Hambrick & Cannella, 1989). Other researchers (Hall & Hord, 2011; Hall, George, & Rutherford, 1979; Howley, 2012; Shea, Jacobs, Esserman, Bruce, & Weiner, 2014) discussed stages of concern to describe resistance to change.

> Hall, George, and Rutherford (1979) proposed the following definition of concern: The composite representation of the feelings, preoccupation, thought, and consideration given to a particular issue or task is called *concern*. Depending on

> our personal make-up, knowledge, and experiences, each person conceives and mentally contends with a given issue differently; thus these are different kinds of concerns. The issue may be interpreted as an outside threat to one's well-being, or it may be seen as rewarding. There may be an overwhelming feeling of confusion and lack of information about what "it" is. There may be ruminations about the effects. The demand to consider the issue may be self-imposed in the form of a goal or objective that we wish to reach, or the pressure that results in increased attention to the issue may be external. In response to the demand, our minds explore ways, means, potential barriers, possible actions, risks and rewards in relation to the demand. All in all, the mental activity composed of questioning, analyzing and re-analyzing, considering alternative actions and reactions, and anticipating consequences is *concern*. (p. 5)

Stages of Concern

Based on this definition of concern, Hall and Hord (2011) identified seven specific categories of concerns, which they named the Stages of Concern (SoC). These are further described by the expressions of concern related to each of them: (0) unconcerned (I am concerned about some other things); (1) informational (I would like to know more about it); (2) personal (How will using it affect me?); (3) management (I seem to be spending all of my time getting materials ready); (4) consequence (How is my use affecting clients); (5) collaboration (I am concerned about relating what I am doing with what my co-workers are doing); and (6) refocusing (I have some ideas about something that would work even better). Like Kubler-Ross' (1969) stages of grief, the expectation is that individuals will work through these different categories, ultimately achieving the highest level of impact concerns

(stages 4, 5, and 6). The Concerns Based Adoption Model (CBAM) originated in the educational field to assess "readiness and engagement with change as well as to monitor progress throughout the change process" (Howley, 2012, p. 3). Other models used to assess readiness for change include the Transtheoretical Model, the Diffusion of Innovation Model, the Organizational Readiness for Implementing Change (ORIC) model, and the AVICTORY Model (Howley, 2012; Shea et al., 2014).

Educational Change

Educational organizations, like companies, undergo change and many of the same concepts apply. Marris (1975) pointed out that change involved anxiety, struggle, and loss, and recognizing this was critical to successful change. Like all change, it may be "Imposed on us (by natural events or deliberate reform) or because we voluntarily participate in or even initiate change when we find dissatisfaction, inconsistency, or intolerability in our current situation" (Fullan, 2007, p.2). Deutschman (2005) observed that one powerful motivator to influence for change is a crisis; this is likened to Burke's concept of the influence of environment (Burke, 2014). Deutschman (2005) also stated that the key to success was motivating individuals to see that they want to feel better, again reminiscent of Lewin's (1947) unfreezing phase.

Whether in corporate or educational settings, corporate culture is one of the most important components of change and can contribute to the success or failure of the change.

Culture as a Component of Change

The idea of organizational or corporate culture was developed in the 1970s when business executives realized that the way their employees worked together could hurt or help

an organization's performance. Kotter and Heskett (1992) related a brief history of organizational culture:

> This idea received limited attention outside of academia until the late 1970s when an interrelated group of people associated with a small set of universities and consulting firms (Harvard, Stanford, MIT, McKinsey, and MAC) began asserting the importance of what they called corporate organizational culture. Their claims were based on three kinds of research: Japanese firms that consistently outperformed their American competition; of U.S. firms that were doing well despite the increasingly competitive business environment that began to emerge in the 1970s, and of companies that were trying to develop and implement competitive strategies to cope with that new environment, but were having difficult doing so. In each of these cases, despite differences in initial research focus, terminology, and methodology, the fundamental conclusions were very similar and very dramatic: all firms have corporate cultures, although some have stronger cultures than others; these cultures can exert a powerful effect on individuals and on performance, especially in a competitive environment; this influence may be greater than all those factors that have been discussed most often in the organizational and business literature - strategy, organizational structure, management systems, financial analysis tools, leadership, etc. (p. 9)

Companies were not experiencing the success of the 50s and 60s, and the executives were looking for ways to improve. During the 1980s, four bestselling books were published promoting rather unconventional assertions about corporate culture: Quchi's *Theory Z*, Pascale and Athos's *The Art of Japanese Management*, Peters and Waterman's *In Search of*

Excellence (this book broke sales records for nonfiction), and Deal and Kennedy's *Corporate Cultures* (Kotter & Heskett, 1992). Another important milestone occurred in 1989 when

> Time, Inc. blocked a hostile bid from Paramount by arguing that its culture would be destroyed or changed by the takeover, to the detriment of its customers, its shareholders, and society. When the chancery judge ruled in Time's favor, he said (in part) that there "may be instances in which the law might recognize a perceived threat to a corporate culture that is shown to be palpable, distinctive and advantageous. (Kotter & Heskett, 1992, p. 10)

The books and this legal decision encouraged additional research on corporate culture. Ouchi and Wilkins (1985) identified seven of the most frequently cited works and found that one article was authored by an anthropologist, three were written by sociologists, and three by management scholars. One article was especially interesting. Cameron (2008) stated that a successful company can be characterized by several well-defined external conditions. These might include a large market share, manufacture of a non-substitutable product, buyers with low bargaining power, and supplies with low bargaining power. These are just a few of the many characteristics discussed. After looking at a number of the most successful companies in the United States, she concluded that these companies did not have these identified competitive advantages. She referred specifically to Tyson Foods, Southwest Airlines, Wal-Mart, and Plenum Publishing. She did, however, identify one key characteristic. According to the author, "The key ingredient in every case is something less tangible, less blatant, but more powerful that the market factors listed above. The major distinguishing feature in these companies, their most success, is their organization culture" (Cameron, 2008, p. 2).

Organization culture can be examined from various perspectives, such as describing types of culture, relating its culture to the effectiveness and performance of an organization, and examining the connection between culture and leadership (Schein, 2010; Tichy, 1983; Ng'ang'a, & Nyongesa, 2012) and the role it plays in organizational change (Awbrey, 2006). Ehrhart et al. (2014) argued that "Pettigrew's (1979) article in *Administrative Science Quarterly* is the most commonly attributed starting point of contemporary organizational culture research because of the immediate effect it had at the time he presented it" (p. 118). The authors proposed three reasons that Pettigrew's (1979) work was seminal. The first was that his theory drew on anthropological concepts, which were easier for researchers to understand; the second was that business schools throughout the country were becoming increasingly interested in the study of organizations. Finally, management consultants were embracing the importance of the role that individuals within an organization played in the success of the business. Pettigrew (1979) made the important point that culture evolved over time as various internal or external influences acted upon the culture.

Definitions of Organizational Culture

What was very clear from all of the literature written on organizational culture is that there is no one commonly accepted definition of culture. Over 150 definitions of culture have been identified. Tylor (1871) was the first researcher who defined culture. He claimed that culture was "that complex whole which includes knowledge, belief, art, moral, laws, custom and any other capabilities and habits acquired by man as a member of society" (p. 1). One of the difficulties in selecting one encompassing definition is that researchers come from a variety of disciplines – anthropology, sociology, psychology, and business (Schein, 2010). Ouchi and Wilkins (1985) determined that most of the popular works on culture in

organizations in the 1980s were authored by individuals who approached their work from the viewpoint of anthropology. The functionalist approach to culture is based on anthropology and generally looks at one basic social unit (Toma, Dubrow, & Hartley, 2005). Ouchi and Wilkins (1985) concluded:

> The contemporary study of organizational culture is perhaps best understood as only the latest turn in the struggle between explicit and rational views of organization on the one hand and implicit, non-rational views on the other. This tension has long been a central feature in the sociology of organizations, and we can expect that the approach of organizational culture will have its day and then recede in importance, to rise yet again in modified form. (p. 462)

According to Evans (1996), "Definitions of culture range from simple to complex. Many people use it to describe an organization's traditional practices and modes of operating or its climate and general ambience" (p. 41). The metaphor of culture as the glue that binds was often used (Cameron, 2004; Smircich, 1983; Tierney, 1988; Toma, et al., 2005) in literature.

Many of the definitions of culture revolve around individual's beliefs, values, and norms (Duncan, 1989; Pettigrew, 1979; Peterson & Spencer, 1991; Zsoka, 2007). Toma, et al., (2005) claimed that

> Institutional culture comprises the shared beliefs, values, assumptions, and ideologies that bind a group together and provide a framework for group members to understand their setting. Institutional culture consists of the norms, values, and beliefs of organizational members (substance) and the more tangible ways that organizations express meanings (forms); literally, "the way we do things around

> here." Institutional culture thus has more subjective dimensions (shared assumptions, values, meanings, understandings, and so on) and more objective aspects (physical artifacts, organizational stories, heroes and heroines, rituals and ceremonies, etcetera), the former being less apparent than the symbols, language, narratives, and practices needed for conveying them. (p. 56)

These shared and collective values will guide the norms and expectations of individuals of an organization which in turn will prescribe certain behaviors for those individuals. Ng'ang'a and Nyongesa (2012) posited that culture is the set of important assumptions shared by members in an organization.

This concept of shared assumptions is founded in the writings of Schein (1992). He described the culture of a group as:

> A pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to these problems. (Schein, 1992, p. 12)

Cheung, Wong, and Lam (2012) used the same concept of a pattern of basic assumptions, adding that these assumptions are "Invented, discovered or developed by a given group" (p. 689). Burke (2014) succinctly said, "Culture, then, is a set of basic assumptions that serve as guideposts for how we are supposed to behave in the organization" (p. 257). Others simply say that culture is what is being done, how it is being done, and how these norms are being communicated (Farmer, 1990; Deal & Kennedy, 1982). However, no one definition has been universally chosen as the best description of the concept of

organizational culture. Kroeber and Kluckhohn, (1952) offered this definition based on a review of 100 definitions of culture:

> Culture consists in patterned ways of thinking, feeling and reacting, acquired and transmitted mainly by symbols, constituting the distinctive achievements of human groups, including their embodiment in artifacts; the essential core of culture consists of traditional (i.e. historically derived and selected) ideas and especially their attached values. (p. 181)

Several scholars acknowledge that culture is at the deepest roots of the organization (Burke, 2014; Gallager, 2003; Kuh, Schuh, & Whitt, 1991). Burke (2014) equated cultural change with revolutionary or transformational change rather than evolutionary or transactional change. Kuh, Schuh, and Whitt (1991) agreed that culture is deeply embedded within the organization; likewise, Gallagher (2003) suggested that culture is not what an organization may say it wants; instead, it is the underlying values, believes, style, and behavior of the organization. Ott (1989) suggested five basic assumptions that are generally agreed upon: (a) organizational cultures exist, (b) each organizational culture is relatively unique, (c) organizational culture is a socially constructed concept, (d) organizational culture provides organization members with a way of understanding and making sense of events and symbols, and (e) organizational culture is a powerful lever for guiding organizational behavior (p. 52). However, he did say that beyond these five assumptions "agreement is limited and the points say nothing about what organizational culture is" (p. 52).

Hofstede (2000) used the metaphor of an onion to describe culture with multiple layers representing superficial and deeper levels. Stoyko (2009) referred to culture as a vessel that contains the experiences, observations, formative events, preferences, lessons, and ideas

from the past. Stoyko also posited that even after four decades of research on organizational culture, the term is still without a precise meaning; it is used in numerous contexts. Another commonly used metaphor is that of an iceberg – the part of the iceberg above the surface reviews to the commonly seen behaviors while the underlying part of the iceberg refers to the deeper level (Kundu, 2009; Senior & Swailes, 2010). This deeper level includes power and influence patterns, personal views, and interpretations of the organization, interpersonal relationships, norms, trust, risk-taking, values, emotions, and needs; it is the level at which institutional culture operates.

Ott (1989) reviewed fifty-eight books and articles to cull basic descriptors of culture. Some of his findings included:

1. Symbols, language, ideologies, rituals, and myths (Pettigrew, 1979);
2. Behavioral regularities (Goffman, 1959, 1967);
3. The philosophy that guides an organization's policy (Ouchi, 1981; Pascale & Athos, 1981);
4. Ideologies, a rationale for dos and don'ts (Harrison, 1972; Meyer, 1984);
5. Patterns of cognitive processes (Weick, 1979);
6. Symbols, language and art (Hayakawa, 1953);
7. The source of norms, rules, group attitudes, customs, and roles (Wharton & Worthley, 1983);
8. A quality of perceived organizational specialness – that is it possesses some unusual quality that distinguishes it from others in the field (Gold, 1982);
9. Familiar management tasks or practices (Martin & Siehl, 1983); and
10. The customary and traditional way of thinking and doing things. (Jaques, 1952).

(Ott, 1989, p. 71-72)

Keyton (2005) described culture as both confining and facilitating. She stated "Culture is confining because it acts as a perspective or framework, limiting what we see and how we interpret what we see (p. 18). She continued "On the other hand, culture is also facilitating, as it allows us to make sense of what is happening so that we can function in that setting" (p. 18).

Erhart et al. (2014) reiterated that there was a proliferation of definitions of culture but did discover commonalities among the definitions. The authors based these characteristics on the work of several authors (Alvesson, 2002; Martin, 2002; Ott, 1989; Schein, 1991, 2010, Trice & Beyer, 1993) and delineated ten attributes of organizational culture:

1. Organizational culture is shared;
2. Organizational culture is stable;
3. Organizational culture has depth;
4. Organizational culture is symbolic, expressive, and subjective;
5. Organizational culture is grounded in history and tradition;
6. Organizational culture is transmitted to new members;
7. Organizational culture provides order and rules to organizational existence;
8. Organizational culture has breadth;
9. Organizational culture is a source of collective identity and commitment; and
10. Organizational culture is unique. (p. 131)

Pettigrew (1990) summed it up:

> Part of the problem with [defining] culture is that it is not just a concept but the source of a family of concepts (Pettigrew, 1979), and it is not just a family of concepts but also a frame of reference or root metaphor for organizational analysis (Pettigrew, 1979; Smircich, 1983; Morgan, 1986). However, some progress has been made, and most scholars now agree that organizational culture is a phenomenon that involves beliefs and behavior; exists at a variety of levels in organizations; and manifests itself in a wide range of features of organizational life such as structures, control and reward systems, symbols, myths, and human resource practices. (pp. 414-415)

However, the differences are not just in the definitions of culture but also in the essence of culture. Peterson and Spencer (1991), Toma et al. (2005), and Rousseau (1990) submitted that there are two perspectives from which organizational culture can be studied. The first one is that organizational culture is something that an organization has; the second is that organizational culture is something than an organization is. Toma et al. (2005) termed this as functionalist (an organization has culture) or interpretive (culture is what an organization is) approaches. Johnson, Scholes, and Whittington (2008) are equivocal on the distinction. Locke (2007) posited:

> The common sense view of culture – that it is a fixed thing with self-evident characteristics – is generally disregarded, however, because it fails to account for the dynamic and social nature of the processes of cultural formation. Organisations 'are', as much as 'have' cultures and organizational members are continually recreating and revising cultural phenomena in order to make sense of what is going on, communicate with each other, and complete their daily tasks.

(p. 85)

Differentiation between Culture and Climate

The previously mentioned surface culture is what many refer to as organizational climate. Climate, like culture, is defined in many different ways. Some scholars choose to use the concept of levels of change, that is, first-order, second-order, or third-order. For example, first-order changes would refer to those superficial or surface changes, while second- and third-order changes refer more to those deeper, underlying assumptions or culture (Latta, 2009; Mitchell, 2009). Interaction among the members of the organization is a central theme (Schein, 1992; Willams, 2010; Morgan, 1986). Burke and Litwin (1992) stated

> Climate is defined in terms of perceptions that individuals have of how their local work unit is managed and how effectively they and their day-to-day colleagues work together on the job. The level of analysis, therefore, is the group, the work unit. Climate is more in the foreground of organizational members' perceptions whereas culture is more background and defined by beliefs and values. The level of analysis for culture is the organization. Climate is, of course, affected by culture, and people's perceptions define both but on different levels. (pp. 526-527)

Scholars have debated the similarities and the differences between climate and culture and the distinction is still quite vague; however, it is widely accepted that they are closely entwined (Denison, 1996). Williams (2010) suggested that

> The best way to think about these two concepts generally is that organizational culture and climate are highly related organizational ideas that describe how the complex social systems of the campus come together and coalesce to create a unique

organizational milieu of people, interactions, politics, policies, beliefs, values and outcomes. (p. 9)

Owens (1995) differentiated between the two and stated "Culture refers to the behavioral norms, assumptions, and beliefs of an organization, whereas climate refers to the perceptions of persons in the organizations that reflect those norms, assumptions and beliefs" (p. 82). Other scholars (Schein, 1992; Williams, 2010) referenced the interaction among the members of an organization is an important component of climate. Early scholars discussed various levels of culture as superficial and deep; later scholars would call these levels climate and culture (Denison, 1996; Kotter & Heskett, 1992).

Denison (1996) and Keyton (2005) suggested that one distinction between the two is in the type of research that is being conducted. Early scholars used qualitative research to study culture and quantitative research to study climate. Now, however, cultural scholars are using quantitative methods as well. In reviewing studies on organizational climate or on organization culture many of the same questions are asked. For example, Chatman (1991) asked questions about risk taking in a study on organizational culture; Litwin and Stringer (1968) asked similar questions about risk taking in their study on organization climate. Another distinction according to Denison (1996) was that "Culture researchers were more concerned with the evolution of social systems over time whereas climate researchers were generally less concerned with evolution but more concerned with the impact that organizational systems have on groups and individuals" (p. 621). Culture researchers placed greater importance on understanding the deepest values and assumptions, while climate researchers are more concerned with individual's perceptions about practices and procedures.

A very thorough review of the literature on both climate and culture was conducted by Denison (1996) who concluded:

> The literature presents contrasting perspectives with little overlap in style or substance. This contrast tends to support perhaps the most widely accepted distinction between the two phenomena: Culture refers to the deep structure of organizations, which is rooted in the values, beliefs, and assumptions held by organizational members. Climate, in contrast, portrays organizational environments as being rooted in the organization's value system, but tends to present these social environments in relatively static terms, describing them in terms of a fixed and broad applicable set of dimensions. Thus, climate is often considered as relatively temporary, subject to direct control and largely limited to those aspects of the social environment that are consciously perceived by organizational members. (p. 624)

However, literature on culture versus climate is still very confusing and confounding (Burton, Lauridsen, & Obel, 2004; Denison, 1996; Schneider, 1990). Perhaps it is not necessary to differentiate between the two but simply recognize how the characteristics of each are important in organizational change.

Components of Culture

As varying are the definitions of culture so are the delineation of the components of culture. One of the earliest descriptions of culture was Schein's (1992) three-level model. The first level is called artifacts. These include behavior patterns and the results of those behaviors, language, jargon, programs, and policies. These are surface observations (Burke, 2014) and are generally obvious to see. Pedersen and Sorensen (1989) placed great emphasis

on the value of artifacts in an organization and delineated four clusters of artifacts that they considered most important in describing a culture: physical symbols, language, traditions, and stories. Trice and Beyer (1993) described four categories and used the term symbols in place of Schein's artifacts, but they are basically the same. GEICO's gecko, Aflac's duck, McDonald's arches, and Target's bullseye (Bolman & Deal, 2013) are prime examples of symbols. Examples of artifacts or symbols in the higher education setting might include the school logo or mascot, the school seal, or the décor used in the various buildings. The concept of symbols as a part of culture is shared by many scholars (Clark, 1987; Kuh & Whitt, 1991; Owens & Steinhoff, 1989; Pedersen & Sorensen, 1989).

Examples of language would include celebrations, parties, staff meetings, bulletin boards, posters, photos, memorabilia on display, hand gestures such as athletic signs and campus-specific humor. Examples of myths, legends, sagas, and stories might include the well-known story of the founding father of Notre Dame, Father Sorin. They might include the story of Thomas Jefferson's efforts to democratize higher education at the University of Virginia, the legend of standing on the M in the quad at University of Michigan (apparently it dooms the student to failure), or kissing under the engineering arch at U of M, which means a marriage is in the future. According to Heath and Heath (2007), stories are a very effective form of communication. An organization's values "characterize what an organization stands for, qualities worthy of esteem or commitment" (Bolman & Deal, 2013, p. 249). Southwest Airlines' "Symbol of Freedom" billboards convey its belief that the freedom of flying should be shared by all individuals, and there should be fun in doing it. The Marine Corps' "Semper Fi" phrase represents the traditions, sentiments, and solidarity instilled into recruits and perpetrated by veteran Marines" (Bolman & Deal, 2013, p. 250).

Stories are very important in that they are indicators of shared values (Take one for the Gipper) and understandings of how things are always done (Stoyko, 2009). Seely Brown and Duguid (2000) indicated that stories are easy to relate and easy to retell. They explained:

> Stories are good at presenting things sequentially (this happened, then that). They are also good for presenting them causally (this happened because of that). Thus stories are a powerful means to understand what happened (the sequence of events) and why (the causes and effects of those events). More generally, people tell stories to try to make diverse information cohere …Stories, moreover convey not only specific information but also general principles. These principles can then be applied to particular situations, in different times and places. (pp. 106-107)

The top organizations are rife with good stories (Bolman & Deal, 2013) and most often center around the companies' founders. Stories about J.W. Marriot, Sr. and his commitment to customer service are legend and remain a part of the hotel chain's philosophy today.

Rituals include symbolic acts and can be as simple as morning coffee, bedtime stories, admiring the sunset each day, or walking the dog. Of course, many rituals are reserved for momentous occasions such as the awarding of the Medal of Honor, the changing of the guard at Arlington National Cemetery, or the death notification of a military member. Hazing is an often abused ritual. Rituals are most keenly felt when they are lost. Bolman and Deal (2013) described the sense of loss of conviction and faith when the Catholic Church discontinued the use of Latin for its masses. Ceremonies are generally more elaborate and delivered on a grander scale. These include award ceremonies at conventions, graduation ceremonies and awarding of degrees, retirement dinners, political conventions, annual business meetings, harvest celebrations, or the annual palio held in Italy each summer

(Bolman & Deal, 2013). Trice and Beyer (1984) were particularly interested in rites and ceremonies (several rites connected at a single event) and outlined several main types of rites: rites of passage (military basic training), rites of degradation (firing top executives), rites of enhancement (Mary Kay seminars), rites of renewal (organizational development activities), rites of conflict reduction (collective bargaining), and rites of integration (office Christmas parties).

Heroes and heroines are also types of artifacts or symbols. According to Bushardt and Fowler (1987), "Heroes serve as beacons for younger members and communicate those behaviors that are valued in an organization" (p. 34). Classic examples of heroism include the acts of courage by the firefighters and police officers following the Twin Towers tragedy and the teachers who sacrificed their lives to save the children in Sandy Hook Elementary School. Ordinary people can be heroes. Joe Vallejo was a custodian at a junior high school, but through many small acts of courage, he influenced the lives of students and teachers alike. Southwest Airlines honors its "Heroes of the Heart" each year – individuals who contribute to the airlines' performance (Bolman & Deal, 2013).

Schein's second level was values and beliefs or "How people communicate, explain, rationalize, and justify what they say and do as a community – how they make sense of the first level of culture" (p. 17). He included philosophies, ideologies, ethical beliefs, and attitudes in this second level. Schein differentiated between espoused values, which are largely symbolic, and values-in-use, which are values that individuals enact in everyday life. Jagajeevan and Shanmugam (2008) posited that espoused values are actually quite easy to change. They continued that these espoused values were worthless unless and until they were made real.

The third level is the basic assumptions shared by the organization. These are the beliefs that individuals subconsciously have. They are deeply ingrained and are used to instinctively guide behavior. Basic assumptions are taken for granted, and individuals will not accept changes to these behaviors. Basic assumptions are non-confrontable and undebatable, making them very difficult to change (Schein, 2010). Changes made at this level are long lasting (Jagajeevan & Shanmugam, 2008).

Numerous other scholars have also identified very similar characteristics of culture (Pedersen & Sorensen, 1989; Robbins, 2003; Trice & Beyer, 1993). Owens and Steinhoff (1989) use Schein's (1992) model but consider six intersecting and overlapping elements: history of the organization, symbolic myths and stories about the organization, espoused values and beliefs of the organization, expectations of behavior in the organization, rites and rituals, and heroes and heroines. They do not address physical symptoms or language.

Ashby (1999) and Robbins (2003) identified very different features of a great organizational culture. Ashby's description of an ideal includes a missionary zeal, a sense of pride, sincerity and cooperation, an attitude of constructive discontent, a value-based mind set, an emphasis on creativity and innovation, a focus on role models, a sense of high expectations and standards, fair, commensurate compensation and incentives, a habit of creating success, and an adherence to the golden role. Robbins (2003) offered ten main characteristics of organization: personal identification, group organization, attention to workers, integration, supervision, risk tolerance, assessment and remuneration, tolerance of conflict, and orientation to outcomes and measures.

Lundberg (1990) describes the defining features of organizational culture as:

Organizational culture is: a shared, common frame of reference i.e. it is largely

> take for granted and is shared by some significant portion of members; acquired and governs, i.e. it is socially learned and transmitted by members and provides them with rules for their organizational behavior; a common psychology, i.e. it denotes the organization's uniqueness and contributes to its identity; enduring over time, i.e. it can be found in any fierily stable social unit of any size, as long as it has a reasonable history; symbolic, i.e. it is manifested in observables such as language, behavior and things to which are attributed meanings; at its core, typically invisible and determinant, i.e. it is ultimately comprised of a configuration of deeply buried values and assumptions; is modifiable, but not easily so. (p. 19)

Iancu (2009) simply analyzes culture as normative (formal structure) or expressive (rituals, ceremonies, symbols, myths, and informal standards). Stoyko (2009) described organizational culture as a "vessel" that contains ideas and experiences from the past (p. 2).

Subcultures

Merton (1968) posited that subcultures are a natural phenomenon within larger bureaucratic organizations. Van Maanen and Barley (1985) defined a subculture as "a subset of an organization's members who interact regularly with one another, identify themselves as a distinct group within the organization, share a set of problems commonly defined to be the problems of all, and routinely take action on the basis of collective understandings unique to the group (p. 38). Some of the authors' earliest work centered on the subcultures at Disneyland.

This existence of subcultures within the organization-wide culture was suggested by

many researchers (Bunch, 2001; Hansen & Kahnweiler, 1994; Joyce & Slocum, 1982; Martin, 1992; Martin & Siehl, 1983; Powell 1997; Sackman, 1992; Trice & Beyer, 1993; Turnbull & Edwards, 2005; Wilensky & Hansen, 2001). Chattergee, Lubatkin, Schweiger, and Weber (1992) surmised that "It is reasonable to expect that a firm will contain numerous subcultures and each imparts its own influence on the overall cultural fit between two merging organizations" (p. 321).

These subcultures may arise based on a number of characteristics including segmentation, importance, technological innovation, ideological differentiations, and career filters (Ehrhart et al., 2014; Lewis, 1996; Martin & Siehl, 1983). Smollan and Sayers (2009) suggested that sub-cultures are based on hierarchy, department, professional identify, ethnicity, and even gender. Palthe and Kossek (2003) described subcultures as employee-centered, professional-centered, task-centered, and innovation-centered. Ehrhartet et al. (2014) posted "The presence of occupational subcultures has perhaps received the most attention in the literature on subcultures" (p. 171). Masland (1985) suggested four cultural spheres or subcultures: cultures of specific academic disciplines, culture of the academic professions, culture of the institution, and culture of the national higher education system.

Martin and Siehl (1983) identified three distinct subcultures that may exist in organizations. The first type is the enhancing subculture; individuals in this subculture actually are more passionate about the core values of the organization as a whole than the general employee population. In an orthogonal subculture, members have their own set of core values that do not conflict with the overall core values of the organization. The third type is the countercultural subculture; this divisive subculture owns a set of cores values that

are contradictory to the core values of the organizational culture as a whole (Ehrhart et al., 2014; Martin & Siehl, 1983).

Within the realm of higher education, subcultures also exist and are described in differing ways. Clark (1987) referred to these as "small worlds" which can develop according to discipline, profession, faculty, location, or sense of value. Others described subcultures as due to enterprise, administrative versus student, geography, program responsibilities, and faculty versus staff (Chattergee et al., 1992; McPherson, 2003; Schroeder, 2010; Smollan & Sayers, 2009). Kezar (2013) proposed that the department is the most important cultural level at the typical four-year institution. She cited the roles that the department head, the tenured faculty, the deans, and the vice presidents have over the individual departments. Austin (1990), Tierney and Rhoads (1993), and Toma (1997) described cultures revolving around the academic profession, the organization, the institution type, and the discipline. In 1966, Clark and Trow identified four specific student subcultures: collegiate, vocational, academic, and nonconformist. These four subcultures were based on two dimensions: the extent to which a student is involved with ideas and the extent to which the student identifies with the institution (Hendel & Harrrold, 2007). The collegiate culture revolves around the extracurricular activities offered by the university. This includes fraternity and sorority life, athletics, and social life. Students identifying with the vocational culture have limited involvement with ideas as well as limited involvement with the institution itself. The academic subculture students are interested in learning and seek an attachment with the institution itself, and the nonconformists are interested in ideas but seek detachment from their institution. Clark and Trow's (1966) research was the basis of a series of subsequent (Hendel & Harrold, 2007; Kuh, Hu, & Vesper, 2000; Wilder, Midkiff, Dunkerly & Skelton,

1996; Wilder, McKeegan, Midkiff, Skelton & Dunkerly, 1977; Wilder, McKeegan, & Midkiff, 2000). Hendel and Harrold (2007) specifically studied the numbers of students in each of the four subcultures as compared to Clark and Trow's original predictions.

Several authors suggested that differences among subcultures can have both negative and positive consequences. These subcultures may cause tension, conflicts, breaches between faculty and administration, disruptions to cultural integration, and may promote power struggles (Billups, 2011; Bunch, 2001; Hammond, Keeney & Raiffa, 2001; Turnbull & Edwards, 2005). They may also enrich institutional life, can serve as a powerful influence in bringing groups together, can minimize conflict, can spark new knowledge, can foster shared goals, and enhance learning (Hammond et al., 2001; Mahler, 1997; Tierney, 1988).

Martin and Siehl (1983) suggested that one of three outcomes will result from the clash between subcultures and the overriding culture. It may be that (a) the subculture will accept the overriding culture, (b) the subculture accepts the overriding culture but maintains some no conflicting values of the subgroup, or (c) the counterculture directly challenges the dominate culture's values. Any one of these outcomes will influence the organization.

Cultural Models

Based on these characteristics of culture, models of culture type or typology developed. There are several models found (Deal & Kennedy, 1992; Lundberg, 1990; Mitroff, 1983; Mitroff & Kilmann, 1976; Sathe, 1983), many based on the original work on identifying personality types of Jung (1923). A summary of the cultural models is found in Table 2.

Quinn and Rohrbaugh (1981), Cameron and Ettington (1988), and Cameron and Quinn (1999) contributed to the development of the Organizational Competing Values Framework. They identified four quadrants of a framework, each describing a type of culture. The quadrants are based on two sets of variables. These are flexibility versus stability and external versus internal orientation (Toma et al.,2005).

The first of the cultures identified in the Competing Values Framework is the *clan* culture. The characteristics of a clan culture are flexibility, individuality, and spontaneity. The leadership style seen in the clan culture is that of a facilitator or mentor. There is emphasis on internal orientation and human resources. Clan cultures are very loyal and are committed to their leader. Consensus and teamwork are important aspects of daily work (Chan 1997).

The second, the *adhocracy* culture, emphasizes external orientation and flexibility. Innovation, cutting-edge output, freedom, and uniqueness are all characteristics of adhocracy cultures. Leadership styles seen in this type of culture are that of innovator or entrepreneur. The leadership style seen in the *hierarchy* culture is that of coordinator or organizer. Rules and policies are important, as are stability, efficiency, control, and predictability. The orientation is internal in nature (Toma et al., 2005). Finally, the *market* culture values external positioning, stability, control, and predictability. The primary leadership style is that of producer or driver with an overall goal attainment as the focus of leadership. Leaders tend to be very competitive with goals of gaining advantage over similar organizations (Michael, 1997; Smart & St. John, 1996).

In 1999, Cameron and Quinn created the organizational culture assessment instrument, or OCAI, as a tool in research for examining organizational culture. It is a

questionnaire with six categories (dominant organizational characteristics, leadership practices, management practices, organizational glue, strategic emphasis, and criteria of success) with specific questions within each of these categories. Based on the OCAI, an organization can identify which of the four cultures describes it best (Cameron & Quinn, 1999). Deal and Kennedy (1982) proposed four cultures: (a) *the tough-guy, macho culture*; (b) *the work-hard/play-hard culture*; (c) *bet-you-company culture;* and (d) *the process culture.*

Table 2. Cultural Models found in Business and Education

Cultural Model	Identified Cultures	Characteristics of Culture
Cultures of the Organizational Competing Values Framework	Clan	Characterized by flexibility, individuality, spontaneity
	Adhocracy	Emphasizes external orientation; flexibility
	Hierarchy	Characterized by stability, efficiency, control, and predictability
	Market	Emphasizes external orientation; stability, control, and predictability
Deal and Kennedy's Cultures (1982)	Tough-guy/macho	Founds in sports, entertainment, banking and law-enforcement organizations; take high risks, tend to be young, competitive
	Work-hard/play-hard	Found in sales industries, computer and office equipment companies; small risks, team-spirit, hard work is expected but fun is a reward
	Bet-your-company	Found in oil companies, aircraft manufacturers, and capital goods companies; invest in long-term projects, decisions are deliberate, and stakes are high
	Process	Found in accounting firms, public and government organizations and banks and insurance companies; employees have little feedback and concentrate on their individual job; process oriented
Bergquist's (1992) Cultures within Higher Education	Collegial	Most widely identified; encourages diversity, autonomy, scholarship and research
	Managerial	Finds meaning through fiscal responsibility and effective management
	Developmental	Appreciates self-expression, openness, and autonomy; emphasis on creation of new programs and diversity of faculty

	Advocacy	Embraces policies and procedures for equitable treatment and allocation of resources; unions and collective bargaining are common to this culture
	Virtual	Values global perspective of education; values technology
	Tangible	Based on a reflection of the past and traditional values and aspirations
Kezar's (2013) Cultures within Non-tenure-track faculty (NTTF)	Destructive	Promotes disrespect and hostility among full time and part-time faculty
	Neutral	Part-time faculty mostly ignored by others; also called invisible

The tough-guy, macho culture is seen in sports, entertainment, investment banking, and law-enforcement organizations. Members of this culture take high risks, tend to be young, and internal conflict and competition are commonplace. In the work-hard/play-hard culture (seen mainly in sales industries, and computer and office equipment companies), the risks are small, a team-spirit is evident, and hard work is expected but rewarded with fun. The bet-your-company culture is found mainly in oil companies, aircraft manufacturers, and capital good companies. These organizations invest in long-term projects and consequently decisions are deliberate, as the stakes are high in these organizations. Projects may take several years for fruition, but the results are high-quality inventions. The process culture is seen in accounting firms, public and government organizations, banks, and insurance companies. Employees usually have little feedback and concentrate only on their individual jobs. Thus, they are process-oriented and not outcome oriented (Deal & Kennedy, 1982).

University leaders are becoming increasingly interested in the concept of culture and the role that it can play in university change and development (Omerzel, Biloslavo, & Trnavcevic, 2011; Bartell, 2003; Tierney 1988). Administrators in higher education often follow trends that are first seen in the corporate world assuming that if it works for business, it will work for a university. Tierney (1998) suggested that there has not been a definition of

culture appropriate to higher education. Yet, many scholars have posed a definition. Deal and Kennedy (2000) and Bartell (2003) believed that in this setting culture is defined as the beliefs and values of faculty, students, administration, and support staff often based on long-held traditions. Iancu (2009) stated "Organizational culture of an educational institution refers to the values, attitudes, beliefs, rules, traditions and customs that have formed in time in a certain school and have transmitted from generation to generation to those that contribute to the functioning of the school" (p. 70).

Toma et al., (2005) defined culture as "an institution's norms, values, and beliefs and the concrete forms that culture assumes" (p. 5). They included in their definition many of the commonly used attributes of culture (tangible symbols, language, narratives, and practices). They stated "At universities and colleges, institutional culture conveys a sense of identity (who we are), facilitates commitment (what we stand for), enhances stability (how we do things here), guides sense making (how we understand events) and defines authority (who is influential)" (p 6).

Thornton and Jaeger (2008) posited "Within higher education studies, many aspects of campus life have been found to be influenced by and to have an influence on institutional culture" (p. 162). These areas included institutional mission and purpose (Hartley, 2003; Shaw & London, 2001), student values and actions (Kuh, 1990), faculty work and collective decision-making (Austin, 1990; Birnbaum 1988), and the presidents themselves (Bensimon, 1990).

Researchers have referred to a lack of research of culture relating to higher education (Dill, 1982). Actually, as early as the 1960s, there were studies (Becker, 1995; Davie & Hare, 1956) conducted on culture in universities, but these focused on student cultures and not the

university as a whole. In the early 70s, Clark (1987) pioneered work on colleges as a culture concentrating on beliefs, loyalty, and sagas as tools for institution identify. Much research conducted in the late 70s and 80s focused heavily on academic cultures (Becker, 1995; Gaff & Wilson, 1971; Freedman, 1979). Several of these studies linked institutional culture with organizational success.

Bergquist (1992), based on the work of Cohen and March (1974), identified four interrelated cultures that he observed in higher education institutions in the US. These cultures are important in that they impact the ways in which administration, faculty, staff, and students view their college or university. The *collegial* culture is reflective of the long history of collegiality in academic institutions. It is the most widely identified; it encourages diverse perspectives, autonomy over one's own work, and leadership based on scholarship and research. Strong publication records from refereed journals is a widespread characteristic among faculty in collegial cultures. Faculty members tend to have more loyalty to their discipline than to their university. Many of the attributes associated with the collegial cult originated in German, Scottish, and English universities and brought to the United States (Bergquist, 2008).

A culture that finds meaning through organization, evaluation, and implementation of work and which values fiscal responsibility and effective management is deemed a *managerial* culture. The managerial culture originated from postsecondary institutions in the United States and in Canada, many of which were Catholic colleges and universities. Educational outcomes in the managerial culture are based on specific criteria for teaching; in the managerial culture, faculty use institutionally prepared instructional materials. Instructional design and instruction are separate processes. According to Bergquist (2008),

"The key words of the managerial cultures seem to be efficiency and competence" (p. 62). Leaders who are fiscally responsible and value personnel management are most successful in managerial cultures.

Bergquist's *developmental* culture appreciates self-expression, openness, and autonomy. There is more emphasis in creation of new programs, diversity of faculty in terms of gender and race, and encouragement for "cognitive, affective, and behavioral maturation among all students, faculty, administration, and staff" (Bergquist, 2008, p. 73). The developmental culture encourages deliberation and open communication but suffers from lack of coherence and organization. It is a product of the 1960s when faculty believed that the institutions were not meeting the needs of the students. According to Bergquist (2008), "The institutional values inherent in the developmental culture concern three distinct but interrelated aspects of institutional life: teaching and learning, personal and organizational maturation, and institutional mission" (p. 102). Developmentalists value teaching and learning rather than scholarly pursuits and research and believe in interdisciplinary approach to curriculum development. Faculty members in the developmental culture identify themselves as teachers rather than as historians, biologists, or linguists; in other words, emphasis is not on the discipline they represent.

The *advocacy* culture embraces policies and procedures for equitable treatment and allocation of resources among all faculty. Faculty members in an advocacy culture believe that change can only occur through confrontation and through use of resources (withholding or providing). Tenure and the fate of part-time faculty are major issues of concern in the advocacy culture. The establishment of unions and collective bargaining are important

constructs in this culture. Bergquist (2008) posited that there were two values dominating in this culture: equity and egalitarianism.

Bergquist (2008) added the *virtual* culture in response to the advent of technology, greater pressure from external forces, and globalization of higher education. He described this new culture as one "which values the global perspective of open, shared, responsible educational systems…and that conceives of the institution's enterprise as linking its educational resources to global and technological resources, thus broadening the global learning network" (Bergquist, 2008, p. 147).

Finally, the *tangible* culture finds meaning in "its roots, its community, and its spiritual ground" (Bergquist, 2008, p. 185). This tangible culture is based more on the reflection of the past and its traditional values and aspirations. All six of these cultures can exist in small part in all institutions, but generally, there is a dominant one.

Tierney (1988) offered six categories with which to describe a culture. These are mission, strategy, environment, socialization, information, and leadership. Based on a detailed review of these six categories, a clear picture of the institution's culture can be identified.

McNay (1995) also offered a model for culture in the university setting. He described four models (collegium, bureaucracy, corporation, and enterprise) based on rigorousness of policy definition and subsequent managing of that policy implementation. Using interviews from faculty from the Royal Welsh College of Music and Drama and the University of Glamorgan in South East Wales, Drowley, Lewis, and Brooks (2013) identified dominant themes for each of McNay's four cultures. These major themes were used to identify the culture of the two institutions pre-merger and then again, post-merger.

Kezar's (2013) study of culture within non-tenure-track faculty (NTTF) identified four types of culture within the NTTF community in departments within three higher education institutions. These were the *destructive*, the *neutral*, the *inclusive*, and the *learning* cultures. She posited that these same four cultures would likely be found in other similar universities. A review of these cultures shows clearly that the destructive culture is the least desirable, as it promotes disrespect and hostility between NTTF and tenured or tenure-track faculty. According to Kezar (2013), "The departments tend to be elitist in perspective, believing that only faculty who have earned a doctorate, obtained a tenure-track position, and are awarded tenure are worthy academics" (p. 164). Kezar (2013) discovered that typically NTTF were given no formal orientation, professional development prospects, or socialization opportunities. NTTF were described as "second-class citizens" and were completely disenfranchised from the rest of the faculty.

NTTF in the neutral culture "Are typically not actively disrespected as they are in the destructive culture; rather they are mostly ignored" (Kezar, 2013, p. 168). Understandably, this culture is also called the invisible culture. NTTF were definitely given autonomy but to the point of very little feedback given on their performance. This type of culture was found in thirteen of the twenty-five departments surveyed by Kezar (2013). In the inclusive culture, NTTF were respected by tenured faculty, invited to participate in all departmental events, and asked to contribute to governance and curricular decisions. Unlike faculty in the destructive or neutral cultures, NTTF had equal and positive experiences with other faculty, were included in all departmental information and materials, and offered professional development. Departmental chairs attempted to upgrade salary and benefits in the inclusive

culture. Six of the twenty-five departments surveyed demonstrated the inclusive culture (Kezar, 2013).

The inclusive and the learning cultures are very similar in the positive nature of the culture but the learning culture does acknowledge the value of the faculty to student-learning. NTTF are valued, not just for themselves, but for the knowledge that they can bring to the students. In the learning culture, NTTF are encouraged to assume advisor roles in addition to their teaching expectations and are provided professional development activities in their discipline and encouraged to form bonds with other faculty to enhance their teaching methodologies (Kezar, 2013).

Levin (1997) identified four cultures of the community college: *traditional* culture, *service* culture, *hierarchical* culture, and *business* culture. According to Levin (2007), "The traditional culture of the community college is contextualized within and related to, explicitly or implicitly, historical, political and social forces" (p. 3). External factors are major contributors to the culture, social status and prestige are important to the college, and the college mission focuses on the intellectual development of its students (Levin, 1997). In the service culture, people are the focus and the institution is committed to the well-being of the students. While academic endeavors are important, serving the underprivileged and offering equality is more important in the service culture. Interaction with the external environment is very evident in the service culture (Levin, 1997).

The characteristics of the hierarchical culture include "Adaptability, flexibility, open access, community responsiveness, and a focus upon the learner" (Levin, 1997, p. 9). This culture is rooted in increasing access to individuals and maintaining high academic standards. Like the service culture, providing opportunities to the underprivileged is very important.

Community colleges that exhibit the hierarchical culture have strong reward systems for recognizing excellence. Leaders in hierarchical culture are considered the "chief moral authority" (Levin, 1997, p. 11).

The business culture developed in the 1980s resulted from the difficult economic times of this period. In order to survive, many institutions of higher education looked to the business model of success (Levin, 1997). Some of the business strategies adopted included collaborations, quality teams, and executive leadership. According to Levin (1997), "The business culture does not characterize the community college as a human service organization" (p. 13). Basically, the business culture is one that values resources above faculty and students.

Other scholars have introduced their own interpretations of culture as well (Goffee & Jones, 1998; Harrison, 1979; Jung, 1923; Levin, 1997; Gregory, Harris, Armenakis, & Schook, 2009). One of the more creative descriptions was suggested by Handy (1993) who saw a connection between different types of organizations and what some of the Greek gods represented. He described the power culture as that in which one individual or one group dominates. He likened this culture to the Greek god Zeus. The role culture was based on the god Apollo who was the god of reason. The emphasis in this culture is on defined roles and the individuals who fulfill these roles. The task culture was based on the goddess Athena. It is dominated by projects or tasks that must be fulfilled. Finally, the person culture is likened to the god Dionysus who was the deity of the self-oriented worker. Of the four, this culture is designed to meet the needs of its members (Handy, 1993). Early twenty-first century researchers focused on the influences of technology, telecommuting, and cyberspace on

institutional culture (Baumard & Starbuck, 2001; Bluedorn, 2000; Dunbar & Garud, 2001; Hedberg & Maravelias, 2001; Tyrrell, 2000).

Why is Studying Culture Important?

Kotter and Heskett (1992) stated "Almost all books on corporate culture state or imply a relationship to long-term economic performance" (p. 15). A strong culture is basically related to excellent performance. Many scholars have echoed this idea of culture affecting performance (Cameron & Freeman, 1991; Pfiffner & Sherwood, 1960; Clott & Fjortoft, 1998). Schein (2004) posited that "Culture is intricately linked with leadership" and "the only thing of real importance that leaders do is create and manage culture" (p. 11). He also mentioned that at times leaders must destruct and then reconstruct culture. According to Hofstede (1998), an organizational culture may be the single most decisive influence on the success or failure of an organization.

Acculturation Following a Merger

How do organizations address the issue of culture following a merger? According to Cartwright and Cooper (1993), "When two societal cultures come together, anthropologists use the term acculturation to describe the resultant process of contact, conflict and adaptation" (p. 65). The concept of acculturation is not a new one; Ward (1996) and Berry (1997) described two approaches to understanding acculturation. They posited that acculturation can be considered either a process or a state. As a process, acculturation is that change in behaviors, the deeper values, attitudes and beliefs of employees after having contact with a new group of individuals. As a state, the focus is on the extent of acculturation at a given point in time (Heidrich & Chandler, 2011). Marks and Mirvis (2011) posited that cultural differences could, in fact, enhance performance post-combination. Their studies

showed that "A moderate degree of culture difference can be a stimulus for cross-country dialogue, creative problem solving, and innovation" (p. 860).

Marks and Mirvis (2011) suggested that understanding culture clash is important in the acculturation process. They identified four stages through which employees of merging organizations will move. In stage one, the employees of both organizations begin to look at the leaders, leadership styles, decision-making processes and reputations of the merging firms. These differences are magnified in stage two where the merging company is considered not just different but very different from their organization. Stage three involves stereotyping (and usually negatively) of the employees of the partnering company. Finally, "The culture clash reaches full height as the partner company is put down as inferior" (Marks & Mirvis, 2011, p. 862). This final stage is a "we" versus "them" mind-set. Marks, Mirvis and Ashkenas (2014) stated that culture class was inevitable but could be managed by following six steps:

1. Assess cultural fit during due diligence – This actually should take place before a final decision to merge is made. After researching financial issues, operation issues, managerial capabilities and cultural issues, a decision should be made as to whether a merger is a good idea. Chatterjee, Lubatkin, Schweiger and Weber (1992) introduced the concept of cultural fit in their research.
2. Clarify the cultural endstate – Executives must identify both the financial and the cultural end result that is desired in a merger.
3. Educate people on culture clash – Informing employees of the sources of culture class and conducting seminars to minimize these differences can be very effective in minimizing cultural issues.

4. Engage in deep cultural learning – Employees of each company should be given the opportunity to learn more about the other organization. Markset al., (2014) used an exercise where the employees wrote down how they viewed their company's culture, how they viewed the other company's culture and how they thought the other company viewed their culture. This exercise was used to identify problem areas and to promote dialogue in resolving the discrepancies.
5. End the old culture to get to the new one – The authors suggested that a mourning ceremony of some type to commemorate the ending of the old culture followed by a celebration of the new culture accelerates the acceptable of the new order.
6. Align human resources practices with the desired new culture – Human resources can be a powerful ally in merging the issues relating to recruiting, performance assessment, promotions, and compensation to make the transition easier.

Various stages and modes of acculturation have been proposed. Three stages of acculturation are described by Nahavandi and Malekzadeh (1993): contact, conflict and adaptation. The first stage, contact, occurs when the employees of the two organizations meet for the first time. This initial encounter may cause conflict; the less subsequent contact, the less conflict will ensue. The conflict stage occurs during times of contact on a daily basis. The probability of conflict is high if both cultures are strong and both organizations successful. Another contributing factor to conflict is if the organizations are former competitors. During the conflict stage, neither group of employees desires to change its culture (Nahavandi & Malekzadeh, 1993).

The final stage is adaptation. The ideal outcome is cultural synergy where cultural elements are agreed upon by all parties. This is considered positive adaptation. Negative

adaptation, on the other hand, occurs when one party feels mistreated and continues to demonstrate resistance to change (Nahavandi & Malekzadeh ,1993).

According to Cartwright and Cooper (1993), "Acculturation occurs through four different modes depending on the extent to which members are satisfied with and value their existing culture and their evaluation of the attractiveness of the other culture" (p. 65).

Heidrich and Chandler (2011) and Cartwright and Cooper (1993) described modes of acculturation. *Assimilation* is a common means of solving cultural conflicts. One of the organizations (usually the least dominant party) gives up its culture and becomes assimilated into the culture of the other party. The dominant part conducts a "culture-stripping" process to absorb the other culture (Cartwright & Cooper, 1993).

A second mode of acculturation is *integration* in which members of both organizations retain their cultural identities. The dominant organization allows the non-dominant organization cultural freedom and exerts only financial or legal control (Heidrich & Chandler, 2011). Cartwright and Cooper (1993) purported:

> Ideally, there are interaction and adaptation between the two cultures, which result in the evolvement of a new culture which represents the best of each culture. However, this requires change and ultimate balance between the two cultural groups, which, as merger is rarely a marriage between equals, seems to occur infrequently in practice. (p. 66)

Separation is a third mode of assimilation. With separation, the non-dominant organization rejects any attempt to assimilate the cultures. There is a high level of conflict between the two organizations and no changes in culture occur (Cartwright & Cooper, 1993; Heidrich & Chandler, 2011).

The final and least desirable mode of assimilation is *deculturation*. The culture of the non-dominant organization is completely disappearing. Conflict and stress levels are extremely higher. The dominant firm completely overshadows the culture of the non-dominant firm (Cartwright & Cooper, 1993; Heidrich & Chandler, 2011).

Armenakis, Brown and Mehta (2011) studied the culture of a family business and summarized the requirements needed to transform the institutional culture of the organization. These five requirements could easily be used in transforming a culture following a merger in higher education. The first requirement is having a cultural leader, that is, one who is able to "articulate the beliefs and values, and who plays a major role in orchestrating the artefacts that will describe the culture" (Armenakis et al., 2011, p. 322). This leader must be perceived as credible by the employees of the organization. Kouzes and Poser (1993) suggested four characteristics that exemplify credibility: honesty, competence, inspiration, and vision.

While a cultural leader is the first requirement, Armenakis et al. (2011) suggested that the second requirement is to have cultural carriers. They defined these individuals as "The formal and informal leaders throughout the organization who are required to reinforce the thoughts and actions of the cultural leader" (Armenakis et al., 2011, p. 323). These individuals can be quite effective in transforming the existing culture. The third requirement is to identify the artefacts, espoused beliefs and values that are expected in the new culture. This is referred to as establishing the cultural framework. For a higher education merger, one of the most important requirements would be to have defined formal and informal management practices. The fifth requirements which is based on the preceding four is the cultural internalization or accepting of the new beliefs, values, and cultural artifacts.

According to Armenakis et al., (2011) employees must "Speak in terms of *we believe or we think* instead of *I believe or I think*" (p. 325).

Endstate of Acculturation

Lang's (2003) work in acculturation found that the success in transforming a new culture within higher education was difficult to achieve. He suggested several possible conclusions: one culture can be allowed to dominate, two universities can allow a degree of autonomy within each, or the less dominant institution would be closed! Marks and Mirvis (2011) also suggested several endstates to mergers. These are cultural pluralism, cultural integration, cultural assimilation, and cultural transformation.

Cultural pluralism is similar to Lang's description of two organizations with the parent organization granting autonomy to the second organization. This type of endstate works most frequently in highly technical industries such as pharmaceutical companies or biotechnology firms. (Lang, 2003; Marks & Mirvis, 2011). The "best of both" endstate is descriptive of cultural integration. With cultural integration, the leaders of the merged companies look at the values and beliefs of the two organizations and choose those that they both want to carry over to the combined organization. According to Marks and Mirvis (2011), cultural assimilation is the most commonly found endstate, usually between two companies of unequal size and sophistication. In cultural assimilation, the larger company's culture will prevail and the employees of the smaller company need to see that the new culture is beneficial to all. Finally, in cultural transformation, the endstate is "ending the old before embarking on the new" (Marks & Mirvis, 2011, p. 872). Contrary to the other possible endstates, both cultures are completed eliminated and a new one created. Important to the

success of this type of acculturation is the communication of the new values and beliefs by top management.

Summary and Interpretations

Institutions of higher education have entered into partnerships and mergers in response to growth and change in higher education. This growth and change is necessary due to decreased funding from external forces including state governments, issues of academic quality and reputations, in response to diversity issues and to threats from competitors and for-profit institutions. Mergers attempt to mitigate these external forces but are, as Burke (2014) proposed, a type of revolutionary change that "can be seen as a jolt (perturbation) to the system. As a result, nothing will ever be the same again" (p. 76). The literature suggests that strong leadership is vital during these challenging times as mergers are, perhaps, the most demanding of all institutional change. Studies on mergers and incorporations in educational settings have shown that transformational leadership is an important factor in the success of the merger (Fernandez 2005; Hall, Symes, & Leucher 2004; Hope, 2002). Several change theories have been developed which delineate phases of change as well as individual's responses to those changes.

One of the most important elements of change management is the role that culture plays within the organization or institution. There is no one definition of culture; the literature suggests a number of definitions by various researchers. Culture, too, can be examined from several perspectives including the differences between culture and climate, the various components and characteristics of culture, as well as the role of subcultures in organizations. Several researchers have identified specific types of cultures that exist both in the business arena and in higher education. The literature clearly suggests that culture plays

an important role in the success or failure of an organization. Culture is just as important in higher education and, particularly so, in the event of mergers within or among institutions. Acculturation is that process of two cultures coming together to create a new culture and various stages and modes of acculturation have been proposed. However, several researchers submitted that transforming into this new culture is a difficult process and one that needs to be studied further.

Conclusions

Mergers are becoming a reality in higher education institutions both nationally and internationally. The literature does suggest that culture is an important component in mergers and should be addressed by strong, transformational, leaders. Several studies have identified specific components of culture that must be considered in preparing for and implementing a successful merger. However, there are gaps in the literature in relation to acculturation or acculturation of faculty and staff after mergers in higher education institutions.

Recommendations

More research needs to be done on the acculturation process following mergers in higher education. Very few studies have been done that investigate the outcome of an organizational merger of two institutions or two units within an institution during the first several years of a merger in terms of creation of a common, productive, culture. Such a study could provide valuable information and prompt further inquiry by stakeholders when contemplating mergers among institutions.

Chapter Summary

The literature on mergers, change management, and organization culture helps researchers to understand how to define the phenomena of culture and to recognize the

importance of culture on organizational effectiveness, particular in relation to mergers. In the context of this review the researcher identified reasons for mergers in relation to higher education, discussed the change management process and leadership roles in this process, and the role that culture plays in any type of organization, especially during times of revolutionary change.

The information examined in this chapter supports the development of the conceptual framework presented in Chapter 1 and reinforces the study's research questions. Chapter 3 will describe the methodology needed to achieve the goals of this case study.

CHAPTER THREE: METHODOLOGY

The purpose of this study was to: (a) ascertain the reasons that prompted the merger of two institutions of higher education; (b) identify the characteristics of the change process and how the process influenced the response to change by the faculty and the staff of the merging institutions; (c) examine the role of the leaders in facilitating the merger; (d) determine the extent to which organizational culture played a part in the merger; and (e) identify the new organizational culture following the merger. To properly frame this study, it was appropriate to examine the history of mergers both in the corporate world and in higher education, looking specifically at the reasons for mergers and the types of mergers, and to give some examples of successes and failures in mergers. To understand the effect of culture on merging institutions, the various definitions of culture were explored, including the differentiation between culture and climate. Several models of culture were examined, and the stages and modes of acculturation were reviewed.

Culture becomes increasingly important when mergers between institutions of higher education take place. While there has been research on various aspects of higher education mergers (strategic management, politics, and theory and practice), there has been little on the process of integrating institutional cultures. Yet Eastman and Lang (2001) believed that "Given the collective power and the individual autonomy enjoyed by faculty members, and the extent to which institutional success depends on their performance and achievement, it is especially important to attend to the human side of higher education mergers" (p. 176). Existing research supports the view that merging divergent cultures is a challenge (Buono & Bowditch, 1989; Hagberg Consulting Group, 2002; Harman 2002; Martin & Samels, 1994; Selingo, 1999). "Understanding different cultures and where and how to integrate them

quickly is vital to the success of an acquisition or a merger" (Hagberg Consulting Group, 2002, p. 1).

This chapter will delineate how the research questions were addressed.It will provide an overview of the methodology for this study in the "Methodological Overview." The second section, "Data Collection," describes the rationale for the selection of the setting of the study and the criteria for selection of the study participants. The third section, "Data Analysis," details the specific procedures that were utilized for analyzing the data collected during the course of this study. The fifth section, "Limitations and Delimitations," describes the limitations outside of the control of the researcher as well as the parameters established by the researcher. The section title, "Strengthening the Credibility of the Study," describes the strategies the researcher utilized to ensure the trustworthiness of the research. The final section, "Ethics" describes the strategies for protecting the participants in the study.

Methodological Overview

A qualitative approach was chosen as the researcher plans "to explore phenomena in their natural environment" (Rudestam & Newton, 2007, p. 32). Quantitative analysis cannot adequately identify the underlying beliefs and assumptions of the participants; survey instruments are not broad enough to capture the cultural dimensions of the institution. Gay and Airasian (2000) agreed and defined qualitative research as "The collection of extensive data on many variables over an extended period of time, in a naturalistic setting, to order to gain insights not possible using other types of research" (p. 627). According to Yilmaz (2013) "Qualitative research is based on the epistemological assumption that social phenomena are so complex and interwoven that they cannot be reduced to isolated variables, so it is not appropriate to use the term variable when defining qualitative research" (p. 311-

312). The purpose of qualitative research is to describe and understand a phenomenon through interviewing participants' in their natural setting. Denzin and Lincoln (2011) suggested

> Qualitative research is a situated activity that locates the observer in the world. Qualitative research consists of a set of interpretive, material practices that make the world visible. These practices transform the world. They turn the world into a series of representations including field notes, interviews, conversations, photographs, recording and memos to the self. (p. 3)

Mouton (1996) suggested a qualitative approach in order to discover interesting details or patterns in the data, which is the approach the researcher used. Creswell (2013) proposed that qualitative research be used when

> We want to empower individuals to share their stories, hear their voices, and minimize the power relationships that often exist between a researcher and the participants in a study; we want to write in a literary, flexible style that conveys stories, or theater, or poems without the restrictions of formal academic structures of writing; we want to understand the contexts or settings in which participants in a study address a problem or issue; partial or inadequate theories exist for certain populations and samples or existing theories do not adequately capture the complexity of the problem we are examining; and quantitative measures and the statistical analyses simply do not fit the problem. (p. 48)

Yilmaz (2013) stated "Qualitative studies are concerned with process, context, interpretation, meaning or understanding through inductive reasoning. The aim is to describe and

understand the phenomenon studied by capturing and communicating participants' experiences in their own words via observation and interview" (p. 313).

Case Study approach. The case study approach was used for this single-case study, as it focuses on gaining an in-depth understanding of a particular event at a specific time. The case study method has been used quite often in the educational setting (Tesch, 1990). Creswell (2013) identified five approaches to qualitative research: narrative research, phenomenology, grounded theory, ethnography, and case study. Narrative research generally tells the story of an individual and their experiences. Stories are collected from individuals, and documents are examined. Phenomenology "describes the common meaning for several individuals of their lived experiences of a concept or a phenomenon" (Creswell, 2013. p.76). Phenomenology seeks to reduce participants' experiences to a common thread in order to make a generalization of the concept. The intent of Creswell's (2013) third approach, grounded theory, is to "Move beyond description and to generate or discover a theory" (p. 83). This new theory is derived from the study of participants who have experienced a common process or action; this new theory would provide a framework for additional research. Ethnographic research focuses on a group of individuals who share a common culture. The ethnographer, then, is interested in studying this group of individuals and will interpret behaviors, beliefs, and values of the unit. The fifth approach is case study research that "involves the study of a case within a real-life, contemporary context or setting" (Creswell, 2013, p. 96).

There are many definitions of a case study and some discussion as to whether a case study is a qualitative research type or a qualitative research method. Sturman (1997) stated that "A case study is a general term for the exploration of an individual, group or

phenomenon" (p. 61). Simons (2009) asserted that "Case study is an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, program or system in a real life" (p. 21). As Willig (2008) asserted, case studies "are not characterized by the methods used to collect and analyze data, but rather its focus on a particular unit of analysis: a case" (p. 74). Stake (1994) proposed that "Case study is defined by individual cases, not by the methods of inquiry used" (p. 236). Creswell (2013) described case study research as research that "involves the study of a case within a real-life contemporary context or setting" (p. 97). Case study generally uses multiple methods for collecting data including interviews, focus groups, and archival documents.

Various types of case studies have been described (Creswell, 2013; Merriam, 1998; Stake 1994; Starman, 2013). Case studies can be classified by the overall intent of the study. A descriptive case study is one that provides an in-depth account of the phenomenon under study (Merriam 1998). Stake (1994) described an intrinsic study as one which is aimed at understanding one particular case because the case itself is interesting. Creswell (2013) also described an intrinsic case study as one in which the focus "is on the case itself" (p. 100) because "the case presents an unusual or unique situation" (p. 100). The intrinsic study was used in this case study.

Research Questions and Propositions

The following questions along with the accompanying propositions were addressed in the research study. Propositions are one of the five components of a research design according to Yin (1994), and "Each proposition directs attention to something that should be examined within the scope of the study" (p. 21). The propositions assist in moving the study

in the right direction. The researcher examined these questions from the perspective of faculty, staff, and administration involved in the merger.

Research Question 1: What were the major reasons leading to the consolidation between State University and Middle State University?

Proposition: Economy of scale is the most predominant reason for the consolidation between the two universities.

Research Question 2: What were the characteristics of the change process and the impact on the re-organization of the institutions?

Proposition: Utilization of change models influenced the response to change by the faculty and staff of the merging institutions by following suggested steps in change.

Research Question 3: How did the leadership within each organization facilitate the change management process?

Proposition: Effective leadership served as a critical element in the merger of the two institutions.

Research Question 4: What role did organizational culture play during the merger of the institutions?

Proposition: Organization culture served as a significant factor in the merger of the two institutions.

Research Question 5: What was the nature of the evolving culture following the merger of the two institutions?

Proposition: The culture of the newly-merged State University was reflective of the culture of the dominant, pre-merger State University.

Data Collection

State University, located in State A, was the setting for this study. State University and Middle State University were consolidated in January 2015 as part of a state-wide merger of twelve universities into six universities. The larger State University campus is home to ten of the thirteen colleges of the University. The smaller campus is home to the other three colleges. State University has an enrollment of over 33,000 traditional and non-traditional students, 55% of whom are female. Approximately one-third of the consolidated University's students are minorities.

Data collection took place on the two State University campuses during the month of June, 2016. Over an approximately one-week period, the researcher interviewed participants, observed the campus culture, reviewed and reflected on taped interviews, and reconnected for follow-up. Data was also collected through telephone interviews following the visit to the campuses as well as through e-mail communications with individuals who did not want to speak in person. The researcher obtained permission to recruit from the university's office of research.

According to Yin (2016) there are four possible sources of evidence for case studies: interviewing, observing, collecting and examining, and feeling.

The main sources of data examined were archival records, documents, and semi-structured interviews. The archival records and documents examined included:

Documents Analyzed for the Case Study:

1. Documents from the University System of State A relating to each individual consolidation

2. Press releases from the University System of State A relating to the consolidation efforts of the state as well as the specific press releases referencing the State University and Middle State University consolidation.
    a. "Regents Approve Principles for Consolidation of Institutions" – November 8, 2011
    b. "Eight US_ Institutions Recommended for Consolidation" – January 5, 2012
    c. "Regents Approve Campus Consolidation Plan" – January 10, 2012
    d. "Regents Approve Names for Two Institutions and Mission Statements for Four" – May 8, 2012
    e. "Regents Approve New Names for Two Remaining Consolidating Institutions" – August 7, 2012
    f. "Board of Regents Finalizes Consolidations, Appoints Presidents" – January 8, 2013
    g. "State University (pseudonym) and Middle State University (pseudonym) will Consolidate" – November 1, 2013
    h. "Regents Approve State University and Middle State University Consolidation" – November 12, 2013
    i. "State University – Middle State University Implementation Committee Appointed" – November 21, 2013
    j. "_____ Named Middle State University Interim President" – May 22, 2014

k. "Consolidation Plan for State University and Middle State University gets Final Approval from Accreditors" – December 9, 2014

l. "Board of Regents Finalizes Consolidation of State University and Middle State University" – January 6, 2015

3. Documents from the university's website
    a. President's Cabinet
    b. Organizational Chart
    c. "About the University"
    d. Consolidated Strategic Plan 2015-2016
4. Documents from the university's consolidation Website
    a. Committee Members
    b. CIC and ECIC Meetings and Notes
    c. Approved CIC Recommendations
    d. Leadership and Responsibilities
    e. Consolidation Prospectus
    f. Recommendations to Reality Cabinet
    g. Consolidation Timeline
5. SACSCOC Substantive Change Document
6. Articles in major newspapers in the state
7. YouTube recordings of press conferences and discussion forums related to the consolidation

Documents were utilized in the study in multiple ways. The documents were examined before the interviews to help identify key interview participants as well as during interviews

when needed to ask appropriate follow-up questions. Following the interviews, the documents were used to corroborate and triangulate the interview data adding to the credibility of the survey.

Gatekeepers

Creswell (2014) describes the importance of using gatekeepers to assist in gaining access to the research and the archival sites. The Vice President for Student Affairs and the Program Director for Online Education and Limited Term Associate Professor of Physical Education at State University assisted the researcher in identifying individuals from both State University and Middle State University who would provide the most understanding of the phenomena under study.

Sampling

A total of 14 participants were interviewed for this study. Six participants were interviewed from the State University campus and six from the (former) Middle State Campus. One of the participants was a May 2016 graduate whose course work was completed on the (former) Middle State Campus. The final participant was a former top administrator at Middle State University who left to take another position within a few months following the announcement of the consolidation.

The number of participants interviewed and the sampling technique used is supported by the literature. There are a number of sampling techniques available in qualitative research. The researcher used purposeful sampling where "The goal is to select cases that are likely to be "information-rich" with respect to the purposes of the study (Gall, Gall, & Borg, 2007, p. 178). Yilmaz (2013) stated "The main aim of purposeful sampling is to select and study a small number of people or unique cases whose study produces a wealth of detailed

information and an in-depth understanding of the people, programs, cases, and situations studied" (p. 313). According to Bryman (2016)

> Most sampling in qualitative research entails purposive sampling of some kind. What links the various kinds of purposive sampling approach is that the sampling is conducted with reference to the research questions so that nits of analysis are selected in terms of criteria that will allow the research questions to be answered. (p. 410)

Therefore, criterion for selecting participants in the study were that they experienced the phenomenon under study, in this case, the merger of two higher education institutions, which includes the role of leadership, the change management process and acculturation (Creswell, 2013). These individuals provided an understanding of the research problem, and because they experienced the central phenomenon of this study, they provided insights about the process and at what point the new culture, if any, emerged.

Patton (2002) described 16 purposeful sampling strategies including the typical case sampling strategy that was used by the researcher. Creswell (2013) described a typical case as one that 'Highlights what is normal or average" (p. 158). Merriam and Tisdell (2015) also described several sampling methods and used the term *typical* to describe "One that is selected because it reflects the average person, situation, or instance of the phenomenon of interest" (p. 97). Therefore, the researcher selected individuals who exhibited the characteristic to an average or typical extent; in other words, the selected participants were similarly situated in that they experienced and were affected by the merger, in the same manner, to a greater or lesser degree, as others in similar positions in the two institutions. As suggested by Kezar (2013), it is important to make sure that the participant sample will

represent the key academic and key staff areas as well as the upper administration of the universities involved in the study.

The determination of the size of the sample is equally important. Various researchers recommend a wide range of suggestions for an appropriate sample size (Adler & Adler, 2013; Crouch & McKenzie, 2006; Warren, 2002). According to Creswell (2013):

> The size question is an equally important decision to sampling strategy in the data collection process. One general guideline for sample size in qualitative research is not only to study a few sites or individuals but also to collect extensive detail about each site or individual studied. (p. 157)

For a qualitative study, Duke (1984) recommended 3 to 10 subjects and Riemen (1986) studied 10 individuals in his research.

In considering the number of participants, the concept of saturation must be considered. According to Strauss and Corbin (1998),

> This means until (a) no new or relevant data seem to be emerging regarding a category, (b) the category is well developed in terms of its properties and dimensions demonstrating variation, and (c) the relationship among categories are well established and validated. (p. 212)

Therefore, it can be difficult to determine, in advance, how many participants will be needed. Guest, Bunce and Johnson (2006) conducted 60 interviews for a study on women in West Africa. They discovered later that data saturation had actually been achieved after interviewing 12 women; they found that 92% of the codes used had been generated at that point. The original proposal was to interview 6 participants but participants on campus recommended other individuals during the researcher's visit.

The Interview Protocol

According to Patton (1990), "The central strength of interviewing is that it provides a means of doing what is very difficult or impossible to do any other way "finding out" what is in and on someone else's mind" (p. 278). Creswell (2013) suggested several steps for the interview inquiry. These include: (a) Decide on the research questions that will be answered; (b) Identify interviewees; (c) Determine what type of interview will yield the most useful information; (d) Use adequate recording procedures; (e) Design and use an interview protocol or an interview guide; (f) Refine the interview questions through a pilot test; (g) Determine a suitable place for conducting the interview; (h) Obtain consent from the participant; and (i) use good interview procedures (Creswell, 2013).

Interviews were conducted using a *semi-structured approach* where a series of structured questions were asked with subsequent probing with open-ended questions to obtain additional information. Merriam and Tisdell (2015) described probing questions as "Questions or comments that follow up on something already asked. It is virtually impossible to specify these ahead of time because they are dependent on how the participant answers the lead question" (p. 122). *Face-to-face interviews* were conducted at times convenient for the participants. The participants chose the location for the interviews. Each interview lasted between 30 and 60 minutes. During the on-campus interviews field notes were taken to record interesting non-verbal clues that otherwise would not be captured.

The content of the interviews was transcribed by the researcher. One of the benefits of self-transcription is that the researcher became more familiar with the data and could write memos or comments as the interview was transcribed (Merriam & Tisdell, 2015). The participants were sent copies of the transcribed interviews for their review. This is referred to

as member-checking. Following transcription of the interviews, clarification or follow-up questions were asked through e-mail.

Gall et al., (2007) posited that "This interview approach has the advantage of providing reasonably standard data across respondents, but of greater depth than can be obtained from a structured interview" (p. 246).

The interview protocol included questions based on the major constructs of change process, leadership and culture (formulated into the research questions) and tailored to the participant being interviewed as found in Appendix A (faculty and staff) and Appendix B (administration). The questions were designed specifically to illicit answers relating to the evolving landscape before, during and following the merger. An interview guide was used throughout the interviews. The interview began with initial questions designed to gather basic information about the individual and determine what role he or she played during the merger process. Kvale (1996) recommended nine types of questions:

1. Introducing questions
2. Introducing questions
3. Follow-up questions
4. Probing questions
5. Specifying questions
6. Direct questions
7. Indirect questions
8. Structuring questions
9. Silence
10. Interpreting questions (Bryman, 2016, p. 475)

Data Analysis

Data analysis is the process of taking the data and making it meaningful to the readers. The researcher examined the data carefully and thoughtfully to segment or classify (code) the information into categories. Coding of data can be developed using predetermined categories and fitting the information into those categories or categories can be created as the information is reviewed. There can also be a combination of these methods (Creswell, 2003). The researcher identified categories (See Table 3) based on the literature review to assist in the initial analysis; as a thorough review of documents and interviews progressed, key concepts were identified. From these key concepts, themes were reassembled, and major findings presented.

The process used for data analysis was based on extensive literature on the subject. Hatch (2002) proposed that "Analysis is the most mysterious and difficult part of qualitative research. It is fair to say that the only way to understand the data analysis process is to do it" (p. 54). Merriam and Tisdell (2015) posited that

> You read and reread the data, making notes in the margins, commenting on the data. You write a separate memo to yourself capturing your reflections, tentative themes, hunches, ideas, and things to pursue that are derived from this first set of data. You note things you want to ask, observe, or look for in your next round of data collection. (p. 196)

One of the issues to be considered in data analysis is when the analysis is to be done. It may be done after all the data has been collected or as the data is collected. It may be that there will be set times throughout the study to analysis the data (Hatch, 2002).

Table 3. A Priori codes used as a Basis for Data Analysis

Research Question	a Priori Codes
1. What were the major reasons necessitating the merger between State University and Middle State University?	Economy of Scale Diversity Desire for competitive advantage
2. What were the characteristics of the change process and the impact on the re-organization of the institutions?	Anger Anxiety Bargaining Concern Denial Fear Feeling of loss Letting go Shock Strategy Take-over Transformation Value
3. How did the leadership within each organization facilitate the change management process?	Communication Collaboration Encouragement Equality Mission Transformational leadership Transparency Trust Vision
4. What role did organizational culture play during the merger of the institutions?	Artifacts Atmosphere Beliefs Climate Interpersonal relationships Organizational philosophy Personal identification Rituals Sense of belonging Subcultures Traditions
5. What was the nature of the evolving culture following the merger of the two institutions?	Acceptance Adaptation Assimilation Collaboration Conflict

Cultural learning
Hostility
Integration
Step-child
We versus them

Hatch (2002) stated "Data analysis is a systematic search for meaning. It is a way to process qualitative data so that what has been learned can be communicated to others" (p. 148). Tesch (1990) identified three types of case study analysis: interpretational, structural and reflective. The interpretational analysis approach which is "the process of examining case study data closely in order to find constructs, themes and patterns that can be used to describe and explain the phenomenon being studied" (Gall et al., 2007, p. 466) was used in this study.

Hatch (2002) mused, "I conceptualize the general data analysis process as *asking* questions of the data" (p. 148). The steps in the analysis of the collected data followed Creswell's (2003) suggestions: (a) organize and prepare the data for analysis to include the transcribing of the data, (b) read the transcripts and get an overall sense of the information and the meaning of the data, (c) code the data, and (d) use the codes to identify themes for analysis. Creswell (2013) examined the works of Madison (2005), Huberman and Miles (1994), and Wolcott (1994) on data analysis as they each approached it from a different perspective. All three, however, suggested that coding of data and identifying themes were the core elements of data analysis. Merriam and Tisdell (2015) suggested "Coding is nothing more than assigning some sort of shorthand designation to various aspects of your data so that you can easily retrieve specific pieces of the data" (p. 199).

Coding the data is the process of breaking up the information into segments of information and assigning a word or phrase representing that information. Gall, Gall and

Borg (2007) also called these segments meaning units or analysis units. They described the segment or analysis unit as "A section of the text that contains one item of information and that is comprehensible even if read outside the context in which it is embedded (Gall, Gall & Borg, 2007, p. 466). Tesch (1990) concurred and defined a unit as "A segment of text that is comprehensible by itself and contains one idea, episode, or piece of information (p. 116). Merriam (1998) stated "By concentrating on a single phenomenon or entity (the case), the researcher aims to uncover the interaction of significant factors characteristic of the phenomenon" (p. 29).

Yin (2016) recommended using level 1 or open codes and level 2 or category codes. Open codes use much the same language as is used in the interviews while category codes group these open codes into similar themes that reflect a higher conceptual level. Williams (2006) used axial coding as the second step after open coding. She indicated that axial coding was "The process of reassembling data that is broken down into categories or individual constructs during open coding" (p. 57).

Williams (2006) described the last part of data analysis as selective coding which "is the process of integrating and refining categories. During selective coding, categories will be organized around central explanatory concepts that represent the main themes that emerge during the research" (p. 57). According to Merriam and Tisdell "The challenge is to construct categories or themes that capture some recurring pattern that cuts across your data" (p. 207).

Creswell (2003) recommended using five to seven themes to analyze the data.Yin (2016) described a five-phased cycle of analysis including compiling, disassembling, reassembling, interpreting, and concluding.

The documents related to the merger were examined using Bryman's (2016) content analysis process which "comprises a searching-out of underlying themes in the materials

being analysed" (p. 563). Many of the same steps used in the analysis of the participant interviews were used to review the relevant documents. Bryman (2016) cautions the researcher against assuming that what is written represents the reality of the organization. He stated "In other words, we might take the view that such documents tell us something about what goes on in that organization and will help us to uncover such things as its culture or ethos" (p. 560). Atkinson and Coffey (2011) posited that documents should be analyzed in terms of what the documents were supposed to accomplish as well as who was expected to read the document. For example, the minutes from the meetings of the State A Board of Regents are "Likely to be written with prospective scrutiny in mind" (Bryman, 2016, p. 560). The researcher considered this when reviewing minutes from the CIC and ECIC meetings.

Limitations and Delimitations

This research is a case study on the culture of merged institutions of higher education limited to the newly-merged State University. While eight other institutions of higher education merged in State A over the past few years, this study examined only one of the mergers in order to create a rich, detailed description of the change process at State University and Middle State University. Administrators, full-time faculty, and staff of the two merged institutions were included in this study. Data was collected in the summer of 2016.

There were, of course, limitations present in this study. As with many qualitative investigations, the researcher conducted the study with a small pool of participants; therefore, the findings and conclusions can not necessarily be applied to other settings or other consolidations. However, the study can be used to better understand and explain the

experiences of the participants involved in this research and compared with the existing body of literature on mergers between higher education institutions and between corporations.

Strengthening the Credibility of the Study

There are several concepts used to assess the credibility of findings in a qualitative study including triangulation, member-checking, reflexivity, and transferability. These were used by the researcher in this case study.

Triangulation. In qualitative methodologies such as this case study, the credibility of the findings can be improved using triangulation. Schwandt (2007) defined triangulation as "a means of checking the integrity of the inferences one draws. It can involve the use of multiple data sources, multiple investigators, multiple theoretical perspectives, and/or multiple method" (p. 298). He continued, "The strategy of triangulation is often wedded to the assumption that data from different sources or methods must necessarily converge or be aggregated to reveal the truth" (p. 298). Triangulation involves the use of multiple data sources in a study to facilitate deeper understanding. The purpose of triangulation is as much to capture multiple dimensions of a phenomenon as it is to cross-validate data.

The three elements of triangulation that the researcher used included interviews, examination of documents related to the merger, and observations on the campuses being studied. Methods triangulation was used based on Patton's (1999) definitions of types of triangulation:

1. Methods triangulation - checking out the consistency of findings generated by different data collection methods;
2. Triangulation of sources - examining the consistency of different data sources from within the same method;

3. Analyst Triangulation - using multiple analysts to review findings or using multiple observers and analysts; and
4. Theory/perspective triangulation - using multiple theoretical perspectives to examine and interpret the data. (p. 1193)

Member-checking. An additional method for strengthening credibility is to assure the accuracy of the findings by member-checking. According to Dale (2012) member-checking "provides an opportunity for the participant to react to [the researcher's] interpretation and analysis of the personal interview" (p. 46). After the audio-tapes of the interviews were transcribed, the reports were returned to participants for their review and approval. Yin (1994) defined construct validity as using multiple sources of data and having those individuals interviewed review the typed transcripts. According to Yin (2016), "A valid study is one that has properly interpreted its data, so that the conclusions accurately reflect and represent the real world that was studied" (p. 88).

Reflexivity. According to Malterud (2001), reflexivity refers to the concept that "A researcher's background position will affect what they [sic] choose to investigate, the angle of investigation, the methods judged most adequate for this pursuit, the findings considered most appropriate, and the framing and communication of conclusions" (p. 483-484). Basically, reflexivity considers the researcher's involvement and recognizes the preconceived notions and biases of the researcher.

As part of the reflections on this study the researcher identified her own values and how her personal feelings might affect the study; this assisted in maintaining researcher neutrality through the process. Personal experiences with the relocation of the Health Information Management Department from the Ray P. Authement College of Sciences to the

College of Nursing and Allied Health Professions provided the researcher with a greater understanding of the role that culture plays in times of revolutionary change.

Joostun and McGhee (2009) asserted, "Reflexivity is one of the pillars of critical qualitative research and related to the degree of influence that the researcher exerts, either intentionally or unintentionally on the findings" (p. 42). Kingdon (2005) refers to reflexivity as "the ongoing process of self-awareness adopted by researchers in an attempt to demonstrate the trustworthiness of their findings" (p. 622). As stated by Bogdan and Biklen (1982), "No matter how much you try, you cannot divorce your research and writing from your past experiences, who you are, what you believe in it what you value…the goal is to be more reflective ad conscious of how who you are may shape and enrich what you do, not to eliminate it" (p. 34).

Several researchers (Cohen & Crabtree 2008; Jootun & McGhee, 2009; Kingdon, 2005; Lincoln & Guba, 1985) recommend the use of a research diary to "reflect on the researcher's role in the construction, collection, selection and interpretation of data" (Kingdon, 2005, p. 625). The researcher used a research diary to log in the details following interviews and to reflect on whether she had somehow influenced the results of the interview. It was also useful to record methodological decisions made along the way.

Transferability. One of the criteria for evaluating qualitative research is the transferability of the findings. The use of thick descriptions or rich, detailed descriptions of the case allows the reader to make a decision as to whether or not the conclusions are transferable (Geertz, 1973; Lincoln & Guba, 1985). According to Denzin (1989), a thick description will have the following features:

(1) It gives the context of an act; (2) it states the intentions and meanings that

> organize the action; (3) it traces the evolution and development of an act; (4) it presents the action as a text than can then be interpreted. (p. 33)

Based on the expected rich, thick descriptions of the participants, the reviewed documents and the setting itself, the researcher suggests that the findings will be transferable to other institutions (four and two-year) anticipating or undergoing a merger under similar circumstances.

Ethics

Participants in the study were advised verbally and in writing about the nature of this research and ascertained that their participation was voluntary. The consent form is found in Appendix C.

The development of the consent form and the processes used in the study to ensure that participants' rights were protected are based on a careful review of the *Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research, Report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research.* Approval from the University of Louisiana at Lafayette's Institutional Review Board will be obtained. In this study the risk to human subjects (none of whom are considered a vulnerable population) is considered minimal. Pseudonyms will be used for all college, campus, and participant names.

According to Fisher (2012), "The principle of informed consent is viewed as central to guarantee what have been termed the negative freedoms associated with liberalism: freedom from interference and freedom from coercion" (p. 6). Ramcharan and Cutcliffe (2001) reminded fellow researchers that "trust with research participants is established and then maintained over time" (p. 363).

Another ethical concern in qualitative research is the privacy and confidentiality of the data and the results (Peter, 2015; Ramcharan & Cutcliffe, 2001). Because the research could potentially deal with controversial topics, confidentiality is extremely important; therefore, the number of individuals who will know the identity of the participants in the study was limited. Additionally, pseudonyms were assigned to the institutions studied as well as to the individual participants. All data pertaining to this study will be permanently maintained in a locked file cabinet in the researcher's university office.

Peter (2015) suggested that "The potential for identifiability of the results of this research may require extra efforts to maintain confidentiality" (p. 2626). Parahoo (2006) concurred and described confidentiality as the "assurances given by researchers that data collected from participants will not be revealed to others who are not connected with the study" (p. 466).

According to Hatch (2002), "Reciprocity is an ethical issue in any research effort, but it is especially important when participants invest themselves in close relationships with researchers and trust them with sensitive information" (p. 66). In additional to thanking the participants, the researcher demonstrated how they can benefit from this study as the acculturation process evolves at Kennesaw State.

Presenting the Data

The presentation of the results from the qualitative research is comprised of the researcher's findings based on a very extensive review of documents related to the consolidation as well as quotes from the participants, the videos, and the written transcripts for the oral history project of the university.

Chapter Summary

The goal of this research study was to understand the process of acculturation following a merger between or within institutions of higher education. The selection of a qualitative approach was appropriate because it allowed for the story of the merger between State University and Middle State University to be told as a case study. The participants who were interviewed all experienced the process and aftermath of the merger. The researcher identified the limitations and delimitations of the research and the plans to protect the confidentiality of the participants. Mechanisms to assure credibility of the study were examined.

CHAPTER 4: RESULTS

This case study examined the leadership, decision-making processes, and acculturation that occurred during the consolidation of two universities. A qualitative method of inquiry was employed utilizing thorough document analysis and interviews. This chapter begins with a history of the higher education consolidation movement in State A (a pseudonym) and describes the process steps involved in the fifth of the consolidations in the state, that of State University and Middle State University. In-depth interviews were conducted both on-campus and by telephone and e-mail of individuals from both universities in various faculty, staff, graduate, and administrative positions. Widespread exploration of both campuses was conducted in order to observe physical artifacts of the campuses.

Background of the Consolidation Process

In November of 2011, the Chancellor of the University System of State A announced that consolidation possibilities among the thirty-five state colleges and universities would be assessed in a move to increase service to the students in an effective way and to assure that faculty were properly deployed and supported. The state's Board of Regents (BOR) had previously developed six principles to use in examining potential consolidations. These were:

1. Increase opportunities to raise education attainment levels: Enhancing opportunities for students to raise their education attainment levels will be a goal;
2. Improve accessibility, regional identity, and compatibility: Geographic proximity, transportation corridors, student backgrounds, and cultural fit will be considered;
3. Avoid duplication of academic programs while optimizing access to instruction: Consideration will be given to demand for degrees, program

overlaps and duplications, and optimal institutional enrollment characteristics sufficient to offer and support a needed array of services;

4. Create significant potential for economies of scale and scope: Considerations will be given to the potential for achieving cost efficiency in service delivery, degree offerings, and enrollment;
5. Enhance regional economic development: Consideration will be given to consolidations with the potential to improve economic development through enhanced degree programs, community partnerships, and improved student completion; and
6. Streamline administrative services while maintaining or improving service level and quality: Potential for administrative efficiencies and savings which yield more effective service will be considered. (University System of Georgia, 2011)

Potential consolidations would take place over a several-month period. In January of 2012, the Chancellor recommended that eight of the state's colleges and universities be consolidated in order to create a more educated state that would offer a range of needed degrees to satisfy 21st century demands. The Board of Regents approved the recommended consolidations, and by August of that year, the four newly-merged institutions had new names and new mission statements. Presidents were appointed for each of the new institutions and the work towards consolidation began. The University System of State A officially had thirty-one universities and colleges.

Consolidation of State University and Middle State University

In November of 2013, two additional universities were slated for consolidation. State University (a pseudonym) and Middle State University (a pseudonym) would consolidate to

form a new institution, maintaining the name of State University. The current president of State University would continue as president of the new State University. During the previous four consolidations, a new name for each new institution was derived based on a combination of the names of the two consolidating universities. For this consolidation, the Board of Regents decided on the new name and presidency prior to the announcement of consolidation.

The focus of this case study is the fifth consolidation in the state. State University first offered classes in September of 1966 primarily as a liberal arts college. Professional schools of business, education, and nursing were later added, and in 1976, State achieved senior-college status, followed by university status in 1996. It offered almost twenty graduate degree programs in professional concentrations such as nursing, business, information, systems, conflict management, education, and professional writing (Scott, 2016).

Middle State University, located approximately ten miles from State University, was founded sixty-five years ago (under a different name and as a branch of a nearby four-year college) during the post-World War II economic boom. Engineers were needed with practical, hands-on experience, and Middle would offer an engineering technology program to meet that demand. It opened in the fall of 1948, offering classes in an abandoned Naval Air Station barracks with an initial class of 115 men and one woman, all Caucasian. It was one of the first technical institutes in the nation to offer the Bachelor of Engineering Technology degree. By 1980, Middle was feeling more and more like a stepchild of its parent school and appealed to the Board of Regents for its designation as a separate university. A new president was recruited, and a new name was granted. Subsequently, the college added traditional engineering degrees, a master's in software engineering, and a number of bachelor

degree programs, including architecture and computing services. Students at Middle tended to be male, older, working, and taking night classes only. Despite the geographic proximity of the two universities, there was very little contact between students and faculties (Scott, 2016).

At the time of the announcement of the consolidation, opportunities and challenges of the consolidation were outlined by the BOR. The opportunities as stated were:

1. Expands the ability to create more work-force related degrees;
2. Opens the door for a wider array of student activities;
3. Eliminates trend toward duplication;
4. Allows for seamless transfer between the two campuses; and
5. Combines resources to enhance responsiveness to regional economic and community development needs (Recommended Consolidations, 2012)

The lone challenge stated was a blending of institutional cultures (BOR USG).

Consolidation process. In November of 2013, the University System of State A appointed a State University – Middle State University Consolidation Implementation Committee (CIC). The co-chairs of the CIC were the current presidents of the two consolidating institutions and each university appointed thirteen representatives to the committee. The first meeting was held in December of that year, and guiding principles (many learned from previous consolidations) were presented to the CIC by staff from the Board of Regents:

1. This is a consolidation of two universities that will result in a third, new institution. The new State University will be one university with two main campuses with buildings, functions, and people at two sites approximately 10

miles apart;

2. The new president will make final decisions regarding which recommendations, as required by Board policy, will be forwarded by the working groups, via the CIC, to the Board of Regents;
3. Policy decisions that require BOR approval include the new mission statement as well as tuition and fee decisions;
4. Clarifying the new institution's mission will be a critical first step;
5. The new organization structure will support the new mission;.
6. After the new organizational structure is determined, every effort will be made to find the best person at State University or Middle State with the right skill set to successfully carry out the responsibilities of that position;
7. As the consolidation progresses, a holistic human resource assessment of salaries and wage bands for the new university;
8. In establishing operational working groups (OWGs), the best balance between broad involvement of the university communities with flexible and expeditious approaches to planning and decision-making will be sought;
9. The need for students and faculty to commute between locations for classes will be minimized. This may result in offering core course at both campuses and focusing coursing for majors at one campus;
10. High priority goals for students include maintaining affordability, increasing access, and accelerating retention, progression and graduation (RPG) rates;
11. High priority goals for faculty and staff include enhancing professional growth and expanding career opportunities;
12. The funds released from duplicative administrative and other functions will be re-

directed toward instruction, educational support, and research; and

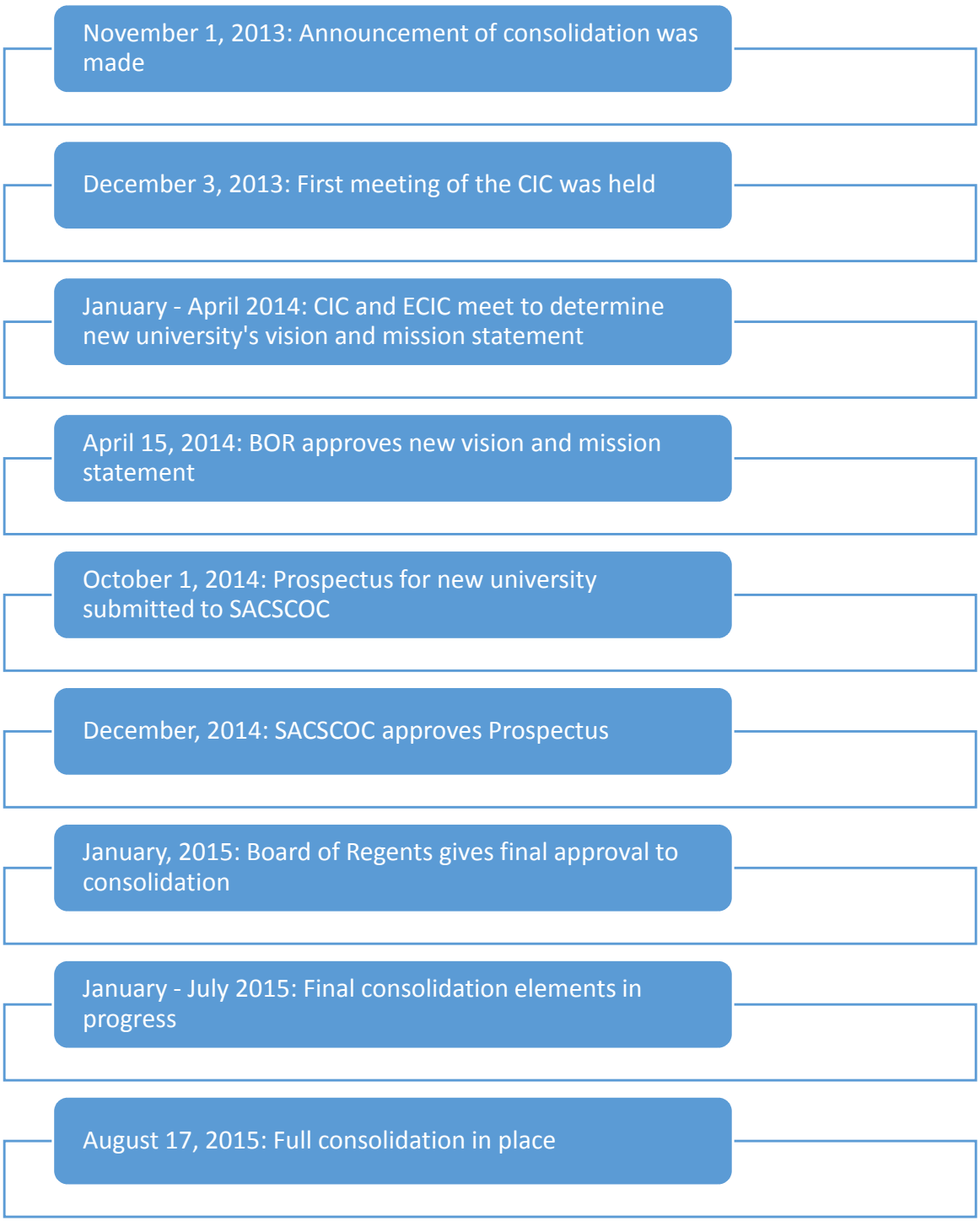
13. In addition to reducing duplication and accelerating RPG rates, the consolidation will focus on enhancing the contribution of the institution to regional economic development through enhanced degree programs and expanded community involvement. (CIC, 2013, December 4, p. 3)

The charge given to the CIC was to oversee the consolidation of the universities in keeping with a timeline to allow SACSCOC approval by December of 2014 and subsequent Board of Regents approval in January of 2015 (Consolidation Implementation Committee, 2013, p. 1). Full integration would start in the fall semester of 2015. Representatives from the Board of Regents shared lessons learned from the four previous consolidations. These were: (a) leadership and transparency were vitally important, (b) communication must be from both from top down and bottom up as well as sideways and within the Board of Regents; and (c) there was a need to create the organizational structure early on in the consolidation process (CIC, 2014, January 13, p. 1). The detailed timeline for the consolidation is shown in Figure 2. In May of 2014, the Middle State University president accepted a position at another university; the interim president assumed the co-chair role.

Consolidation Implementation Committee – First steps. The first task given to the CIC was to develop the new institution's mission and vision statements and organizational chart (CIC, 2013, December 4, p. 1). The second major task was to identify and staff Operational Work Groups (OWGs) which would examine and submit recommendations on over 700 separate items identified by the Board of Regents relating to the consolidation (CIC, 2013, December 4, p.2). OWGs were organized into 22 functional areas each of which was

headed by an Area Coordinator who was a member of the CIC. Some Area Coordinators coordinated more than one area.

Figure 2. Timeline for Consolidation between State University and Middle State University



The recommendations proposed by the OWGs were subject to approval by the CIC, the President of the university, and by the Board of Regents (as necessary). These OWGs (see Table 4) had co-chairs and representation (faculty, staff and students) from both campuses as well as external participants as appropriate. Each OWG had approximately 8-10 members. Following the first three meetings of the CIC, an Expanded CIC (ECIC) was convened to work specifically on mission, vision, academic college and department structure, and senior level structures. This Expanded CIC included 19 additional members to assist with the creation of the vision and mission statements in order to assure buy-in by all constituent groups. Some of the initial work done by the CIC and ECIC included:

1. Developed the mission and vision statements of the new U (the terminology used throughout the process);
2. Determined that the two campuses would be named for the city in which the campus resides;
3. Consolidated 19 educational units into 13 colleges;
4. Renamed the School of Engineering and Engineering Technology to reflect the name of the previous Middle State University;
5. Recommended the senior level structure to the President (the final decision was made by the President after the ECIC and CIC meetings, talks with multiple presidents of other universities, discussions with University System of State A office personnel including the Chancellor, and advice from members of the OWGs). See Table 5 for the list of Cabinet positions;
6. Recommended positions in Academic Affairs; and
7. Approved selected recommendations from the OWGs. Final approval rested with the President and the Board of Regents.

Table 4. Operational Work Groups

A. Overall University Structure
   1. Overall structure
   2. College structure
   3. Vision and mission

B. Degrees and Programs
   4. Business
   5. Computing and Software Engineering
   6. Education
   7. Humanities and Social Sciences
   8. Math
   9. Sciences
   10. Inventory of Programs, Authorized Degrees, Modes of Delivery, Assessment, etc.
   11. General Education and Core Curriculum

C. Related Non-Degree Academic Responsibilities
   12. Advising, Mentoring, and Tutoring
   13. Continuing Education
   14. First Year Programs
   15. Honors Programs
   16. International Programs
   17. Library
   18. Retention, Progression, and Graduation/Complete College/Orientation
   19. Assessment of Institutional Effectiveness

D. Faculty Matters
   20. Faculty Credentials, Rosters, Workloads, Pay, Assessments
   21. Faculty Honors and Awards
   22. Promotion and Tenure
   23. Research, Scholarship, Creative Activity, Grants and Sponsored Operations
   24. Technology Enhanced Education

E. Student Enrollment
   25. Undergraduate Admissions, Transfer, and Transient Policies
   26. Graduate Admissions
   27. Financial Aid
   28. Recruitment
   29. Calendar, Schedule, and Registrar Functions
   30. Ceremonies
   31. Preparation of Merged Catalogues

F. Advancement, Development, and Alumni Affairs
   32. Alumni Affairs
   33. Advancement Services, including Donor Relations
   34. Fund Raising

G. Athletics
   35. Sports, Scheduling, and Scholarships

H. Diversity and Inclusion Programs and Activities
   36. Programs and Activities
I. Economic Development and Community Relations
   37. Government and Community Relations
   38. Community Engagement
   39. Economic Development
J. Media and Marketing
   40. Marketing
   41. Media Relations
   42. Publications and Collateral
   43. Social Media
   44. University Website
K. Research and Service Foundations
   45. Research and Service Foundations Operations and Integration
L. University Foundations
   46. University Foundations Operations and Integration
M. Legal Affairs Issues
   47. Division of Responsibilities
   48. University Policy Mergers and Handbooks
   49. Faculty Policy Mergers and Handbooks
   50. Student Policy Mergers and Handbooks
N. Auxiliary Services
   51. General Auxiliary Services
   52. Health
O. Business and Finance
   53. Budget and Fiscal Affairs
   54. Business Operations and Contracts
   55. Procurement
   56. Tuition and Fees
P. Facilities and Physical Plant
   57. Campus Master Planning
   58. Physical Plant
Q. Human Resources
   59. HR, including Position Descriptions and Salary Bands
R. Information Technology
   60. IT: Back-End Systems
   61. IT: Business Services
   62. IT: General Support
   63. IT: Research Computing
   64. IT: Student/Faculty Services
S. Risk, Audits, Safety and Security
   65. Public Safety and Security
   66. Emergency Planning and Communication
   67. Risk Management, Audits, and Occupational Safety/Compliance
T. Shared Governance
   68. Administrators Governance

69. Faculty Governance
70. Staff Governance

U. Student Organizations and Student Life
71. Competition Teams
72. Club Sports, Intramurals, and Recreational Sports
73. Greek Life
74. Preserving Traditions and History
75. Registered Student Organizations
76. Student Government Association

V. Student Services
77. Career Services
78. Counseling
79. Disability Services
80. Housing
81. Student Conduct and Academic Integrity

Note: These working groups can be found on the consolidation website at http://ksuspsuconsolidation.kennesaw.edu/consolidation/working-groups/index.php.

Concurrent to the work of the OWGs, a SACSCOC Prospectus Development Team was convened to develop the Consolidation Prospectus for final review by SACSCOC in December of 2014.

The New U

Almost 2 years after the announcement of the consolidation was made the New U, State University, achieved full consolidation. August of 2015 marked the initial semester of full consolidation. The new university combined the best from two of the state's most respected institutions of higher education. This new, comprehensive university offers students a broad spectrum of quality academics, a growing campus life, and a wide variety of athletic offerings. The new State University offers nationally-ranked degrees in business, engineering and first-year programs, as well as premier teaching, nursing, architecture, science and math programs.

Table 5. State University's President's Cabinet

Position	How the Position was Filled
rovost and Vice President of Academic Affairs	State University Provost and VPAA
Vice President of Operations/CIO/CBO	State University VP of Operations/CIO/CBO
Vice President Student Affairs	National Search
Vice President of Advancement/Development	State University employee
Vice President of Strategic Communications and Marketing	State University employee
Vice President of Economic Development and Engagement	National Search
Chief Audit, Risk and Compliance	National Search
General Counsel	State University General Counsel
Chief Diversity Officer	State University employee
Athletic Director	State University AD
Executive Administrator and Chief of Protocol	State University Executive Administrator and Chief of Protocol

Note: This information was found in the meeting minutes of the Sixth Expanded Consolidation Implementation Committee of April 7, 2014. Retrieved from http://ksuspsuconsolidation.kennesaw.edu/consolidation/cic-meetings.php

State University, now ranks as one of the 50 largest public universities in the country and enrolls approximately 33,000 students per year. It employs over 2,800 faculty and staff and creates an economic impact of more than $1.2 billion in the community and state. State University offers more than 150 undergraduate, graduate, and doctoral degrees including 70 fully online degree programs, certificate programs, hybrid online programs and more than 400 courses in online and mixed-model versions. State University has a base of 100,000 alumni. Research at State University is varied and far-reaching. State University's researchers make scientific discoveries, produce scholarly work; and address pressing problems in transportation, health, education, and international relations (KSU, n.d.).

The president, provost, and other administrative officers of State University engage the major constituencies of the university community through a prescribed structure and process of shared governance for the institution's operations. This includes a University

Council, Faculty Senate, Staff Senate and Student Government Council. In addition, there is an Administrator's Council which is a collaborative and representative body reporting to the Provost that advises and shares information with University Council and other administrative councils (the Deans' Council and Chairs and Directors Assembly) and shared governance bodies and is responsible for the implementation of shared governance decisions and policies among its constituents. Student services and activities are provided on both campuses as needed and appropriate (KSU, n.d.).

The Case Study

The case study approach was used for this single-case study as it focuses on gaining an in-depth understanding of a particular event at a specific time. The case study method has been used quite often in the educational setting (Tesch, 1990). Narrative research generally tells the story of an individual and their experiences. Stories are collected from individuals and documents are examined. This was the methodology used in this case study. A total of 14 participants were interviewed for this study. Six participants were interviewed from the State University campus and six from the (former) Middle State Campus. One of the participants was a May 2016 graduate whose course work was completed on the (former) Middle State campus. The final participant was the former president of Middle State University who left to take another position within a few months following the announcement of the consolidation. Table 6 reflects the pseudonyms and positions of the participants.

The president of the newly consolidated university was not interviewed in person by the researcher but will be referred to in the case study as Dr. Dawn.

Table 6. List of Participants and Pseudonyms

Primary Institution	Position	Interview Format	Pseudonyms
State University	Administrator	Face-to-face	Jack
State University	Faculty	Face-to-face	Kathy
State University	Faculty	Face-to-face	Emma
State University	Support Staff	Phone	Addie
State University	Support Staff	Face-to-face	Lindsey
State University	Support Staff	Written Communication	Frank
Middle State University	Interim president following president's departure	Face-to-face	Tim
Middle State University	Faculty	Face-to-face	Erin
Middle State University	Faculty	Face-to-face	Sarah
Middle State University	Faculty	Face-to-face	Adam
Middle State University	Support Staff	Face-to-face	Joycelyn
Middle State University	Support Staff	Face-to-face	Justin
Middle State University	May 2016 Graduate	Written communication	Grey
Middle State University	Former president	Phone	Dr. Beamish

He was prominent in two of the media broadcasts referenced, was quoted in the minutes of the CIC and ECIC meetings, and was interviewed by a historian from State University in July of 2015 and January of 2016. Quotations attributed to Dr. Dawn come from those recorded broadcasts, minutes, and interviews. In June of 2016, Dr. Dawn retired from State University.

Interviewing Experience

The number of participants interviewed and the sampling technique used is supported by the literature. The researcher used purposeful sampling where "The goal is to select cases that are likely to be "information-rich" with respect to the purposes of the study (Gall, Gall, & Borg, 2007, p. 178). Yilmaz (2013) stated "The main aim of purposeful sampling is to select and study a small number of people or unique cases whose study produces a wealth of detailed information and an in-depth understanding of the people, programs, cases, and situations studied" (p. 313). The criterion for selecting participants in the study were that they experienced the phenomenon under study, in this case, the merger of two higher education institutions, which includes the role of leadership, the change management process and acculturation (Creswell, 2013). These individuals provided an understanding of the research problem, and because they experienced the central phenomenon of this study, they provided insights about the process and at what point the new culture, if any, emerged.

The interviewing experience and the time on the two campuses were rewarding for several reasons. The majority of the individuals contacted readily agreed to participate in the study. Very few were either non-responsive or declined to participate. Several people contacted directed the researcher to other individuals who could add depth to the case study. The researcher was treated with respect and welcomed to the institution. The interviews yielded a generous amount of information as all participants were open and forthcoming.

Two different interview protocols were utilized depending on the administrative, faculty, or staff position of the participant. The specific interview questions will be referenced in Chapter 5.

Document Analysis

Numerous documents were analyzed for this case study including documents and press releases from the Board of Regents of the state, documents from the State University website, articles in major news media, SACSCOC information, documents on the consolidation website and YouTube videos. A detailed listing of these documents is included in Chapter 3. These documents provided a rich source of information on the background of the consolidation, reasons for the consolidation, process of the consolidation, and reactions to the consolidation.

In addition to the document analysis cited in Chapter 3, the researcher reviewed a series of interviews with the former presidents of both State University and Middle State University as well as former and current employees of the universities. These interview transcripts are housed in the University's archive collection and/or were shared with the researcher by a historian from the university. The pseudonyms and positions for the interviewees in the oral history collection are identified in Table 7.

Research Questions, Identified Themes and Major Results

The results of the document review, participant interviews, and on-campus observations will be delineated by research question. The component parts of each question will be examined as well as the propositions and interview protocol.

Research question 1. What were the major reasons leading to the consolidation between State University and Middle State University?

Proposition: Economy of scale is the most predominant reason for the consolidation between the two universities.

Table 7. Pseudonyms and Positions of Archived Interviewees

Pseudonym	Position	Year of Interview
MN	Former member of Middle State Department of Digital Writing and Media Arts	2014
SC	First president of Middle State University	2014
HR	Former Dean of the School of Computing and Software Engineering at Middle State University	2014
AL	Middle State Retiree	2014
BT	Middle State Alumnus	2014
ER	Consultant to BOR on SACSCOC Accreditation	2015
KH	Former Math Professor at Middle State University	2014
DS	Graduate of Middle State University	2014
JN	Chair, Department of Social and International Studies at Middle State University	2014
JC	Vice President for Alumni Relations and Advancement Communications	2015
DP	President of State University	2015, 2016

The following interview question was asked of the participants in order to determine their individual perspectives on the reason for the consolidation: What was the primary reason for the merger of the two universities?

The Chancellor of the BOR is credited with initiating the consolidation process. The Chancellor compared post WWII growth in higher education (new colleges, new buildings, and lots of faculty) to the less positive picture of the recent recession years. He emphasized efficiency and suggested that consolidation was one way to achieve that efficiency (Scott,

2016). ER, a consultant to the BOR on SACSCOC accreditation, echoed the Chancellor's words "How do we try to satisfy this increasing need for higher education opportunities throughout the state when we are short of funds? That was one of the key variables that forced them to look at, how can we be more efficient?" (Ruggs, 2015, p. 77). The Board of Regents of State A had embarked on a journey of consolidations approximately two years prior to the consolidation creating State University.

During three media events (an open forum discussion with the presidents of both universities, a press conference with these same individuals, and an impromptu open forum with the president of Middle State University on the day of the announcement), several reasons for the consolidation were given including:

1. Mandate by the BOR;
2. Reduction in costs due to administrative overhead, back office systems and other duplicative functions;
3. Profiles of the institutions were similar;
4. Geographic proximity between the two campuses;
5. Increased economic development for the state;
6. Increased recognition for the university; and
7. Increased opportunities for students to pursue a wide variety of courses. (The Sting Live, 2013, Press Conference; The Sting Live, Open Forum, 1/5 and 2/5; The Sting Live, President Speaks 2/4)

Participants were in general agreement that these were the basic reasons for the consolidation and they did line up rather closely with the six guiding principles for consolidation that had been developed by the BOR at the beginning of the state-wide re-structuring. One top

administrator, Jack, noted "It was actually driven by the BOR and I think, in all cases, it's been striving for more efficiency and I guess for ancillary benefits but I guess the economy was the main reason." Several participants commented that they were never really told of the reason for the consolidations but they had *heard* that it was economic in nature. KH disputed that the consolidation would save any money. She suggested "I don't believe it's going to save any money at all" (Hall, 2014, p. 27). Dr. Beamish also disputed the saving of the estimated $5 million. She said,

> Some people said the consolidation process costs much more than that in terms of the incredible amount of human time, the number of meetings, the amount of time people spend traveling back and forth on the interstate between the two campuses, and what wasn't done as a result.

Some of the other reasons suggested by the faculty, staff, and administration, were geographic proximity, and complementarity of programs. Emma, a faculty member from State University commented,

> One of the primary reasons was the fact that the two campuses being so close to each other and they are 10-12 miles apart and had complimentary programs - they had back office operations that could be consolidated as well. The complimentary program is an interesting one because Middle State had an engineering school and we did not; they had architecture and construction management and we did not so it kind of made a real university. As a faculty member, I think you become a real university when you have an engineering program.

Dr. Dawn also mentioned that the complementarity of the two universities lead partly to the decision to consolidate. ER concurred,

> Yes, so they were complementary, and there was redundancy operating at the same time, but it was more complementary than redundant because State didn't have architecture, it didn't have building management, and it didn't have engineering and those were the big pieces. The core, of course, common, and you could see some of those core disciplines moving into baccalaureate level and graduate level interests. (Ruggs, 2015, p. 93)

ER also mentioned *mission creep* as a possible consideration for consolidation. He stated "There had been mission creep at Middle. Middle was flying on their own for years when it was just engineering but they … expanded the curriculum. They got into business, and they got into teacher education" (Ruggs, 2015, p. 93). He added "They were rapidly encroaching on areas that had been State's almost sole domain. So there was redundancy brewing which was one of the very variables in the Regent's list of considerations" (Ruggs, 2015, p. 93).

There were some interesting speculations by various individuals on the rationale behind the move to consolidate. Grey, a 2016 graduate of Middle State University, commented that during the forum discussion with the two presidents,

> One girl, I am pretty sure she was an architecture major, got up and accused the president of State University of wanting to be president of a super-school. Which was ridiculous but everyone cheered. No one understood that the schools didn't make the decision, the Board of Regents did.

Other potential motives suggested included needing more students for a football team and to qualify as a NCAA Division I school, compliance with Title IX (Reichgelt, 2014), and a motive by the president of State University to protect other engineering programs in the state.

One unique perspective was offered by Dr. Beamish,

> Up front, I have my own perspective on this. I think the reason behind it was the Chancellor had announced that he was going to embark on this process; the two campuses were very close together and I think [the president of State University] really wanted to have an engineering program and the BOR had come to the point where they weren't going to add any more engineering programs so this was a way for State University to acquire one.

At the time of the announcement of the consolidation, it was also announced that the current president of State University, Dr. Dawn, would remain as president of the newly-consolidated school. During the two media events at which he spoke at the time of the announcement, he reiterated that this merger "will be good for students, it will be good for faculty and staff and it will be good for economic development and education in the state." Dr. Dawn posited that the move should not be considered as a saving of funds, but as a redirection of funds towards instruction, research and educational support. KH related her meeting with Dr. Dawn following the forum discussion held with both presidents. She attended the forum and privately asked

> Dan [President of State University], can you give me four things that this consolidation is going to be good for the Middle State students? Just four things." He said "Well, I can't give you four, but I can give you one." I said, "Okay, what's the one?" He said, "Well, the Middle State students will now have a larger group of courses from which to choose." I was just dumbfounded because I'm thinking "You haven't been here in fifteen years." I could just see what he was doing. I remember when he was here he told members of his staff, "You can argue inside all you want, but when you go outside, whatever decision is made you have to support that

> decision." I'm thinking to myself, "He knows a lot of what I'm saying is true. He can't admit that publicly." And I said, "Well that's an awfully positive spin on it." And Dr. Beamish said, "Well, you asked him for something positive." Then he was whisked away to the press conference (Hall, 2014, p. 28).

Dr. Beamish also alluded to expanded curricular opportunities for students at both institutions at this same joint meeting.

In a 2015 interview for an oral history project at State University, Dr. Dawn suggested that another reason for the consolidation was to improve retention and graduation rates. He indicated "Study after study shows that in addition to having good faculty and great faculty leading students in their studies that the degree to which a student is connected to the university also significantly enhances student retention, progress and graduation rates" (Papp, 2015, p. 66). He offered an example where one campus had a chapter of the Society of Automotive Engineers and the other one did not. Students on the campus without a chapter who were interested in cars would now have an opportunity to become *plugged in*. Dr. Dawn also stated that the advising teams on the campus were being expanded to improve the advisee/advisor ratio and the redirected funds were also being used to review and revise courses with high "D", "F" or "W" rates in an effort to increase retention (Papp, 2015).

Research question 1 summary.

In summary, while several motives for consolidation were posited, economy was generally considered the primary reason for consolidation in this case study. Following this, complementarity of programs, geographic proximity, increased brand recognition, and increased educational opportunities for students were most often suggested as the motivations for consolidation. These findings were assumed in the rationale for research

question 1 and supported by the detailed literature review on mergers found in Chapter 2. While mergers may occur for a number of reasons including economic challenges, fragmentation and non-viability among institutions, academic quality and reputation, external threats from competitors, accreditation issues, and diversity (Ahmadvand, Heidari, Hosseini, & Majdzadeh, 2012; Brinkman & Leslie, 1986; Etschmaier, 2010; Harman, 2002**;** Harman & Harman, 2008; Harman & Meek, 2002; Lang, 2003; Layard, 1974; Patterson, 2000; Schumacher, 1983; Sear, 1983; Skodvin, 1999; Stephenson, 2011; Watson, 1988;), according to Pritchard and Williamson (2008), "economics is usually the most prominent" reason (p. 48). Skodvin (1999) concurred and posited that:

> The main force behind a merger is always some kind of assumed gain. The most frequent motive is the wish to achieve administrative, economic and academic benefits, by merging several (small) institutions into a larger unit. The thought is that larger units would yield qualitatively stronger academic institutions, better management and use of administrative resources and they would improve the use of physical facilities. (p. 68)

Research question 2. What were the characteristics of the change process and the impact on the re-organization of the institutions?

Proposition: Utilization of change models influenced the response to change by the faculty and staff of the merging institutions by following suggested steps in change.

The following interview questions were asked of the participants in order to determine their individual perspectives on the processes used to facilitate change and the impact of these processes as the consolidation moved forward:

1. How did you first learn about the merger?

2. Discuss the vision of the future communicated to the employees of each university.
3. What were your concerns or fears about the merger?

a. What steps were taken by administration to alleviate your concerns or fears?

b. What more, if anything, could have been done to alleviate your concerns or fears?

4. Discuss any specific change management models adopted to direct the change? (Protocol for administration only)
5. How were the fears and concerns of the faculty and staff addressed by higher administration? (Protocol for administration only)

Clearly, the consolidation of State University and Middle State University would be considered revolutionary, discontinuous and transformational in nature. No mention of a specific process for change was suggested at any of the three media events that were reviewed. None of the participants discerned any specific change management model that was used to facilitate the consolidation. Dr. Beamish remarked,

> I don't remember anyone talking about a theory of change management. There was a person from the Chancellor's office who was assigned to shepherd the process and she had been involved in a couple of previous, all the previous consolidations, so I think the assumption was that because she had some experience with this, she would know how to manage it. I don't believe there was any theoretical or philosophical underpinnings to the process.

One participant remarked that she assumed that parts of the process had been pre-ordained by the BOR while another indicated when asked about the use of a specific change model "Not that I saw but I may have missed it. It was a busy time." Tim mused,

> You were talking about the change management models - I didn't see a lot of that - looking at change is the only constant. Change is stressful. For the first few months, I said are there no sociologists around here – how and why are we doing this without someone who wants to write a dissertation because they never went to that academic area and asked if they were interested in looking this over because I didn't see it happening.

When asked about specific change management models that were adopted to address the change, Jack replied

> No, there was not. Being from a business background, I had lots of people out there such as consultants and alumni, etc. saying "hey, we can come in and help with this. We deal with change management and we can look at that etc." but it was more just go for it as we evolved.

Lindsey said "If they had a plan, I had no idea what it was. No one really seemed concerned." Justin suggested,

> The only thing that I kind of felt was that since the BOR was requesting this change and they had already gone through it previously, the way I said is that it appeared as though they weren't as involved in the process. In other words, I felt like they should have had a project manager from their side to sit here and walk through the process to share what the other schools did; I know they gave us some guidelines. I just felt that they should have helped more. There were a lot of subjects coming up and we had a great group of folks but I don't know how many went through a consolidation.

One of the participants came from the private sector and had a great deal of experience with mergers and consolidations. Adam suggested that in the business sector, mergers generally

tend to be take-overs and the "vanquished" team just goes. It's a very fast process and making the employees happy is not necessarily a concern of the executives. In relation to the consolidation examined in this case study, Adam said,

> I don't know if there was a management style; change is a hard thing to deal with just with regular humans so and when it is happening directly in your workplace makes it even harder so I am not sure that anyone has figured out that this is the way you do it.

There was a process for addressing the procedural issues for the consolidation. As mentioned previously, a Consolidation Implementation Committee, an Expanded Consolidation Implementation Committee, and Operational Work Groups were created immediately after the announcement of the consolidation. The members of the CIC had representation from both universities; the charge of the CIC, as given by the Chancellor of the BOR, was to oversee the consolidation of the two universities in keeping with the timetable developed by the BOR. The meetings were held approximately twice a month in order to review recommendations made by the OWGs as their work progressed. The ECIC included an additional 19 members and was designed to assure broader and more inclusive representation particularly in the areas of the consolidated university's vision and mission, overall university structure, and academic college and departmental structures.

Eighty-one OWGs were established to address the more than 700 separate items identified by the BOR as needing to be addressed. All of these groups consisted of individuals (on an equal number basis) from both universities. According to the December 4, 2013, minutes of the CIC, "In establishing operational working groups, we will seek the best balance between broad involvement of the university communities with flexible approaches to planning and decision-making" (p. 3).

During a later meeting of the CIC, Dr. Dawn clarified that the work coming out of the OWGs were recommendations and were not policies. He indicated that in some instances some of the recommendations coming forward were more "wish lists" than recommendations. The minutes attributed the following to Dr. Dawn:

> Clarification is needed regarding what CIC approval means: [We have] been using a wrong word; these are not policies. Some are recommendations, which mean that some have been reviewed by legal and some have not. We hope that all that have been or will be approved in accordance with BOR policy. In case it isn't, when a policy is approved and then sent to legal for review and find otherwise, will render the CIC recommendation irrelevant and will be discarded…Some other recommendations that have come forward refer to organizational structure within Academic Affairs or elsewhere; that is beyond the purview of the OWGs. We have discovered that some things we approve are against policy, and some good ideas may simply be not affordable. And some of things on "discussion" lists are outside the purview of the CIC. (CIC, 2014, May 8, p. 1)

The participants agreed that the OWGs, for the most part, worked quite well. According to Erin "I think that there were some that were contentious but more often the contentious ones were rare and the ones where everyone was able to work it out was the norm." She continued "In my experience all of those kinds of discussions were actually very pleasant to be a part of." According to JN, "My OWG has been phenomenal. We work together great. We met on alternate campuses. I really like the State people I met and got to work with" (Newell, 2014, p. 28). Addie indicated that "the OWGs worked pretty well although there was some contention there…. Everyone was very cognizant of making them feel a part of us."

When asked whether there were times where there was conflict within the working groups, Jack suggested,

> Very much so. I shouldn't say very much so in terms of number or frequency but there were a few occasions when there was significant acrimony or disagreement; I can think of one case where the OWG refused to keep meeting because they reached an impasse. The way the OWGs were structured you had co-chairs, one from State University and one from Middle State University and the same number of representatives so it was this equal power thing. What was interesting is that you had people at a stalemate but you knew that as soon as we consolidated there was going to be one boss and it would all change at that point.

When Dr. Beamish considered the change process, she submitted,

> When I have worked with change process, and this is not unique to me, the standard process is that you start with *why*; you build a case, the rationale, the strategy for why this needs to happen and then you start thinking about what needs to happen and what needs to happen and whose going to be affected and who is going to make it work. If you can't start with giving people the context of why this decision is being made, why this is the road that is the right one, you can't go back and ask people to support the implementation details unless you share what the big picture is.

The announcement of the consolidation precipitated concerns and fear for the faculty, staff, students, and alumni. These concerns seemed to revolve around five major themes: process of naming of the university and president, loss of identity, loss of job security, student concerns, and loss of value of the academic degree – this last being of concern to students and alumni, primarily.

Selection of Name of the University and President

At the time of the consolidation pronouncement, it was also announced that the name of the consolidated university would be State University and Dr. Dawn would remain as president of the new university. In the previous four consolidations, the name selected for the new university was a composite of the previous two names; this process of naming was apparently quite contentious and prolonged. It was suggested that based on the prior consolidations and the associated problems, the BOR choose to make the decisions prior to the announcement.

These decisions being made concurrently with the announcement of a consolidation were, generally, not received well, especially by the students and alumni. According to Dr. Beamish,

> I think the people at the Chancellor's office were frustrated with the previous consolidations because they did spend a lot of time talking about the name and how it represented the combining of two institutions and there was no pretext about that for Middle State University. When the Chancellor told me this was going to happen, he said "this is going to happen, Dr. Dawn is going to be the President, the name is going to be State University, and that's it." I think that it would have gone more smoothly if that had been a conversation about the name of the combined institution because the way it was done it really *dissed* Middle State University; it was insulting. It also sent a negative message to the Middle State people. It also instilled an attitude in the State University people that they were somehow superior.

It is important to mention that comments from the Middle State president were gathered at two separate time periods; the first was in the impromptu discussion on the steps of the

student center on the day of the announcement and in the subsequent press conference and forum debate several days later. The second interview was conducted in June, 2016, approximately two years after leaving the state to serve as president at another university.

There was no rationale stated by either of the sitting presidents as to how the name was selected. During the forum discussion held on December 3, 2013 on the Middle State campus with the two presidents, a question was asked about the selection of the name, colors, and mascots. Dr. Dawn stated "The Board of Regents has, in fact, made that determination." He continued "I am sure that the Board of Regents talked to many, many, other people prior to consolidation." The president of Middle State quickly retorted "But not us." The audience erupted into loud applause (The Sting Live, 2013, Open Forum, 2 of 5). A similar response was heard at an impromptu meeting that the Middle State President had on the steps of the student center on the afternoon that the consolidation was announced. A student in the audience asked if the students could petition a name change. The president replied "You can petition anything but the BOR has come to a conclusion on this; democracy is still at work." A voice from the assembly was heard to say "Don't talk about democracy; ain't nobody voted for this" (The Sting Live, 2013, President Speaks, 3 of 4). JN also posited that the announcement could have been handled better. She remembered "I cried all weekend. Nobody knew what that meant, but I love this place, I love this community, and it was just the way it was done. It could not have been more hurtful. So I cried all weekend" (Newell, 2014, p. 23).

SC was very critical of the manner in which the decisions were made.

> From an outside point of view, it seemed very inappropriate to me for this to be decided and announced without a lot of thought and study from the two institutions. It

> is sort of like the way that Dr. Beamish was just hired and then announced. This was [a case where] someone downtown says, "This makes sense." So they announce it. Then you guys live with it and make it work. I think it would have been so much smoother had they said, "We're considering that this looks like a match. You two complement each other. Let's take a year and put a joint task force together from the two institutions." Maybe put a few community leaders on it. That's how they've done, by the way, the other consolidations that they've recently done in the system. This is the first one they've just announced and said how it's going to turn out and how's it's going to be named. All that's been a community decision in the other ones that were done. Then, say, over a year, come up with a way to make it feasible. Then there could have been some input, and people would have thought about it. But just to say, "It's a done deal, and in a year from now you're together, and Dr. Beamish, you don't have a job any more after that year." That seemed a little harsh to me as a way to do something like that without really thinking of all the ramifications of it. As a result, and this is just probably human nature, since State is now so much bigger than Middle State, its's pretty hard for people at Middle State not to see it as an absorption more than a partnership. (Cheshier, 2014, p. 36)

Similar sentiments were expressed by KH,

> You've had no say in it, and you've had no opportunity to present any arguments. I think "they" did it this way because they didn't want any arguments, and I think they knew there would be valid arguments. Yes, it was – what do they call it – a preemptive strike. I think they did a preemptive strike. (Hall, 2014, p. 38)

When asked his thoughts on the name change Jack indicated

> Probably, it was an indication of dominance – it was not necessarily portrayed that way – it was a merger of equals and that type of thing but we were four times the size, more comprehensive, already at the comprehensive level and we wanted the resultant school to be a comprehensive. I also understood that the other mergers that they had before us really took a good while with the name and they struggled and so it was just decided to just say what it would be.

The Middle State University students did petition to speak to the Board of Regents at the first meeting following the announcement. There was some difficulty as the rules of the Board require a several day notice to bring forth items of concern; the announcement about the consolidation was made after this time period had ended. The BOR, however, did grant students five minutes to address the members. According to Dr. Beamish,

> They did an incredible job; they really framed their comments around their own education as students at Middle State; they said 'as students we have learned to collect data, process information, share it and analyze it and figure out the best solution and we just want you, the BOR, to do what we as students are learning to do at Middle State.'

KH concurred, "They spoke beautifully. Each one of them talked about the fact that in our curriculum students are taught cost benefit analysis in a thorough, data-driven way" (Hall, 2014, p. 32). However, the BOR decided to approve the name change as recommended – State University.

There were some positive comments about the name choice and the naming of Dr. Dawn as the new president. Emma indicated that it was a good decision because it cleared up from the beginning what the name and who the president was going to be. She concluded

"You can really only have one president; you can't have co-presidents; you can be co-chairs, but to say this guy is going to be president really says that he is going to be the point man." Another individual commenting on the school newspaper article said "They will lose their name, mascot, and colors but becoming one with State University is a great move financially for Middle State not to mention adding many prestigious programs to their resume" (Honest J, Shocked, Angered, 2013).

The former Dean of the School of Computing and Software Engineering at Middle State recounted a discussion that he had with another faculty member whose scholarly interest was in mergers and acquisitions. The faculty member indicated that had he been asked, he would have told the BOR to make the announcement exactly like it was done. He would have recommended to just "drop the bomb," don't do any consultation and don't leak it out bit by bit because faculty, staff, students, and alumni of Middle State would have objected but it would have been done anyway causing more ill will (Reichgelt, 2014, p. 27). Dr. Dawn concurred,

> I think the regents handled it exactly the way it needed to be handled. The reason I say that is because Middle State was a good institution. The folks over there are very capable. They would have argued strongly and almost exclusively to keep it as a separate institution. I think the regents handled it the only way it could be handled. (Papp, 2015, p. 63)

In the early stages of the consolidation the term "New U" was used to refer to the soon-to-be consolidated university. There was much discussion in the CIC and ECIC of the naming of the two separate campuses. One suggestion was the North and South campuses; minutes from a CIC meeting indicated that this was the public's choice for the campuses. JC

suggested to the President that this could lead to people calling it the consolidation of "northern aggression" (Cooper, 2015, p. 19). The OWG on Campus Master Planning thought that this could be misleading as the State University campus expanded. Another option suggested by the OWG was to refer to State University as the "main campus" but that was abandoned because of the insinuation that the Middle State campus was inferior to State University. Dr. Dawn, in a 2014 newspaper article, strongly asserted that the Middle State campus would not be a subordinate campus to State University. He called them "two core campuses" (Capuano, 2014, para 7). In May of 2014, the OWG recommended that the two campuses be differentiated by the town in which they were located and this recommendation was accepted. Sarah submitted that it was important not to use the phrase "other campus" or "satellite campus" as she suggested that there was "hostility about that."

There were efforts made to honor the legacy of Middle State University. At the initial forum discussion between the two university presidents held on November 4, 2013, the president of Middle State University indicated that she and Dr. Dawn had already begun discussing ways to maintain the history and traditions of Middle State University. Very early in the process of consolidation, the school of engineering and industrial technology was renamed the Middle State College of Engineering and Engineering Technology. As part of the consolidation process and also as a safety issue, all of the streets at Middle University were re-named, several of the names reflecting some vestige of the Middle University campus. For example, there is a street named after the former president of the university, and other names that were strictly Middle State in meaning. The OWG on Preserving Traditions and History recommended that certain traditions that were formerly unique to each campus or only existed on a single campus be coordinated under a single university-wide activity. In

addition, they recommended that each campus's historical stories and legends be remembered in the State University archives so that future generations can have access to them; the Archives and Special collections from both universities would be combined to generate a unified history of the two institutions. Finally, it was recommended that information on the shared pasts of the universities be placed on the new university's home page to serve as an informational resource for stakeholders.

Loss of Identity

There were issues of identity beyond just the name of the university. Both the mascot and school colors were changed but the President of Middle State said at the forum discussion that "you can still wear green" (the color of Middle State) as she pointed to her green blouse (The Sting Live, Open Forum, 2013, 2/5). It was deeper than these superficial issues. Students and alumni were particularly vocal about their fear of loss of identity. At the December 4, 2013 meeting of the CIC, as reflected in the minutes, the president of Middle State University asserted that "This consolidation is a joining of two institutions and Middle State University and State University are equal partners in the process" (p. 2). She further explained that there were no preconceived ideas about jobs, which programs may or may not move, or how departments may or may not be blended.

However, that assessment was not necessarily agreed upon. The State University school newspaper submitted that "Many students view the merger as a hostile take-over of their campus and fear the school will lose its identity" (Students Shocked, Angered, 2013). In response to this article one student commenter said "Well, of course it's a good move for State University. There are no negative consequences for State University, but Middle University loses its identity" (Nathan, 2013).

Several participants used the terms *absorbed*, *takeover*, and *superior* in describing the consolidation. Adam indicated,

> I think it's interesting you know from the side, because the university name became State University, the Middle people and the students probably felt that they were absorbed. I would say the State side was very careful about making sure people did not feel that way. I think, because I have gone through so many of them, that I was very careful and we did a very good job of making sure that people were not vanquished or something. I think the try was very good on the State University side and they did a pretty good job. Now whether this side accepted it or not was another story.

Emma shared a similar sentiment,

> There were open houses and everything and it is great to see that they are passionate about it and take in their institution name. It made them think they were losing their name and losing their identity – there is the Middle State College of Engineering and Engineering Technology. I think it was to placate them depending on who you ask. Some people may think that you are just downgrading from the institution name to a college again, the dominant feel, not quite sure, but obviously it was one of those unsaid rules. Which one is the more recognizable? But really any one term would imply one of them was secondary.

Likewise, Justin proposed "I think that prior to consolidation, they had their own identity but once we merged, we kind of got absorbed into the State University identity." Justin had a unique perspective as he was originally located on the State campus and volunteered to re-locate to the Middle State campus to show support for Middle. As he stated

> I was originally on the State Campus and I wasn't part of the Middle State experience but that is what I understood from various conversations that, yes, they considered it a hostile take-over but I kept thinking that the BOR said we had to do this. But again, we kept the State University present and he kept most of his colleagues so I could see if you were here…..

Kathy, a member of the State faculty believed that individuals felt like the smaller school was "being absorbed." Emma surmised that to this day "there is that feel that we are secondary, almost second class." Dr. Beamish indicated that the announcement about the name change without consultation with constituent groups "instilled an attitude in the State people that they were somehow superior. I think that's where some of the hostile takeover language came in." It is important to note that this was said several months after she had left the university. A former math professor at Middle State said "It's that we are being subsumed into another institution" (Hall, 2014, p. 34). She referred to it as "the dissolving factor. You take away the brand name" (Hall, 2014, p. 36). One Middle State retiree asked "Have we lost the identity and what were we working to gain all these years?" (Troemel, 2014, p. 29). One of the participants commented that as individuals retire and new personnel are hired, these feelings of loss would subside; she did qualify this by adding "it may take a decade or two." HR indicated,

> What is starting to worry me a little bit is that at least some of the folks at State University – let's put it like this; there's a growing feeling on the SPSU campus that this has become a hostile takeover rather than a consolidation. (Reichgelt, p. 28)

There were positive comments about the change. A Middle State alumnus stated "I have faith in our president and staff that will be on board to help the two schools merge. I

know that they will not let our identity be released from the programs that has such deep dignity, tradition, and recognition" (Wolf, 2013). Dr. Dawn, in a November 4, 2013 press conference, reassured the students that,

> I fully understand the value of the electrical engineering, the civil engineering, and the mechanical engineering technology degrees that the students get here (Middle State). Programs are what employees are looking for as well as the identity. We are talking with some people about how to maintain the identity even as the merger goes forward.

SC summed up the feelings of many of the faculty, staff, retirees, students and alumni when he said,

> The thing I regret maybe most of all, is there's a very proud alumni heritage of sixty-five years of excellence of Middle State University that I hate to see lost. Ten years from now someone coming through will never know there was a Middle State University. (Cheshier, 2014, p. 36)

Retirees were also concerned. AT indicated "I honestly feel like we have been thrown out with the bathwater" (Troemel & Troemel, 2014, p. 28). KH had very similar feelings "When you have spent your entire life building something up and then see it wiped away, it's like a tsunami" (Hall, 2014, p. 38).

The feeling of loss of identity by students, faculty, staff, and alumni was deeply felt. JC summed these feelings up "That evening [the day of the announcement] a handful of colleagues came to my house, and we sat outside and drank a beer and cried and told stories" (Cooper, p. 18).

Loss of Job Security

One of the other major themes identified was job security concerns and fears among faculty, staff, and students. As Frank indicated "the concerns ranged from job security and positions of rank to how the data would be consolidated." Faculty and staff were concerned, although to different degrees.

During the impromptu news conference held at Middle State, the president indicated "I can't promise that no jobs will be lost; there will probably be some decrease in personnel at both institutions and I think that it will be more significant at the administrative level than at the faculty and staff level." In the subsequent interview with the researcher she surmised,

> Well, of course, everyone initially freaked out about what was going to happen to them, were they going to lose their jobs, was there going to be a place for them in the new institution and the messages, of course, I had no control over that, but I tried to be as reassuring as I could be and Dr. Dawn kept saying "we are going to find a place for everybody," you know, no one will lose their job, except for me. The whole process of finding spots for people, could have been done in a much better way. For example, as soon as the announcement was made, a couple of people at the State campus reached out to people at Middle State and said "Since you are going to be working for me"… and that was troubling. Some of that happened quickly; a few people got offered jobs at State almost immediately and some of them jumped at them, some of them said, no, I still have a commitment to making sure that things we have been working on at Middle State be implemented. It was all over the map, so there were a lot of rumors that this person is going and this person is going and a lot of people dusted off their CVs.

According to Adam, "There are always some people that are going to be scared; the fear factor is always there and probably uncertainty; not so much fear as uncertainty, not knowing some of the things." When Justin was asked about his fears or concerns he replied "For a fleeting moment, yes, there was 'Am I going to come back'? But I kind of saw it as an interesting opportunity that was kind of an exciting one – just to see what could evolve out of it."

Most of the faculty interviewed were not particularly worried about job security especially those faculty and staff from the schools on the Middle State University campus with no corresponding entity on the State University campus. Lindsey noted,

> We were not necessarily concerned about losing our jobs or anything because State University did not have engineering. The Dean called everyone into a big meeting and said 99% of you are secure and are not going to lose your position.

Sarah suggested that the concerns for jobs were "Not so much from the standpoint of the faculty. I think the concerns of that were put to rest; faculty jobs would be respected." She indicated that Dr. Dawn "had from the start made that clear and I think just history with the other consolidations it has been apparent that they are going to try to avoid getting rid of faculty jobs." In addition, enrollment in two of the unique programs at Middle State University was increasing, so the likelihood of cutting faculty in growing programs was quite slim.

Emma expressed the belief that the administration was committed to saving as many positions as possible,

> I can only attest to faculty, because this was one of the things they were very particular about that no one would lose their position; in fact, one of the more

> important things they said was that this will work out better in the long term for the new institution because we will have more full-time faculty that will be a part of the new institution rather than having a larger percentage of adjunct faculty.

There were some concerns, however, of faculty moving from one campus to the other. As Tim stated,

> So there was this thing about having to move but finally they came to the realization that there is nothing up there that can turn into an engineering school. And so the faculty pretty well settled down right away; we aren't going anywhere. Now some of the other areas were more concerned - student affairs, enrollment, because all of that was moved out of here so we started losing people; people in admissions left, and some in student affairs. I don't even know if they stayed around long enough to be offered anything; some of them just didn't want to be part of it. The other thing is that on this campus and not as much on the State campus, there were a lot of long term people here who had been here for years and they were here when I came and they are still here and they just could not; this change thing was just too much to cope with. They have been coming to work here for years and years and years and so that was mainly our people. Some of the faculty in the social sciences, psychology, political science and history, - they had some issues (and the business department which had probably the biggest issues). They didn't want to cooperate at all but basically they were part of the business college. That was really the only major fight.

Most of the participants interviewed felt that staff were more concerned about jobs than faculty. Jack indicated,

> Faculty did not lose their jobs and some staff did. They had tenure and things like that but also part of the idea was that we were not flush with instructors; we had more need for instructors but when you combine, you combine more on the operational side and that's where the efficiency comes in so really most of the savings came from. Now there were higher level administrators where a lot of money was saved, and then some operational staff.

MN confessed "I don't think that I had a knee jerk, panicky response or anything like that. I think I was pretty clear from the onset that what we had in this department could integrate well into a larger, more comprehensive university" (Nunes, 2014, p. 19). Emma concurred "One of the things that leadership was always clear that people, faculty would not lose their jobs but again the fear is always going to be up there in the mind of the rank and file staff member." Emma felt that because she was tenured and had work to do, there was an element of safety, but for individuals even to the janitorial staff level did not have that security. She indicated that she knew the staff had "worries." Addie, an administrative assistant, was the lone participant who felt that the staff was not as concerned as faculty. She said,

> For us, we heard that faculty didn't have the guarantee but we felt more guarantee because there would always be the need for an administrative assistant for that department which was not changing; so more so the faculty part where you might lose a dean or that type of thing.

During the impromptu discussion on the Middle State campus on the day of the announcement as well as during the forum discussion with both presidents, several individuals expressed concerns for their jobs at all levels. Faculty, staff, and students all asked questions concerning positions. During the forum, one student worker from the Middle

State campus asked Dr. Dawn if he (the student) had job security. There were several cries of "no" from the audience at which point the president of Middle State retorted "Let me be the first to point out that none of us do" (The Sting Live, 2013, Open Forum, 2/5). The audience roared with laughter. Many of the personnel changes at State University took place because of voluntary retirements or because of new job opportunities. The president, vice president, legal counsel, and chief information officer all left to take other positions prior to any announcement about positions was made. Jack agreed that a few staff left because of the consolidation but indicated that there could be different reasons ranging from "Hey, I just don't want to be part of this" to the general unease and uncertainly that made individuals look for other jobs even though they were not sure if they would actually lose their job. JC agreed "I gather that just because of the uncertainty, a lot of people began to apply elsewhere. Even though they were probably going to be taken care of in the long run, they didn't want to stick around and find out" (Cooper, 2015, p. 19). The president of Middle State University was a very popular one and her departure was a deep loss to the Middle State community. Erin suggested,

> Everyone on the Middle State campus was very upset because [the president] was a popular president. She did a lot. The institution really grew under her, she was a very powerful public speaker and she was very nuts and bolts. She knew everybody and she would visit around and so no one wanted to see her go; no one was happy to see her go.

AT, in referring to the Middle State president, stated "She was just dumped out, which was horrible" (Troemel & Troemel, 2014, p. 28).

The changes in personnel affected higher administration, faculty, staff and students. These changes not only affected individuals who lost their own positions but also to those who lost colleagues and friends during this process. This was difficult for faculty and staff. From Erin's perspective,

> There was this phase when every day we were saying goodbye to someone; every week there was a going away dinner, lunch or something and there was a long line of those and so after the first few it becomes a constant saying goodbye to people that you respect, that you really know is a great person. Some that was not their decisions, but some of it was. Some people just didn't like the change, just didn't like the insecurity of it, or it just gave them the impetus to look around and say, oh well, I found this other thing so there was a lot of loss of good people for all of these reasons.

Student Concerns

Immediately after the announcement was made, students on the Middle State University campus expressed numerous concerns about tuition, student organizations, housing, athletic commitment, scholarships, class size, instructors, student employment and elimination of majors. Students were very vocal about class size, many suggesting that the main reason they came to Middle was for the small classes. Dr. Dawn, in a 2015 interview, when asked about increasing class size, stated,

> No, it will not happen. If anything, across the board they will get smaller. Again, we are going to increase the number of faculty, and that will drive down the student/ faculty ratio. Now, I'm not saying that there won't be some classes that get larger.

> There probably will be. But if you look at the overall student/faculty ratio, it's going to go down. (Papp, 2015, p. 69)

Many of these issues of concern were addressed by OWGs. Elimination of majors was of particular interest to the students on the Middle State campus. The following eight OWGs were created to look specifically at academic degrees and programs:

1. OWG 4: Business
2. OWG 5: Computing and Software Engineering
3. OWG 6: Education
4. OWG 7: Humanities and Social Sciences
5. OWG 8: Math
6. OWG 9: Sciences
7. OWG 10: Inventory of Programs, Authorized Degrees, Delivery Modes, Assessment, etc.
8. OWG 11: General Education and Core Curriculum. (See Table 3)

Several recommendations were made in each of these OWGs relating to the continuation, deletion (phasing out), consolidation, or revision of majors/programs within that area. There were no OWGs assigned the tasks of reviewing engineering, engineering technology, or architecture and construction management as these programs were unique to Middle State University.

The consolidation was especially difficult for junior and senior level students. According to Adam

> Even today we are working out some of the details that were left. An example of that is that students who work on and try to graduate from the old catalog two years ago,

> now they are coming up for graduation and they say back then it was ok but now that you consolidated which catalog do I use? Do I graduate based on the new catalog or on the old catalog and that's always a problem. I heard that one of the colleges told older students that you guys have X number of years on the old catalog to graduate and get out of here. After that you are going to live with the new catalog. You may have to take some courses over, some new courses. We are wrestling through that.

Recommendations from many of these eight OWGs strongly suggested that faculty and staff work with all students to transition them through the new curriculum or to assist them in transferring to another school if degree completion was not possible.

Value of Degree

Many students and alumni expressed concerns over the value of the academic degree. Middle State University was primarily known as a STEM university with an excellent reputation particularly in the engineering discipline. Several students believed that the merger would devalue their education. Some of the negative comments posted online following an article in the State University newspaper on the merger included:

1. Getting a desirable entry level job in the STEM field is highly competitive, and this merger just makes it that much harder to compete (former SPSU, 2013).
2. I came to Middle State University because I want to graduate from here and NOT State University. What company would say oh you got an engineering degree from a university that is mostly known in liberal arts. That is a shot at my future and my four years here. I DO NOT want that (SPSU 4 LYFE, 2013).
3. I didn't have any problems with the merger except my job availability going down (DW, 2013).

4. Unfortunate for Middle State University students who rely on the well-established and respected Middle State name to land that job (SPSU 1988, 2013).
5. Engineers are so hard to find, and Middle State University is one of the few quality places delivering them. My company can't hire them fast enough. To dilute them with State University is a flat-out crime (Dave, 2013).
6. The state will not be receiving any more money from me. Another, well-deserving university with a great reputation for their engineering grads will be the new recipient (spsu student, 2013).
7. If they go ahead with this merger, I will never contribute another dime to the Alumni Association! Not one dime (Angry Ralph, 2013).

Grey, a recent State University graduate who had completed his first 4 years at Middle State University, stated,

> The only real worry I had with the merger was how it would affect the relevance of my degree I had worked so hard for. It didn't seem to, as I got a job at a great firm and so far it's going really well. However, I still tell people I graduated from Middle State University. It's humiliating to say I graduated from State University. They're nothing special and nobody thinks architecture when they hear State University. My main concern was as an architecture student. Middle State had a reputation for turning out architecture graduates who were prepared to go right into the workforce. Middle State was considered very hands-on and technical. The program was respected for that. I knew that reputation would be lost, more or less, through the merger.

There were several positive statements from commenters as well

1. Losing a mascot and identity is a cause for anger and frustration, but the merger is

not invalidating the actual reason why people are going to college. The education won't change (Steve O, 2013).

2. The reality is the Middle State University name is not more valuable than the education itself. If you trust the education you've earned at Middle State University, the name change should not really eliminate you from a job (Steve O, 2013).

Dr. Beamish was positive as well. She asserted,

> Middle State University's programs have a strong history of graduating students who are in demand in the workforce and who contribute to the economic development of the state. That quality, that employability of the graduates of the programs is not going to change. We are committed to excellence in all our academic programs. (The Sting Live, 2013, President Speaks, 1/4)

Middle State's president shared similar thoughts during the impromptu discussion when asked what she would say at the next week's open house for parents and students. She stated,

> Next Saturday's recruiting open house will focus on the fact that when students look at coming to Middle State they are really looking at coming here for the programs, the outstanding academic programs that we have. My focus for recruiting students will be in recruiting students to those programs and de-emphasize the name of the institution, the name that's going to be on the diploma that they receive, and emphasize the quality of the content of that academic program. That's what we are going to emphasize. We offer great degrees here. They are valuable and students want them so we want to be able to provide them. (The Sting Live, 2013, President Speaks, 2/4)

She was also asked about how the university could preserve its distinctiveness. She replied,

> I hear the question about how do we maintain our distinctiveness? And I think that has everything to do with the content and the nature of our academic programs, our approach to practical application of knowledge to solve real-world problems. That doesn't change. I think that we have extraordinarily great students and faculty here and I think continuing to show what the best of higher education looks like is one of the best contributions we can make.

Many of the sentiments expressed by the participants certainly mimic Kubler-Ross' (1969) stages of grief. One alumni of Middle State indicated "It seemed to be the same as a grieving process. At first, there was shock. Then everyone was in denial" (Silver, 2014, p. 4). A range of emotions was quite visible during both the informal discussion with the president of Middle State on the day of the announcement and the combined meeting with Dr. Dawn and Dr. Beamish. One student was visibly distraught at the consolidation having traveled thousands of miles to attend Middle State University for its excellent programs. He asked Dr. Beamish how students could cope emotionally with the change. She responded,

> Actually, it is a good question. The ways in which an experience like this change, such a profound change in an institution and our relationship to it actually it feels like we are losing something. And there is a standard, a standard set of experiences and reactions that can be expected in the face of loss. And we all go through this and its starts with, you probably all know this, the denial, anger, bargaining, depression and acceptance and some of you are still in the denial and anger part of that and I think I am hearing that in your voice. I understand completely and we are losing something but we need to be thinking about what we are gaining in terms of opportunities, in terms of resources, in terms of more opportunities for students, more student

organizations, and to think about it more broadly. But your reaction, I understand it completely and in truth for people who are having a lot of distress about that it might be worth making an appointment with the counseling center to talk about it and we have great counseling services here on campus.

Research question 2 summary.

In summary, the major themes identified in Research Question 2 generally concerned the change management model and the concerns for students, faculty, staff, and alumni. Subthemes for the change management model included lessons learned and assistance from the Board of Regents. Subthemes for concerns included the name change, loss of identity, loss of job security, loss of value of the degree, and general student concerns. These findings were consistent with the rationale for Research Question 2 in that as Stichler (2011) opined "Change in individuals or an organization is rarely easy; it's complex, chaotic and convoluted" (p. 166). This study sought to determine what phases of change the faculty and staff navigated as well as the stages of concern throughout the process.

The consolidation that took place clearly constituted revolutionary or transformational change (Burke, 2014). According to Burke (2014), evolutionary change is "Typically an attempt to improve aspects of the organization that will lead to higher performance" (Burke, 2014, p. 98). With this, the mission of the institution changes as it did at the new State University.

Several change theories have been proposed which outline phases of change and individuals' responses to change (Burke, 2014; Lewin, 1947; Senior & Swailes, 2011; Stichler, 2011) which may be utilized in effecting successful change. The seminal research in change was Lewin's (1947) Change Management Model: the Three Step Theory and

Schein's (1987) Model for Change Management. There are others; however, the findings clearly demonstrated that no deliberate attempt to use an established change model was used. Participants agreed that two methods were used in moving the process forward: a) lessons learned from previous consolidations and guidance from the Board of Regents.

Faculty, staff, and administration of both institutions were affected by the revolutionary change. Similarities to Kubler-Ross' (1969) stages of grief and Hall and Hord's (2011) stages of concern were clear as the participants progressed through the consolidation process. These concerns revolved around the five major themes as listed above. Leadership's role in addressing these concerns were examined through the interview protocol of Research Question 3.

Research question 3. How did the leadership within each organization facilitate the change management process?

Proposition: Effective leadership served as a critical element in the merger of the two institutions.

The following interview questions were asked of the participants in order to determine their individual perspectives on the role that leadership played to facilitate the change process:

1. Discuss the vision of the future communicated to the employees of each university.
2. How did higher administration communicate the need for the change and the process for the change?
3. Describe the feedback, recognition, and encouragement which was offered as the merger progressed.

4. Discuss the role that the leadership of the universities played and the effectiveness of the leaders in moving the merger forward?
5. What were some of the communication methods used to convey information about the merger to the employees of the institution? (Protocol for administration only)
6. Describe how the employees have adapted to the change. (Protocol for administration only)

In the context of mergers, Chipunza and Gwardina (2010) posited that "Leaders who play transformational leadership roles in the merger will be able to promote risk-taking behaviours among followers and mobilize resources towards followers in an effort to produce the desired level of effort for success" (pp. 2-3). The researchers further stated that "Evidence has shown that there is no difference in transformational leadership, whether it is utilized within an education or a business environment especially considering the present day trend of running educational institutions as businesses" (p. 2). Harman (2002) posited "Effective leadership and management from the top are seen as the most important factors in assuring the success of a merger" (p. 110).

Several major themes emerged from extensive research on the leadership mechanisms employed. These include communication, mission and value, senior leadership structure, and equality.

Communication

Communication, positive feedback, recognition and encouragement are needed to reassure the workers about how the change will benefit them (Kritsonis, 2005; Stichler, 2011). The communication regarding the consolidation was controversial.

As stated previously, the decision to consolidate was made by the state Board of Regents. The Chancellor of the BOR met with Dr. Dawn and Dr. Beamish approximately ten days before the general announcement to apprise them of the upcoming consolidation. Dr. Beamish indicated that she had heard rumors about this earlier "so when the Chancellor told me to come down to his office for a meeting, I had a pretty good hunch about what was going on – at least it helped me prepare a little bit so I didn't fall off my chair." Dr. Dawn had a similar recollection. When asked if it was awkward at that meeting with the Chancellor and Dr. Dawn, he stated,

> I think awkward is the appropriate word. I think Dr. Beamish appeared, shocked is probably too strong a word. I hate to put words in anybody's mouth. I think she perhaps knew what was coming, but hoped that it wasn't, which would be a totally understandable reaction. Both of us at first thought, I think "What does this mean for me?" Then the Chancellor said, "Dan, you're going to be the president of the consolidated university". (Papp, 2015, p. 62)

JC recalled his memories of that day,

> About a week before it was announced, I had access to the president's calendar because of my role in assisting her. I noticed that she had a meeting scheduled with the chancellor. In one of our meetings I said, "What's going on with you and the Chancellor?" She told me she didn't know. I thought on that for a while and thought that's kind of strange that he would just call her down there for a meeting and she didn't know. So afterwards I asked her to tell me how it went, and she did. She looked stressed when she came back from that meeting. I asked her what it was about. She told me it was about members on a task force that she was supposed to co-chair, I

> think, related to distance learning or something. I didn't buy it. I thought that was something he would have called her or send an e-mail. It didn't sound like a face-to-face meeting to me. My nature is to probe a little bit, and so I did. I said, "Is that really what it was about?" She didn't say anything. I asked "Was it about consolidation?" Because I had heard rumors for years, ever since the first [consolidation]. She shed a tear, and I knew then what that was about. (Cooper, 2015, p. 17)

Dr. Dawn acknowledged that he had an idea because the BOR was asking for a lot of information about State University. He recalled,

> Things like, how many programs do you have at State that are also offered at Middle State? That's sort of the signal that somebody is thinking about duplicative academic programs. How many programs could you offer at State that are currently being offered at Middle State? Well, the answer is there was only one or two because they are primarily engineering and engineering technology, architecture, etc. Since I was formerly an interim president and I was formerly down at the University System's office as senior vice chancellor for academics and fiscal affairs, I could guess by the kind of questions that they were asking that they were thinking about a consolidation. But I didn't know about it until the chancellor had Dr. Beamish and me down there. (Papp, 2015, p. 61-62)

He indicated that otherwise he "had no tip off." ER indicated "The presidents didn't know, but there were political leaders who knew that this was being considered, and they were, frankly, mighty good at keeping it close to the vest" (Ruggs, 2015, p. 92). He added "If it

was going to happen it had to have the blessings of local legislative leaders" (Ruggs, 2015, p. 92).

What contributed to the surprise is that in all of the other consolidations, only one permanent president was involved. Dr. Beamish recalled,

> A number of people on campus observed a pattern that the first round of consolidations – most involved a president who was retiring or there was an interim [president] already. So there were a number of people at Middle State who said "You can't leave because if you leave, you're going to expose the university. We will be vulnerable to consolidation if you leave, so you can't leave.

The date and time that the announcement would be made public was shared with the presidents the day before the actual broadcast. Deans, department heads, faculty, staff and students were all surprised by the announcement. According to Tim,

> I found out at a staff meeting here at Middle State at 11:00 one Friday morning. The President here called a staff meeting and announced that at noon that day there would be an announcement that the two schools would be merged. My reaction to that was I had just employed a registrar a few months before that had worked at other schools and went through that whole merger. She had been booted out of her position there because they didn't need multiple registrars and so I ran to her office to tell her that was going to happen. Then I tried to get to all the other directors who reported to me - athletics, recreational sports, career and counseling, student affairs - all of those areas and get those people so they would all know it before it hit the newspaper or the airwaves. And so, that was basically about an hour before it happened that I knew.

According to one of the interviews, when the president told everyone on November 1st about the consolidation, there was "silence, stunned silence was what it was. She was cool, calm, and collected. She had had a little time, obviously to get her head around this" (Cooper, 2015, p. 18).

All of the participants interviewed expressed surprise at the announcement of the consolidation. Erin stated,

> I remember that I was going into a meeting and I walked by my Dean's office; I know my Dean well so I could tell something was going on so I walked into his office and I started making chit chat and he said, "well look here's what's happening." I was stunned. I was just stunned.

Emma recalled that she learned through "one of Dr. Beamish's emails that we are merging and that was the start of the process so it was not like a little heads-up; even the deans didn't know." Adam remembered that the announcement seemed to come through the media at the same time as the university was informing faculty and staff.

After the initial announcement there were several events staged to address the consolidation. Dr. Beamish stated,

> It became immediately clear that there was so much uproar on campus that I just sent out an email that said I am going to be on the steps of the student center if anyone wants to ask questions about what I do know and hundreds of people turned out. It instantly overflowed the largest space so we set up a PA system for outside and I stood there for almost two hours just answering questions to the best of my ability and out of that came the sort of joint meeting that Dr. Dawn and I had at Middle State. People were crying and it was really emotional as you can imagine.

Subsequent to this initial impromptu event, there was a press conference with the two presidents and a forum discussion on the Middle State campus the following Monday with both presidents.

Several other means of communication were established very quickly. A consolidation website was created which included information on CIC and OWG membership, meetings and minutes of the CIC and ECIC, approved recommendations from the OWGs, information on leadership and responsibilities, the 2015-2016 Consolidated Strategic Plan, and the SACSCOC Substantive Change Report. This website was periodically updated as the various groups reported on their accomplishments. Faculty, staff, and students were encouraged to volunteer for the work groups as were alumni. The CIC meetings did reflect that the co-chairs of the work groups would populate their own groups "as they see fit." An online suggestion box was also created. Participants mentioned that town hall meetings with Dr. Dawn were held and periodic emails with updates on the progress of the consolidation were sent.

The first step in the consolidation process was the creation of the Consolidation Implementation Committee, and within a few weeks, the Expanded Consolidation Implementation Committee. The co-chairs of the CIC and ECIC were the presidents of the two universities. Early on in the process, Dr. Dawn reminded the committees of the definition of shared governance. He stated "Shared governance does not mean everyone has equal say in determining policy. Shared governance means that all affected by a policy comment on and make observations on the policy" (ECIC, February 17, 2014, p. 3). He continued "There are only two heads on the block for policy: Dr. Beamish and me" (ECIC,

February 17, 2014, p. 3). However, Dr. Beamish felt that she was not contributing to the work of the committees. She stated,

> The primary way in which the leadership was involved through that committee and then there were some sub committees of it and I attended a few of those but I wasn't really contributing anything. I wasn't bringing value to it and frankly there were several people at Middle State who took me aside and said - you are really being used - because you sitting there next to Dr. Dawn and he is doing all the talking and it makes it look like you agree and like you are presenting a united front and we know you don't agree with some of the things going on. And so, I started, first, sitting not at the head of the table but just with everyone else, and then I just started to move to sitting on the edge of the room instead of at the table, then I quit going. I didn't refuse to participate but I gradually shifted away from being engaged in that because I didn't think I was bringing any value and because, this is also said on campuses when there is a presidential transition, it only confuses people to have two presidents, and it was so clear that it was going to be Dr. Dawn's institution, I sort of stepped aside so that he could do what he needed to do.

In referring to Dr. Dawn's leadership, Adam recalled,

> I think he did a very good job in terms of making sure that there were no ill feelings and we were treated equally and he came to this campus and he gave several talks even at the college level and spoke to people so there was conscientious work done and that was very good.

On the Middle State campus, meetings were held every Monday by the interim president (Dr. Beamish had left by this point) to keep all parties up-to-date with the progress of the

consolidation. Interestingly, the interim president had been told in early 2014 that he "didn't have a role in the new place." However, by March, he had been named interim president. Throughout the movement towards full consolidation, key individuals from the State campus spent part of each week on the Middle State campus in order to facilitate communication.

In general the participants felt that Dr. Dawn did a good job with the communication throughout the first several months. However, during the March, 2014, meeting of the CIC, one member expressed concern over the communication up and down the line. She asked if it would be useful to survey what faculty and staff thought about the consolidation process. President Dawn asked to see sample instruments; however, there was no mention of this in subsequent meeting minutes (CIC, 2013, March 28, p. 1).

The president, himself, stated that there were two areas that he should have done differently. The first was to have many more town hall meetings. He held that he could have handled it a "little bit better than I handled it and the whole leadership handled it." Secondly, he disclosed,

> We could have made some of the decisions that were eventually made even earlier that they were made, thereby removing some of the uncertainty. In a certain sense you could say, perhaps, we were a little bit too democratic in some of the decision-making processes. Too democratic because it took too long. (Papp, 2015, p. 70-71)

Addie also commented that more town hall meetings would have been great and would have brought more transparency to the process.

Mission and Vision

One of the initial tasks of the CIC and ECIC was to develop the New U's mission and vision as BOR approval was required for the mission statement. The BOR representative

stated at the January 6, 2014, CIC meeting, that the mission statement would drive everything else that would be done. She also mentioned that other consolidations experienced difficulty in developing the new statements and urged the committee to complete this task as soon as possible. The new mission and vision statements were approved at the February 10, 2014 ECIC meeting and approved by the BOR in April of 2014. Emma is currently a member of a committee that is charged with updating the vision statement. She commented that the current vision statement references the 13 colleges of the university; this was done at the time to insure that both campuses felt included in the new vision statement. The charge of the current committee is to streamline the statement and make it more compact. She said "We don't have to list all the colleges because we feel that we have moved on from there."

Senior Leadership

Another milestone in the consolidation process was the creation of the senior leadership structure at the New U. As expected, many of the personnel changes took place at the higher administrative level. As the former president of Middle State University said at the impromptu meeting the day of the announcement, "The benefits of this are an increased efficiency of operation because, I mean they have just saved the price of one president" (The Sting Live, 2013, President Speaks, 2/4). The April 7, 2014, ECIC meeting was devoted primarily to the senior leadership/administrative structure (including the dean positions). Dr. Dawn presented his cabinet indicating that he had relied on multiple sources of input including discussions with several university presidents, conversations with the BOR individuals including the Chancellor, ECIC discussions, and OWG advice but that personnel decisions were his decisions with the exception of the three national searches being conducted. The final executive level structure of State University consists of 12 direct reports

to the president, 11 of whom serve on the President's Cabinet. All of the existing cabinet positions were awarded to State University individuals and there were national searches for the unfilled positions. This created controversy among the Middle State faculty and staff. According to Dr. Beamish,

> One of the things that troubled me about the re-organization was that it was sort of fully formed; seemed like it was "I have already decided that this is what it's going to look like and here are the people in the jobs" and of course they were State people.

When asked about the selection of the senior leadership structure, JN, a member of the CIC, replied,

> It was announced to the Consolidation Implementation Committee. But the president had both the right and the need to make those decisions up at that level. Those are the people he needs to work with. Nobody in the room really expected it to be that one-sided, but something somebody pointed out to me a couple of days later really made sense to me, which was so many of our people at those levels have already gone and that affected the make-up too. (Newell, 2014, 28)

One ECIC committee member questioned the process for the selection of individuals to fill these and other senior level posts. He indicated that he was under the impression that the ECIC would play a role in filling the positions but that there were rumors that many of the positions had already been filled. Dr. Dawn replied that it was important to fill these positions so that the uncertainty about the future that continues to surround both campuses would end (ECIC, 2014, April 7). The BOR representative responded by acknowledging that it probably feels more like a takeover than a consolidation because this was largely State University leadership, but that there were good things about each entity. She reminded

everyone to be respectful of their colleagues (ECIC, 2014, April 7). The minutes attributed the following rationale for the swift move to Dr. Dawn,

> [I] moved quickly not only for prospectus but also to give the New U the greatest chance to work out bugs and to provide all who want or need time, the greatest amount of time to either stay with the New U in their current role, take on a new role, get angry at the New U and move on, or for those displaced it gives them the greatest amount of time to find new positions. (ECIC, 2014, April 7, p. 4)

In his May 7, 2014 State of the University Address, Dr. Dawn submitted that with all of the changes, administrative positions were not proliferating and, in fact, were decreasing. He mentioned that collectively he and the former Middle State president had a total of 25 direct reports, with thirteen of these reporting to him. After consolidation, he would have 12 direct reports. Dr. Beamish indicated that the consolidation actually resulted in very little deduction of upper administration and asserted that to indicate that this was a much more streamlined administration was "not a convincing argument."

Equality

Apart from concerns over job security, equality in other areas caused faculty and staff of Middle State to be apprehensive. Faculty was worried about salary, promotion and tenure, workload, grievance and other academic issues, and staff was uneasy about equal representation on the staff senate and having a voice in policy and procedure decisions. Leadership addressed these concerns primarily through the work of the OWGs. Functional Area B: Academic Degrees and Programs, included eight work groups devoted to reviewing all degree programs and general education curriculum. By the fall of 2015, most of the issues

with colleges and departments were resolved through these work groups. Emma expressed concerns regarding some remaining issues especially in the information systems area,

> Information systems offers a degree in information systems and a graduate certificate in information security. Now this is under the college of business. It just so happens that they (Middle State) offered a bachelor of IT and also offered a certificate in information security and those courses look very similar. Now when the decision-makers were making those decisions they were just kind of matching apples to apples – is there an IT or IS in the college of science at State University and they overlooked the fact that we had one in business so they didn't necessarily look across colleges to look at programs.

Jack indicated that as far as duplicative programs "Pretty much most of that has been ironed out."

Functional Area D: Faculty Affairs, included OWGs relating to faculty credentials, rosters, workloads, and pay; faculty honors and awards; promotion and tenure; research, scholarship, creative activity, grants and sponsored operations; and technology enhanced education and testing center. Most of the issues of concern were considered by these OWGs. Some of the noteworthy recommendations from this work group that were approved by Dr. Dawn included:

1. An orientation to all faculty would be held at the beginning of the fall 2015 semester relating to new policies and procedures;
2. Recommended that seniority at the new State University be based on years in rank at the previous university. That is, seniority in rank would carry over to the new university without change;

3. Recommended that a mathematical model similar to one at Middle State University be used to address compression, equity and inversion. The model was made public so that all faculty were cognizant of how decisions were made;
4. Recommended that faculty performance would be measured in teaching, scholarship and creative activity and service (a combination of requirements of both universities); and
5. Policies on tenure and promotion would include elements from both universities.

Erin suggested,

> I think having this short of fresh look at policies and how they work together and how they support the mission and vision of the university and really scrutinizing those and questioning those and refining them is a great process. I think we have all benefited from that. I feel like we have the best versions of everything so that's great. Consolidation also gives you the excuse to make big changes and so I think that's been taken advantage of.

Equality of resources is often an issue with consolidations. Sarah expressed some concerns relating to the equality of resources,

> This is just speaking honestly, it seems like there was an attitude that it would be that everyone would contribute and give their input and we had all these OWGs and I think to a certain extent our voice was heard. They were bigger and so things that they had done and had implemented - there wasn't a need to change that so it was pushing us to taking on their ways rather than them taking on our ways. Of course with the leadership - the main people, our President, our VP of Academic Affairs, many of our higher level administrators left and so one of the things that I have

> personally mentioned is the consolidation was about getting rid of all of this overhead. We lost a lot of our higher level people but when the resources got redistributed, it was not as though we got a bigger portion even though more of our upper level people had been lost. We just got a piece of it but it seems a little disproportionate. I can only speak for me - I do have one example - we are in a good place in the college of engineering because they didn't have another program; however, if you look at other comprehensive universities outside of the state you look at the salaries of engineering faculty versus liberal arts faculty, yes, they are paid more. So as we have done equity adjustments, where we started was with faculty split across both campuses. They had tried to do equity adjustments for them which makes sense because you don't want two people in the same department with huge discrepancies in their salaries; for us though, we have no one to compare to so we when we do these internal equity adjustments, they are not looking at across colleges and so we are not seeing the benefits of the equity adjustments that some of our colleagues that are here on the Middle State campus are. I am not so much money driven that that is a huge downfall of consolidation. I would much rather be in our place of not having to merge with another department than having to worry about salary adjustments but it is one thing where you think we have lost a lot of our top people but we are not seeing any direct benefits of becoming part of this comprehensive university from the salary standpoint.

Erin had a very positive response concerning equality. “I just know that there was always a sense of fairness, an expectation of fairness, and that was vocalized,” she stated. She continued “There was a strong and consistent mentality that fairness is a high priority. I think

that is really important and that was communicated. It wasn't just for show. It really was a sense of integrity behind how decisions were made." She acknowledged that there were plenty of problems but felt that when there was a problem "you felt it was going to be handled very fairly. That's really all that anyone wants." She added "I think there has been a lot of effort in trying to have them seem like they are treated equally and I have noticed a lot of effort just in terms of the grounds and things like that".

There definitely were concerns about equality especially in the selection of senior level organization. Other areas of concern were addressed adequately by the OWGs.

Research question 3 summary.

In summary, there were several themes identified in response to the role of leadership during the consolidation. Communication and structure of the senior leadership were two of the more controversial areas. Equality and mission and values were also referenced.

As the rationale for Research Question 3 illustrated, the research suggests that mergers are revolutionary or transformational changes and as such require strong leadership to effectively change and transform the individuals of an institution. Several studies on mergers in education (both in the United States and internationally) have shown that one important factor in the success of the merger is transformational leadership (Chipunza & Gwardina, 2010; Fernandez, 2005; Hall, Symes & Leucher, 2004; Hope, 2002; Reddy, 2001). Ohman (2011) suggested "Effective leadership and management are seen as one of the most important factors before, during and after a merger" (p. 29).

According to Northouse (2013),

> Transformational leaders had a clear vision of the future. When an organization has a clear vision it is easier for people within the organization to learn how they fit in with

> the overall direction of the organization and the society in general. Although leaders play a large role in articulating the vision, the emergence of the vision originates from both followers and the leaders. (p. 197)

Participants suggested that there was no clear vision for the new institution which resulted in part from the initial communications relating to the consolidation. There was much discussion about the process but little about the vision for the new institution. The President of State University acknowledged that communication from his office could have been better. The designation of senior leadership was also a controversial issue. According to the participants, the selection of senior leadership demonstrated a lack of input from the employees of Middle State University; the majority of the roles were filled by State University employees. The Operational Work Groups were somewhat more successful in integrating policies and procedures from both institutions.

Research question 4. What role did organizational culture play during the consolidation of the institutions?

Proposition: Organizational culture served as a significant factor in the merger of the two institutions.

The following interview questions were asked of the participants in order to determine their individual perspectives on the culture before, during, and after the consolidation process:

1. Describe the type of culture that State/Middle State University had in relation to the values and beliefs of the university community prior to the merger.
2. What differences did you perceive in the culture between campuses?

a. What differences, if any, have you seen in respect to what is commonly referred to as artifacts – that is, the jargon, language, programs, and policies, of the university since the merger?

b. What differences, if any, have you seen in relation to the values and beliefs and basic assumptions of the university following the merger?

Kotter and Heskett (1992) stated "Almost all books on corporate culture state or imply a relationship to long-term economic performance" (p. 15). A strong culture is basically related to excellent performance. According to Hofstede (1998), an organizational culture may be the single most decisive influence on the success or failure of an organization.

Dr. Dawn, when asked about how to merge very different student bodies, replied "You might think that you are different but there are a number of similarities" (The Sting Live, 2013, Open Forum, 1/5). The participants, in contrast, agreed that the cultures of the two institutions were quite different and contributed to the difficulties surrounding the consolidation.

Schein's Three-Level Model – Level One

In examining the culture of the two institutions under study, the researcher will use Schein's (1992) three level-model as a template. Schein's first level is called artifacts which include symbols, policies, language, and jargon, and ceremonies, celebrations and events.

Symbols

The concept of symbols as a part of culture is shared by many scholars (Clark, 1987; Kuh & Whitt, 1991; Owens & Steinhoff, 1989; Pedersen & Sorensen, 1989). Examples of symbols in the higher education setting might include the school logo or mascot, the school seal, or the décor used in the various buildings.

Due to the consolidation, the school logo, mascot and seal were all changed on the Middle State campus. Students, alumni, and faculty were upset with the changing of the signs on the campus. Sarah indicated that "it was traumatic – it was. They put one sign up on campus – a temporary sign – and it got taken down." She also commented that the globe on campus had been vandalized. Apparently, the globe in front of the student center had been knocked over and painted. The globe was repaired and rededicated in spring of 2014. The globe was set on a rectangular base and each of the four names that Middle State had had throughout its history were included on the four sides.

Sarah referenced the naming of the streets to represent Middle State and she thought that they "did that to sort of preserve our legacy, I think." She also suggested that keeping the State University name was a cost savings from the standpoint of signage – only having to change signs, logos, etc. at one school. She also admitted that only having been there a few years, it was not as difficult a transition for her. Jack stated "The old signs coming down and the new ones coming up – there were tears shed; removing their logos and their cultures. There was a sense of identity and now there was a sense of loss."

Two of the participants related that much of the signage at Middle State was removed by students and alumni to keep as memorabilia. The hexagon was the logo of Middle State and was displayed in several places on campus. Many of these were removed as well. The letters from the university's name and street signs were also taken by students or alumni. The participants had differing thoughts on the speed and impact of the changes. Many of them commented that replacing the signs was one of the last tasks done after consolidation – some said it was as late as fall of 2015 before signs were changed. Adam commented "It was slow and not really right away. So maybe that's ok." Erin, too, thought that waiting until late

summer of 2015 made the transition easier – it gave them almost two years to prepare for the changes. She commented "It wasn't a difficult thing." In contrast, Grey suggested that "Most everything that had Middle State on it was removed relatively quickly, and that seemed to bother a lot of people." Lindsey said "A lot of people including myself were sad to see that our signs were gone and their signs were suddenly there."

Policies, Language, and Jargon

Changes in policies were an issue at both institutions. OWGs looked at every policy and made recommendations. Policies from State University were adopted, policies from Middle State were adopted and policies were changed to reflect both campuses. One example given related to budget control. At State University, budgets were the responsibility of individual departments; at Middle State budgets were centrally controlled. Other policies of Middle State were questioned and changed. The very nature of the Middle State campus which was comprised primarily of engineering and architecture students was different. The campus is almost deserted until later in the afternoon as the working students came to school. As Adam said "This place starts rocking and rolling at 4:00 pm." As a result, the campus is up and running until about 10:00 every night. As Grey noted earlier, it was very typical for architecture students to pull all-nighters. That policy was changed after the consolidation. Jack indicated that there were some areas where there "wasn't as much accountability as we expected I will just say there was more of a laissez-faire kind of attitude on some things." As a result, "we had to go in and so some things to make them comply." ER agreed "Well, you're going to run into some of that in these kinds of activities because you go pretty deep with the consolidation here looking at all functions, trying to bring two different institutions'

functions into alignment with one another." He added "there was a lot of work to be done" (Ruggs, 2015, p. 96).

Both of the universities had staff senates and there was work to be done in developing new policies for the new university. Addie stated,

> Even for staff senate we had to incorporate. There was a lot of give and I don't think a lot of people realize what all we had to give up to do this. Even with staff senate we had to take on some of their processes; they really weren't as efficient as what we had done but in order to be accommodating we had to rewrite our bylaws with all of that. They didn't just come under our bylaws – we had to incorporate their information into our bylaws and some of it didn't really work. It worked for them because they were smaller but as a larger university it did not work for us.

Adam described the differences from the faculty perspective,

> A lot of it are just common rules - we have low level departmental rules, and then college rules and then university rules. University rules are very clear - we have one university rule but we are still working out at each college level of how much authority does the college have? State University was more centralized. Middle State may have been more dispersed - we didn't have colleges, we had schools. Each school would have quite a bit of power and within the school, the departments were small enough that people felt like one school even though there were many departments. State University, on the other hand, had colleges and the colleges were bigger and the departments were bigger also; the departments were much more independent of each other even though they were in the same college. That's a little different cultural thing. Now we are trying to adjust to the college as a whole having certain power and

> the department as a whole has certain power. Before, for us, it was one school and there is some adjustment for that. As a professor you walk in and say I am going to be appraised by the department chair. So the department chair and I have an understanding and we are cool. Now the college has to control it too. Before it was smaller so everyone knew each other but now you have layers so I can still see where professors are adjusting to that. You can't just pop into the professor's office and say this is happening. You might call that bureaucracy but clearly it was hierarchy. And the larger you are, the more hierarchal control you have.

Tim's attitude on changes in policies and procedures was "Well, let's not discuss what's right. They have most of the marbles so you figure out how to play the game."

Emma mentioned that terminology was an issue. She said "What they would call policies and procedures we would call bylaws. Sometimes, it's like a different grammar that's used but that is workable stuff; that is low hanging fruit to take care of."

Ceremonies, Celebrations, and Events

Another element of artifacts are ceremonies, celebrations, and events. Each institution had an impressive list of activities, events, and rituals that were held on the respective campus. OWG 74: Preserving Traditions and History looked at all the activities unique to each university as well as those that were duplicative and recommended the following:

1. Some traditions continue as they are currently being offered;
2. Certain traditions that were formerly unique to each campus or only existed on a single campus should be coordinated under a single university-wide activity;
3. Duplicative activities should be combined for greater recognition and efficiency;
4. Each campus's historical stories and legends in its 50+ year past need to be

remembered in the university archives so that future generations can have access to them;

5. Both institutions' archives and special collections' personnel should work together to generate a unified history of the two institutions which respects the unique development and contributions of each university. This information should be placed in a prominent position on the new university's home page to serve as an informational resource; and
6. An oral history project should be started to capture the perspective of diverse constituencies and enrich historical records. (Preserving Traditions and History, 2015, p. 1)

Three of the participants referenced the new policy for activities and events. Sarah noted that she would like some of the events on the State campus to also be offered on the Middle State campus. She explained that during a week devoted to women in STEM and women faculty, there was a "disproportionate" share of activities on the State campus. Justin stated,

> Unfortunately for this campus a lot of the archives that they may have had were pushed up there. We are in the process now of trying to figure out how we can bring that cultural experience back to this campus. Other activities just haven't worked their way back down here.

Addie suggested that there be "more events together embracing both of [the campuses]." She explained that the staff senate is trying to do more events on both campuses. She added "We try to share space when we have meetings so I think people are really trying to reach out; it also takes them wanting to be a part."

From the first announcement of the consolidation, students were concerned about graduation. The decision was made that the Fall 2015 semester commencement ceremonies

would be held on both the State campus and the Middle State campus. The first totally combined commencement ceremony for the new university was held in the spring of 2016. One of the OWGs was tasked with reviewing the commencement ceremony and making recommendations. Care was taken to include customs from both schools in the New U commencements. The approved recommendations were a combination of traditions from both of the institutions. The New U adopted the traditions from Middle State of recognizing one distinguished honor student, of presenting its graduates with medallions on the day of graduation, and awarding special veteran cords at commencement. The OWG also recommended upholding the State traditions of presenting graduates with mascot pins from the Alumni Association and having a bagpiper and live music at the commencement ceremonies. An additional recommendation was to continue the Middle State tradition of strong faculty participation; a policy was adopted requiring faculty to participate in all commencement ceremonies.

New activities were created to look at students' first year experiences and ways to promote cohesiveness between the diverse incoming classes. The Academic Affairs and Student Affairs divisions developed a year of activities to connect incoming students to the new university. The OWG for First Year Programs specifically recommended that signature events that enhance academic and social connections on both campuses should be sustained and new activities and events to promote greater cohesiveness between incoming classes created. In addition, the OWG recommended that a first-year student induction program representing the history and traditions of both prior universities be developed, again to promote cohesiveness. State University had an existing leadership development program

(some based on learning communities) that promoted collaborative learning and engagement. These programs were added to the former Middle State campus.

Schein's Second and Third Levels

Schein's second level of culture consisted of values and beliefs or "How people communicate, explain, rationalize, and justify what they say and do as a community – how they make sense of the first level of culture" (p. 17).

It seems clear from the interviews that there were differences in the behavior patterns of faculty, staff, and students at the two institutions. The behavior at Middle State was described as "laid back," "not very demanding," "close-knit," and "intimate." In contrast, State University was described as "very professional," "bureaucratic," "hierarchical," and "top-down."

Two of the participants, Emma and Justin, attributed the cultural differences to the very nature of the schools; Middle State was primarily a STEM institution while State University was primarily liberal arts. Addie agreed,

> It was more of a STEM institution; they used to have a pizza place to deliver, and a coffee place to deliver because they were all engineers and pulling all-nighters. They had these special things for their environment where when we came on board a lot of that changed.

Grey expressed similar thoughts,

> Middle State had a reputation for being a nerd-school. A lot of the kids were really into video-games, were socially awkward, etc. I think they felt the atmosphere changed. I can't say I felt much of a difference because I didn't associate with anyone outside the architecture program. Interesting, the architecture culture did change.

> Architecture schools have a very specific studio culture, which is supposed to encourage creatively and innovation. For example, the idea of living in studio. Some students hardly ever leave. They bring sleeping bags and sleep under their desk when they pull an all-nighter. They have microwaves, mini-fridges, toasters and coffeemakers so that they don't have to go home to eat. State University decreed that students could no longer stay in studio overnight. Also, all appliances had to be removed from the studios as well. There was no discussion or compromise. The head of the program told us the deal, and that was it. It pissed everyone off, to say the least, mostly because it was being dictated by people who had no understanding of the culture of an architecture program, and the importance of studio life.

Tim reflected that only about 10-12% of the students were women at the time he began working at Middle State but that percentage had gone up to about 20%. State University was more of a traditional campus with approximately equal gender representation. This, too, may have contributed to the difference in culture. Participants also surmised that the disparity in student body size as well as the type of student (Middle State catered to the older, working student) may have impacted the unique cultures of the institutions.

Regardless of the mitigating factors, the cultures of the campuses were quite different. According to Jack,

> Yes, I think there were dramatically different cultures. Their culture was more centralized-controlled culture and ours is a very, very decentralized culture at least on the academic side. I think there were just some basic elements of culture – day to day life and how people treat each other and that kind of thing – but these were not as dramatically different as the more central control issue.

He also mentioned that in some areas there was not as much accountability as was expected and described the attitude of Middle State employees as more "laissez-faire" on some things. Kathy echoed this and stated "Middle State employees might have a hard time living up to Dr. Dawn's work ethic."

Several participants mentioned the friendly, informal atmosphere at Middle State. Tim stated "People knew each other; it was friendly. Everyone knew the president and the president knew everyone. If you wanted something to happen you just needed to mention it and there were 30 people ready to help you". He continued "People on this campus, whether you were faculty, staff, administrators or whatever, we called everyone by first names pretty much but up there [State University] it is very formal". Addie agreed describing the culture of Middle State as "a small town feel" and a "close-knit feel". Dr. Beamish concurred with the participants

> At Middle State, there was a lot of collaboration - obviously because we were smaller. We were used to working together - we did not stand on hierarchy. Everyone just went to the person for the answer they were looking for or the information they needed. There were a lot of campus wide social events and a number of faculty and staff and administrators who were very committed to doing that because they saw the value it had in terms of the community. That sense of place, that sense of community was a very strong factor and something that we recognized was special about the institution and really wanted to maintain. I have to say that Tim played a key role in that. He made sure there was a pot of coffee going in the administration building every morning by six. He created the "water cooler" on campus and people would gather there and share information, process things, get advice on problems and just

> connect with colleagues which I think helped. It was very special - we had something really wonderful in terms of the culture of and in part that is what was so difficult about the announcement of the consolidation because it felt like it discounted the environment that we created on campus.

Lindsey posited that there was "a lot more camaraderie and friendship. It was more of a working family in a sense. Erin suggested that although it was true that if you needed something done at Middle State all you had to do was call; however, if you didn't know who to call it was very difficult to figure out how to get what you needed because there wasn't an obvious structure in place or that it was always done the same way. She concluded that being part of a larger institution meant that there were policies that were very consistently applied.

Dr. Beamish made an interesting point when discussing the differences between the two campuses,

> There is an interesting point to be made about the value of diversity in higher education. We think about diversity in terms of race and ethnicity, and gender and socioeconomic backgrounds and political backgrounds but there are other ways in which diversity and having a diverse experience for students on a campus is really important. I think the aspect of that whose importance is often underestimated in the world of both higher education and business is that diversity between introversion and extroversion and so there are ways in which this can benefit everybody.

The third level is the basic assumptions shared by the organization. These are the "beliefs that individuals subconsciously have – they are so deeply ingrained that they are used to guide behavior instinctively. Basic assumptions are taken for granted and individuals will not accept changes to these behaviors. Basic assumptions are non-confrontable and

undebatable, making them very difficult to change (Schein, 2010). Changes made at this level are long lasting (Jagajeevan & Shanmugam, 2008).

At the initial meeting on the Middle State campus, Dr. Beamish indicated that she was committed to "Making sure that we have done a really good job of capturing the sense of spirit that we have; the ethos, the culture that we have at Middle State" (The Sting Live, 2013, President Speaks, 2/4). On a subsequent occasion, she described these values as "integrity, respect, collaboration, and excellence" (The Sting Live, 2013, Open Forum, 1/5). She proposed that the history of Middle State should be documented through photographs, videos, and tapes to make sure that the culture was captured. The State University Oral History Project includes a series of interviews with current and former faculty, staff and administration from Middle State University in an effort to forever archive the history of Middle State. Erin posited that the two schools "do have a shared belief system" adding that this was from her viewpoint and could be different from others' perceptions.

Other participants suggested that there were differences in the underlying culture. Grey indicated that policies were being "dictated by people who had no understanding of the culture of an architecture program, and the importance of studio life". DS related an experience when asked what kept him at Middle,

> I think [the fact that] Dr. Beamish would always be walking around campus and talking to many of the students on their way to class was another reason. You don't usually expect a person high up in the university to say "hey" to you casually. My dad went to Ohio State University and my mom went to a school up in Boston. I don't think they ever had the case where the president would just be walking around and you could easily interact with them. You could even have a class with the president

> just because she may have wanted to take the class herself. I remember going home and telling my dad, "I just talked to the president the other day. She's nice. My dad was like "What"? I think the ability to meet with everyone and get to know them allows you to feel that they do want you to succeed. (Silver, 2014, p.2)

Dr. Beamish suggested "It was very special. We had something really wonderful in terms of the culture of collaboration." She related a story about the recruiting open houses that were held at Middle State to illustrate the culture at the university,

> We called them the Early Show and I think it was symbolic of how we sort of - everyone rolled up their sleeves and pitched in and made things happen. Several years ago, the group of people who were doing recruiting for open houses in the spring and also in the fall for students who might be interested, realized that we were doing it just like everyone does it - a bunch of talking heads and we were bored and if we were bored what about everybody else. And so we completely changed it up. We had a group of administrators, everyone from registrar to dean, to the institutional research guy who had a band and so we put them on a stage and we had a host and we ran the open house program rather than a series of speeches kind of like a talk show. We made commercials. We had so much fun and everyone on campus volunteered to come in on Saturday because we had so much fun and people know this. I think it had a lot to do with us doubling the enrollment in about 10 years. But, really just having fun made an impression on people. I don't know if any of the people who were involved in that even participate in the open houses that State does.

All of the participants interviewed were in agreement that there were many differences in the culture of the two institutions prior to the consolidation.

Research question 4 summary.

In summary, there were several themes identified in response to the role of culture prior to and during the consolidation. As the rationale for Research Question 4 illustrated, the research strongly suggests that organizational culture may be one of the most important components of an organization's workforce and the most difficult component to address during the merger process.

Schein's (2010) three levels of cultures were used as the framework for discussing the findings related to the cultures of State University and Middle State University. Schein's first level is called artifacts. These include symbols, policies, language and jargon, and ceremonies, celebrations, and events. These are surface observations (Burke, 2014) and are generally obvious to see. Many of the differences in the cultures at the two institutions were at this first level. The change of the name was the most controversial of all, however, many of the streets and buildings on the newly-merged Middle State campus were re-named to honor the history of the previous institution. The selection of the school colors and mascot also proved contentious; those of State University were selected.

Logistically, policies and jargon were the most problematic. Every policy and procedure was examined through the OWGs and extensive changes were made. In many instances, policies and procedures from the original State University were maintained causing some resentment on the Middle campus. Comments about *take-overs* and *absorptions* were commonly heard.

The area of ceremonies, celebrations, and events offered the most success for consolidation. The graduation ceremonies were a mix of traditions from both institutions as

were the events. While there was still work to be done in the area of events, there were many positive comments.

Schein's second level was values and beliefs or "How people communicate, explain, rationalize, and justify what they say and do as a community – how they make sense of the first level of culture" (p. 17). He included philosophies, ideologies, ethical beliefs and attitudes in this second level.

The third level is the basic assumptions shared by the organization. These are the beliefs that individuals subconsciously have. They are deeply ingrained and are used to instinctively guide behavior. Basic assumptions are taken for granted and individuals will not accept changes to these behaviors; they are nonconfrontable and nondebatable, making them very difficult to change (Schein, 2010). Changes made at this level are long lasting (Jagajeevan & Shanmugam, 2008). Several participants attributed these basic values and assumptions as due more to the very nature of the institutions (STEM vs. liberal arts) rather than to a distinct culture. A second mitigating factor could relate to the predominately male student population at Middle State versus the more traditional mix of gender at State University. However, several of the participants described the laid back, family-like culture of Middle State versus the more bureaucratic atmosphere at State University. The participants all agreed that there were many differences in the cultures of the two institutions.

Research question 5. What was the nature of the evolving culture following the merger of the two institutions?

Proposition: The culture of the newly-merged State University was reflective of the culture of the dominant, pre-merger State University.

The following interview questions were asked of the participants in order to

determine their individual perspectives on the evolving culture at the new State University:

1. What works well within the current culture?
2. What challenges do you experience working within the current college culture?
    a. What changes do you believe are necessary to improve the college culture?
    b. If no changes are needed, discuss why the current culture is working well.

How do organizations address the issue of culture following a merger? According to Cartwright and Cooper (1993), "When two societal cultures come together, anthropologists use the term acculturation to describe the resultant process of contact, conflict and adaptation" (p. 65). Lang's (2003) work in acculturation found that the success in transforming a new culture within higher education was difficult to achieve. Marks and Mirvis (2011) also suggested several endstates to mergers. These are cultural pluralism, cultural integration, cultural assimilation, and cultural transformation. These will be discussed in more detail in Chapter 5.

The 2015-2016 Consolidated Strategic Plan for the university recognized the value of acculturation following the consolidation. Goal 1 of the plan is to "Transform two distinct educational institutions into one student-centered comprehensive university. Objective two of that goal "To preserve and build upon the strengths and best practices of [both institutions] in advancing the operations and creating the culture of the consolidated university. The two action steps under this objective both refer to this new culture: (a) Develop an appreciation for the traditions of each campus on both campuses; and (b) Create programs and activities through which the students, faculties, staff, alumni, and friends of both campuses can

develop a shared sense of identity, values and purpose. (Consolidated Strategic Plan, 2015-2016, p. 1)

Perspectives on the process of acculturation will be examined from several different time periods. In April of 2014, JN stated,

> "I tried to organize a breakfast or a lunch or something so the historians could meet some historians – the two departments together. That proved to be huge. It helped a lot to understand that the KSU people were as nervous and scared as we were and that they embraced us with a kind of "Oh, cool, we really need somebody who can do that" attitude rather than a "you guys are second-class citizens, and we don't really want you." Which is what this campus was expecting. I just tried to be positive and constructive as possible. (Newell, p. 24)

She speculated that "For a lot of the faculty, I think, the tension has gone down. A lot of our staff here are really, really worried" (Newell, p.24). She mentioned that there was tension and concern about the decisions made for the College of Engineering and Engineering Technology. At Middle these two disciplines were housed in two separate schools with two different deans and faculty. In the New U, they are combined into one college and "a lot of the engineering technology people are afraid, yet again, that really what they're watching is the demise of engineering technology at the new university" (p. 27). A year after the original consolidation notification, KH was asked if her, previously negative, feelings about consolidation had changed. She retorted,

> Not a bit. As a matter of fact, they've even gotten worse in that I'm hearing from the campus the campus is that this consolidation is very different from the other consolidations in that it is not like each school gives up its identity and becomes a

> new school. The Math department is apparently having a terrible time with your [State] math department agreeing on curriculum for the very reason that our curriculum is very different. (Hall, p. 3)

In May of 2015, JC indicated that while there were still some morale problems that could continue for a while, there were some positive steps taken to bring the schools together. The new VP for economic development and community engagement and his entire team was housed on the old Middle campus. JC anticipated "That will bring a new energy, I hope, and a sense of importance that I think is lacking right now. So I think that's a good plan" (Cooper, 2015, p. 20). He also related the president's plan "to get some early wins for the former Middle campus" (Cooper, p. 20). The president planned to start a comprehensive capital campaign to fund a new construction management building that would be on the Middle campus and "that would be a huge win" (Cooper, p. 20). The president was also looking at possible new degree programs such as a doctorate in engineering which according to JC, "That's all going to help" (Cooper, p. 20). These decisions are in line with Lewin's (1947) step 2 in his change model where individuals move to the new phase of behavior and they look at the organization from a new, fresh, perspective (Kritsonis, 2005). This is often accomplished by communication, positive feedback, recognition and encouragement in order to reassure the workers about how the change will benefit them (Kritsonis, 2005; Stichler, 2011). The president attempted to convey this to the former Middle employees, faculty and students.

JC addressed the concerns of the Middle State alumni,

> My message to alumni is going to be whether you're onboard with this or whether you're upset or whether you're just waiting to see if we are going to preserve the

> experience that they had as students, which I think everyone wants to do, then we need them to be engaged and to continue to help us to make sure that experience is the right one. If they're angry and they become disengaged, then its's less likely that we preserve the things they loved about the institutions, right? So that's going to be the attempt. (Cooper, p. 22)

In January of 2016, the President of State University was asked about the state of morale on the former Middle campus. He responded,

> I won't say they have disappeared, but they've been tremendously alleviated. There are still folks over there at the Midle campus who are saying "We're now part of a massive university and we've lost our identity". So there might be some identity issues there. But more folks, are, I think, looking at this along the lines of "We are now part of a university that's on the verge of becoming a national actor". (Papp, 2016, p. 82)

In March of 2016, Tim had a slightly more negative perspective and stated "The culture is messed up now." He attributed this in part to the movement of staff between campuses and mused that "It's a different culture up there [State campus] because it's a large school. We are a small school and the people who have been sent down have always worked in a large institution." He speculated that "It's going to take a while."

By June of 2016, the New U had completed a full academic year as a consolidated university. In general, the participants felt that progress was being made in moving towards a united university. Erin commented "I think we do have a shared belief system. I do feel that I work for one university." She added "I think there is a new culture on the Middle campus. I think the culture has definitely changed because I think the way that people communicate and

relate to one another has changed." Lindsey agreed and stated "In some ways, a lot has improved over the last several months. We are trying to create a more cohesive environment and I think we have made some significant strides towards that." Erin admitted that there were challenges,

> There are challenges I am sure. I would say one of the challenges is getting to a point of everyone having a sense of stability as far as staff. Like I was saying we said goodbye to a lot of people on the Middle campus but even since the official consolidation you get to know someone who is doing a good job and, remember this is still part of the culture of the old campus- it's personal - you get to know the person doing this job and you feel a relationship with them even if it's just through email but you know who to go to and it does seem like those positions change. There's turnover. I don't know if it is internal but those positions seem to change more frequently than is really productive.

Sarah commented positively about the leadership from higher administration and suggested "I think we haven't lost the feeling that we can still be student-focused. I think that is at the forefront. I think plenty has been done." Adam was very positive about the merging of the cultures,

> You are talking about culture, right, so it's ok to say that we had different cultures. We were different schools so now can we merge those two cultures together and create a new one? I think the new culture, at least one of the cultural emphasis, is that we are going to be a bigger, world-class, [university] in the sense of research so the push on the research is a lot stronger than before on either campus. So maybe that is going to be a big cultural change to say that we are going to be a more research

> centered university. That is a big change for a lot of our students on both sides. Most of the students who came to Southern Poly and the same thing with KSU were working students and they were somewhat commuting students. Now we are making this university into a more traditional university with ages of 18-22 and masters and PhD. and so forth It used to be that if you walk on this campus 9:00 in the morning no body was here. Culturally we are still looking at are we one of those schools where people just come in - working, commuting people or are we going to become a different kind of university? So that is still to come. I think you will see that the university has gone up a notch - I really believe it will go up a notch because everyone is working very hard towards that and so in that sense it is good - nobody is going backwards and they understand that the goal is to become better so I think that's a very positive thing.

Frank, too, suggested that "there were occasions where collisions occurred and likely still occurring, but they worked through the issues." Emma said it was "a work in progress." Joycelyn, a more recent employee, said that she had heard from several people that it had been a chaotic year but everything was running much more smoothly now. She commented,

> The culture has to be sensitive and if we are in a master planning session we are very careful to say the good things about the campus and the good things that they are doing and we are not just saying we are State and by the way you guys are going to get a little.

Several of the participants suggested that time would be a factor in the ultimate acculturation of the two campuses. Justin stated,

> You figure from the students' perspective this past fall was the first fall after consolidation so this is all they are going to know; it's going to take 4-6 years for all that really sink in in terms of everybody who started here. They will know it as one university and two campuses.

Addie concurred "I think the climate will change once this graduating class is through; so once these freshman of the consolidation are gone, I think the attitude will be different." She added "It is getting there but it's not 100% there." Sarah shared similar thoughts "I think it just needs time. I think we saw it with the students pretty quickly; some of them were true Middle State and its fine. So I just see it taking time with faculty." Lindsey suggested "I am sure that it will be a long time before we really think of ourselves as one university with multiple campuses."

Tim speculated that the changeover in leadership might make a difference as well. Dr. Dawn retired in June 2016, and an interim president was named. He stated "I will guess that it will go faster here. Particularly since the new president is from outside. They have picked an interim. He hadn't been on this campus and hadn't been on that campus so that's going to change things." Jack offered an interesting perspective when asked about the current culture at State University,

> As far as the overall institution it feels more like State. I would say for the university as a whole, I would say there is the State culture, but if you go to the other campus there is still a unique culture there that is its own microcosm; but it is even starting to change somewhat towards the State culture. But it still has its own culture. I think they will maintain some element of that culture, not the culture completely, but some element of that culture that can be related to the very uniquely focused STEM

> disciplines that you have on that campus. Just size plus that in itself can create a certain type of culture so I think there will always be a somewhat unique culture.

He was also confident that, even with the remaining issues, it has been a positive experience. He stated,

> I have absolutely no doubt that this is better for the students - absolutely no doubt. One, it gives the student more options for campus experiences and campus life; the students have the best of both worlds. So, I think those students will have a better experience. For a student who is a graduate say in engineering from the 45th largest university in the country - this gives you a little more profile than if you graduate from a smaller place that may not be as well-known. I know that the business community and the development community is very positive about this. They see that we are now a huge economic impact in the area and they see that our merger gives us more efficiency and gives them more ability to connect more easily. Early on there was a lot of talk about the negatives and this and that and the other but I really think it is quite positive.

Research question 5 summary.

In summary, there were several major themes identified in response to evolving culture post-consolidation. There remain morale issues, but there are positive signs of acculturation. As the rationale for this question suggests "When two societal cultures come together, anthropologists use the term acculturation to describe the resultant process of contact, conflict and adaptation" (Cartwright & Cooper, 1993, p. 65). There are specific stages that can be recognized as the process of acculturation begins. This study sought to ascertain the evolving stage of the acculturation at the new State University.

Marks and Mirvis (2011) suggested that understanding culture clash is important in the acculturation process. They identified four stages through which employees of merging organizations will move. In stage one, the employees of both organizations begin to look at the leaders, leadership styles, decision-making processes and reputations of the merging firms. These differences are magnified in stage two where the merging company is considered not just different but very different from their organization. Stage three involves stereotyping (and usually negatively) of the employees of the partnering company. Finally, "The culture clash reaches full height as the partner company is put down as inferior" (Marks & Mirvis, 2011, p. 862). This final stage is a "we" versus "them" mind-set. These stages were very evident from the announcement of the consolidation through the face-to-face interviews by the researcher in June 2016.

There are remaining morale issues; the 2015-2016 Consolidated Strategic Plan under which the university is currently operating (the new President has constituted a new Strategic Thinking and Planning Committee to create a strategic plan to bridge the Consolidated Strategic Plan until a new president is selected) addresses the need to continue the work towards assimilation (Consolidated Strategic Plan, 2015-2016, p. 1).

Perspectives on acculturation were presented from various sources including interviews in 2014, 2015, and 2016. The former President of State University, in 2016, stated that while there were still problems, many of them have been alleviated. There were varying responses, both positive and negative, from other participants.

Major themes and subthemes identified through data analysis are included in Table 8. Each of these relate to the appropriate research question.

Chapter Summary

In-person interviews, review of archived transcripts from an oral history project, and examination of review of documents and videos related to the consolidation provided rich descriptions of the reasons for the consolidation, change management tools used, leadership during the consolidation, and the pre and post-consolidation cultures.

The consolidation examined in this case study was one of several in the state. These were mandated by the Board of Regents to reduce the number of universities to increase the efficiency and availability of higher education. Economy of scale was generally identified as the primary reason for the consolidation although several other motives were also presented.

The in-person interviews consistently indicated that no particular change model was used during the consolidation. "Lessons learned" from the previous consolidations in the state drove the process. The impact on students, faculty, staff, and alumni were examined Four major themes were identified relating to the leadership exhibited during the process. These were communication, mission and value, senior leadership, and equality concerns. Each of these was examined from the standpoint of students, faculty and staff.
Finally, the pre and post-consolidation cultures were investigated and unearthed significant differences in the pre-consolidation cultures and evaluated the progress of acculturation following the consolidation.

Table 8. Themes by Research Question

Research Question	Themes	Subthemes
1. What were the major reasons necessitating the merger between State University and Middle State University?	Mandate by Board of Regents	Economy of scale Complementarity of programs Geographic proximity Increased brand recognition Increased educational opportunities for students
2. What were the characteristics of the change process and the impact on the re-organization of the institutions?	Change management model	"Lessons Learned" from prior consolidations Guidance from Board of Regents for tasks to complete
	Concerns for Students, Faculty, Staff, and Alumni	Controversy over selection of name Loss of identity Loss of job security Specific student concerns Value of the degree
3. How did the leadership within each organization facilitate the change management process?	Leadership Functions	Communication Mission and value Selection of senior leadership Equality
4. What role did organizational culture play during the merger of the institutions?	Pre-consolidation Cultures	Schein's Level 1 Symbols Policies, language and jargon Ceremonies, celebrations, and events Schein's Levels 2 and 3
5. What was the nature of the evolving culture following the merger of the two institutions?	Signs of acculturation Remaining issues	New president Differences for 2016 freshman class

CHAPTER 5: CONCLUSIONS, DISCUSSION, AND IMPLICATIONS

In Chapter Four, the results from the examination of documents, interviews with participants, and campus observations were related to support the research questions; this chapter synthesizes and summarizes those findings. The chapter begins with an overview of the study and a review of the major constructs of change management, leadership, culture, and acculturation. The research questions are reviewed, the major findings and conclusions presented, and the inferences of these findings evaluated. Finally, implications of the study for practice and future research are considered.

Overview of the Study

In the current challenging higher education environment, colleges and universities face a variety of pressures, most notably, lack of financial support. One response to these financial challenges is a consolidation of two or more institutions. State governing boards and higher education administrators face the difficult problem of how to successfully accomplish such mergers due to the complex issues involved. Institutional mergers require well-planned and strategic organizational change (Ohman, 2011; Schein, 2010; Weber & Camerer, 2003) directed by strong leaders.

Part of that change includes an examination of organizational culture and the process of acculturation. Culture becomes increasingly important when mergers between institutions of higher education take place. While there has been research on various aspects of higher education mergers (strategic management, politics, and theory and practice) there has been little on the process of integrating institutional cultures.

Existing research supports the view that merging divergent cultures is a challenge (Buono & Bowditch, 1989; Hagberg Consulting Group, 2002; Harman 2002; Martin &

Samels, 1994; and Selingo, 1999). “Understanding different cultures and where and how to integrate them quickly is vital to the success of an acquisition or a merger” (Hagberg Consulting Group, 2002, p. 1). Devoge and Shiraki (2000) submitted that in mergers the people factors were the most poorly handled and received less attention than financial and technical issues; this should have been just as important as the others.

Compounding the challenge is that the degree of assimilation among institutions is variable (Appelbaum, 2000; Buono & Bowditch, 1989; Millett, 1976; Pritchard & Williamson, 2008; Stybel, 1986). Marks and Mirvis (2011) also suggested several endstates to mergers. These are cultural pluralism, cultural integration, cultural assimilation, and cultural transformation. The evolving culture of the new State University was examined based on these four possible endstates. As integration of cultures takes time to fully accomplish and this study looked at the culture approximately one-year post-consolidation, it is understandable that what was found was truly an evolving culture; the resulting endstate may take several years to fully accomplish.

The study also examined the role of leadership in the consolidation. According to Schein (2010), effective leadership must understand the culture of the organization. A merger or consolidation is considered a revolutionary change which is generally associated with transformational leaders. According to Northouse (2013), “Transformational leadership involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them” (p. 185). Ohman (2011) suggested “Effective leadership and management are seen as one of the most important factors before, during and after a merger” (p. 29).

Research in the area of change management, especially in regard to mergers, in higher education is limited. As mergers are becoming a viable response to the challenging environment in higher education, research into the processes and results of mergers is important. The overarching research question directing this study was *What roles do leadership, change management, and culture play in mergers between institutions of higher education?* Through the research conducted, decision-making and leadership exhibited during the stages of the merger were examined as well as the role that culture played in the merger and the evolving culture approximately one-year post-consolidation.

The purpose of this study was to: (a) ascertain the reasons that prompted the consolidation of two institutions of higher education; (b) identify the characteristics of the change process and how the process influenced the response to change by the faculty, staff, and students of the merging institutions; (c) examine the role of the leaders in facilitating the consolidation; (d) determine the extent to which organizational culture played a part in the consolidation; and (e) identify the evolving organizational culture. To properly frame this study, it was appropriate to examine the history of mergers both in the corporate world and in higher education looking specifically at the reasons for merger, the types of mergers, and to give some examples of successes and failures in mergers. To understand the effect of culture on merging institutions, the various definitions of culture were explored including the differentiation between culture and climate. Several models of culture were examined and the stages and modes of acculturation were reviewed.

Conceptual Framework

The Conceptual Framework in Figure 3 visually depicts the elements necessary to address for a successful merger or consolidation including leadership, change management,

and a deference to culture. Leadership drives change management which ideally would be governed by one of several noted change management models. The literature supports the need to recognize, examine, and be cognizant of the role that culture plays in any type of change process.

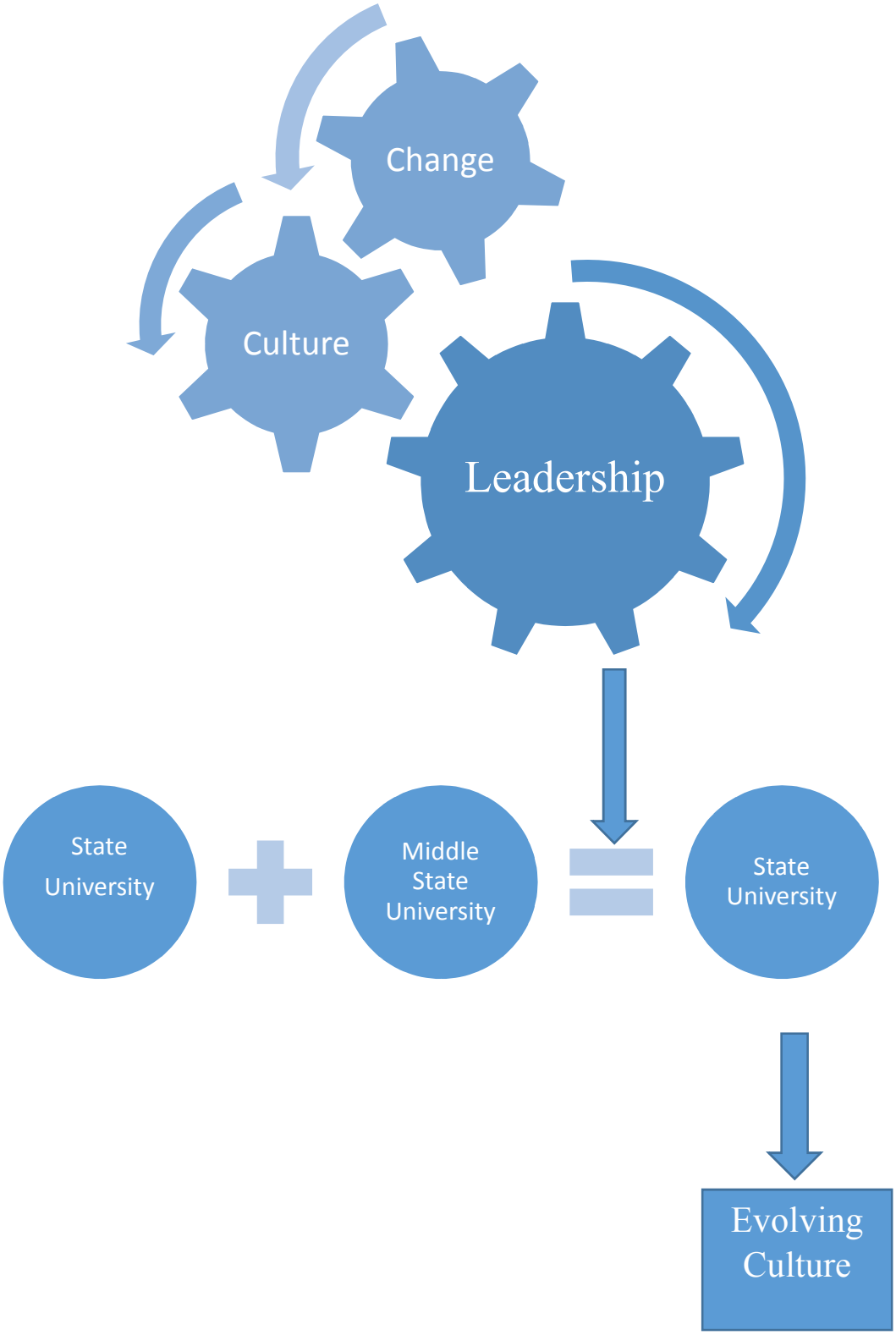
This study examined these elements in relation to the consolidation of State University and Middle State University noting the successes and failures in addressing these three components. One year post-consolidation, the stage of the evolving culture of the new State University was assessed. As expected, no new culture has been fully recognized.

Research Questions and Research Propositions

Specifically, this research examined the consolidation of two universities through document review, campus exploration and participant interviews, addressing the following overarching research question: *What roles do leadership, change management, and culture play in mergers between institutions of higher education?* Through the research conducted, decision-making and leadership exhibited during the stages of the merger were examined as well as the role that culture played in the merger and the evolving culture approximately one year post-consolidation. The following major research questions directed the research:

Research Question 1: What were the major reasons leading to the consolidation between State University and Middle State University?

Figure 3. Conceptual Framework



Proposition: Economy of scale was the most predominant reason for the consolidation between the two universities.

Research Question 2: What were the characteristics of the change process and the impact on the re-organization of the institutions?

Proposition: Utilization of change models influenced the response to change by the faculty and staff of the merging institutions by following suggested steps in change.

Research Question 3: How did the leadership within each organization facilitate the change management process?

Proposition: Effective leadership served as a critical element in the merger of the two institutions.

Research Question 4: What role did organizational culture play during the merger of the institutions?

Proposition: Organization culture served as a significant factor in the merger of the two institutions.

Research Question 5: What was the nature of the evolving culture following the merger of the two institutions?

Proposition: The culture of the newly-merged State University was reflective of the culture of the dominant, pre-merger State University.

Major Findings and Conclusions

The major findings resulting from the interviews, document review and archival transcript review for each research question described in Chapter 4 will be discussed and conclusions submitted. An extensive literature review supported these conclusions.

Major Finding One. The participants acknowledged that while the leadership exhibited by higher administration was strong, there were issues related to communication and senior leadership selection that created difficulties in moving the consolidation forward.

Ohman (2011) suggested "Effective leadership and management are seen as one of the most important factors before, during and after a merger" (p. 29). The author specifically mentioned that transformational leadership should be used during a merger. Harman (2002) posited "Effective leadership and management from the top are seen as the most important factors in assuring the success of a merger" (p. 110). Several studies on mergers in education (both in the United States and internationally) have shown that one important factor in the success of the merger is transformational leadership (Chipunza & Gwardina, 2010; Fernandez, 2005; Hall, Symes & Leucher, 2004; Hope, 2002; Reddy, 2001).

There were initially two levels of leadership; the first from the Chancellor of the Board of Regents who made the decision to consolidate and the second from the two presidents as the consolidation moved forward. Both State University and Middle State University had well-respected, well-liked presidents, who were leading universities in times of growth in enrollment. While this was certainly very positive and important as the consolidation moved forward, it also caused discord as the Middle State President lost her job. Unfortunately, the first communication about the consolidation set a negative tone for the entire process. Much of the disharmony was due to the surprise announcement of the consolidation and the mechanism for choosing the name of the university and the president.

Jansen (2003) identified seven clear guidelines that emerged from five higher education studies suggesting conditions under which mergers could be successful. Three of these guidelines addressed the role that leadership plays in a successful merger:

1. A strong and reliable institutional leadership whose authority is respected across the various institutions concerned, including government and the two institutions targeted for merger;
2. A strong and strategic leadership that, having accepted the broad macro-political arrangements for incorporation, then decides to deploy its energy and resources for optimal positioning of its staff, students and curriculum in the merged entity;
3. A strong and loyal staff complement whose commitment and participation is ensured and sustained by the institutional leadership throughout the merger process. (p. 49)

The two presidents demonstrated this type of leadership suggested in the first two points. In the early days following the announcement there were several public appearances by both presidents. Both exuded an air of cooperation, collaboration, and optimism for the future. This was particularly true of the Middle State president who knew that she would not play a significant role in the future of the university. In her appearance on the day of the announcement she demonstrated grace, professionalism, and a positive attitude. Her sense of humor in the face of difficult questions was captivating.

Unfortunately, the "strong and loyal staff complement" did create difficulties as this loyalty was tied directly to the president of Middle State. Her departure in the spring of 2014 left some employees with a sense of isolation.

Habeck, Kroger, and Tram (2000) suggested seven rules of successful post-merger integration: clear vision, strong leadership, growth, early wins without exaggeration,

accurately addressing cultural differences, honest communication and proper risk management. Swanepoel (2003) offered eight similar success factors: preparation, support and stability, complementary missions, communication, honesty, leadership, understanding cultural issues and visible and strong management. Both suggested that communication was important and communication was one of the major themes identified in the research.

There were several means of communication used throughout the consolidation process: town hall meetings, forum discussions, press conferences, informal meetings with key players, and operational working groups (OWGs). The consolidation website offered a great deal of information on the leadership of the consolidation, Consolidation Implementation Committee (CIC) and Expanded Consolidation Implementation Committee (ECIC) membership, minutes from all meetings, and updates from the OWGs. It also included the SACSCOC prospectus on the consolidation and the 2015-2016 Strategic Plan.

The participants did feel that Dr. Dawn offered good communication throughout the process. However, there was evidence in meeting minutes of the CIC and ECIC that members felt they were being left out of the decision process. On two separate occasions, Dr. Dawn reiterated that in many cases the final decisions were his alone. The president, himself, suggested that he should have had more town meetings and that communication could have been handled better.

One of the major findings was the dissatisfaction with the selection of the senior leadership in the new university. At the very beginning of the consolidation process, both presidents indicated that there were no pre-ordained decisions on who the senior leadership would be (with the exception of the President, of course). As decisions were made, all senior leadership positions were given to State employees with the exception of three open positions

for which there were national searches. Dr. Dawn asserted that the decisions on senior management were his alone. Even the representative from the Board of Regents indicated that this could be construed as more of a takeover than a consolidation. This could be due, in part, to the fact that many of Middle State's top administrators left for new opportunities.

In terms of equality of resources, in general, there were positive findings. There was little evidence of one campus receiving an unequal share of support or services. In fact, a great deal of money was spent in the first year of consolidation on the former Middle campus to upgrade technology and campus facilities. Policies, procedures, salaries, rank, and traditions were all reviewed by OWGs and decisions made. The Middle State employees did feel that most of the policies and procedures from their campus were rejected in favor of those from State University. One participant suggested that this was due to the lack of strong procedures on the Middle campus. There is still some discontent among employees of the former Middle State campus regarding policies and procedures.

Major Finding Two. The participants did not observe the use of any specific change management model.

In summarizing the change process that was used in the consolidation, Lewin's (1947) Three-Step theory of unfreezing, moving, and freezing at a new level (refreezing) will provide one framework for discussion. Step 1 or unfreezing refers to letting go of old patterns or removing restraining forces on employees (Kritsonis, 2005; Schein, 1996). Unfreezing is typically accomplished by motivating employees to accept that a change is needed when current policies and procedures are not working (Lewin, 1947; McGarry, Cashin & Fowler, 2012; Schein, 1996; Stichler, 2011). The unfreezing stage was not fully accomplished. Because the merger was mandated, individuals involved were not given the opportunity to

accept that change was needed. Long time faculty, staff and alumni of Middle State University are still in this stage. Many of the current employees are still convinced that "their" way is better. Part of the unfreezing stage involves trust (Kritsonis, 2005) and the decision to announce the name of the president and the name of the university at the time of the announcement of consolidation was felt to be a violation of trust. Hurley, Gillespie, Ferrin and Dietz (2013) identified six types of signals that individuals will consider in deciding whether a person, group, or organization (a trustee) can be trusted:

1. Common values: Does the trustee share our beliefs and values?
2. Aligned interests: Do the trustee's interests coincide rather than conflict with ours?
3. Benevolence: Does the trustee care about our welfare?
4. Competence: Is the trustee capable of delivering on commitments?
5. Predictability and integrity: Does the trustee abide by commonly accepted ethical standards (such as honesty and fairness), and is he or she predictable?
6. Communication: Does the trustee listen and engage in open and mutual dialogue? (p. 76)

After careful review of the documents and the videos, individuals affected by the consolidation felt that the trustee in this case (the BOR) violated some of these signals particularly common values, aligned interests, benevolence, and communication. Many of the comments and attitudes regarding the consolidation cited in Chapter Four revolved around these issues. Unfortunately, Hurley, et. al (2013) suggested that if individuals perceive a violation of trust, they reduce trust in future behavior.

Lewin (1947) labeled Step 2 as moving or change as this is the stage where individuals move to the new phase of behavior and they look at the organization from a new, fresh, perspective (Kritsonis, 2005). Communication, positive feedback, recognition and encouragement are needed to reassure the workers about how the change will benefit them (Kritsonis, 2005; Stichler, 2011). Many of the participants have moved to the second stage, in large part, due to the communication efforts by leadership. State University leaders employed several communication techniques to keep employees abreast of the progress of the consolidation. Although several mechanisms were used to reassure employees about how the change would benefit them, there are still individuals who see no value in the change.

Finally, the refreezing step, Step 3, is where there is stabilization of the new norm. Without this stage, the change will not be sustained and individuals may move back to their previous values, attitudes, and behaviors (McGarry, Cashin & Fowler, 2012; Schein, 1996). State University is generally entering this third step although most participants agreed that there is more work to do and more time is needed to fully stabilize the new university.

Deutschman (2005) observed that one powerful motivator to influence change is a crisis; this is likened to Burke's concept of the influence of environment (Burke, 2014). Deutschman (2005) also stated that the key to success was motivating individuals to see that they want to feel better; reminiscent of Lewin's (1947) unfreezing phase. Again, there was no sense of crisis at Middle State University – enrollment was increasing, students were comfortable with class sizes and instructors, and the long-term president was perceived as being an outstanding leader.

Kotter's (1996) comprehensive implementation model was also utilized in evaluating the change processes used during the consolidation. Kotter's model includes eight stages for

successful organizational transformation and adaptation: (a) Establish a sense of urgency, (b) Create a coalition for change, (c) Create vision and strategy, (d) Communicate the change vision, (e) Empower individuals to act on the initiative, (f) Generate and celebrate short-term wins, (g) Consolidate gains and produce more change, and (h) Institutionalize the new approaches (Cech, 2010; Periyakoil, 2009; Stragalas, 2010).

Kotter (1996) suggested that creating that *sense of urgency* was an essential initial step in accomplishing change. He argued that a "viable crisis" (p. 45) could be such an impetus for change. However, Middle State was a strong institution with a strong faculty and student base. There was no sense of urgency established to prepare the faculty, staff and students of Middle State for the consolidation. Though several other consolidations had occurred in the state, participants agreed that the announcement of the consolidation was a total surprise. In part this was because there was a permanent president at Middle at the time of the consolidation – apparently, the other consolidations occurred when there was no president or an interim president. There was both internal (faculty, staff, and students) and external (alumni) opposition to the change.

There was no *coalition for change* as the initial decisions were made with no input from either president or any of the major stakeholders. It was suggested by the State University President that legislators were aware of the impending consolidation. Cech (2010) (based on Kotter's work) claimed "major transformations based on a single highly visible leader will fail and recommended that a guiding coalition comprise members with four key characteristics: position power, expertise, credibility, and leadership" (p. 137). The presidents initially presented a united front, but Middle's State's president distanced herself early in the consolidation process and moved to a different position in spring of 2014.

The participants agreed that no *vision* for the new university was ever given. According to McKinney and Morris (2009), developing a shared vision is an important element of leadership. According to Kotter (1996), "the central component of all great leadership" (p. 68) is vision and the vision should (a) clarify the general direction of the change, (b) provide motivation for action, and (c) serve as a tool to coordinate action (pp. 68-69). Reasons for the consolidation were given but in the days following the announcement there was little or no description of the vision for the new university. This was due, primarily, because it was mandated by the BOR and followed a string of initial consolidations.

Once the Consolidation Implementation Committee (CIC) and the Expanded Consolidation Implementation Committee (ECIC) and the Operational Work Groups (OWGs) were established and *empowered to act*, there was a great deal of involvement by individuals from both campuses. One participant alleged that as Middle State employees found other positions, the balance on the work groups shifted toward State University. While there was some conflict within the work groups, in general, they were positive experiences. An immense amount of work was achieved by the workgroups.

There were no overt instances when *short-term wins were celebrated*; perhaps, the naming of streets to honor the traditions of Middle State could be interpreted as a celebration after the difficult period when all the signage on campus was changed. In the intervening months since the 2015 start of full consolidation, *new changes have been implemented*; again, the workgroups addressed over 700 individual items related to consolidations; however, there are still issues to resolve according to the participants.

Four major themes were identified as being triggered by the change process. These were loss of identity, loss of job security, loss of value of the degree, and student concerns.

While loss of job security affected primarily faculty, staff, and student workers, the feelings of loss of identity and loss of value of the degree affected faculty, staff, students, and the thousands of Middle State alumni. The interviews, videos, and document review pinpointed loss of identity as a major concern which, in turn, precipitated unease regarding the value of a degree from State University rather than Middle State. As several participants observed, as the 2015-2016 incoming freshman graduate, the loss of identity will be less of an issue – they will only have known one university. A new president of State University may also signify a new era in the history of State University.

Major Finding Three. While presented as a consolidation, many of the participants considered the change mandated by the Board of Regents as a *hostile-takeover*.

One participant mentioned that in the business sector, mergers generally tend to be *take-overs* and the vanquished team just leaves. SC was very critical of the manner in which the decisions were made

> Then there could have been some input, and people would have thought about it. But just to say, "It's a done deal, and in a year from now you're together, and Dr. Beamish, you don't have a job any more after that year." That seemed a little harsh to me as a way to do something like that without really thinking of all the ramifications of it. As a result, and this is just probably human nature, since State is now so much bigger than Middle State, its's pretty hard for people at Middle State not to see it as an absorption more than a partnership. (Cheshier, 2014, p. 36)

Jack, an administrator at State University, surmised that

> It was an indication of dominance – it was not necessarily portrayed that way – it was a merger of equals and that type of thing but we were four times the size, more

> comprehensive, already at the comprehensive level and we wanted the resultant school to be comprehensive.

A review of the minutes of the ECIC of April 7, 2014 reveals that the representative from the Board of Regents acknowledged the concerns. She said "We understand that this feels more like a take-over than a consolidation" (p. 4).

The consensus among faculty, staff, students and alumni of Middle State University was that they were being treated as stepchildren, they were being absorbed, the school brand was being dissolved, and that they were somehow inferior to State University.

Major Finding Four. The disparate cultures between the two institutions impeded the progress towards consolidation and acculturation.

In the early 1970s, Clark (1987) pioneered work on colleges as a culture concentrating on beliefs, loyalty and sagas as tools for institution identity. Much research conducted in the late 1970s and 1980s focused heavily on academic cultures (Becker, 1995; Gaff & Wilson, 1971; Freedman, 1979). Several of these studies linked institutional culture with organizational success. University leaders are becoming increasingly interested in the concept of culture and the role that it can play in university change and development (Bartell, 2003; Omerzel, Biloslavo, & Trnavcevic, 2011; Tierney 1988).

Toma et al., (2005) defined culture as "an institution's norms, values, and beliefs and the concrete forms that culture assumes" (p. 5). They included in their definition many of the commonly used attributes of culture (tangible symbols, language, narratives, and practices). They stated "At universities and colleges, institutional culture conveys a sense of identity (who we are), facilitates commitment (what we stand for), enhances stability (how we do

things here), guides sense-making (how we understand events) and defines authority (who is influential)" (p 6).

Bergquist (1992), based on the work of Cohen and March (1974), identified four interrelated cultures that he observed in higher education institutions in the US. Institutions may include elements of more than one culture but there is usually a predominant one. The *collegial* culture is reflective of the long history of collegiality in academic institutions. It is the most widely identified; it encourages diverse perspectives, autonomy over one's own work, and leadership based on scholarship and research.

A culture that finds meaning through organization, evaluation, and implementation of work and which values fiscal responsibility and effective management is deemed a *managerial* culture. Educational outcomes in the managerial culture are based on specific criteria for teaching; in the managerial culture, faculty use institutionally prepared instructional materials. Instructional design and instruction are separate processes. According to Bergquist (2008), "The key words of the managerial cultures seem to be efficiency and competence" (p. 62). Leaders who are fiscally responsible and value personnel management are most successful in managerial cultures.

The culture of State University, prior to consolidation, appeared to be a combination of collegial and managerial. State's culture valued many of the components of the collegial culture but also appreciated fiscal responsibility and effective management of the managerial culture. The study allowed the researcher to identify Middle State University with Bergquist's (2008) *developmental* culture which appreciates self-expression, openness and autonomy. There is more emphasis in creation of new programs, diversity of faculty in terms of gender and race, and encouragement for "cognitive, affective, and behavioral maturation

among all students, faculty, administration, and staff" (Bergquist, 2008, p. 73). The developmental culture encourages deliberation and open communication but suffers from lack of coherence and organization. It is a product of the 1960s when faculty believed that the institutions were not meeting the needs of the students. According to Bergquist (2008), "The institutional values inherent in the developmental culture concern three distinct but interrelated aspects of institutional life: teaching and learning, personal and organizational maturation, and institutional mission" (p. 102). Throughout the research, it became very clear that the faculty at Middle State were extremely student-focused and furthered relationships with the students. They encouraged critical learning and creativity in the students.

The cultures of the two universities were quite different and this played an important role in the consolidation efforts. Several of the participants attributed some of the cultural differences to the very nature of the disciplines on each campus. Middle State was a STEM university while State was more of a liberal arts university. Therefore, the disparity of gender distribution on each campus was significant. Several participants also referred to the nature of the students typically found in the STEM disciplines. One participant referred to Middle State as the nerd-school. Another mentioned that there were differences in the basic elements of daily life, for example, how people treated each other. Middle State was much more laid-back and close-knit than State.

Most of the discord arose from the back-office and support staff. Everyday procedures were very different on each campus and, in general, the policies and procedures of State University were continued in the new university. Work expectations were more laid-back on the Middle Campus and these were found to be problematic for the new senior leadership. Some staff members would not or could not accept the changes. In the areas of

tradition, celebrations, and ceremonies, there seemed to be more compromise. Commencement, for example, incorporated the traditions of both universities.

Major Finding Five. Approximately one year post-consolidation, the culture of the new State University is still, very much, evolving.

The integration of cultures takes time to fully accomplish. Researchers have estimated varying time periods for full integration: three to five years (Walter, 1985), five to seven years (Appelbaum, 2000; Stybel, 1986) and 10 years or longer (Buono & Bowditch, 1989; Millett, 1976).

At the time of this research, State University had just completed its first academic year (2015-2016) under full consolidation; understandably it is very much an evolving culture. As some participants suggested, it may be several years before full acculturation is observed. There are several endstates that could result. According to Marks and Mirvis (2011) cultural pluralism, cultural integration, cultural assimilation, and cultural transformation are four possible end results of acculturation.

Cultural pluralism works most frequently in highly technical industries such as pharmaceutical companies or biotechnology firms. (Lang, 2003; Marks & Mirvis, 2011). The "best of both" endstate is descriptive of cultural integration. With cultural integration, the leaders of the merged companies look at the values and beliefs of the two organizations and choose those that they both want to carry over to the combined organization. According to Marks and Mirvis (2011), cultural assimilation is the most commonly found endstate, usually between two companies of unequal size and sophistication. In cultural assimilation, the larger company's culture will prevail and the employees of the smaller company need to see that the new culture is beneficial to all. Finally, in cultural transformation, the endstate is

"ending the old before embarking on the new" (Marks & Mirvis, 2011, p. 872). Contrary to the other possible endstates, in cultural transformation, both cultures are completed eradicated and a new one created. Important to the success of this type of acculturation is the communication of the new values and beliefs by top management.

Based on the interviews, document review and campus observations, the most likely endstate for the new university is cultural assimilation. Interviews with Middle State employees indicated a loss of identity, a sense of being absorbed and dissolution of the brand. One of the participants did indicate that the campus should always maintain some microcosm of its culture based on its history and disciplines. However, it is definitely an evolving culture and one that should be observed further.

Major Finding Six. The consolidation between State University and Middle State University was predicated by the policy of the state Board of Regents (BOR) to consolidate higher education institutions to reduce funds and redirect those funds to research, faculty development, and instructional support.

Approximately two years prior to the State/Middle State consolidation, the state BOR initiated a state-wide consolidation effort to reduce the number of universities and to redirect the funds recovered by these consolidations to research, faculty development and instructional support. This consolidation, too, was predicated on economic savings. According to the President of State University, approximately $5 million dollars were redirected to other areas in the first full year of consolidation. The majority of the 2016 savings were targeted toward technology on the former Middle State campus. The President also mentioned that he was directed by the Chancellor to "Make that campus [Middle campus] better. Its looks really need to be tremendously improved" (Papp, 2016, p. 82). For

the 2016-2017 fiscal year there will be additional faculty hires and a significant amount of money will be allocated to advisors.

These findings were anticipated as the literature suggests that economics is the reason behind most mergers or consolidation. According to Pritchard and Williamson (2008), "economics is usually the most prominent" reason (p. 48). Skodvin (1999) concurred and posited that:

> The main force behind a merger is always some kind of assumed gain. The most frequent motive is the wish to achieve administrative, economic and academic benefits, by merging several (small) institutions into a larger unit. The thought is that larger units would yield qualitatively stronger academic institutions, better management and use of administrative resources and they would improve the use of physical facilities. (p. 68)

While the majority of participants concurred that economy was the major factor leading to consolidation, other possible motivations were identified including geographic proximity, desire for an engineering school, mission creep, and athletically-related objectives.

Implications for Theory

The findings of this case study confirm the value of strong leadership in times of revolutionary change as well as the need for a defined model for change management. As Burke (2014) stated "Leadership is a highly sought-after and highly-valued commodity" (p. 1), and this case study demonstrated that leadership and communication are vital during the consolidation process.

The conclusions reached by the researcher supported the need for adopting and utilizing a change management model in order to move the group to achieve the common goals of the new university. Missteps along the way may have been avoided had a more defined process been followed. The results mirrored the many years of work on organizational culture referenced in Chapter 2. Recognizing the differences in culture between the two universities was one of the most controversial issues in the consolidation. Corporate culture is one of the most important components of change and can contribute to the success or failure of the change. The case study reinforced this assertion.

Implications for Practice and Leadership

With increasing costs of higher education and decreasing support from state and private funding, colleges and universities look to alternative means to maintain economic viability while providing quality education. Mergers and consolidations offer one means of combatting rising costs while increasing diversity, enhancing academic quality and reputation, and reducing external threats from competitors.

This case study could be a model for other institutions undergoing mandated or voluntary mergers. Although this study focused on a single consolidation between two state universities, the study's findings may have implications for legislators, board of regents, board of directors, and senior leadership as they investigate mergers or consolidations.

This study provides several points of reflection as potential mergers are assessed. The major themes identified in the study (particularly related to change management and leadership) can serve as the framework when anticipating and implementing a merger or consolidation. This study also illustrates the need for administrators in higher education to understand the value of a change management model when considering mergers or

consolidation. Following any one of several theoretical models could result in a successful consolidation or merger, embraced by all parties, with no questions of motivation or appearance of a take-over.

The operational processes described (CIC, ECIC, and OWGs) can also serve as examples of methodologies used to address the issues related to mergers and consolidations. The case study also effectively demonstrates the need to recognize the importance of culture in the success of a merger.

Lessons learned from this case study could also be used within institutions when colleges or departments are consolidated. Colleges and departments are considered subcultures and mergers or consolidations would be equally as problematic as a two-facility merger.

Implications for Further Research

Numerous additional opportunities for research in change management, leadership, and culture during mergers and consolidations in institutions of higher education currently exist. Findings of this study show the importance of utilizing an established change management model, demonstrating strong transformational leadership skills, and understanding the impact that individual cultures have on the consolidation process.

Because this case study only examined a single consolidation between two universities, additional research could include a larger participant base. For example, several other consolidations took place prior to this consolidation and more are planned for the future. The status of these consolidations could be studied.

This case study looked at two, four-year state institutions of disparate size. Mergers in higher education are also taking place in private and public settings and in four-year and two-

year venues. Examining the process of consolidation in these different sites would provide additional information on the process and success or failures of mergers and consolidations. In addition, this case study examined a consolidation between a STEM school and a liberal arts college. The different cultures traditionally seen in these types of school certainly played a part in the consolidation process; consolidations between like disciplines may yield different results.

While this case study looked at the consolidation from the perspective of students, faculty, staff, and alumni, student information was only gathered from videos. Further studies could involve the students more fully into the study. Frankly, any unique perspective of a merger in universities and colleges could be examined and provide valuable information to the higher education community. For example, decision-making by higher administration, feasibility studies prior to merger, financial savings post-major, changes in institutional rankings, and academic and research changes post-merger could all offer interesting research opportunities.

This study conducted in 2016 can be used as a baseline against which future longitudinal research at State University can be compared. A valuable research study for the future would involve assessing the culture of State University at the 5 and 10 year marks. At the five-year mark, most of the students will have only known the new State University so the expectation would be that there would be a more stabilized culture. It would also be interesting to examine alumni perceptions after five years. At the ten-year mark, as the literature suggests, the final, new endstate would be in place.

Chapter Summary

This chapter summarized the major findings from the research. The conclusions relating to each of the five research questions were synthesized and examined in relation to the literature supporting the research questions. As expected, the major reason for the consolidation was economic in nature although there were other identified motives. The change process used during the consolidation was evaluated against Lewin's change model and deficiencies and successes noted. The role of leadership and the positive and negative aspects of communication, equality, and selection of senior leadership demonstrated by the board of regents and the leadership of each university were assessed against well-documented leadership theories.

Using Bergquist's (2008) theories on culture in higher education, the culture of Middle State University was identified as a developmental culture; State University was a mix of managerial and collegial. Much of the discord related to the consolidation was based on the very different cultures of the two universities. The evolving culture of the new State University was appraised at the one-year post-consolidation stage.

Dissertation Summary

The researcher conducted a multiple-case, qualitative case study with accompanying descriptive analyses in which data was collected in several ways: (a) semi-structured interviews of individuals at State University and Middle State University; (2) a review of archival interviews of stakeholders from both universities; (3) an extensive review of pertinent documentation related to the consolidation of the two universities; and (4) on campus observations.

Several major themes evolved from the data collection relating to the drive to consolidate, change management, leadership, cultural influences, and the evolving culture of the new university. The in-depth examination of these findings resulted in six major findings:

1. The participants acknowledged that while the leadership exhibited by higher administration was strong, there were issues related to communication and senior leadership selection that created difficulties in moving the consolidation forward.
2. The participants did not observe the use of any specific change management model.
3. The disparate cultures between the new institutions impeded the progress towards consolidation and acculturation.
4. While presented as a consolidation, many of the participants considered the change mandated by the Board of Regents as a *hostile-takeover*.
5. Approximately one-year post-consolidation, the culture of the new State University is still, very much, evolving.
6. The consolidation between State University and Middle State University was predicated by the policy of the state Board of Regents (BOR) to consolidate higher education institutions to reduce funds and redirect those funds to research, faculty development, and instructional support.

Following a discussion of findings, the researcher presented the implications for theory and practice and leadership regarding mergers between and within institutions of higher education. Recommendations for future research including follow-up research at State University as well as research at other institutions that have undergone or that are anticipating a merger or consolidation.

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APPENDIX A

Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study

Interview Protocol for Faculty/Staff

Interviewee:_____
Position at University:_____
State University_____ Middle State University_____
Date of Interview:_____
Location of Interview:_____
Time of interview:_____

Thank you again for agreeing to speak with me. Let's begin:
Introductory Question(s):

1. At what campus location do you currently work?
2. How would you characterize your position at the college? Faculty, professional, support?

Interview Question(s):

3. What was the primary reason for the merger of the two universities? (RQ 1)
4. How did you first learn about the merger? (RQ 2)
5. Discuss the vision of the future communicated to the employees of each university. (RQ 2, 3)
6. What were your concerns or fears about the merger? (RQ 2
   a. What steps were taken by administration to alleviate your concerns or fears?
   b. What more, if anything, could have been done to alleviate your concerns or ears?
7. How did higher administration communicate the need for the change and the process for the change? (RQ 3)

8. Describe the feedback, recognition, and encouragement which was offered as the merger progressed. (RQ 3)
9. Discuss the role that the leadership of the universities played and the effectiveness of the leaders in moving the merger forward? (RQ 3)
10. Describe the type of culture that State/Middle State University had in relation to the values and beliefs of the university community prior to the merger. (RQ 4)
11. What differences did you perceive in the culture between campuses? (RQ 4)
    a. What differences, if any, have you seen in respect to what is commonly referred to as artifacts – that is, the jargon, language, programs, and policies, of the university since the merger?
    b. What differences, if any, have you seen in relation to the values and beliefs and basic assumptions of the university following the merger?
12. Describe the culture of the newly-merged institution. (RQ 5)
    a. Is this culture an assimilation of the two existing cultures or did one of the two cultures dominate?
    b. Describe what more could be done, if necessary, to re-culture the faculty and staff of the new institution.
13. What works well within the current culture? (RQ 5)
14. What challenges do you experience working within the current college culture? (RQ 5)
    a. What changes do you believe are necessary to improve the college culture?
    b. If no changes are needed, discuss why the current culture is working well.

Concluding Question(s):

15. Is there anything else that you would like to mention in relation to the merging of the universities and the atmosphere in your current work situation?

APPENDIX B

Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study

Interview Protocol for Administration

Interviewee:_____
Position at University:_____
State University_____ Middle State University_____
Date of Interview:_____
Location of Interview:_____
Time of interview:_____

Thank you again for agreeing to speak with me. Let's begin:
Introductory Question(s):

1. At what campus location do you work?

Interview Question(s):

2. What was the primary reason for the merger of the two universities? (RQ 1)
3. How did you first learn about the merger? (RQ 2)
4. Discuss the vision of the future communicated to the employees of each university. (RQ 2, 3)
5. How were the fears and concerns of the faculty and staff addressed by higher administration? (RQ 2)
6. Discuss any specific change management models adopted to direct the change. (RQ 2)
7. How did higher administration communicate the need for the change and the process for the change? (RQ 3)
8. What were some of the communication methods used to convey information about the merger to the employees of the institution? (RQ 3)
9. Describe how the employees have adapted to the change. (RQ 3)

10. Describe the type of culture that State/Middle State University had in relation to the values and beliefs of the university community prior to the merger. (RQ 4)
11. What differences did you perceive in the culture between campuses? (RQ 4)
    a. What differences, if any, have you seen in respect to what is commonly referred to as artifacts – that is, the jargon, language, programs, and policies, of the university since the merger?
    b. What differences, if any, have you seen in relation to the values and beliefs and basic assumptions of the university following the merger?
12. Describe the culture of the newly-merged institution. (RQ 5)
    a. Is this culture an assimilation of the two existing cultures or did one of the two cultures dominate?
    b. Describe what more could be done, if necessary, to re-culture the faculty and staff of the new institution.
13. What works well within the current culture? (RQ 5)
14. What challenges do you see faculty/staff experiencing following the merger? (RQ 5)
15. What challenges do you experience working within the current college culture?
    a. What changes do you believe are necessary to improve the college culture?
    b. If no changes are needed, discuss why the current culture is working well.

Concluding Question(s):

16. Is there anything else that you would like to mention in relation to the merging of the universities and the atmosphere in your current work situation?

APPENDIX C

Informed Consent

Thank you for agreeing to participate in this study, which will take place from June, 2016, to December, 2016. This form details the purpose of this study, a description of the involvement required, and your rights as a participant. Through this study, the researcher expects to describe thoroughly and accurately the merger process at the University and to report general conclusions about the merger.

The title of this study is: Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study

The investigator of this study is:
Anita Hazelwood
Professor, University of Louisiana at Lafayette
Lafayette, Louisiana.
hazelwd@louisiana.edu
337-482-6633 or 337-230-5054

The purpose of this study is to:

1. Ascertain the reasons for the merger between State University and Middle State University
2. Identify how the utilization of change process models influenced the response to change by the faculty and staff of the merging institutions
3. Examine the role of the leaders in facilitating the merger
4. Determine the extent to which organizational culture played a part in the merger
5. Identify the new organizational culture following the merger

The methods that will be used to meet this purpose include:

1. Interviews with faculty, staff and administration from both universities
2. Review of documents pertaining to the merger

The risks of this research will be:

1. There are no anticipated risks to you as all information will be kept confidential

The benefits of this research will be:

1. There is no particular benefit to you if you participate, but the researcher may learn what promotes a smooth transition in times of mergers between higher education institutions.

Your participation: Your participation in this study will consist of an interview lasting approximately one hour. You will be asked a series of questions about your experiences during and after the merger of State University and Middle State University. You are not required to answer any question that makes you feel uncomfortable. There may be follow-up/clarification through e-mail, phone, or Skype. At any time you may notify the researcher that you would like to stop the interview and your participation in the study. There is no penalty for discontinuing participation.

Confidentiality: The interview will be tape recorded; however, your name will not be recorded on the tape. The audiotape will be transcribed without any information that would identify you. You will have the opportunity to review the transcription of the interview to make any clarifications. Your name and identifying information will not be associated with any part of the written report of the research. All of your information and interview responses will be kept confidential. The researcher will not share your individual responses with any other person. The data will be stored in a locked file cabinet in the investigator's university office.

If you have any questions about this research, your participation in the study, or any questions concerning the protection of human subjects in research, you are welcome to contact Dr. David Yarbrough, IRB Chair at irb@louisiana.edu or Dr. Dianne F. Olivier at dolivier@louisiana.edu.

Consent:

I understand that I am participating in research and that the research has been explained to me so that I understand what I am doing. I understand that I may stop participating at any time.

_____ _____

(Signature) (Date)

Hazelwood, Anita Cook, Bachelor of Science in Health Information Management, University of Southwestern Louisiana, Spring 1976; Master of Science in Library Science, Louisiana State University, Spring 1981; Doctor of Education in Educational Leadership, Fall 2016.
Major: Educational Leadership
Title of Dissertation: Leadership, Change Management, and Acculturation in the Merger of Two Institutions of Higher Education: A Case Study
Dissertation Chair: Dr. Dianne F. Olivier
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ABSTRACT

Mergers and consolidations within the higher education sector are "relatively rare occurrences and each merger has a distinct set of circumstances, actors, and characteristics" (Etschmaier, 2010, p. 1). Institutional mergers and consolidations require well-planned and strategic organizational change and include an examination of organizational culture and the process of acculturation. While there has been research on various aspects of higher education mergers, there has been little on the process of integrating institutional cultures. Compounding the challenge is that the degree of assimilation among institutions is variable. This integration of cultures takes time to fully accomplish. Researchers have estimated varying time periods for full integration, as much as ten years or more in some cases. As institutions of higher education undergo reorganization, several components of change management must be addressed, looking particularly at culture as a critical element of the change process. Research in this area is limited, and the purpose of this case study is to examine why two institutions of higher education merged, the role of change management during a merger, conceptual models used in understanding reorganization, and the role that culture plays during a merger. Given the economic conditions in higher education, interest in mergers is growing, and this case study on the merger, change management, and the cultural

assimilation of the individuals involved in the merger will be of value to state boards of education, policy-makers within the states, and higher administration in colleges and universities across the nation.

BIOGRAPHICAL SKETCH

Anita Cook Hazelwood is a native of Houma, Louisiana, and resides in Lafayette, Louisiana. She is the daughter of Joycelyn Brady Cook and Albert Emerson Cook. She holds an undergraduate degree in Medical Record Science from the University of Southwestern Louisiana (now the University of Louisiana at Lafayette) and a master's degree in Library Science from Louisiana State University. She is a professor of health information management at UL Lafayette and entering her fortieth year of teaching. Ms. Hazelwood will earn a Doctor of Education in Educational Leadership at the University of Louisiana at Lafayette in December 2016.