# Failed Strategies

We start with an informal treatment of university cultures, then consider these cultures more formally. We conclude that in their present state many institutions of higher education are "change averse"; however, the hopeful news is that more and more leaders recognize the problem and want to do something about it.

Are we in the tent or out of it? In this chapter we are more outside. We think higher education has failed to live up to its own aspirations. But we also know universities well enough to recognize that many of the required elements for success exist within the institutions. It is time to forge and develop a core focus on leadership for the changes we identify in the turnaround agenda. But first, a discouraging reality.

## **Informal Treatment**

If you spend any time in universities, or even if you observe them for brief periods of time, you will see a culture that has tendencies to be:

- Hyperrational
- Prone to talk
- Individualistic
- Dominated by research

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Not all universities are like this, and universities moving in new directions is the point of this book. Some universities and their leaders are indeed well down the turnaround track. But too many, for too long, have had a culture that we would describe as "ready, ready, ready" (as distinct from our own preferred metaphor of "ready, fire, aim").

With respect to universities being hyperrational and prone to talk, for any small or big issue of the day you might say that there is an elephant in the room—and it is so damned articulate. On some days it seems that anything is worth an argument. We don't know of any study that has calculated the amount of time spent in meetings in universities, but it must be staggering. For many, university talk is simultaneously expensive and cheap (if it leads to little action). In many ways, university professors are paid to be articulate orally and in writing, and this can be both their strength and weakness. Left unfettered, academic debates generate more than their share of articulate pettifoggers and vicious politics. Harold Wilson, when he resigned as prime minister of England, was asked if he would work in a university. He responded, "No, I couldn't stand the politics."

Incidentally, for us the importance of these observations is not just that unimportant matters are sometimes debated at length but also that quite often *nothing happens*; that is, implementation is weak. Articulation in the service of clear thought and sound judgment can produce magnificent results, but this seems to be the exception rather than the rule.

Being smart and articulate is not necessarily a good thing. Pfeffer and Sutton (2000) identify the limitations of talk in the first of five barriers to closing the knowing-doing gap which they label "when talk substitutes for action":

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ning for the future [is not] enough to produce the future. [p. 29, italics in original]

## Further, there are many places

where planning activities, holding meetings to discuss problems and their solutions, and preparing written reports are mistaken for actually accomplishing something. Such firms produce actions: meetings, conversations, and the generation of reports. They just don't produce actions that have much effect on implementing what the firm knows. [p. 35]

Were Pfeffer and Sutton thinking about universities when they said "appearing smart is mostly accomplished by sounding smart; being confident, articulate, eloquent, and filled with information and ideas; and having a good vocabulary" (p. 43)? And as we shall argue in Chapter 3 on the new agenda, critical analysis untested through critical doing is not even good critical analysis. In a section titled "Negative People Seem Smarter," Pfeffer and Sutton note that "one of the best ways of sounding smart is to be critical of others' ideas" (p. 45).

We are not against good critique but against abstract discussion that leads nowhere. In a second book, Pfeffer and Sutton (2006) claim that in many organizations there is too much emphasis on strategy and planning, which diverts attention away "from solving fundamental problems and instead focuses on the intellectually more engaging and analytically tractable issue of strategy" (p. 147). To be both accurate and effective, critique must be pursued through action, not through endless debates.

Relative to the third characteristic, despite traditions of collegiality and collective debates, universities are amazingly individualistic. In many ways, the incentive system and the culture reward

individualism. Except for junior professors and the growing number of part-time and fixed-term contract teachers, individual university professors have enormous freedom in what and how they teach, and how they spend their time. Scholarship by and large rewards individual contribution. Collegial interaction often masks a high degree of day-to-day individualism, and collegial talk within meetings doesn't mean anything if not much happens between meetings.

Finally, research dominates everything else to the detriment of teaching and learning, community engagement, and service. We are obviously not against scholarship. As others have observed, research disproportionately dominates the university scene whether in research-intense universities or in the aspirations of the wannabe higher education institutions who can never quite get there (Newman, Couturier, & Scurry, 2004). The answer, given the powerful competing external demands, can never be cast in zero-sum terms (for example, more research means less emphasis on teaching and service) but must be found in the synergy generated by a new way of defining and approaching the solution, which we will get to in subsequent chapters.

#### Formal Treatment

In some ways our informal treatment is unfair to the diversity of cultures in universities. Although the tendencies in the previous section are true, it is time to correct this incomplete depiction by introducing Bergquist and Pawlak's *Engaging the Six Cultures of the Academy* (2008). The reader will see that all of our four informal elements appear across the six cultures.

In their first edition, *The Four Cultures of the Academy* (1992), Bergquist and Pawlak identified four basic cultures: collegial, managerial, developmental, and advocacy. In their second edition, they added two: the virtual culture and the tangible culture. (It is interesting that they do not refer directly to individualism which we think cuts across all six of their cultures.) In their words: "The col-

legial culture [is one] that finds meaning primarily in the disciplines represented by the faculty in the institutions; that values faculty research and the quasi-political governance processes of faculty; that holds assumptions about the dominance of rationality in the institution" (p. 15).

The subthemes of the collegial culture include a disciplinary orientation, research and scholarship focus ("usually at the expense of teaching", p. 29), and faculty autonomy. Research is king in such universities dominated by powerful academic disciplines. Given the new external demands, Bergquist and Pawlak conclude: "Faculty members in a collegial culture face a formidable task: how to judge the effectiveness, let alone worth, of subtle and complex endeavors such as basic research, service to other people, and in particular, classroom teaching" (p. 41). Despite its strengths, such as deliberation and open communication, "the collegial culture suffers from a lack of organization and coherence" (p. 73). Contrived collegiality and the consensus culture are often used as weapons against change.

Second, and partly as a response to the external nonaccountability of the collegial culture, is the managerial culture: "A culture that finds meaning primarily in the organization, implementation, and evaluation of work that is directed toward specified goals and purposes; that values fiscal responsibility and effective supervisory skills" (p. 43). Here we see more pronounced expressions of "leadership and authority," a greater emphasis on "teaching and learning," and a move toward "large-scale efficiency." Managerial cultures are not good at controlling collegial cultures. In the managerial culture, there is less focus on teaching as "attention shifts from quality to workload" (p. 56). A managerial community college can become more teaching-oriented "not because it wants to be but because its faculty members have not time to do anything but teach" (p. 57).

There are still meetings galore, but in managerial cultures instead of providing an opportunity to display clever articulation, "irrelevance and inefficiency seem to pervade committee meetings." And "senate hearings are viewed with disdain. These are the 'games' that

grown faculty members must play. . . to 'delude themselves' about the amount of influence they really exert on the life and goals of the college and university" (p. 69). In the new bottom line in the managerial culture, "the search for truth in higher education institutions is rivaled by a search for revenues and entrepreneurship" (p. 69).

Then there is the developmental culture: "A culture that finds meaning primarily in the creation of programs and activities furthering the personal and professional growth of all members . . . that values personal openness and service to others as well as systematic institutional research and curricular planning" (p. 73). Now we see an emphasis on faculty development, curriculum development, and long-term institutional planning. Bergquist and Pawlak identify three main features of developmental cultures: a focus on "teaching and learning" rather than traditional research and scholarship; "personal and organization maturation" through reflection and learning-by-doing; and an "institutional mission" which constantly asks, "What are we really doing in this college and university, and is it what we should be doing?" (p. 106).

The developmental culture sits uneasily alongside the previous two cultures. All that emphasis on relationships and feelings seems to be a waste of time when the answers can be arrived at more quickly through rational assessment and deliberation. Instead of being left to pursue one's own work and to show up now and then for inconsequential meetings (beyond the personal satisfaction of the most verbose), developmental cultures require too much interaction and interdependence. Managerialists don't like its indirect methods of development and idealistic pursuits.

If development is too slow, it is time to become more aggressive through the advocacy culture, "a culture that finds meaning primarily in the establishment of equitable and egalitarian policies and procedures for the distribution of resources and benefits of the institution; that values confrontation and fair bargaining among constituencies, primarily management and faculty or staff" (p. 111). The collegiality culture lacks focus, the managerial culture tries to

run things from above, and the developmental culture is too slow. Hence, the advocacy culture's goals is to move things along or at least to get things right.

The advocacy culture also confronts some of the internal injustices involving the workload of junior professors and the growing number of part-time and term-limited contract teachers who are employed under conditions that, according to Gappa, Austen, and Trice (2007), can only be called "exploitative practices" (p. 96). As Bergquist and Pawlak put it: "The advocacy culture serves not only as a worthy opponent to those in the managerial culture but also as an alternative source of influence and power for faculty members who feel disenfranchised by the established collegial culture" (p. 127).

Their overall conclusion is that, while there are tensions between the developmental and advocacy cultures (the former being too soft and the latter too hard), the two agendas have much in common. Without some rapprochement between the two, "both cultures will fail to provide needed connections to the dominant and managerial cultures" (p. 129).

The fundamental problem with these first four cultures is that they all try to address the new demands of the university through internal means and perspectives—the equivalent of academic fiddling while Rome burns. The fifth and sixth cultures, while not our solution, do have the benefit of widening the scenario to simultaneously include the outside and the inside, and grounding the university more concretely.

The virtual culture is one that "finds meaning by answering the knowledge generation and disseminating capacity of the postmodern world; that values the global perspective of open, shared, responsive educational systems" (p. 147). This is the world of IT, global partnerships, and virtual learning anywhere, anytime. It is important to acknowledge this culture, but it is not at all clear what its implications are. (Our own answer will focus the solution on a specified conception of the role of the university and the leadership therein that will be required.)

The sixth culture is clearly an antidote to too much virtualism. The tangible culture "finds meaning in its roots, its community, and its spiritual grounding; that values the predictability of a value-based, face-to-face education in an owned physical solution" (p. 185). The tangible culture values "a beautiful campus, a rich endowment, prestigious degrees, esteemed faculty members, low acceptance ratios for students, and a hard-earned reputation" (p. 185). Again, the implications and even desirability of such a cultural emphasis is not clear for our purposes. We prefer to find meaning in something tangible linked to leadership capabilities and strategies for implementing it on a continuous basis.

# Change Averse

The Spellings Commission on Higher Education in the U.S. identified negative outcomes arising from university and college cultures that fail to focus and establish strategies and mechanisms for quality implementation. The Commission found that:

- Too many secondary students were not prepared to succeed in college. Too many students were shopping blind having been denied adequate information.
- Once in college, too many students wasted time.
  .engaged in remedial education. Too many students who started failed to finish a degree.
- Particularly disadvantaged were those students from low-income families and from racial and other minorities.
- There was a fundamental absence of transparency and hence a scarcity of "reliable information about cost and quality of postsecondary institutions, along with a remarkable absence of accountability mecha-

nisms to ensure that colleges succeed in educating students." [U.S. Department of Education, 2006, cited in Massy, Graham, Short, & Zemsky, 2007, p. vii]

Our own research has identified additional change challenges within postsecondary institutions. These internal challenges include dealing with:

- Cultures which are change averse, "baronial," or which seek to "white-ant" necessary reform (white ant is when internal cultures interact to erode the foundation of the proposed reform)
- Structural, planning, review, and administrative processes which are unresponsive, unnecessarily bureaucratic, unfocused, and which do not add value
- Decision-making, accountability, funding, and reward systems which are inefficient or unaligned
- Patchiness and inconsistent quality in the delivery of core activities of learning, research, and engagement and the associated services which underpin them
- Change implementation strategies which are either unproductive or nonexistent
- Inappropriate approaches to leadership selection, development, and performance management

Our study of change leaders in higher education indicates that many of the strategies currently being used are inadequate and that the current focus, culture, and structure of many universities is change averse at a time when being able to work productively with change and implement needed reforms rapidly and effectively is critical to institutional survival, productive student outcomes, and national benefit (Scott, Coates, & Anderson, 2008). University cultures contain potential resources for leading change but not in their present form in most places.

We have found that a university's predominant culture ("the way we do things around here") can have a profoundly positive or negative effect on its capacity to engage with and implement necessary change. Aspects of a university culture considered to be barriers to effective change management were identified at a workshop of university leaders in 2003 and confirmed in the Learning Leaders study (Scott, Coates, & Anderson, 2008, pp. 137–138). They include inefficiency; poor decision making and a lack of focus; disengagement; unresponsiveness; unclear accountability and acknowledgment systems; unaligned structure and processes; unproductive planning and review processes; too little focus on implementation; poor leadership identification, focus, and support; underdeveloped quality management systems; and unclear standards.

#### Inefficiency

Indicators in this area include decision making which is ad hoc and reactive; a failure to set priorities, with everything seeming to be of equal importance; and an excessive amount of time being taken up with meetings, usually with no clear outcome. Some describe such places as "Christmas tree" universities where every day there is a new change on the agenda, with yesterday's priorities no longer of interest.

## Poor Decision Making and a Lack of Focus

Indicators of ineffective decision making include more emphasis being given to "consensus around the table" than "consensus around the data"; being reactive rather than proactive; being more informed by anecdote than evidence; and giving far more focus to the present than the future and to internal day-to-day issues than external ones.

Indicators of a lack of focus include staff reporting that they are unclear on what counts most or how their work plays an important

role in ensuring the university operates successfully; finding it hard to answer questions like "How do you know what is working well and what most needs improvement?"; and, when tracking data are provided, little evidence of people actively using it to set their priorities for improvement action.

A final indicator is a tendency to use a "shotgun" approach to communication. This entails sending out large numbers of e-mails and memos with no indication of the relative importance of their contents and, when there is a request for information, little acknowledgement of how what has been provided has been used.

### Disengagement from the Core Purposes of the Institution

Disengagement has a number of dimensions, with key indicators including the existence of pockets of excellence which are unknown to others; a tendency for the institution to operate either as a "dark warehouse" or as a "cottage industry"; a senior executive that is not in regular contact with line staff about key issues; an intolerance of diversity or dissent; and a tendency towards group think. Other indicators include high levels of micropolitical behavior, back stabbing, passive resistance, anomie, back-room deals, little shared moral purpose, and small cliques of people being in the know whilst others feel completely left out of the action. In some cases, there is also active white-anting of change efforts, widespread cynicism, continuous leaks of negative information to the press, and a high staff turnover rate.

#### Unresponsiveness

Here the indicators include individual and institutional defensiveness about criticism or poor performance; an unwillingness to question traditional approaches, structures, and systems; and a tendency to transfer responsibility to others by saying "Why don't they?" rather than "Why don't we?" This is often accompanied by a heavy reliance on rigid rules-based bureaucratic procedures. Other indicators are students reporting that their queries or complaints are left unattended or are mishandled and that staff say things like "That's

not my job," "It's on the Web," or "Go to another campus." This can sometimes be accompanied by staff pointing out that they are overworked and can't do any more than they are already doing.

# Unclear Accountability and Acknowledgment Systems

The indicators here are staff consistently working around but not confronting poor performers; an unwillingness to raise unpleasant issues in the interests of social affinity; a failure to allocate clear accountabilities and hold staff responsible for their delivery; the existence of funding, performance management, development, and reward systems which are unaligned with key areas for quality improvement or strategic change; and limited public acknowledgment of staff who are contributing positively to the core activities of the institution.

## Unaligned Structure and Processes

There are indications that the way in which some universities approach quality assurance and improvement, as well as strategic planning and review, may be unsuited to keeping them aligned with a highly changeable operating environment. There are clear connections here between the way universities are structured, their processes and preferred ways of operating, and the cultural issues just identified.

It is not always evident how support and administrative systems underpin the delivery and improvement of current programs or new developments in the core activities of the university. A good example would be moving to an online or mixed mode of course delivery with flexible attendance times without first making sure that the hardware and software, along with capable staff, timetabling systems, and library and student support services necessary to assure its delivery are in place.

More generally, the management and decision-making structure of the institution can be a powerful support for or constraint on responsiveness, engagement, and implementation. In some institutions, a very devolved operating structure is in place. This may enhance local responsiveness but can, especially when combined with revenue center management and local accountability for budget, lead to intensive, "baronial" politics and internal competition between university departments. On the other hand, a more centralized, top-down approach may maintain more control and coherence in direction but can decrease local responsiveness and staff engagement with key change projects. There are also hybrid models in which a decentralized academic operating core coexists with a more centralized system for managing the institution's administrative, HR, support, finance functions, and infrastructure. In these cases, an us versus them mentality can develop in which administrative and academic staff rarely collaborate and often work in parallel.

Another angle on the misalignment problem is the failure of individual position descriptions, performance plans, accountability, and reward and staff development systems to focus on the capabilities and priorities for effective role delivery, the quality of day-to-day delivery in research and teaching, and the implementation of key quality improvements. A need to make sure that the position descriptions for different roles are complementary has also emerged. Further, the model of learning adopted by many staff development units is often very traditional (single workshops run by people with no specific understanding of the world of the participants) and generally unaligned with helping those who are to implement necessary changes learn how best to make them work.

### Unproductive Planning and Review Processes

In terms of planning, we have found that many universities currently adopt a linear rather than a cyclical, action-oriented, or embedded approach to planning. This modal approach puts the most energy into writing the plan and launching it rather than into making sure it is monitored and implemented consistently, effectively, and sustainably.

The many current approaches to strategic planning tend not to be sufficiently evidence-based or informed by comprehensive tracking data and strategic intelligence. In such cases, planning and decision making, as noted earlier, tend to focus more on consensus around the table rather than consensus around the data. Plans tend to be produced in glossy form, launched at a large function, and then forgotten—with little tracking of their implementation or accountability for failure to deliver on the key targets and changes they contain. The motto, as we noted earlier, often seems to be "Ready, aim, aim, aim," "Let's set up a subcommittee," or "Let's have another review" rather integrating planning with action and, through this, learning how best to make a desired change work by doing it under controlled conditions, refining it, and then scaling it up. Associated with this is a tendency not to productively involve the people who are going to have to implement it.

Similar problems emerge with the way in which many universities approach reviews. These tend not to be embedded or ongoing and are often undertaken on a fixed cycle, irrespective of need or risk, every three to five years. Furthermore, they often look at departments, faculties, or units in isolation from those other parts of the university with which they must work in collaboration to be effective. In the worst cases, the review creates large amounts of work in gathering out-of-date, unbenchmarked data for an external panel which adds little value by suggesting improvements, pointing out what everyone already knew, or making recommendations based on what has already passed.

So, at present there is limited practical understanding in many institutions that change is a cyclical and ongoing process, not a linear one, and the implementation of the associated cycle of planning, action, review, and improvement in universities now sought in external higher education quality audits in many countries remains patchy.

# Too Little Focus on Implementation

As just indicated, the tendency in many universities is to invest most of their effort into developing plans, running retreats, undertaking reviews, and identifying what should happen with far fewer resources being put into making sure that what emerges is consistently and effectively put into practice. There are links here to a continuing preference in many universities to focus on inputs and resources allocated as a measure of quality rather than outcomes and impact. Furthermore, there is evidence that some current approaches to implementation may be making things worse and that the use of external consultants to lead change may not be cost-effective.

## Poor Leadership Identification, Focus, and Support

We have found that leaders—both central and local—encounter considerable frustration in trying to deal with arcane systems and a change-resistant culture as they work to engage and support people in necessary change. Yet we have also found that there is often little attention paid to the capabilities and experience necessary to lead change in the position descriptions for leadership roles in higher education. Furthermore, the sorts of support which university leaders identify as being most productive in developing their capabilities and performance as leaders is only rarely promoted by university staff development units. Finally, effective and systematic approaches to identifying and developing potential leaders is neglected, despite the leadership succession crisis which is now upon universities as the large cohort of Baby Boomers moves toward retirement.

# Underdeveloped Quality Management Systems

Given the pressures exerted by the external forces outlined in Chapter 1, especially the need to ensure that our institutions of higher education not only gain but retain students, over the past decade there has been increased interest in quality management—in finding out what works best to both assure quality and improve the total student experience of the college or university. The particular focus of these developments has been on determining how

best to ensure consistency and equivalence of quality within and between universities and across locations. However, we have found dramatically different levels of development of efficient and productive quality management systems between universities in the same country and between countries.

In some countries where external quality audit systems have been introduced across the entire higher education sector, much more systematic attention to quality management has emerged. In some cases, there are national quality tracking systems for learning and teaching as well as for research. In most countries, however, the approaches to quality management are more idiosyncratic. Thus it is impossible for individual institutions to systematically and conveniently use comparative data to identify key areas for improvement, find proven solutions in other locations, or establish areas where they are doing well compared with similar universities elsewhere.

Where such systems are operating well, there is still a tendency to produce quality reports with much less consistency in ensuring that the key recommendations for improvement that they contain are addressed promptly and wisely. In addition, there remain the challenges of ensuring that what is tracked is valid and distinguishing between the use of the data generated for formative as distinct from summative purposes. A parallel problem is seen in the inadequate way in which the outcomes of internal tracking reports and reviews are often followed up.

#### Unclear Standards and the New Focus on Outcomes

There is a general shift across many higher education systems to a focus on outcomes rather than on inputs as key measures of quality. There is particular interest in determining how a university can show it has added value to student capabilities and has done so at a university standard. However, the sophistication, reliability, and validity of the measures used appear to be variable.

Our study of more than a quarter of a million "best aspect" and "needs improvement" comments written by graduates in 14 Aus-

tralian universities on their total university experience (Scott, 2006) shows that the lowest odds of a best aspect comment is in the area of assessment of learning—in particular in its relevance, marking, expectations management, and feedback.

As Derek Bok (2006) put it: "Although the attacks on college professors seem clearly overblown, there is a subtler problem with faculty behavior. . However much professors care about their teaching, nothing forces them or their academic leaders to go beyond normal conscientiousness in fulfilling their classroom duties. There is no compelling necessity to re-examine familiar forms of instruction and experiment with new pedagogic methods in an effort to help students accomplish more" (cited in Massy, Graham, Short, & Zemsky, 2007, p. 6).

#### Conclusions

So far we have painted a somewhat dismal picture. But for all their hyperrationality and academic cultures, institutions of higher education can accomplish impressive breakthroughs when they put their minds and hearts to work on focused problems. Liker and Meier (2007), in their detailed analysis of Toyota culture, quote Edgar Schein: "Never start with the idea of changing culture. Always start with the issue the organization faces; only when those . . . issues are clear should you ask yourself whether the culture aids or hinders resolving the issues. Always think of the culture as your source of strength. It is the residue of your past success" (Schein, 1999, p. 189).

Many a president or dean has been run out of town for tackling directly the cultures of the academy. Instead, our message is start with the issue(s) the organization faces, refocus the agenda, use the considerable extant change knowledge, and then shape and leverage the strength of existing cultures and their leaders. In Chapter 3, we get to the actual change agenda and how to pursue it. The agenda is a synergizing, coherence-making proposition. Society is

badly in need of new leaders who know how to reconcile divisions. Universities have a major role to play in modeling how divisive problems can be better tackled and in producing graduates who can be leaders who can address complex problems of the day. The beauty is that the change agenda is an integrating one, and thus core leadership practices can meet many needs simultaneously and cohesively.

If the challenges from within the universities are addressed along the lines we suggest in the next three chapters, we have clear evidence that the institutions concerned will be far better positioned to negotiate successfully the challenges posed by both the external and internal environment. And they will be better able to model how differences can be constructively reconciled to achieve productive change and to produce the new generation of change leaders so desperately needed in the current context.