The development of a conceptual framework for the design and management of planned institutional change for continuing education programs is described, based on a change project developed by Hanna and Polliciita. Conceptual approaches to planned change in complex organizations and the views of Havelock and Lindquist are considered. The importance of the following factors are also analyzed: organization, goals, leadership, linkage, openness, capacity, compatibility, rewards, synergy, and ownership, in designing a successful planned change strategy. Finally, a team approach for managing the planned change process that has relevance for university settings is discussed. It is suggested that the process of adapting traditional institutions to better serve the diverse learning needs of adults often involves changing individual values and attitudes as well as organizational priorities, policies, and programs. The rational planning approach, which involves research and development and the dissemination of new knowledge and practices, is considered, along with additional components of organizational change: social networks, the psychological forces that influence acceptance/rejection of a proposal, and political influences. It is suggested that a change team has the potential for generating substantial influence and expertise. (SW)
EVALUATING ORGANIZATIONAL CHANGE STRATEGIES FOR UNIVERSITY CONTINUING EDUCATION

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ABSTRACT

One of the dominant themes in American higher education during the past decade has been the role of universities in addressing the continuing education needs of society. While much has been written concerning the importance of the university continuing education mission, the process of adapting traditional institutions to better serve the diverse learning needs of adults continues to be a difficult and complex process. Often it involves having to change individual values and attitudes as well as organizational priorities, policies, and programs.

This paper is concerned with the development of a conceptual framework that will assist university continuing educators to be more effective in the design and management of institutional planned change strategies. Building on the work of Havelock (1969, 1973) and Lindquist (1978), the author first describes several conceptual approaches to planned change in complex organizations. He then analyzes the importance of such factors as organization, goals, leadership, linkage, openness, capacity, compatibility, rewards, synergy, and ownership in designing a successful planned change strategy. Finally, he describes a team approach for managing the planned change process that has particular relevance for university settings.

This paper describes the conceptual framework utilized in the planned change project described by Hanna and Pollicita in their 1983 AERA paper entitled, "Research and Policy: Faculty Perceptions and Policy Modifications to Enhance the Role of Continuing Education."
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Introduction

One of the dominant themes in American higher education during the past decade has been the role of universities in addressing the continuing education needs of society. While much has been written concerning the importance of the university continuing education mission, the process of adapting traditional institutions to better serve the diverse learning needs of adults continues to be a difficult and complex process. This is particularly true in times of severe budget constraints when strengthening one institutional mission implies the inevitable weakening of others. Despite considerable progress in recent years, continuing education remains a peripheral and relatively low institutional priority on many university campuses.

As complex organizations, universities are often characterized by a cumbersome governance structure, a highly autonomous and decentralized power structure, time-honored academic values and traditions, and entrenched bureaucratic policies and procedures, all of which can frustrate attempts at institutional adaptation and change. However, as social institutions whose futures depend upon public confidence and support, these same universities must continually adapt their mission to be compatible with the changing educational needs of society. Herein lies the challenge for university continuing educators. In an institutional...

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setting that is at the same time both resistant to change and dependent upon it, they must be effective designers and managers of the organizational change process as they work to strengthen institutional support and adapt institutional programs to better serve the continuing education needs of society.

The university continuing educator's change agent role is difficult and requires special knowledge and skills. It is not enough to merely identify those organizational changes that need to occur. If these changes are to be accomplished, continuing educators need to understand the process of planned change in university settings and be able to both design and manage effective planned change strategies from their positions of middle management within the institution.

This paper is concerned with the development of a conceptual framework that will assist university adult educators in the design and management of successful planned change strategies. As such, the paper analyzes several conceptual approaches to planned organizational change in universities, examines factors that appear related to successful planned change efforts, and describes a team approach to managing the planned change process that has several important advantages for university continuing educators. It is important to note that this paper describes the conceptual framework utilized in the planned change effort described in the paper by Pollicita and Hanna, which is being presented at this same AERA Symposium. The title of this latter paper is, "Research and Policy: Faculty Perceptions and Policy Modifications to Enhance the Role of Continuing Education."

Conceptualizing the Planned Change Process

For the purpose of this paper, planned change is defined as the deliberate modification of, deletion of, or addition to the attitudes or behaviors existing in an individual, group, organization, or larger human system through the
application of appropriate knowledge. When University continuing educators set out to strengthen their institution's continuing education mission through such initiatives as trying to increase the support of key campus policy makers, broaden traditional admission criteria, expand involvement in continuing professional education, develop new adult oriented degree programs, or increase faculty rewards for continuing education involvement, they are engaging in planned change efforts. How successful they are in these efforts will be determined in large measure by their understanding of the process of planned change in collegiate organizations and their ability to utilize this knowledge to design and implement an appropriate planned change strategy.

The design of effective planned change strategies needs to begin with a conceptual understanding of the change process. Building on the pioneer work of Havelock (1969, 1973) and his associates at the University of Michigan's Center for Research on the Utilization of Scientific Knowledge, Lindquist (1978) synthesizes the major approaches to planned change and analyzes them in the context of collegiate settings. Lindquist suggests that there are essentially four different sets of assumptions concerning what leads people or organizations to change. These four sets of assumptions give rise to four very different conceptual approaches to planned change. Each approach emphasizes a different aspect of the basic communication act which involves creating, transmitting, and receiving a message. (See Figure 1.)

Figure 1. Major Emphases in Planned Change Strategies

Rational Planning The rational planning approach (Research, Development, and Diffusion) assumes that change occurs on the basis of reason and evidence. Accordingly, the best way to create change in an organization is through systematic research and development of new knowledge, new practices, and new products. If the research is appropriate and the development sound, the proposed change will sell itself. The emphasis is upon using reason and evidence to create the strongest possible change message. Guba (1968) and Clark and Guba (1965) found this approach often used in the development and diffusion of educational innovation. This same approach is also found in the research, development, and diffusion efforts of the corporate sector.

The rational planning approach can be seen at work in university settings when new programs or procedures are pilot-tested or when committees or task forces are charged to study a problem, identify the alternative solutions, and select the best alternative based on available reason and evidence. The university budget process is generally organized according to the rational planning approach. When university continuing educators want to make a case for increased financial support, they generally do so by developing a proposal that contains the strongest available reason and evidence. The proposal is then "sent up the line" for review and a decision. The assumption is that, if the rationale and evidence is strong enough, the request will be approved.

The problem with the rational approach is that organizations, like the individuals and groups within them, do not function simply as rational systems. What may be logical to one person may not be logical to another. In addition, Lindquist (1978) suggests that a major shortcoming of the rational planning approach is the frequent isolation of the planners from the people who will ultimately be responsible for and affected by the planned change. There is no doubt that reason and
evidence are vital ingredients in the organizational change process. However, an effective change strategy needs to contain more than compelling logic. Adoption of a proposed organizational change may depend as much on how the change message is communicated as it does on the strength of the change message itself.

**Social Interaction** Social networks are an important part of any organization. They provide individuals and groups with security, status, and esteem as well as offering interpretations regarding activity within the organization. Everett Rogers (Rogers, Agarivala-Rogers, and Lee, 1975; Rogers and Shoemaker, 1971) is characteristic of researchers who maintain that social networks are essential to planned organizational change. For them, the process of communicating the change message is as important as the message itself.

Identifying and utilizing opinion leaders who may be located either inside or outside the organization is an important element in the social interaction approach to change. The most persuasive communicator usually has the expertise, experience, or social role to be perceived as a credible source of the information presented (Rosnow and Robinson, 1967). Because university continuing educators are often not powerful and highly-visible campus-wide opinion leaders, it is particularly important that they enlist the support of appropriate opinion leaders when undertaking a planned change effort. For example, a continuing education dean may be able to produce a compelling rationale for increased rewards for continuing education involvement but the case will be far more persuasive if several high status senior faculty members join in communicating that message to the campus.

Lindquist (1978) points out that social interaction researchers identify certain attributes of planned innovation and change (in addition to impressive reason and evidence) that influence eventual adoption. For example, does the intended change have clear relative advantages for the individual, group, or organization? Is the change compatible with dominant institutional values,
priorities, and traditions? Is it divisible so that it can be adopted a bit at a time? Does it involve low risk and uncertainty? Can it be tried and observed before making an irrevocable commitment? These are all questions that should be addressed when designing the planned change strategy.

**Human Problem Solving** While rational planning and social interaction are important elements in the planned change process, many researchers suggest that the most important elements are rooted in the psychological dimensions of change (Argyris and Schön, 1974, 1978; Parsons, 1974; Watson, 1972). For these researchers, such underlying factors as fear, anxiety, prejudice, need for dependence or independence, and need for autonomy have the greatest influence on attitudes toward change. Unless uncovered and dealt with, these factors thwart attempts to change an organization. It is these psychological factors that will influence how the change message is received no matter how compelling the reason and evidence upon which it is based.

For those who advocate this planned change perspective, the emphasis is upon building a strategy based on a clear understanding of the psychological forces that may influence acceptance or rejection. For example, several years ago a Midwestern university, on the initiative of the president, developed a comprehensive plan to strengthen and expand its lifelong education mission. The plan was well conceived and compatible with the university's land-grant charter. Nevertheless, it met with intensive faculty opposition which resulted in much of it being either abandoned or modified. Later analysis of the resistance revealed that it had very little to do with opposition to lifelong education per se. Indeed, most faculty members supported campus continuing education activities. Rather, faculty opposition arose out of considerable anxiety that the nature of their jobs would somehow be redefined and that an increased commitment to lifelong
education would result in funds being drained away from activities that they valued more highly. In addition, many feared that they would be forced to engage in continuing education and public service activities for which they had neither the interest nor the preparation. If these deep-rooted sources of resistance had been discovered early and incorporated into the planned change strategy, the outcome might have been much different.

The human problem solving approach places special significance upon creating a psychologically supportive environment for change and making the change responsive to the users. Collaboration, openness, consensus, trust, self-initiation, and ownership are important elements in this approach. The problem with the approach is that it can be terrifically time consuming and expensive and still fail (Zaltman and Duncan, 1977).

Political The rational planning approach to change emphasizes developing and arguing an impressive rationale. The social interaction approach takes that rationale, puts it in terms that are attractive to its audience, and then introduces it through opinion leaders to their various reference groups. The human problem solving approach tries to break down resistance to change by making the change responsive to the feelings and needs of the users. Finally, the political approach focuses on the political process that depicts the course of planned change in political systems (Easton, 1965; Baldridge, 1971).

Baldridge (1971) suggests that a simple political model begins with the social conditions that promote the formation of divergent views and interest groups. For example, such divergence may occur over the issue of whether a university should further develop or expand its continuing education mission. The next step involves interest articulation. How do interest groups influence the decision making process? Frequently it involves identifying and influencing gatekeepers who can get the proposed change on the decision maker's agenda and keep it
there until acted upon. Interest articulation generally leads to negotiation, and compromise resulting in a formal decision. Once a decision is made, this provides feedback to the original interest groups who in turn must decide whether further action is required.

The political approach to planned change has frequently been utilized on university campuses particularly in regards to issues that carry high political salience. For example, the process of academic budget cutting often begins as a rational planning process but quickly gravitates to a political process. The political approach to change places major emphasis on power, influence, leverage, and negotiation. The risk involved in using the political approach can be considerable, particularly for continuing educators. Because it relies on the development of adversarial relationships, the political approach can often lead to alienation of campus decision makers and a subsequent loss of campus support.

Combining Approaches Lindquist (1978, p. 9) suggests that the strongest approach to planned organizational change is through a synthesis of the preceding approaches in which the strengths of each are employed. He writes:

Is it not possible to entertain the notion that humans are rational social creatures who want to solve their hidden problems, but also want to protect and enhance their vested interests? If we make such an assumption, we must combine our strategies for change. Rational research and planning is not enough. Nor is connecting innovations to opinion leaders in all of the right ways. Nor is skilled intervention to diagnose human needs and to reduce resistance. Nor is the most effective political maneuvering. We must do it all.

Lindquist combines the strengths of each planned change approach and adds the concept of linkage developed by Havelock and others (1969) to produce his own conceptual model for planned change in colleges and universities. (See Figure 2)
Designing Planned Change Strategies

Based on a review of planned change theory and research as well as analysis of a broad variety of collegiate continuing education planned change projects, Votruba (1981) describes several factors that appear particularly important in influencing the success or failure of planned change efforts. These factors
Organization Planned change strategies are more apt to succeed if they are well organized. While this may appear so obvious that it needs no comment, it is remarkable how many change efforts fail because they are conceived or implemented in a haphazard fashion. The result is that problems often are ill-defined or poorly analyzed, the most appropriate solutions are not thoroughly examined, available internal and external resources are not identified and utilized, or ideas are introduced at the wrong time. There is no doubt that thorough organization is a key to successful planned change. The change effort that moves too rapidly, involves too few people, or lacks sufficient information is apt to encounter serious problems (Kotter and Schlessinger, 1979).

Goals Once the problem has been clearly defined, successful change strategies require a set of realistic, well-defined, and limited goals that describe what is to be accomplished. For example, in the project described by Hanna and Pollicita, the goal was to strengthen the extent to which the campus salary, promotion, and tenure system acknowledges and rewards excellence in faculty outreach efforts. Once this goal was defined and accepted, a strategy could be designed for accomplishing it.

Planned change efforts often fail because the goals are either too ill-defined to guide strategy development or they are not realistic given the organizational context. How realistic the goal is can be analyzed through a force field analysis in which all of those forces that will enhance or inhibit achievement of the goal are listed. Once these forces are assessed in terms of their strength and centrality, a decision can usually be made concerning the likelihood of success if the goal is pursued. Force field analysis often leads to the scaling down of goals to more realistic proportions.
Leadership  An important aspect of a successful change strategy is the presence of strong leadership in support of the change effort. Lindquist (1978) suggests that effective planned change leadership includes a combination of initiating change activities, structuring, guiding, pushing, and supporting the planned change process, linking people with ideas, and involving both the influentials and the implementors in the entire process. This latter leadership dimension is particularly important when trying to strengthen some aspect of the university's continuing education mission. While such change efforts may be initiated or even coordinated by continuing educators, success generally requires the support and involvement of influentials within the broader campus community. In this regard, an early step in the design of a planned change strategy should be to identify potential sources of campus leadership and support. Once these people have been identified, steps can be taken to involve them in the planned change process.

Linkage  Another factor associated with successful planned change is connecting the people who are responsible for and affected by the intended change with resources that can be used to support the change effort.

Linkage that supports the intended change can take many forms. It can involve linking campus decision makers with their counterparts at other institutions where the change has already occurred. It can involve linking those people working for change with potential sources of financial support or persons at other institutions who have worked through similar change strategies. It often involves linking supporters of the intended change with new knowledge and perspectives that will strengthen their ability to be forceful advocates for the change. It should also include educating those who are giving direction to the change process with the dynamics of change in complex organizations.
Effective linkage in support of planned change requires a thorough familiarity with both the organization in which the change is to occur and the internal and external resource system that can facilitate the change effort. (See Figure 3). When change strategies fail, it is often because the full range of available resources were never identified and utilized.

**Openness** Another important factor in the design of a planned change strategy is the creation of a frank and open environment in which the change process can be deliberated. This openness is important in two respects. First, it is essential that those people who are involved in accomplishing the change feel free to express their ideas, doubts, and concerns throughout the formulation and implementation of the strategy. Without this candor, many valuable insights and concerns may be overlooked. Second, it is important that those who may oppose the intended change have the opportunity to express their objections openly and honestly. It is far more difficult to deal with opposition if it is an unknown quantity. Leaders of the planned change effort need to solicit input from both supporters and opponents.

**Capacity** Planned change in universities, as in any complex organizations, is often a difficult and complex task. Another important consideration when setting goals and designing change strategies is whether the material and human resources are available to support the effort. For example, are there adequate financial resources? Do those who are primarily responsible for implementing the strategy possess the necessary time, expertise, and commitment? Should others be involved because of their particular expertise or influence? Continuing educators who hope to strengthen their university's continuing education mission need to set their specific goals and then identify the human and material resources that will be needed in the effort. This assessment often leads to a
Figure 3. A Linkage View of Resource-User Problem-Solving

reduction of the initial goals to fit available resources. The key is to not attempt more than is possible, given resource limitations.

Compatibility: An important element in successful planned change strategies is the extent to which the intended change is compatible with the traditions, values, needs, and priorities of the organization. Gaining support and acceptance of change is enhanced to the extent that it is perceived to support that which is most central and important to the organization. Several years ago, continuing educators at a large midwestern land-grant university tried unsuccessfully to initiate a new multi-disciplinary liberal arts masters degree that would be oriented to adults and delivered primarily off-campus. The effort failed, at least in part, because multi-disciplinary graduate study, adult students, and distance education were viewed by many faculty members as incompatible with campus values and traditions concerning what constitutes high quality graduate education.

A consistent theme throughout the planned change literature is that change efforts are more likely to succeed if they are not perceived as much of a change at all. The message to university continuing educators is to wrap intended change in the traditions, values, and priorities of the campus. Re-enforce how the intended change is compatible with the institution's historic development and current academic mission. Even the most exciting and progressive innovation stands little chance of success if it is perceived as incompatible with the organization itself.

Rewards: People and organizations relinquish old attitudes or behaviors and adopt new ones because of some incentive for them to do so. When designing planned change strategies, it is important to assess the various ways that individuals, groups, and the organization itself will benefit if the change is adopted. Once identified and analyzed these benefits become the incentives that can be used to gain the support and participation necessary to achieve success. For example,
the project described by Hanna and Pollicita to strengthen continuing education support within the faculty promotion and tenure reward system gained support from a variety of quarters. Promotion and tenure committee members were supportive because they generally were frustrated over not knowing how to evaluate faculty continuing education efforts and the project included the development of evaluative criteria that could be used to assess quality. Several deans and department heads were supportive because they felt the project would lead to both higher quality continuing education activities as well as a greater number of activities. Faculty members engaged in continuing education were supportive because they saw the opportunity for greater reward from the promotion and tenure process.

While some stand to gain from a particular organizational change, others may perceive a loss. This is an important issue to confront early in the design of a planned change strategy. In the case of the project to strengthen faculty rewards for continuing education, some faculty members and academic administrators were concerned that by placing greater emphasis on excellence in continuing education, there would be an inevitable de-emphasis of traditional research and scholarship. This was an important issue for the change strategy to address.

Synergy For university continuing educators who hope to strengthen campus support for continuing education, synergy refers to the number, variety, strength, and frequency of forces that can be combined to support a particular planned change effort. These forces may be internal or external to the university. They may include individuals or groups that have the capacity to influence the institution or its decision makers. They may also include demographic, social, economic, or political trends to which the organization is sensitive. For
example, assume that the goal is to expand university involvement in continuing professional education. Support for such an effort may be found among various deans, department heads, senior faculty members, and campus administrators. Support might also exist among various professional associations, public policy makers, corporate executives, alumni, and professional practitioners. In addition, campus enrollments in certain professional fields may be dropping because of demographical shifts and changing employment patterns; political trends may be producing greater pressure on the university to demonstrate its public service commitment; and trends in technological development may be placing increasing pressure on professionals to continually update. Each of these forces may be important in moving the university to expand its involvement in continuing professional education.

Those responsible for guiding the change process need to identify the full range of forces that can be used to support the change effort. However, they must also carefully orchestrate the use of those forces so that they together produce the desired effect. This process requires both insight into the university itself as well as the environment in which it functions.

Ownership A major consideration when designing a planned change strategy should be the extent to which those upon whom the change depends feel they have a part in its development. Strengthening university support for continuing education will generally require the understanding, support, time, and skills of various individuals and groups throughout the organization. These people need to be involved in the earliest stages of the change process and to stay involved throughout. They must be encouraged to invest enough of themselves in the process to have a stake in the outcome. They must see the project as theirs and not simply someone else's. If this sense of ownership can be
established and maintained, the change process has a far better chance of success.

Designing a planned change strategy is no easy task, but the considerations described above can be helpful. It is important to keep in mind that a strategy is only a means to an end and not an end in itself. Once an initial strategy is developed, that strategy should be frequently evaluated in light of new information and changing circumstances. Those responsible for guiding the change process need to build in time for this periodic evaluation. Like organizations themselves, change strategies need to be adaptive in order to stay relevant.

Managing Change Strategies

This paper has so far discussed several conceptual approaches to planned change and highlighted factors that the author believes are particularly important when developing university based continuing education planned change strategies. The focus now shifts to an examination of the team approach for managing planned change efforts.

The successful use of teams to help design and manage planned change strategies has been well documented in the planned change literature (French and Bell, 1973; Lindquist, 1979; Miles, 1959; Reilly and Jones, 1974). Teams offer several important advantages, particularly in university settings. A change team has the potential for generating greater energy, influence, and expertise than a single person working alone. Having a team of individuals also allows for a division of labor based on interests and competencies. Teams exhibit a broader range of insights and perspectives, particularly in the early stages when the problem is being defined, objectives are being clarified, needed information is being identified and gathered, and strategy is being designed. The team also provides re-enforcement and support when the process runs into obstacles or
suffers setbacks. Finally, involvement in the team itself can be a personally beneficial and rewarding experience for its members.

Planned change teams are usually comprised of 4-8 persons. Lindquist (1979) suggests that the composition of a team will have a critical influence upon its effectiveness. He offers four factors to consider when creating a change team. First, do the team members have credibility with each other and with those in the organization upon whom the change depends? Second, are team members interested in the problem being considered? If a team member has considerable credibility but lacks interest, the contribution is likely to be minimal. Third, do the team members have the time to devote to the change process? This is a frequent obstacle in planned change efforts because those persons who enjoy high organizational status and credibility— even if they have the interest— may not have the time to devote. Fourth, do the team members collectively have the expertise needed to address the problem? This expertise should include not only a considerable understanding of the problem itself, but also an understanding of the organizational setting and the planned change process. When planned change teams fail to accomplish their objectives, it is often because team members fell short in terms of the required credibility, interest, time, or expertise.

In the change project described by Hanna and Pollicita, a four-person team of university continuing educators initiated a process to first develop criteria for evaluating the quality of faculty continuing education and public service activity and then to have those criteria adopted and utilized as part of the campus promotion and tenure review process. In their initial meetings, the team members quickly recognized that, while they had the interest and time required for the effort, they needed to strengthen their credibility and expertise. A decision was made to form a faculty advisory committee that would work with
the team to help guide the project. Advisory committee members were selected from senior faculty members who were academic opinion leaders and had been heavily involved in the campus promotion and tenure process. The advisory committee met regularly with the change team to help define the problem and clarify objectives, review alternative strategies, assess progress, and interpret the organizational setting. In addition, they helped build support for the project among their faculty colleagues and generally provided much needed credibility and legitimacy for the project and its eventual outcomes. In this particular example, the combination of a continuing education change team, augmented by a faculty advisory committee, provided the combination of credibility, commitment, time, and expertise that was needed to achieve the project objectives.

Implications for University Continuing Educators

Over the past decade, an abundance of prescriptive literature has been generated concerning the changes that need to occur in traditional universities in order to make them more responsible to the lifelong learning needs of adults. Unfortunately, an equally rich body of literature has not emerged concerning the process for bringing these changes about. The result is that continuing educators often have a clear vision of the changes that they would like to accomplish but feel powerless to accomplish them. In short, they lack a strategy or game plan.

The process of innovation and planned change in university settings is difficult and complex. This is particularly true for continuing educators who are located within the institution's middle management and whose programs and activities often have relatively low visibility and status when compared with traditional research and instruction. The irony is that while planned change under
such circumstances is seldom easy, it is often a process that continuing educators cannot avoid. Indeed, the strength and vitality of university continuing education agencies often depends upon the willingness as well as the ability of continuing educators to effectively perform their change agent role.

University continuing educators who hope to be effective in designing and managing institutional planned change strategies need to possess certain knowledge and skills. They should have a perceptive understanding of their university, its values, traditions, needs, and priorities. They should be able to identify opinion leaders and know where, how, and when to introduce ideas in order for them to receive full consideration. They should understand the human and material resources needed for the planned change effort and how to marshal these resources to support the effort. They should have a keen understanding of their own strengths and limitations and be able to recruit team members and other supporters who complement themselves as well as each other. They should develop and utilize a conceptual view of the planned change process that is well grounded in planned change theory and research. They should be able to anticipate the effect of a particular change on other organizational subsystems as well as on the external environment. In this sense, they need to maintain a total system view of change and its effects. They should closely monitor the university's external environment for new conditions that may enhance or inhibit the planned change effort.

Finally, university continuing educators need to keep in mind that, while others in the university may support the planned change objective, the responsibility for leadership will generally be placed squarely on their shoulders. It is they who must take responsibility for making it happen.
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