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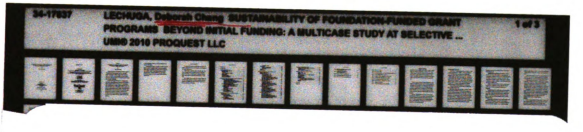

SUSTAINABILITY OF FOUNDATION-FUNDED GRANT PROGRAMS BEYOND INITIAL FUNDING: A MULTICASE STUDY AT SELECTIVE LIBERAL ARTS COLLEGES

By

Debbie Chang Lechuga

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ABSTRACT

SUSTAINABILITY OF FOUNDATION-FUNDED GRANT PROGRAMS BEYOND INITIAL FUNDING: A MULTICASE STUDY AT SELECTIVE LIBERAL ARTS COLLEGES

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Debbie Chang Lechuga

College and university leaders must remain responsive to their environments by promoting institutional innovation and change. External grant-funders, such as foundations, view themselves as initiators of change. Foundations can provide the necessary tools to jump start innovation within colleges and universities. However, despite the best intentions, not all colleges are able to sustain their programs or initiatives beyond the foundation's initial funding.

The central research question of the study was: How do liberal arts colleges sustain foundation-funded programs beyond the initial grant period? Grounded in the literature on organizational change (Clark, 2004; Kezar, 2001; Luddeke, 1999), and program institutionalization and sustainability (Huberman & Miles, 1984; Levine, 1980; Levison, 1994; Steckler & Goodman, 1989), this study examined how foundation-funded programs are sustained at liberal arts colleges. The guiding conceptual framework, based upon Shediac Rizkallah and Bone (1998), proposed that three primary factors contribute to the sustainability of a program past initial funding: 1) program level factors, 2) institutional level factors, and 3) environmental level factors. Utilizing this framework, the current study utilized a multi-case study design. Four selective liberal arts colleges were selected

to examine the sustainability of faculty career enhancement programs funded by the Andrew W. Mellon Foundation.

The results of this study revealed that eight factors, surrounded by environmental influences, contribute to the sustainability process: 1) meets an institutional need, 2) breadth of impact, 3) program effectiveness, 4) institutional context, 5) integration into campus, 6) planning to sustain, 7) committed leader or champion, and 8) applied organizational learning. A conceptual model based upon the guiding conceptual framework and the findings from this study are presented along with implications for research and practice.

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Chapter One: Introduction

Beginning in 2000, a national foundation offered 5-year grants to a number of liberal arts colleges. These colleges were to develop initiatives to enhance their faculty's careers. Although "successful" in the sense that the institutions and their faculty enjoyed many benefits from the implemented programs, many of the most "helpful" and "valued" components of the foundation-funded programs were unsustainable after the termination of funding. Consequently, about half of the programs ceased when the funding period ended.

This scenario illustrates a common state-of-affairs that postsecondary institutions encounter when an externally-funded program's funds are terminated. In particular, this scenario describes the focus of this study: How institutions sustain programs initiated on "soft"-monies beyond the initial grant period. Some of the liberal arts colleges in the above scenario managed to find ways to sustain aspects, but not all, of their initiated programs. This common situation led me to the central research question of my study: How do liberal arts colleges sustain foundation-funded grant programs beyond the initial grant period?

In this chapter, I discuss the general set-up of my study. First, I provide some operational definitions of the key terms I use in my study. Second, I discuss the rationale for my study by describing the main issues that relate to the problem informing this study. Third, I describe my research problem as well as the conceptual underpinnings of my study. I conclude with the purpose and significance of my study, and a brief description of my research design and its limitations.

Operational Definitions of Key Terms

Before discussion the background and rationale of my study, I believe it is helpful to clarify key terms. In the literature, "sustainability," is frequently interchanged with terms such as institutionalization, long-term maintenance, continuation (versus discontinuation), long-term viability, built-in-ness, survival, durability, and longevity (O'Loughlin, Renaud, Richard, Sanchez-Gomez, & Paradis, 1998). All these terms tend to refer to "the extent to which a new program becomes embedded or integrated into the 'normal' operations of an organization" (O'Loughlin et al., 1998, p. 702-703) and with an emphasis on a program's "survival well beyond an initial grant funding period" (Steckler & Goodman, 1989, p. 34). Whether it is called institutionalization, routinization, or sustainability, the terms are often used interchangeably and convey similar ideas.

Based upon previous definitions noted in the literature, for the purposes of this study the key terms are defined as follows:

Sustainability. Sustainability refers to the capacity of an institution to maintain a program's services at a level that will provide ongoing benefits after termination of funding from an external or outside funding source (LaPelle, Zapka, & Ockene, 2006). Sustainability differs from institutionalization, which is defined below, in the sense that changes may occur to the original program in order for it to be sustained and the program does not have to continue within its original organization structure (Shediac-Rizkallah & Bone, 1998). For example, a faculty development program may begin as a program administered by a newly created faculty development office. However, as time progresses and budgets become more restrictive, the program might be moved into another

administrative space, such as a center for teaching and learning, in order to sustain the faculty development program.

Institutionalization. Institutionalization refers to the long-term viability and *integration* of a new program within an institution (Steckler & Goodman, 1989). Institutionalization is considered to be the process by which "specific cultural elements or cultural objects are adopted by actors in a social system" (Clark, 1968, p. 1). The institutionalization of a program is the complete, unaltered, incorporation or integration of the program into the institution or organization. I consider institutionalization to be one method by which sustainability can occur.

Program. Program refers to any initiative or project in a university or college setting that involves the management of individuals or units to produce a product, outcome or goal. For this study, the terms program and initiative are used interchangeably.

Non-academic program. Non-academic programs are those that are not directly tied to the institution's academic curriculum in the sense that they are not academic degree programs. Examples include student affairs and student development programs (Dickeson, 1999), research centers, and institutes, (Stahler & Tash, 1994). For the purposes of this study, faculty development programs are included in this definition.

Rationale for the Study

My interest in program sustainability at liberal arts colleges is marked by a simple problem that post-secondary institutions encounter: How to sustain a program or initiative (used interchangeably for the purposes of this study) that is implemented with "soft" or external money. By "sustainability," I refer to the capacity of an academic

institution to maintain a program or initiative at a level that will provide ongoing tangible or intangible benefits after termination of external funding (LaPelle, Zapka, & Ockene, 2006).

Typically, the desire to sustain an externally-funded program or initiative may be grounded in the desire for some sort of change within the institution. This desire can be viewed as emerging from one of two sources: stakeholders from within the institution (i.e., senior administration, board of trustees, faculty), or from external sources (i.e., funding agencies or foundations with an interest in changing postsecondary institutions in a certain way, state or federal policies). The quest for change can be either large, transformational, institutional change (Kezar & Eckel, 2002a; Lawrence & Lorsch, 1986), or small, incremental, programmatic change (Staudenmayer, Tyre, Perlow, 2002). Additionally, change can be either planned or reactive (Mintzberg, 1994; Peterson, 1997).

Although institutional change may be desired, sustaining an externally-funded program or initiative beyond the grant period to maintain change has its own challenges. Particularly when the fiscal belt tightens at an academic institution, an externally-funded, non-academic program is vulnerable to discontinuation. Unless the externally-funded program is absorbed by the institution in some capacity, the program is often discontinued upon the termination of the external funding period.

The Problem

The problem of this study emerged from the tension between two situations. First, change is valued and considered necessary to universities and colleges if they intend to remain competitive in a turbulent environment. Sporn (1999) argues "successful organizational adaptation for colleges and universities will require new and innovative

strategies to respond to the changing environment for higher education" (p. 6). Many colleges and universities, particularly private institutions, use external funding sources, such as foundation-funded grants, as a form of incentive to initiate innovation towards institutional change and reform. Foundation grants can significantly contribute to the offerings of a college or university. For example, in many cases colleges and universities rely upon foundation grants to jump start a new program or project (Ward, 2001).

Second, foundations want to be able to have a lasting impact on change in institutions (The Philanthropic Initiative, 2008, http://www.tpi.org/about_tpi/our_mission.aspx). Foundations are aware of the impact they can have on institutions. Harcleroad and Eaton (2005) articulate the priority foundations place on enacting change in institutions such as colleges and universities:

> Institutional change continues to be a prime goal of foundations, as it has been for most of the past century. Thus, although their grants still provide a relatively small proportion of the total financing of institutions, they have had significant effects on program development and even operations. (p. 257)

Despite the limited funding that foundations may contribute to the larger institutional budget, the programs or initiatives that develop with foundation funding can still have significant effects on the institution. Therefore, ensuring that institutions are able to sustain their funded-programs or initiatives beyond the initial grant period is a high priority for the sponsoring foundations. Grant funders "know that it does little good to fund breakthrough projects with no hope of continuance or replication" (Ward, 2001, Introduction section, para. 3). For this reason, many grant funders require that grant seekers include a plan for sustainability in their proposals (Beery, Sentr, Cheadle, Greenwald, Pearson, Brousseau, & Nelson, 2005).

Herein lies the problem. Despite the best intentions of institutions to be responsive to their changing environments, as well as foundations' requirements for institutions to plan for sustainability as part of the application process (Beery et al., 2005), not all institutions find themselves able to sustain those programs or initiatives beyond the foundation's initial funding and can "lapse back" into their routines prior to the grant (June, 2010).

Because resources and time have been invested into developing the grant-funded programs, the institution faces public scrutiny with regard to the institution's use or waste of resources (Leveille, 2000). The impact of not sustaining a program can be costly. For innovative projects intended to create change, Yin (1979) argues that an institution's inability to institutionalize such a project is more costly than the institution's inability to implement the project in the first place because of the full-scale costs incurred. Furthermore, aside from the loss incurred at the institution, foundations may view the resources given to institutions that are unable to sustain the initiatives as wasted resources.

Conceptual Underpinnings of the Study

This study was grounded in theories of organizational change, program institutionalization and program sustainability. Academic institutions undergo *some* form of organizational change in order to sustain a new program or initiative. Scholars on organizational change suggest that there are structural, human resource, political, and cultural aspects (Birnbaum, 1991; Bolman & Deal, 2003; Hearn, 1996) that influence organizational change. One perspective on change that is particularly relevant to understanding how change can be sustained in higher education institutions is

organizational learning theory. Sustained change is likely to be enhanced when the institution's members view the change process as a learning experience (Levison, 1994).

Although the literature on organizational behavior research is well represented in the field of higher education, there is less literature on program sustainability. Therefore, in additional to reviewing literature from the field of higher education, I consulted the body of work on program institutionalization and sustainability from the field of health promotion and K-12 education. Although different contexts separate the fields of health promotion and K-12 education, they intersect at a common point with regard to sustaining programs that are initiated with soft monies.

Emerging from the field of health promotion was one particular conceptual framework, which seemed appropriate to my topic. Conceptualized by Shediac-Rizkallah and Bone (1998), the model suggests that program sustainability beyond initial funding is influenced by three inter-related factors: 1) project design and implementation factors, 2) factors within the organizational setting, and 3) factors in the broader community environment. In their model, each of the three factors contributes to the ability of a program to be sustained past its funding period, with some factors affecting other factors. Utilizing this model, my study sought to understand sustainability of foundation-funded programs at liberal arts colleges beyond the initial funding period. I also sought to examine the extent to which Shediac-Rizkallah and Bone's (1998) model was applicable to the sustainability process in liberal arts colleges.

Purpose of the Study

The purpose of this study was to understand the sustainability of programs funded by faculty career enhancement grants (initially funded by the Andrew Mellon

Foundation) at selective liberal arts colleges beyond the initial funding period. The study used a multi-case study design. Specifically, this study sought to understand WHAT the sustained initiatives looked like after the initial funding period, HOW the institution sustained the initiatives post-funding, and WHICH factors contributed to the initiatives' sustainability.

This study's focus on sustainability was limited to a particular dimension of sustainability: the sustainability of a program or service (Beery et al., 2005), which is viewed as the continuation of specific programs and activities begun under the period of initiative funding. In this case, sustainability can occur by retaining a program either in a newly created organization or structure, or within existing organizations or structures. In order to more specifically study the process of sustainability, I describe my research questions in the next section.

Research Questions

This study's central research question was:

How do liberal arts colleges sustain foundation-funded grant programs beyond the initial grant period?

Previous research has suggested that sustained funding is a key factor in sustaining a program (Bergman, 2000; Billig, 2000; Fountain, 2006; Ward, 1997). If that is the case, to what extent can a program be sustained when the initial source of funding is time-limited? As such, this study was designed to understand the sustainability of programs initiated with foundation grant money at four selective liberal arts colleges. Four additional research questions helped build a more complete picture of the sustainability process:

1. WHAT did the sustained initiatives look like at each of the institutions after the funding period?

2. HOW did each of the institutions sustain the initiatives post funding?

3. WHICH programmatic, institutional and environmental factors contributed to the sustainability of each of the initiatives?

4. To what extent do the findings parallel the conceptual framework guiding this study?

Significance of the Study

The results from this study provide a more in-depth understanding of the processes that take place to sustain foundation-funded programs and any common factors of program sustainability that facilitate the process. The findings of this study may be of interest to faculty and university leaders who are considering the ways in which externally-funded programs can be sustained beyond initial funding. Foundation officers and other external funding agencies working with institutions may also find the sustainability strategies revealed in this study as helpful tools when providing advice to institutions so that the institutions can better sustain their funded programs.

It should be noted, however, that not all programs initiated with external funding to implement change are worth sustaining. In fact, Green (1989) suggests:

> The institutionalization of programs deserves more conceptualization before assuming it is best measured by the persistence of organizations. Governments and foundations might do well to think of their grants as investments in people rather than investments in programs. Programs are merely vehicles for the solution of problems and the training of people to be able to solve other programs. A grant should seek to support a program or project for the purpose of showing the way to the solution of a problem or the enhancement of the quality of life. This is the demonstration function of grants. But more lastingly, a grant should seek to develop problem-solving abilities, experience, and leadership and confidence in the community. These are the developmental functions of grants. (Green, 1989, p. 44)

In response to Green's point, I acknowledge that "a grant should seek to support a program or project for the purpose of showing the way to the solution of a problem or the enhancement of the quality of life . . . a grant should seek to develop problem-solving abilities, experience, and leadership" (p. 44). Therefore, for the purposes of my study, I selected faculty development programs to represent the type of grant-program described by Green (1989) because in general, faculty development programs seek to enhance the faculty career by providing support and leadership development that will enhance the vitality of the college (Sorcinelli, Austin, Eddy, & Beach, 2007). Although I discuss my methodology in greater detail in Chapter Three, my study utilizes faculty career enhancement programs initially funded by the Andrew W. Mellon Foundation as the type of foundation-funded program for this study's investigation.

Overview of the Research Design

This section briefly describes the methodological design of my study. The sample for this qualitative study was selected using purposeful sampling (Merriman, 1998). After reviewing 23 institutions that received grant funds from the Mellon Foundation to implement faculty career enhancement programs, I grouped the institutions based upon commonalities in program administration and selected one institution to represent each group:

- Administered through a Newly Established Center.
- Administered through an Existing Center.
- Administered through the Office of the Provost/Dean of Faculty in conjunction with an appointed program coordinator.
- Administered partly through Office of the Provost/Dean of Faculty and partly through a Faculty Group, each separately administering parts of the initiative.

The sample of four institutions selected as case study examples included three institutions with sustained programs and one institution with non-sustained programs.

Data were collected using the following methods:

1. Documents including internal campus reports, external foundation reports, and information posted on the campus' websites.

2. In-person and telephone interviews with faculty members, administrators and staff; in several cases there were follow-up interviews and correspondence via email.

3. Observations during intensive 3-5 day site visits.

Limitations and Assumptions

This study examined sustainability of grant-funded faculty development programs at selective liberal arts colleges. Therefore, this study did not examine program sustainability at other types of higher education institutions. As private institutions, these colleges are relatively insulated from much of the economic turbulence and state policies that affect public institutions. Nevertheless, although this study examined sustainability at selective liberal arts colleges that are well endowed, the issues of continuing programs beyond initial funding is an issue that a wide range of institutions encounter regardless of their financial wealth or strength.

Summary

In this chapter, I discussed the background and context of the problem that frames my study to examine the sustainability of grant-funded faculty development programs at selective liberal arts colleges. I highlighted the key conceptual ideas from the literature that inform my study and guide my research questions. I discussed how my study contributes to the existing body of research as well as how my findings intend to inform practice. Finally, I highlighted the design of my study and its limitations.

The remainder of this manuscript is organized into five additional chapters. In Chapter Two, I review the literature and theoretical framework most relevant to my study. In Chapter Three, I describe and provide a rationale for my research design. Chapter Four, which presents my findings, is divided into subsections. In each subsection, I provide a case portrait and a within-case analysis of each of the institutions that I investigated. In Chapter Five, I provide a cross-case analysis of the four institutions included in my study to offer more generalized themes that contribute to sustainability. Finally, in Chapter Six, I discuss my conclusions and compare the more generalized findings from my study with the original conceptual framework, based upon Shediac-Rizkallah and Bone (1998). I also discuss the implications of my findings for practice and future research.

Chapter Two: Literature Review and Conceptual Framework

Scholars assert that colleges and universities need to remain responsive and adaptable to their environments by promoting institutional change (Heifetz, Grashow, & Linksy, 2009; Sporn, 1999). The desire for change can be initiated from within the institution (i.e., in response to environmental pressures or internal realization that change is needed), or the change can be initiated by an external entity (i.e., a foundation, external grantor, or state policies). When a foundation is the instigator of change, the change can be initiated with an institutional grant. However, despite good intentions, not all colleges find themselves able to sustain their programs or initiatives beyond the foundation's initial funding. This is problematic because an institution's inability to sustain programs or initiatives that are deemed valuable can arguably be considered a waste of valuable financial and human resources (Leveille, 2000). Therefore, the purpose of this study was to understand how selective liberal arts colleges sustain grant-funded non-academic programs beyond the initial grant period using a multi-case study design.

In this chapter, I discuss the relevant conceptual and empirical research in the literature to provide the theoretical foundation that grounds this study. I drew upon the fields of higher education, K-12 education, organizational behavior, and health promotion education. Collectively, the theories and issues presented in this chapter framed the way in which I approached my study. In what follows, first, I discuss the broad issue of change in higher education, and how the two ideas of change and sustainability are related. Then I describe one particular perspective of change—organizational learning—that I believe enhances my understanding of change in higher education institutions. Next, I review the topic of program sustainability as it is discussed in the literature, with

particular attention to the factors that contribute to program sustainability. Specifically, I describe the conceptual model of program sustainability from the health promotion field which I utilized to inform my conceptual framework. Then I discuss the existing gaps in the literature pertaining to program sustainability. Finally, I describe how my conceptual framework guided my study.

Organizational Change and Sustainability

To understand what contributes to sustaining a program, I believe it is important to understand organizational change. As mentioned in Chapter One, I chose to utilize the term sustainability rather than institutionalization because the term sustainability implies a more flexible idea of the end 'product' and what that product looks like after it is considered 'sustained.' Based upon the literature on program sustainability, I define sustainability as the capacity of an institution to maintain a program at a level that will provide ongoing tangible or intangible benefits beyond the initial funding period (LaPelle, Zapaka, & Ockene, 2006; Steckler & Goodman, 1989).

In what follows, I discuss the general idea of organizational change in higher education and then proceed with one perspective on organizational change that is applicable to understanding the notion of sustainability in colleges and universities—organizational learning. I then discuss how sustainability is tied to the idea of organizational change.

Organizational change in higher education. In response to particular environmental influences such as market forces, changing demographics, new technologies, increasing globalization, and calls for accountability (Duderstadt, 2000; Newman, Couturier, & Scurry, 2004), leaders of higher education institutions feel

significant pressure to adapt their institutions to their external environments. The literature on organization change, including organizational development, organizational design, and organizational learning, collectively suggests organizations need to adapt to their environment in order to succeed in achieving institutional goals (Hannan & Freeman 1977; Lawrence & Lorsch, 1986; Pfeffer & Salancik, 1978; Sporn, 1999).

Beyond merely achieving institutional goals, some scholarship on change in higher education asserts that change is necessary for institutions to adapt and remain either "competitive" or merely just to "survive" (Sporn, 1999). However, most scholars on organizational change agree upon the importance of continual institutional change, as best reflected in Kezar's (2001) statement: "The postmodern era is requiring organizations to change; there is no way to avoid this cycle" (p. 2). In other words, change is necessary for colleges and universities' adaptation and survival (Heifetz, Grashow, & Linksy, 2009).

In addition, the need for change can prompt college and university leaders to reexamine the ways in which their institutions work in order to function more effectively. Kezar (2001) explains, "Some scholars describe the changing context as a reason to reexamine organizational structures and culture, necessitating internal change" (p. 1). Therefore, it appears that how successfully an institution addresses internal change can affect the ways in which institutions are able to respond, and therefore adapt, to their environment.

Organizational factors affecting change. Scholars suggest there are several organizational factors that affect organizational change. To briefly summarize, there are structural (Birnbaum, 1991; Bolman & Deal, 2003), human resource (Bolman & Deal,

2003), political (Birnbaum, 1991; Bolman & Deal, 2003; Hearn, 1996), and cultural dimensions (Birnbaum, 1991; Bolman & Deal, 2003; Hearn, 1996) that influence the organizational change process in higher education institutions. Because of the various dimensions that are part of the change process, scholars argue that this process can be inefficient. Consequently, colleges and universities are slow to change (Berdahl, Altbach, & Gumport, 2005; Gilbert, 1996; Kezar, 2001; Newman, Couturier, & Scurry, 2004; Tierney, 1998). In what follows, I provide a brief explanation of the major dimensions that affect change in higher education.

Structural. Higher education institutions are loosely coupled systems (Weick, 1979). In addition, colleges and universities utilize a form of governance called *shared governance.* Decision-making, therefore, is often decentralized and conducted through a governing process that is shared between faculty and administrators (Birnbaum, 1989; Kezar, 2001). Although trustees or boards of regents have ultimate governance authority over particular aspects of an institution (e.g., finances), the major academic decisions of an institution are shared and decided between the faculty and administrators (Birnbaum, 1989; Kezar, 2001). As such, change in organizations with shared governance can be slow and inefficient because ideally, decisions are made based upon a shared agreement with the participation of many stakeholders.

Human resources. Employee turnover is relatively low in higher education (Kezar, 2001). Unlike the business world, higher education has the tenure system, which allows for faculty to stay in their jobs for their entire careers after a probationary period (Tierney & Bensimon, 1996). Finkelstein, Seal and Schuster (1999) noted that even part-time and fixed-term faculty tend to stay at the same institution for relatively long periods

of time. Although there is higher turnover for administrative staff, when this is compared to other sectors of work, their tenure is generally longer than workers in the business world (Donofrio, 1990; Kezar 2001). Although long-term employee commitment is often perceived to be a strength of an organization, the minimal turnover is also perceived as a barrier to change by helping to maintain the status quo (Kezar, 2001).

Political. Decision making in colleges and universities is rooted in multiple power and authority structures (Birnbaum, 1991; Kezar, 2001). Power in colleges and universities is partially hidden and it is considered "socially unacceptable to exert power" (Kezar, 2001, p. 69) in a collegial setting. Nevertheless, colleges and universities largely rely upon referent power (power resulting from identification with the influenced group or individual) and expert power (power resulting from expertise or special knowledge) to influence decision-making rather other forms such as coercive power (as found in prisons or military organizations), or legitimate power (as found in businesses) (Kezar, 2001). For example, faculty tend to be influenced by individuals they trust and who have expert knowledge, rather than through external incentives or control mechanisms (Birnbaum, 1991; Kezar, 2001).

However, colleges and universities also have competing authority structures in addition to the power structure based on referent and expert power. There is academic authority, maintained by the faculty, as well as legitimate authority, maintained by boards of trustees and other institutional authorities that are in positions within the institution who maintain legal rights to make decisions (Kezar, 2001). Furthermore, there is system-based authority, which is maintained by state governing boards and other governmental or political entities (Kezar, 2001).

The multiple power and authority structures of shared governance make decision making in colleges and universities highly political, because decision-making is likely to involve many individuals (Birnbaum, 1991). For this reason, colleges and universities, as political organizations, "tend not to be 'changeful' [and] not very ready to adapt to changes in the environment" (Brunsson, 1985p. 163). Therefore, the political dynamics that are often involved in creating change can contribute to the slow pace of the change process.

Cultural. Some scholars argue that colleges and universities have distinctive cultures (Tierney, 1988). Moreover, colleges and universities can exhibit different cultures within and between each other (Bergquist & Pawlak, 2008; Birnbaum, 1991). The ways in which institutional cultures are categorized differ depending upon the scholar on the topic, but commonalities exist across the differing taxonomies. Collectively, the types of institutional cultures that are said to be present in colleges and universities include: Collegial (Bergquist & Pawlak, 2008; Birnbaum, 1991); Managerial or Bureaucratic (Bergquist & Pawlak, 2008; Birnbaum, 1991); Developmental (Bergquist & Pawlak, 2008); Advocacy (Bergquist & Pawlak, 2008); Political (Birnbaum, 1991); Anarchical (Birnbaum, 1991); Virtual (Bergquist & Pawlak, 2008); Tangible (Bergquist & Pawlak, 2008).

Regardless of ways in which the cultures are classified, the overall point is that there is not a single culture that describes any college or university. Instead, any one of the cultures may be present on any given campus. In addition, subcultures exist within a college setting, such as the simultaneous presence of academic and administrative cultures. In general, the broader message is that "culture plays an important role in

shaping people and the structures they create" (Bergquist & Pawlak, 2008, p. ix). Thus, change can be hindered when an institution's culture is rooted in deep and symbolic traditions such as organizational sagas (Clark, 1972; Fairweather, 1997). Because culture is constantly evolving, but not self-perpetuating (Amey, 2005), an understanding of the characteristics of a college or university's culture is necessary not only to address institutional needs and accomplish goals (Kezar, 2001), but also to initiate change by combining traditional values with new ones (Tierney, 1988).

External factors affecting change: Role of foundations. Other factors that affect change in higher education institutions are external sources, such as economic conditions, social movements and trends, and government and external funding sources (Gladieux, King, & Corrigan, 2005; McGuinness, 2005; Newman, Couturier, & Scurry, 2004; Zusman, 2005). Specific external sources, such as philanthropic foundations, can influence specific change in colleges and universities. For the purposes of this discussion, I focus on the role of foundations as an external factor that affects change in higher education because foundations represent the type of external factor that is directly related to my study.

Tax-exempt charitable foundations have had a history with higher education as initiators of change. These private, not-for-profit, grant-making organizations disperse grants to third parties, such as colleges and universities, for purposes that are stipulated in the foundation's charter or constitution (Anheier & Romo, 1999). Foundations are considered to be part of a third sector; they are neither part of the state nor market. Hence, foundations consider themselves as 'intermediary institutions' between the state and its citizens (Bulmer, 1999). Historically, federal and state governments did not

consider it their responsibility to get involved in many of the areas in which foundations supported (Bulmer, 1999), which were areas pertaining to the study of social conditions and social problems. For this reason, foundations have occupied a unique position in the U.S. to initiate change in the non-profit sector without interference from federal or state government.

Foundations have a direct influence on higher education. In 2004-2005, there were an estimated sixty thousand foundations, with a significant portion of their funds awarded to colleges and universities (Harcleroad & Eaton, 2005). Although criticized for the shifting nature of foundations' interests in what they choose to fund, the Foundation Center Report stresses that "the constant change in the interest of foundations reflect[s] the changing needs of the society and higher education's responses" (Harcleroad & Eaton, 2005, p. 257). This aspect of foundations arguably makes them "uniquely qualified to enable innovation" in higher education institutions (Anheier & Toepler, 1999, p. 15) as well as to help those institutions take social risks (Anheier & Toepler 1999).

However, the literature regarding foundations as an external influence for change in higher education is mixed between supportive perspectives and critical perspectives (Clotfelter, 2007). On a broad institutional level, and one that is most applicable to this study, Harcleroad and Eaton (2005) suggest "external associations [such as foundations] can play an important role in providing badly needed alternative funding and/or more effective operational use of existing funds" (p. 255). Specifically, foundations are considered to be "a valuable resource for institutions with budget problems" (Harcleroad & Eaton, 2005, p. 257). In other words, the funding from foundation grants can

contribute to the operating budget so that the college may have the ability to provide particular services or programs.

Representing the more critical perspective, Clotfelter (2007) suggests that the relationship between higher education and foundations is a "model of competing interests" (p. 222). For example, although foundations strive to "devote their efforts to changing society" (Fleishman, 2007, p. xiv) they "rarely seek to measure, or even comprehend, the extent of the changes they actually produce" (Fleishman, 2007, p. xiv), keeping universities and colleges accountable for any outcomes. Also, critics perceive foundations as limited in their ability to facilitate transformative change. A study by Proietto (1999) revealed the one foundation program officer's interpretation of the impact of foundation funds on institutional change:

> There's a difference between someone who scores the points and someone who makes the assist. Philanthropy makes the assist. It doesn't score the points. The people in the field, who care about it from the beginning, are the ones who make the transformation happen. Philanthropy just assisted in that process. (Proietto, 1999, p. 281)

Despite the divide between supportive and critical perspectives of foundations in the literature, what has been consistent in the literature is the perspective that many foundations have significant, but various, financial effects on colleges and universities or units within those institutions. As Harcleroad and Eaton (2005) acknowledge, "this is particularly true in the funding of colleges and universities, since the American system is based on income from varied sources" (p. 255). Foundations contribute to the functioning of colleges and universities on different levels. Foundations can support research that the government does not support (Rothschild, 1999). In addition, foundation grants can be instrumental in establishing new academic fields or redirecting current or old fields of

study (Harcleroad & Eaton, 2005). Overall, the literature suggests that foundations provide more benefits than harm to colleges and universities.

Now that I have discussed the primary organizational factors and foundations as an external factor that can affect change in colleges and universities, I turn to a more detailed discussion of the relationship between organizational change and sustainability.

The relationship between organizational change and sustainability. There are several connections between change and sustainability in the organizational change literature. The issue of sustainability often comes out of conversations about institutional or organizational change (B. Clark, 2004; T. Clark, 1968; Levine, 1980; Lueddeke, 1999), although the term used more often is institutionalization. As mentioned before, although I draw a distinction between the terms institutionalization and sustainability, these terms have been used interchangeably in a majority of the organizational change literature. Therefore, I drew upon the literature that employed the term institutionalization to enhance my understanding of sustainability.

There is consensus in the literature that organizations undergo change in order to sustain a particular program or initiative. However, the findings and conclusions from the research that links organizational change with sustainability appear to depend upon whether one views change as an outcome or as a process. For example, some scholars, particularly in the fields of health sciences, conceptualize organizational change as a result of institutionalization because organizational change first requires the institutionalization of innovative ideas. In other words, institutionalization leads to organizational change (Brownson, Kreuter, Arrington, & True, 2006; Powers, 2000; Richards, O'Shea, & Connolly, 2004; Wilson & Kurz, 2008). In this instance,

organizational change is considered a product or goal (i.e., an outcome, end result, or an objective that has been accomplished). A visual representation of this conceptualization of change is depicted below in Figure 2.1.

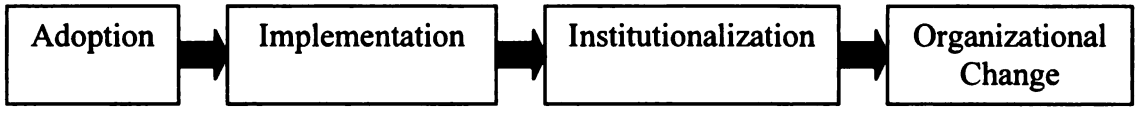


Figure 2.1: Product View of Change

Other scholars, in education for example, tend to view organizational change as a process, in which institutionalization is considered either one of several steps or stages in the overall change process (e.g., Clark, 2004; Levine, 1980), or view institutionalization as what an institution undergoes during change (Kezar, 2001, 2007, 2008; Kezar & Eckel, 2002a, b; Maier & Weidner, 1975). Change is viewed as an entire process rather than an outcome. A visual representation of this type of change is depicted below in Figure 2.2.

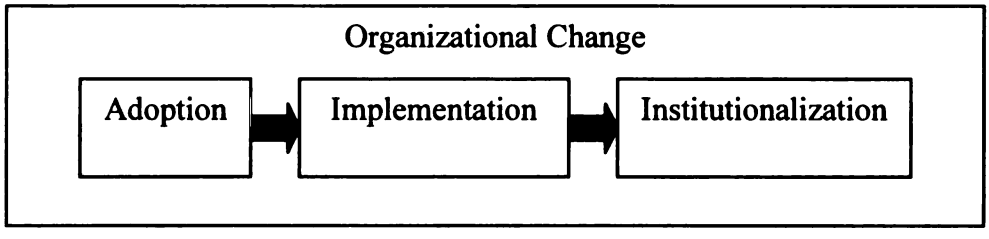


Figure 2.2. Process View of Change

As I previously mentioned, the literature above utilizes the term

institutionalization rather than sustainability, without making distinctions between the two. Thus one may ask the question, how do ideas of institutionalization coincide with sustainability? Institutionalization can be viewed as a part of the organizational change process for achieving sustainability. For the purposes of my study, I view organizational change as a process, and institutionalization is considered a part of the change process.

In summary, there are two differing perspectives on change—either as an outcome or as a process. This study assumes that organizational change is a process to achieve sustainability. In addition, institutionalization can be a part of the organizational change process. In the next section, I review the literature on the empirical work on sustaining change in higher education and the key findings from that literature.

Studies on sustaining change in higher education. Few empirical studies have examined sustained change in higher education. Nevertheless, there are notable examples that informed my study. One example represents more theoretical implications; another represents more action-oriented implications.

Theoretical ideas for sustaining change. Clark's (2004) multi-case study of sustained change in the mid-1990s suggests that sustainability is part of the cycle of change in colleges and universities and that for sustained change to occur, institutions must be able to adapt and be flexible. Clark concludes "sustained transformation depends on a 'steady state' infrastructure [e.g., central administrative unit] that pushes for change" (p. 5). Clark asserts that although change requires an institution to be flexible and adaptable, *sustaining* change requires an infrastructure or core that is stable or solid enough to continually push for and remain committed to that change. In other words, according to Clark, the key to sustaining change is a stable infrastructure or core and

focusing on developing this core or infrastructure should be the goal of an institution. Therefore, Clark suggests that the infrastructure should exhibit the following behaviors: 1) re-enforcing interaction, 2) perpetual momentum, and 3) ambitious collegial volition. I briefly discuss these ideas next.

Re-enforcing interaction. According to Clark (2004), "sustained change in universities is rooted in changes on a number of fronts that lead to a combined infrastructure in which the substantial alterations are mutually supportive" (p. 92). Clark stresses the importance of the interlocking or integrating newly institutionalized elements with old elements on campus. The integration of new with old, according to Clark's findings, prevents the institution from "sliding back to the old status quo" (p. 92), or returning to the daily practices and routines prior to the initiated change. Moreover, Clark asserts that a check-and-balances form of interaction between collegial and managerial styles of leadership needs to be in place in order to maintain balance between the different interests regarding the change initiative. In other words, a balance between the needs expressed by the faculty and those expressed by administration must be maintained in order for the change initiative to become integrated into a college or university.

Perpetual momentum. Another key element is the institution's ability to maintain perpetual momentum or energy to move the change initiative forward. Clark (2004) asserts that "momentum is acquired from the cumulative thrust of small steps" (p. 93) or the accumulation of small changes or incremental adjustments. In other words, Clark stresses the importance of "small incremental gains" (p. 93) based upon the application of knowledge learned through experience and discourages expectations that change occurs

based upon a new idea or "lucky throws of the dice in selecting one major investment" (p. 93)

Ambitious collegial volition. Finally, Clark (2004) describes a more obscure concept that institutions need to sustain change—ambitious collegial volition. Clark (2004) defines ambitious collegial volition as "the will to take the risk of being highly proactive, even entrepreneurial, despite contrary, even hostile academic questioning about the propriety of this choice was evident in all the institutions studied" (p. 94). In other words, Clark emphasizes the role of a collective, institutional will, or what I would describe as a strong institutional commitment, that underlies an institution's ability to maintain perpetual momentum and integration of the new program.

In sum, Clark (2004) asserts that sustainability of change in colleges and universities depends on the presence of re-enforcing interaction, perpetual momentum, and ambitious collegial volition. Although empirically based, Clark's (2004) findings are more abstract and do not easily translate into practice.

Organizational actions for sustaining change. In contrast, Lueddeke (1999) attempts to provide specific organizational strategies for sustaining change based upon organizational theory and learning theory models. Lueddeke (1999) provides a conceptual model to sustain change in colleges and universities and advises that an institution should consider particular actions in order to sustain change. First, colleges and universities should identify the needs of the institution through a needs assessment and analysis. Lueddeke (1999) suggests that through the identification of institutional needs, institutions can identify the actions that will bring about changes in performance. Lueddeke (1999) also states that the identification of an institution's human resource

needs paves the way for good working relationships between administration and staff. Lueddeke (1999) asserts that good working relationships between administration and staff facilitates a culture of trust and momentum regarding the change initiative. Without trust and momentum, according to Lueddeke, the individuals within the institution are less likely to embrace the change initiative to make it a part of the institution's culture.

Second, Lueddeke (1999) suggests that institutions develop a research team to investigate how "others" have addressed the identified need. Lueddeke (1999) also states that the benefits of institutions engaging in peer-comparative approaches include the acquisition of new information that may refine their understanding of what is needed. In addition, the approach provides the institutions with a gauge of what may or may not work at peer institutions, and also allows the institutions to survey the market conditions.

Lueddeke's (1999) third action is the formation and development of a change strategy for the institution. Lueddeke (1999) emphasizes the use of multiple frames, as suggested by Bolman and Deal (2003) in the development of a strategy. In addition, Lueddeke (1999) emphasizes the use of collaborative leadership (Bensimon & Neumann, 1993) and the use of teamwork in creating the change strategy to ensure that power is shared and "silent assumptions" on campus regarding the change strategy are brought forward.

The fourth action is the acquisition of the necessary resource support and resource capacity. Lueddeke (1999) suggests that support is dependent upon whether senior management views the change initiative as beneficial to the institution. Moreover, if the initiative proves to be successful, central administration is more likely to find the means to permanently fund the initiative.

Lueddeke's (1999) fifth action is implementation of the change initiative. During this phase of the change, Lueddeke (1999) emphasizes the importance of team leadership. In particular, Lueddeke (1999) suggests that team thinking and team learning (Bensimon & Neumann, 1993; Senge, 2006) allow the change to become better incorporated into the institution's culture.

Finally, Lueddeke (1999) emphasizes the role of formative and summative evaluation of the change initiative. Lueddeke (1999) suggests that administrators pay particular attention to how one area of change on campus affects other areas on campus.

In sum, Clark (2004) and Lueddeke (1999) represent differing perspectives on sustaining change. There are abstract elements to sustaining change—such as re-enforcing interaction, perpetual momentum and ambitious institutional volition; there are also more practice-oriented dimensions to sustaining change—such as identifying needs, developing a strategy, building a permanent resource capacity, and evaluating. Although helpful in some respects, there are empirical and conceptual gaps in the literature regarding the sustainability process of an initiative beyond initial funding. In what follows, I discuss another perspective of change that is particularly relevant to understanding of how change can be sustained. This perspective incorporates ideas of organizational learning.

Organizational learning and change. Boyce's (2003) literature review of innovations in higher education noted similarities and parallels in the literature on change and the literature on organizational learning. Boyce concluded that missing in higher education literature on sustained innovative change is the application of organizational learning ideas. With the exception of Lueddeke's (1999) work, which considered more

specifically the role of individual learning theory in sustaining organizational change, the link between organizational learning and sustained organizational change should be further explored. In this section, I present key ideas from the literature on organizational learning and discuss how these key ideas are relevant to my research study.

Overall, there are two camps of scholarship on organizational learning (Argyris, 1999). On the one hand, there is the practice-oriented, prescriptive literature on organizational learning (labeled "the learning organization literature") which focuses on understanding the elements of what would be considered to be the 'ideal' learning organization (Argyris, 1999; Argyris & Schon, 1996). On the other hand, there is the scholarly literature of "organizational learning," which focuses on questions such as "what does 'organizational learning' mean?" and "How is organizational learning at all feasible" (Argyris, 1999; Argyris & Schon, 1996). Because of the topical nature of this study, I have assumed a practice-orientated position on the notion of organizational learning. Therefore, aligned with the practice-oriented literature, I assumed that organizational learning is feasible, has meaning, and that an organization can learn in a productive manner (Argyris, 1999).

How can the literature on learning organizations provide a lens for understanding how institutions sustain programs in a changing learning environment? According to Argyris and Schon (1996), organizational learning occurs when the following two circumstances are present: 1) there must be a change to an organization's theory-in-use, which are the actions or practices that occur within the organization, and 2) the learning, discoveries, inventions and evaluation must be recorded in the organizational memory, which serves as the basis for the organization's theory-in-use. Argyris and Schon (1996)

also propose that there are two types of organizational learning—single-loop learning and double-loop learning. I briefly describe and discuss the differences between each type below.

Single-loop learning. Single-loop learning occurs in a situation in which corrections in behavior occur "without questioning or altering the underlying values of the system" (Arygris, 1999, p. 68). The example frequently used to demonstrate this type of learning is a thermostat. Because a thermostat is programmed to detect variances in temperature, and merely adjusts its "behavior" by turning the heat on or off as a reaction, it is considered a single-loop learner because it does not question why the temperature might be either too hot or too cold, nor does it question why it was programmed the way in which it was programmed.

In a college or university, this type of learning would be reflected in how an administrator adjusts a program. For example, single-loop learning would be reflected in an administrator who relies upon lecture formats for workshops. The program evaluation might reveal that participants find the workshops boring, irrelevant, or not a good use of their time. The administrator, using single-loop learning, might try to provide handouts in response to the evaluations. However, the administrator's overall approach to solving the problem is unaltered by providing more of the same—more lecture style workshops and more material. The administrator, using single-loop learning, does not consider that the style in which workshop is offered should also be adjusted to include other pedagogical methods other than lecture approaches.

Double-loop learning. Double-loop learning occurs in a situation where correction or adjustment of behavior occurs when the system's methods or programming

values are questioned first, and then appropriate actions are implemented (Argyris, 1999). In other words, the correction to behavior does not originate from doing more of the same, as displayed by the administrator who gives handouts to participants attending a lecture style workshop. Double-loop learning would require the administrator to restructure the way in which the workshop is conducted by providing other delivery methods than lectures. The administrator would need to challenge his or her assumptions that the lecture style is an effective approach for a workshop. New priorities and norms would need to be created. Arygris and Schon (1996) suggest that this type of learning leads to more effective and lasting change.

In a sense, double-loop learning is the type of change advocated by scholars in higher education. In scanning the literature on higher education, themes such as the need to be adaptable and flexible (Clark, 2004; Sporn, 1999), to rethink current structures and experiment (Bean, 1998; Boyce, 2002), to regularly revisit institutional goals and priorities (Dickeson, 1999; Tierney, 1998; Kirp, 2003), engage in ongoing institutional assessment (Ewell, 2008; Palomba & Banta, 1999; Peterson, 1999), and support the development of the students, faculty and administrative staff (Baldwin & Blackburn, 1981; Gappa, Austin, & Trice, 2007; Sorcinelli, Austin, Eddy, & Beach, 2006) are prevalent. Similarly, these "calls" parallel the practice-oriented literature's description of an ideal learning organization, which according to Argyris and Schon (1996), exhibit the following characteristics: 1) organizational adaptability and flexibility; 2) ability to avoid "stability traps" and a propensity to experiment; 3) readiness to rethink the organization's goals, purposes, and approaches for attaining those goals; 4) a willingness to question and evaluate processes and progress in the organization; and 5) an understanding that

organizations are comprised of people who are capable of and willing to learn in order to help and support the organization.

In sum, the ideas from the organizational learning literature are consistent with the ideas of sustained or successful organizational change. In fact, the ideas seem to be remarkably similar in nature. Both emphasize the need to be adaptable and flexible, rethink current structures and experiment, regularly revisit institutional goals and priorities, engage in ongoing institutional assessment, and support organizational and human development. In addition, Kezar (2001) observes that within the organizational learning literature, institutional commitment is identified as a factor necessary to facilitate change.

Summary. Up to this point, I have discussed several ideas about how organizational change is sustained. I first discussed organizational change in colleges and universities and the unique features of an academic institution that affect the change process. I also discussed how organizational change and sustainability are related. I then discussed how organizational change has also been conceptualized as a process through which an organization learns.

As previously mentioned, I discussed organizational change because colleges and universities need to undergo *some* form of change in order to sustain a new program. In order to understand what contributes to sustaining a program, I discussed what contributes to sustaining organizational change. Although these larger perspectives on what contributes to sustained change are informative, the focus of these perspectives remains at the institutional level of sustained change. Because my study examined program sustainability, I also consulted the literature on program sustainability to

understand what program level factors may contribute to sustainability. Therefore, from this, I move from the discussion of perspectives on organizational change and sustaining organizational change, to a discussion focused on the factors that contribute to sustaining programs within institutions.

Factors that Contribute to Sustaining Programs

In this section, I discuss the literature on program sustainability within an institution. For this part of my literature review, I relied heavily upon the literature from the fields of higher education, K-12 education, and health promotion. I found the term "institutionalization" was prominent in the higher education and K-12 education literature, particularly between 1980 and 2000. The term "sustainability" was predominantly used in the field of health promotion. Although I have chosen to utilize the term sustainability and its particular definition as noted in Chapter One, I draw upon the literature that includes both terms because I view institutionalization as a part of the sustainability process.

As a point of clarification, my review of the literature on program sustainability and institutionalization does not include studies on program implementation. Unlike the literature that focuses on the influences that contribute or inhibit program implementation, or the implementation process of a program in an institution, the literature on institutionalization or sustainability assumes program implementation. In what follows, I synthesize the literature on program institutionalization and program sustainability from the K-12 education, higher education, and health promotion fields to note the key findings and influences that are suggested to affect program sustainability.

Contributors to institutionalization and sustainability. Some studies have focused on understanding the factors contributing to failed institutionalization or the barriers to institutionalization (Levine, 1980). Other studies have examined both successful and less successful cases of institutionalization, suggesting that institutionalization is not simply successful or unsuccessful, but rather that institutionalization falls somewhere on a continuum between high institutionalization and low or absent institutionalization (Huberman & Miles, 1984; Levison, 1994; Pontbriand, 2002). In this section, I highlight the major themes identified in the literature as contributors to program institutionalization or sustainability.

Organizational fit. One of the themes in the literature that contributes to the institutionalization or sustainability of a program is the program's fit with the institution (Levine, 1980; Levison, 1994; Pontbriand, 2002; Steckler & Goodman, 1989). For example, Levine's (1980) study of failed institutionalization in colleges found that incompatibility of the program with the institution contributed to failed institutionalization of innovative programs. In a different study of the institutionalization of community programs in K-12 settings, Levison (1994) found that philosophical fit, as demonstrated in the program's ability to have a direct connection with the core values of the school or curriculum, was the most influential factor contributing to the program's ability to be institutionalized. Organizational fit was also identified as a contributing factor in Steckler and Goodman's (1989) study of the sustainability of health programs beyond initial funding. Hence, the concept of "organizational fit" as a factor contributing to both institutionalization and sustainability of a program has been found in a variety of settings.

Institutional integration. A second theme identified in the literature is the program's ability to become an integral part of the institution (Bauld, Judge, Barnes, Benzeval, MacKenzie, & Sullivan, 2005; Huberman & Miles, 1984; Johnson, Hays, Center, & Daley, 2004; Levison, 1994). Therefore, a program's ability to become integrated within the institution is more likely to become institutionalized or sustained. Huberman and Miles (1984) identified the importance of a program's ability to shed its novelty or experimental status and become a durable component on campus in order to be integrated into the institution. Levison (1994) characterize institutional integration as the program's ability to find an unambiguous place in the institution's objectives. In other words, students, parents, and staff members would be able to say that the program is an identifiable component of the school or the curriculum. Other researchers characterize integration as the program's ability to find a "home" or a permanent place within the organization (Bauld et al., 2005; Johnson et al., 2004). In general, the idea of the program's ability to become a permanent component of the institution has been suggested in the literature to be a factor contributing to institutionalization or sustainability.

Flexibility. A third theme in the literature on program institutionalization and sustainability is the idea of the flexibility, either on the part of the institution or the program itself (Levine, 1980; Levison, 1994; Scheirer, 2005; Wharf Higgins, Naylor, & Day, 2008). For example, Levison (1994) suggests that adaptation on the part of the institution enhances the program's ability to become institutionalized. Similarly, Huberman and Miles (1984) suggest that organizational transformation is necessary for program institutionalization. As part of an institution's flexibility, Wharf Higgins, Naylor and Day (2008) emphasize the importance of an institution's ability to create and

implement the necessary policies and infrastructures to accommodate the new program. Meanwhile, Scheirer (2005) suggests that the program itself should be flexible and adapt to its organization. Overall, the literature documents the need for flexibility either on the part of the institution or the part of the program.

Organizational stability. A fourth theme in the literature is seemingly contradictory from that which was mentioned above. Some research suggests that the stability and maturity of the organization contributes to the sustainability of a program (Huberman & Miles, 1984; Steckler & Goodman, 1989). For example, Steckler and Goodman (1989) suggest that mature organizations provide a stable foundation for new programs. In addition, although Huberman and Miles (1984) found that organizational transformation was necessary for program institutionalization, the researchers also found that personnel stability was a factor in the institutionalization process. Moreover, Huberman and Miles (1984) found that institutionalization failed in institutions where internal resistance to the program was prevalent. In sum, the notion of a relatively stable organization seems to be another theme that contributes to the institutionalization or sustainability of a program.

Leadership. A fifth theme in the literature that is suggested to contribute to program institutionalization or sustainability is the presence of leadership (Huberman & Miles, 1984; Levison, 1994; Steckler & Goodman, 1989). For example, Huberman and Miles (1984) emphasize the role of stable and pressing leadership demonstrated by an institution's administration. In addition, Huberman and Miles (1984) suggest that leaders need to be able to prevent internal resistance to the program and decrease tensions between teachers and administrators in order for the program to become institutionalized.

Levison (1994) focuses on the leadership exhibited at the program level, suggesting that institutionalization is influenced by the presence of a strong program leader. Similarly, Steckler and Goodman (1989) suggest that program sustainability is influenced by the organization's ability to foster a program champion. Therefore, whether the leadership is from upper administration or from the program level, the literature suggests that leadership is an important role in the institutionalization or sustainability of a program.

Support. A sixth theme in the literature that is suggested to contribute to program institutionalization or sustainability is support, whether it is support from those that the program is intended to serve, from upper or central administration, or other key constituencies in the community (Huberman & Miles, 1984; Levison, 1994; Scheirer, 2005). For example, Huberman and Miles (1984) found that lack of support or feelings of indifference toward a program led to the program's inability to become institutionalized. Meanwhile, Levison (1994) found that the loyal support of students for a K-12 community service program as well as administrative support contributed to the schools' institutionalization of the program. Likewise, Scheirer (2005) found that support from community stakeholders contributed to the sustainability of health promotion programs within the community. Essentially, the literature suggests that support provided by a community or an influential group contributes to the institutionalization or sustainability of a program.

Provision of benefits. A seventh theme in the literature that is suggested to contribute to program institutionalization or sustainability is the program's ability to provide benefits (Huberman & Miles, 1984; Levine, 1980; Scheirer, 2005). For example, Levine (1980) found that a program's decline in its profitability and benefits contributed

to failed institutionalization. Scheirer (2005) found that program sustainability was enhanced when the benefits of the program are provided to clients in ways that are readily perceived. Meanwhile, Huberman and Miles (1984) also found that a program's ability to achieve widespread use and benefits across the institution contributed to the program's institutionalization. Hence, the literature suggests that the perception and distribution of the program's benefits facilitate the institutionalization or sustainability of a program.

Environment. A final theme in the literature suggests that environment affects the ability of an institution to institutionalize or sustain a program (Huberman & Miles, 1984; Levison, 1994). Huberman and Miles (1984) found that institutions that did not institutionalize their programs were institutions that implemented the programs during times of "environmental turbulence." Levison (1994) had similar findings that suggested the program's implementation timing with unique external situations occurring within the school's environment inhibited the institutionalization process.

In summary, eight themes describing the influences contributing to program institutionalization and sustainability are present in the literature. Although the themes are helpful in providing an understanding of what influences the sustainability of a program, it is difficult to conceptualize which factors may be more influential than others in the sustainability process.

Shediac-Rizkallah and Bone's framework. Prior research collectively has identified many possible factors that contribute to the sustainability of a program. However, the factors are numerous, varied, and at times contradictory. Moreover, because the literature spreads across different fields, the findings reveal different sets of

factors. Thus, it can be difficult to discern which factors are more prominent in the process to sustain a program in colleges and universities.

Shediac-Rizkallah and Bone (1998) posit that there are three primary factors that contribute to the sustainability of a program past initial funding: 1) project design and implementation factors, 2) factors within the organizational setting, and 3) factors in the broader community environment. In their model, each of the three factors contributes to the ability of a program, or project, to be sustained past its funding period, with some factors affecting other factors. An illustration of this model, as conceptualized by Shediac-Rizkallah and Bone (1998) is provided below in Figure 3.

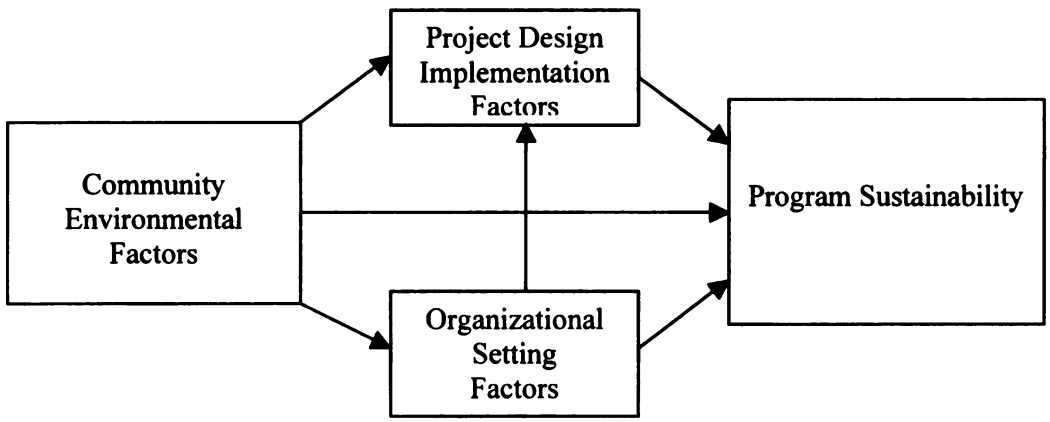


Figure 2.3. Shediac-Rizkallah and Bone (1996) Framework For Program Sustainability

Based upon research in the field of health promotion, Shediac-Rizkallah and Bone (1998) frame their factors as sets of issues or sub-factors that administrators of community-based programs should consider as guidelines for sustainability planning.

At the project or program level, Shediac-Rizkallah and Bone (1998) provide six sub-factors that affect program sustainability. These sub-factors include: 1) the negotiation process between the funder and the grant recipient to implement the project, 2) the project's effectiveness and visibility, 3) the duration of the grant period, 4) the project's financial situation prior to and during the grant period, 5) the project type or the project's intent and design, and 6) the availability of professional or staff training to administer the program.

At the organizational or institutional level, Shediac-Rizkallah and Bone (1998) provide three sub-factors that affect program sustainability. These include: 1) the institution's strength in terms of its maturity, stability and resources, 2) the integration of the project with existing programs/services (if done at all), and 3) the quality of leadership or presence of a program champion.

Finally, at the community or broader environmental level, Shediac-Rizkallah and Bone (1998) provide two sub-factors that affect program sustainability. These sub-factors include: 1) socioeconomic and political factors that may affect the project and institution as well as directly affect the sustainability of the project itself, and 2) level and depth of community participation and involvement in sustaining the project. A summary of these 11 issues or sub-factors is depicted below in Table 2.1.

Table 2.1. Shediac-Rizkallah and Bone's (1998) sub-factors of the program sustainability process.

Project level sub-factors	• Project negotiation process • Project effectiveness • Project duration • Project financing • Project type • Training
Organizational level sub-factors	• Institutional strength • Integration with existing programs/services • Program champion/leadership
Environmental level sub-factors	• Socioeconomic and political considerations • Community participation

Although helpful in conceptualizing sustainability as a three-category model with project, institutional/organizational and environmental factors, there is a drawback to this model. The model is based upon research conducted within the context of community-based health promotion programs, which is distinct from the context of higher education. In addition, although the model displays three primary areas that affect sustainability, a closer look at the model reveals 11 issues or factors that contribute to the sustainability of a program. Therefore, because of the large number of factors represented in the model, it is difficult to determine which factors might have more of an effect on program

sustainability over other factors. However, this framework appears to be one of the more comprehensive explanations of program sustainability. In addition, the model is both broad and comprehensive enough to be adaptable to higher education.

Overall, the findings from the literature are helpful to understand what factors may affect sustainability at colleges and universities. Factors such as the importance of support from other stakeholders in the community may not be applicable, nor does the notion of "clients" readily translate to the higher education context. Nevertheless, the basic framework from Shediac-Rizkallah and Bone (1998) is a reasonable starting point to view sustainability in a higher education setting.

Unanswered Questions: What's Missing in the Literature

In this section, I describe the gaps that are present in the literature and how my study intended to fill in those gaps. I have classified these gaps in the literature by the institutional setting in which a majority of the studies were conducted, the case sampling, the scope of the topic, and the studies' research design.

Institutional setting. Most of the literature written about institutionalization or sustainability within a higher education context is from a large research university standpoint. Operationally, liberal arts colleges may be viewed as universities on a smaller scale; however, in many cases, liberal arts colleges operate differently *because* of their smaller scale. Administratively, liberal arts colleges are much less decentralized because of their size. Dean and associate dean positions tend to be ones that are rotated amongst the faculty; administrative support staff tends to be small. Lessons learned from large research universities regarding 'better ways to administer a college' do not always translate easily to small liberal arts colleges. This is particularly the case when the lessons

learned require additional human or fiscal resources, resources that are not easily acquired at a small liberal arts college. Considering there are over 600 Liberal Arts Colleges (Carnegie Foundation, 2005, http://www.carnegiefoundation.org/classifications/index.asp?key=805) in the United States, it is inappropriate to assume that lessons learned from case studies conducted exclusively at research universities can be easily transferred to a small college setting.

Case sampling. The cases utilized in the major contributory works of Levine (1980) and Clark (2004) represent extreme cases of institutionalization or sustainability. For example, the cases utilized were institutions undergoing large transformational change, with highly innovative programs. But not all scenarios involving the issue of sustainability are as drastic as the cases investigated in these prior studies. For example, what if the "risk" confronted by the institution really is not that great of a risk? In fact, what if the program under investigation is a low-risk opportunity? Or what if the institutions are not necessarily seeking 'major improvement,' but rather, slight improvement? Would the findings from Levine (1980) or Clark's (2004) work be supported by the findings from my current study?

Impact of funding on sustainability. The prominent work by Clark (2004) and Levine (1980), for example, does not address the issue of funding (e.g., initiatives started with soft monies) which is directly related to the creation of the programs examined in my study. Funding is an issue that affects the sustainability of a program (Bergman, 2000; Billig, 2000; Fountain, 2006; Ward, 1997). An institution has a finite amount of resources to work with to operate the institution; therefore, money matters. If funds for a program are terminated, then the program also may be terminated. When a program does

not have central administration's support, funding becomes even more of an issue in sustaining a terminally funded program. With the exception of the empirical studies in the field of health, the funding issue has been relatively unconsidered as part of the topic of sustainability.

Research design. With the exception of Clark (2004) and Levine (1980), the majority of studies on sustainability in educational settings have utilized a single-case study design (e.g., Fountain, 2006; Teraguchi, 2002). Although insightful in understanding elements that contribute to the sustainability of programs, there is a notable disadvantage in utilizing single case study designs. When the insights are limited to one case, it can be challenging to make sense of the significance of highlighted factors because there is nothing to compare or contrast with those findings. Thus, the present study employed a multi-case study design to address the variance in forms of sustainability (Merriman, 1998; Yin, 2009).

In sum, research that examines program sustainability beyond the initial grant period in different types of higher education institutions, draws upon cases that represent the polar ends of a spectrum as well as those in the middle, and utilizes a multi-case study design is needed to enhance current knowledge on the topic.

Overview of the Conceptual Framework

Because of the comprehensive representation of program sustainability by Shediac-Rizkallah and Bone (1998), I chose to incorporate their model to guide my study. Although the guiding conceptual model is from the field of health promotion, I felt that the three levels—project level, institutional level, environmental level—are applicable to the ways in which scholars in higher education conceptualize intra-

institutional relationships and processes in colleges and universities. For example, it parallels the ideas in the conceptual frameworks grounding studies that examine relationships utilizing ecological models (McDaniels, 2008; Renn, 2004) as well as literature that speaks to the issue of balancing the differing goals present in a college—internal programmatic versus broader institutional goals (Keeling, Underhile, & Wall, 2007) versus even broader environmental or societal goals (Albertine, Alfred Presily, & Reigelman, 2007). Therefore, the fact that Shediac-Rizkallah and Bone's (1998) model describes relationships in a way that seemed compatible with current ways of thinking about intra-organizational relationships in higher education led to my decision to include their model in my conceptual framework for this study.

Before I describe the ways in which my conceptual framework guided my study, I briefly revisit my definition of sustainability as it pertained to my study. Because sustainability has been defined in various ways across the literature, I feel it is important to clarify how I define sustainability in my study.

Defining sustainability. As previously mentioned, some scholars have defined sustainability not merely as an "either-or" outcome (i.e., being sustained as program versus being not sustained as a program). Instead, sustainability can be viewed on a continuum with high degrees of sustainability and low degrees of sustainability (Huberman & Miles, 1984; Levison, 1994; Pontbriand, 2002).

Informed by these varied notions of sustainability, I define sustainability as the capacity of an institution to maintain an initiated program at a level that will provide ongoing benefits after the termination of initial funding. Therefore, how well an

institution adapts to change while maintaining some component of an original idea (in this case a program) is the basis of my definition of sustainability.

The conceptual model for the study. My conceptual framework draws upon the model by Shediac-Rizkallah and Bone (1998). My conceptual framework is portrayed below in Figure 2.4.

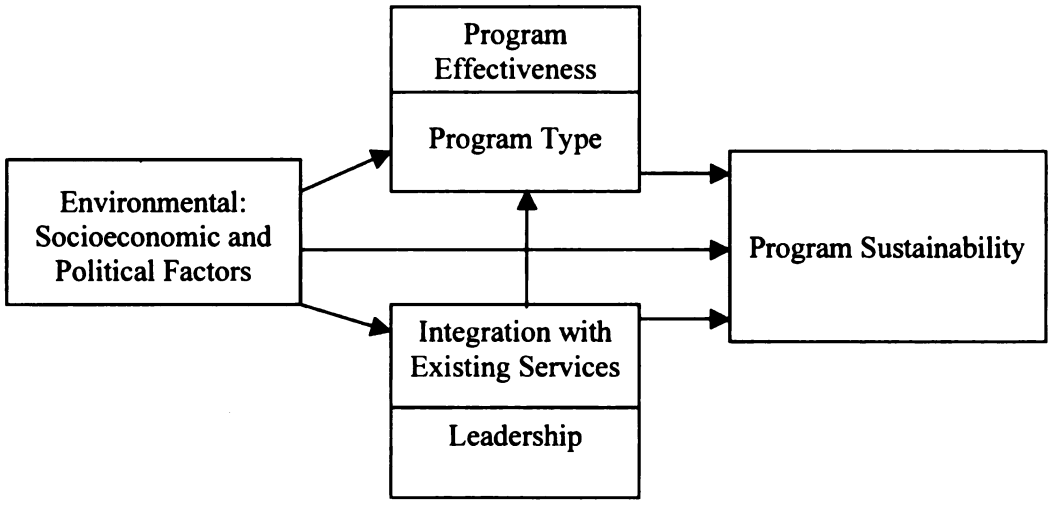


Figure 2.4. Guiding Conceptual Framework for the Study

As previously mentioned, Shediac-Rizkallah and Bone (1998) suggest that there are sustainability factors within each program, institutional, and environmental level. I borrowed five of the original 11 factors that are noted in Shediac-Rizkallah and Bone's model to include in my framework. These five factors would represent the sustainability factors guiding my study: 1) program effectiveness, 2) program type, 3) integration into existing programs or services, 4) leadership or program champion, and 5) environmental, socioeconomic and political considerations (See Table 2.2).

Table 2.2. The sustainability factors included in the guiding conceptual framework.

Program factors	• Program effectiveness • Program type
Institutional factors	• Integration with existing programs/services • Leadership/program champion
Environmental factors	• Socioeconomic and political considerations

Although I discuss in greater detail how I narrowed the factors from 11 to five for my study in Chapter Three, here I provide a brief discussion of each factor that I have included in my guiding conceptual framework. It should be noted that although Shediac-Rizkallah and Bone (1998) frame the sustainability factors as factors *and* issues, and thus blurring the boundary between what is a "factor" and what is an "issue," I have chosen to utilize the term "factor" throughout my study.

Program effectiveness. The first sustainability factor is the program effectiveness of the initiative. For example, the initiative would be considered effective if the participants in the study perceived the initiative to be successful or providing benefits to the institution. In addition, effectiveness could be determined by the visibility of the initiative on campus. Finally, effectiveness would be determined by examining the desirable and undesirable effects of the initiative on the campus.

Program type. The second sustainability factor is program type. For example, program type would be determined by understanding whom the initiative is intended to serve. In addition, the type of problem that the program is intended to prevent or resolve would contribute to an understanding of the type of initiative that was implemented.

Integration with existing programs or services. The third sustainability factor is the integration of the initiative with existing programs or services on campus. For example, the initiative's integration would be determined by examining the extent to which the initiative is a part of the operating practices of the institution. The initiative's integration would also be determined by examining the extent to which the initiative's goals or mission are compatible with the college's mission.

Leadership or program champion. The fourth sustainability factor is the extent to which leadership influences the sustainability. This includes identification of a program leader or champion. In addition, understanding the attributes or traits of the program leader or champion would assist with understanding how leadership influences the sustainability process. Other questions concerning leadership would include: What actions did the champion take to advance or support the Mellon initiative? Is the program endorsed from the top? And how well is the program supported by the institution?

Socioeconomic and political considerations. The final factor is the extent to which socioeconomic and external political considerations influence the sustainability process. For example, the general socioeconomic and political environment affecting the sustainability of the program would be examined. In addition, the extent to which the external economic or political influences support or hinder the sustainability process could be examined to determine this factor's affect on sustainability.

Because the original model by Shediac-Rizkallah and Bone (1998) was created based upon research findings in the field of health promotion, there are precautions that I must acknowledge in my adoption of this model as part of my conceptual framework. First, as depicted in the model, environmental factors play a direct role in program

sustainability as well as an indirect role through program and institutional factors. Because health promotion programs exist within community settings, it makes sense that environmental factors would have both direct and indirect effects on program sustainability. However, whether or not environmental factors play an equally important role in my study, which is situated in the context of higher education and specifically liberal arts colleges, is uncertain. In particular, I did not anticipate that community participation, a factor presented in the Shediac-Rizkallah and Bone (1998) model, would be a factor relevant to my study. In addition, Shediac-Rizkallah and Bone's model is unclear as to whether or not the effects on program sustainability are equal across the three factor levels.

Second, Shediac-Rizhallah and Bone's (1998) model has clear one-way directional effects between and among factors. For example, institutional factors have an effect on program factors, but program factors do not have an effect on institutional factors. There are no two-way directional effects in the original model, where program and institutional factors have simultaneous effects on each other. Directional effects could play out differently in the context of higher education because of the relative flat administrative structures of colleges. Because I was unsure of the extent to which the model, as conceived by Shediac-Rizkallah and Bone (1998), would represent the cases in my study, I left the model intact and unaltered for my conceptual framework.

Overall, however, I felt it was reasonable to anticipate that the key factors affecting program sustainability in a higher education context could parallel the model as presented by Shediac-Rizkallah and Bone (1998). Therefore, I anticipated that program effectiveness and type are key program level factors that would affect sustainability; I

anticipated that program integration and leadership are key institutional factors that would affect sustainability; and I anticipated socioeconomic and/or political considerations would be environmental factors that would affect sustainability, although possibly less of a factor than the program or institutional factors because, unlike public colleges or universities, liberal arts colleges do not receive direct support from the state (Breneman, 1994).

Summary. In this chapter, I presented the major bodies of literature that have informed my research study. This was presented in four sections. In the first section, I discussed the organizational and external factors that affect change in higher education institutions. I also discussed the relationship between organizational change and sustaining change within higher education. In addition, I discussed the elements that contribute to sustained organizational change and how organizational learning is useful in understanding sustained change. In the second section, I discussed the scholarly literature on program sustainability after initial funding and the key findings in that literature that attempt to explain how program sustainability is achieved. In the third section, I discussed what are the gaps in the current literature on program sustainability. Finally, I discussed my conceptual framework, based upon the reviewed literature, and how my framework has guided my topic and research questions.

From this point forward in the manuscript, I present the procedures by which I conducted my study and an analysis of my findings. I provide a more detailed description of my methodology for my study in Chapter Three, descriptions of my case portraits and analyses of my within-case findings in Chapter Four, a cross-case analysis of my findings

in Chapter Five, and a discussion of my implications from my study as well as suggestions for future research in Chapter Six.

Chapter Three: Research Design and Methodology

The purpose of this study was to understand the sustainability of grant-funded non-academic programs beyond the initial funding period. Specifically, the study was designed to examine the sustainability of faculty career enhancement grant-initiatives beyond initial funding from the Andrew Mellon Foundation at selective liberal arts colleges utilizing a multi-case study design. Therefore, this study sought to understand WHAT the sustained initiatives looked like after the funding period, HOW the institutions sustained the initiatives post funding, and WHICH factors contributed to the programs' sustainability.

Research Questions

The central research question for this study was: How do liberal arts colleges sustain foundation-funded grant programs beyond the initial grant period? Four additional research questions helped build a more complete picture of the sustainability process. The additional four questions were:

1. WHAT did the sustained initiatives look like at each of the institutions after the funding period?

2. HOW did each of the institutions sustain the initiatives post funding?

3. WHICH programmatic, institutional and environmental factors contributed to the sustainability of each of the initiatives?

4. To what extent do the findings parallel the conceptual framework guiding this study?

The first question helped me to define 'sustainability' by examining what form the initiatives ultimately took after the initial funding expired.

The second question allowed me to understand the steps that each institution undertook to sustain the programs, starting from the initial planning stages through the

time data were collected. Focusing on the *how* provided concrete examples of the practical and administrative processes undertaken by the institutions.

The third question allowed me to understand the factors that contributed to the sustainability of the initiatives. In other words, the question allowed me to examine sustainability within the context of the guiding conceptual framework, as described in Chapter Two, and focus on the program, institutional, and environmental factors that contributed to the sustainability of the programs.

Finally, the fourth question allowed me to compare my findings with the conceptual framework that guided this study. This comparison was important because the basis of the guiding conceptual framework emerged from the field of health promotion, which contextually has similarities to as well as differences from the field of higher education. Therefore, this question allowed me to go back to the conceptual framework which guided my thinking and make the appropriate adjustments to the original conceptual framework within the context of this study and its findings. The revisions to the conceptual framework would enable me to propose future directions for research on this topic.

Research Design and Rationale

In this section I describe my research design and explain my methodological choices. Specifically, I provide a rationale for my research methods with particular attention to my decision to utilize a multi-case study design and my choice of the unit of analysis.

Using a case study approach. Case studies are appropriate for investigating a "contemporary phenomenon in depth and within its real-life context, especially when the

boundaries between phenomenon and context are not clearly evident" (Yin, 2009, p. 18). I anticipated that studying the process of sustainability would require a perspective that takes into account the 'real-life' context in which the process develops (Yin, 1994). Therefore, this particular study seemed to lend itself well to a case study approach.

In addition, case studies not only rely upon multiple sources of information "with data needing to converge in a triangulating fashion" (Yin, 2009, p. 18), but the type of inquiry also "benefits from the prior development of theoretical propositions to guide data collection and analysis" (Yin, 2009, p. 18). My study was informed by a conceptual framework which was built upon prior research on organizational change and program sustainability. Specifically, my data collection and analysis were guided by Shediac-Rizkallah and Bone's (1998) conceptual framework focusing on the program, institutional and environmental factors that would possibly contribute to sustainability.

Using a multiple case study design. A multi-case study design is appropriate when the researcher is seeking two outcomes: 1) a deep understanding of the context and details of each case and 2) an identification of aspects or elements that can be compared or contrasted across the cases so that more general conclusions can be drawn (Huberman & Miles, 1994; Merriman, 1998). A multi-case study design has an advantage over a single case study design. Often the findings from a multi-case study are "considered more compelling, and the overall study is therefore regarded as being more robust" (Yin, 2009, p. 53). In other words, the advantage of a multi-case design is its ability to create greater generalizablity beyond the conclusions of a single case. This characteristic was important to me. Because my study was informed and guided by an existing theoretical framework by Shediac-Rizkallah and Bone (1998), I was interested in investigating whether or not

my guiding framework was applicable to more than one case. Not only was I interested in understanding the process by which liberal arts colleges sustained programs beyond the initial funding period, I was also interested in determining the extent to which the framework by Shediac-Rizkallah and Bone (1998) from the field of health promotion adequately described the sustainability process within a higher education context. Therefore, a multi-case study design allowed me to utilize a 'replication' logic (Yin, 2009) in the sense that I examined the same unit of analysis at more than one site, but not in the sense that the exact conditions were present for each case. Instead, by examining more than one case, I hoped to determine the extent to which the findings across cases were similar to or different from each other and to Shediac-Rizkallah and Bone's (1998) conceptual framework.

Unit of analysis. A case study is utilized when a researcher is interested in understanding or exploring an issue through one or more examples. In case study research, these examples are "bounded units" or "bounded systems" (Creswell, 2007), meaning that the subject or subjects to be studied have some boundary. Having these boundaries helps to define the cases to be studied—what the cases are and what they are not (Yin, 1994). In case study research, these units of analysis typically are organizations, groups, individuals, or processes (Merriman, 1998). My unit of analysis was the institutional process to sustain faculty development programs initiated with grant funds from the Mellon Foundation.

For a multi-case study design, the unit of analysis is constant across the multiple sites. Consequently, my focus on the institutional process to sustain the grant initiative remained consistent across the four cases that I investigated.

Site Selection and Rationale

In this section, I provide my rationale for the sites of my study. In particular, I answer questions regarding the specific subject matter I investigated such as "Why use faculty development programs as an example?" "Why use the Andrew W. Mellon Foundation as an example?" and "Why use liberal arts colleges?"

Using faculty development programs. Faculty are at the heart of higher education and its vitality (Gaff, 1975; Gappa, Austin & Trice, 2007). Maintaining faculty vitality is an important issue, but can be easily overlooked when competing with other institutional priorities such as developing new nano-technologies or new medical advances. Science and engineering will continue to be an area that will receive financial support through agencies such as the government and National Science Foundation for the foreseeable future. Faculty development, on the other hand, unless tied to science and engineering, is considered one of the many 'other' areas that are competing for funding. Because faculty development programs are neither research centers nor academic departments, they are in competition with other services on campus for funding. From the perspective of faculty members, faculty development is an area from which funding is most often cut during times of fiscal constraint (Altman, 2004). Thus, for the purposes of this study, the use of faculty development programs as the example for understanding program sustainability is particularly appropriate because of the relative instability that faculty development programs experience in terms of funding priorities at any given institution.

Using the Andrew W. Mellon Foundation. For this study, the Andrew W. Mellon Foundation was selected because of the particular grant program that the

foundation provided to support faculty development. The foundation distributed grants three times in cohorts of approximately eight institutions, providing grants to 23 institutions. Because the Andrew W. Mellon Foundation distributed this particular grant similarly to all 23 participating institutions, the grant amount and grant period ($600,000 to $700,00 over a period of 5 years) were comparable in amount and length. This enabled me to control for the grant program duration and grant program financing factors, which are considered to be influential factors in sustaining programs beyond initial funding (Shediac-Rizkallah & Bone, 1998). In addition, because of the consistent nature in which the grant was distributed to the institutions by the foundation, I attempted to control for the project negotiation factor in Shediac-Rizkallah and Bone's (1998) original framework. All institutions received a one-year planning grant.

Using liberal arts colleges. In general, a majority of research in higher education that focuses on organizational behavior tends to draw upon large universities, and in particular, large public universities. Often the rationale for greater research emphasis on large public institutions draws upon the argument that large, public universities serve the largest number of students. As Ehrenberg (2003) argues:

> Put simply, the vast majority of American college students attend public higher education institutions and thus what is happening to public higher education is much more important to our nation's well-being than what is happening to selective private colleges and universities. (p. 2)

In other words, the focus on large, public universities warrants greater attention because the number of affected individuals is greater than the number of individuals at small liberal arts colleges.

However, other scholars have pointed to the value of liberal arts colleges and how an understanding of liberal arts colleges contributes to the overall understanding of higher

education. For example, countering arguments that the impact of a liberal arts college on individuals is minimal (and therefore would not warrant empirical study), Astin (2000) observes:

> Residential liberal arts colleges in general, and highly selective liberal arts colleges in particular, produce a pattern of consistently positive student outcomes not found in any other type of American higher education institution. Moreover, the selective liberal arts colleges, more than any other type of institution, have managed not only to affect a reasonable balance between undergraduate teaching and scholarly research, but also to incorporate a wide range of exemplary educational practices in their educational programs. (p. 77)

Therefore, not only does Astin (2000) argue that there are consistent positive student outcomes associated with attending liberal arts colleges, but he also suggests that liberal arts colleges are able to maintain a reasonable balance of role responsibilities for their faculty.

Breneman (1994) suggests that liberal arts colleges, because of their small size, "represent both an educational ideal and an economic type" (p. 12). Yet liberal arts colleges have much in common with large universities. Like any large university, selective liberal arts colleges are dependent on the quality of their academic programs and the ability for their faculty to adapt to the changing interests of their students. In addition, like large universities, liberal arts colleges are dependent on outside funding to support program innovation and experimentation (McPherson & Schapiro, 2000).

However, by narrowing this study to selective liberal arts colleges, I was able to control for some factors that, according to the literature, affect program sustainability after initial funding. I attempted to control for several factors noted at an institutional level in Shediac-Rizkallah and Bones (1998) framework. One of these factors was institutional strength. Shediac-Rizkallah and Bone (1998) noted that the maturity of an

organization is a factor within the organization setting that can affect program sustainability. Thus, by utilizing selective liberal arts colleges, which are similar in financial endowment and relative age, I hoped to control for this factor.

I also attempted to control for institutional size. Liberal arts colleges, known for their small size, tend to have more centralized decision-making processes than large universities. Utilizing institutions that structurally represent a more tightly-coupled system with more centralized decision-making processes helps to control for the differences Ward (1996) found which suggested tightly coupled systems are more apt to institutionalize initiatives than are loosely coupled systems. The following table summarizes the factors I incorporated into my conceptual framework and my rationale for including only five of the original 11 factors (See Table 3.1).

Table 3.1. Summary of Incorporated Sustainability Factors

Original Shediac-Rizkallah and Bone (1998) Factors	Ability to Control in Study Design	Incorporated into Conceptual Framework
Program Negotiation Process	Yes: All institutions were approached by foundation	Not included in framework
Program Effectiveness	No: Institutions managed assessment efforts	Included as factor in framework
Program Duration	Yes: All institutions received grant for five years	Not included in framework
Program Financing	Yes: All institutions received similar amounts of funding	Not included in framework
Program Type	No: Institutions selected how to utilize funds	Included as factor
Training	Not directly applicable to context of study	Not included as factor
Institutional Strength	Yes: All institutions were similar in size and financial wealth	Not included in framework
Integration with existing programs/services	No: Institutions differed in implementation of grants	Included as factor
Program champion/leadership	No: All institutions administered grants differently	Included as factor
Socioeconomic and political considerations	No: Institutions located in different states/Grants administered during different periods	Included as factor
Community participation	Not directly applicable to higher education settings	Not included as factor

Research Methods

In this section, I describe the process by which I selected my institutional case examples for my multi-case study as well as the participants in my study. I also describe the process by which I collected my data.

Selecting the individual case sites. The sample for this study was selected using purposeful sampling (Merriman, 1998). I selected cases that met specific criteria that I had created. To establish my criteria for selection, I first began by examining all 23 institutions that received grants from the Mellon Foundation to create faculty career enhancement programs on their campuses. After reviewing documents and reports from each of the 23 institutions, I grouped the institutions based upon commonalities in program administration of the Mellon grant. I used program administration to categorize the colleges based upon the assumption that administration of a project affects its implementation, execution, and sustainability (Beery et al., 2005; Steckler & Goodman, 1989). As a result, the following categories were established:

- Programs administered through a newly established center.
- Programs administered through an existing center.
- Programs administered through the Office of the Provost/Dean of Faculty with an appointed coordinator position.
- Programs administered by the Office of the Provost and a group of faculty members.

Three of the 23 institutions were not included in the grouping; these three institutions had no institution-level initiatives because they implemented only collaborative programs with other institutions. Of the remaining 20 institutions, four institutions administered their Mellon initiatives through a newly established center. Another four institutions administered their Mellon initiatives through an existing center. Eight institutions administered their Mellon initiatives through the Office of the Provost or Dean of Faculty, but with an appointed coordinator. The remaining four institutions

administered their Mellon initiatives through a collaborative arrangement between the Office of the Provost or Dean of Faculty and a group of faculty members.

After grouping the remaining 20 institutions, I determined the extent to which each of the institutions had evidence of sustained programs, utilizing current material on websites and document files. Institutions that had the most sustained elements of their Mellon initiatives were identified as possible cases for study. After examining current material on websites, reviewing document files and conversations with Chief Academic Officers, I found that a majority of institutions that were grouped into the fourth category, "Administered by Provost Office and Group of Faculty," did not show evidence of sustained programs at the institution level. As a result, the sample of four institutions selected as case study examples included three institutions with sustained programs and one institution with programs that were not sustained.

The four institutions listed below (using pseudonyms) were selected based upon the established criteria mentioned previously, their ability to represent each type of program administration, and their willingness to participate as a case study example.

- **Bowling Lawn College**: Administered through a new center developed specifically for faculty development.
- **Castlegate College**: Administered through a separate director position (created for the purposes of coordinating the grant) and currently housed in an already established center.
- **Hilltop College**: Administered through the Provost/Dean's Office in conjunction with an appointed faculty member (referred by the institution as the Catalyst).
- **Amber Hills College**: Administered through the Provost/Dean's Office for one set of initiatives and coordinated by faculty members for another set of initiatives (acting as independent coordinating bodies).

Selecting interview participants. Similar to Clark's (2004) multi-case approach to understanding the sustainability of change in colleges and universities, I sought to understand the process through the individuals who did the "work" in implementing and sustaining the grant initiatives. Clark's (2004) assertion that "the best way to find out how universities change the way they operate is to proceed in research from the bottom-up and the inside out" (p. 2) seemed to fit my investigatory approach. Therefore, individuals who were involved in the implementation and sustainability of the grant initiatives were a significant source of information.

My first round of key informants was identified through my primary informant from each site—the Chief Academic Officer. Through an initial e-mail (See Appendix A) and a follow-up telephone conversation, I asked each Chief Academic Officer to recommend key individuals with whom I could speak regarding the implementation and delivery of the grant initiative(s). I sent an email to these individuals, introducing myself, briefly describing my study, and asking if the individual would be willing to speak with me about his or her role in the grant initiative (See Appendix B). Approximately three to four interviews were scheduled for each institution toward the beginning of each of my site visits. I considered this to be a realistic number for the small size of the institutions.

Additional participants were selected through a snowball or network method (Patton, 2001) in which participants are identified through the original set of participants. In other words, my second round of key informants was identified through the first round of key informants. After speaking with this first round of individuals, I asked each one of them if there were individuals that they would recommend that I should speak with regarding the implementation and delivery of the grant initiative(s). In some cases, these

individuals offered this information during the interviews. I contacted this additional set of participants either by email or by telephone to set up an interview toward the conclusion of my site visit.

Data collection. Because the focus of my study was to understand the process by which the faculty development programs were sustained, I assumed an interpretive research orientation (Merriman, 1998) approach to my study, rather than a positivist or critical research stance and endorsed the philosophical assumption that qualitative research is based upon the view that "reality is constructed by individuals interacting with their social worlds" (Merriman, 1998, p. 6). In other words, this study acknowledges that the data obtained in this study are constructed from the experiences and perceptions of those involved with sustaining the faculty development programs—the focus of this study.

To ensure that the participants' perspectives led my analysis of the data and to avoid the dominance of my (the researcher's) perspective, my objective was to understand the process from the participants' points of views (Merriman, 1998) and to triangulate my data sources. As such, this study incorporated participant interviews, site visits and document analyses (Glesne, 2006; Merriman, 1998). In an attempt to make comparisons across my cases, I made efforts to collect similar data from each institution.

Data were collected from the following sources:

1. Documents including internal campus reports, external foundation reports, and information posted on the campus' websites.

2. In-person and telephone semi-structured and open-ended interviews using an interview guide with faculty members, administrators and staff; in several cases there were follow-up interviews and correspondence via email.

3. On-site observations during intensive 3-5 day site visits.

Documents. At the beginning stages of data collection, I obtained a significant amount of information from written documents and institutional websites regarding the grant program at each of the institutions. The documents that I heavily relied upon in this study were the institutions' grant proposals and annual reports that were submitted to the Mellon Foundation for the purposes of updating the foundation about the progress of the grant. These documents provided historical and chronological perspectives (Glesne, 2006) on the implementation and sustainability process of the grant initiatives. This allowed me to triangulate with the historical accounts provided through interviews. The documents also provided names of participating individuals I could interview as well as information about each of the institution's grant initiative to help guide my interview questions.

I also drew upon on-line data sources to obtain more current information about the status of the grant initiatives. As I did with the annual reports, I used information from the institutions' websites to triangulate information with that from interviews.

Interviews. Interviews with program participants were another significant source of information. A "researcher's account of the studied scene should be built on the information provided by the most knowledgeable (and candid) members of the scene" (Van Maanen, 1979, p. 545). As such, I relied heavily upon the data obtained from the conversations that I had with the participants of this study.

Interviews with participants occurred during the 3- to 4-day site visits, with follow-up phone call conversations and email correspondence after the site visits. I interviewed key individuals who either were on sabbatical and therefore not on campus, or had scheduling conflicts via telephone. In person interviews were conducted in a space

chosen by the participant. Most of these interviews were conducted in the person's office; some were conducted in open meeting spaces.

The perspectives of 29 participants are included in this study. This number represents the key individuals involved with the Mellon initiative at their respective institutions and other recommended individuals that were identified for interviews. Each interview with a participant lasted between 45 minutes and 75 minutes. Some participants were interviewed multiple times either because of scheduling issues or for the purposes of gathering follow-up information. At the start of each interview, I explained the purpose and design of my study as well as issues of confidentiality (See Appendix C). Each participant was assured that confidentiality would be maintained and that I would use generic titles for each of the participants and pseudonyms for the sites. All participants were given the option of not having the interview tape recorded, as required by the Michigan State University Institutional Review Board. Some of the participants chose not to be tape-recorded, in which case I took detailed notes and confirmed information back to the participant to ensure that my notes were accurate. I also had several follow-up conversations with these participants to confirm and clarify information (Merriam, 1998).

I used a semi-structured interview protocol (Rubin & Rubin, 1995) in order to achieve comparable data across the cases (Fountain & Frey, 2005). I asked questions such as "Tell me about the role you played in implementing/administering the Mellon grant initiatives" and "What have been the challenges that you have encountered in implementing/administering the Mellon grant initiatives" for the purposes of gaining an understanding of the sustainability process from the participants' perspectives. In general,

I allowed the participants to speak as much as they were willing about the Mellon grant, probing the participants to speak about their experiences and impressions regarding the implementation and sustainability of the grant initiatives (See Appendix D). Therefore, I did not pursue specific elements of the conceptual framework in prompting the participants during the interview process. However, participants were given several opportunities to provide additional insights or information that might have been relevant to the guiding framework through multiple conversations that occurred during the study.

On-site observations. Observing the faculty and administrators in their campus settings helped deepen my understanding of the cases. During my site visits, I looked for physical evidence of sustainability of the grant initiatives. For example, I looked to see how visible particular physical structures were on campus, the extent to which these structures were permanent, and where particular offices were located on campus in relationship to other offices. To assist my data collection during my site visits, I took photographs of each campus and particular physical structures. I did not photograph any of the participants for the purposes of maintaining confidentiality.

Data Analysis

Data analysis occurred concurrently with data collection. Consistent with a qualitative study, and, in particular, case study research, I began to analyze my data as I collected my interview data (Merriman, 1998). I approached data collection and analysis as an interrelated process (Creswell, 2007; Huberman & Miles, 1994) in order to guide the data collection process in selecting my participants, and to collect new data through follow-up interviews to fill in any "gaps" of my data (Huberman & Miles, 1994).

My data analysis consisted of a three-step process. First, I analyzed documents that were collected prior to case selection; the documents were analyzed in accordance with the principles outlined by Huberman and Miles (1994) and Yin (2009). After collecting data from the site visits, I moved to the second step of the process and developed case portraits for each of the institutions. I began with outlines that I drafted immediately after each site visit. These outlines were then fleshed out into a more narrative form, using transcribed data from the interviews, interview notes, field notes, annual report documents, and other collected materials. Using my first three research questions as a guide, I conducted a within-case analysis for each of the cases. I analyzed for common themes (Merriam, 1998) based upon the observations of the participants interviewed in this study. I also used Shediac-Rizkallah and Bone's (1998) conceptual framework as my guide to analyze the data for additional themes pertaining to sustainability.

The third step was a cross-case analysis to identify common themes across the four cases, using the first three research questions as a guide. Using my fourth research question as a guide, I analyzed my findings in the context of the guiding conceptual framework (Shediac-Rizkallah & Bone, 1998) to determine the extent to which the conceptual framework appropriately matched my study's findings. I utilized matrices and other diagrams to analyze my data according to models suggested by Huberman and Miles (1994).

Rigor and Limitations

This section describes the ways in which I attempted to ensure a sufficient level of methodological rigor throughout my study. I also describe the limitations of this study,

along with an explanation of how I attempted to compensate for these inherent limitations.

Methodological rigor. Case study research is often criticized for its perceived lack of rigor because of the possibility of a researcher conducting careless, biased work with little attention to systematic procedures in data collection or analysis (Yin, 2009). This study attempted to employ several of Yin's (2009) case study tactics to establish validity and reliability. Yin (2009) recommends that case study researchers apply the following four tests to ensure methodological rigor: 1) construct validity, 2) internal validity, 3) external validity, and 4) reliability. In what follows, I describe how I attempted to address issues of validity and reliability within my study following the guidelines set forth by Yin (2009).

Construct validity. Construct validity is established through "identifying correct operational measures for the concepts to be studied" (Yin, 2009, p. 40). To establish construct validity, I based my operational measures of organizational change and program sustainability on previous research reported in the literature. During my data collection, I incorporated multiple sources of information (documents, interviews, observations) and asked key informants to review drafts of my case study portraits and narratives.

Internal validity. Internal validity is established by creating "causal relationships, whereby certain conditions are believed to lead to other conditions" (Yin, 2009, p. 40). Although this particular test is more prominent in experimental or quasi-experimental research, internal validity can be attained through pattern matching and explanation building (Yin, 2009). In my study, I attempted to maintain internal validity by

considering other possible explanations for each case's outcome. Therefore, I triangulated my data in an attempt to establish the most plausible explanation for each case's outcome.

External validity. External validity is achieved by "defining the domain to which the study's findings can be generalized" (Yin, 2009, p. 40). Qualitative research is not intended for generalizability (Merriman, 1998). However, I incorporated a multi-case design with the hope that my findings would be better positioned to find more generalizable themes that could be transferred to other sites. In addition, I utilized a guiding conceptual framework (Shediac-Rizkallah & Bone, 1998) developed outside of the field of higher education that is both broad and comprehensive in its implications for the purposes of comparing my findings to an external standard.

Reliability. Reliability is the ability to demonstrate "that the operations of the study—such as the data collection procedure—can be repeated, with the same results" (Yin, 2009, p. 40). In order to address issues of reliability, I utilized similar procedures for contacting participants, and employed semi-structured interview protocols to illicit comparable information from my participants.

Limitations. As with any research project, this study has limitations. First, because this study relied heavily upon individuals' retrospective accounts in order to reconstruct events, a significant amount of data can be subjective and potentially biased (Pettigrew, 1995). In addition, the recalled information can be inaccurate or even incorrect (Van Maanen, 1979) based upon what an individual chooses to remember or forget. Because much of the information is retrospective, as individuals recall the information, they are simultaneously making-sense of the past and their experiences

(Weick, 1995). Again, the consequence is that the data are not merely a series of events or occurrences, but rather an individual's account of connections that they have made or are making as they reflect upon the past during the interview.

Another form of informant bias can come from documents. In the case of my study, many of the documents that I drew upon were annual reports from the institutions to the Mellon Foundation. Because these documents were produced to update the foundation with regards to the progress of the grant, as well as to demonstrate appreciation for the grant, the documents cannot be taken as unbiased perspectives or as a literal recording of events (Merriam, 1998).

Not all bias can be attributed to the informants in the study. As the researcher of this qualitative study, I acknowledge the potential of my own researcher bias (Merriam, 1998) in collecting and interpreting the data. Because the sensemaking is happening through me, the interpretations and conclusions drawn from this study are highly based upon the position from which I view and interpret the world.

An additional limitation is that this study has only four cases. Therefore, not all 23 institutions that received the grant were studied in-depth. Hence, the phenomenon is not fully represented in this study. Although the study is limited to four cases, the implications from the findings are nonetheless relevant. The advantages of utilizing four cases for this study include the following: First, narrowing the categories, and thus the number of cases, allows for the reader to learn about each case in greater depth.[1] Second, utilizing the best example from each category provides the reader with a spectrum of

[1] Although I could have included more cases for comparison, the understanding of each case may not have been as in-depth because of the limitations of time and resources available to me to complete this study.

possible administrative approaches. The reader may choose which approach is best suited for one's own campus's needs, resources and culture.

Finally, although it has been argued that initiatives are more likely to be sustained at a small, private liberal arts college than at a large university (Boyce, 2003), the implications from this study nevertheless may be relevant to other institutions because of the lessons learned through an understanding of the processes each institution experienced, even if the institutions in this study are smaller in size than many higher education institutions.

In this chapter I described the methodology for my study and discussed the rationale for my design. The next two chapters present the collected data. Chapter Four presents the four cases. I describe the processes and outcomes of sustainability at each of the four institutions. I also provide a within-case analysis through the guiding conceptual framework (Shediac-Rizkallah & Bone, 1998). Chapter Five presents the comparisons across the four cases. In Chapter Six, I explore the implications of the findings from my study.

Chapter Four: Individual Case Studies Analysis

The purpose of this study was to examine the sustainability process of the Mellon grant-funded career enhancement programs at four liberal arts colleges. I visited each site for approximately three to five days. Prior to, during, and after my site visits, I spoke with individuals at varying levels who were involved in the implementation and execution of the grant programs. I examined reports collected by Mellon Foundation and various prepared documents from the four institutions. Transcripts, interview notes, field notes, annual reports, and collected documents were open coded for themes related to sustainability, as well as coded for themes based upon the guiding conceptual framework.

In this chapter, I provide a description and analysis of the four institutional cases in this study—Bowling Lawn College, Castlegate College, Hilltop College, and Amber Hills College. The intent of this chapter is to demonstrate how each institution's approach to and experience with the Mellon grant was a unique sustainability process, which produced various forms of sustainability. I have divided this chapter into six sections. In the first section, I briefly review the conceptual framework that guided my study and analysis. In the second section, I discuss the background of and the Mellon Foundation's intent for the grant. I provide the background description before describing the four individual cases because all institutions in this study received the same type of grant, from the same foundation. I also describe the nature of the four cases in this study and discuss the characteristics that the institutions share.

In the remaining four sections of this chapter, I provide portraits and within case analyses of the four cases examined in my study. For each case, I describe the institutional context, the Mellon grant initiative as it was proposed by each of the

institutions, the key players involved in the implementation and sustainability process, the results of the Mellon initiative, the sequence of events that describe the development and implementation of the Mellon initiative at each campus, and the themes that influenced the sustainability of the Mellon initiative as perceived through the eyes of the participants. Finally, I analyze the sustainability process of each case through the guiding conceptual framework.

Guiding Conceptual Framework

My multi-case study was designed to answer my study's central research question: How do liberal arts colleges sustain foundation-funded grant programs beyond the initial grant period? As the basis of my conceptual framework, I drew upon Shediac-Rizkallah and Bone's (1998) framework on program sustainability to organize and analyze my case studies. As previously mentioned in Chapter Two, in Shediac-Rizkallah and Bone's (1998) model, there are program, institutional, and environmental level factors that influence program sustainability. As such, there are a total of 11 factors: six individual program level factors, three institutional level factors, and two environmental level factors.

For the purposes of my study, five of the original 11 factors were incorporated into my conceptual framework; this included two program factors (program effectiveness and program type), two institutional factors (integration into existing programs and leadership), and the environmental factor of socioeconomic and political considerations. I attempted to hold constant the other six sub-factors in my research design (program negotiation process, grant program duration, program financing, training, institutional strength, and community participation).

Background of the Grant

The purpose of this section is to provide an understanding of the Mellon Foundation's intent for offering 23 liberal arts colleges faculty career enhancement grants. I provide a brief history of how the Mellon Foundation came to the decision to provide the faculty career enhancement grants. I also describe the invitation process to the 23 liberal arts colleges.

Between 1995 and 1998, the Mellon Foundation engaged in a number of conversations with presidents and chief academic officers of selective liberal arts colleges. Three issues were of greatest interest to the group of presidents and academic officers. These issues pertained to faculty development, governance, and student life. Although all three areas were deemed critical to liberal arts colleges, the issue of professional support of faculty members emerged highest on the liberal arts colleges leaders' lists of institutional priorities. The rationale was described as follows:

> The selective liberal arts colleges are very dependent on the quality of their academic programs and on the intellectual liveliness of their communities. These communities consist of small faculties; many members remain at the institution for their entire professional careers, carry significant teaching responsibilities, and have few close colleagues in their respective areas of scholarly interest. To maintain the general excellence and attractiveness of these colleges, it is essential to find ways of keeping faculty members vitally engaged in developments in their fields and alive to the changing interests of undergraduate students. (Mellon Foundation Report Summary)

Based upon this rationale, the Mellon Foundation invited seven colleges to consider in greater depth the needs of their faculty through the development and implementation of a five year grant sponsored by the Mellon Foundation. As such, the purpose of the grant would be to provide the institutions the opportunity to develop some model professional development programs that may be shared more broadly with other

liberal arts colleges. The focus would be for institutions to devise faculty career enhancement, or professional development, programs appropriate to the needs of faculty members in liberal arts colleges. Two additional cohorts of eight institutions were invited to consider the same Mellon proposal in subsequent years.

The Foundation's invitation to the institutions for participation. The Andrew w. Mellon Foundation offered three rounds of grant proposal invitations. The first round was offered to seven institutions in 1999; the second round was offered to eight institutions in 2001; the third round was offered to eight institutions in 2002. Institutions were given similar parameters for their participation and in development of their proposals to the Mellon Foundation. In general, each institution was to implement its version of the Mellon initiative that would enhance its faculty's careers in ways most appropriate to the needs of its faculty over a period of five years.

To facilitate the proposal development process, the Mellon Foundation offered the institutions an additional funded year in the form of a planning grant. The intent of the planning grant was to help prepare the colleges to return to the Mellon Foundation with a full grant proposal. The planning grant would enable the institutions to address, in an informed way, the professional needs of faculty over the course of the faculties' careers.

The participating institutions responded to the planning grant with similar approaches. During the one-year planning grant phase, each institution put together its own task force or committee to brainstorm and/or assess its faculty's needs. The committees often comprised of the institution's chief academic officer and members of its faculty. Each institution then designed a proposal comprised of faculty career enhancement projects or programs to implement at its respective campus. In sum, the

institutions received a one-year planning grant, plus a five-year implementation grant to develop faculty career enhancement programs for their campuses.

Setting up the case portraits. The four institutions presented in this current study were selected to represent the 23 liberal arts colleges that received funding from the Mellon Foundation. As selective liberal arts colleges, the 23 participating institutions, and thus the four campuses included in this study, share common institutional characteristics. The typical student enrollment is approximately 2000. The faculty size ranges between 150 to 200 members. At least 90 percent of the faculty hold doctoral or equivalent terminal degrees in their respective fields. The endowments of the 23 institutions are among the largest of all liberal arts colleges in the nation, with some of the institutions maintaining endowments close to or over one billion dollars. The institutions are similar in its academic rigor with low faculty to student ratios. As liberal arts colleges, the institutions' primary focus on teaching requires faculty to maintain teaching loads of at least three courses per semester. In addition, as selective liberal arts college, the 23 institutions are increasing their expectations for greater research and scholarship from their faculty.

The next four sections of this chapter describe the case profiles of the four institutions and their differing experiences in the sustainability of their grant initiatives. I present each case in a similar format. First, I introduce each institution by summarizing the contextual features of each campus. Next I describe the Mellon initiative as it was proposed for implementation at each institution. I describe the key players involved in the implementation and sustainability of the Mellon initiative. I also discuss the results of the Mellon initiative to provide the reader with an idea of the benefits that each campus

gained from the implementation process, even if the initiative itself was not sustained. Then I describe the primary events during the development and implementation of the Mellon initiative at each campus. This is presented for the purposes of transitioning into my next discussion on the themes and factors contributing to the sustainability of the initiative. After I discuss the various themes that the participants attributed to the sustainability of the Mellon initiative, I provide an analysis of the sustainability process utilizing the guiding conceptual framework.

Case Number One: Bowling Lawn College

Bowling Lawn College is a scholarly oasis that sits in a residential part of a mid-sized urban city. Known for its high standards of scholarship and its special emphasis on internationalism, multiculturalism, and service to society, the co-educational, Protestant-affiliated but nonsectarian college enrolls approximately 2000 students. As a commitment to international harmony, Bowling Lawn has flown the United Nations flag with the United States flag since 1950 when Bowling Lawn had begun to place an emphasis on internationalism by recruiting students from abroad. Of the approximate 165 full-time faculty members, 40 percent of the faculty members are pre-tenure. Hence, Bowling Lawn College has a relatively large cohort of junior faculty members.

The proposed initiative. Bowling Lawn proposed a series of programs and seminars that would help their faculty to be "more collegial, innovative, and adventurous in plotting their career paths, more confident of their value to the colleges, and more engaged in developing their futures" (Mellon Foundation Summary Report). The proposed programs and seminars that would define the Mellon initiative at Bowling Lawn College included the following:

New faculty seminar. Bowling Lawn envisioned this component of the Mellon initiative as an orientation program for the first-year faculty members. In addition to the orientation program, first-year faculty members would have a one-course reduction in the second semester in order to provide time to collaborate with a senior colleague.

Co-mentoring program in teaching and scholarship. Bowling Lawn envisioned this component of the initiative as opportunities for junior and senior faculty to learn from one another by collaborating in any of a wide variety of activities or projects—shared scholarship, joint teaching, curriculum development, evaluation of classroom teaching. New faculty would share fresh disciplinary perspectives with senior faculty on newly emerging interdisciplinary emphases, and on new ways to integrate technology into teaching. In exchange, the new faculty would benefit from the more senior faculty, who would draw upon their professional experiences, status and knowledge of campus culture.

Faculty exchanges. Bowling Lawn envisioned this component as semester-long, inter-college faculty exchanges. Participating Bowling Lawn faculty members would select a college to serve as a host institution for the exchange. As such, the participating faculty members would engage in half-time teaching duties at a participant selected college and full participation in the culture and activities of the host department and college. The reduced teaching load would allow the visiting faculty member to devote time to personal scholarship and perhaps to pursue a scholarly collaboration with colleagues in the host institution.

Workshops for academic departments and programs. Bowling Lawn envisioned this component as a set of workshops for departments and academic units to facilitate

collaboration within their departments. The intent was to have the workshops lead to new working relationship between faculty members or with students on research projects.

Workshops for department chairs and program directors. Bowling Lawn envisioned this component as a set of workshops for department chairs and unit directors focused on developing mutual understanding and support between departments and programs. In addition, the workshop would provide chairs and directors strategies for developing their collaboration and leadership skills.

In addition to the above listed faculty support programs, Bowling Lawn College proposed the development of a new faculty development center to administer the Mellon initiative and serve as the campus resource for faculty development. Bowling Lawn College represents the type of campus that administered the Mellon initiative through the establishment of a new faculty development center referred to as the Center for Scholarship and Teaching. Figure 4.1. is a visual representation of this type of campus administration of the initiative.

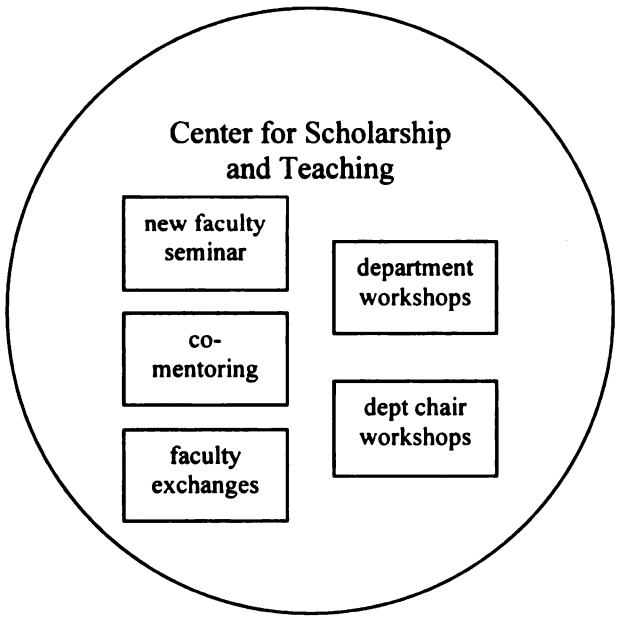


Figure 4.1. Bowling Lawn College's Administration of Mellon Initiative

The key players in the Mellon initiative. The implementation, execution, and sustainability of the Mellon initiative at Bowling Lawn College involved the following key players:

Planning Advisory Committee. A joint faculty-administration committee was created to guide the development and implementation of the Mellon initiative. Fifteen faculty members and four administrators represented the committee. Since the implementation of the Center for Scholarship and Teaching, the committee has continued to serve as the center's advisory committee and reviews all assessments and reports pertaining to the effectiveness and future direction of the center.

Center for Scholarship and Teaching's Director and Associate Director. The Center for Scholarship and Teaching has been administered by a director and associate

director. The director and associate director positions are filled by tenured faculty members. Selected by way of an internal search that is conducted by the provost in collaboration with the college's Faculty Advisory Council, the director and associate director hold three-year terms, which may be extended at the discretion of the provost. Past and present directors and associate directors have been members of the Planning Advisory Committee; thus the faculty members occupying the director and associate director roles have been involved with the Mellon initiative since the planning stages.

Provost. Since the implementation of the Mellon initiative, the provost position has twice transitioned. Both former provosts at the time of the Mellon grant period were self-described, as well as described by the faculty, as large supporters of the Mellon initiative. The current provost, who assumed the position in 2009, is not from the Bowling Lawn faculty, and therefore less knowledgeable about the history and development of Bowling Lawn's Mellon initiative. Nevertheless, the current provost is described by the current director of the Center for Scholarship and Teaching as "very supportive of the center."

The results of the implementation. The implementation of the Mellon initiative at Bowling Lawn College led to three results, as identified by the participants of this study.

Center for Scholarship and Teaching. The primary result of the Mellon initiative was the Center for Scholarship and Teaching. The center was opened in fall 2002 and continues as a fully operational unit on campus. As previously mentioned, a director administers the center and reports to the provost. However, the provost and director insist

that decision-making processes with regard to the center remain within the director's authority.

The Center for Scholarship and Teaching is a faculty development and support center. It does not provide support for students. A separate learning support center exists on campus for the students; the learning support center for students provides guided assistance with learning skills such as writing, time management, and tutoring. With additional support from an associate director and two half-time staff assistants, the Center for Scholarship and Teaching handles all faculty development issues. In addition, the center offers seminars, programs, one-on-one counseling, and grant funding information. Because faculty members fill the director and associate director positions, both faculty members receive course releases in exchange for their administrative services to the center.

Faculty development programs. The individual faculty development programs that are offered through the faculty development center represent a second result of the Mellon initiative. As proposed in the Mellon grant proposal, the programs offered through the center focus on supporting the life-cycle, or the transitions and stages, of the faculty career. As such, the center offers programs for new and early career faculty, mid-career faculty, and visiting professors. In addition, the center's mission focuses on both research and teaching aspects of faculty work at Bowling Lawn College. All programs or events are typically held in the center; the center has a multi-purpose meeting space that is frequently used to host the gatherings and events.

The faculty development programs have evolved since the opening of the Center for Scholarship and Teaching. As explained by the current director, the co-mentoring

programs are in altered forms as the "connected colleagues" program and the "take a new faculty member out to lunch" program. The "New Faculty Seminar" has evolved into a two-semester program. The workshops for department chairs and directors have evolved into the "Mid-Career Seminar."

Not all of the proposed programs are currently offered. For example, the faculty exchange program proved to be unpopular at the early stages of the grant and currently is not offered by the center. Department workshops, also, are no longer offered. Instead of departmental workshops, the center has developed two sets of programs with a more interdisciplinary approach in bringing the faculty together. These new sets of programs are weekly or monthly events that bring faculty together to talk about their teaching or research. These interdisciplinary talks about teaching or research are often held at noon; lunch is provided free of charge by the center to attendees. The events are considered informal, in the sense that no RSVPs are required. Featured "faculty presenters" are not asked to "present" their research, but rather to utilize their topics as a springboard for a roundtable discussion about methodology, research questions or issues in the classroom.

Cultural shift on campus. A third result from the Mellon initiative at Bowling Lawn College was, as some participants described, a cultural shift on campus. In other words, participants believed that, as a result of the college's experience with the Mellon initiative, the perception and attitude toward faculty development shifted from a negative perspective to a more positive one. The first director documented her observation of a culture shift on campus:

> There has been a cultural shift at [Bowling Lawn] in trying to get the community to see that the need for development is not a failure . . . to recognize that development is a lifelong process. (First Director, Bowling Lawn College Self-Assessment Report)

Similarly, the associate director commented on how perspectives on faculty development have changed on campus since the implementation of the Mellon initiative:

> If you had asked me five, seven years ago, I *never* would have seen this coming, the success and enthusiasm for the [Center] and the overall support, for developing and supporting faculty. (Associate Director, Bowling Lawn College)

Although not an intended goal at the time of proposal development, it seems that in addition to the Center for Scholarship and Teaching and the support programs it administers, the Mellon initiative resulted in a culture change on campus. The role of faculty development on campus has shifted from being treated as a remedial stage of a faculty member's career, to encouraged opportunities for career growth and enhancement.

Developing and implementing the Mellon initiative. The sustainability process at Bowling Lawn College was methodical. In 1999, Bowling Lawn College was awarded its one-year planning grant from the Mellon Foundation to develop its faculty career enhancement program(s) on campus. The focus during the planning period was on understanding a system or structure that would best support the Bowling Lawn faculty. Bowling Lawn College concluded that the focus of its Mellon initiative would be on the development and maintenance of a faculty development center to administer faculty development programs.

Developing the Center. The idea to develop a faculty development center was the result of many collected ideas regarding how to best support faculty at Bowling Lawn College, as well as the institution's gradual push toward greater faculty-student research collaboration. In what follows, I discuss how the results of Bowling Lawn's needs assessment coincided with the overall direction the college was headed. I then discuss

how the two circumstances contributed to the college's development of the Mellon initiative.

Needs assessment results. Assessing the needs of the Bowling Lawn faculty was one of the major steps toward the decision to create a faculty development center. The faculty's needs and opinions were collected through a series of focus groups. The planning committee pulled together nine focus groups to talk about how the Mellon grant support would best help faculty to be more effective in their work. The collected focus groups' responses were then used as a guide in developing what type of campus faculty support system would be best for Bowling Lawn.

Several themes emerged from the collected focus groups' responses. The first theme was the idea of "overworked faculty." The director of the center recounted that there was a "dominant consensus that faculty were being pulled in too many and different directions" (Director, Bowling Lawn College). Similarly, one of the former provosts stated, "Faculty felt their efforts were stretched too thin as instructors with heavy teaching, service, and advising loads" (Former Provost A, Bowling Lawn College). In addition, another former provost recalled that faculty work lives were described as "too incoherent, scattered and rushed" (Former Provost B, Bowling Lawn College).

Prompted by the findings from the needs assessment, the Planning Committee set out to further explore the idea of a center. Teams of faculty visited peer institutions to learn about their centers for faculty support. In their findings, the faculty learned that many of their peer institutions have centers but the centers are focused on teaching and learning, often addressing student as well as faculty needs. Thus, Bowling Lawn College decided it "didn't want the center folded in with the student learning center [on campus]"

(Director, Bowling Lawn College). The college "wanted the faculty to have their own center" (Faculty Planning Participant B, Bowling Lawn College).

Institutional push toward faculty-student research. In addition to the theme of overworked faculty, faculty felt increasing pressure to be more productive researchers. This pressure was felt in spite of being faculty members at a liberal arts college where teaching is traditionally emphasized over research productivity. In addition, faculty were expected to engage in more faculty-student research collaborations. One faculty participant proceeded to describe this pressure as "the growing institutional expectation for the faculty to engage in more research and scholarship with each other and with students" (Faculty Planning Participant B, Bowling Lawn College). Bowling Lawn College, therefore, "was moving in a direction that would encourage their faculty to work with students on research" (Former Provost A, Bowling Lawn College).

Prior to the invitation from the Mellon Foundation, Bowling Lawn College had been planning for a way to strengthen their "commitment to [their] core liberal arts values and the learning goals we outline in our mission statement and statement of purpose and belief" (Bowling Lawn College Self-Assessment Report). As elaborated by one of the former provosts:

> [Bowling Lawn] was putting together a capital campaign to raise money to put faculty and students together to do collaborative research. However, the college thought that if the faculty-student collaborative research direction were to be successful, then faculty should be thinking more in-depth about how scholarship influences their teaching. (Former Provost A, Bowling Lawn College)

From the historical accounts of the participants, it appears that Bowling Lawn College participants viewed the timing of the Mellon grant as coinciding with the new direction that the college was headed. However, Bowling Lawn campus administrators

knew the college needed to be more sensitive to the needs of the faculty. The campus administrators were aware of the views and concerns expressed by the faculty in the focus groups. Therefore, Bowling Lawn College administrators knew that if the expectation for increased faculty-student collaboration was not pitched to the faculty in a way that worked for the faculty, the move toward greater faculty-student collaboration would encounter resistance from the faculty. As one of the former Provosts emphasized:

> The [Administration] did not want to have the faculty think that Bowling Lawn was just adding things on to their plate . . . So we wanted to emphasize the connection between scholarship and teaching. (Former Provost A, Bowling Lawn College)

Campus administrators felt that the college's move toward encouraging more faculty-student research collaboration could be enhanced through the development of a support center for faculty scholarship and teaching. In essence, a planning participant further explained Bowling Lawn "needed a coherent way to structure and provide support [to their faculty]" (Faculty Planning Participant A, Bowling Lawn College) so that faculty could better integrate their scholarship and teaching.

In summary, the results from the needs assessment combined with the general direction of the college suggest that the faculty wanted the areas of their work lives to be better integrated. Faculty felt overworked and too scattered in their work lives. Meanwhile, faculty were aware of the institution's growing expectation for them to become more productive as researchers and to engage in more faculty-student research collaborations. One of the faculty planning members interviewed for this study stated: "The faculty expressed a desire to have a center that would provide them with information, guidance and tangible assistance in their development as effective scholars, teachers and advisors" (Faculty Planning Participant A, Bowling Lawn College). Taking

cues from other peer institutions, Bowling Lawn College felt the best way to approach the faculty needs would be in the creation of a faculty development center.

Implementing the Center for Scholarship and Teaching. The implementation of the faculty development center was the result of careful decision making and planning. Particular attention was focused on the name of the center as well as its physical location on campus.

Naming the center. Before the center was named, the faculty planning committee first decided upon creating the future center's mission. Therefore, the name of the center emerged through the development of the mission statement. As the planning committee developed the center's mission, they felt that "scholarship" stood out as a focus, based upon the direction that the institution was moving. Moreover, the committee felt that a center focused on scholarship would relate to the faculty who expressed a desire for assistance in their development as effective scholars, teachers and advisors. The developed mission "was circulated broadly throughout the campus" (Faculty Planning Participant A, Bowling Lawn College) in an attempt to receive input and reaction from the faculty. In the end, the name of the center was created from the mission to emphasize the two areas that the faculty wanted to emphasize—scholarship *and* teaching.

Physical location. The planning committee decided upon the location of the center after consideration of several options on campus. After a recommendation from the librarian to place the center in the library and a subsequent tour of the library, the library was selected as the place in which the center would reside. One planning participant elaborated on the decision:

> [The library] was central and [faculty involved] liked the idea of the [Center] being a metaphor for center by being placed in a building that is literally in the

> center of campus, rather than being sent into exile on the periphery. (Faculty Planning Participant B, Bowling Lawn College)

The college subsequently provided $25,000 in setup fees from the operating budget to pay for walls and office equipment. The committee concluded that a director, associate director, and two half-time assistants would staff the center. The committee also decided that the director and associate director positions would be filled by faculty members; each receiving course releases for their administrative roles. One assistant would be grant-funded; the other assistant was to be paid by the college.

Opening of the Center for Scholarship and Teaching. The Center for Scholarship and Teaching opened in fall 2002, two years after the college received the implementation grant from the Mellon Foundation in 2000. Although the operation of the center started on grant-funded support, the college planned to have the center incorporated into the institution's operating budget over the five-year grant period. Hence, in the year 2002, the college's operating budget contributed 30 percent of the center's operating budget toward administrative costs for the center. In 2003, the college's operating budget contributed another 30 percent toward administrative costs for the center. In 2004, the college again contributed another 30 percent toward administrative costs. To ensure that funds would be available, the college "re-did the [campus] administrative structures to free up funding to allocate it to the center, and incorporated it [the Center] into the operating budget" (Former Provost A, Bowling Lawn College).

Currently, as the associate director emphasized, the center is "completely institutionalized" in the sense that the center is "part of the [institutional] culture, even more so than the statistics indicate in the self-study" (Associate Director, Bowling Lawn

College). The associate director proceeded to explain how the center is part of the institution's culture because of the institution's requirement for new faculty to participate in the center's activities:

> The large number of new faculty that have been hired by the college in the last six to eight years have all passed through the New Faculty Seminar [hosted through the Center]. To them [the new faculty], the [Center] has always been there, and it was one of their first introductions to the college, the place where they bonded with peers, and a source of support and development. (Associate Director, Bowling Lawn College)

Hence, from the perspective of the early career faculty members, the center has always been a part of the institutional culture.

Challenges to implementation. The implementation of the Mellon initiative at Bowling Lawn College was not without challenges. The primary challenge Bowling Lawn College encountered was changes in leadership within the center, as well as in the provost position. Toward the end of the Mellon grant period, the first director of the center became ill and quickly passed. Many participants of the study attributed the initial momentum and success of the center and the Mellon initiative to the first director. Participants also acknowledged the halt in momentum at the time of the first director's illness. "The center was ratched down" (Center Staff Assistant, Bowling Lawn College) in the sense that the center and its programs were put on hold.

Since fall 2008, a new director has assumed the responsibilities of the center. Some participants have observed a change in the direction and focus of the center as a result of changes in leadership. One of the former provosts explained with the following:

> Well, changes in provosts, and leadership in the center have affected the direction and focus of the center. [The First Director] was from the sciences, and was deeply engaged with student collaborative research. Now it's moved away from emphasizing the integration of scholarship and teaching to more of an orientation to the college. . . I'm not completely sure why the focus has strayed a bit, but it's

> likely because of the changes in leadership. (Former Provost A, Bowling Lawn College)

Although the changes in leadership ultimately did not affect the overall sustainability of the Mellon initiative at Bowling Lawn College, participants did note the passing of the first director as a challenge the college was able to overcome with the appointment of the second director.

Moving forward post-first director. The second director focused on moving forward with the center. The second director continued to offer the programs that were successful during the first director's leadership. In addition, the second director has added a series of interdisciplinary scholarly discussions called "Conversations About Our Scholarly Lives" and "Talking About Teaching" to the list of the center's programming. The second director maintains the confidentiality rule of the center, established by the first director, which is "What happens in the [Center], stays at the [Center]" (Bowing Lawn College Self-Assessment Report). In other words, the second director continues to ensure that a trusting relationship continues between the faculty and the center by ensuring that faculty perceive the center as separate from campus administration.

What contributed to the sustainability of the Bowling Lawn Mellon initiative: Participants' reflections on the process. Six themes emerged from the participants' interviews regarding what they believed contributed to the successful implementation and sustainability of the Mellon initiative. From the perspective of the Bowling Lawn participants in this study, the participants primarily defined the sustainability of the Mellon initiative as the Center for Scholarship and Teaching. Although the programs offered through the Center for Scholarship and Teaching are considered to be a part of the Mellon initiative as well, a majority of the participants

interchanged "Mellon initiative" with "The Center for Scholarship and Teaching." Thus, the Bowling Lawn participants equated the sustainability of the Mellon initiative with the Center for Scholarship and Teaching.

The following six themes reflect the observations made by those involved in the implementation and sustainability of the Mellon initiative or the Center for Scholarship and Teaching. In an attempt to capture the participants' voices and perspectives, I utilized their language in describing the themes. The themes are 1) planning, 2) applied institutional learning, 3) trust, 4) campus administrative support, 5) committed leadership, and 6) filling an unmet need. Because there is overlap in the themes, the six themes are interrelated and not mutually exclusive of one another.

Planning. Many participants attributed the successful implementation and subsequent sustainability of the Mellon initiative to planning. Planning occurred both prior to and during the implementation of the Mellon initiative. Two planning sub-themes emerged from conversations with the participants. These themes are 1) inclusive planning and 2) planning for incremental funding transition.

Inclusive planning. Several participants attributed the success of the Mellon initiative to the inclusive planning process in which Bowling Lawn College engaged. One former provost involved with the Planning Committee stated, "I think the strengths [of the implementation process] were in the way they did the planning . . . it involved the voices of many individuals" (Campus Administrator B, Bowling Lawn College). In other words, Bowling Lawn College's planning approach involved more than planning committee meetings. First, the Planning Committee held a series of workshops/focus

groups with the faculty on campus. One planning participant described the meetings as follows:

> It was a broad group of people who came together, in all combinations to learn what [the faculty's] needs were and what [types of support] the campus was not providing. (Faculty Planning Participant C, Bowling Lawn College)

One participant involved in the initial planning stage of the Mellon initiative elaborated upon the planning committee's desire to involve many faculty members, even if doing so was a less efficient method: "It was a very planful, perhaps inefficient process, but [the Planning Committee] felt that the center was not going to be useful if the faculty weren't the ones crafting it" (Faculty Planning Participant A, Bowling Lawn College). The inclusive planning process not only allowed the Planning Committee to obtain a more thorough understanding of the Bowling Lawn faculty needs, but it also provided the faculty as a whole with some sense of ownership over the direction of the Mellon initiative.

Planning for incremental funding transition. Several participants also attributed the sustainability of the Mellon initiative to the planned transition of funds. At Bowling Lawn College, the process of transitioning the operating expenses of the Mellon initiative from soft funding to hard funding was a multi-year process. One administrator described the process of transitioning the funding sources: "[The Center] originally started with all grant money and the college has managed to, in increments, been able to include [The Center] into the operating budget" (Campus Administrator A, Bowling Lawn College). One former provost further elaborated on this process:

> We did [the transition] slowly . . . converted [the Mellon initiative] from soft funding to hard funding, under the administration of myself and the subsequent Provosts . . . we redid the administrative structures to free up funding to allocate it

> to the center . . . and incorporated [The Center] into the operating budget (Campus Administrator B, Bowling Lawn College).

The key strategy used to help sustain the Mellon initiative was Bowling Lawn College's plan to incrementally transition the funding support of the Mellon initiative from the Mellon grant to the college's operating budget. This plan to incorporate the center into the operating budget was detailed in writing in Bowling Lawn's Mellon initiative proposal to the Mellon Foundation. To be able to execute this action successfully, it appears that having the commitment to sustain the Mellon initiative and establishing a concrete plan to follow through with the commitment were important steps in the sustainability of the Mellon initiative.

Applied institutional learning. A second theme, which describes what participants attributed to the successful implementation and sustainability of the Mellon initiative, is the idea of applied institutional learning. By applied institutional learning, I refer to the institution's ability to demonstrate actions that reflect the lessons learned. Learning did not only occur during the initial planning stages of the Mellon initiative; learning was ongoing in the form of constant assessment of the center and the programs the center provided.

Several participants spoke about the faculty and institution's willingness to learn about the needs of faculty and what forms of support would work best to address the needs of the faculty. In addition, participants not only emphasized the faculty and institution's willingness to learn, but the faculty and institution's commitment to apply what had been learned to ensure that the Mellon initiative would be considered valuable to the college.

The application of learning centered around two sub-themes. First, the ongoing assessment of the center and its programming was used to continually improve upon the center and its program offerings. Second, the second director and associate director were faculty who not only participated in the faculty development seminars and programs, but also took the lessons that were learned through their participation in the seminars to inform and guide their administration of the center.

Learning through assessment. Both directors of the Center for Scholarship and Teaching had been highly engaged in ongoing assessment of the center and its programs since the genesis of the center. One planning participant emphasized, "[The First and Second Directors are] always assessing the needs of the faculty" (Faculty Planning Participant A, Bowling Lawn College). The current director of the center stated that feedback from the faculty regarding program session offerings is "always seriously considered" (Director, Bowling Lawn College) whether the feedback is in a form that is formal (i.e. program session evaluation forms and surveys), or informal (observations and program session attendance). The director and associate director would utilize the evaluations to alter the programs as necessary in order to ensure the needs of the faculty are continually addressed. For example, the center's administrators found that program topics based upon assessed faculty interests rather than demographic characteristics resonated better with the faculty:

> We found faculty had little interest in meeting as groups that share a social characteristic such as race, gender or sexuality. As an alternative, we offered faculty opportunities to connect . . . to discuss issues of academic interest. (First Director, Bowling Lawn College Self-Assessment Report)

Hence, instead of pushing particular programming objectives, the directors used the feedback to learn if and how the programs offered through the Center are meeting the

needs of the faculty. The application of the directors' learning through assessment and feedback is evident in the modifications and refinement of the programs over time.

Learning through program participation. Some participants attributed the sustainability of the center to the willingness of faculty members to utilize lessons learned from the programs provided by the Center for Scholarship and Teaching in enacting changes on campus. The director described the success of the Mellon initiative, "The Center's benefits have been in its return on its [Bowling Lawn College's] investment" (Director, Bowling Lawn College). In other words, the director believed that faculty who engage in the center's programming apply what they learn as new campus or department leaders or through the development of new campus policies and programs. The director provided the example of herself and the Associate Director as products of participating in the Center's faculty development programs.

Overall, Bowling Lawn College administrators hoped the experience with the Mellon initiative would provide an opportunity for the college "to have a better sense of key points in faculty careers, when intervention is most useful, and a better understanding of how and when the college can be most helpful" (Mellon Foundation Summary Report). Bowling Lawn administrators anticipated that the Mellon initiative would provide the college with the opportunity to learn about the needs of its faculty as well as to learn ways that would best support its faculty. Moreover, faculty who participated in the center's programs were able to apply their learning as administrators on campus.

Trust. Several participants attributed the sustainability of the Mellon initiative to the establishment of trust between faculty and campus leaders at Bowling Lawn College. Many participants described the presence of a high degree of trust between campus

administration and the faculty. One faculty participant described the faculty-administration relationship as follows:

> At [Bowling Lawn College] there is an absence of tension between faculty and [campus] administration. There are firewalls in place and trust established. Faculty feel like administration supports them without being overbearing or [like] a parent. (Faculty Planning Participant B, Bowling Lawn College)

Participants acknowledged that the development of the center had the potential to either maintain trust or create mistrust. One participant recalled the anxiety that circulated amongst the faculty: "There was real anxiety amongst the faculty when the [Center for Scholarship and Teaching] was formed because of fear that it would be too close to [campus] administration" (Faculty Planning Participant A, Bowling Lawn College). To alleviate the anxiety, the planning committee and campus administrators ensured to maintain a sense of trust with regard to the development and administration of the center. For example, the center was placed in the library as a symbolic representation of the center's independence from campus administration. The director of the center noted the symbolic placement of the center: "The space that the center is located [in] represents it as a 'safe place'" (Director, Bowling Lawn College). The center was purposefully placed in the library, which was considered to be a neutral space on campus and separate from campus administration.

Faculty also have trust in the director even though the director reports to the Provost. Faculty are confident that confidentiality is maintained when they seek advice from the director. One participant explained the trust exhibited by the director's leadership:

> When they [faculty] go to [the Director] for problems, they know that [the Director] will keep what is said confidential from the Provost . . . and in the case that [the Director] *does* have to report something to the Provost, [the Director]

> always asks or consults with that person before going to [the Provost]. (Faculty Planning Participant B, Bowling Lawn College)

In sum, the efforts made to ensure trust between the faculty and administration regarding the Mellon initiative were viewed by the participants as contributing to its sustainability.

Campus administrative support. Many participants also credited the sustainability of the Mellon initiative to campus administration's ongoing support for the development of the center. One of the former Provosts stated, "[The idea of a Center for Scholarship and Teaching] was well received by the faculty. . . so it became a funding priority [for the College]" (Former Provost B, Bowling Lawn College). The priority that campus administration placed on the Mellon initiative by making the center a funding priority was an important factor in sustaining the initiative.

The Center for Scholarship and Teaching has remained a priority among the campus administration business items. Among the various topics or issues on campus, the center is not considered an "other business" issue on the agendas of the Bowling Lawn faculty meetings. As the Associate Director of the center explained:

> The director of the [Center] also gives a report at each of the faculty meetings, right after the reports by the President and Provost's report, and I believe that this not only ensures that all faculty are aware of the activities and efforts of the Center, but also signals its central role and importance within the college. (Associate Director, Bowling Lawn College)

The priority that is placed upon the center is further exemplified in a statement from one of the campus administrative participants: "We [Bowling Lawn College] treat [the Center] like any other academic program" (Campus Administrator B, Bowling Lawn College). In other words, the center is not on the periphery of campus, but instead

considered "core" to the institution, in much the same way as academic programs are considered on campus.

Committed leadership. Many participants felt that the committed leadership, represented by the actions of the directors and campus administrators, was another factor in the sustainability of the Mellon initiative. Bowling Lawn participants spoke extensively about the leadership exhibited by the first and second directors of the center, as well as the former provost at the beginning of the grant period. For example, many participants believed the first director was responsible for the expansion and momentum of the center at the beginning stages. To exemplify the significance of the first director's role in the beginning stages of the center, the center has been renamed to the [First Director's name] Center for Scholarship and Teaching.

In addition, participants described the first and second directors as individuals who "had their ears to the ground," or individuals who were in tune with the needs of the faculty. Finally, participants believed that the former provost was "instrumental" (Faculty Planning Participant B, Bowling Lawn College) in the development of the Mellon initiative and serving as the administrative advocate for the sustainability of the center. In sum, Bowling Lawn participants believed that the sustainability of the Mellon initiative was the result of the committed leadership of these individuals. Because this theme overlaps with the leadership factor in the guiding conceptual framework, I provide further discussion regarding the leadership attributes of these individuals in my analysis of the case through the framework.

Addressing an unmet need. Finally, many participants noted the fact that the Mellon initiative provided the institution with the resources to create a support system

that was absent from the College. Several participants noted the absence of and desire for a centralized faculty development system on campus during the planning stages of the Mellon initiative. One former Provost confirmed that "there was no prior center for faculty development at [Bowling Lawn College]" (Former Provost A, Bowling Lawn College). The Mellon initiative, in the form of the Center for Scholarship and Teaching, has not only filled the void of faculty development on Bowling Lawn's campus, but also filled a recognized need observed by the faculty and campus administrators.

Exploring the case through the framework. To understand the sustainability process in more detail and to highlight points for cross-case comparison in Chapter Five, I provide my analysis of the sustainability factors through Shediac-Rizkallah and Bone's (1998) framework, focusing on the program, institutional and environmental factors. Although some overlap exists between the themes that emerged from the interviews and the guiding conceptual framework, an analysis using the framework helps to further explain the sustainability process. For this and the other three cases in this chapter, I discuss each of the sustainability factors as presented in the guiding conceptual framework, utilizing the terminology and language of Shediac-Rizkallah and Bone.

Program factors. Program factors greatly contributed to the sustainability of the Mellon initiative at Bowling Lawn College. The perceived *effectiveness* of the Center for Scholarship and Teaching was an influential program factor in the Mellon initiative's sustainability. This perception reinforced Bowling Lawn College's plan to implement a Center for Scholarship and Teaching. In addition, the *type of program* or initiative that Bowling Lawn created with the Mellon grant funds, as a campus wide initiative, also factored into the sustainability of the Mellon initiative. Together, these two program

factors played an important role in the sustainability of Bowling Lawn's Mellon initiative.

Program effectiveness. Although it appears from the beginning that Bowling Lawn College was committed to the development of the center, the center's effectiveness nonetheless played a role in the college's continued commitment to sustaining the Center. Bowling Lawn administrators "could see the successes of the Center early on in the implementation process" (Former Provost A, Bowling Lawn College). Assessment records of the Center and the Center's programs from 2004 and 2007 indicate high satisfaction scores from the faculty community. Although lack of time on the part of faculty to participate is cited as the greatest barrier to the use of the Center's programs, the Center's self-study surveys suggest that the programs are widely used by the faculty and the programming is perceived as valuable by the faculty.

Program type. Bowling Lawn used the Mellon grant to develop a faculty development center, through which programs would be offered to support the faculty across the lifecycle, rather than using the grant to develop a number of independent programs. In other words, the strategy that Bowling Lawn took in utilizing its grant resources was the development of a broad resource for the institution—the Center for Scholarship and Teaching. Stated differently, Bowling Lawn's Mellon initiative was broad in its reach because the college viewed the initiative as an institutional project, rather than a project that would assist just specific groups of individuals.

The breadth of the center's reach is exemplified through the main programmatic components of the center—the early career faculty seminar and the mid-career seminar. These programs reach the two largest faculty groups on campus, which are the early

career and mid-career faculty members. The director describes the two sets of programs as the programs with "obvious return on investment" (Director, Bowling Lawn College). In other words, because 40 percent of the Bowling Lawn faculty are pre-tenure, Bowling Lawn College has much invested in its junior faculty. Therefore, providing adequate support for teaching and research to the junior faculty members increases the likelihood that they are able to meet the required standards for obtaining tenure. In terms of the mid-career faculty, because the focus of the mid-career faculty seminar is on leadership and providing support for the transition to department chair or program director positions, the Center provides support to the mid-career faculty members.

Institutional factors. In addition to the program factors, institutional factors contributed to the sustainability of the Mellon initiative at Bowling Lawn College. The center's ability to *integrate with existing programs or services* on campus was an institutional factor in the sustainability of the Mellon initiative. Intentionally designed to fit into the fabric of Bowling Lawn's culture, the center was perceived by the participants as well integrated with the existing campus services. In addition, *leadership* with regard to the Mellon initiative and the center played a significant role as an institutional factor in the implementation, execution, and sustainability of the Mellon initiative at Bowling Lawn.

Integration with existing programs or services. The Mellon initiative was well integrated with the landscape of Bowling Lawn College on several levels. First, although Bowling Lawn College offered internal grant opportunities for faculty research prior to the development of the center, the opportunities were not centralized. The idea of centralizing the services and creating a "one-stop-shopping" approach appeared to be at

the request of the faculty. Emphasizing the need for a centralized support center, one of the former provosts affirmed that the college wanted "to take advantage of the strengths of the college and be able to provide resources to the faculty that were already in place . . . in a sense to centralize what was already existing on campus" (Former Provost B, Bowling Lawn College). Therefore, although some of the programs were "new," such as the New Faculty Seminar and the mid-career seminar, many of the resources that the center currently houses, such as research grant information, already existed on campus.

The center also fit into the new direction that Bowling Lawn College was moving. Bowling Lawn College was "moving in a direction that wanted to encourage their faculty to work with students on research" (Former Provost A, Bowling Lawn College). The name of the center, as well as the center's mission statement, emphasize the areas of scholarship and teaching in faculty life at Bowling Lawn College. The center has thus come to symbolize the value of combined scholarship and teaching in faculty work at Bowling Lawn College.

Finally, the goals and purpose of the center coincide with the reward structure set in place at Bowling Lawn College. The college has a professional development requirement as part of its annual review of the faculty. Hence, professional development is valued not only through the presence of the center, but also in the way that Bowling Lawn College proceeds with its faculty review process.

Program champion/leadership. Leadership was crucial for the sustainability of the center. In fact, this factor was one of the themes that emerged from the participants. There was not, however, one program champion that could be singled out in this case. Instead, three individuals at different points in time stand out—the two directors that the

center has had since its inception, and the provost at the time of the initiative's development. I discuss each of these individual's attributes and how each individual contributed to the sustainability of the center. After discussing each individual, I discuss the commonalities among all the individuals as program champions.

The first director was nominated by the planning committee "because she was already doing [faculty] mentoring. She had a unique sense of perspective of being a faculty member and knowing their needs" (Faculty Planning Participant C, Bowling Lawn College). In addition, the first director, as a member of the planning committee for the center and the faculty steering committee for the grant, and was in-tune with the development and implementation plans of the center. In general, the first director was described as a "superstar" by her colleagues.

The year the second director came on board was a transitional time in the sustainability of the center and a test of the new second director's leadership. However, by the time the second director assumed the position that was left by the first director, it appears that the faculty at Bowling Lawn College had already embraced the importance and significance of the center and its services. As the second director remarked upon her first year as director and the impact that the first director had on the Bowling Lawn faculty community:

> [That] year was powerful . . . it was like the whole community was rallying behind the Center because of [the First Director] . . . because she was a superstar . . . she was the driving force behind the Center. (Director, Bowling Lawn College)

Although the first director's leadership was instrumental in creating momentum for the Mellon initiative, the second director has been equally recognized as a leader in continuing the momentum of the Mellon initiative and the center. The second director

stepped into the role that was championed by an individual who was "beloved" by the faculty and had suddenly passed. As one of the participants stated, "[Second Director] stepped in under circumstances that would be perceived as being really difficult because of the timing of [First Director's] death" (Faculty Planning Participant C, Bowling Lawn College). Because of the circumstances surrounding the second director's inauguration into the director's position, many faculty acknowledged the challenges that the second director might encounter as a "replacement" for the first director.

The second director seemed clear in her leadership role. According to one participant involved in the initial planning grant of the Mellon initiative, "[The Second Director] said that she was not going to be a [First Director] Substitute" (Faculty Planning Participant A, Bowling Lawn College). In other words, the second director would extend the components of the center that were successful while taking the ideas behind the programs that were less successful and creating revised versions of them. The second director, who had her own interests in faculty development, also utilized the opportunity to extend the reach of the programming by including a seminar for visiting faculty. In sum, the second director did not merely replicate what the first director had accomplished, but instead saw a leadership opportunity to help grow the center in ways that reflected what the center had learned from the self-assessments as well as what she, herself, had learned as a prior participant in the programs.

Although unique as individuals and as leaders, both directors have shared commonalities. Each has a quality that resonates with the faculty, but in their own ways. One planning participant elaborated, "both [Directors] have their ear to the ground. . . both [are] kind, willing to listen, and aren't afraid of confrontation" (Faculty Planning

Participant C, Bowling Lawn College). Having their "ears to the ground" is reflected in the directors' reliance on and use of assessments to guide decision-making with regard to programming. "[They are] always assessing the needs of the faculty" (Faculty Planning Participant A, Bowling Lawn College) to guide the programming of the center.

The third individual that has been credited as "instrumental" (Faculty Planning Participant B, Bowling Lawn College) in moving the grant project forward was the provost involved at the beginning of the grant. The former provost was a self-described "huge supporter" (Former Provost A, Bowling Lawn College) of the center and the Mellon initiative. In addition, the faculty viewed the former provost as the campus administrative voice in support of the center. It was the former provost's suggestion to reorganize the administrative structures in order to free-up funds that would then be allocated to the center's budget. In general the former provost was viewed as an ally of the faculty. In fact, the faculty's perception of the former provost was that of an individual "whose identification remained with the faculty" (Faculty Planning Participant A, Bowling Lawn College). Many participants believed that without the former provost as an ally, the Mellon initiative would not have received as much campus administrative support for the initiative.

Collectively, the three individuals were the program champions. Both directors had the energy to maintain the momentum necessary to keep the center moving forward. Meanwhile at the institutional level, the former provost's ability to be the administrative bridge was critical in making the center an "administrative priority" and freeing up funds to support the center. However, all three individuals were effective listeners, listening to the faculty and understanding what the faculty needed to be more effective in their roles

as researchers and teachers. Moreover, the three individuals were effective in their ability to execute the necessary actions to ensure that the Mellon initiative would provide the appropriate support to the Bowling Lawn faculty.

Environmental factors: Socioeconomic and political considerations. Environmental factors, or *socioeconomic and political considerations,* played a less influential role in the sustainability of the Mellon initiative at Bowling Lawn College. Although political factors were not found to have contributed to the sustainability of the Mellon initiative, socioeconomic factors appeared to have a mild effect on the overall sustainability of the Mellon initiative and the center. Bowling Lawn College had planned to incorporate the center into the operating budget upon receiving the grant. The nation's economy was relatively strong between the years 1999 and 2007. During those years when the college was gradually transitioning the center's funding into the college's operating budget, the college's endowment was strong. Although the year 2009 was a time of economic recession, the college was not in a position where additional funds needed to be contributed toward the center—the Center was already incorporated into the budget.

Summary. Bowling Lawn College's Mellon initiative was focused on the design and implementation of a faculty development center from which faculty development support programs would be administered. The implementation of the Mellon initiative at Bowling Lawn College resulted in the Center for Scholarship and Teaching and the various faculty development programs that the Center administers. In addition, Bowling Lawn experienced a cultural shift that has moved toward greater acceptance of and support for faculty development as a result of the Mellon initiative. As part of the process

to sustain the initiative, Bowling Lawn slowly incorporated the budget of the center into the operating budget of the college over the course of the grant period. In order to assist with the incorporation, the college adjusted the administrative structures in order to free up funding to support the Mellon initiative and the development of the center. The participants in this study attributed the success and sustainability of the Mellon initiative to six themes—planning, applied organizational learning, a culture of trust and strong leadership, campus administrative support, committed leadership, and addressing an unmet need.

In addition to highlighting the themes that emerged from the participants' perspectives, I analyzed the sustainability process through the guiding conceptual framework. The program factors of *program effectiveness* and *program type* were found to contribute to the sustainability of the Mellon initiative. The assessed effectiveness of the center appeared to have affirmed the college's decision to sustain a Center for Scholarship and Teaching. In addition, rather than creating a number of programs for faculty, Bowling Lawn College chose to invest its resources into developing a center to administer the Mellon grant initiative programs. The broad, institutional approach that Bowling Lawn College took by focusing on the development of a center rather than on the development of a set of individualized programs was found to be another factor in the sustainability of the Mellon initiative.

Institution factors of *integration into existing programs or services* and *leadership* also were found to contribute to the sustainability of the Mellon initiative. Bowling Lawn's approach to the Mellon initiative was to create a center that would centralize all faculty development resources on campus. Bringing together services and programs that

were already present on campus helped to prevent duplication while solidifying the significance of the center on campus. In addition, the administrative leadership at the institutional as well as the program levels was found to help the momentum of the center's implementation and continuation. The institution garnered the necessary administrative and institutional support while ensuring that the center fit with the needs of the target audience—the faculty—as well as the needs of the institution.

Although environmental factors were found to have less of an impact on the sustainability of the Mellon initiative, I found that the *socioeconomical* influences of the nation at the time of the Mellon grant may have helped place the college in a position where the college was financially stable enough to maintain the center beyond the initial grant period.

Case Number Two: Castlegate College

Castlegate College sits in a small college town in the rural part of the state. Castlegate is renowned for its pioneering achievements in education, long history of curricular innovation, and the campus' gothic architecture and well-manicured lawns. Originally opened as a women's college, the co-educational, independent college enrolls approximately 2,500 students. More than 70 percent of the faculty members live either on campus or within close proximity to campus.

Castlegate's education is shaped by the study of art and the college's use of original source materials as essential teaching elements in several departments. The college is cited as the first college in the United States to include a museum among its facilities. Although Castlegate was established as an institution independent of particular

denominational ties, the college "has long understood the importance of religious exploration and formation to education" (Castlegate College website).

The proposed initiative. Castlegate College developed its Mellon initiative as a set of campus-wide and individual programs that would address the following three aspects of faculty life:

Strengthening intellectual connection. Castlegate envisioned a series of organized, community building activities called "Faculty Conversations." The intent of the Faculty Conversations was to create cross-disciplinary opportunities for faculty to learn of each other's research and teaching strategies, and explore topics of mutual interests.

Helping individual faculty members balance work. In order to understand in greater depth the extent to which competing demands on faculty time affect productivity and vitality, Castlegate proposed the development of a "Time Balance Study." The proposed campus study would examine the ways in which Castlegate faculty members utilize their time with regard to faculty work.

Developing and encouraging the vitality of faculty. Finally, Castlegate proposed to support faculty at different stages of their careers in ways that were not already provided by existing programs through the administration of funds or mini-grants. These funds or mini-grants would provide faculty members opportunities to pursue a variety of scholarly or intellectual projects.

To assist with the administration of the three components of the Mellon initiative, Castlegate created a Director for Faculty Research Development position to perform the following duties:

> [The Director for Faculty Research Development would] work with the faculty, the Dean of Faculty, and relevant faculty committee and campus offices to address the [three] issues of [intellectual] community, balance, and the revitalization and valuing of teaching, research and intellectual inquiry. (Castlegate College Mellon Proposal)

The Director for Faculty Research Development would initiate and carry out the three elements of the Mellon initiative proposal. First, the director would coordinate the Faculty Conversations in order to strengthen intellectual connections on campus. In other words, the director was responsible for organizing the seminars by selecting themes that would be of interest to faculty across the campus. Second, the director was responsible for coordinating the Time Balance Study to examine the ways in which Castlegate faculty members utilize their time. Finally, the director was the "point-person," according to the current Director for Faculty Research Development, with regard to revitalizing the faculty's scholarly and research interests. The Director for Faculty Research Development accomplished this aspect in the following way:

> . . . administer funds to support faculty members—individually or in groups—to pursue a variety of scholarly or intellectual pursuits. . . The [mini-grant] fund would support faculty interests at preliminary stages (before the faculty member actually knows what the final product—if any—might be) or provide support tailored to a faculty member's specific situation. (Castlegate College Report to the Mellon Foundation)

In sum, the Director for Faculty Research Development was expected to coordinate all three components. In addition, Castlegate College intended to create an Office for Faculty Research Development to provide administrative support for the Director for Faculty Research Development. Castlegate College instead chose to fold the Director for Faculty Research Development position into the campus' existing Learning and Teaching Center midway through the grant period. As such, Castlegate College represents the type of campus that administered the Mellon initiative through the

establishment of a coordinating position, which eventually was housed within an existing teaching and learning center on campus. Figure 4.2. is a visual representation of this type of administration.

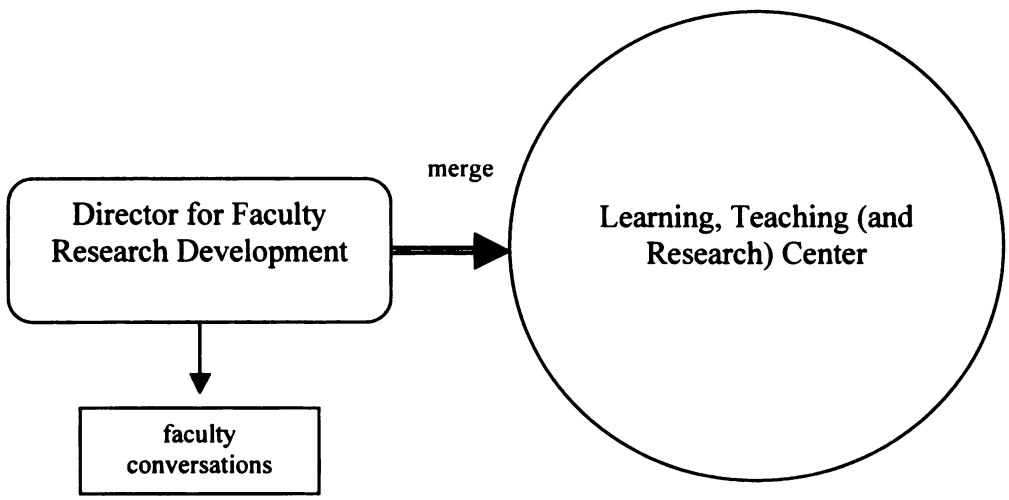


Figure 4.2. Castlegate College's Administration of Mellon Initiative

The key players in the Mellon initiative. The implementation, execution, and sustainability of the Mellon initiative at Castlegate College involved the following key players:

Planning Committee and Task Force. The Planning Committee and Task Force was a committee of approximately 12 faculty members, appointed by the provost. The committee was a diverse group of faculty, representing various disciplines and different career stages. The committee was developed solely for the purposes of planning the Mellon initiative proposal. Since the implementation of the initiative, the committee has disbanded.

Director for Faculty Research Development. The Director for Faculty Research Development position has "evolved over the course of the Mellon initiative" (Director for

Faculty Research Development, Castlegate College). The position is a three-year term position. A tenured faculty member, appointed by the provost, fills the role in exchange for a course release. Since the implementation of the Mellon initiative, the Director for Faculty Research Development transitioned three times—three faculty members serving as the Director for Faculty Research Development and one administrator serving as interim director.

The first faculty member who occupied the position was a tenured faculty member heavily involved in the planning stages. However, the faculty member fell ill during the first year of the three-year appointment and consequently stepped down from the director position. An administrator-faculty member subsequently assumed the position for the following year as the interim second director while an internal search was conducted to appoint a new director.

The third Director for Faculty Research was a tenured faculty member who was not involved in the planning stages. Deeply committed, nonetheless, in moving the director position forward, the third director helped define the roles of the position and began a working relationship with the administrators affiliated with the college's Learning and Teaching Center.

As of fall 2009, the fourth director, appointed by the provost, is a tenured faculty member. The faculty member has spent a majority of her career at Castlegate College. Although not involved in the planning stages, the fourth director was a faculty participant in the Faculty Conversations component of the Mellon initiative.

Learning and Teaching Center administrators. The Learning and Teaching Center, eventually renamed the Learning, Teaching, and Research Center, was the

student-learning center on campus. The center's administration comprises of a director, associate director, and administrative assistant to the center. Although not involved in the planning or implementing stages of the Mellon initiative, the center eventually became home to the Director for Faculty Research Development and the Mellon initiative.

Provost. Since the implementation of the Mellon initiative, the person occupying the provost position has transitioned once. The provost in office during the Mellon grant period was directly involved in the planning stages of the Mellon initiative. As the Provost and Dean of Faculty, the Provost oversaw the Mellon initiative and appointed the third and fourth directors for Faculty Research Development. Since the appointment of the fourth Director for Faculty Research Development, a new provost has presided over the faculty.

The results of the implementation. The implementation of the Mellon initiative at Castlegate College led to four results, as identified by the participants in the study.

Director for Faculty Research Development. One result of the Mellon initiative was the Director for Faculty Research Development position. Although the Director for Faculty Research Development no longer awards mini grants to the faculty, as was proposed in the original Mellon initiative, the position has become a valuable addition to the Castlegate community as the liaison role between faculty and administration. One faculty participant described the value of the Director for Faculty Research Development in the following manner: "[The Director] bridges communication by acting as a faculty liaison between the faculty and . . . [campus] administration" (Faculty Planning Participant D, Castlegate College). Serving as a liaison, the Director for Faculty Research

mentors faculty at all career stages and coordinates programs and events for the faculty. The director elaborated on how she viewed the position:

> I serve as . . . like a mentor. . . providing insight and feedback to both senior and junior faculty members as a resource that is outside of the department because the department is where faculty are evaluated. . . you know, why would someone go to the department head when you know that the department head is the one who will evaluate you in the end? So I'm like that colleague support . . . that's a part of what I do. (Director for Faculty Research Development, Castlegate College)

The mentor, liaison role was absent at Castlegate prior to the Mellon initiative. Although the actual role of the Director for Faculty Research Development, as defined in the original Mellon initiative, has been modified, the Director for Faculty Research Development fills the mentor, liaison role that Castlegate College needs.

Faculty conversations. A second result of the Mellon initiative was the Faculty Conversations. The Faculty Conversations component of the Mellon initiative continues to serve the community building function that was proposed in Castlegate's Mellon proposal. The Director for Faculty Research Development explained "from my understanding, the faculty conversations were deemed very valuable at the end of the grant, so the Provost came up with monies to sustain them" (Director for Faculty Research Development, Castlegate College). However, the Faculty Conversations continue in a modified form. Currently, the Director for Faculty Research Development invites faculty to develop groups to discuss topics of mutual interest. The director subsequently assists the faculty members in coordinating the groups and provides monetary support for food, materials and books. Therefore, whereas previously the director selected the topics for the groups, currently the faculty approach the director with topics and themes to develop groups. Nevertheless, the Faculty Conversations still address the original goals of the proposed Mellon initiative. This was to create

community by providing opportunities for faculty to get together over mutual, scholarly interests.

Results from the Time Balance Study. The third result of the Mellon initiative was the Time Balance Study. The Time Balance Study, although executed as a one-time study, produced results that benefited the Castlegate community in two ways. First, the results provided information to the third Director for Faculty Research Development to help guide her decision-making with regard to the type of support that would be needed in assisting faculty. For example, findings from the study suggested that although faculty felt attending workshops on particular topics was helpful, the faculty did not have time to attend. For this reason, the third director initiated a "grants for lunch" series during her time as director "where people who have successfully gotten a grant share their experiences [with other faculty members]" (Third Director for Faculty Research Development, Castlegate College). Similarly, based upon the finding that faculty did not have time to find publishers for their materials, the third director developed "Publishing Day."

> The first time, I invited someone from the publishing company to speak with the faculty about publishing [with the represented company]. . . Then the following year I invited 3 publishers [to campus] . . . one time we had one rep who said he would be willing to read 8 to 10 manuscripts before coming to campus. . . that was *very* popular [with the faculty]. . . and it applied to both new and senior faculty. (Third Director for Faculty Research Development, Castlegate College)

Second, the findings from the Time Balance Study resulted in a publication for some faculty. A group of faculty members from one of the departments took the results of the study and published an article. Thus, the Time Balance Study not only led to information that the third Director for Faculty Research Development utilized to develop programs for faculty, but also led to a faculty publication.

Learning, Teaching and Research Center. The final result of the Mellon initiative was a change in the campus' perception of the Learning and Teaching Center because the institution folded the Director for Faculty Research Development position into the center. Formerly named the Learning and Teaching Center, the center originally served as the campus learning resource and writing center for students. Since the incorporation of the Director for Faculty Research Development into the center, the center is now the Learning, Teaching and Research Center. As such, the center is focused on serving faculty as well as students.

The incorporation of the Director for Faculty Research Development into the center and the renaming of the center have resulted in a positive change on campus. The Director for Faculty Research Development explained:

> I like the idea of having the center seen as not remedial [as had been the case when formerly known as the Learning and Teaching Center] but instead a place that emphasizes scholarship, research and teaching as one thing . . . that faculty, like students, are learning too . . . that faculty members at a liberal arts college can continue research in the classroom through their teaching by doing more experiential approaches as well as finding ways to make the transition from graduate student to professor by finding publishing opportunities. (Director for Faculty Research Development, Castlegate College)

The renaming of the center to the Learning, Teaching, and Research Center has not only provided a home for the Director for Faculty Research Development position, it has also facilitated a more positive change in the perception of the Learning and Teaching Center. This change from the Learning and Teaching Center to the Learning, Teaching, and Research Center is a symbolic representation of Castlegate College's espoused value of emphasizing both scholarship and teaching in its mission.

Developing and implementing the Mellon initiative. The development and implementation of the Mellon initiative at Castlegate did not unfold in a predictable

manner. Castlegate encountered several staffing set-backs during the implementation of the initiative, while it simultaneously worked through transitions within the campus administrative infrastructure.

Planning. Castlegate's Planning Task Force developed the Mellon initiative proposal based upon a list of faculty concerns and needs that emerged from interviews with faculty members on campus. According to one planning participant, "[The Faculty] emphasized the importance of fostering intellectual connections that would make faculty work more fulfilling and sustainable" (Faculty Planning Participant A, Castlegate College). As the Planning Task Force developed ideas for the Mellon initiative, the Task Force "agreed that activities to address the needs [of the faculty] should benefit the largest number of faculty, representing all ranks and stages of career and personal situations" (Faculty Planning Participant B, Castlegate College).

In addition, the Task Force believed a coordinator would be necessary to carry out Castlegate College's Mellon initiative proposal. Therefore, the Task Force emphasized the creation of the Director for Research Development. The director would act as the unit to coordinate intellectual community building activities, administer the "Time Balance Study," provide mentoring in research, and work as a liaison between the faculty and campus administration.

Challenges to implementation. Great emphasis was placed on the development of the Director for Faculty Research Development position because of the large amount of responsibilities expected of the role. However, Castlegate experienced set backs when establishing the director position. In particular, the first director for Faculty Research Development held the position for only one academic year because of the onset of an

illness. The second person occupying the position was an administrator-faculty member who held the position in the interim. As a result, the establishment of the position, as well as activities associated with the Mellon initiative, were delayed.

Thus, the appointment of a new Director for Faculty Research Development was not made until the third year of the grant. Not only did progress on the execution of the Mellon initiative slow, but the intent to develop an Office for Faculty Research Development to provide administrative support to the Director for Faculty Research Development was dropped.

Securing necessary campus connections. Although the role and leadership demonstrated by the third Director for Faculty Research Development will be discussed later, the third director played an instrumental role in obtaining the support of the provost to sustain the Faculty Conversations. Once the third director assumed the position, she advocated for the continued administrative support for the Faculty Conversations. According to the third Director for Faculty Research Development:

> I told the Provost, of all the things they [Castlegate College] should keep, it should be the faculty conversations. It was a wonderful way (for little money) to have curriculum workshops, have others read each other's work, and stimulate intellectual community. (Third Director for Faculty Research Development, Castlegate College)

In addition to advocating for the continued support for Faculty Conversations through the Provost's Office, the third Director for Faculty Research Development initiated conversations with the administration of the Learning and Teaching Center regarding collaborative efforts in supporting faculty through joint sponsorship of programs. The administrators of the Learning and Teaching Center were receptive to the idea proposed by the third Director for Faculty Research Development because:

> [The Director of the Learning and Teaching Center] and I had decided to expand [the services of the Learning and Teaching Center] to include faculty development, because in a sense, we were already providing that service in an informal way, and truly, when you think about it, faculty development and student learning . . . they go together here, you really can't have one without the other. (Learning, Teaching, and Research Center Administrator A, Castlegate College)

By the end of the Mellon grant period, the Learning and Teaching Center was renamed the Learning, Teaching, and Research Center. In addition, the Director for Faculty Research Development was considered one of the administrators of the Learning, Teaching, and Research Center. Meanwhile, the Faculty Conversations continued to be coordinated under the Director for Faculty Research Development with funding from the Office of the Provost.

What contributed to the sustainability of the Castlegate Mellon initiative: Participants' reflections on the process. Four themes emerged from the participants regarding what they believed contributed to the sustainability of the Mellon initiative. The Castlegate participants equated the sustainability of the Mellon initiative with only certain components of the original Mellon initiative. In particular, the participants viewed the sustained Mellon initiative as the continued position of the Director for Faculty Research Development and the Faculty Conversations. Therefore, for the remainder of the discussion of Castlegate, I interchange Mellon initiative with Director for Faculty Research Development and the Faculty Conversations because of the participants' perspective of the sustained Mellon initiative as comprising just those two components.

The four themes reflect the observations made by the faculty and administrators involved in the sustainability of Castlegate's Mellon initiative. I discuss the themes utilizing the language of the participants. The themes are 1) timing of grant, 2) folding the Director for Faculty Research Development into the Learning and Teaching Center,

3) leadership from the third Director for Faculty Research Development, and 4) fulfilling a need on campus. These four themes are interrelated and not mutually exclusive of one another.

Timing of grant. Many participants attributed the sustainability of the Mellon initiative to the mere timing of the Mellon grant as coinciding with transitions occurring at Castlegate. Participants spoke extensively about the transitions that Castlegate experienced at the time of the Mellon grant period. According to one campus administrator, Castlegate was "still fine-tuning its [administrative] structure" during the Mellon grant period (Campus Administrator B, Castlegate College). In essence, the Mellon grant overlapped with the transition period at Castlegate. Thus, the third Director for Faculty Research Development emphasized that *because* the college was going through a period of transition during the grant period, the circumstances allowed her the flexibility to improvise. "I felt the grant timing was just right and it added another dimension to the change that Castlegate was undergoing" (Third Director for Faculty Research Development, Castlegate College). Therefore, the unique timing of the Mellon grant coinciding with the campus transition in administrative infrastructure allowed for the Mellon initiative to be viewed "as a time to experiment and see where the initiatives implemented would take Castlegate because of the transitions that Castlegate was dealing with at the time" (First Director for Faculty Research Development, Castlegate College).

Folding the director position into the Learning and Teaching Center. Several participants felt that the sustainability of the Mellon initiative was attributed to the decision to move the Director for Faculty Research Development into the Learning and Teaching Center. When Castlegate College drafted its proposal for the Mellon initiative,

the college had intended for the Director for Faculty Research Development to work within a new Office for Research Development. However, the Office for Research Development never came to fruition. As a result, the Director for Faculty Research Development worked independently, but in association with the Office of the Provost. Several participants commented that the Director for Faculty Research Development was "isolated . . . off on the outskirts" (Learning, Teaching and Research Center Administrator A, Castlegate College).

Because the Director for Faculty Research Development, and thus the Mellon initiative, was perceived as off on the outskirts, the third Director for Faculty Research Development began talking and working with the Learning and Teaching Center "because we [The Learning and Teaching Center] were beginning to do new faculty events" (Learning, Teaching, and Research Center Administrator B, Castlegate College). The third Director for Faculty Research Development further explained her thinking regarding the merger:

> There's a tension between teaching and research here [at Castlegate] because of the limited time . . . because faculty here have a five course load . . .it seemed important and symbolically good to put research with teaching and learning and to not have the Director for Research Development off in some other place. (Third Director for Faculty Research Development, Castlegate College)

Rather than maintaining two separate entities, Castlegate College administrators made the decision to bring the Director for Faculty Research Development position into the Learning and Teaching Center to "work in collaboration with the [Learning and Teaching Center] in organizing events" (Learning, Teaching and Research Center Administrator B, Castlegate College).

The result of the move has not only given a home to the Director for Faculty Research Development and the Faculty Conversations programs, but it also has transformed the former Learning and Teaching Center that had a reputation as a remedial center into the Learning, Teaching and Research Center that has become "a place that emphasizes scholarship, research and teaching as one thing—that faculty, like students, are learning too" (Director for Faculty Research Development, Castlegate College). Although the move was more of a symbolic move than a physical move, it nonetheless required the efforts of the Director for Faculty Research Development and the administrators of the Learning and Teaching Center to work together and plan how the incorporation of the director's position would be beneficial to both sides. As a result, the symbolic placement of the director position helped to solidify its "place" and identity on campus.

Leadership of the Third Director for Faculty Research Development.

Participants also attributed the successful sustainability of the Mellon initiative to particular leadership actions on the part of the third Director for Faculty Research Development. First, the position was not solidified until the third year of the grant when a third person was appointed to become the third director. Because of the instability of the position, the third director had no starting point to interpret the position:

> Well, [the First Director] got ill after the first year, so the position wasn't really jelled in any real sense. . . when I was asked to take on the position, I read the proposal, and I had some guidelines on what were the goals of the [Director for Faculty Research Development] position. . . but for the most part, I had to invent the position. (Third Director for Faculty Research Development, Castlegate College)

In essence, the third director's ability to create the Director for Faculty Research Development in a way that would contribute to the campus community and meet a need helped to secure the position's place on campus.

In addition, participants at Castlegate noted the third director's discussion with the Provost, and her request for the continued support for the Faculty Conversations as a key moment in sustaining the Mellon initiative. To many of the campus administrators and faculty, the sustainability of the Faculty Conversations component is greatly attributed to the proactive action of the third director as well as the responsiveness of the Provost to support the continuation of the Faculty Conversations component of the initiative. One faculty planning participant explained her assessment of the Mellon initiative:

> Oh, by far [Third Director for Faculty Research Development] is the reason why the Faculty Conversations got the support it needed from the Provost. [Castlegate College] has always been supportive of faculty here, but, it needs . . . it requires people to go to them, say something, bring attention to it . . . I mean, how else would they [administration] know? (Faculty Planning Participant B, Castlegate College)

Hence, the proactive actions of the third director in approaching the Provost for continued funding for the Faculty Conversations was a key factor in the sustained support for the Mellon initiative. Because this theme overlaps with the leadership factor in the guiding conceptual framework, I provide further discussion regarding the leadership of the third director in my analysis of the case through the framework.

Fulfilling a need on campus. As previously mentioned, the role of the Director for Faculty Research Development addressed an identified need on campus. Several participants in this current study noted that "[Director for Faculty Research Development] serves a real need at [Castlegate]" (Learning, Teaching and Research Center Administrator A, Castlegate College) by serving as a mentor to the faculty and as

a liaison between faculty and campus administration. Another campus administrator also explained that the Director for Faculty Research Development fills a need at Castlegate:

> [Castlegate] already had a grants office to help faculty members navigate the grant process. But the college wanted a faculty [member] to act as a colleague to others to help them understand what grants to apply [for], what to do with their research from their dissertation, etc. (Learning, Teaching and Research Center Administrator B, Castlegate College)

In addition, the Faculty Conversations were purposely "designed to fill an unmet need" (Castlegate College Mellon initiative proposal) by the Planning Task Force. Castlegate participants noted the Faculty Conversations program addressed the need for community that Castlegate hoped to address with the Mellon initiative. For example, one faculty member explained:

> There were several opportunities to participate in seminars, but they either were confined to one discipline or area, like Jewish studies . . . environmental studies . . . or had a more formal end product requirement. (Faculty Member A, Castlegate College)

The Faculty Conversations were developed to create intellectual community without the formal expectation that a scholarly product would result. The third Director for Faculty Research Development elaborated upon the need that the Faculty Conversations program filled on the Castlegate campus:

> The Faculty Conversations . . . we didn't have such opportunities prior to the grant, and so when it was realized that it [the Faculty Conversations] was a wonderful way, and for *so* little money, to have curriculum workshops, have others read each other's work, stimulate intellectual community . . . it just demonstrated that the faculty really craved these discussion groups. . . and I think as long as [the Faculty Conversations] continue to meet the needs of the faculty, the institution will continue its commitment to it. (Third Director for Faculty Research Development, Castlegate College)

Therefore, unlike prior faculty seminars that were intended to develop a scholarly product, the goal of the Faculty Conversations was to create scholarly community.

In essence, Castlegate College intended for the Faculty Conversations component of the Mellon initiative as well as the Director for Faculty Research Development position to address particular needs on campus. As such, participants noted that the ability for the Mellon initiative to fill an unmet need contributed to the sustainability of the Mellon initiative.

Exploring the Case Through the Framework. In this section, I provide my analysis of the sustainability process of the Mellon initiative utilizing my conceptual framework as a guide. To reiterate, the sustained Mellon initiative is the continued Director for Faculty Research Development position and the Faculty Conversations. Although some overlap exists between the themes that emerged in the interviews and the guiding framework, the analysis using the framework helps to further explain the sustainability process. In what follows, I examine the sustainability process using the guiding conceptual framework, focusing on the program, institutional and environmental factors.

Program factors. Program factors contributed to the sustainability of the Mellon initiative at Castlegate College. The perceived *program's effectiveness* played an important role in determining what components of the grant initiative would be sustained beyond the initial funding. In addition, the *program type* that defined the Faculty Conversations was far-reaching and flexible to accommodate the many interests of faculty on campus. These factors contributed to the sustainability of the Faculty Conversations.

Program effectiveness. Castlegate campus administrators and faculty perceived the Mellon initiative and the three components that made up the Mellon initiative as

effective. Perceived effectiveness was an important factor in the sustainability of the Faculty Conversations. The Faculty Conversations, as a campus program that funded small campus projects and opportunities for the Castlegate faculty, was considered by several campus administrators to have been "highly successful." One of the staff participants elaborated upon the perceived success of the Faculty Conversations: "Well, I believe because of the enthusiasm and success of the faculty conversations, the provost pledged to continue funding the program" (Learning, Teaching and Research Center Staff Member, Castlegate College). Faculty members in the Castlegate academic community expressed similar perceptions of enthusiasm toward the Faculty Conversations program. For example, one faculty member described the sense of appreciation she felt because of the Faculty Conversations:

> I know many [Castlegate faculty members] who participated [in the Faculty Conversations], and were so thankful too for the opportunities to engage with others on campus . . . and we were fed, which was nice . . . but mostly just to get together with others, you know, especially when you're at the assistant professor rank. (Faculty Planning Participant E, Castlegate College)

Likewise, one campus administrator noted the steady participation by the faculty in the Faculty Conversations:

> The faculty have really taken to the Faculty Conversations. The first year [of the Faculty Conversations], there was . . . a level of faculty participation of over 50 percent, which spanned all disciplinary divisions. . . . So far this academic year, the Faculty Conversations are involving over 60 percent of the faculty, spanning all disciplinary divisions. (Campus Administrator C, Castlegate College)

Although Castlegate had various ways of assessing the effectiveness of the Mellon initiative, it appears that the enthusiasm and responsiveness of the faculty community with regard to the Mellon initiative was a contributing factor in the sustainability of the Mellon initiative.

Program type. The type or intent of the various components of the Mellon initiative at Castlegate also influenced its sustainability. For example, the Planning Task Force had "agreed that activities to address the needs [of the faculty] should benefit the largest number of faculty, representing all ranks and stages of career and personal situations" (Faculty Planning Participant B, Castlegate College). In other words, the members of the Planning Task Force were aware that the Mellon initiative activities should reach as far as possible throughout the faculty community. The focus on creating the Faculty Conversations to reach a wide array of faculty appeared to help solidify its effectiveness and eventual support from the provost to absorb the financial cost of that component into the operating budget.

In addition, the function of the Director for Faculty Research Development position was broad enough in impact to be able to remain a funding priority with the Provost. The Director for Faculty Research Development position and the director's role as a "bridge" (Third Director for Faculty Research Development, Castlegate College) or "liaison" (Current Director for Faculty Research Development, Castlegate College) between the faculty and administration were seen as providing an impact that is widespread.

Institutional factors. In addition to the program factors, institutional factors contributed to the sustainability of the Mellon initiative at Castlegate College. The *integration of existing resources and services* was found to help sustain the Director for Faculty Research Development position. The decision to move the Director for Faculty Research Development into Castlegate's Learning and Teaching Center and rename the Center to reflect the move, contributed to the current sustainability of the director

position and the responsibilities and programs that the director manages. In addition, *leadership* from the third Director for Faculty Research Development was found to have influenced the sustainability of the Director for Faculty Research Development position and the Faculty Conversations.

Integration with existing programs/services. Prior to its incorporation into the Teaching and Learning Center, the Director for Faculty Research Development stood independently amongst the various units on campus. Moving the Director for Faculty Research Development into the Teaching and Learning Center and renaming the Center to reflect the move solidified the Director for Faculty Research Development's place on campus. Folding the position into the center was portrayed by the participants as an "easy" decision because the campus administrators "supported [the move] because it wouldn't cost anything" (Campus Administrator A, Castlegate College). In addition, the third director elaborated upon the good fit of the Director for Faculty Research Development position within the center: "[Castlegate College] values both teaching and research and faculty need to be good at both" (Third director for Faculty Research Development, Castlegate College). The integration of the Mellon initiative and the former Learning and Teaching Center allowed for the Mellon initiative and the Director for Facuty Research Development to have a 'home.' Furthermore, because the former Learning and Teaching Center was a well established unit on campus, the integration of the Mellon initiative with the Center helped secure the sustainability of the initiative by its becoming part of an entity that was already well supported and funded by campus administration.

Program champion/leadership. In spite of the frequent changes in leadership, one individual who occupied the position for the full three-year term was considered key in maintaining the momentum and enthusiasm of the Mellon initiative. The third director for Faculty Research Development assumed the role as the initiative was on going into its third year of the grant period without guidance or training to administer the Mellon initiative. In spite of the lack of guidance or training, the third director was able to help define the director role as a liaison between faculty and various units on campus, as well as between the various units on campus. The third director elaborated upon her experience as follows:

> I think my major contribution [to the role] was supplying the communication between the Dean of Planning and Administration, the Grants office, the Development Office, the Research Committee, and the Learning and Teaching Center because the structure of [Castlegate] at the time was undergoing transition. (Third director for Faculty Research Development, Castlegate College)

The third director's strength resided in her ability to communicate with others and opening channels of communication between administrative units. By becoming a direct line of communication between the faculty and administration, and by giving voice to the faculty during the time of transition and more communication between units, the third director was able to solidify the need and importance for the position.

Environmental factors: Socioeconomic and political considerations. Environmental factors, or *socioeconomic and political considerations,* were not found to have a role in the sustainability of the Mellon initiative at Castlegate College. However, socioeconomic factors may affect the sustainability of the Director for Faculty Research Development position in the future. Although Castlegate is a private, well endowed institution, the Castlegate participants were aware that the College is nonetheless affected

by the national economy. For example, the current Director for Faculty Research Development observed the effects of the national economy on Castlegate: "the [Director for Faculty Research Development] position serves a need at Castlegate and I would like to see it continue, but in a time of retrenchment, everyone is cutting back and we'll see" (Director for Faculty Research Development, Castlegate College). Nevertheless, the position and the Mellon initiative continue with the support of the College and the Office of the Provost.

Summary. In spite of initial set backs in the implementation of the Mellon initiative, Castlegate College had four results by the end of the grant period: the Director for Faculty Research Development, the Faculty Conversations Programs, the findings from the "Time Balance Study" of the campus's faculty work and time, and a new resource center for faculty and students called the Learning, Teaching and Research Center.

Castlegate College sustained a majority of the elements from the Mellon initiative—namely the Director for Faculty Research Development position and the Faculty Conversations program that the Director for Faculty Research Development coordinates. Participants in the current study attributed the sustainability of the Mellon initiative to four themes—timing of grant, folding the Director for Faculty Research Development position into the Learning and Teaching Center, leadership provided by the third Director for Faculty Research Development, and the initiative's ability to fulfill a need on campus.

In addition to highlighting the themes that emerged from the Castlegate participants' perspectives, I analyzed the sustainability process through the guiding

conceptual framework. The factors of *program effectiveness* and *program type* were found to greatly contribute to the sustainability of the Director for Faculty Research Development position and Faculty Conversations. Institutional factors of *integration into existing programs or services* and *leadership* also were found to contribute to the sustainability of the sustained components of Castlegate's Mellon initiative. The Director for Faculty Research Development filled a need on campus and the integration of the Director for Faculty Research Development with the campus' existing Learning and Teaching Center were found to help secure a presence of the director's position on campus. In addition, the leadership provided by individuals occupying the Director for Faculty Research Development greatly affected the sustainability of the Faculty Conversations component of the Mellon initiative.

Although environmental factors were not found to affect the sustainability of the sustained components of Castlegate's Mellon initiative, it is certainly possible that future socioeconomic factors will affect the sustainability of the Director for Faculty Research Development position.

Case Number Three: Hilltop College

Hilltop College sits on top of a tree-covered hill overlooking the suburbs of a large metropolitan city. Initially founded as a men's college by frontier people, the college's mission was "to nurture leadership for education, commerce, religion, and government" (Hilltop College website). Today, the coeducational, nonsectarian college enrolls approximately 2100 students. The college offers an "authentic liberal arts education" (Hilltop College website) that has an emphasis on faculty-student collaboration.

Although faculty are encouraged to engage in research, teaching remains a priority at Hilltop. Hilltop's tenure process and all subsequent review processes focus on teaching. Particular attention is paid to a faculty member's rapport with students, course organization, innovation, and rigor, ability to address various learning styles, and demonstrating passion in one's respective field.

The proposed initiative. Hilltop College's Mellon initiative was designed as a series of funded career enhancement and support opportunities for faculty. Through the Mellon initiative, faculty could "apply" for funds in one three categories. The faculty would then implement the events or activities if their proposals were accepted for funding from the college.

Strengthening intellectual communities. This category of funding opportunities was envisioned for faculty to create programs or events emphasizing communication and community building among the faculty members, and to provide time to spend with other academic colleagues on shared intellectual pursuits. Therefore, rather than having the college organize events to stimulate intellectual community, the Mellon initiative would fund faculty members interested in coordinating the intellectual community building events or groups.

Venture fund. This category was for faculty members who found themselves in unique situations within their careers. Therefore, "venture funds" were funded opportunities for these faculty members to develop new projects, explore new areas of interest, or to take new directions in their careers. Essentially, the venture funds were for faculty members experiencing professional stagnation or looking for ways to grow within their careers.

Strategic allocation of faculty time. This category funded opportunities for faculty members to earn expanded sabbatical time equivalent. Typically, the sabbatical at Hilltop provides faculty a semester's leave at full pay after six years of teaching. Because the faculty normally teach three courses a semester at Hilltop, faculty would be released from three courses. The Strategic Allocation of Faculty Time opportunity would allow faculty member to receive an addition courses off from teaching either in the semester preceding or following the sabbatical. In other words, under this category, faculty could receive funds to extend their time off from three courses to four courses.

In essence, faculty developed proposals for projects that could either be for the purposes of strengthening intellectual communities, for enhancing their own careers, or for extending their sabbatical time from three courses off to four courses off. The Mellon initiative administrators at Hilltop did not focus on creating programs that would strengthen intellectual community, as was the case with the Faculty Conversations at Castlegate or the Social Gatherings at Amber Hills (which will be discussed later in Case Number Four). Instead, Hilltop College's administrators of the Mellon initiative placed responsibility on the faculty to propose and create their own support programs. Thus, Hilltop College considered a variety of projects to be funded as long as the faculty could demonstrate the intent and goal of their proposed projects would be either to create community on campus or enhance their careers.

The Office of the Provost oversaw the administration of the Mellon initiative, with the administrative support of a faculty coordinator labeled the "Catalyst." The Catalyst was a part-time position, appointed by the Office of the Provost, filled by an emeritus faculty member who received a work compensation stipend.

Hilltop College represents the type of campus that administered the Mellon initiative through a faculty coordinator who worked closely with the Provost or Dean of Faculty. Figure 4.3 is a visual representation of the administration of the Mellon initiative.

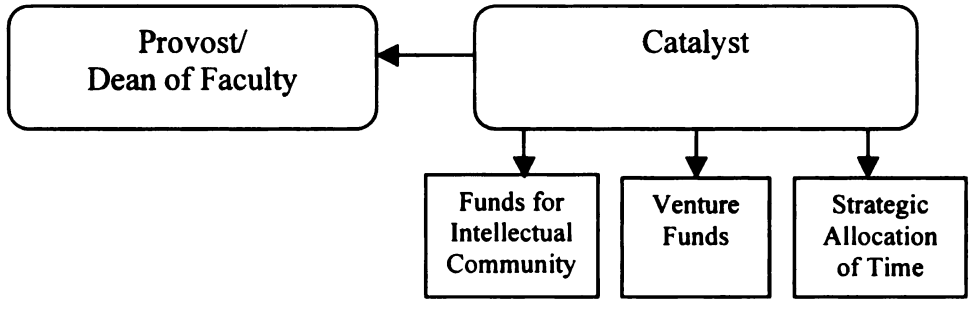


Figure 4.3. Hilltop College's Administration of Mellon Initiative

The key players in the Mellon initiative. The implementation, execution, and sustainability of the Mellon initiative at Hilltop College involved the following key players:

Provost and Associate Provost. The Provost and Associate Provost presided over the development and implementation of the Mellon initiative. Together, they administered a survey to assess the needs of the Hilltop faculty for the Mellon initiative. In addition the two administrators coordinated a half-day conference with Hilltop faculty to develop ideas and help guide their decision-making on how to best utilize the Mellon initiative to support the faculty. As the Mellon initiative was implemented, a group of faculty from the half-day conference was convened to become the Faculty Advisory Committee. The committee has since served as advisors to the Provost and Associate

Provost in decisions pertaining to faculty development and support as the standing committee called the Faculty Development Committee.

Although the provost position has experienced one transition since the implementation of the Mellon initiative, the associate provost position has remained constant and primarily responsible for faculty development at Hilltop.

Catalyst. The Catalyst position was filled by an emeritus faculty member of the college, working closely with the Provost and Associate Provost on the Mellon initiative. Although the Catalyst and the Provost agreed to keep the terms of the position on a renewable year-to-year basis, the Catalyst remained in the position throughout the Mellon grant period. The Catalyst has been a faculty member at Hilltop College for his entire career and is considered to be a well respected, energetic, and "dedicated individual" by campus administration and the faculty community.

The results of the implementation. The implementation of the Mellon initiative at Hilltop College led to four results, as identified by the participants of this study.

Intellectual communities. The implementation of the Mellon initiative resulted in the development of several reading and support groups focused around common interests. Some of the groups, such as the Community of Women Scientists and Perspectives on Modernity, annually renewed their requests for funds to continue their groups because of the support the groups provided to the faculty members. In addition to the groups, a series of events called Faculty Fridays and Musings were developed to recognize the achievements of faculty across the campus. All intellectual communities were developed by faculty members who received funds under the intellectual communities component of the Mellon initiative.

The Faculty Fridays and Musings continue under the administration of the Center for Student Research and Fellowships, formerly known as the Honors Program. Although the faculty member who served as the director of the Honors Program and created the Faculty Fridays and Musings has returned to the faculty full-time, the two programs continue in the same capacity as they were implemented, despite the new administration of the Center for Student Research and Fellowships.

Hilltop College's Venture Award. The implementation of the Mellon initiative at Hilltop also resulted in the development of a new "Hilltop College Research Foundation Venture Award." Hilltop's award fund was "inspired by and modeled on the career-enhancing objectives of the Mellon Venture Fund" (Campus Administrator A, Hilltop College). Therefore, in order to maintain the opportunities that the Mellon initiative's Venture Fund provided to the faculty, Hilltop developed a similar award fund. More discussion about this process will appear later in this section.

Faculty development committee. The implementation of the Mellon initiative also resulted in the development of a Hilltop Faculty Development Committee. In response to the experience with the Mellon initiative, and as an effort to achieve faculty input in how the college may best support faculty, Hilltop developed its first Faculty Development Committee. Upon reflection regarding the value of the new Faculty Development Committee, one administrator remarked, "This [Faculty Development Committee] group fills a much-needed role at [Hilltop]" (Campus Administrator B, Hilltop College). As a standing campus committee, Hilltop's Faculty Development Committee continues to "provide guidance in Hilltop's efforts to support its faculty members on campus" (Campus Administrator A, Hilltop College).

Institutional learning. Finally, the implementation of the Mellon initiative resulted in a better understanding of Hilltop's faculty needs. One administrator explained the lessons learned from the Mellon initiative.

> I believe that there is another benefit that the [Mellon initiative] had that is not counted in the specific benefits we think of that attach to the individual components of the [Mellon initiative]. I would call it the Mellon *experience*, or, that is, the prospect of receiving the grant, as well as the execution of the grant, led us to think hard about the issues around faculty career satisfaction and career needs. . . and through the process . . . we stepped back and analyzed the issue in ways that we likely would otherwise not have done. In that sense, the Mellon grant was a catalyst that propelled us forward in our role as good academic administrators. (Campus Administrator A, Hilltop College)

Several administrative participants mentioned the value gained through Hilltop's experience with the Mellon initiative. As noted above, campus administrators believed, albeit retrospectively, one of the effects of the Mellon initiative was the knowledge and understanding of their faculty that resulted from the Mellon grant experience.

Developing and implementing the Mellon initiative. The following briefly describes how Hilltop College developed and implemented the Mellon initiative.

Planning stages. For the Hilltop campus administrators, the focus of the one-year planning period for the Mellon initiative was to assess the Hilltop faculty's needs. One campus administrator elaborated upon the efforts of the Hilltop administration to understand the needs of the faculty:

> The Mellon grant, or rather the prospect of the grant, precipitated our efforts to find out what our faculty felt their greatest needs were, what they wanted most in their careers at this point. (Campus Administrator A, Hilltop College)

To assess the needs of the faculty, Hilltop College distributed a survey and then held a conference as an opportunity to follow up on the survey findings. One administrator further described the needs assessment experience:

> We did a written survey, followed by a half-day faculty conference to discuss the results of the survey. And we found out something we did not know, that unequivocally and overwhelmingly our faculty wanted more time above all, not money, not working conditions, not recognition, but time to do their work better. (Campus Administrator A, Hilltop College)

Ultimately, Hilltop College administrators determined that the most appropriate way to use the Mellon initiative was as funding opportunities to the faculty that addressed the two identified needs: "The pervasive sense of a lack of time for both personal and professional activities, and the desire for a stronger sense of intellectual community among the faculty" (Faculty Advisory Committee Member A, Hilltop College).

Administration of the initiative. Although administration of the Mellon initiative was housed within the Office of the Provost, the Catalyst was the primary coordinator of the Mellon initiative. One of the campus administrators summarized the role of the Catalyst:

> [The Catalyst's] role is to advertise the program to the faculty, to speak with those who may be interested in applying for support [through the Mellon initiative], and to facilitate the process of application and selection of grants [through the Mellon initiative]. He reports directly to the provost's office. (Campus Administrator A, Hilltop College)

The Catalyst interpreted his position in the following manner:

> I would describe myself as a mini-hub. The proposals would come to me, and then the Provost, Associate Provost and myself would decide which proposals were to be funded or not, and under which category [strengthening intellectual communities, venture fund, or strategic allocation of faculty time], or [whether they were] to be redirected to another source of funding within the institution. (Catalyst, Hilltop College)

The Catalyst also counseled with faculty members interested in submitting proposals ahead of time to give feedback on the proposals before they were submitted. After submission, the proposals were evaluated by the Catalyst, the Provost and the Associate

Provost, who based the decision to fund the project on the proposal's appropriateness in meeting the goals of the Mellon initiative and its quality.

Making adjustments. Hilltop College made alterations in the Mellon initiative as the initiative was executed. Campus administrators and the Catalyst, through annual evaluation of the Mellon initiative, discovered that granting a one-course reduction through the Strategic Allocation of Faculty Time component created disruption in course offerings for the students. Although Hilltop campus administrators understood the benefits to the faculty members in granting the one-course reductions, campus administrators made the decision that granting one-course reductions had effects on students that outweighed the benefits. One campus administrator elaborated upon the issue:

> We gained a greater understanding of the non-monetary costs of the one-course reductions at a place like [Hilltop]. Quite frankly, our perception of the loss of continuity for the students and the lower quality of the replacements made the course releases less attractive in practice, and we decided monies were better invested in other ways. (Campus Administrator B, Hilltop College)

Although the faculty found the course reassignment option to be helpful, these arrangements had unintended consequences that affected the students and student learning. In other words, the benefits to the faculty resulting from the course reassignment option had negative effects on student learning.

In addition, campus administrators and the catalyst discovered that many faculty members were applying for funding under the Building Intellectual Communities category "to spend time on new projects" (Campus Administrator A, Hilltop College)—projects that were actually more in line with the Venture Fund category. This, in a sense, forced the college to reexamine the purpose of the Course Reassignment option and the

Strengthening Intellectual Communities categories. Subsequently, campus administrators realized that the intent of "providing faculty with more time" could be achieved by redefining what was meant by "time." The clearer definition of "time" was documented by campus administrators in a report to the Mellon Foundation:

> We have learned that when our faculty members talk about a need for more time, they think foremost of major portions of time in which to carry out major research projects. As a result, we decided that the most effective use of allotments from this [grant] fund . . . would be to fund full-semester leaves for faculty members. (Hilltop College Report to the Mellon Foundation)

As a result, Hilltop College administrators of the Mellon initiative decided that more emphasis would be placed upon awarding funds through the Venture Fund component than through the Strategic Allocation of Faculty Time and Strengthening Intellectual Communities components. This adjustment in thinking about Hilltop's faculty needs allowed for the administrators of the Mellon initiative to understand what components of the Mellon initiative were the most valuable to the Hilltop faculty and the institution. In essence, Hilltop campus administrators concluded that the Venture Fund component would be sustained beyond the initial grant period.

Transition to sustain. In 2007 Hilltop College began the steps to transition the funding of the Venture Fund component of the Mellon initiative to Hilltop College's funding sources. The Catalyst described the transition as "the phase-in, phase-out process of the grant" (Catalyst, Hilltop College), and elaborated upon the transition:

> The [Hilltop College] Research Foundation would take on the smaller requests [for funding], such as funding smaller projects or lab equipment, while the [Alumnus Donor] Fund would take over the full semester leave requests. (Catalyst, Hilltop College)

In essence, two campus funds were identified to take over the Venture Fund component of the proposed Mellon initiative. The already established Hilltop College Research

Foundation was identified to fund small project requests, such a funds to initiate pilot projects, that were originally made through the Venture Fund, while another Alumnus Donor Fund (name changed for anonymity) was identified to fund larger projects requests, such as semester leaves for exploring new directions in research, that were originally made through the Venture Fund.

Hilltop prepared for the transition of funding resources by ensuring that the new funding sources would have the capacity to absorb the costs of the Venture Fund. One campus administrator explained: "The College has been bolstering up those resources to be able to absorb the role that the [Mellon initiative] grants fulfilled (Campus Administrator B, Hilltop College).

In sum, Hilltop College administrators decided to sustain the Venture Fund component of the Mellon initiative by identifying existing campus funds to take over the objectives of the Mellon initiative's Venture Fund. However, to ensure that the identified existing funds would be able to fulfill the new objectives adequately, Hilltop College "bolstered up" the Alumnus Donor Award Fund in anticipation for the transition. As such, Hilltop College "added to the [Alumnus Donor Award Fund] from new donations" (Catalyst, Hilltop College) as well as reallocated existing resources to the Alumnus Donor Award Fund.

What contributed to the sustainability of the Hilltop Mellon initiative: Participants' reflections on the process. Six themes emerged from the interviews with participants regarding what they believed contributed to the sustainability of the Mellon initiative. As a point of clarification, the Mellon initiative at Hilltop College was considered to be the funding opportunities that were coordinated by the Catalyst.

Therefore, the sustained Mellon initiative at Hilltop College is the continued version of the Venture Fund because the Venture Fund was a form of funding opportunities. For this reason, I interchange Venture Fund with Mellon initiative because from the perspective of the participants at Hilltop, the Venture Fund is the sustained Mellon initiative.

The six themes reflect the observations made by those involved in the sustainability of the Mellon initiative: 1) planning for financial transition, 2) nature of initiative, 3) persuasion from the provost, 4) applied institutional learning, 5) culture of faculty support, and 6) meeting a need. These themes are related and not mutually exclusive.

Planning for financial transition. Several participants in this current study believed that a key factor that contributed to the sustainability of the Mellon initiative was the administration's planning for and transition of the funding sources to sustain the Venture Fund. The plan to transition occurred approximately half way through the grant period. The Catalyst remarked upon this plan for transition:

> Well, they knew the [Mellon initiative] was going to end . . . and administration concluded that this was something worth keeping if they could find the funding source. (Catalyst, Hilltop College)

Hilltop College had no planned intentions from the beginning to sustain the Mellon initiative as it was proposed. Instead, Hilltop College decided to sustain components of the Mellon initiative as the implementation of the initiative unfolded. Thus, although there was not a plan to sustain the Mellon initiative at the beginning of the implementation, a plan was formulated mid-way through the grant period once effectiveness of certain components of the grant initiative had been determined by campus administration.

Nature of the Mellon initiative. Many participants also felt that the open and flexible nature of the Mellon initiative contributed to the sustainability of the initiative on campus. One faculty member explained: "[The Mellon initiative] seemed open ended enough to help faculty become better faculty members" (Faculty Planning Member C, Hilltop College). Another faculty member who received funding through the Mellon initiative stated: "[The Mellon initiative] was open, so people could utilize [the opportunities] in lots of ways. . . it was flexible" (Faculty Planning Member D, Hilltop College). In other words, faculty members valued the various funding opportunities made available through the Mellon initiative for them to create their own supports.

Moreover, campus administrators viewed the Mellon initiative as highly flexible, not just in the way in which Hilltop College applied the initiative to its campus, but also in the way in which the Mellon Foundation framed the grant. Hilltop College campus administrators found that the flexible, open nature of the Mellon initiative allowed the college to tailor the initiative in a way that would maximize benefits. The flexibility of the initiative also allowed campus administrators to adjust the initiative as Hilltop learned what components of the initiative worked best for the faculty. Thus, the flexibility of the initiative allowed Hilltop College to adjust the initiative in a way that it would continue to best address its faculty's needs.

Persuasion from the provost. Several of the Hilltop participants mentioned the provost's leadership and ability to persuade the board of the Hilltop College Research Foundation to create a separate award that would continue providing funding for part of the Mellon initiative once foundation funding ended. One campus administrator elaborated upon the development of the new award fund:

> The provost had recommended that the [Hilltop College Research Foundation] board follow the lead of the Mellon Venture Fund . . . in this case for larger and more ambitious projects. The board approved the proposal, and since [then] the [Hilltop College Research Foundation] Venture awards annually provide substantial funding to one or more faculty members pursuing research that takes her or him or a team down new pathways . . . and that is innovative and or career transforming (Campus Administrator B, Hilltop College)

Participants believed that the creation of the new award fund was the direct result of the provost's action to approach the board of the foundation and make his request for the new type of award. For example, the Catalyst asserted:

> I would attribute much of the continuation of the [Mellon initiative] to the advocacy of our provost, making a case that a greater priority needed to be given to career enhancement type grants that were patterned after the Mellon Venture Fund and helping the board to see their importance. (Catalyst, Hilltop College)

Hence, participants believed that much of the sustainability of the Mellon initiative was directly attributed to the actions and advocacy of the provost. Because this theme overlaps with the leadership factor in the guiding conceptual framework, I provide further discussion regarding the leadership of the provost in my analysis of the case through the framework.

Applied institutional learning. Campus administrators spoke of the many lessons learned that occurred during the grant period. One campus administrator reflected upon the institution's experience with regard to the Mellon initiative:

> I would say we recognized clearly that much had been gained in the exercise itself . . .the extensive process of discussion and survey of the faculty members to discover their ideas for enhancing faculty careers was very instructive in its own right, quite apart from our hope for the outcomes in the grant itself. (Campus Administrator A, Hilltop College)

As a result of Hilltop's involvement with the Mellon initiative, campus administrators discovered that the Strategic Allocation of Faculty Time had negative effects on the institution that outweighed the benefits to the faculty members. For this reason, campus

administrators decided to place more emphasis on semester leaves through the Venture Fund than on one-course reductions through the Strategic Allocation of Faculty Time component. The college's willingness to apply what had been learned through its experience with the Mellon initiative seemed to help the college reexamine and refine what components of the Mellon initiative were worth sustaining. One campus administrator elaborated upon the lesson learned:

> These [Venture] awards have been immensely helpful to faculty recipients as they have allowed them to pursue critical elements of their research and pedagogy, and we have learned how to [implement the Venture Fund Award] effectively after much prior doubt. (Campus Administrator B, Hilltop College)

In addition, campus administrators pointed to the Mellon experience itself as providing a foundation for administrators to better support faculty in the future. Thus, one administrator explained that in addition to gaining a new faculty research award, the Mellon initiative provided administration with new lessons or tools they could be apply to address future faculty support issues:

> Actually getting the Mellon grant helped us to address some of those problems in the short term, and to find ways of addressing the issue beyond the term of the grant. (Campus Administrator B, Hilltop College)

One administrator commented on how the campus administrator came to view the Mellon initiative as an investment: "We viewed the grant, not only as a means of meeting the more immediate needs of current faculty members, but also as a long-term investment in our faculties of the future" (Campus Administrator A, Hilltop College).

Thus, beyond the actual sustained component of the Mellon initiative, campus administrators believed that the lessons learned from the campus' experience with the Mellon initiative provided new tools and informed strategies to continue to support its faculty beyond the initial grant period.

Culture of faculty support. Several participants attributed the sustainability of the Mellon initiative to an already established supportive culture at Hilltop College. One participant explained the college's support of faculty:

> The College has had a history of putting a lot of resources toward faculty development . . . the [Hilltop College Research Foundation] is about 50 years old, so there's that . . . but also, when a faculty member wants something, I think faculty feel they can go to the Provost, and although the Provost may not always give money, the Provost is at the very least, receptive to hearing that faculty member's needs. (Faculty Planning Member B, Hilltop College)

Because the values of the Mellon initiative coincided with Hilltop's preexisting culture for supporting faculty, participants felt that sustaining the Mellon initiative enhanced and reinforced Hilltop's dedication to supporting faculty. Therefore, participants believed that sustaining the Mellon initiative fit into Hilltop administrators' interest in maintaining its faculty through the investing in faculty development.

Meeting a need. Finally, a few participants in the study mentioned the Mellon initiative filled a need that was unaddressed prior to the Mellon grant. The Catalyst described the need the Mellon initiative filled: "Well, I think [the Mellon initiative] was popular because it created a venue for [the faculty] to put their energy into something that was reasonable" (Catalyst, Hilltop College). In other words, not only did the Mellon initiative provide Hilltop faculty opportunities for funding that fit into their research interests, but it also provided the opportunities through an application process that was not laborious or time consuming for the faculty.

The Catalyst proceeded to explain how in spite of Hilltop College's push to have its faculty engaged in research, he felt that many non-science faculty members have limited options to fund their research:

> There was lower representation from faculty in the sciences, but I suspect it is because the science disciplines are better funded. . . so unless you're in the sciences, you don't have as many opportunities for funding [your research]. I believe that is another reason why [the Mellon initiative] was as popular as it was. (Catalyst, Hilltop College)

By way of the Mellon initiative, Hilltop College created permanent opportunities for faculty to obtain "time" needed to conduct their research, beside the sabbatical, in ways that not only benefited the individual faculty members, but also in ways that did not create unintended negative consequences for the students.

Exploring the case through the framework. In this section, I provide my analysis of the sustainability process utilizing my conceptual framework as a guide. Although some overlap exists between the themes that emerged in the interviews with the participants and the guiding framework, an analysis using the framework helps to further explain the sustainability process. To reiterate, the sustained Mellon initiative is the campus' version of the Mellon Initiative's Venture Fund, which is supported by two campus foundation funds. In what follows, I examine the sustainability process at Hilltop College, focusing on the program, institutional and environmental factors of the framework.

Program factors. Program factors were found to have greatly contributed to the sustainability of the Mellon initiative at Hilltop College. The perceived *effectiveness* of the Venture Fund was a significant program factor in sustaining that component of the Mellon initiative and providing rationale for the Hilltop administrators to place less emphasis on the Strategic Allocation of Faculty Time component. In addition, the *type of program* that the Mellon initiative represented, as a set of flexible funding opportunities,

factored into the sustainability of the Mellon initiative and the objectives of the Mellon initiative.

Program effectiveness. The Mellon initiative, as a set of funding opportunities, was perceived effective by campus administration and the faculty members who participated or took advantage of Mellon initiative. In general, the funding opportunities were considered to be popular among the faculty members. One campus administrator stated, "Basically it was a successful program inasmuch as it brought things into existence that would otherwise not have happened" (Campus Administrator B, Hilltop College). The Catalyst asserted the effectiveness of the Mellon initiative by stating, "There has been no shortage of requests [for funding through the Mellon initiative]" by the faculty to request funds for projects. The Catalyst explained that Hilltop College would receive an average of 11 requests per year; about one-half of those requests would come from both senior and mid-career tenured faculty.

The popularity and effectiveness of the funding opportunities provided reason for Hilltop College to sustain the Venture Fund by creating the Hilltop College Foundation Venture Fund and having another Hilltop College Fund's resources increased to take over the opportunities the Venture Fund provided. One campus administrator summarized this point:

> The [Venture Fund] component was a huge success. . . the short-term benefits, as well as the long-term [benefits], were clear to us . . . the Mellon Venture Fund allowed us to offer faculty intellectual space, a sense of options, possibilities . . . and it was clear that as long as the fund benefited the faculty, we [Hilltop College] would continue to, once the grant period ended, to find a way to continue the support . . . (Campus Administrator B, Hilltop College)

Ultimately, the responsiveness of the faculty toward the Mellon initiative seemed to contribute to the college's decision to find ways to sustain the Venture Fund component.

Therefore, because of the perceived effectiveness of the Mellon initiative, the Mellon initiative became a Hilltop priority for continued funding beyond the grant period.

Program type. Program type also was found to have had an influence on the sustainability of the Mellon initiative. The way in which the Mellon initiative was designed appealed to a broad range of individuals because of the various ways in which the faculty could participate in the program, whether it was for career enhancement at the individual level or stimulating intellectual connections at the broader community level.

The Venture Fund was intended to support faculty members who wanted to develop new projects, explore new areas of interest, or pursue new directions in their research or careers. Specifically, the grants provided "substantial funding to one or more faculty members pursuing research that take her or him (or a team) down new pathways, and is innovative and/or career transformative" (Hilltop College Report to the Mellon Foundation). Examples of projects included faculty exchanges, curriculum development, team teaching, retooling, and guest faculty member visits. The award could fund individuals or teams of individuals. Therefore, a wide range of types of opportunities that could be considered for funding reached a large number of faculty. The broad appeal of the Mellon initiative, and specifically the Venture Fund, made the funding opportunities attractive to the faculty members in its ability to be flexible enough to support projects in various forms. As such, the initiative was far reaching in its ability to affect a large group of faculty members.

Institutional factors. In addition to the program factors, institutional factors were found to contribute to the sustainability of the Mellon initiative at Hilltop College. Hilltops' ability to *integrate with existing programs or services* on campus was found to

be an institutional factor in the sustainability of the Mellon initiative. Specifically, Hilltop's ability to use existing resources to absorb the goals and functions of the Mellon initiative contributed to its sustainability. In addition, leadership provided by the Catalyst also contributed to the sustainability of the Mellon initiative.

Integration with existing programs/services. The ability of Hilltop College to find a way to integrate the Mellon initiative using existing resources was found to greatly contribute to the sustainability of the Venture Fund. Thus to sustain the Venture Fund, the objectives of the Mellon Venture Fund were absorbed by two separate college funds. The smaller projects that the Mellon Venture Fund supported were adopted by an existing alumnus donor fund on campus. Meanwhile, a new award was created out of a current campus foundation, the Hilltop College Research Foundation. The new award fund, called the Hilltop College Research Foundation Venture Award, provided the financial support for the leave requests related to retooling one's career. Together, the new award along with the existing alumnus donor fund maintains the spirit and goals of the Mellon Venture Fund award.

Program champion/leadership. Much leadership was attributed to the provost in securing funding for absorbing the Mellon initiative, as well as the stability of the Catalyst, who played a key role in working with the faculty and helping them to develop ideas and enthusiasm to apply for the funds.

As previously mentioned, several participants related the sustainability of the Mellon initiative directly to the actions and advocacy of the provost. The provost's ability to persuade the board of the Hilltop College Research Foundation into creating a new

funding award based upon the principles of the Mellon Venture Fund facilitated the college's ability to have the financial resources to sustain the initiative.

The Catalyst also provided consistent leadership throughout the Mellon grant period to ensure that faculty understood the purpose and opportunities available through the Mellon initiative. The consistent leadership provided by the Catalyst allowed the faculty to become familiar with the career enhancement opportunities. This helped maintain interest in the Mellon initiative.

> Moreover, the Catalyst enjoys his role in working with faculty members: The Provost had asked me to be the catalyst, and if I would occupy the role for the duration of the grant . . . but I asked to have the role changed to a yearly term, so if the Provost were unhappy with me, or if I wanted to do something else, then we would both retain the option of me leaving the position. But, well [laughs] I'm still here. (Catalyst, Hilltop College)

Therefore, in spite of the open option for the emeritus faculty member to leave the Catalyst position, the faculty member chose to stay. The Catalyst explained his reason for remaining in the position: "I enjoy what I do, working with individuals . . . but it's a learning opportunity for myself as well, learning what others are doing, what they are interested in, where they are going [with their research]" (Catalyst, Hilltop College). In other words, the Catalyst believed he benefited from occupying the position while he helped others.

Moreover, the Catalyst, as an individual working closely with the Provost, was in a key position to influence both the campus administration and faculty members. Therefore, the Catalyst was a person that both campus administration and faculty could trust. This sense of trust was necessary for the Catalyst as the "face" of the Mellon initiative and his ability to reach out to the faculty members to generate enthusiasm to participate in the Mellon initiative. In addition, through the close relationship with

campus administration, the Catalyst was also able to provide his perspective on the effectiveness of the Mellon initiative.

Environmental factors: Socioeconomic and political considerations. Environmental factors, or *socioeconomic and political considerations,* were not found to have a role in the sustainability of the Mellon initiative at Hilltop College. Hilltop College is a private, liberal arts college and therefore relatively insulated from political influences of the state. Much like its peers, the College is dependent upon the wealth of its endowment and tuition dollars. Therefore, the college's endowment can be affected by changes in the nation's economy.

Nevertheless, there was no mention of any socioeconomic or political factors by any of the participants with regard to the sustainability of the program. Although economic effects can be felt at liberal arts colleges through the health of their endowments, there was little effect on the sustainability of Hilltop's Mellon initiative because of the types of existing resources from which the college drew. In other words, because the college drew upon an institutional foundation that has endured financial ups and downs for approximately 50 years, this financial source had already demonstrated its stability and was in a position to assume the responsibility that the Mellon Venture grant awards did during the grant period.

Summary. Hilltop College's experience with the Mellon initiative led to several results. One result was campus programs to bring faculty together across the disciplines; another was the development of a new college research fund to continue the objects of the Mellon Venture Fund award granted through the Mellon initiative. A new Faculty Development Committee for the campus emerged from the experience with the Mellon

initiative. In addition, campus administration enhanced its learning about the needs of the Hilltop Faculty.

Hilltop sustained the Mellon initiative by focusing on sustaining the Venture Fund component. Hilltop accomplished this by using existing funding resources in two specific ways. First, Hilltop College created a new Hilltop College Research Foundation Venture Award to address half of the objectives of the Venture Award component of the Mellon initiative. Second, Hilltop College utilized an existing alumnus donor fund to address the remaining half of the Venture Award component of the Mellon initiative. Thus, the sustained form of the Mellon initiative at Hilltop College is not in its original, nor a centralized form, but in two different forms of funding.

The Hilltop participants in this study believed that the sustainability of the Mellon initiative was influenced by six themes—planning for transition, the nature of the Mellon initiative, persuasion from the provost, applied institutional learning, Hilltop's culture of faculty support, and the initiative's ability to meet a need on campus. In addition to highlighting the themes that emerged from the Hilltop participants' perspectives, I analyzed the sustainability process through the guiding conceptual framework. The factors of *program effectiveness* and *program type* were found to greatly contribute to the initiative's sustainability.

Institutional factors of *integration into existing programs or services* and *leadership* also were found to contribute to the sustainability of the sustained component of Hilltop's Mellon initiative. The Venture Fund was absorbed by the college's existing resources in order to become sustainable. Meanwhile, leadership by the provost helped to secure continued funding for the Mellon initiative. External environmental factors,

however, were not found to affect the sustainability of the sustained components of Hilltop's Mellon initiative.

Case Number Four: Amber Hills College

Amber Hills College is located in a small college town, nested in the middle of hills and lush foliage. The town is an approximate one-hour drive in any direction to the closest large town. Initially founded for "training young men for professional life" (Amber Hills website), the co-educational, nonsectarian college is known for its incorporation of Oxbridge-style tutorials in its curriculum. The college maintains one of the largest endowments of the 23 institutions that received the Mellon grant.

Approximately two-thirds of the faculty members are tenured. To emphasize Amber Hill's priority on teaching, "the College has built its reputation around teachers and teaching" (Amber Hills website). Amber Hills College student course evaluations, distributed at the end of each semester, are heavily relied upon in faculty tenure decisions.

The proposed initiative. Amber Hills College envisioned its Mellon grant initiative as a set of group and individual opportunities. These opportunities were targeted to the more senior group of faculty members on campus. The senior group was targeted because they were "anticipated to account for approximately 40 percent of the faculty before the end of the grant period" (Amber Hills College Report to the Mellon Foundation). This group of individuals was defined as full professors who are "not ready for retirement, and although perhaps tempted to 'rest on their laurels,' are considered eager to keep their careers moving forward (Mellon Foundation Report). Although Amber Hills initially targeted the Mellon initiative toward the faculty who were over the

age of 50, the target population was eventually redefined as faculty members who are 12 years past tenure in order for more individuals to benefit from the Mellon initiative. Amber Hills College's proposed Mellon initiative had three components:

Renewal leaves. This component of the Mellon initiative was envisioned as funded opportunities to provide individual faculty members time off to reflect upon and revitalize their scholarship and teaching. To ensure that the renewal leaves were distinct from a sabbatical, Amber Hills framed the renewal leaves as once-in-a-career opportunity for "faculty who felt [they] really need help, had come to . . . a point where they needed to make some decisions to do something definitive to reinvigorate what they [as faculty] were" (Campus Administrator A, Amber Hills College).

Intergenerational relationships. This component of the Mellon initiative was envisioned as organized campus community building activities designed to foster intergenerational relationships among the faculty. However, in the implementation of the Mellon initiative, the intergenerational relationships component morphed into organized social gatherings for the senior faculty members, with less emphasis on intergenerational connections.

Resident scholars program. This component of the Mellon initiative was envisioned as a community-enhancing program that would bring visiting scholars to the campus for a semester with the intent of fostering close scholarly collaborations with members of the Amber Hill faculty.

The project was overseen by administrators in the Dean of Faculty's Office, with the assistance of two senior faculty members serving as program coordinators. While the Dean of Faculty Office administered and coordinated the Renewal Leaves and Resident

Scholars Program components, the senior faculty program coordinators managed the Intergenerational Relationship component, which manifested itself as social dinners and gatherings for the senior faculty population of the college.

Amber Hills represents the type of campus that administered the Mellon initiative using the Provost/Dean of Faculty Office to coordinate one part of the initiative and a small group of faculty to coordinate another part of the initiative. However, the Provost/Dean of Faculty and the faculty coordinators worked independently as separate coordinating entities. Figure 4.4 is a visual representation of the administration of the Mellon initiative at Amber Hills College.

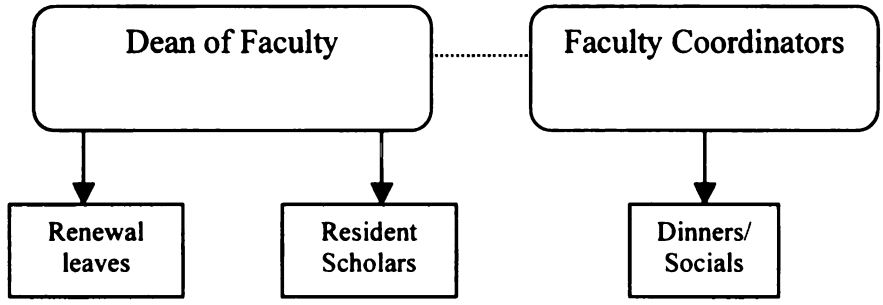


Figure 4.4. Amber Hills College's Administration of Mellon Initiative

The key players in the Mellon initiative. The implementation and execution of the Mellon initiative at Amber Hills College involved the following key players:

Planning Committee. A committee formed by the Dean of Faculty, comprised of senior faculty members and other campus administrators. The committee was charged to develop the proposal based upon the needs of the senior faculty. Utilizing information drawn from group discussions, one-on-one interviews, and open-ended surveys with the

senior faculty members, the planning committee developed the four components of the Mellon initiative.

Dean and Associate Dean of Faculty. Both the Dean and Associate Dean of Faculty were highly involved in the planning stage of the Mellon initiative. Three of the components of the Mellon initiative were administered directly out of the Dean of Faculty's Office. Therefore, the Dean and Associate Dean coordinated the Renewal Leaves program and the Resident Scholars program. Both the Dean and Associate Dean of Faculty remained in their positions throughout the Mellon grant period and have continued to serve in their positions. Although the Dean of Faculty remains as an Amber Hills faculty member, the Associate Dean came to Amber Hills as a full-time administrator.

Faculty Program Coordinators. Two faculty members served as program coordinators during the implementation of the Mellon grant period. Both program coordinators were veteran faculty members, intended to represent the population of faculty to whom the Mellon initiative was targeted. The program coordinators were responsible for the "Intergenerational Relationship" component of the Mellon initiative, but interpreted and implemented the component as social gatherings for the senior faculty. Both program coordinators were members of the planning committee.

Director of Corporate and Foundation Relations. A full-time administrator, serving as the Director of Corporate and Foundation Relations, was asked by the Dean of Faculty's Office to serve as a bridge between the Faculty Program Coordinators and the Dean of Faculty's Office. As the Director of Corporate and Foundation Relations at Amber Hills, the director had been serving as a liaison between external-funders and the

institution for over 20 years. In spite of not having faculty status, the director served as the appointed leader of the Mellon initiative.

The results of the implementation. The implementation of the Mellon initiative at Amber Hills College led to three results, as identified by the participants of this study.

Renewal Leaves Program. The implementation of the Mellon initiative resulted in the "Renewal Leaves Program." The Renewal Leaves "provided selected senior faculty members an opportunity, as a paid leave, for a semester, to try something new, or different, with their research or scholarship" (Campus Administrator A, Amber Hills College). Many of the faculty members who received a renewal leave believed that the "career impact" of the opportunity was significant in "genuinely reorienting my research interests" (Faculty Member A, Amber Hills College).

Social Dinners. The implementation of the Mellon initiative also resulted in the Social Dinners, which sought to build community within the senior faculty community. The Social Dinners, held several times each year, were hosted events providing "the opportunity to interact with colleagues in other departments" (Faculty Planning Member A, Amber Hills College). Dinners were held at an upscale restaurant near campus. The dinners were described as "nice, sit-down, three course meals" (Faculty Member A, Amber Hills College). The dinners were planned as an interactive activity so that faculty would switch seats at each course to have an opportunity to speak with others. Several faculty members expressed appreciation of the events, noting the "tangible" aspect of the dinners. One faculty member elaborated:

> Faculty like to feel appreciated with something concrete. Although merit pay raises are nice, people can forget about them throughout the year. Appreciation doesn't have to come in the form of money . . . although some would say that

> money is nice, but can quickly be forgotten or already spent. (Faculty Member B, Amber Hills College)

Institutional lessons learned. Finally, the implementation of the Mellon initiative resulted in an enhanced understanding of the needs of the Amber Hills senior faculty members. Although Amber Hills College has not sustained its original Mellon initiative, several participants felt that the Mellon initiative provided the institution with a greater understanding about how to support faculty in general and a new sense of direction on how to support senior faculty more effectively. One participant stated upon reflecting on the Mellon grant experience:

> The Mellon grant *did* change the mindset of how to support faculty and an awareness developed out of the experiences. . . without a doubt, it documented the needs of faculty and the appropriate responses. (Campus Administrator B, Amber Hills College)

Likewise, faculty coordinators felt they "appreciated the process and going through the process of coordinating" (Faculty Coordinator A, Amber Hills College). In other words, the experience with the Mellon initiative provided the institution with an opportunity to learn about its faculty. Moreover, the initiative provided the opportunity for administrators and faculty alike to learn through the implementation process what strategies worked and did not work to support the senior faculty.

Developing and implementing the Mellon initiative. The development and implementation of the Mellon initiative was challenging for the individuals involved in the process. Although Amber Hills planned and executed the Mellon initiative in much the same fashion as other institutions in this study, Amber Hills encountered many challenges throughout the term of the grant.

Planning. Much of the planning of the Mellon initiative proposal was conducted by the planning committee. Utilizing written surveys, the planning committee collected responses from the senior faculty group to determine how the Mellon initiative would address the issues raised in the survey findings. One Faculty Coordinator recounted that "it [planning process] took forever" (Faculty Coordinator A, Amber Hills College) to develop a proposal as a faculty group. Another Faculty Coordinator noted, "It took eight months of us meeting . . . to figure out what to do . . . how to move forward" (Faculty Coordinator B, Amber Hills College).

In addition to the long planning period, the planning committee, after reviewing the results of the survey of the senior faculty needs, discovered no clear pattern of faculty needs. One Faculty Coordinator explained, "What faculty wanted was all over the board with pockets of commonalities" (Faculty Coordinator B, Amber Hills College). Ultimately, the decisions behind the social dinners were drawn from the likes and dislikes of the faculty coordinators themselves: "The group sat and said well, what would WE like? . . . We like dinners . . .we like leaves and time off" (Faculty Coordinator A, Amber Hills College).

Divided administration of initiative. As the planning committee put together the Mellon initiative proposal, the committee decided to divide the administration of the Mellon initiative between the Dean of Faculty's Office and a group of faculty program coordinators. One campus administrator explained the division of responsibilities:

> The implementation of the project got divided amongst the groups . . . [Faculty Coordinators] were supposed to do the [Social Gatherings] thing. The renewal leaves were decided by a group [of administrators headed by the Dean of Faculty], and the driving force was me saying, okay, what are we doing? How are we getting you guys on board? (Campus Administrator C, Amber Hills College)

In essence, the administration and coordination of the Mellon initiative was handled by two separate units—the Dean of Faculty's Office and faculty program coordinators—with an appointed administrator to serve as the facilitator coordinating the two entities.

Challenges of implementation. Participants mentioned particular challenges that occurred during the implementation of the Mellon initiative. For example, although the Renewal Leaves were intended to motivate senior faculty members who were stagnant in their research and careers, faculty members who were perceived by campus administration as "fine" and already productive, ended up in the pool of those selected for the Renewal Leaves. One of the campus administrators elaborated on a loop-hole that was discovered as the Mellon initiative was implemented:

> The renewal leaves were intended to reinvigorate those faculty members who were, I don't want to say deadwood, but . . . needed motivation to be more productive . . . and to some extent, the renewal leaves did just that, but in addition to those folks, there were faculty members, who were already very productive and doing great stuff, who ended up in the pool of applicants for consideration. And that was an administrative challenge. How do you target certain individuals without singling them out? (Campus Administrator C, Amber Hills College)

Another challenge that participants mentioned was the coordination of the social dinners. For example, one campus administrator mentioned her frustration over the faculty coordinators overseeing the Social Gatherings component of the initiative: "The faculty coordinators really didn't do anything . . . they had to be reminded to send out notices and such [to the faculty regarding the social gatherings]" (Campus Administrator C, Amber Hills College). The faculty coordinators, themselves, noted their challenges over the logistics in planning the gatherings:

> How do you do it [have social dinners] and not alienate the other groups [i.e., early career faculty]? There was talk of inviting more faculty to be more inclusive, but then it takes away from the idea of having a group . . . and smaller

> groups are more manageable . . . you can have the opportunities to actually talk to more individuals. (Faculty Program Coordinator B, Amber Hills College)

Finally, Amber Hills College found that the Resident Scholars component of the Mellon Initiative was not as popular as had been anticipated.

> The resident scholars [component of the Mellon initiative] . . . that essentially went nowhere. I mean it was pretty much a failure. It just didn't work logistically. . . and I think we rerouted a lot of that money that would have gone to that into additional support for renewal leaves which were immensely popular. (Campus Administrator C, Amber Hills College)

In sum, Amber Hills discovered some logistical challenges during implementation of the initiative. The targeted individuals for whom the Renewal Leaves were intended and those who participated did not necessarily match. The Social Dinners were not meeting the intergenerational intent of the original proposal. The Resident Scholars program required too much coordination to locate individuals to participate.

Beyond the grant period. Amber Hills College did not sustain any components of the Mellon initiative, as it was proposed and implemented, beyond the initial funding period. All activities funded by the Mellon grant were discontinued with the termination of the grant. However, the experience with the grant has stimulated conversation on campus to develop an emeritus center. In the words of one of the campus administrators, the emeritus center would "maintain the legacy of the grant" (Campus Administrator B, Amber Hills College). As such, the college is in the early stages of planning an emeritus center with the guidance of a committee. Hence, although Amber Hills College has not sustained tangible forms of the Mellon initiative after the grant period, campus administrators suggest that an intangible form of the grant initiative has been sustained through the formation of the emeritus center planning committee.

What contributed to the sustainability of the Amber Hills Mellon initiative: Participants' reflections on the process. As previously mentioned, the Mellon grant initiative, as it was implemented, was not sustained beyond the initial grant period. Therefore, the Renewal Leaves, Social Dinners, and Resident Scholars programs are no longer offered at Amber Hills. However, an intangible form of the Mellon grant has been sustained at Amber Hills College. Specifically, an ad hoc planning committee has formed to plan the development of an emeritus center for the campus. As previously mentioned one campus administrator explained that the committee and future emeritus center were specifically created and "intended to maintain the legacy of the Mellon grant." Rather than putting efforts toward maintaining the Mellon grant in its proposed form, Amber Hills College has chosen to "move forward to take the next step in supporting [Amber Hills'] senior faculty members" (Campus Administrator A, Amber Hills College). In spite of Amber Hills' intangible sustained form of the Mellon initiative, I refer to Amber Hills College as the institution that did not sustain components of the Mellon initiative in the sense that none of the components, as originally proposed or implemented by the institution, have been sustained in a tangible or even a modified form.

Four themes emerged from the participants regarding what they believed contributed to the discontinuation of the Mellon initiative after the grant period. The following four themes represent the observations and reflections made by those involved in the implementation and execution of the Mellon initiative. The themes are 1) narrow impact of initiative, 2) more of the same, 3) lack of leadership, and 4) lack of funding.

Narrow impact of initiative. Several participants attributed the discontinuation of the Mellon initiative to the narrow scope of the Mellon initiative as it was proposed and

implemented at Amber Hills College. One campus administrator elaborated how the relationship between an initiative's impact and reach affects the initiative's sustainability:

> When the impact doesn't reach as far and isn't so broad, it's easier to let [it] go . . . but when the impact is broad, it is more difficult for the institution to let go of the commitment. (Campus Administrator A, Amber Hills College)

Another campus administrator reflected upon the narrow impact of the Renewal Leaves component of the Mellon initiative:

> The renewal grants went to a small percentage of [Amber Hills] faculty . . . it would have been nice to have been able to spread that support around . . . more like through more course releases. That might have had a larger impact on the whole community [at Amber Hills]. (Campus Administrator B, Amber Hills College)

To further exemplify the narrow impact of Amber Hills' Mellon initiative, another campus administrator explained Amber Hills College's history with regard to sustaining programs initially funded by the Mellon Foundation:

> [Amber Hills] has sustained many projects that were originally funded by the Mellon Foundation and have been taken up by the institution and sustained. . . but those sustained projects were broad in their reach and impact, unlike the renewal leaves portion of the Mellon initiative. (Campus administrator C, Amber Hills College)

In general, participants suggested that one of the primary reasons why the Mellon initiative was not sustained in its proposed form was the fact that a bulk of the proposed initiative had a narrow emphasis on supporting faculty at the individual level, rather than at a broad, institutional level. However, it appears that the planning committee had difficulty determining how to use the Mellon initiative to broadly reach the faculty members because of the planning committee's difficulty in discerning a clear pattern in the faculty's needs at the time of proposal planning.

More of the same. Several participants noted that although there was appreciation for the Mellon initiative and the opportunities the initiative provided, the Mellon initiative provided "more of the same [support], taken in the traditional path" (Campus Administrator B, Amber Hills College). In other words, many participants in the study acknowledged that the components of the Mellon initiative were not innovative or different from what the institution was already providing. One campus administrator elaborated upon the traditional nature of the initiative components:

> We know . . . we knew . . . what faculty want . . . they like leaves, and they like getting together. So in a sense, that's what we gave them. I would hardly call what we did innovative. (Campus Administrator C, Amber Hills College)

The Renewal Leaves component of the Mellon initiative was described as "highly ambitious" (Campus Administrator B, Amber Hills College), in the sense that the college was investing a majority of the grant funds in a few individuals with the hope that those individuals would emerge from the leaves more productive. However, the Renewal Leaves were also "very expensive" (Faculty Coordinator A, Amber Hills College) and "more of the same" (Campus Administrator B, Amber Hills College) because the college was merely giving the faculty another opportunity to take a paid leave. The social gatherings also were viewed as "more of the same" by some campus administrators in the sense that the campus had already been providing social gatherings for faculty on campus.

Overall, although campus administrators acknowledged that the faculty, who participated in the Mellon initiative, appreciated the opportunities, campus administrators believed that the Mellon initiative was not providing faculty support that Amber Hills

was not already providing. The Mellon initiative was enhancing forms of faculty support that were already offered at Amber Hills.

Lack of leadership. Both faculty program coordinators and campus administrators suggested that a lack of leadership contributed to the discontinuation of the Mellon initiative after the grant period. Many participants in this study attributed much to the initial planning efforts to a particular faculty member involved in the initial planning stages. However, the individual removed himself from the initiative once the initiative was implemented.

> The planning really owes a lot of the energies and vision to [faculty member]. . . he drove it. He was smart and he understood and he pulled these ideas together. And the whole [Mellon initiative] owes a lot to him. . . for some reason, he stepped out once the project got launched . . .and it went on forward but I think with his commitment [and] his energy gone . . . it didn't have as much energy. . . there wasn't this single person who was like . . . man, I'm just really committed to this. I'm going to make sure this happens. (Campus Administrator C, Amber Hills College)

Another campus administrator elaborated upon the Mellon initiative leadership:

> A project run by a committee can go along [to make the initiative work] but it would always help if you have somebody who is just really committed to it and is going to make sure people are on board . . . in the Dean's Office, [the Mellon initiative] was one of many, many things we were trying to do and get accomplished. (Campus Administrator B, Amber Hills College)

Particularly with regard to the Social Gatherings, one campus administrator acknowledged that the continuation of the social dinners was dependent upon an individual or group of individuals to take the lead:

> The social dinners . . . it needs somebody who is willing to take it on. . .you need someone to make that happen. . . it can be supported by the Dean's office, but you need somebody who has the personality and the drive to say let's take it on. . . let's keep talking [to each other]. (Campus Administrator C, Amber Hills College)

The Faculty Coordinators also acknowledged the necessary leadership that would be needed to continue the Social Dinners components, but the coordinators believed that the leadership should originate from someone or someplace else, such as campus administration. In general, the Faculty Coordinators did not appear to possess ownership of the Social Dinners. Moreover, the Faculty Coordinators felt they were lacking administrative guidance on their responsibilities as Faculty Coordinators. One faculty program coordinator recalled the ambiguity experienced through the process: "We really didn't have any guidance on what to do . . . and expectations on what to do" (Faculty Program Coordinator B, Amber Hills College). It appears that rather than the Faculty Coordinators working *with* the Dean of Faculty's Office to coordinate the social gatherings, the Faculty Coordinators interpreted their role as working *for* the Dean of Faculty's Office in coordinating the Social Dinners. Overall, Amber Hills College lacked the presence of a champion to lead the Mellon initiative, not just to bridge the two coordinating administrative units and take ownership of the initiative, but also to maintain the momentum and enthusiasm of the initiative itself. Because this theme overlaps with the leadership factor in the guiding conceptual framework, I provide further discussion regarding leadership in my analysis of the case through the guiding conceptual framework.

Lack of funding. Finally, some participants attributed the discontinuation of the Mellon initiative to lack of funds. For example, one campus administrator suggested that the downturn of the economy contributed to the institution's decision not to continue the Mellon initiative programs: "The ending of the grant coincided with the downturn of the economy" (Campus Administrator A, Amber Hills College). Similarly, one of the faculty

program coordinators suggested that "lack of funds" was a barrier to the continuation of the social gatherings: "I'm rather disappointed that the dinners have discontinued . . . but the answer [from administration] is always money" (Faculty Program Coordinator C, Amber Hills College).

Although Amber Hills College's endowment is large, some participants cited "lack of funds" as one of the reasons for the institution's inability to sustain the Mellon initiative as it was implemented. However, some participants also believed that lack of funding was not the primary reason for the discontinuation of the Mellon initiative. In fact, some participants challenged the idea that "lack of funds" was a legitimate reason for the Mellon initiative's discontinuation, particularly with regard to the inexpensive social dinners. Nonetheless, a few campus administrators and faculty mentioned funding as one of the reasons for the discontinuation of the Mellon initiative at the end of the grant period. Because this theme overlaps with the environmental factor of the guiding conceptual framework, I provide further discussion regarding the external economic influence on the sustainability of the initiative in my analysis of the case through the guiding conceptual framework.

Exploring the case through the framework. Because the case at Amber Hills differs significantly from the other three cases in this study, the focus of this analysis also is different. The focus of Amber Hills' case is on understanding why the Mellon initiative was ***not*** sustained as it was implemented beyond the initial grant period, even though benefits were gained from the components of the initiative such as the Social Dinners and the Renewal Leaves.

In this section, I provide my analysis of the Amber Hills College's process that led to the discontinuation of the Mellon initiative in its proposed form. I limit my analysis to the Social Dinners and the Renewal Leaves program for two reasons. First, the Social Dinners and Renewal Leaves components were considered to be the more "successful" components of the Mellon initiative. The Resident Scholars Program, on the other hand, did not generate enough interest from faculty to participate. For this reason, the Resident Scholars Program was considered to be a "failure" and was quickly discontinued midway through the grant period. Second, the Social Dinners and Renewal Leaves were activities comparable to the sustained activities at Bowling Lawn, Castlegate, and Hilltop. Yet, Amber Hills College was not able to sustain these components of its Mellon initiative.

In this section, I explain how the factors from the guiding conceptual framework contributed to the sustainability of the Mellon initiative. Although some overlap exists between the themes that emerged in the interviews with the participants and the guiding framework, the framework helps to further explain the sustainability process. In what follows, I examine the sustainability process at Amber Hills focusing on the program, institutional and environmental factors of the guiding conceptual framework.

Program factors. Some of the reasons why the Mellon initiative did not continue in its proposed form can be attributed to the factors of *program effectiveness* and *program type*. In this section, I first discuss the perceived effectiveness of the main elements of the Mellon initiative—the renewal leaves and the social gatherings—to understand the extent to which perceived effectiveness may have contributed to the sustainability of the Mellon initiative. Then I discuss how the programs' "type" as they

were implemented also contributed to the discontinuation of the initiative at the end of the grant period.

Program effectiveness. There were varying and, in some cases, conflicting perspectives of the Mellon initiative's effectiveness. In general, campus administrators felt that the Mellon initiative as a whole "fulfilled its purpose in the sense that it documented the needs of the senior group of faculty members and what may be the appropriate ways of addressing those needs" (Campus Administrator B, Amber Hills College). However, they also believed that the "renewal leaves had more of an impact on the faculty then did the dinners" (Campus Administrator B, Amber Hills College) because "it helped meet the needs that were identified by the college" (Campus Administrator A, Amber Hills College). Those identified needs, from the perspective of campus administration, were to enhance senior faculty members who were experiencing stagnation in their careers. Therefore, in determining which components of the Mellon grant were more effective than other components, campus administrators felt that the Renewal Leaves were more effective than the Social Dinners.

There was little disagreement between faculty and campus administrators on the perceived benefits of the Renewal Leaves to the individual faculty members who received them. Recipients felt the renewal leaves were "career changing" (Faculty Member A, Amber Hills College) and were "so grateful for the opportunity" (Faculty Member B, Amber Hills College). Likewise, campus administrators emphasized the benefits of the renewal leaves component of the initiative:

> Those who were granted these [renewal] leaves undertook very meaningful projects and adjusted their careers in significant ways. . . [it] was a great opportunity for retraining, self-assessment, and examination of

> personal/professional goals. . . excellent for morale among experienced faculty members. (Campus Administrator A, Amber Hills College)

However, some faculty members and campus administrators noted that there was an administrative problem with the implementation of the renewal leaves program. Although the Renewal Leaves program was intended to reinvigorate stagnant faculty, already productive faculty members were able to take advantage of the Renewal Leaves opportunity. The Renewal Leaves did help stagnant faculty members, but non-stagnant faculty members benefited as well. Although this unintended consequence affected the perceived execution of the Renewal Leaves component of the Mellon initiative, in general, faculty and administrators believed that the Renewal Leaves were effective in reinvigorating the senior faculty members who received the leaves.

Unlike the Renewal Leaves' perceived effectiveness, there was disagreement on the perceived effectiveness of the Social Dinners. Many campus administrators perceived the Social Dinners as "less than effective" (Campus Administrator B, Amber Hills College) in meeting the needs of the Amber Hills faculty because the dinners "were for a social purpose and therefore didn't shape faculty careers like the way the [renewal] leaves did" (Campus Administrator C, Amber Hills College). Meanwhile, the Faculty Coordinators had a more positive perspective on the Social Dinners' effectiveness. One coordinator explained:

> [Social] Dinners were meeting the community need that was mentioned by the faculty through the surveys. Faculty were finding themselves too busy to talk to one another and they wanted to be able to have more time devoted to that. (Faculty Coordinator A, Amber Hills College)

Described by the Faculty Coordinators as "lively and useful" (Faculty Coordinator B, Amber Hills College), to them the dinners "served to boost morale and build an esprit de

corp" (Amber Hills College Report to the Foundation) among the senior faculty members. Thus, the Faculty Coordinators of the events perceived the Social Dinners to be effective in meeting the need for faculty community.

Nevertheless, overall it appears that the perceived effectiveness of the Social Dinners, like the perceived effectiveness of the Renewal Leaves, was not a strong enough factor to continue the events after the grant period ended. Therefore, it is likely that at Amber Hills College, perceived effectiveness was not a primary factor in contributing to the sustainability of the Mellon initiative.

Program type. Program type as a factor appears to have had more of an influence in the sustainability of the Mellon initiative at Amber Hills College than perceived program effectiveness. First, in examining the target audience for whom the programs were developed, all the programs were intended for a sub population of the faculty community—specifically for the senior faculty members on campus. One campus administrator explained the specificity of the Mellon initiative: "The Mellon grant was a low-risk opportunity to meet a specific need" (Campus Administrator C, Amber Hills College).

As for the Renewal Leaves, although the impact on the faculty was deep and in many cases career changing, the impact was narrow because the leaves were focused on making an individual impact versus a campus impact. Sustaining the leaves would have been too costly from the perspective of campus administration, especially considering Amber Hills College currently "already has a very generous [sabbatical leave] policy" (Faculty Coordinator A, Amber Hills College). Thus, the Renewal Leaves, which arguably were the most valuable of the three elements of the program, were expensive to

maintain beyond the grant period. In addition, because the Renewal Leaves were an individual approach to supporting faculty, versus an institutional approach, the college felt less inclined to sustain the initiative beyond the grant period.

The Social Dinners had a similar limitation because the target population was the senior faculty, even though by comparison the Social Dinners "touched the most people" (Faculty Coordinator B, Amber Hills College). However, all activities associated with the Mellon initiative were targeted to a specific population at Amber Hills.

In sum, the type of initiative that defined the Mellon experience at Amber Hills was narrow in focus. This was because of the limited audience the initiative targeted (senior faculty members), and because of the small number of faculty members that benefited from participation in the initiative. As a result, the Mellon initiative was not broad enough in its impact to continue beyond the initial grant period. Therefore, the type of initiative that was proposed by Amber Hills College was a more important factor than program effectiveness in the institution's inability to sustain the Mellon initiative.

Institutional factors. The discontinuation of the Mellon initiative after the grant period was also influenced by institutional factors. The components of the Mellon initiative did not *integrate themselves into the existing programs or services* or into the fabric of the Amber Hills campus in their proposed forms. As for the Social Dinners, the absence of a program champion to maintain the momentum of the initiative affected the continuation of the dinners beyond the grant initiative, in spite of the relatively low funding requirements.

Integration with existing programs/services. In general, the components of the Mellon initiative were not programs that could have been integrated with the campus'

existing programs or services because of the targeted nature of the programs toward the senior faculty group. As previously mentioned, campus administrators viewed the Mellon initiative as addressing a specific need that had been identified, rather than a broad campus need. Therefore, although the Mellon initiative may have been effective in meeting the specific need, particularly through the Renewal Leaves, it did not match the institution's mission or larger goals.

Moreover, the Social Dinners and the Renewal Leaves, as they were implemented, duplicated existing opportunities on campus, but in a more exclusive fashion. For example, campus community building opportunities were already in place at Amber Hills. The Social Dinners, on the other hand, once implemented, became more exclusive to the senior faculty members. Thus, in terms of meeting a broad goal of stimulating community across campus, the Social Dinners, as they were implemented by the Faculty Coordinators, would not have achieved that broad reaching goal, nor would the Social Dinners have enhanced the pre-existing social gatherings already in place. Similarly, Amber Hills College "already has a very generous [sabbatical] policy" (Faculty Coordinator A, Amber Hills College) that the faculty and campus administration openly acknowledge.

In addition, the Renewal Leaves component was considered too expensive to be absorbed by the institution, especially given Amber Hills' generous sabbatical policy. Thus, because of the narrow scope of Amber Hill's Mellon initiative, the initiative was not absorbed into any of the existing campus resources. Moreover, the services and support that the Mellon initiative provided not only duplicated existing supports on campus, but also excluded the non-senior faculty members from participating in the

opportunities. Hence, campus administrators could not justify integrating an initiative that was not meeting the broader needs of its faculty community.

Program champion/leadership. There were two ways in which the absence of leadership had a large effect on the momentum of the Mellon initiative and its inability to be sustained as it was implemented beyond the initial grant period. First, because the coordination of the initiatives was divided between the Dean of Faculty's Office and the Faculty Coordinators, there was no identifiable program champion leading the whole Mellon initiative. In addition, there was no program champion to synthesize the needs of the Amber Hills senior faculty to create an initiative that met the broad interests of the larger senior faculty group. Instead, the planning committee relied on their own interests and what they wanted, rather than utilizing the information gathered from the administered surveys, to create events and opportunities based upon the interests of the Amber Hills senior faculty. Meanwhile, the campus administration had particular faculty members that they wanted to reinvigorate through the Mellon initiative. In essence, a clashing of agendas and a lack of a program champion created a program that did not meet the broader needs of the faculty and the institution.

Second, the absence of a program champion affected the sustainability of the Social Dinners component of the Mellon initiative. As one of the faculty coordinators stated frankly, "In the absence of someone being able to organize the dinners, the dinners and social gatherings just dissipated" (Faculty Coordinator B, Amber Hills College). One campus administrator elaborated upon her observations regarding the absence of leadership to carry the social gatherings beyond the initial grant period: "There really wasn't anyone willing to embrace or . . . I guess, absorb the cause or the spirit" (Campus

Administrator C, Amber Hills College). Consequently, when the grant ended, there was no commitment by the faculty coordinators or any other faculty member to sustain the gatherings. In other words, there was not a champion present to maintain the momentum of the social dinners.

Interestingly, one Faculty Coordinator did not appear to think that the leadership should have been, or ever was, with him/her. Instead, this faculty coordinator seemed to think that the leadership and responsibility for sustaining the Social Dinners rested with campus administration. In fact, the Faculty Coordinator expressed "some disappointment in the administration for not being paternal enough, so to speak" in sustaining the Social Dinners (Faculty Coordinator A, Amber Hills College). The Faculty Coordinator proceeded to explain the minimal cost of the social gatherings:

> If I were put in charge of finding a financial way, I would certainly try. . . Admittedly, the [renewal] leaves were very expensive. But for a fraction of one leave, the college could have, like, four dinners a year . . . and at a nice restaurant or some place. If you spend 50 dollars on each person, and you say that you're going to have, maybe 50 individuals? The cost is . . . only $2500 for each dinner. That's so inexpensive to have such a great opportunity for the faculty. (Faculty Coordinator A, Amber Hills College)

Even when a group of faculty attempted sustain the socials by holding the gatherings themselves at a faculty member's house, the group decided that "having potlucks just doesn't work" (Faculty Coordinator B, Amber Hills College) in terms of maintaining the social gatherings. One Faculty Coordinator elaborated upon the challenges when coordinating social events: "It is one thing to have a dinner at a restaurant, but it's another thing to have to clean up your house and host [the event]" (Faculty Coordinator A, Amber Hills College).

Although there was interest in sustaining the social gatherings, there was no one willing or able to coordinate. Although one coordinator stated that she wished the college continued the Social Dinners, she also believed that there would be "no time" to coordinate the gatherings. Even though she admitted that she could go for weeks not seeing her colleagues, and that she "hardly speaks" to her best friend, she emphasized the challenge in finding the time to coordinate any gatherings. Elaborating further, the coordinator stated:

> I like the idea of being 'parented'. . . having someone else to 'host' and take care of things, but not in a patronizing way. . . coordinating these [gatherings] is hard, it takes effort. (Faculty Coordinator A, Amber Hills College)

In other words, this particular faculty coordinator did not feel like the leadership responsibility rested on her, but rather, on "someone else" whether that "someone else" was from campus administration or another faculty member. In the absence of a clear program champion to create a campus initiative that met the broad needs of the community, the Mellon initiative was unsustainable beyond the Mellon grant period. Hence, despite the low financial cost of the Social Dinner, the absence of a program champion highly contributed to their discontinuation.

Environmental factors: Socioeconomic and political considerations.

Environmental factors, such as *socioeconomic* factors were not found to have significantly contributed to the sustainability of Amber Hills College's Mellon initiative. Although some participants noted that "the ending of the grant coincided with the downturn of the economy" (Campus Administrator A, Amber Hills College), there was not sufficient evidence to suggest that this was a contributing factor in the sustainability

of the Mellon initiative because the grant period for Amber Hills College was between 2001 and 2006, years in which the economy was financially strong.

External political considerations also did not appear to have influenced the sustainability of the Mellon initiative, in spite of the long established relationship that Amber Hills College has with the Mellon Foundation. One participant described the relationship between Amber Hills and the Mellon Foundation as the following:

> [Amber Hills] has worked closely with Mellon for many years. . . Many of those working at Mellon came from liberal arts colleges. . . I would call the relationship as definitive. . . So when Mellon says "we're going to do X" or "we suggest that you should do X," we listen [to Mellon]. (Campus Administrator C, Amber Hills College)

Another participant also spoke about the relationship between Amber Hills College and the Mellon Foundation: "Mellon understands liberal arts colleges . . . and Mellon is always one of [Amber Hills College's] top donors" (Campus Administrator B, Amber Hills College). The long history that Amber Hills College has with the Mellon Foundation is well acknowledged by the campus administrators of Amber Hills. However, in spite of the close relationship that Amber Hills College has with the Mellon Foundation, there appeared to be little connection between this funding relationship and the sustainability of the Mellon initiative.

Summary. Although Amber Hills College had results from the implementation of the Mellon initiative—the Renewal Leaves program and the Social Gatherings—the college did not sustain any tangible forms of the Mellon initiative. Four themes emerged from the participants that describe what they believe contributed to the discontinuation of the Mellon initiative after the grant period—the implemented initiative was narrow in its

impact, the initiative created more of the same types of faculty support that the campus already provided, the lack of a program champion, and a lack of funding.

In addition to highlighting the themes that emerged from the Amber Hills participants' perspectives, I analyzed the sustainability process through the guiding conceptual framework. The program factor of *program effectiveness* was not a strong factor in the sustainability of the Mellon initiative. However, *program type* was found to greatly contribute to the sustainability of the Mellon initiative. The Mellon initiative, as it was implemented in the way in which it was proposed lacked the broad impact needed for Amber Hills to sustain the initiatives.

Institutional factors of *integration into existing programs or services* and *leadership* also were found to contribute to the sustainability of Amber Hills College's Mellon initiative. As programs that were targeted specifically for the more senior faculty members, the initiative remained separate from other programs on campus. In addition, the absence of a program champion prevented the Mellon initiative from maintaining momentum to sustain itself beyond the grant period, even when the financial cost was minimal in the case of the social gatherings. Finally, environmental factors such as *economical or political* factors were not found to have greatly contributed to the sustainability of Amber Hills' Mellon initiative, although some participants noted the ending of the Mellon grant period coincided with the downturn of the economy.

It is important to note that Amber Hills College's decision not to sustain the Mellon initiative appears to have been a conscious decision. Some participants affirmed that the Mellon initiative fulfilled its purpose by motivating some senior faculty members to take new directions with their research, providing campus administration with the

opportunity to learn about the needs of the senior faculty members, and documenting the appropriate types of support to meet those needs. Therefore, rather than trying to sustain the Mellon initiative in its original form, Amber Hills College has sustained an intangible form of the grant by building upon what was learned from the Mellon grant experience. Amber Hills has chosen to sustain the legacy of the Mellon grant by planning for a more tangible support system for the senior faculty at Amber Hills—a goal similar to what Amber Hills was seeking to achieve with the original Mellon initiative.

Nevertheless, because Amber Hills College did not sustain the Mellon initiative in its proposed form, its process and sustained form of the initiative differ from the other three cases in this study. In Chapter Five, I discuss the similarities and differences among the four cases in a cross-case analysis.

Chapter Five: Cross-case Analysis

In this chapter, I provide a cross-case analysis of the four institutions in this study—Bowling Lawn College, Castlegate College, Hilltop College, and Amber Hills College. The intent of this chapter is to discuss the similarities and differences in the outcomes and sustainability process across the four institutions. First, I compare the varied ways in which the Mellon initiative was sustained at each institution. Then I compare the themes reflecting the participants' voices regarding what they believed contributed to the sustainability of the Mellon initiative at their respective campuses. Afterward, I discuss how the four cases compare with each other. Finally, I discuss the influence and impact each factor had on the sustainability process across the four cases.

Sustained Forms of the Mellon Initiative Across the Cases

The purpose of this section is to revisit each institution's sustained Mellon initiative. This purpose is related to the first research question in my study: WHAT did the sustained initiatives look like at each of the institutions? In what follows, I review each institution's sustained form of the Mellon initiative, as perceived by the participants in this study.

The four institutions had different sustained forms of the Mellon initiative. Bowling Lawn College's sustained Mellon initiative was the Center for Scholarship and Teaching and the various faculty development programs that the center administers. Castlegate College's sustained Mellon initiative is the Director for Faculty Research Development position and the Faculty Conversations program that the Director for Faculty Research Development coordinates. Hilltop College's sustained Mellon initiative is the campus' version of the Mellon Venture Fund, which is funded by two campus

resources. Finally, Amber Hills College's sustained Mellon initiative is in the form of a planning committee to develop a future emeritus center. Amber Hills College has not sustained any of the original components of its implemented Mellon initiative. Instead, Amber Hills has sustained the "legacy of the Mellon grant."

The four institutions, therefore, have sustained their Mellon initiatives quite differently. The sustained Mellon initiatives among the four institutions differ in the extent to which the implemented form of the Mellon initiative has remained intact and the extent to which the initiative has been modified. Bowling Lawn College has sustained its Mellon initiative more intact than the other three institutions. Although some of the programs offered through the Center for Scholarship and Teaching have been modified, Bowling Lawn College's sustained Mellon initiative, as the Center for Scholarship and Teaching, has remained relatively unmodified. Castlegate College and Hilltop College, on the other hand, have sustained portions of the original Mellon initiative, but not all components. Therefore, Castlegate College and Hilltop College's sustained Mellon initiatives are moderately intact and modified forms of the original Mellon initiative. Amber Hills College has not sustained any of the proposed components of its original Mellon initiative; instead, Amber Hills College has a planning committee for a future emeritus center to maintain the "legacy of the Mellon grant." As such, Amber Hills College has sustained an intangible form of the Mellon initiative.

Together, the four cases represent three types of sustained Mellon initiatives: 1) mostly intact and mostly unmodified sustained initiative, 2) moderately intact and modified sustained initiative, and 3) intangible sustained initiative. In the next section, I

discuss the factors across the four cases that the participants in the study believed contributed to the sustainability of the Mellon initiative at their campuses.

Sustainability Factors Across the Cases

This section discusses the factors that contributed to the sustainability of the Mellon initiatives beyond the initial grant period across the four cases. This is related to the second research question in my study: HOW did each of the institutions sustain the initiatives? Although each case revealed different themes related to what contributed to the sustainability of their institution's Mellon initiative, when examined across the four cases, the themes can be grouped into seven categories. The seven categories are intended to incorporate all themes that emerged across the cases. I present the seven categories beginning with the themes most prominent across the four institutions: 1) committed leader or champion, 2) meets an institutional need, 3) institutional context, 4) institutional plans to sustain, 5) reach or impact of initiative, 6) applied organizational learning, and 7) environment (See Table 5.1).

Table 5.1. Seven Categories Incorporating All Themes Across Cases

	Committed Leader or Champion	***Meets Institutional Need***	***Institutional Context***	***Institutional Planning***	***Program's Impact or Reach***	***Applied Learning***	***External Environment***
Bowling Lawn College	Provost's support, Leadership from center's directors	No prior centralized faculty support center	Culture of trust between faculty and administration	Made commitment and planned to sustain from beginning	[Not noted by participants]	Applied learning through assessment and center participation	[Not noted by participants]
Castlegate College	Third Director's leadership	Met a need for a liaison and community building	Timing of grant coincides with campus transition	Planned to fold position into existing center	[Not noted by participants]	[Not noted by participants]	[Not noted by participants]
Hilltop College	Provost's support and actions	Created support that was not in place previously	Culture of faculty support	Planned for transition midway	Flexible and far reaching impact	Applied institutional learning in adjusting program	[Not noted by participants]
Amber Hills College	Lack of program champion	Provided more of the same support	[Not noted by participants]	[Not noted by participants]	Narrow impact	[Not noted by participants]	Lack of funding after grant

Committed leader or champion. The theme of committed leader or champion emerged at all four institutions in this study as a contributing factor in the sustainability of the Mellon initiative. Participants from Bowling Lawn College attributed much of the successful implementation and momentum of the Mellon initiative to particular individuals on campus—the center's two directors and a former provost. Similarly, Castlegate College participants attributed much of the momentum of the Mellon initiative to the third Director for Faculty Research Development. Hilltop College representatives acknowledged the provost's request to the Hilltop College Research Foundation to develop a new award fund to sustain the Mellon initiative. The type of leadership exhibited by the program champions at Bowling Lawn, Castlegate, and Hilltop resembles the collegial leadership described by Birmbaum (1991). These individuals were in tune with the needs of the faculty, maintained open communication, and ensured that they were viewed as peers to the faculty rather than as superiors (Birmbaum, 1991). Amber Hills College participants, on the other hand, acknowledged that leadership was missing in the implementation of the Mellon initiative, which particularly affected the Social Dinners's sustainability.

The theme of leadership as a contributing factor in the sustainability process coincides with Shediac Rizkallah and Bone's (1998) sustainability factor of leadership and role of a program champion or leader. It also coincides with other studies that have included leadership as factors in the institutionalization of a program (Huberman & Miles, 1984; Levison, 1994; Steckler & Goodman, 1989). Although the notion of leadership as an influence on strategic change in higher education is well documented (Bensimon & Neumann, 1993; Birnbaum, 1991; Chaffee, 1998; Kezar, 2001; Morrill,

2007), this study's findings suggest that not only is leadership a contributing factor in the sustainability process, it appears to be one of the more consistently influential factors in the sustainability process because of its prominence across all four institutions.

Meets an institutional need. The theme of meeting an institutional need also emerged at all four of the institutions in this study. Bowling Lawn College had no centralized faculty development support center in place prior to the Mellon initiative. Likewise, Castlegate College and Hilltop College participants viewed the Mellon initiative as an opportunity to create new supports for faculty that were not in place prior to the Mellon initiative. As such, all three institutions created support systems that would fill an institutional need on campus. Amber Hills College, on the other hand, created programs that met an explicit, targeted need by focusing on a specific group of faculty members. Moreover, the Mellon initiative at Amber Hills College replicated campus programs that were already available to faculty members. As one campus administrator asserted, the Mellon initiative created "more of the same" types of faculty support.

This theme of meeting an unmet need coincides with previous findings regarding sustainability factors. For example, prior research has documented the importance of assessing and analyzing the needs of an institution that the program is addressing (Lueddeke, 1999; Steckler & Goodman, 1989). However, the findings from this study suggest that the institutions that identified need at a broader, institutional level were more able to sustain their Mellon initiatives.

Institutional context. The theme of institutional context emerged as an umbrella label to describe the unique, campus-related situations that the institutions experienced during the grant period. Institutional context was noted as a sustainability factor at three

of the institutions in this study. Bowling Lawn College attributed much of the success and sustainability of the Mellon initiative to a culture of trust between faculty and campus administrators. Castlegate College attributed much of the success and sustainability of the Mellon initiative to the timing of the grant as it coincided with administrative infrastructure transitions on campus. Meanwhile, Hilltop College attributed the sustainability of the Mellon initiative to an already present culture of faculty support on campus.

Institutional planning. The theme of institutional planning emerged at three of the institutions in this study. Bowling Lawn College participants acknowledged the extensive planning that was included in the development and sustainability of the Mellon initiative. Moreover, Bowling Lawn College administrators acknowledged the commitment the institution made to the Mellon initiative early in the planning stages of the initiative: "[Bowling Lawn College] doesn't like to take grants unless we know we can make the commitment to it" (Campus Administrator A, Bowling Lawn College).

Although not in a similar manner, Castlegate College and Hilltop College administrators implemented plans to sustain their Mellon initiatives midway through their grant periods. Castlegate College participants viewed the planned move to fold the Director for Faculty Research Development into the campus' existing Teaching and Learning Center as a factor that contributed to the sustainability of the position. Hilltop planned for the transition from the Mellon grant to existing fund sources on campus to ensure that valued components of the Mellon initiative would continue beyond the initial grant period.

In frameworks modeling program institutionalization or sustainability, planning is frequently noted as the first stage of the institutionalization or sustainability process (Beery et al., 2005; Clark, 2004; Kezar, Glenn, Lester, & Nakamoto, 2008; Levine, 1980). It is important to note that all four institutions utilized some form of planning in the beginning stages, as was required by the Mellon grant invitation, and yet not all four institutions sustained their Mellon initiatives. What appears to distinguish Bowling Lawn, Castlegate and Hilltop's cases from Amber Hills' case is that Bowling Lawn, Castlegate and Hilltop utilized planning to help sustain their Mellon initiatives, rather than utilize planning to merely implement the initiative. In addition, the findings from this study appear to contrast with scholars who suggest that planning for sustainability needs to occur at the beginning of the process (Pluye, Potvin, Denis, Pelletier, & Mannoni, 2005), as was the case with Bowling Lawn College. Castlegate and Hilltop's cases suggest that planning to sustain may occur at some later stage of the sustainability process.

Reach or impact of initiative. Related to the theme of meeting an institutional need, the theme of reach or impact emerged at two of the institutions in this study. Hilltop College administrators of the Mellon initiative acknowledged the flexible and open nature of the Mellon initiative as it was implemented on campus. This allowed many faculty members to participate and apply for funds. In a sense, the flexible nature of the Mellon initiative at Hilltop College broadened its impact because of its applicability to a wide range of faculty members. Hilltop College's Mellon initiative stood in contrast to Amber Hills College's Mellon initiative. At Amber Hills, the Mellon initiative was specifically targeted to a sub-group of faculty members on campus. In addition, the more successful component of the Mellon initiative (the Renewal Leaves) had a narrow impact

because the Renewal Leaves were awarded to a small number of faculty. The ability for a program to have a wide impact coincides with prior research suggesting that a program's ability to achieve widespread use increases its ability to become institutionalized (Huberman & Miles, 1984).

Applied organizational learning. The theme of applied organizational learning emerged at two of the institutions in this study. Bowling Lawn College administrators were conscious of the need for ongoing evaluation and applying any lessons learned during the implementation of the Mellon initiative. Similarly, Hilltop College administrators viewed the Mellon initiative as a learning opportunity through which the institution would determine which components of the initiative worked best and would be worth sustaining.

The theme of institutional applied learning coincides with several related ideas from the literatures on organizational change and organizational learning. The theme of applied learning coincides with previous research that suggests that ongoing assessment is necessary to sustain change (Lueddeke, 1999). In addition, the theme of applied learning coincides with theories of organizational learning (Argyris & Schon, 1996; Arygris, 1999), which suggest that organizational changes occur when an institution's actions or practices are modified through single loop or double loop learning. Both Bowling Lawn College and Hilltop College were quick to apply lessons learned as the Mellon initiative developed. But beyond merely applying insights learned from assessments and evaluations, Bowling Lawn College and Hilltop College demonstrated forms of double-loop learning by rethinking structures and changing approaches when incorporating adjustments to the Mellon initiative. The double-loop learning that

occurred at Bowling Lawn College and Hilltop College also required flexibility, not only on the institution's part, but also on the part of the Mellon initiative itself. Thus, supporting previous studies that documented the need for flexibility and adaptation in sustainability (Scheirer, 2005), the cases of Bowling Lawn and Hilltop demonstrate that sustainability is influenced by the initiative's ability to be flexible and adaptable as adjustments are made based upon lessons learned.

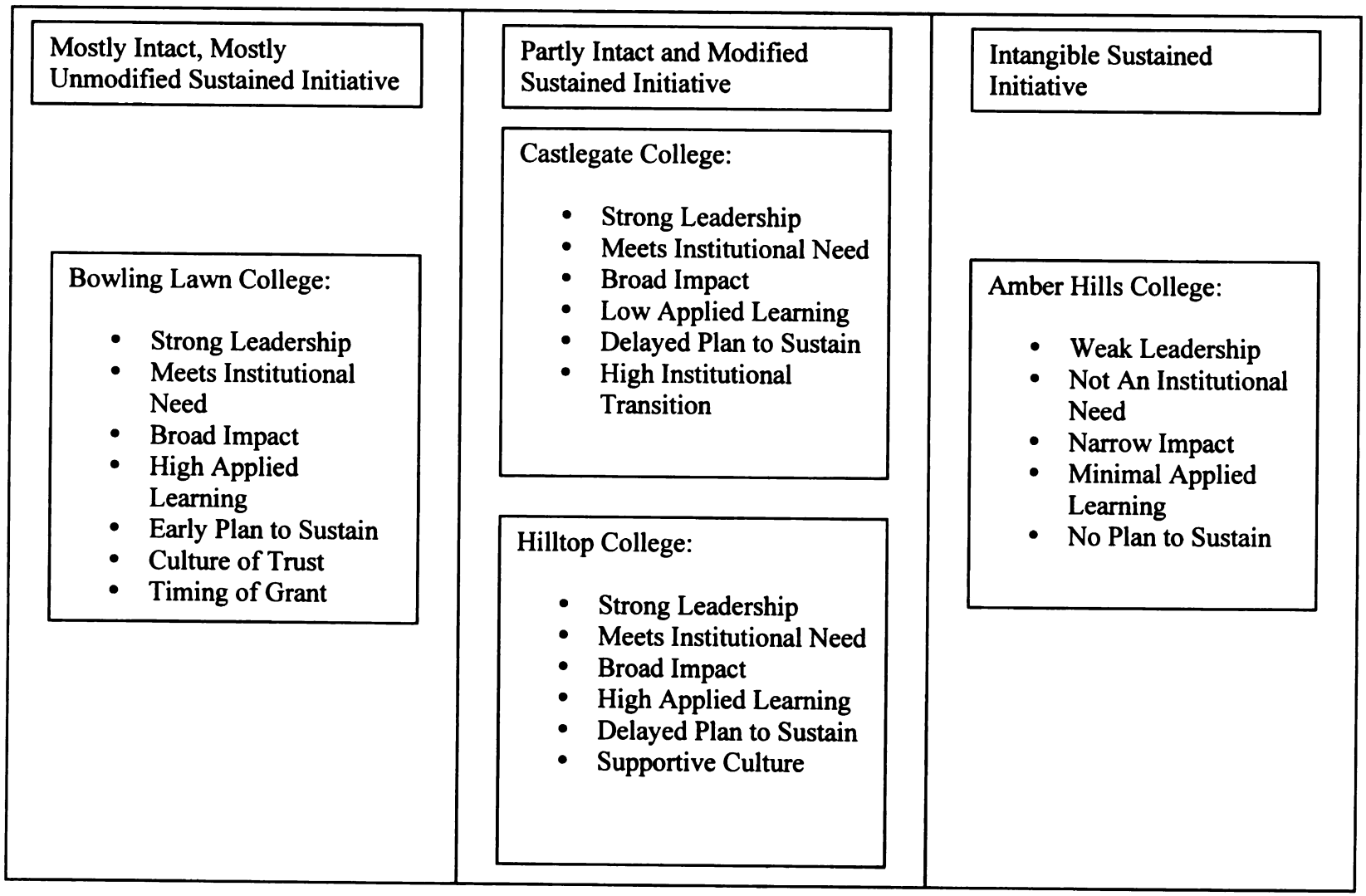
Environment. Finally, environmental conditions emerged as a factor from the participants at one of the institutions in this study. Some participants at Amber Hills College, at the institution that did not sustain the Mellon initiative as it was implemented, attributed some of the Amber Hills' inability to sustain its initiative to the lack of available funding and the downturn of the national economy. This theme coincides with the broader environmental influences of Shediac- Rizkallah and Bone's (1998) framework that are suggested to influence the sustainability of a program beyond the initial funding period. However, although Amber Hills participants cited funding as a reason for the discontinuation of the Mellon initiative, it is difficult to conclude that lack of funds and the poor national economy are strong contributing factors in Amber Hills' case. Amber Hills College maintains one of the largest endowments of the four institutions examined in this study. Moreover, as one campus administrator revealed, Amber Hills has sustained Mellon-funded initiatives in the past, but those initiatives were broader in their impact on campus. Therefore, it is reasonable to conclude that the initiative's narrow impact, rather than lack of continued funding, was a more prominent factor in the termination of the Mellon initiative at Amber Hills.

Comparing the Four Cases

This section provides a comparison of the four cases. I discuss the ways in which the sustainability factors influenced the different forms of the Mellon initiatives. In the previous two sections of this chapter, I discussed each institution's version of its sustained Mellon initiative. I also discussed the themes describing the participants' reflections regarding the sustainability factors across the four institutions. In this section, I compare and discuss the cases as examples of how the sustainability process at each institution led to one of the following sustained versions of the Mellon initiative: 1) mostly intact and mostly unmodified, 2) moderately intact and modified, or 3) only intangible (See Figure 5.1).

For the purposes of organizing my discussion, I begin by discussing the three cases that represent the first two types of sustained Mellon initiatives—1) mostly intact and mostly unmodified, and 2) moderately intact and modified. Therefore, I first discuss Bowling Lawn College as the institution representing type number one. I then discuss Castlegate College and Hilltop College as different examples of type number two. Finally, I discuss Amber Hills College as the third type of sustained Mellon initiative.

Figure 5.1. Comparison of the Four Cases



Bowling Lawn College: Mostly intact, mostly unmodified form of the Mellon initiative. Of the four institutions, Bowling Lawn College's sustained version of the Mellon initiative is most similar to its originally implemented version with a few alterations to the individual programs offered through the Center for Scholarship and Teaching. Overall, however, Bowling Lawn College's sustained Mellon initiative remains the most intact and most unmodified version of the implemented Mellon initiative.

In addition to sustaining a mostly intact, mostly unmodified form of the original Mellon initiative, Bowling Lawn College exhibited many attributes that appear to have contributed to the college's sustained Mellon initiative. First, Bowling Lawn College had strong leadership at the institutional and program levels throughout the implementation phase and into the present. Second, Bowling Lawn College's approach in its development of a Center for Scholarship and Teaching was intended to meet an identified, institutional need, rather than the interests of a select group of faculty members. Third, and related to the above mentioned point, Bowling Lawn's Mellon initiative had a broad impact on the college through its ability to provide a variety of programs and services to all faculty on campus. Fourth, the directors of the Center for Scholarship and Teaching not only engaged in ongoing evaluation and assessment of the center and its programs, but also applied the feedback regarding the programs to make appropriate programmatic adjustments. In addition, as former participants in the center's programs, the current director and associate director utilized lessons learned in decision-making and administration of the center. Fifth, Bowling Lawn College made early plans to sustain the Mellon initiative beyond the initial grant period by gradually incorporating the Center for

Scholarship and Teaching's budget into the college's central operating budget. Finally, a culture of trust, exemplified through the assurance that the assistance provided by the center was "set aside from the [faculty] evaluation process" (Bowling Hills College self study report), contributed to the institutional context that facilitated the sustainability of the Mellon initiative. In addition, the timing of the Mellon grant coincided with Bowling Lawn's push for faculty to integrate their scholarship with classroom teaching. This also contributed to the institutional context that facilitated the sustainability of the Mellon initiative.

In essence, it is reasonable to conclude that Bowling Lawn College's ability to sustain its Mellon initiative, as mostly intact and mostly unmodified, was the result of the following factors: strong leadership, the initiative's ability to meet an institutional need, the initiative's broad impact, high applied institutional learning, early plans to sustain the initiative, a culture of trust, and the timing of the grant.

Castlegate College and Hilltop College: Moderately intact and modified forms of the sustained Mellon initiative. Although Castlegate College and Hilltop College represent different sustainability processes and different sustained forms of the Mellon initiative, both cases have moderately intact and modified forms of their sustained Mellon initiatives. In other words, both institutions' sustained versions of the Mellon initiative are a portion of the original Mellon initiative and in modified forms more compatible with their institutions' contexts and needs.

Castlegate College. Castlegate College sustained its Mellon initiative through the continuation of the Director for Faculty Research Development position and the Faculty Conversations program. The director position has evolved to become a part of the

Learning, Teaching and Research center on campus. In addition, the role of the Director for Faculty Research Development has greater emphasis on the mentor or liaison aspects of the role than was the case when the position was first created. Similarly, the Faculty Conversations are administered differently than they were initially implemented with more of the thematic ideas for topics emerging from the faculty than from the Director for Faculty Research Development. These components of the original Mellon initiative have been sustained. However, the sustained components have been modified since the implementation of the original Mellon initiative.

The case at Castlegate College parallels some factors found at Bowling Lawn College. First, Castlegate College had strong leadership from the third Director for Faculty Research Development. The leadership demonstrated by the third Director for Faculty Research Development contributed to the stability of the director position after an unstable first two years. In addition, the provost's commitment to sustain the Faculty Conversations beyond the grant period was the result of the third Director for Faculty Research Development's imploring. Second, similar to the case at Bowling Lawn College, Castlegate College's Mellon initiative met an identified institutional need for a greater intellectual bond and a faculty liaison to assist faculty develop research agendas. Third, the Mellon initiative had a broad impact on campus. The nature of the Faculty Conversations was open and flexible, allowing for faculty at all stages and in various fields and disciplines to participate. In addition, the Director for Faculty Research Development served all faculty regardless of career stage or field.

Unlike Bowling Lawn College, however, Castlegate College did not exhibit evidence of applied learning, in spite of the "Time Balance Study" that was incorporated

into the original Mellon initiative. Although the "Time Balance Study" was executed and produced publications for some faculty members interested in the topic, little concrete evidence was found to suggest that the insights gained or the lessons learned from the "Time Balance Study" were applied to enhance the Mellon initiative.

In addition, Castlegate College did not plan to sustain its Mellon initiative at the outset of the grant period, as was the case at Bowling Lawn College. However, Castlegate College did plan to transition the Director for Faculty Research Development toward the end of the grant period in order to provide the director position a "home" on campus.

Finally, Castlegate College experienced considerable campus transition in its administrative structures during the Mellon grant. Although the campus was in a state of flux, many participants believed the Mellon grant was a positive addition to the changes already occurring at Castlegate. Thus, the Mellon initiative complemented the institutional changes that were already underway.

Castlegate College differs from Bowling Lawn College in the degree to which the Mellon initiative was sustained. Bowling Lawn College sustained its Mellon initiative as mostly intact and mostly unmodified from the implemented version, whereas Castlegate College sustained its Mellon initiative partly intact and modified from the implemented version. In addition, Castlegate's experience with the Mellon initiative differs from Bowling Lawn College in the nature of the leadership pertaining to the Mellon initiative, the application of institutional learning with regard to the Mellon initiative, the timing of the institution's plan to sustain, and the administrative re-structuring on Castlegate's campus that coincided with the timing of the grant.

In sum, it is reasonable to conclude that Castlegate College's ability to sustain its Mellon initiative as partly intact and modified, was the result of the following factors: strong leadership, the initiative's ability to meet an institutional need, the initiative's ability to have a broad impact, plans to sustain the initiative, and timing of the grant that coincided with the institution's organizational transitions.

Hilltop College. Hilltop College sustained its Mellon initiative through the continuation of the Mellon Venture Fund, but in a modified form as two funding opportunities. Therefore, similar to Castlegate, Hilltop College's sustained Mellon initiative included only a portion of the original Mellon initiative and in a modified form from the way in which it was originally implemented.

The case at Hilltop College parallels some of the factors present at Bowling Lawn College. Hilltop College had strong leadership provided by the provost to secure the development of funds to sustain the Mellon initiative. In addition, Hilltop's implemented Mellon initiative as a set of funding opportunities was broad in its reach and impact by providing a flexible venue for all faculty to obtain funding for professional development. Moreover, Hilltop College exhibited a high degree of applied learning by implementing changes to the Mellon initiative throughout the grant period and making necessary adjustments to the sustained form of the Mellon initiative.

However, unlike Bowling Lawn College, Hilltop did not plan to sustain the Venture Fund component of the Mellon initiative from the beginning of the grant period. Instead, similar to the case with Castlegate College, Hilltop made plans to sustain the Mellon initiative midway through the grant period by locating alternative funding sources to absorb the sustained Mellon initiative. Moreover, the college bolstered the funding

resources in preparation for the transition. In addition, unique to Hilltop College's situation was Hilltop's preexisting culture that was supportive of faculty and a lengthy history of supporting its faculty.

In sum, it is reasonable to conclude that Hilltop College's ability to sustain its Mellon initiative as partly intact and modified, was the result of the following factors: strong leadership from the provost, the initiative's ability to meet an institutional need, the initiative's ability to have a broad impact, plans to sustain the initiative, and an institutional history and culture of supporting faculty.

Amber Hills College: Intangible form of the Mellon initiative. Of the four institutions, Amber Hills College was the only one that did not sustain its Mellon initiative in some tangible form. The institution's "sustained" Mellon initiative is in an intangible form through the "legacy" of the Mellon initiative.

In addition to not sustaining the original Mellon initiative and sustaining only an intangible form of the initiative, Amber Hills College exhibited many sustainability factors that contrasted with the factors that were present at the three institutions that did sustain components of their original Mellon initiatives. First, unlike Bowling Lawn, Castlegate, and Hilltop Colleges, Amber Hills exhibited weak leadership with regard to the Mellon initiative. Second, unlike the other three institutions, Amber Hills' implemented Mellon initiative did not have a broad impact, but instead a very narrow impact, designed to "meet a specific need." Third, unlike Bowling Lawn and Hilltop Colleges, the lessons learned from the Mellon grant experience at Amber Hills were not applied during the grant period to the original Mellon initiative. Although lessons appear to have been applied *after* the Mellon grant period, by way of planning for an emeritus

center, the lessons learned were not applied to the implemented Mellon initiative. Fourth, Amber Hills did not develop a plan to sustain the implemented Mellon initiative. Finally, Amber Hills College did not seem to need the Mellon initiative as much as Bowling Lawn, Castlegate, and Hilltop Colleges. Faculty felt relatively supported in their careers irrespective of the Mellon initiative. In other words, although some gains were made when the Mellon initiative was implemented, Amber Hills participants did not believe that much would be lost if the Mellon initiative was not sustained as it was implemented.

In sum, the four institutions, when compared with each other, demonstrate varied sustainability processes. In addition, the four cases demonstrate the different forms of sustainability, ranging from the mostly intact, mostly unmodified sustained form of the Mellon initiative at Bowling Lawn College, to the intangible sustained form of the Mellon initiative at Amber Hills College. There were also in between examples of moderately intact, modified sustained forms of the Mellon initiative at Castlegate and Hilltop Colleges.

Influence and Impact of Sustainability Factors

In this section, I focus on the impact of the factors in the sustainability process across the four institutions. This is related to the third research question of my study: 3) WHICH programmatic, institutional, and environmental factors contributed to the sustainability of each of the initiatives?

In order to answer these questions, I revisited the guiding conceptual framework of my study. My guiding conceptual framework incorporated five of Shediac-Rizkallah and Bone's (1998) 11 factors. In keeping with Shediac-Rizkallah and Bone's (1998) notion of program factors, institutional factors, and environmental factors, I ensured that

my guiding conceptual framework represented the three areas. Therefore, the sustainability factors pertaining to the program included 1) program effectiveness and 2) program type. The sustainability factors pertaining to the institution included 3) integration with existing programs and services, and 4) leadership or program champion. Finally, the sustainability factors related to the external environment included socioeconomic and political considerations.

I looked across the four cases to determine the degree to which each factor was an influence on the process to sustain at each of the institutions (See Table 5.2).

Table 5.2. Analysis of Four Cases Through Conceptual Framework

	Program Effectiveness	**Program Type**	**Integrate With Programs or Services**	**Leadership/ Program Champion**	**Environment (Economic and Political)**
Bowling Lawn College	Strong Influence: Center's effectiveness validated institution's investment in Center.	Strong Influence: Center was far reaching in its impact on campus.	Strong Influence: Center was compatible with and integrated into institution culture.	Strong Influence: Three individuals considered champions.	Weak influence: Strong economy may have helped institution's ability to gradually sustain Center.
Castle-gate College	Strong Influence: Mellon initiative considered effective.	Moderate Influence: Mellon initiative general enough to reach a wide array of interests.	Strong Influence: Director position was integrated into existing Center.	Strong Influence: Third Director made the position valuable to the institution.	Weak Influence: Neither economic nor political factors appeared to affect sustainability.
Hilltop College	Moderate Influence: Mellon initiative considered effective.	Strong Influence: Mellon initiative provided funding options to faculty that were not offered by other funding sources.	Strong Influence: Absorbed into institution using existing resources.	Strong Influence: Provost advocated for necessary funding for continued support. Catalyst provided momentum.	Weak Influence: Neither economic nor political factors appeared to affect sustainability.
Amber Hills College	Weak Influence: Mellon initiative had mixed perspectives of effectiveness, but was never considered ineffective.	Strong Influence: Mellon initiative was too narrow in impact to receive continued support.	Strong Influence: Mellon initiative was not integrated into existing services.	Strong Influence: Leadership was not present to sustain the Social Dinners. Lack of a champion.	Weak Influence: Ending of grant coincided with downturn of the economy, but institution is well-endowed.
	Strong: 2 Moderate: 1 Weak: 1 MODERATE	Strong: 3 Moderate: 1 STRONG	Strong: 4 STRONG	Strong: 4 STRONG	Weak: 4 WEAK

As represented in Table 5.2, I first examined the degree to which each factor was a "strong influence," a "moderate influence," or a "weak influence" in sustaining the Mellon initiatives at each of the four institutions.

A factor was labeled as a "strong influence" if the factor met the three following conditions: 1) approximately 75 percent of the participants at each institution attributed the sustainability to that particular factor; 2) document analysis supported the perspectives of the participants; 3) observations made during site visits supported the perspectives of the participants.

A factor was considered a "moderate influence" if the factor met the following three conditions: 1) between 25 percent and 75 percent of the participants at each institution attributed the sustainability to that particular factor as defined by the participants; 2) document analysis supported the perspectives of those participants; 3) observations made during site visits supported the perspectives of those participants.

A factor was considered a "weak influence" if the factor met the following three conditions: 1) less than 25 percent of the participants at each institution attributed the sustainability to that particular factor as defined by those participants; 2) document analysis did not support the perspectives of the participants; 3) observations made during site visits also did not support the perspectives of those participants.

After determining whether a factor was a strong influence, a moderate influence, or a weak influence in each case, I compared the influence across the four cases. If a factor was strong at three or four institutions, I concluded that overall, the factor was a strong influence. If a factor was considered to be strong at only two of the institutions, or considered to be moderate at three or four of the institutions, I concluded that overall, the

factor was a moderate influence. If a factor was a strong influence at only one or none of the institutions, or if a factor was weak at three or more institutions, I concluded that overall, the factor was a weak influence.

Not all factors were equally influential. The environmental factor (socioeconomic and political factors considerations) was a weak influence across the four institutions. Although some participants at Amber Hills noted the ending of their Mellon initiative coincided with the downturn of the economy, fewer than 25 percent of the participants noted this as influential in sustaining the initiative. One individual at Bowling Lawn College noted the strength of the economy as a factor in contributing to the institution's ability to sustain the Mellon initiative. None of the participants at Castlegate College or Hilltop College referenced the national economy as having an effect on the sustainability of the Mellon initiative.

The program factors (program type and program effectiveness) and institutional factors (leadership and integration into existing programs and services) differed in their influences on the sustaining the Mellon initiative. Program type was a strong influence (strong influence at three institutions). Program effectiveness was moderately influential (strong influence at two institutions, moderate influence at one institution, weak influence at one institution). Leadership was strongly influential at all four institutions. Integration into existing programs and services was also strongly influential at four institutions. In what follows, I discuss each of the factors in greater depth, beginning with the factors that were found to have the strongest influence on the sustainability process.

Leadership as a strong influence on the sustainability process. Leadership was found to be the most influential factor in the sustainability process across the four

institutions. Because many participants across the four institutions identified leadership as contributing to the sustainability of their Mellon initiatives, I found leadership to be the most influential factor in the guiding conceptual framework.

The institutions that sustained their Mellon initiatives relatively intact were institutions that could point to the influence of a program champion or a committed leader. Bowling Lawn College had several individuals in the upper administrative and program levels acting as program champions. These individuals were not only committed to the Mellon initiative, but were able to work with the faculty population to ensure that the Mellon initiative met faculty needs. Similarly, Castlegate College had the Director for Faculty Research Development who worked as a liaison and mentor with the faculty. Although the third Director for Faculty Research Development represents more qualities of a program champion, the institution has been able to maintain the Director for Faculty Research Development through the careful selection of an individual to carry the initiative forward. Hilltop College had the provost who utilized his leverage as a member of upper administration to secure the necessary resources in order to sustain the initiative. Meanwhile, the Catalyst provided the necessary momentum to maintain faculty interest in Hilltop's Mellon initiative. Amber Hills College demonstrated little committed leadership or drive from a program champion. As one of the Amber Hills participants stated, "There wasn't this single person who was like . . . man, I'm just really committed to this." In other words, Amber Hills College lacked an individual to carry the initiative forward.

Integration into existing programs or services as a strong influence on the sustainability process. Integration into existing programs or services was found to be a strongly influential factor contributing to the sustainability process across the four

institutions. Bowling Lawn College participants noted the Mellon initiative's ability to bring together existing faculty support resources with new faculty support programs into one central unit. In addition, participants emphasized the compatibility of the Center for Scholarship and Teaching's mission with the institution's move toward greater scholarship collaboration between faculty and students. Castlegate College participants noted the integration of the Director for Faculty Research Development as an influential factor in the sustainability of the Mellon initiative. Likewise, Hilltop College participants noted the integration of the Venture Fund into the newly created Hilltop College Research Foundation Venture Award and the Donor Alumnus Fund to sustain the objectives of the Venture Fund post-Mellon grant funding. Amber Hills College simply did not attempt to integrate any components of its Mellon initiative into its existing campus structures.

Program type as a strong influence on the sustainability process. Another factor that the findings indicated was strong influence across the institutions was program type. Program type, or the intent and design of the program, was found to be a strong influence at Bowling Lawn College, Hilltop College, and Amber Hills College. However, it was only a moderate influence at Castlegate College. Bowling Lawn College's Mellon initiative was designed to appeal to as many faculty as possible through the creation of a faculty development center from which various faculty support programs would be offered. Bowling Lawn's focus on developing a Center was cited by many Bowling Lawn participants as a factor in the Mellon initiative's sustainability. Likewise, Hilltop College participants pointed to the flexible and open nature of its Mellon initiative, thus having a wide appeal to its faculty. Meanwhile, Amber Hills participants noted that one of the

primary reasons why they felt the Mellon initiative was not sustained was the Mellon initiative's narrow focus as it was implemented on campus.

Program effectiveness as a moderate influence on the sustainability process. Across the institutions, program effectiveness was found to have a moderate influence on the sustainability process. Although program effectiveness was a strong influence at Bowling Lawn College and Castlegate College, it was a moderate influence at Hilltop College and a weak influence at Amber Hills College. Bowling Lawn College participants asserted that the success of the Center for Scholarship and Teaching reinforced the institution's decision to invest in the project. In addition to the participants' perception of the Mellon initiative's effectiveness, the Center for Scholarship and Teaching was highly visible on campus with permanent signage and a permanent place in the library. Similarly, Castlegate College participants suggested the Mellon initiative's success influenced the sustainability of the Faculty Conversations. In addition, through the merging of the Director for Faculty Research Development with the Learning, Teaching and Research Center, the Mellon initiative has greater visibility on campus. Hilltop College participants acknowledged the Mellon initiative's effectiveness on campus, but only half of the participants attributed the initiative's sustainability to its success. The perspectives on the Mellon initiative's effectiveness at Amber Hills College were mixed. However, perceived effectiveness was not considered by a majority of the Amber Hills participants to have influenced the discontinuation of the Mellon initiative.

Environmental factors as a weak influence in the sustainability process. Finally, Environmental Factors were found to be only a weak influence in the sustainability process across the institutions. The strength of the national economy was

cited by some participants at Amber Hills College as a possible influence on the discontinuation of the Mellon initiative because the end of the Mellon grant coincided with the downturn of the national economy. However, considering that Amber Hills College has the largest endowment of the four institutions, the environment factor appears to have had less of an effect on the sustainability of the initiative than the other factors in the conceptual framework.

The national economy was found to be a weak influence at Bowling Lawn College because only one participant noted the Mellon grant period occurring during a time in which the national economy was strong. Participants at Castlegate College or Hilltop College did not note that the economic condition of the nation influenced the sustainability outcomes at their institutions.

In sum, the factors that had the strongest influence on the sustainability process were leadership or program champion and integration into existing programs or services. These were considered to be strong factors at all four institutions. The second strongest influence was program type. This factor was considered to be strong at three of the institutions but only moderate at one. Program effectiveness was considered to be a moderate factor across the institutions. Although it was a strong factor at two of the institutions, it was moderate at one institution and weak at another institution. Finally, the external environment was found to be a weak influence across the four institutions.

Summary

This chapter provided a cross-case discussion of the findings in this study. First, I compared forms in which the Mellon initiatives were sustained across the four cases. Afterward, I compared the factors that contributed to the sustainability of the Mellon

initiatives across the four cases to develop a list of sustainability factors. Then I discussed how each case, representing different processes of sustainability and different sustained forms of the Mellon initiative, compared with each other. Finally, I analyzed the influence of each factor from the guiding conceptual framework.

In my last chapter, Chapter Six, I propose a conceptual model based upon the principles in the guiding conceptual framework and the findings from this study. I compare the extent to which my findings and my proposed conceptual model parallel the guiding conceptual framework. I also discuss the implications from this study's findings and provide suggestions for practice and future research.

Chapter Six: Conclusions and Implications

This concluding chapter brings together the findings from this study to offer insights learned and recommendations for practice and future research on program sustainability, beyond the initial grant period. First, I briefly revisit the purpose and design of my study. Then I summarize and discuss the major findings of the study. Next, I propose a conceptual model based upon the elements of the guiding conceptual framework and the findings from this study. Finally, I offer implications for practice and for future research.

Summary of Study

The purpose of this study was to understand the sustainability of grant-funded non-academic programs beyond the initial funding period. This topic arose from the following problem: Despite the best intentions of colleges and universities to be responsive to their changing environments, as well as foundations' requirements for institutions to plan for sustainability as part of the application process (Beery et al., 2005), many higher education institutions are unable to sustain those programs or initiatives beyond the initial funding period.

This study was designed to examine the sustainability of faculty career enhancement grant-initiatives at selective liberal arts colleges beyond initial funding from the Andrew W. Mellon Foundation. This research utilized a multi-case study design. The central research question for this study was:

> How do liberal arts colleges sustain foundation-funded grant programs beyond the initial grant period?

More specifically, my study attempted to answer the following additional four research questions:

1. WHAT did the sustained initiatives look like at each of the institutions after the funding period?

2. HOW did each of the institutions sustain the initiatives post funding?

3. WHICH programmatic, institutional and environmental factors contributed to the sustainability of each of the initiatives?

4. To what extent do the findings parallel the conceptual framework guiding this study?

Grounded in the literature on organizational change, program institutionalization, and program sustainability, I utilized Shediac-Rizkallah and Bone's (1998) program sustainability model from the field of health programs and services as the guiding conceptual framework for my study. I drew my sample cases from a population of 23 liberal arts college that received faculty career enhancement grants from the Andrew Mellon Foundation. I examined four colleges as part of my multi-case study design to understand the extent to which each institution sustained its Mellon grant initiative and the processes by which the initiative was sustained or not sustained.

Summary of Major Findings

The four cases suggest that institutions can sustain a grant-funded initiative in a variety of ways, ranging from almost completely sustained in its original form, to not sustained in its original form, but sustained in an intangible form. The findings from the four cases suggest that particular factors contribute to and have differing influences on the sustainability process. The following is a summary of the primary factors found to contribute to the sustainability of a grant-funded program beyond the initial grant period based upon the findings of this study.

Presence of a program champion or committed leader. The findings from this study suggest that one of the most influential factors in sustaining a program is the presence of a program champion or committed leader. The findings from this study resemble prior research findings that have emphasized the role of a program champion in the success or sustainability of a program (Huberman & Miles, 1984; Levison, 1994; Shediac-Rizkallah & Bone, 1998; Steckler & Goodman, 1989;). However, the findings from this study further suggest that the role of the program champion or committed leader does not have to be fulfilled by a single person. In fact, the case of Bowling Lawn College suggests that as long as the individual occupying the leadership role is willing to immerse him or herself into the project or program, the momentum of the program champion does not have to be broken in times of personnel change.

Institutional context. The findings from this study also suggest that institutional context can affect the sustainability of an initiative beyond the initial grant period. More specifically, the findings suggest that a culture of trust between faculty and administration, a culture and history of supporting the needs of the faculty, and timing of the grant can all influence the sustainability of the initiative. Although this factor was not included in Shediac-Rizkallah and Bone's (1998) framework, this finding supports scholars' assertion that institutional culture and other contextual variables play an important role in managing (and sustaining) change in institutions (Bolman & Deal, 2003), and specifically in colleges and universities (Birmbaum, 1990; Kezar, 2001; Tierney, 1998).

Meets an institutional need. Although Shediac-Rizkallah and Bone (1998) proposed that the "type of program" that is implemented affects the sustainability of the

program beyond the initial grant period, the findings from this study suggest that the program's ability to meet an institutional need, as well as the breadth of the program's impact on the campus, may more accurately describe what distinguishes between those programs that are sustained and those that are not. The findings from this study suggest that a program's ability to meet an institutional need, rather than a more narrowly targeted need, contributes to the sustainability of the program. Several studies have documented the importance of including a needs assessment component in the planning phase of program development (Lueddeke, 1999). This study, however, suggests that institutional leaders should consider the type of need that the program is intended to address. If the identified need is specific and short-term, it may not be necessary to sustain the program. On the other hand, if the identified need is widespread and ongoing, the institution is likely to feel a greater obligation to sustain the program.

Impact of program. Related to the program's ability to meet an institutional need, the findings from this study suggest that an initiative's ability to achieve a broad impact versus a narrow impact affects a campus' willingness to commit to the program. This was the case at Amber Hills College. In other words, the breadth of an initiative's impact affects the likelihood that campus leaders will continue supporting the initiative beyond the initial funding period. This finding closely parallels previous research suggesting that the breadth of its impact affects the sustainability of a program (Huberman & Miles, 1984; Pontbriand, 2002).

Ability to integrate into the campus. The findings from this study suggest that an institution's ability to integrate an initiative into the existing services or fabric of the campus contributes to the sustainability of the initiative. This finding supports previous

findings that emphasize structural adaptation as an element in sustaining a program (Levison, 1994), as well as the importance of a program's "philosophical fit" (Levison, 1994) or connection to the vision or core values of the institution (Pontbriand, 2002). The cases described in this study would suggest that some campus structural dimensions (Bolman & Deal, 2003) factored into the ability of the institution to sustain or not sustain the initiative. However, the cases also suggest that the institutions that were able to integrate the initiative either designed the initiative to be integrated (as in the case with Bowling Lawn College), or altered the existing institutional structure to accommodate the initiative (Castlegate College), or altered the initiative in addition to the existing institutional structure to accommodate the initiative (Hilltop College).

Applied institutional learning. Although the campus administrators at the institutions in this study frequently noted lessons learned from the Mellon experience, the application of the lessons learned appeared to help at least some of the institutions that sustained their Mellon initiatives. Much effort is required to make changes and adjustments based upon the new information. Thus, the application of lessons learned, rather than the mere documentation of the learning, contributes to the sustainability of the initiative. Through adjustments, the initiatives evolved in ways that fit better with the institution. Institutional fit has been suggested in the literature as a factor in sustainability. Although the initiative may not "fit" well when a proposal is drafted, the initiative can be modified to improve its fit in the institution by applying lessons learned.

The influence of applied learning parallel's Arygis and Schon's (1996) notion of double-loop learning. The institutions that utilized double-loop learning applied the lessons learned through program evaluations, and when appropriate, changed some of the

implementation and execution approaches during the grant period. The notion of applied learning also supports Boyce's (2003) recommendation for theorists to consider the role of organizational learning in the sustainability of programs. Rather than using the reactive application of learning that is demonstrated in single-loop learning, double loop learning requires a reflective, questioning of assumptions application of learning. It was this type of learning that Bowling Lawn College and Hilltop College administrators demonstrated through their reflective processes and then application of what they learned to adjust their Mellon initiatives.

Planning to sustain. The findings from this study suggest that sustainability of an initiative requires planning to sustain. Although some institutions will state that they have made a commitment to an initiative, not all institutions plan to sustain the initiative. In the cases of this study, the planning to sustain came from campus administration. The implications of the value of campus administration's support parallels the many scholars' claims that support for an initiative is the result of political influences (Bolman & Deal, 2003), but specifically, the political influences of campus or central administration (Levison, 1994). The findings from this study would suggest that political influences represented in central administration might factor strongly into the sustainability of the initiative at each of the campuses.

The findings from this study further suggest that planning to sustain does not have to occur at the beginning stages of the initiative's implementation; instead, planning to sustain may occur later during the grant period. In fact, the findings from Castlegate and Hilltop suggest that institutions do not have to go into a grant initiative with the intention of sustaining the initiative; the decision to sustain may arise from the experience with the

initiative. However, the bottom line is without planning efforts to sustain the initiative at some point during the grant period, it is unlikely that the initiative will be sustained after the termination of the grant funding.

Program effectiveness. The findings of this study suggest that perceived program effectiveness contributes to the sustainability of a program. However, the findings also suggest that it is less of a factor when other factors, such as leadership, institutional context, meeting and institutional need, and breadth of impact, are taken into consideration. The participants at the three institutions that sustained their Mellon initiatives viewed their initiatives as effective. At Amber Hills College there was a split between participants who believed the initiative was effective and those who believed the initiative was less effective. However, no participants at Amber Hills believed the initiative was not effective. In the case of Amber Hills College, program effectiveness was less of a factor in the college's discontinuation of the initiative than factors such as leadership and the breadth of the program's impact on campus.

Discussion

Several ideas from the literature on organizational change, program institutionalization and program sustainability informed my study. In this section, I discuss the larger implications of this study's findings within the context of the literature that framed this study.

Organizational change and sustainability. The first body of literature that informed my study was organizational change and the relationship between organizational change and sustainability. The literature has characterized organizational change as either a product (Brownson et al., 2006; Powers, 2000; Richards, O'Shea, &

Connolly, 2004; Wilson & Kurz, 2008) or a process (Clark, 2004; Kezar, 2001, 2007, 2008; Levine, 1980; Maier & Weidner, 1975). To align with most educational perspectives and theorists, my perspective viewed organizational change as a process. Moreover, I assumed that organizational change would be necessary in order to sustain an initiative.

The cases in this study generally support the perspective that organizational change is required to sustain an initiative. The three institutions that sustained, at minimum, some components of the original Mellon initiative did undergo some organizational change, whether it was erecting a physical unit, adjusting a physical unit to absorb a position, or creating a new funding resource and increasing the existing funding resources. Moreover, the institution that did not sustain any components of the original Mellon initiative did not undergo any organizational change.

However, the cases in this study also revealed that organizational or institutional change can be a product resulting from the sustainability process. For example, Bowling Lawn College not only underwent organizational change to sustain the Mellon initiative, but also ended up with institutional change in the form of a culture shift where the need for faculty development is regarded as a positive rather than a remedial component of the faculty career. In this sense, organizational change was not just part of the process to sustain the Mellon initiative, but also an end product. Similarly, Castlegate College, which was undergoing organizational change during the Mellon grant, ended up with institutional change in the form of a learning, teaching and research center for faculty and students. Castlegate, therefore, was able to use organizational change to sustain part of its Mellon initiative, and have institutional change as a result of the process. Amber Hills

College, which did not sustain its Mellon initiative, did not engage in organizational change, nor did institutional change result from the Mellon initiative experience. Amber Hills College has neither experienced organizational change as a process nor as a result. From these three cases, it is reasonable to conclude that sustaining the Mellon initiative required organizational change and organizational change occurred at those institutions that sustained their initiatives.

However, Hilltop College's case does not parallel this implication. Hilltop College utilized organizational change to sustain its Mellon initiative. The institution created a new fund and reallocated resources to an existing resource to support the sustainability of the Venture Fund. Yet, the Mellon experience did not result in a change in culture like Bowling Lawn, or a change in the perception of an existing center like Castlegate. Instead, Hilltop College's sustained Mellon initiative enhanced the institution's already supportive culture for faculty development. In other words, unlike Bowling Lawn College or Castlegate College where a culture shift resulted from the Mellon experience, Hilltop College was able to maintain its supportive culture for faculty through sustaining the Mellon initiative. Therefore, rather than creating a change in culture or cultural perspective on campus, Hilltop College, through sustaining the Mellon initiative, was able to maintain its espoused value of supporting its faculty.

The implications from this finding are that organizational change can be both a part of the process to sustain a program or initiative as well as a result. However, the case example provided by Hilltop suggests that although an institution may need to engage in organizational change as part of the process to sustain, the result of the change process does not have to lead to large cultural change, as was the case at Bowling Lawn or

Castlegate College. Instead, the process to sustain can lead to an institution's ability to uphold its espoused values when the sustained initiative matches the institution's existing values. In other words, organizational change, as part of the process to sustain, can also result in the maintenance or support of an already espoused vision or mission.

Sustainability factors. The second major body of literature that informed my study was the literature on institutionalization and program sustainability. Overall, the findings from this study generally support previous findings on program institutionalization and sustainability. Factors such as leadership (Huberman & Miles, 1984; Levison, 1994; Shediac-Rizkallah & Bone, 1998; Steckler & Goodman, 1989), the reach of the program (Huberman & Miles, 1984), and the integration of the program into existing structures (Bauld et al., 2005; Huberman & Miles, 1984; Johnson et al., 2004; Levison, 1994; Shediac-Rizkallah & Bone, 1998) appear to be the more influential factors in this study. Moreover, institutional context needs to be taken into consideration in a higher education institution's process to sustain an initiative. Colleges and universities have unique cultures and are constantly evolving in response to the environment. The case examples from this study demonstrate that institutional context is a factor that also needs to be considered when developing and sustaining an initiative.

Although continued funding of a project, or finding the funding, is a concern for many institutional leaders, the findings from this study suggest that money is not necessarily the primary factor in the sustainability or termination of a project. In fact, the four cases in this study, as a sample of a larger group of 23 higher education institutions, were institutions with very large endowments. Moreover, Amber Hills College, the institution that did not sustain the Mellon initiative, has the largest endowment of the four

institutions. Therefore, when funding is held relatively constant, the findings from this study suggest that funding is less of a factor in sustaining an externally-funded program when taking into account other factors such as leadership, the reach of the program, and the context of the institution.

Sustainability as a matter of degree. Prior research has suggested that institutionalization or sustainability is not a yes-no concept, but rather a matter of degree (Huberman & Miles, 1984; Levine, 1980; Levison, 1994). The findings from this study support the idea that sustainability is a matter of degree. However, the findings from this study also acknowledge that sustainability can be both tangible and intangible. Whereas prior research has considered a program to be sustained as long as some component is visible, the Amber Hills participants in this study maintain that their institution has still sustained its Mellon initiative, but in an intangible form of a "legacy" through the planning efforts to develop an emeritus center. Thus, rather than the visualizing the sustainability spectrum as consisting only degrees of sustainability that assumes only tangible forms of sustainability, perhaps the spectrum should range from "highly intact sustainability" to "intangible sustainability."

Toward a Conceptual Framework for Program Sustainability Beyond Initial Funding

This section addresses my fourth research question: 4) To what extent do the findings parallel the conceptual framework guiding this study? I also attempt to bring together the various elements mentioned in this chapter to provide my own conceptual model of the sustainability process of foundation-funded programs at liberal arts colleges.

Although the guiding conceptual model generally agrees with the findings from this study, it lacks factors that seem particularly relevant to institutions of higher education. This is understandable because Shediac-Rizkallah and Bone's (1998) model is based upon findings from programs in the field of health promotion where community factors have greater influence on the process and organizational structures differ from college and university structures. Moreover, the model does not emphasize the gradation of each factor's influence.

As previously mentioned, the five factors I used from Shediac-Rizkallah and Bone's (1998) model were found to have varying effects on the sustainability process at the four liberal arts college in my study. Themes based upon the participants' perspectives revealed themes that overlap with factors present in Shediac-Rizkallah and Bone's (1998) model, as well as factors that are not present in the model. Therefore, based upon the findings of my study, I propose the following conceptual model that integrates the five factors from the guiding conceptual framework with the themes and findings from this study (See Figure 6.1).

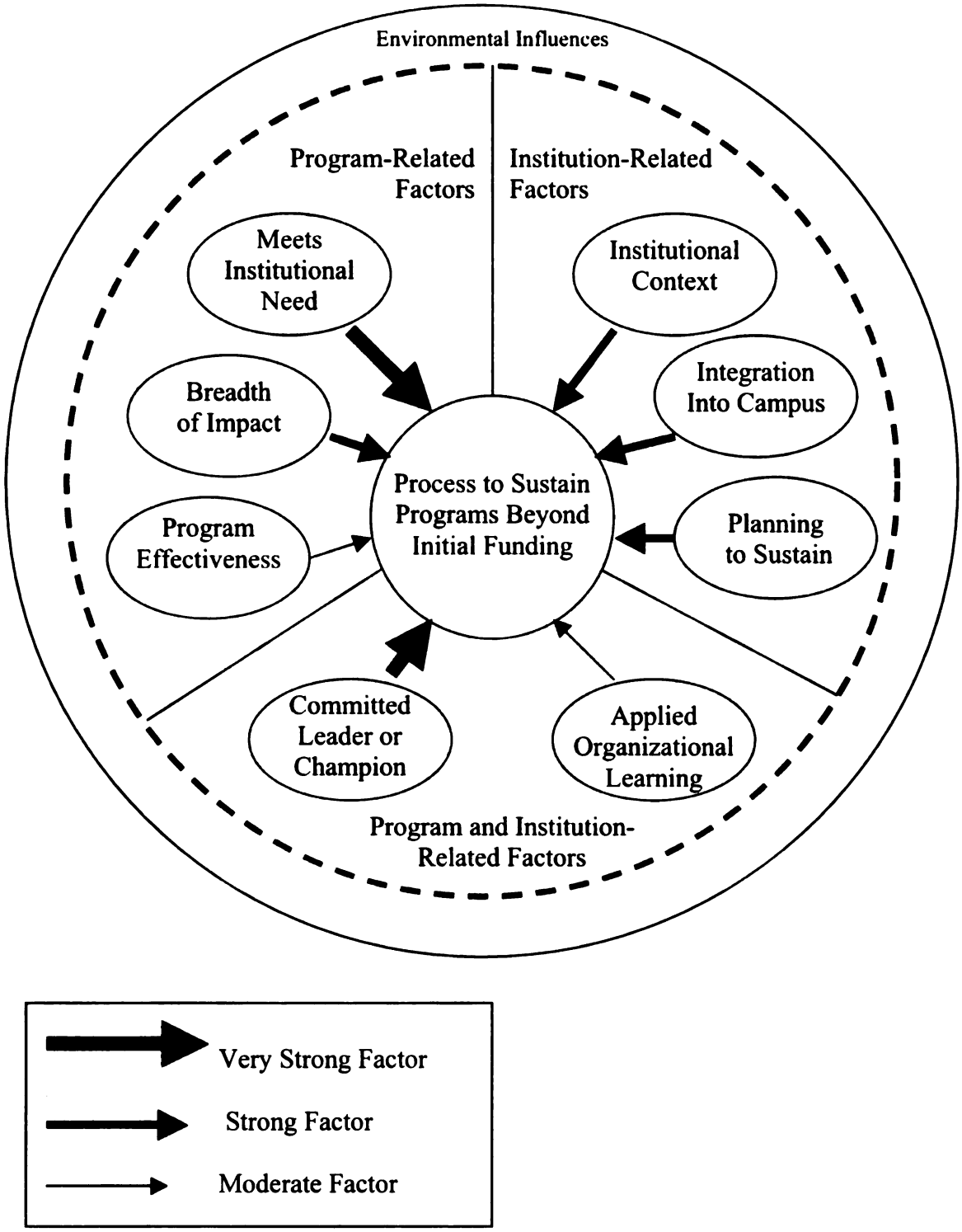


Figure 6.1. Proposed conceptual model for program sustainability

Unlike Shediac-Rizkallah and Bone's three-part model, my conceptual model has four parts: 1) factors that are program related, 2) factors that are institution related, 3) factors that are program and institution related, and 4) factors that are attributed to the external environment. In addition, I distinguish the varying influences of each factor based upon either the presence of the theme across the four institutions, or the factor's strength as analyzed through the guiding conceptual framework. In what follows, I discuss each of the factors in my model. I begin with the program-related factors. Then I discuss the institution-related factors. I follow that discussion with the factors related to both the program and institution. Finally, I discuss the factor related to the external environment.

Program meets an institutional need. The first program-related factor is the extent to which the program meets an institutional need. The participants at the institutions that sustained their Mellon initiatives believed that the initiative continued to meet an identified need on campus. Although the Mellon initiative at Amber Hills College met a need on campus, the need was specific and targeted, and not considered to be a need that was institutional. Because this theme emerged at all four institutions, and is related to the "program type" factor in the guiding conceptual framework, I present this factor as a very strong factor in the process to sustain.

Program has a broad impact. Related to the need factor, the second program-related factor is the extent to which the program has a broad impact on campus. The participants at the institutions that sustained their Mellon initiatives believed that the initiative had a broad impact or had effects that were far reaching. Participants at Amber Hills College, on the other hand, did not believe that the Mellon initiative at their campus

was far reaching; instead, the impact on campus was considered to be narrow because of the targeted nature of the program. Because this theme emerged at two institutions, and is related to the "program type factor in the guiding conceptual framework, I present this factor as a strong factor in the process to sustain.

Program is perceived as effective. The last program-related factor is the extent to which the institution perceives the program as effective. At two of the institutions, perceived effectiveness was found to contribute strongly to sustain their Mellon initiatives. However, perceived effectiveness may have less of an influence than institutional need or impact. Amber Hills College, for example, was split in its perception of the Mellon initiative's effectiveness. Faculty and administrators viewed some components of the Mellon initiative as more effective than others. However, in the end, the perceived effectiveness of the initiative was not a strong enough factor to persuade the institution to sustain the initiative. Because of this factor's lower influence on the sustainability process compared to other program-related factors, based upon the findings of this study, I present this factor as a moderate factor.

Institutional context. The first institution-related factor, institutional context, is an overarching theme to capture the unique circumstances at the institutions that contributed to the sustainability of the Mellon initiatives. The timing of the grant as it coincided with other institutional issues was a factor that contributed to the sustainability of the Mellon initiative at two of institutions. In addition, a preexisting culture of faculty support contributed to Hilltop's ability to sustain the initiative. Thus, the findings from this study suggest that institutional context plays a role in an institution's ability to sustain a program beyond the initial funding period. Because institutional context

emerged at three institutions, I present this factor as a strong influence in the process to sustain.

Program's ability to integrate into existing services. The second institution-related factor is the ability for the institution to integrate the program into its existing services or structure. The three institutions that were able to sustain their Mellon initiatives found ways to integrate the Mellon initiative on campus to make the initiative a part of the institution. Moreover, the institution that did not integrate the Mellon initiative into its existing campus structures did not sustain the Mellon initiative as it was originally implemented. Because this factor was found to be a strong influence across all four institutions in the guiding conceptual framework, I present this factor as a very strong influence in the process to sustain.

Planning to sustain. Related to the factor mentioned above, the third institution-related factor is the institution's willingness to plan for the sustainability of the initiative. The three institutions that sustained their Mellon initiatives planned for sustainability, whether it was at the beginning of the grant period, or midway through the grant period. Because this factor emerged at three of the institutions, I present this factor as a strong influence in the process to sustain.

Presence of committed leadership or program champion. Presence of a committed leader is the first of two factors that cannot be considered exclusively as a program-related factor or an institution-related factor. Therefore, it is a factor that spans both the program and institution levels of sustainability. This was a prominent theme that emerged across all four institutions. In addition, the presence of a committed leader was one of the most influential factors of the five factors from the guiding conceptual

framework. Hence, leadership is included in my model as a very strong factor that contributed to the sustainability of the Mellon initiative.

Application of learning. Application of learning is the second of two factors that are applicable to both the program and institution. This factor represents the ability for the institution to apply lessons learned to the Mellon initiative, as well for the initiative itself to apply lessons learned. The institutions that were able to sustain their Mellon initiatives made adjustments to their initiatives over the course of the grant period. The adjustments that were made were based upon assessments and reflection to make the initiatives valuable to the faculty members and to the institution. Because the application of learning occurred at two institutions, I present this factor as a moderate influence on the process to sustain.

Environmental influences. The final factor is an environmental level factor. Although this factor was determined as a weak factor in the process, I have not completely dismissed the factor as an influence on the sustainability process. Some participants felt that the national economy did or could have an influence on the sustainability of the Mellon initiative. In addition, because colleges and universities work within an external environment, I have presented the external environment as surrounding the eight factors. A dotted line separates the environment from the eight factors to signify the permeable boundary between higher education and its surrounding environment.

In summary, the components of the guiding conceptual framework seem to generally represent the findings of this study. However, the framework lacks specific factors that emerged from the findings. Moreover, the visual representation of the components does not seem to fit the higher education context. Therefore, utilizing the

principles from the guiding conceptual framework and the findings from this study, I developed a model that I believe better represents the sustainability process in higher education.

Comparing Models

This section compares the guiding conceptual framework based upon Shediac-Rizkallah and Bone's (1998) model with the model I have proposed based upon the ideas from the guiding model and the findings from this study. As previously mentioned, Shediac-Rizkallah and Bone's (1998) model, based upon work in the field of health promotion, portrays the sustainability process as a combination of program, organizational, and environmental factors. The specific factors from the guiding conceptual model were 1) program type, 2) program effectiveness, 3) integration of program into existing programs and services, 4) leadership or program champion, and 5) socioeconomic and political considerations. In general, these factors parallel some of the findings from this study, but with some exceptions.

The proposed model that I present includes a majority of components from the guiding conceptual model. My model includes the influences of program effectiveness, integration of program into the campus, leadership or program champion, and environment. However, my model is distinct in several ways. First, the guiding conceptual model presented the factors at three levels: 1) program, 2) organizational, and 3) environmental. Because of the nature of the liberal arts colleges used in this study, where hierarchy is relatively flat and boundaries between faculty and administrators are permeable, my model presents two factors that straddle the program and institution levels. Therefore, rather than "levels," my model presents the factors by their

"affiliation"—factors affiliated with the program, factors affiliated with the institution, factors affiliated with the program and institution, and factors affiliated with the environment.

Second, the factor of program type was clarified by becoming two separate factors: 1) a program's ability to meet an institutional need, and 2) a program's breadth of impact. These two themes emerged from the participants' perspectives and seemed to better represent the particular ways in which the initiative itself influenced the sustainability process, rather than the broad, ambiguous idea of "program type" as presented by Shediac-Rizkallah and Bone (1998).

Third, other themes that emerged in the data such as the influences of applied learning, planning to sustain, and institutional context are absent in the guiding conceptual model. Because of the unique nature of college and universities as complex institutions that exhibit both managerial and academic cultures, these three themes seem applicable to the sustainability process in higher education institutions.

Fourth, environmental influences are represented as surrounding the eight factors in the process to sustain, thus symbolizing the encircling influence that the environment has on the sustainability process. This is distinct from the guiding conceptual model where environmental factors are included in and having direct influences on the sustainability process. Again, the field of health promotion is more directly connected to its environment and community, whereas higher education institutions may not necessarily be directly affected by environmental influences. However, the influence of the environment on colleges and universities can depend on the institution itself. This study utilized selective, well-endowed liberal arts colleges. Therefore, the findings from

this study revealed less external influences on the sustainability process than what may occur at public institutions. However, because the influence of the environment can be both direct and indirect depending upon the type of higher education institution, my proposed model represents the environmental influence as surrounding all eight factors in the process.

Finally, this study focused on the strength of each of the factor's influence on the sustainability process. This was not represented in the guiding conceptual framework. However, the guiding conceptual framework represented interactive influences between the factors. This study did not focus on the extent to which the factors influenced other factors in the process to sustain.

Limitations of the Study

Before proceeding to the implications section of this chapter, I believe the limitations of this study should be revisited. First, this was a qualitative study. As such, qualitative data, while rich in description, is influenced by the perceptions and recollections of the participants (Merriam, 1998). Furthermore, as the researcher of this qualitative study, I acknowledge that my own biases (Merriam, 1998) affected the collection and interpretation of my data.

Second, this study was limited to a selective group of liberal arts colleges. Many institutions of higher education do not fit the institutional profile of the colleges represented in this study. Therefore, the implications for practice and future research are influenced by my biases as a researcher as well as the findings that are drawn from a sample of institutions that do not generally represent all higher education institutions.

Therefore, implications drawn from this study should be considered with an institution's distinctive context and culture in mind.

Implications for Practice

Not all institutions may want or need to sustain a grant-funded initiative beyond the initial grant period. Amber Hills College exemplifies this point. However, the findings from this study provide several implications for institutions. These implications for practice do not follow a recipe or formula. Instead, they represent ideas for institutional leaders considering the possibility of sustaining a terminally-funded project or program, as well as for foundation officers and external grantors evaluating funding proposals from colleges and universities.

First, I offer a set of recommendations for institutional leaders who are considering the possibility of sustaining a terminally-funded project or program. In addition, I have provided a list of recommendations for grant-funders to consider when reviewing grant applications and annual reports.

Implications for college and university leaders. College and university leaders who would like to sustain their grant-funded programs beyond the initial grant period may consider the following recommendations based upon the findings of this study.

A program champion or committed leader is essential to maintain momentum. Much of an institution's ability to sustain an initiative or program beyond the grant's funding period is dependent on the presence of a program champion to carry the energy of the initiative. Without an individual working as an advocate and driver of the initiative, the institution has little incentive to continue its support or to strategize ways to sustain the initiative. Moreover, the nature of the required leadership is dependent upon the

nature of the institution and the initiative. For example, in institutions where administrative support for the program is already present, leadership might need to take the form of an individual who is able to maintain the momentum of the program. In institutions where programs do not readily have the commitment of central administration may need an individual to actively advocate for the continued support of the program.

Administrative support is key. This study's findings suggest that administrative commitment is an influential factor in sustaining a program. Bowling Lawn College, Castlegate College and Hilltop College each had the support of the Provost's Office to ensure that the Mellon initiative would be sustained beyond the initial grant period. In essence, the three institutions received the commitment from an important administrative office in order to sustain the initiative. This point, however, should not be confused with administrative support to implement the initiative. Amber Hills College's campus administration was supportive of the Mellon initiative's presence on campus. However, Amber Hills campus administration was not supportive enough to sustain the Mellon initiative beyond the initial grant period and instead "let it go."

Keep in mind the institutional culture and context. The culture and context of the institution contribute to the implementation and sustainability of an initiative. More specifically, an initiative needs to fit into the culture and context of the institution. If the institution's culture is not supportive of the goals of the initiative, and if the institution is not moving in a direction consistent with the initiative's goals, it is not likely that the initiative will receive the commitment from faculty and administration to be sustained.

Ensure the initiative will have a broad impact. The broader the impact, the more likely the institution will remain committed to the initiative. If the initiative's impact is

too narrow, institutional leaders will be hard pressed to make sustaining the initiative a funding priority, regardless of whether the initiative met its goals or whether it was perceived as effective.

Use existing resources. Two of the institutions in this study relied upon their existing resources to help absorb components of the Mellon initiative. Castlegate College merged the Director for Faculty Development Position into an existing center to give the Mellon initiative a "home." Hilltop College began to "bolster-up" one of its campus resources in anticipation of absorbing some of the objectives of the Venture Fund. The college also used another funding source to create a new funding award to maintain the other objectives of the Venture Fund.

Think about planning to sustain. The institutions that were able to sustain some part of the Mellon initiative developed plans that would place the initiative in a more stable situation post funding. Some institutions did not plan for the transitions at the beginning of the grant period, as was the case at Bowling Lawn College. Instead, institutions like Castlegate and Hilltop Colleges developed their plans as the grant initiative unfolded after the institutions determined what components of the initiative worked best for their institutions.

Apply what has been learned as soon as possible. The institutions that were able to apply what they learned along the way as the Mellon initiative was implemented were better positioned to sustain at least some components of the initiative beyond the initial grant period. Specifically, the application of learning through ongoing program assessment and evaluation in the form of both single-loop and double-loop learning seemed to greatly benefit those institutions engaged in organizational learning. Program

evaluation has been frequently cited as an important step in program implementation and sustainability (Lueddeke, 1999). However, program evaluation without the application of the lessons learned from program evaluation render the evaluation stage of the process as useless. Therefore, institutional leaders would be better equipped to apply lessons learned if they can take time to understand how their institutions learn from experiences, and how the lessons can be incorporated into the initiative to reflect the learning process and outcomes.

Do not become dependent upon the initiating funding source. A quick search of current colleges and universities' campus strategic plans on the Internet reveals a thematic pattern with regard to money: "secure funding." The implications from this study suggest that the action of securing funding should be ongoing for the purposes of sustaining projects or initiatives whose initial funding source is terminal. Funds to sustain a terminally funded initiative can be secured externally or internally. In this study, Hilltop College was able to sustain its Venture Fund by utilizing two existing internal funding sources. Not all institutions will have the existing internal funding sources to apply Hilltop's strategy. However, the act of utilizing existing and reallocating funding sources were key actions in Hilltop's ability to sustain the Venture Fund. The lesson that institutions should apply is simple: searching for funding should be ongoing, whether the funds are found within the institution or from an external source. In other words, reliance upon the initial external fund without a plan to either absorb the initiative or switch funding sources will lead to the termination of the project.

Implications for foundations or other external grantors. The findings from this study also provide some suggestions for practice that apply to foundations or other

external grantors that work with colleges and universities. Foundations and other external grantors may utilize the following suggestions to help provide practical advice to institutions during proposal development and implementation. For example, grantors may utilize the information to create institutional guidelines for developing successful proposals and programs, and drafting annual reports that will more succinctly provide foundations with the pertinent information regarding the progress of the grant. Therefore, the following are questions for foundations or other external grantors to consider when evaluating funding proposals and annual reports from colleges and universities. This is not intended to be a checklist; instead, the following are points or questions for program officers to consider when reviewing funding proposals and annual progress reports. In addition, the following questions should be considered within the context of each institution because institutions vary in culture and context.

Does the institution have an identified program champion or committed leader? As previously mentioned, the findings from this study suggest that the sustainability of a grant initiative is highly influenced by the presence of a committed leader or program champion. Foundations and external grantors can assist institutions in ensuring that a program champion is present by requiring institutions to routinely identify in proposals and annual reports the individual or individuals acting as the leaders of the initiative and the roles they will play in guiding or administering the initiative. Moreover, foundations and external grantors can push institutions to think about the leadership needs of the initiative during and beyond the grant period by requiring institutions to indicate the individual or individuals who will help to carry the initiative forward beyond the grant period.

Will the program or initiative meet a broad institutional need? An institution is more likely to sustain a grant-funded initiative beyond the initial grant period if the initiative is meeting a broad, rather than a narrow, need on campus. Therefore, if the grant-funded program is going to meet a broad need, it is likely the institution will continue to benefit from it and thus be more willing to sustain the initiative beyond the funding period.

Is the institution able to identify existing or other resources that could absorb the financial cost beyond the initial funding period? An institution is more likely to sustain its grant-funded initiative post funding if the institution can identify existing resources, either internally or externally, to absorb the financial cost of the initiative.

Does the institution have a concrete plan or planning process to sustain the initiative? Institutions that espouse the intent to sustain an initiative should demonstrate institutional commitment through intentional planning that is developed either at the beginning of the grant period or as the grant period unfolds. An institution should articulate its plan well before the end of the grant period to allow time for the institution to transition and enact the plan. As an alternative, institutions could agree to assess the progress of their program and initiate a plan to sustain at some point during the life of the grant.

Does the institution demonstrate lessons learned and concrete ways to implement what has been learned? Institutions that apply the lessons learned through program evaluation and assessment are more likely to adapt their initiatives in ways that will make the initiatives valuable to the institutions. This will increase the likelihood that the initiative will be sustained beyond the grant period.

Suggestions for Future Research

Although this study addressed how liberal arts colleges sustain foundation-funded programs beyond the initial grant period, it also raises further questions. Rather than developing an exhaustive list, the following are suggested lines of inquiry that should be given high priority for investigation to contribute to a greater understanding of this topic.

First, the findings from this study revealed that environment had the lowest influence on the sustainability process. Public universities or less well-endowed private colleges, unlike the liberal arts colleges in this study, might be more strongly influenced by environmental factors. Future research should continue to explore the extent to which environmental conditions affect the ways in which institutions sustain grant-funded programs and how influential environmental conditions affect the process in comparison with other factors.

Second, the period in which the institutions in this study received the foundation grant was a time in which the national economy was relatively strong. The extent to which the findings from this study hold during a time of severe economic hardship at both public and private institutions warrants further investigation.

Third, future research should consider the broader notion of environment and its impact on the sustainability process. Other considerations such as social and political movements, educational trends, and other environmental issues beyond economic matters may also have a large effect on the sustainability process.

Fourth, this study was limited to small institutions where lines of communication are more centralized. Large universities are more decentralized than small colleges, which is a factor that the literature suggests can affect the sustainability of programs

(Ward, 1996). As such, research should examine the process of program sustainability at large universities to determine the extent to which the findings in this study accurately describe the process in other institutional contexts.

Fifth, the conceptual framework that guided this study (Shediac-Rizkallah & Bone, 1998) proposed interactive influences among the factors. These interactive influences were not examined in this study. Future studies might consider if and how the factors in the sustainability process influence each other.

Finally, because sustainability is not static, researchers should continue to follow up on currently sustained initiatives to determine their greater life cycles, the deeper impact of the initiative's sustainability on the campus, and thematic patterns that may explain how some initiatives have longer life cycles than other initiatives.

Conclusion

In times of budget crises and fiscal belt tightening, sustaining a foundation-funded initiative beyond the initial grant period can be challenging. This study provided an empirically based investigation of the experiences at four institutions that received a foundation grant to create faculty career enhancement programs for their campuses. The study highlighted the ways in which some institutions sustained the initiative in various forms, as well as described the factors contributing to the inability of one institution to sustain its initiative. Although not every initiative implemented with external funds can or should be sustained beyond the initial grant period, this study intended to reveal how three institutions sustained their grant-funded initiatives and the varying ways in which this was accomplished. In addition, this study revealed factors that contributed to a fourth institution's inability to sustain its grant-funded initiative and the lessons learned at that

particular institution. This study shows that an institution can continue to benefit from a grant-funded initiative beyond the grant period in various ways and forms through factors such as committed leadership, administrative support, applied institutional learning, and transitional planning.

APPENDIX A

E-Mail To Provost/Deans Of Faculty

Dear [Provost/Dean of Faculty]:

My name is Debbie Chang, a doctoral student in Higher, Adult and Lifelong Education at Michigan State University. I am undertaking a study to learn the ways in which liberal arts colleges have managed to sustain valuable elements of their Faculty Career Enhancement programs beyond the life of the Andrew W. Mellon grant.

Because your campus was one of the participants in the original FCE program, I am hoping to speak with you and some of the key administrators or faculty members who have had a role in sustaining some of the components of the FCE program. I would like to have a phone conversation with you to share more details of my proposed study and answer any questions you may have. Therefore, I will call your office within the next week and work with your administrative so that a time can be arranged to discuss the details of my study.

I look forward to speaking with you in the near future.

Sincerely,

Debbie Chang
Doctoral Student
Higher, Adult and Lifelong Education
Michigan State University
changdeb@msu.edu
cell: 714-313-5771

APPENDIX B

E-Mail To Participants

Dear [Faculty Member/Administrator/Program Staff Member]:

My name is Debbie Chang. I am a doctoral student in the Higher, Adult and Lifelong Education Program in Michigan State University's College of Education. As part of my dissertation on program sustainability at liberal arts colleges, I am interested in learning about particular elements of the Faculty Career Enhancement Programs on your campus that have been sustained since the end of the Mellon grant.

I am hoping you might consider being a participant in my study, as a Faculty Member/Administrator/Program Staff Member who was involved in managing and sustaining some of the FCE programs on your campus. The interview would last approximately 45 to 60 minutes.

Please let me know if you might be interested in being a participant. I can be reached by email at changdeb@msu.edu or by cell phone at 714-313-5771 if you have any questions regarding the study.

Thank you in advance for your consideration. I look forward to hearing from you.

Most sincerely,

Debbie Chang
Graduate Student
Higher, Adult and Lifelong Education
College of Education
changdeb@msu.edu

APPENDIX C

Research Participant Consent Form

You are being asked to participate in a research project. Researchers are required to provide a consent form to inform you about the study, to convey that participation is voluntary, to explain risks and benefits of participation, and to empower you to make an informed decision. You should feel free to ask the researchers any questions you may have.

Study Title: Program Sustainability at Liberal Arts Colleges
Researcher and Title: Debbie Chang, Graduate Student
Roger Baldwin, Professor
Department and Institution: Education Administration, Michigan State University
Address and Contact Information: 401F Erickson Hall, changdeb@msu.edu, 714-313-5771
427 Erickson Hall, rbaldwin@msu.edu, 517-355-6452

PURPOSE OF RESEARCH

You are being asked to participate in a research study of program sustainability at Liberal Arts Colleges. You have been selected as a possible participant in this study because you are a faculty member, administrator or staff member who has had an influence on the sustainability of at least one of the Faculty Career Enhancement Programs on your campus. From this study, the researcher hopes to learn the strategies that Liberal Arts Colleges use to sustain foundation funded programs beyond the initial grant period. Your participation in this study will take approximately 45 to 60 minutes.

WHAT YOU WILL DO

You will be participating in a 45 to 60 minute interview about your understandings, perceptions and experiences as a faculty member, administrator, or staff member who helped sustain at least one of the Faculty Career Enhancement Programs. Findings of the project will be available for review upon request.

POTENTIAL BENEFITS

You will not directly benefit from your participation in this study. However, your participation in this study may contribute to the understanding of the strategies Liberal Arts Colleges sustain foundation funded programs beyond the initial funding period.

POTENTIAL RISKS

There are no foreseeable risks associated with participation in this study.

PRIVACY AND CONFIDENTIALITY

The data for this project will be kept confidential. The collected data will be coded; a key will be maintained separately in a locked office and password protected computer. Only the researchers will have access to the data. Any identifiable information connected to you will be kept confidential to the maximum extent allowable by law. The results of this study may be published or presented at professional meetings, but the identities of all research participants will remain anonymous. All participants will be referred to as "participants" in any written reports.

As part of the research project, the interview will be audio-recorded. If you agree to be audio-recorded, all audio-recordings will be stored, protected in a password protected computer and will erased/destroyed upon completion of the project.

o I agree to allow audio-recording of the interview.

☐ Yes ☐ No Initials_____

YOUR RIGHTS TO PARTICIPATE, SAY NO, OR WITHDRAW

Participation in this research project is completely voluntary. You have the right to say no. You may change your mind at any time and withdraw. You may choose not to answer specific questions or to stop participating at any time.

COSTS AND COMPENSATION FOR BEING IN THE STUDY

You will not receive money or any other form of compensation for participating in this study.

CONTACT INFORMATION FOR QUESTIONS AND CONCERNS

If you have concerns or questions about this study, please contact the researchers:

Debbie Chang
401F Erickson Hall
East Lansing, MI 48842
email: changdeb@msu.edu
cell phone: 714-313-5771

Roger Baldwin
427 Erickson Hall
East Lansing, MI 48824
email: rbaldwin@msu.edu
office phone: 517-355-6452

If you have questions or concerns about your role and rights as a research participant, would like to obtain information or offer input, or would like to register a complaint about this study, you may contact, anonymously if you wish, the Michigan State University's Human Research Protection Program at 517-355-2180, Fax 517-432-4503, or e-mail irb@msu.edu or regular mail at 202 Olds Hall, MSU, East Lansing, MI 48824.

DOCUMENTATION OF INFORMED CONSENT

Your signature below means that you voluntarily agree to participate in this research study.

_____ _____

Signature Date

You will be given a copy of this form to keep.

APPENDIX D

Interview Protocol

Using a semi-structured approach, the following interview protocol was intended to prompt the participants to discuss or explain their understanding of the sustainability process and their role in the process.

- Tell me about how the Mellon initiative was developed and implemented.
- Who were people involved in the Mellon initiative?
- What were the results and/or effects of the Mellon initiative as it was implemented?
- What were the challenges or barriers to the development or implementation of the Mellon initiative?
- What has been sustained from the Mellon initiative on campus? Why? How do you know?
- How has the Mellon initiative been sustained on campus?
- What contributed to the Mellon initiative's ability to be sustained beyond the grant period? Or what contributed to the Mellon initiative's inability to be sustained?
- What individuals/groups contributed to the sustainability of the Mellon initiative?
- What was your role in developing/implementing/sustaining the Mellon initiative?
- What has happened since your involvement with the Mellon initiative?
- What do you see as the future of the Mellon initiative at your campus?

APPENDIX E

Data Collection Chronology

The following is a general timeline of my data collection for this study. The chronology begins with the period where I began to develop my categories for selecting my cases; the chronology ends with my period of data analysis. Data collection ceased when I felt I had reached the point of saturation (Merriman, 1998) and that no new information was emerging from the participant interviews, documents, or observations.

February-April 2009. Reports on each of the 23 institutions were reviewed to develop categories for selecting cases. Four program administration categories were developed. Approval was received from the Michigan State University Institutional Review Board to begin data collection.

May-June 2009. Eight institutions were selected for study; four institutions were selected to represent each category and four were identified as "back-up" institutions in the event that some of the institutions would decide not to participate. I sent invitation email letters to the chief academic officers of each of the initial four institutions to introduce myself and my study, and ask for permission to utilize the institution. I then followed up with a telephone call. Two of the four institutions agreed to participate. I then used two of the four back up institutions and repeated the procedure with an invitation email letter and a follow up telephone conversation.

June-August 2009. I had telephone conversations and email correspondence with the appropriate administrators (two chief academic officers, one associate dean,

and one director) from the participating institutions to brainstorm possible individuals to participate in the study.

August-November 2009. I began the collection of interview data. This part of the project was highly iterative. Initial interviews were via telephone and email to screen participants prior to site visitations. In person interviews occurred during site visits. Follow up interviews occurred via telephone. Confirmation and clarification of information occurred by email and over the telephone.

October-December 2009. Although I was still collecting site visit data, I started the process of analyzing my data to help fill in gaps that revealed themselves during initial analysis. The process also allowed me to follow up on leads that developed during the site visits, and interview new individuals.

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