GOING BEYOND TRADITIONAL CONSORTIA: EXPLORING THE COLLABORATIVE PROCESS AMONG TRADITIONAL PRIVATE LIBERAL ARTS COLLEGES AND UNIVERSITIES ENGAGED IN INTERINSTITUTIONAL CONSORTIA THAT PROMOTE CURRICULAR JOINT VENTURES
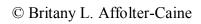

by

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DEDICATION

      This dissertation is dedicated to my grandmothers, Helen (Miller) Affolter Potter and Faith (Jackson) Buchs, who were limited by societal, economic, and traditional forces and circumstances unique to women in the 20th Century, but managed to raise large, prosperous, and loving families and with the help of my parents, endowed me with a sense of purpose beyond my individual needs, a curiosity to seek that which I do not know or understand, a strong work ethic, and a drive to better my surroundings.

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ABSTRACT

This comparative case study analysis explores the mechanisms and behaviors that support the process of collaboration among private liberal arts colleges and universities situated at different points along the continuum of integration and geographic proximity. The conceptual framework based on theories of organizational design, inter-organizational relationships, and sustainable competitive advantage guided the identification and examination of specific mechanisms and behaviors as follows: engagement and participation; developing common purposes, mission and vision; changes and direction of leadership; lining mechanisms; and dispute resolution mechanisms. While the collaborative processes are all unique, these five behaviors and mechanisms were consistent in value across cases. The purpose of this study is to propose utilize this basic theoretical framework for collaboration to addresses balancing competing interests which are common across different organizations and collaborative endeavors.

Findings suggest that close geographic proximity is less important in the collaborative process than perceptions of proximity, which are influenced by regular interaction. Also greater integration may pose greater challenges for collaboration because it requires members to forfeit tightly held notions of identity and autonomy. Collaboration is easier when it is perceived as an add-on which does not require a sacrifice. Implications for other organizations, higher education practice, society, and policy are discussed.

CHAPTER 1

INTRODUCTION

In the new global market, organizations across all industries and around the world are engaged in collaborative activities. This strategy is viewed by organizations as a means by which to achieve their objectives, maintain and accumulate resources, maximize revenues, and develop and sustain competitive advantages in respective industries. Higher education is one such industry that is actively engaged in collaborative efforts to support research, curricular, and service endeavors. Collaboration is a response strategy to a new environment whereby competition is significant, new technologies are prevalent, and innovation is necessary.

Aside from motivations, however, how do organizations, and higher education institutions in particular, implement collaborative objectives? What processes are put into effect to jointly produce core products and services? The means for achieving an institution's curricular goals through collaboration are just as important as understanding the motivations for such collaboration. In other words, once the strategic decision has been made and partners identified, how does the cooperative behavior play out? Under what rules? Through what types of information channels? And do these differ depending on the level of integration that exists for different curricular joint ventures (CJVs)?

Nature of the Problem in Higher Education

The higher education market is becoming increasingly competitive. Constraints on traditional resources (i.e., reductions in state funding, shrinking endowments, rising costs, tuition containment, public scrutiny) have lead a number of institutions to become increasingly preoccupied with maximizing revenue (Hearn, 2003) and prestige (Marginson & Considine, 2000; Slaughter & Leslie, 1997). To compete, institutions have looked for ways to reduce costs while simultaneously increasing the quality of the education they offer (Zammuto, 1984). These two objectives are difficult to implement

given limited or diminishing resources. They are particularly challenging for liberal arts colleges – an institutional type that had been identified by scholars to be endangered in the 1980s (Ragan & McMillan, 1989; Zammuto, 1984), 1990s (Paulsen, 1990), and recently (Gumport, 2000; Hartley, 2003; Kezar, 2004). This environment has triggered a variety of alternative response strategies.

When faced with conditions of decline, responses that are innovative (Cameron, 1983) and integrate institutional mission and vision (Hartley, 2003) are more effective in the long run and provide more security and stability for the institution. One innovative response is to engage in curricular activities that leverage the intellectual capital of faculty to enhance an institution's competitive advantage. A number of traditional colleges and universities have utilized new instructional technologies to distribute new faculty-developed courses and certificate and degree programs in an effort to generate revenue, access new student markets, expand capacities, and promote programs that integrate their institutional missions and visions, such as maintenance of traditional liberal arts curricula. Start-up costs of technology, course/degree development, and student services coordination, however, create a significant barrier to entry for all but a few select institutions. To overcome this hurdle, hundreds of institutions in higher education have chosen to form strategic alliances with like institutions in an effort to share costs, expand capacities and enhance quality. The American Council on Education calls these types of alliances curricular joint ventures, or CJVs.

Extent and Nature of CJVs

There are various forms of collaboration across a continuum of integration in terms of activities, outcomes, and governance, but there are risks implicit in the level of inter-organizational integration. Even so, most organizations recognize the need to engage in some form of collaboration in order to capture potential benefits. Colleges and universities are no different in realizing the benefits of collaboration even though the higher education industry is unique in many ways as compared to other industries (e.g., nature and mechanisms of competition and productivity, prestige vs. profit maximization, labor vs. technology intensive). Educational institutions have been engaged in cooperative and collaborative activities, such as traditional consortia, for a great many

years, and today are most notably engaged in strategic alliances for knowledge production.

Curricular joint ventures (CJVs) differ from these traditional and common forms of collaboration in their focus (curricular activities as opposed to research) and level of integration (collaborative as opposed to cooperative). CJVs are defined as institutional alliances that create at least one interinstitutional academic program – awarding a joint degree, dual degree, or joint certificate (Eckel, 2003). Goals of such academic alliances are to generate new tuition revenue or to reposition the participating institutions in a rapidly changing marketplace by enabling partners to leverage their collective strengths through cost-sharing of new academic programs and accessing one another's expertise and capacities. While these institutions may be competing with one another, they are also simultaneously cooperating. Lado, Boyd and Hanlon (1997) describe paradoxical behaviors based on competitive-cooperative tensions within organizations in the for-profit industries to realize above average returns on their resources and outputs. Given the unified interest of the higher education industry in serving the public good while competing across individual institutions, the perspective that cooperation – an activity in which private liberal arts colleges may engage out of "love" for one another based on their familiarity and trust (Gulati, 1995) of one another – and competition are simultaneously behavioral means to achieving institutional and collective goals.

The American Council on Education (ACE) surveyed the higher education landscape to determine the frequency at which CJVs existed. While not exhaustive, the ACE search identified a number of CJVs, but found they existed at an elevated degree of risk and uncertainty and are not as widespread as traditional consortia. This is to be expected given the greater level of integrative efforts that costs institutions real time and money.

ACE next investigated several CJVs in greater depth by analyzing four case studies, the research foundation on which this dissertation is based. Each case offered a variety of CJVs by types of participating institutions (public or private, graduate, four-year or community college, and domestic or international). While varied, common themes emerged with respect to purpose, governance, and operations. For example, common goals for collaboration in CJVs included reducing costs, pooling resources and

expertise, accessing new markets and maximizing prestige. Common governance systems split between informal networks across institutions by means of corresponding disciplinary departments, schools or colleges and formal networks with auxiliary departments created to coordinate and administer collaborative curricular ventures. Common operations included use of technology to distribute and support both curricular and administrative activities while face-to-face encounters were also necessary among the administrators and support staff of each member institution at least in the start-up phase to facilitate understanding of collaborative goals and activities.

In this dissertation research, the focus is on CJVs comprised of private liberal arts colleges and universities that seek to maintain or expand offerings within the liberal arts curriculum. Liberal arts colleges and universities have been described as the "indicator species" (Hartley, 2003, p. 77), or perhaps the canary in the mine. A mixture of traditions and innovation (Martin, 1984), Pfinster (1984, p. 147) described the free standing private liberal arts college as having been "a study in persistence amid change, continuity amid adaptation."

Purpose

The purpose of this dissertation research is two-fold – to develop a greater understanding of academic collaboration around the core activity of teaching and learning in higher education, and to test an emerging framework of collaboration as an alternative strategy to create a sustainable competitive advantage in general as applicable to core products and services of organizations. This empirical study in an area that is dominated mostly by anecdotal musings around collaboration processes in higher education is intended to examine how CJVs are effectively organized and managed through a conceptual framework based on a review of the literatures in higher education, organizational design, interorganizational relationships, leadership, and sustainable competitive advantage. This conceptual framework proposes that five basic organizational constructs are important in the processes of collaboration in CJVs – three interinstitutional and interpersonal behaviors (i.e., engagement and participation; alignment of objectives, missions, and visions; and leadership) and two organizational mechanisms (i.e., linking and dispute resolution). The analysis of this research to focus on these constructs and their interactions within each case.

Research Question and Rationale

The primary focus of this dissertation research is to study the behaviors and mechanisms that support the process by which private liberal arts colleges and universities collaborate to create new curricular joint ventures. The rationale for studying this process of collaboration is to gain an understanding of the functioning of organizational units (e.g., such as departments, colleges and university partners) and of individuals behavior or characteristics (e.g., interpersonal relationship skills and experience), both of which contribute to the organizational level of output (i.e., knowledge as measured by course credits and/or postsecondary degrees). More specifically, the research question is as follows:

> How do particular behaviors and mechanisms support the process by which institutions collaborate in curricular joint ventures?

And,

> How do behaviors and mechanisms compare across differing collaborative processes that operate within three different types of curricular joint ventures?

Studying collaboration through curricular joint ventures is opportunistic in that these partnerships focus collaborative efforts on a core activity – teaching and learning. This is common across all types of higher and postsecondary education institutions. The choice to study private liberal arts colleges and universities was strategic in that these types of higher education institutions offer case studies of manageable size and narrowness of institutional focus that enable relative continuity for comparisons across cases. Examination and study of three cases provides information that contributes to the contextualized understanding of the behaviors and mechanisms that support the process of interorganizational collaboration. This is especially relevant in the higher education industry as institutions are increasingly looking to CJVs as a strategy for navigating paradoxical pressures all higher education institutions experience in realizing a multitude of institutional objectives. This contextualized understanding and portrait of collaboration at three distinct CJVs enables administrators and institutions to make more informed choices.

Overview

This comparative case study analysis examines three curricular joint ventures (CJVs), which are defined as inter-institutional alliances, whereby the partner institutions are involved in academic collaboration to develop and provide unique and shared courses and degrees to students attending member institutions. Specifically CJVs involving private liberal arts colleges and universities in the United States that are seeking to enhance the diversity, breadth, and scope of their curricular offerings while maintaining small campus characteristics (e.g., small faculty to student ratios, experiential learning, residential living) through collaborative activity across faculty, departments, and administration have been targeted.

Descriptive analysis of the processes these CJVs have undergone in their efforts to operate new interinstitutional curricular courses, programs, and departments will be used to understand the basic behavior or mechanisms each individual case, given its unique environmental and socio-cultural characteristics, must have in place in order to facilitate collaboration at a particular level of integration. This information is expected to be insightful as an outline for how institutions can collaborate at three various levels of integration.

CHAPTER 2

LITERATURE REVIEW

To learn more about collaboration and the relevant issues, costs and benefits, and processes involved, the literature reviewed for this dissertation focuses on available research in the fields of organizational behavior and higher education. The organizational behavior literature is relevant because much research has been conducted and published exploring collaboration in a host of settings with a wide variety of situational factors that have impact on the motivations and processes involved in establishing an interorganizational partnership or alliance. The higher education literature is relevant because the case studies are specific to higher education institutions and because research on curricular, research and service collaboration has been done.

The organizational literature on collaboration (e.g., strategic alliances, partnerships, joint ventures) is extensive, but primarily focused on the for-profit sector. Higher education is unique in organizational design and culture from most other industries. Its component parts of academic departments are entrenched in external organizations that comprise their respective disciplinary fields (i.e., professional associations), yet collectively they are loosely-coupled (Weick, 1976) to create the whole institution. The institutions are considered open systems (Katz & Kahn, 1966), whereby external factors affect the internal sub-units or departments, which in turn can influence other internal component parts in an interrelated chain of reactions. Likewise, internal factors can exert an influence on people, activities, and organizations beyond the institution's boundaries. These systems are open because they interact with the environment and draw input from external sources and transform them into some form of output. Nadler and Tushman (1997) describe the non-linear characteristics of an open system as having internal interdependence, capacity for feedback, equilibrium, alternative configurations (no best way to do something), and adaptation. However, the entrenchment of the academic departments within disciplinary fields with accompanying

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societies or associations can limit the ability of the institution to bring about change quickly or easily as compared to organizations in other industries.

The education literature on collaboration is also considerable in size, but is mostly focused on university-business relations, institutions in the for-profit sector, college/university-K-12 partnerships, and collaborations formed around research or business/financial activities. It is largely disjointed and tangential to the core activity common across all types of higher and postsecondary education institutions – teaching and learning, or curricular aspect of colleges and universities. Greater understanding of behavior related to a core activity of an organization is a meaningful way to explore process at work.

Theoretical Framework

Analysis of processes involves consideration of both the formal and informal organizational structures. In other words, it is important to study both how colleges and university partnerships operate on paper at the interinstitutional level, and through group relationships at the interpersonal level. Process is situated in organizational and environmental contexts, which include organizational history, environmental opportunities and threats, and core competencies and organizational capital of the institution. The development of a sustainable competitive advantage through collaboration is determined by these contexts and core competencies as revealed through coordinative processes to create new products, such as courses and programs as exemplified in curricular joint ventures. Examination of the relevant research on interorganizational collaboration in the organizational design, sustainable competitive advantage, strategic alliances, and higher education literatures suggests several theories that are common and relevant in this study to conceptualize motivational and operational understanding of collaboration among competitive and familiar organizations in business and in education. These include the theories of interorganizational relations, resource dependency, and sustainable competitive advantage.

Organizational Design

Organizational design, as related to Gray's structuring terms (1985) but excluding the first two phases, is one of the levers for change available to managers (Nadler & Tushman, 1988, 1997). While there is no one best way to organize (Galbraith, 1973), the

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effectiveness of any organizational design depends on a number of factors, including leadership skills, methods for selecting and developing key people, appropriate assessment and reward, and techniques for enhancing the organization's capacity for collective learning. Organizational design is characterized by autonomous and self-contained units, which are accountable for a wide range of strategic objectives, but are structured together so that the entire organization can adapt quickly to changes in its environment (Nadler & Tushman, 1997). In other words, departments within a college or university must be able to self-manage while also shattering the rigid boundaries that have traditionally separated academic units, or even separate institutions, in order to create and maintain relationships that are flexible and responsive to both external and internal factors. This is consistent with the literature on the survival and endurance of innovative colleges (e.g., Astin, Milem, Astin, Ries, & Heath, 1991; Grant & Riesman, 1978; Hefferlin, 1969; Levine, 1980; Newell & Reynolds, 1993; Rosenzweig, 1997; Steeples, 1990).

Given the entrenched nature of academic departments in higher education institutions (Klein, 2005; Van Patten, 1996), organizational design may not serve as a particularly useful change lever for administrators or faculty in the short run; however, it can be a useful tool for change in the long-term, similar to any other type of open system with strong sub-units, a long organizational history, and a culture of common purpose. A number of scholars explore this concept in terms of evolutionary change over the course of the life cycles of organizations in general (Jawahar & McLaughlin, 2001), higher education institutions in particular (Hartley, 2003), and across collaborative configurations or strategic alliances (Contractor & Lorange, 2002; Ernst, 2003; Lado et al., 1997). Holmqvist (2003) takes this concept even further by discussing the learning possibilities through experience within and across partner institutions over the course of a collaboration's lifecycle.

O'Rand and Krecker's (1990) review of the life-cycle literature in the social sciences finds that meanings and uses of life cycle theory differ across disciplines; therefore, the theory of life cycles is limited to the organizational management literature. Mintzberg (1984) provides a model of organizational life cycles through examination of six power configurations of organizations (instrument, closed system, autocracy,

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missionary, meritocracy, and political arena) based on the interplay of external as well as internal systems of power from stakeholders, defined as people who use influence to attain their needs through an organization (Hirschman, 1970). These configurations are further examined over three steps, including examination of the intrinsic yet destructive forces that work within each power configuration, which are dependent on the power configuration implying that one factor (e.g., centrality of power within a single leader) could be a destructive force for one power configuration, but not for other configurations; identifying likely transitions of these configurations; and stringing these transitions together in sequences over time as organizations survive and develop (Mintzberg, 1984).

Mintzberg's life cycle model suggests that many organizations pass through a series of power stages that are relatively stable in nature, but transitional by brief periods of instability when various tendencies or intrinsic factors are more prominent than others and have differential outcomes on organizations. For example, early stages are characterized by focused forms of power, whereby mature stages exhibit more dispersed forms of leadership. Therefore strong leadership is a positive force in the early stages to enable organizations to establish themselves in ambiguous environments, whereas it is a negative force in mature organizations that serve a pluralistic but well-understood environment of constituents and have well-defined missions or purposes across a organizational configuration of shared leadership (Denis, Langley, & Rouleau, 2007; Mintzberg, 1984). The implication for curricular joint ventures is that the effective mechanisms and behaviors utilized in the management of a curricular joint venture depend on the stage of development or evolution of the collaboration.

Related to the theory of organizational life cycles is the necessity for organizations to balance fit and flexibility. The congruence model of organizational behavior posits the necessity of striking a balanced "fit" between component parts of an organization (e.g., Galbraith, 1977; Katz & Kahn, 1966; Leavitt, 1965; Van de Ven & Drazin, 1985; Weick, 1969). These component parts include the work, individuals, formal organizational arrangements and informal organization (Nadler & Tushman, 1988, 1997).

Cameron frames the concept of "fit" into a balancing of both tight and loose coupling – both are necessary for an organization, specifically higher education as his

example, to be adaptive. Neither loose coupling, as is most conducive to initiating innovations, or tight coupling, as is conducive to implementing innovations, can dominate the other; but instead each can be used when the context demands it (Cameron, 1984). Resources are also a determinant of institutional adaptability. Kraatz and Zajac (2001) study of higher education institutions suggests that the greater the historically valuable resources (i.e., better reputations, longer histories, more supportive external relationships, greater financial resources, and more talented students) institutions possess, the less likely they were to engage in adaptive strategic change. Relationship capital is another determinant. Kraatz (1998) found that strong ties to other organizations, such as in interinstitutional networks, mitigates uncertainty and promotes adaptation by increasing communication and information sharing.

Smart and St. John (1996) utilize the competing values framework (Quinn & Cameron, 1983; Quinn & Rohrbaugh, 1983) to explore the hypothesized linkages between organizational effectiveness and dominant culture type and culture strength of an institution of higher education. They found that while most higher education institutions traditionally exhibit clan cultures, alternative culture types exist, and often multiple types within a single college or university. These could be embedded differences across departments as a function of variable cultures of disciplines (Del Favero, 2005). Smart and St. John's findings (1996) suggest that the organizational effectiveness of academic units depends on the proper alignment between espoused cultural values and actual management practices, suggesting the need to observe differential aspects of the organizational structure, internal decision-making processes, and strategic orientations of colleges and universities in their interactions with their external environments.

Informed by the research on the qualitatively different needs and management behaviors of organizations in growth and decline (Cameron, Whetten, & Kim, 1987; Nystrom & Starbuck, 1984), Whetten's (1987) review of the life cycle literature with respect to organizations suggests that the causes and consequences associated with growth and decline need to be balanced in the empirical literature to include more research on the decline side of organizational life cycles.

As organizations age, they face the paradoxical reality that their experiences lead to greater efficiencies through finely tuned organizational routines via greater

bureaucracy (Langton, 1984), but these routinized or institutionalized behaviors and mechanisms also limit mature organizations' abilities to adapt to new environmental trends and competition (Sorensen & Stuart, 2000). Milliman, von Glinow, and Nathan (1991) suggest that organizations are variably focused on organizational fit and flexibility across organizational life cycle stages. Flexibility over fit is emphasized during periods of rapid growth, and fit over flexibility during periods of controlled growth characteristic of mature organizations as they seek to increase structure and control. The implication for mature CJVs is that they may be more efficient, but are less likely to keep pace with new CJVs as they form and grow in the higher education market.

In addition to "fit," Nadler and Tushman (1988, 1997) advocate a bi-directional approach to changes in organizational design – a tops down and bottoms up approach. The top is represented by the executive team and formulates strategy and informal organizational design changes. The bottom is represented by individuals and represents operational concerns and task interdependencies. In its research, the American Council on Education was particularly interested in whether these curricular joint ventures were originated from the bottom (faculty) or the top (administration), or somewhere in between. Also of interest were the sources of support – top, bottom, or jointly between the two directions (Eckel, Affolter-Caine, & Greene, 2003). This suggests that a bi-directional approach or distributed form of leadership is beneficial for meeting the management needs of loosely-coupled organizations such as CJVs.

Interorganizational Relationships

The objective of this dissertation research is to explore the dynamics of interorganizational relationships – how institutions and people collaborate to meet their expectations and needs and create something anew together. Nickerson, Silverman, and Zenger (2007) identified opportunities to explore and expand the understanding of value creation through interorganizational collaboration in their review of the literature, which provides more research on organizational learning. To understand this process, the resources that are exchanged and shared must be identified.

Sharing and exchanging resources is a primary activity of partnerships (Arnold, 2003). This implies that to understand the process of collaboration across colleges and universities, it is important to observe how certain resources are shared. Higher education

institutions are resource dependent. Resource dependency theory posits that organizations interact in order to acquire needed resources (Pfeffer & Salancik, 1978). There are four types of resources: personnel, information, products and services, and operating funds (Aldrich, 1975). Gulati (1998) suggests that status may also be a needed resource that is attainable through interdependence with high-status partners. In outlining the theory of academic capitalism, Slaughter and Leslie (1997) suggest that higher education institutions in particular, seek to maximize prestige (as opposed to profits) as a means of generating revenue and establishing market share. Forming curricular joint ventures with prestigious institutional partners may be a means by which resource dependent colleges and universities can acquire this needed resource – status, while sharing costs (e.g., loss of autonomy, proprietary information, money and governance), integrating core competencies and markets, and enhancing quality of outcomes and services.

The organizational literature provides a lens through which CJVs will be viewed. Bailey and Koney (2000) define the possible range of relationships in three basic categories – cooperation (loose affiliations), collaboration (integrated strategies and collective purpose), and coadunation (unified structure and combined cultures). They argue that prior to any type of relationship, participants need to analyze the costs and benefits and consider three core aspects of the relationship – preconditions (e.g., trust, knowledge, and market), governance and evaluation.

There are various forms of collaboration across a continuum of integration in terms of activities, outcomes, and governance. There is a positive relationship between benefits and risks of collaborative efforts along this continuum. Engagement in a loose level of integration mitigates potential risks, but also perceived benefits. The more integrated the inter-organizational relationship, the greater the opportunity to maximize benefits, but also risks, which are significant. Studies indicate that joint ventures have a failure rate of 30-61 percent, and that 60 percent of joint ventures failed to start or faded away within five years (Osborn & Hagedoorn, 1997). Even the best of intentions are likely to fail given the inherent risks of collaborating with external organizations; however, most organizations recognize the need to engage in some form of collaboration in order to achieve their objectives and compete.

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Interfirm networks play an important role in strategy decisions of participating firms embedded in a network. Gulati, Nohria, and Zaheer (2000) identify five key areas of strategy research in which there is potential for incorporating strategic networks: 1) industry structure, 2) positioning within an industry, 3) inimitable firm resources and capabilities, 4) contracting and coordination costs, and 5) dynamic network constraints and benefits. Of particular interest in studying higher education institutions and their proclivity to use CJVs as a strategy to respond to increasing industry pressures is the concept of accessing inimitable firm resources and capabilities. This is to say that a network of organizations can be a source of creating valuable resources that are both inimitable and non-substitutable. Gulati (1999) refers to these as "network resources." These resources, however, are mitigated by the abilities of leaders and managers to influence individuals' perceptions, which is also dependent on levels of organizational bureaucracy and institutional experiences.

Perceptions of individuals and leaders affect strategic decision making (Dutton & Jackson, 1987), as well as habitual institutional responses that are routinized and formalized in their organizational structures (Hannan & Freeman, 1984; Scott, 1987). These routine mechanisms and behaviors can also constrain managers' efforts to improve decision-making effectiveness by shaping how organizational members frame and interpret issues (Ashmos, Duchon, & McDaniel, 1998). The greater the expansion of bureaucracy, the greater barrier for leaders to shape issue interpretation in decision making, or what a number of scholars have identified as "sensegiving"[1] in the leadership literature (e.g., Bartunek et al., 1999; Gioia & Chittipeddi, 1991; Maitlis & Lawrence, 2007; Snell, 2002). Furthermore, these findings on the level of institutionalization is consistent with the research that suggests greater routinization common among more mature organizations leads to greater efficiencies, but less adaptability.

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[1] Sensegiving was coined by Gioia and Chittipeddi (1991, p. 442) to describe the "process of attempting to influence the sensemaking and meaning construction of others toward a preferred redefinition of organizational reality". (For additional research defining and mapping sensegiving, review Balogun, 2003; Balogun & Johnson, 2004; Bartunek, Krim, Necochea, & Humphries, 1999; Dunford & Jones, 2000; Maitlis, 2005; McNulty & Pettigrew, 1999; Snell, 2002.)

Sustainable Competitive Advantage

Establishing a competitive advantage that can be sustained is an affirmative aspiration for firms that desire to achieve a market niche and maintain it over the years (Barney, 2002; Hoffman, 2000; Oliver, 1997). Sustainable competitive advantage (SCA) may also be a strategy for a set of firms (Dyer & Singh, 1998), such as in a strategic alliance. Identification of intangible resources is one way in which to develop a SCA (Hall, 1993). One motivation for forming interorganizational alliances is to access intangible resources – such as innovation and new markets (Powell, Koput, & Smith-Doerr, 1996). Research linking these objectives is, however, limited.

A SWOT analysis is a traditional starting point to evaluate whether or not a firm or set of firms, such as in a strategic alliance, have developed or can maintain a sustainable competitive advantage. A SWOT analysis involves evaluating a firm's strengths and weakness, and the opportunities and threats posed by its environment. The resource-based view of the firm (Barney, 1986; Rumelt, 1984; Wernerfelt, 1984) considers four basic forms of capital resources: financial, physical, human, and organizational (Barney, 1991) that are consistent with a firm's competitive advantage (Peteraf, 1993). Organizational capital is an attribute of collections of individuals and includes a firm's formal reporting structure or administrative framework (Penrose, 1959) – its formal and informal planning, controlling and coordinating systems as well as its culture and reputation. The firm's informal relations among groups within a firm and between a firm and those in its environment also contribute to a firm's organizational capital (Barney, 2002). Organizational capital can be considered an organization's design or architecture, which is a leverage point for managers to plan and implement organizational change, as discussed above.

Nadler and Tushman (1997) note that competition is growing in its intensity within every industry and business sector because of the quickening pace of technological innovation, rising consumer expectations, government regulation, access to markets and a host of other factors that create opportunities for new competitors who suddenly change the basic rules of the game with new products, production processes, distribution patterns, and marketing strategies. They argue that the last remaining source of truly sustainable competitive advantage is "organizational capabilities," which is defined as the

combination of an organization's core competencies (e.g., technological innovation, customer focus, low-cost manufacturing of high-quality products) with the ability to sustain and adapt those competencies in the fulfillment of long-term objectives despite changing competition, altered strategies, and the loss of key employees. The mechanism through which to create change in an organization to fit this combination, and subsequently to observe the process of coordination, is an organization's design or architecture.

The resource-based view of studying a firm's strengths and weaknesses is based on evaluation of two assumptions that determine potential competitive advantage. The first assumes that resources are heterogeneous, which means that firms represent bundles of productive resources that differ across firms, and if these firms possess differing bundles of resources, these may be potential sources of competitive advantage (Penrose, 1959). The second assumes that resources are immobile. This means that if a firm possesses unique resources that enable it to exploit environmental opportunities and mitigate threats better than its competitors – and if these resources are costly to copy or inelastic in supply – then these resources can be considered sources of competitive advantage (Ricardo, 1817; Selznick, 1957).

Barney (2002) built the VRIO framework for analysis of sustainable advantage on a resource-based view of the firm whereby a firm's resources are relatively valuable, rare, imitable, and organized. It provides a more concrete and pragmatic means for analysis of resource heterogeneity and resource immobility, which are abstract assumptions. Value is derived from the firm's ability to use its resources and capabilities to respond to environmental threats and opportunities. Rarity is determined by the relatively small number of competing firms that possess the resource. Imitability is the determined by the cost disadvantages for other firms to acquire or develop the resources or capabilities. And organization refers to a firm's other policies and procedures organized to support the exploitation of its valuable, rare, and costly-to-imitate resources.

Barney (2002) suggests that the implications for this resource-based view of the firm with both formal and informal inestimateable value of organization are that competitive advantage is the responsibility of every employee; exploiting a firm's own valuable, rare and costly-to-imitate resources is better for gaining competitive advantage

than imitating competitors; firms must weigh the costs and benefits of strategy implementation carefully so as to not overestimate and underestimate their uniqueness; and effective and efficient management practices and organizational culture can be sources of sustained competitive advantage. If the organization does not support the use of valuable, rare, and costly-to-imitate resources, then the organization needs to change.

Strategic alliances offer firms in fragmented or mature industries – both types being descriptive of the higher education industry along various niches – a means by which to establish a sustainable competitive advantage along this VRIO framework (Barney, 1991, 2002). In fact, a significant body of literature exists looking at how strategic alliances of various types enable firms to either establish or exploit sustainable competitive advantage. A few of these studies have focused on the management of these strategic alliances as the source of competitive advantage.

Boyne (2003) examines the organizational effectiveness literature and identifies the strengths and weaknesses of five conceptual models of public service improvement (goal, systems-resource, internal process, competing values, and multiple constituencies). Entwistle and Martin's (2005) review of the literature on collaboration and trust in the context of partisan partnerships of elected officials in England provides three propositions: partnerships reduce conflict in relational exchange by encouraging trust; partnerships unlock the distinctive competencies of other sectors and organizations; and partnerships deliver a transformational approach to service improvement, even within competitive models. Barringer and Harrison (2000) conclude in their literature review that making partnerships work is a fragile balance of competing forces, and that management of two or more organizations is difficult. They also acknowledge that little research has been devoted to how interorganizational relationships are managed (Barringer & Harrison, 2000).

Common across these reviews is the concept that management of organizations, and particularly interorganizational management, is critical to interorganizational success. Several scholars have linked this value of interorganizational management with the VRIO model of sustainable competitive advantage (Barney, 2002), to suggest that effective management of interorganizational collaborations can be a source of sustainable competitive advantage for partner institutions. Arya and Lin's (2007) empirical study of

resource development by interconnected not-for-profit organizations suggests the need to integrate resource-based and social network perspectives in studying how organizations derive competitive advantages in networked environments. Their analysis also demonstrates the importance of unique resources at individual, dyadic, and network levels that allow these organizations to develop capabilities and competencies, even when these monetary and non-monetary resources overlap (Arya & Lin, 2007), such as in the case of curricular joint ventures whereby similar academic resources are pooled and utilized. According to Castanias and Helfat (1991), rare and difficult to imitate internal firm resources are key to an organization's development and maintenance of sustainable, competitive advantage from a resource-based perspective. Pfeffer (1994) suggests people are a key resource through which organizations achieve competitive advantage and with whom organizations share information. This implies that the management of relationships between people, and information that flows through people via relationships across multiple organizations is critical to successful collaboration.

Access to resources from interorganizational partnerships creates interdependencies among partner organizations. These interdependencies not only create opportunities for sustainable competitive advantages, but can also sources of conflict by illuminating existing resource asymmetries and stimulate dormant competing values. Recent literature utilizing interdependence theory (e.g., Kelley, 1975; Thibaut & Kelley, 1959) contends that dependency and insecurity are related and underlying aspects of relationships (Riehman, Iguchi, Zeller, & Morral, 2003). Robson, Spyropoulou, and Al-Kalifa (2006) assert that relationship insecurity in international joint ventures, which refers to an organization's concerns about the continuance of interorganizational relationships and partners' future commitments and capabilities to provide the needs of the collaboration as a whole (Attridge, Berscheid, & Sprecher, 1998), tends to exist when low levels of dependence exist, rather than high levels of interdependency.

The consequences of relationship insecurity on interorganizational relationships are less communication and poor performance (Robson et al., 2006). The implication for curricular joint ventures is that lower levels of interdependence requires greater management of relationship capital (Cullen, Johnson, & Sakano, 2000) across the traditional hierarchical levels of higher education institutions and effective construction

and utilization of linking and dispute resolution mechanisms. And although little scholarly attention has been paid to the psychological aspects or softer side of interorganizational relationship management (Robson et al., 2006), the implication for curricular joint ventures is that these aspects are also of great importance in building and maintenance of relationship capital that is a ready source of competitive advantage for the member institutions (Ireland, Hitt, & Vaidyanath, 2002).

Previous Research on Case Sites

The previous research done on the Claremont Colleges and the Five Colleges is relatively narrow and varied; but each offers a contextual glimpse of each case site, or at least a member institution of each CJV.

Duke (1991) studied a number of Progressive Era attempts to establish 'Oxbridge' style education at existing American colleges and universities, of which Pomona College and the development of the Claremont Colleges was but one case, to maintain close student-faculty relationships while simultaneously expanding the research university. None of these attempts were successful in establishing the Oxbridge model in America, the barriers to which were idealized notions of Oxbridge, strong academic departments, curricular specifications, student social strata, and promotion and tenure standards that favored scholarship over teaching. The closest, however, was the 'Oxford of the Pacific' as founder and president of the Claremont Colleges James Blaisdell called his effort to transform Pomona College with his cluster-college concept, thus making it an Oxbridge style retrofitted to serve American ideals of higher education (i.e., size, curricular scope, research). The Claremont Colleges have been successful in retaining the "intimate and personal relationships between faculty and students" as the institution expanded, kept costs down for expensive facilities (e.g., libraries and laboratories), and increased consideration for the importance of living conditions in which Blaisdell noted that students spend "four core years."

Duke's historical dissertation (1991) articulates the origins of the Claremont Colleges Consortium, and provides the background story to the process of collaboration that exists today and is the focus of this dissertation research. It promotes the following questions: Where do these departments stand now? How are faculty evaluated? And which institutions sign the degrees conferred?

Rosenzweig (1997) studied innovative colleges and universities[2] founded in the 1960s and 1970s in an effort to identify the factors that affect the endurance and transformation of institutional reforms in higher education. Two of her six cases included member colleges of two CJVs proposed for study in this dissertation research: Hampshire College of the Five Colleges, Inc. and Pitzer College of the Claremont Colleges. Her investigation of the history and durability of these two innovative colleges (along with the other four cases) informs this study of CJVs by providing contextual information about the history and culture of these institutions and their respective CJVs that can aid in building a holistic case study about the process of collaboration across member institutions. Furthermore, Rosenzweig's findings demonstrate that smaller innovative campuses are more likely to maintain their distinctive missions than larger public universities, even in a non-supportive social, political and economic climate where the following factors exist: a significant presence of charter professors exists, recruitment of faculty members is based on interest in innovative approaches, academics are rewarded for distinctive teaching and curricular development, organizational hierarchies and departmental structures are minimized, and administrative support for innovation exists. Her findings also suggest that affiliation with a consortium of institutions, a later start-up date, the ability to adapt and change, and community support may also enhance the survival of a distinctive campus. Factors that diminish endurance of innovative ideals are the pressures and constraints imposed by a public university system, enrollment declines, and increasing student-to-faculty ratios. Among the most fundamental challenges facing distinctive campuses are the retirements of founding faculty, campus image problems, student attrition, onerous faculty workloads, faculty immobility, and the ability to remain both innovative and innovating.

These findings imply that private liberal arts colleges are best suited to preserve innovative activities when they belong to a consortium of institutions, are adaptable and flexible in the face of change, and have support from the faculty and administration. A set of important factors can be construed for related examination in this study of curricular

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[2] Innovative colleges and universities are defined as campuses that depart from mainstream higher education along five dimensions: 1) interdisciplinary teaching and learning, 2) student-centered education, 3) egalitarian, 4) experiential learning, and 5) an institutional focus on teaching rather than research and publishing.

joint ventures as innovative activities for private liberal arts colleges and universities, as follows:

1. a significant presence of charter individuals, or at least, collaborative champions – as in the case where the CJV has existed beyond the career span of a professor – remain among the faculty;

2. faculty recruitment, and promotion and tenure standards are aligned with collaborative goals of the CJV;

3. administrative resources are aligned with collaborative goals of the CJV;

4. and departmental structures are less formalized and flexible.

This factor set includes both formal and informal organization mechanisms at the institutional and inter-personal levels of analysis. This is consistent with the organizational design literature described in the conceptual framework.

Summary

Private, liberal arts colleges and universities will be viewed in this dissertation research as resource dependent organizations facing increasing competitive pressures in the higher education industry to attract students, resources, and prestige while maintaining traditional programs that are core to their institutional missions and create programs in emerging fields that are consistent with both institutional and market pressures. As a strategic response to these pressures and objectives, institutions are consider interorganizational relationships with competing institutions in order to share resources, even create new imitable and non-substitutable resources as only a network is capable of achieving. These partner institutions, while competitors, are often those with which a former type of partnership has already been forged through traditional consortia and the like, and with which some modicum of familiarity and trust have been developed.

CHAPTER 3

RESEARCH DESIGN

De Rond and Bouchikhi (2004) believe that ethnography is the only sufficient method to collect data to study strategic alliances from a dynamic framework, as is implied by the open-systems perspective. To examine organizations across life cycles, a longitudinal data collection method is optimal, although rare due to time constraints of researchers (Cameron & Whetten, 1981). Neither of these methods is feasible for this dissertation research, nor do they meet the objectives of this study. Instead this research is a comparative case study of (CJVs) in consortia of private liberal arts colleges and universities. These CJVs are comprised of organizations that reflect traditions of higher education, are responsive to environmental and market changes, and are also small enough in size as to accommodate a case study approach.

This chapter presents the research design and rationale for this dissertation study. This inquiry and analysis of how collaborative processes of curricular joint ventures (CJVs) among private liberal arts colleges and universities are operationalized and vary depending on the degree of collaboration and integration of curricular activities was guided by a research framework. The research framework utilized the review of the literature presented in the previous chapter.

Research Framework

Collaboration and cooperation have been described by many researchers and practitioners according to their individual focus, research needs, or anecdotal experiences; however, some common definitions do emerge. In general, cooperation is described in situations where people sit down and are agreeable, or they bring finished products together. Authorship and ownership can be easily identified in a cooperative project. Smith, Carroll, and Ashford (1995, p. 3) defined cooperation as a "process by

which individuals, groups and organizations come together, interact, and form psychological relationships for mutual gain or benefit."

In contrast, collaboration is described as an altogether more aggressive endeavor where people create something from scratch. Governance and issues of ownership become critical because the nature of collaborative projects requires a team orientation and shared leadership. Gray (1989, p. 5) defines collaboration as "a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible." The implication of collaborative endeavors is that a balance must be struck across competing interests that create constant tensions between collaborating partners. Furthermore, the actions and behaviors of people and their organizations to strike this balance is a vital part of the collaborative process.

As loosely-coupled organizations (Weick, 1976), higher education institutions develop both formal and informal governance mechanisms and policies (Nadler & Tushman, 1988, 1997) designed to strike a balanced "fit" of tight and loose controls (Cameron, 1984) across the multitude of moving component parts (e.g., Galbraith, 1977; Katz & Kahn, 1966; Leavitt, 1965; Van de Ven & Drazin, 1985; Weick, 1979) operating within and across institutions. The implication for this study is that collaborating institutions develop adaptive organizational designs, effective management practices, and necessary organizational procedures in order to collaborate. Formal and informal mechanisms and behaviors embedded in these designs, management practices and procedures enable collaborative processes to work given unique institutional contexts.

Institutional Contexts

Borrowing from the concept of competing values in organizations whereby the collision of coexisting but contradictory social forces – paradoxical in nature – can produce changes in relationships at the interpersonal and institutional levels in a collaborative endeavor, De Rond and Bouchikhi (2004) suggest that researchers of alliances should take into account three pairs of internal tensions: cooperation versus competition, rigidity versus flexibility, and short-term versus long-term orientation. They suggest there are other sources of paradoxical tensions in alliances, such as design versus emergence, control versus autonomy, trust versus vigilance, compromise versus conflict,

collectivism versus individualism, expansion versus contraction, innovation versus replication (Bouchikhi, 1998). The importance of understanding these tensions is not to chart on which end of the axis an alliance is positioned at a given time, but instead to view each tension as coexistent and necessary, albeit in a balance that fits the member organizations.

The tensions of competing values in a higher educational context are derived from internal and external pressures. (See Figure 1.) Internal forces include those related to an institution's human, financial, physical and entrepreneurial resources and the institution's mission and strategic planning. There are external pressures that influence, yet are exogenous to the collaborative process across and within institutions engaged in CJVs. These include changes in the preferences and demands of students, available financial aid through government entities, economic factors (recession, expansion), and competition across the higher education industry. For the purposes of this dissertation these external factors, which will be examined through this study can be summed up as market demand and industry competition.

Figure 1. Sources of Paradoxical Tensions that Influence the Collaborative Processes in Curricular Joint Ventures.

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┌─────────────────────────────────────────────────────────────┐
│                  Organizational Contexts                     │
├─────────────────────────────────────────────────────────────┤
│  Internal                        External                    │
│      • Culture                       • Prestige              │
│      • Staff                         • Competitive          │
│      • Governance                      Environment           │
│        Structure                     • Success Status        │
│      • Wealth                                                │
│      • Mission and Vision                                    │
└─────────────────────────────────────────────────────────────┘
                              ⇓
            ┌───────────────────────────────────────┐
            │  Tensions Derived from Competing Values │
            └───────────────────────────────────────┘

┌──────────────────────────────┐      ┌──────────────────────────────┐
│    Institutional Agency      │      │        Responsibility        │
│ Autonomy vs. Interdependency │      │   Compulsory vs. Voluntary   │
└──────────────────────────────┘      └──────────────────────────────┘
        ┌──────────────────────────┐   ┌──────────────────────────┐
        │     Interdependency      │   │          Growth          │
        │ Reciprocity vs. Free riding│ │  Exclusive vs. Inclusive │
        └──────────────────────────┘   └──────────────────────────┘
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Most of these influential tensions or pressures and their sources are identifiable through theory and a priori examination. The research design of this study is to control for the influence of the sources of paradoxical tensions on the collaborative process through site selection; however, it is impossible to control for all sources of tension. Some tensions are observable only through site visits and discussions of collaborative processes.

Common to many organizations, yet variable in importance across my three case studies are four basic tensions related to competing values of participating institutions: autonomy vs. interdependency in terms of institutional agency; reciprocity vs. free riding[3]

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[3] Free riding is a term used in the social sciences, and economics in particular, to describe the benefits some people receive from a common good, but do not pay for the use of the good. It is considered a problem when free riding violates peoples' notions of fairness and leads to the non-production or under-production

with regard to established interdependencies; exclusiveness vs. inclusiveness when faced with growth-related changes; and compulsory vs. voluntary responsibility for collaboration. For context purposes, these tensions will be discussed in each case study; but for the purpose of analysis, the focus is on how the CJVs behave and utilize collaborative mechanisms to balance competing values and alleviate tensions across member institutions and the collaborative organization to enable collaboration to occur and meet institutional objectives.

Behavioral and Structural Constructs

The objective of this study is to shed light on the identified behaviors and mechanisms that support the overall processes of collaboration across these differing CJVs with like institutional contexts and identical outcomes. Review of the literature has lead to a focus on a specific set of constructs: engagement and participation; developing common purposes, mission, and vision; leadership changes and the direction of leadership; linking mechanisms and dispute resolution mechanisms. Understanding how these are operationalized sheds light on the collaborative behavior of institutions and individuals.

As noted in the literature review, organizations vary in terms of structure and control by life cycle stages (Cameron & Whetten, 1981; Jawahar & McLaughlin, 2001; Mintzberg, 1984) whereby flexibility is emphasized over fit during periods of rapid growth common to young organizations, and fit over flexibility during periods of controlled growth common to mature organizations (Milliman et al., 1991). Mature organizations face paradoxical tensions between the development of institutionalized behaviors and organizational mechanisms established to achieve greater efficiencies (Langton, 1984), and limited organizational flexibility to adapt to new environmental trends and competition (Sorensen & Stuart, 2000). The implication that differing levels of bureaucracy variably impact strategic organizations at different points in their interorganizational life cycles suggests that curricular joint ventures with varying levels

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of a common good. This problem is known in economic terms as a Pareto inefficiency, which describes the scenario where changes in resource allocations benefit one person or group but disadvantage another person or group. To be Pareto efficient is to make resource allocation changes that benefit some people while not making anyone else disadvantaged.

of bureaucratic integration will also differ in terms of the behaviors and mechanisms that exist and interact in the management of the collaboration.

Figure 2. Conceptual Diagram of the Collaborative Process

```
┌─────────────────────────────┐          ┌─────────────────────────────────┐
│ Comparative Factors:        │          │ Behavioral and Structural       │
│                             │          │ Constructs Specific to this     │
│ Organizational Contexts     │          │ Study                           │
│                             │          │  • Engagement and Participation │
└─────────────────────────────┘          │  • Developing Common Purposes,  │
          ┌──────────────────────────┐   │    Mission, Vision              │
          │ Factor 1: Geographic     │   │  • Leadership (Direction of and │
          │ Proximity                │   │    Changes to)                  │
          │                          │   │  • Linking Mechanisms           │
          └──────────────────────────┘   │  • Dispute Resolution Mechanisms│
┌──────────────────────┐                 └─────────────────────────────────┘
│ Factor 2:            │                                  ▲
│ Integration         │         ┌──────────────────────────────────────┐
│                     │   ⇒    │ Mechanisms that Influence and Support │
└──────────────────────┘   ⇒   │ the Collaborative Process             │
                                │ *Focus of the Study* and Unit *of     │
                                │ Analysis*                             │
                                └──────────────────────────────────────┘
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Engagement and Participation

Institutions that are engaged in collaboration and actively participate exhibit collaborative behaviors that influence their collaborative processes. Individuals are actors of institutions, and their personal collaborative behaviors influence the collaborative processes of institutions. Collaborative behavior is defined as actions taken by individuals and their institutions that facilitate a level of trust and respect for their partners in the CJV. The more integrated the CJV, the more they have invested in the CJV. The expectation then is that they would exhibit a high level of collaborative behavior, as opposed to competitive behavior. The assumption is that they participate with one another more often than do those in less integrated or more geographically spaced CJVs.

Perhaps geographic proximity matters as well – the farther away institutions are from one another, the more careful they must be to maintain long-distance and perhaps tentative relationships. The expectation is that the closer member institutions are to one

another and/or the more integrated they are, the more engaged institutions and their individuals are in the collaborative process.

Development of Common Purposes, Mission, and Vision

In order for collaboration to occur, institutions and individuals must come together under a common purpose that supports a common mission and vision. Developing common direction is an ongoing activity as institutions adapt to meet changing demands. How each partner comes to terms with this activity is an important construct in the overall collaborative model of each case.

Dr. John C. Maxwell distinguishes between cooperation and collaboration in terms of four elements of being a team player: perception – teammates are collaborators, not competitors; attitude – being supportive, not suspicious, of teammates because greater trust in others results in treating them better; focus – concentration on the team instead of the individual, understanding that true progress is a relay race and not a single event; results – create victories through multiplication (Maxwell, 2005).

Perceptions of individuals and leaders affect strategic decision making (Dutton & Jackson, 1987), as well as habitual institutional responses that are routinized and formalized in their organizational structures (Hannan & Freeman, 1984; Scott, 1987). These routine mechanisms and behaviors can also constrain managers' efforts to improve decision-making effectiveness by shaping how organizational members frame and interpret issues (Ashmos et al., 1998). The greater the expansion of bureaucracy, the greater barrier for leaders to shape issue interpretation in decision making, or what a number of scholars have identified as "sensegiving" in the leadership literature (e.g., Bartunek et al., 1999; Gioia & Chittipeddi, 1991; Maitlis & Lawrence, 2007; Snell, 2002). Furthermore, this research in the level of institutionalization is consistent with the research that suggests greater routinization common among more mature organizations leads to greater efficiencies, but less adaptability.

Leadership

Focusing on the process side, there are resources utilized and decisions made at two different levels – the institutional and the interpersonal, although changes in one affect changes in the other. The levers of control at the institutional level include governance structures and the curriculum (sub-organizations, like disciplinary

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departments are considered to be at the institutional level). At the inter-personal level these levers include individual's familiarity or experience of people and processes, knowledge and skills valuable to collaborative endeavors, and aspirations and interest in the process or its outcomes.

Leadership in or management of collaborative ventures is the source of sustainable competitive advantage for curricular joint ventures. Leadership can take many forms (shared or centralized), comes from different points in the organizations (top, bottom or middle), and is affected by changes that occur when individuals change or leave positions or when those positions are changed through alterations in organizational design. Evidence from Ensley, Hmieleski, and Pearce's (2006) study of vertical leadership from appointed or formal leaders compared to shared leadership in the form of distributed leadership stemming from within a team on performance of organizational startups suggests that both vertical and shared leadership are important to positive organizational performance. This research elevates the value of shared leadership in addition to vertical leadership. Day, Gronn, and Salas's (2006) review of the team leadership literature found that much less research has been focused on informal or emergent leaders in team settings while overemphasizing formal or positional leadership in teams. The implication for leadership in curricular joint ventures is that it is important to identify not only formal or positional leadership from deans of faculty and department chairs, but to also identify emergent leaders and the processes of shared leadership exhibited by formal and informal leaders.

Barringer and Harrison (2000) find that while stakeholder models are valuable in describing how alliances can facilitate goal congruence among various stakeholders, are they are insufficient in terms of providing advice on what form alliances should take. In contexts where multiple realities exist because of differing perceptions and cultures of various organizational constituencies, competing organizational values create tension. Kan and Parry (2004) found that leaders must first identify existing paradoxes or competing values, and then effectively reconcile these in order to affect change. In their study, Kan and Parry (2004) also found that reconciling paradox tended to reflect some of the sanctioned political tactics (e.g., networking, coalition building, rational persuasion) identified by Zanzi and O'Neill (2001), whereas legitimizing paradox tended to reflect

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some of the non-sanctioned political tactics (e.g., manipulation, intimidation, control of information, scapegoating).

Wielkiewicz and Stelzner (2005) review the theories of leadership and propose an ecological perspective on leadership theory, particularly with respect to the nexus of corporate leadership and environmental demands and stewardship. Their six premises for an ecological model of leadership suggests the importance of the existence and utilization of effective mechanisms within organizations to detect the need for organizational change and to enact adaptive strategies (Wielkiewicz & Stelzner, 2005). This suggests that curricular joint ventures with existing and effective mechanisms for linking people and activities and resolving disputes enable these CJVs to adapt as needed in the long term. Not a great deal of research has been dedicated to examining mechanisms in the leadership literature or the strategic organization literature. Hambrick (1994) noted that most top management studies treat organizational attributes such as group cognitions, values, and interchanges as a 'black box'. Therefore, actual mechanisms that serve to enable top management teams to utilize organizational attributes can only be inferred.

Furthermore, given that strategic organizations positioned along different points in their respective life cycles have varying levels of interorganizational integration and differentially benefit from similar behaviors and mechanisms (as discussed in the literature review), it is important to consider if and why leadership is demonstrated in each case. In this study, there are three different cases along a spectrum of integration. The most integrated CJVs may demonstrate different leadership requirements than do less integrated CJVs.

Linking Mechanisms

Mechanisms have also been identified as key constructs for sustainability and growth of organizations. In a study of behavior integration of top management and organizational decline, Carmeli and Schaubroeck (2006) found that mechanisms that fail to contribute to behavioral integration of top management teams will contribute to organizational decline. Carmeli and Schaubroeck (2006) found that greater integration of top management teams was negatively related to organizational decline both directly and indirectly through perceived quality strategic decisions. The limitations of this survey research are that causality cannot be confirmed. The correlation, however, suggests that

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greater integration leads to greater stability and perhaps even organizational growth. The implications for CJVs is that the more integrated they are, which can be associated with the existence of mechanisms that support interorganizational collaboration, are more likely they are to be sustainable.

Central to the study of CJVs is a focus on how individuals and institutions link their common activities, or task interdependencies. Nadler and Tushman (1997) describe different degrees of task interdependence among groups and call for different kinds of formal linking mechanisms whereby the objective is to design mechanisms that allow each group to receive from other groups the information it needs to perform its work and achieve its objectives. If the mechanism is too elaborate or extensive, it is too costly. Similarly if the mechanism is not capable of the providing necessary flow of information, coordination is compromised. In other words, the design must match the degree of task interdependence (Nadler & Tushman, 1997). To take this a step further is to examine those linking mechanisms that are informal and may either support or even supplant formal mechanisms. Informal linking is related to the socialization of employees, informal relationships and roles among individuals.

How information flows from one individual to another and from one member institution to another is important in the operation of a CJV, or any collaborative process. The form in which this information takes (i.e., face-to-face, electronic, voice, or written) probably influences the quality and quantity of information that flows, but is also probably dependent on geographical proximity of the actors. Level of integration also influences information flow in the collaborative process because perhaps a more integrated CJV requires less interaction given the routinized systems already established as compared to a less integrated CJV.

How institutions are connected both formally and informally through activities and people influences the collaborative process. In this study, linking mechanisms will be observed – how expansive and complex their construction or emergence and the frequency with which they are used. These linking mechanisms are expected to differ across the selected cases based on varying levels of integration and geographic proximity.

<u>Dispute Resolution Mechanisms</u>

Inevitably disputes will occur in collaborations of people and institutions. As discussed in the literature review, collaborating organizations, such as curricular joint ventures, must be able to reconcile competing values. Therefore, dispute resolution mechanisms must be in place. These mechanisms may differ, however, across different types of CJVs.

The fifth construct examines what mechanisms are in place to help partners move forward and resolve differences. It can be expected that a more integrated CJV has had more experience, or perhaps has a more institutionalized mechanism for resolving disputes, given the importance of preserving a greater investment of each partner in the collaborative process than a less integrated CJV.

Research Subquestions

The purpose of this dissertation research is to analyze collaboration of CJVs in three distinct consortia within a framework that focuses on constructs of process in order to expand the field's understanding of how higher education institutions collaborate around the core activity of teaching and learning. To examine this process, there are sets of constructs related to intra- and inter-institutional behaviors and structures. As illustrated above, some background information is necessary to set the stage and account for environmental conditions and prior experiences that influence institutional learning and trust, and ultimately the collaborative process. The following research sub-questions are intended to test the conceptual framework outlined above:

1. What do the engagement and participation patterns of member institutions reveal about the collaborative process?
2. How are common purposes, missions, and visions developed and shared?
3. From what location in the institution (top, bottom, or central) does leadership originate, and in what direction does this leadership affect change (upward, downward or lateral)? What common leadership styles and characteristics are present across the cases?
4. What linking mechanisms (informal and formal) have been designed or have emerged to facilitate and support information flows and task interdependence?

5. What mechanisms (informal and formal) are in place to resolve disputes?

6. How do these behaviors (engagement and participation, development of common purposes, and leadership) and mechanisms (linking and dispute resolution) collectively balance competing values across individuals and institutions?

The data collected from the interviews, documents, and web site are analyzed vis-à-vis each of the five basic concepts and their respective dimensions as they relate to the process of inter-institutional collaboration: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms.

Methodology

A case study analysis is an appropriate method for this dissertation because it enables the researcher to study a unique phenomenon retroactively. Drawing from multiple sources, data can be triangulated to create a more "holistic" and accurate portrait of the case from which to draw conclusions (Yin, 1994), while maintaining the integrity of the whole with its "myriad of interrelationships" (Sommer & Sommer, 2002). The research question guiding this dissertation study asks "how" and "why" this phenomenon has occurred within a select few organizations, which are the types of questions case studies are designed to answer (Yin, 1994).

Case studies can be individuals, places, events, and processes (Yin, 1994). The unit of analysis in this study is the collaborative process inherent in a CJV within a particular consortium. Multiple cases have been selected for comparison based on the conceptual framework (Yin, 1994), which suggests that differing levels of integration and geographic proximity affect collaborative processes.

The separate collaborative processes of each CJV are influenced by a set of behavioral and organizational constructs. These constructs are used as the framework for analysis across the multiple cases. The specific behavioral and structural constructs observed are those related to collaborative behavior as exhibited through institutional engagement and participation, development of common purposes, changes in and direction of leadership, linking mechanisms to facilitate the flow of information, and dispute resolution mechanisms. Controlling for institutional context and outcomes (i.e.,

successful as defined by being in existence and having collaborative objectives), which certainly influence the collaborative process, this research is an attempt to go into the "black box" of the dynamic concept of process to document what institutions and people must achieve to collaborate at the integrated level in which these CJVs are today. Conducting a comparative case study analysis will allow me to research three unique CJVs and document the collaborative process in which each organization is engaged to compare and contrast across cases.

The research design is intended to be flexible. Even though a conceptual framework has been constructed with which to examine the collaborative process, space for modification is necessary (Yin, 1994). Given new information or discoveries, modification of theory is enabled through a flexible research design. The factors of influence selected for this study are based in the organizational behavior and higher education literature and serve as a starting point.

Pilot Studies

The methodology for this dissertation research project was informed by previous work I conducted with colleagues at the American Council on Education. I also tested my protocol in a pilot study targeting a CJV within the Ohio Five.

The Changing Enterprise Project

In 2002, the American Council on Education (ACE) launched the Changing Enterprise Project which was supported by contributions from Accenture, The Goldman Sachs Foundation, and Petersons, a Thomson Learning Company. This project focused on the entrepreneurial strategies and strategic partnerships developed by regionally accredited, traditional two- and four-year degree-granting institutions (the majority institutional type among ACE member institutions) that aimed to generate new revenue streams via instruction. These activities were defined as those that may target to students not previously served by the institution (or institutions), and most likely to utilize information technologies.

The effort had three objectives: 1) to assist presidents and chief academic officers, trustees, and faculty leaders, as well as policy makers to understand the variety of these new activities and their management and governance challenges by mapping the various

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approaches and identifying key strategic issues associated with their development and maintenance; to understand the extent to which these activities enhance or impinge on the social purposes of colleges and universities; and to identify the salient questions regarding launching and sustaining these activities and understanding how institutions deal with them.

The Changing Enterprise Project comprised two phases. I was most involved in the first phase, which was a two-year ACE initiative to map and analyze the new directions colleges and universities were pursuing to capitalize on their teaching and learning activities in response to increased competition, globalization, and changing fiscal realities. Special attention was focused on the management and governance issues associated with these new directions. The project examined the potential benefits of these new strategies and their possible threats to core academic values such as institutional autonomy and academic freedom, as well as these activities' impact on the public service role of institutions. The project consisted of a comprehensive mapping exercise and case profiling to illuminate the issues surrounding these emerging strategies. The second phase focused on the cross-border activities of US institutions abroad with the intent of developing a deeper understanding of this emerging trend and of the key issues leaders must consider. It consisted of a mapping exercise and profiles that illuminated the issues around this strategy.

The work yielded several ACE (Eckel et al., 2003; Eckel, Hartley, & Affolter-Caine, 2004; Green & Eckel, 2002) and journal publications (Eckel, 2003; Eckel et al., 2003) and book chapters (Eckel, 2006). Informed by this work, I utilized the terminology and operational definition proposed by ACE and the Changing Enterprise Project of curricular joint ventures. I also framed my research questions and study from the knowledge and experience I gained from conducting the environmental scans of academic collaboration among traditional colleges and universities, and the profiling from case study analysis conducted for the project and subsequent publications.

The Five Colleges of Ohio

The Five Colleges of Ohio is a consortium founded in 1995 with the support of the Andrew W. Mellon Foundation and is comprised of the following colleges: Ohio Wesleyan University, Oberlin College, Kenyon College, Denison University, and the

College of Wooster. The consortium is a focal point for ongoing, constructive conversation among people at the five institutions about issues and opportunities of mutual concern, such as providing comprehensive foreign language programs in vulnerable and emergent areas. For example, three of the five colleges have collaborated around Arabic by sharing an Arabic instructor the past several years. This person visits each campus throughout the semester, teaching class each week at one campus while the other campuses are live linked to the class via information technology. The consortium is also a source for established trust and understanding, which the participants believe will provide the foundation for programs that will enhance the member institutions, stimulating bonds among the institutions. They also challenge the status quo in terms of how they might collectively achieve institutional goals better than if they were to independently pursue common programs of interest. The consortium also provides a forum for the Presidents to initiate public dialogue about consortial innovations and the value of a liberal arts education, but as the Denison President noted, collaboration cannot be done in isolation from top administration, but it must also actively involve faculty.

Stated purposes of the Ohio Five consortium include: fostering closer cooperation and understanding, coordinating operating functions and administrative services, developing collaborative academic programs and resource sharing, and enhancing quality while reducing individual and collective operating and capital costs. The first collaborative project was initiated by three of the five members in 1995 with funding from the Andrew W. Mellon Foundation to collaborate across their libraries to create CONSORT, a joint library system and catalog. Today all five members collaborate across their library systems and several other service areas, including sharing information resources; training environmental health and safety personnel and physical plan and custodial services personnel; joint licensing of academic software; risk management for cooperative emergency preparedness, employment practices, insurance, and loss prevention; videoconferencing for teaching, faculty seminars, interviews, meetings; and a consortium Website (www.ohio5.org) with links to general information, library reports and policies, program descriptions, and employment openings.

Academic programming, such as the shared Arabic instructor noted above, has developed more slowly and as needed by faculty members of individual member

institutions with support from their respective administrators. The foreign languages have been common areas of collaboration in the academic arena. This was the focus of my inquiry to test my interview protocol.

I interviewed seven people over three days. I started with a consortium administrator by phone, and then met face-to-face with the five professors and one administrator who agreed to meet with me for a pilot study in Granville, Ohio on the Denison University campus.[4] The duration of each interview ranged from 45-60 minutes, which provided me adequate time with generous and open interview subjects to test my interview protocol. During the interviews, I noted the relevancy of each protocol question and provided better possible question construction for the information I was seeking and potential probes. After each interview, I made notes about the information culled by each question in order to frame a case of collaboration in the Ohio Five's Arabic language program context. I compared these notes with audio recordings of the interviews to determine how well each question solicited the information needed to create case studies of the three sites for my dissertation. I made the appropriate changes to the semi-structured interview and used it as a guideline for the case study interviews.

Case Selection

In this study, the collaborative process is situated within each CJV, which is an activity within an established consortium. Each consortium is comprised of multiple higher education institutions which are influenced by internal and external pressures because these organizations are open systems (Katz & Kahn, 1966) and resource dependent (Pfeffer & Salancik, 1978). Therefore, the collaborative process is embedded within an institutional context where internal and external pressures exert influence on structures and behaviors. These pressures also shape the collaborative process.

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[4] Informants included the following administrators and faculty from Denison University in Granville, Ohio: President Dale Knoebel; French Professor and Former French Language Program Chair, Charlie O'Keefe; French Professors Christine Armstrong and Judy Cochran; German Professor Gary Baker; Language Department Chair and Professor Eduardo Jarmillo; and Instructional Technologist Cheryl Johnson. Susan Palmer, Administrative Director, The Five Colleges of Ohio, Kenyon College, Gambier, OH was also very generous with her time and offered helpful insight into the organization and operations of the Ohio Five Colleges in context with other curricular joint ventures, including the Claremont Colleges, the Five Colleges, and Sunoikisis.

Common Organizational Contexts

In order to isolate the analysis of collaborative processes across organizations in consortia, a set of organizational contexts were commonly identified across the cases. These include institutional type, size, prestige and wealth, curricular focus and success status of inter-institutional consortia, and CJV discipline.

Institutional Type and Size

A number of independent college CJVs includes large public institutions. The majority, however, include just independent colleges. Moreover, participation in CJVs is often preceded by membership in a formal consortia relationship.

Focus and Type of CJV

Each of these cases represented different CJVs and variations upon similar types of CJVs. For instance, many were quasi-competitive in that member institutions attract similar student populations and offer similar programs and services. A few others were not competitive directly either because they targeted varying student markets with different programs, and/or their relationships were vertical in nature with students from one member institution often moving into another member institution for further study (lower division to upper division and undergraduate to graduate). A number of CJVs reflect traditional consortia or associations, while others are entirely new constructs of collaboration. The purposes of collaboration for CJVs also varied – some intend their collaborations to control costs while offering their students greater academic opportunities, while others intend to capitalize on institutional strengths while minimizing their academic and geographic weaknesses.

Success Status

Studies indicate that joint ventures have a failure rate of 30-61 percent, and that 60 percent of joint ventures failed to start or faded away within five years (Osborn & Hagedoorn, 1997). The implication of this high failure rate, particularly in the early stages of collaboration, is that CJVs that have been operating for a long period of time, or at least longer than five years, and have institutionalized collaborative structures and steady streams of revenue, should be regarded as stable and relatively successful. Therefore, CJVs had to have a history of collaboration longer than five years and their

host consortia had to have some formal policy agreement for collaboration and revenue stream to support the multitude of collaborative activities.

Vulnerability of Discipline

Selecting for CJVs in vulnerable disciplines is a means of controlling for collaborative motivation. The assumption is that faculty members and their institutions engage in collaboration within these fields because it is a means of sustaining viability.

Comparative Factors

As a proxy for variability across CJV life cycles, organizational integration and geographic proximity of partner institutions have been selected for comparative purposes.

Geographic Proximity

Some CJVs are association-driven across large regions, while others are located in tight geographic proximity. Among the latter, many CJVs are driven collectively by economic, social, and cultural pressures unique to their geographic locations. To this they state their desires to collaborate together to respond to these pressures in order to drive their local economies and better their social and cultural environments. This is the motivation, but this study is intended to explore the *impact* geographic proximity has on the collaborative process.

Geographic proximity affects the process of collaboration in several ways. Theories of interpersonal attraction are based on the dynamics of individual similarity and proximity (Nahemow & Powell, 1975). In other words, individuals associate with one another and form dyadic relationships when they are in close enough geographic proximity to facilitate face-to-face interactions that support discovery of common ground and interests. Much of the literature in this area is focused on measuring proximity in human organizations, such as university campuses and dormitories (e.g., Kahn & McGaughey, 1977; Priest & Sawyer, 1967), apartment complexes (e.g., Nahemow & Powell, 1975), and office buildings (e.g., Monge & Kirste, 1980; Schutte & Light, 1978). More sophisticated studies have emerged throughout the last two decades to expand the dynamic construct of proximity to include the multitude of opportunities for face-to-face interactions between individuals, such as visiting a common area (e.g., copy room) in the course of a work day and the interaction of multiple face-to-face occurrences with different people in a network effect (e.g., Monge, Rothman, Eisenberg, Miller, & Kirste,

1985). Some studies control for these "roommate effects" or social distance in order to measure reciprocity of interpersonal attraction based on similarity of individuals, such as sex and race (e.g., Kenny & Lavoie, 1982; Worthen, McGlynn, Solis, & Coats, 2002).

Face-to-face interaction is more or less possible depending on geographic proximity. In tightly clustered CJVs, interaction between individuals may involve a short walk. In moderately clustered CJVs, interaction between individuals involves a short drive or bus ride. For widely dispersed CJVs, face-to-face interaction requires long car trips or air travel. All collaborations utilize technological means for communication such as telephone, email, and even video-conferencing, but the further apart individuals are, the more collaboration hinges on technology.

Level of Integration

Level of integration was chosen as an indicator of organizational design along an evolutionary lifecycle (e.g., Cameron & Whetten, 1981; Contractor & Lorange, 2002; Ernst, 2003; Hartley, 2003; Jawahar & McLaughlin, 2001; Lado et al., 1997; Quinn & Cameron, 1983) or continuum whereby collaboration becomes more integrated and institutionalized between institutions as familiarity and experience enable development of stronger relationships and trust (Gulati, 1995) over time (Holmqvist, 2003).

Integration is defined as the degree of coordination between institutions for the purpose of pursuing collaborative curricular activities. This definition is based on an outsider's perspective of how integrated a CJV is as derived from published organizational maps, memorandums of understanding, and breadth of curricular offerings – both in number and type. The magnitude of collaboration varies in written text, which is the CJV's self description, and in terms of structure is evident in academic programs (Ernst, 2003). With respect to the type of curricular offerings, the assumption is that the greater the number of collaborative curricular offerings, the greater the level of integration across member institutions. Similarly the more complicated the curricular offering (courses, degrees, and departments), the more integrated the member institutions and individuals. The premise is that a higher level of integration is regarded to administer greater numbers and greater complexity of programs.

Population

The scope of the study was confined to three case studies looking at CJVs among just private liberal arts colleges and universities. This restriction was intended to focus research attention on the motivations of a unique sector of the higher education industry.

Many curricular joint ventures were identified through a combination of electronic search tools and communication with members from the higher education community. Information on a series of relevant CJV characteristics (i.e., size, member institutions, collaborative programs offered, disciplinary areas, scope of collaborative activities, founding, stated purpose for collaboration, governance structure, geographic region/location, contact information) was collected through electronic sources and contact with CJV personnel. Selection of sites for comparison was based on the following set of criteria:

1. CJV member institutions include private liberal arts colleges and universities in the United States;
2. The CJV must have at least two participating institutions at the time of data collection;
3. The CJV must offer collaboratively designed and/or delivered courses, certificates, or degrees in either a vulnerable discipline (defined above) or emerging field of study;
4. Variability of geographic location across selected sites and geo-spatial proximity among member institutions;
5. Member institutions must be willing to be researched and open to the researcher.

Based on this information, I assessed perceived positives and negatives associated with each CJV as a potential site for study, using these perceptions to narrow the number of potential sites to seven: Sunoikisis; The Claremont Colleges - University Consortium (CUC); Five Colleges, Inc.; Tri-College University; Colleges of Worcester Consortium, Inc. (CWC); Lehigh Valley Association of Independent Colleges (LVAIC); and the Colleges of the Fenway (COF).

Each of these represented different CJVs and variations upon similar types of CJVs. Many were quasi-competitive and horizontal in nature while a few were non-competitive and vertical. A number of CJVs reflect traditional consortia or associations,

while others are entirely new constructs of collaboration. The purpose of collaboration for CJVs also varied – some intend their collaborations to curb costs while offering their students greater academic opportunities, while others intend for their collaborations to capitalize on the strengths of each institution while limiting their academic or geographic weaknesses.

To determine which sites offered the best opportunities for a cross-case comparison, attention was given to a set of primary and secondary criteria. Primary criteria consisted of the following characteristics: geographic proximity (dispersed, close, closest) and level of integration (low, medium and high). Geographic proximity is defined as the distance between member institutions to one another. Some are dispersed enough to restrict easy face-to-face contact, such as the members of the Sunoikisis, which are spread out across the United States and require extensive travel. Others are close enough to walk to partner institutions' campuses, such as the Claremont Colleges where all the campuses are adjacent to one another. Level of integration is defined as the degree to which curricular activities traverse institutional boundaries and require interinstitutional coordination across people, departments, and administrative units. It is measured by the size of formal organizational design constructed to execute interinstitutional curricular activities.

Figure 3. Primary Selection Criteria of Case Sites: Geographic Proximity and Level of Integration

Geographic Proximity

		Closest	*Close*	*Dispersed*
Level of Integration	*High*	The Claremonts		
	Medium		The Five Colleges, Inc.	
	Low			Sunoikisis

Secondary selection criteria included age of the CJV – start dates vary: 1925 (Claremont Colleges), 1965 (Five Colleges), and 1994 (Sunoikisis) – and geographic location (Northeast, West, and South). The purpose of the secondary criteria was to ensure a diversity of institutions in terms of local student markets, position along life cycles and experience that leads to organizational learning.

Description of Cases

The three selected sites include the Claremont Colleges in Pomona, California; the Five Colleges in Amherst, Massachusetts; and Sunoikisis, which include partner institutions throughout the United States with two central administrative organization locations (Texas and Michigan). Each case is special in its ability to illuminate specific issues related to inter-institutional academic collaboration among private liberal arts colleges and universities.

The Claremont Colleges have existed as a CJV for decades, are tightly bound geographically with adjacent campuses, and are leveraging their unique academic relationship to establish inter-institutional degrees, programs, and departments across disciplines, including vulnerable disciplines and emerging areas of study. This CJV also has the greatest degree of integration.

The Five Colleges are also tightly bound geographically and have a long history of collaboration, beginning with the collaboration involved in creating a new institution – Hampshire College. To date they have numerous inter-institutional programs and whole departments, but they do not have the kind of infrastructure that facilitates integrated collaboration to the same degree as the Claremont Colleges.

Sunoikisis, originally organized and supported by The Associated Colleges of the South, is now administered by National Institute for Technology and Liberal Education [NITLE]. It is just beginning to emerge as a CJV in its effort to establish a collaborative program in the classics. To date only a few member institutions are directly involved in the collaborative effort, but all members may utilize the evolving program. Sunoikisis is unique from the other two selected sites in that participating institutional and faculty members are distributed across a large geographic region that covers the entire south of the United States.

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The Claremont Colleges

      The Claremont Colleges include seven private liberal arts institutions – five undergraduate and two graduate institutions – collectively serving 6,500 undergraduate and graduate students and employing 3,300 faculty and staff. They are tightly clustered geographically in eastern Los Angeles, California. Member institutions include the following: Claremont Graduate University, Claremont McKenna College, Harvey Mudd College, Keck Graduate Institute of Applied Life Sciences, Pitzer College, Pomona College, and Scripps College. There are also three affiliated colleges and universities, but it is unclear at this stage what entitlements of membership they enjoy. While some members could be quasi-competitive, others serve as a type of pipeline between undergraduate and graduate, giving the CJV a vertical shape in addition to its horizontal relationship among the undergraduate institution members.

      The Claremont Colleges originated with Pomona College in 1925, growing with new additions throughout the 20th Century, and was incorporated in 2000 as the Claremont University Consortium – a nationally recognized model for academic, student, and institutional support. They share a budget of $34 million and collectively engage in collaborative activities in both administration and academics. Administrative collaboration is focused on institutional support services (i.e., campus safety, central library, health and counseling services, ethnic centers, central bookstore, physical plant and facilities support, payroll and accounting, information technology, human resources, real estate, risk management and employee benefits). Academic activities reflect those closely associated with traditional consortia, such as cross-registration (2,500 courses annually), as well as with CJVs, such as joint departments and degrees, and intercollegiate programs.

      Joint programs exist in German, philosophy, American studies, media studies, modern studies, Native American studies, religious studies, and science technology and society. An entire joint science department also exists, offering degrees in biology, chemistry, and physics. Intercollegiate programs exist in Asian American studies, Black studies, theater and dance, Chicano studies, the core program in Humanities, Women's studies, and the Classics. Collaborative academic activities include several joint

programs. Instruction is face-to-face, which is easily accommodated across adjacent campuses that share facilities.

Their level of collaboration is self-described as "a mid-sized university cluster of small colleges." The Claremont Colleges collaborate extensively in terms of the large number and diversity of intercollegiate programs, degrees, and departments that currently exist. They come close to being "one institution" in the governance structure of their traditional cross-registration system where cross-registration credits are awarded from students' home colleges. Degrees are also conferred by students' home colleges regardless of which institution or institutions offer the program. Safeguards exist, however, to protect against unfair advantages, and the potential for problems associated with free riding. A formula exists within a constitution for cost-sharing and cautionary measures to limit imbalances among members.

The Claremont Colleges aspire to enable the "collective endeavors of the member colleges to achieve more than the sum total of individual efforts" by being an educational and intellectual center. Their mission is to demonstrate "how the advantages of a small college…and the advantages of a university…can be combined…to build a notable center of learning" (Bernard, 1982; as cited in *Strategic plan (abbreviated)*, 2002, p. 7).

The primary drawback to selecting this site as a case study is the challenge inherent in collecting data on so many programs, departments, and activities, not all of which are "threatened disciplines." While accessibility is nearly assured, it is difficult to identify individuals with whom to interview for information. Such a highly evolved collaborative could be too dense to study and present multiple complications when making sense of collected data.

On the positive side, it is a well-known collaboration and clearly represents an established CJV, which contrasts well with those not so evolved. Collectively the participants express understanding of the benefits of collaboration and sensitive to the costs. In terms of logistics, all campuses are easily accessible in time and space. And as a starting point for data collection, the centralized staff of the Claremont University Consortium offers opportunities for further data identification and inquiry.

The Five Colleges

Five Colleges, Incorporated, was established in 1965 to "promote the broad educational and cultural objectives of its member institutions" (Five Colleges, 2003). The consortium grew out of a successful collaboration in the 1950s and 1960s among four of the member institutions – Amherst College, Mount Holyoke College, Smith College, and the University of Massachusetts Amherst – to create the fifth – Hampshire College, which opened in 1970. Membership consists of one public flagship university and four selective, private, liberal arts colleges, two of which are women's colleges, one is experimental, and all are selective. Collectively the Five Colleges have been collaborating long-term to promote and administer activities that benefit staff, 2,200 faculty members, and over 26,000 undergraduate students, including shared use of educational and cultural resources and facilities (e.g., joint automated library system, open cross-registration, meal exchange, and open theater auditions), joint departments and programs, and inter-campus transportation.

The academic activities of the Five Colleges include establishment and administration of joint departments and programs, joint faculty, and joint teaching and learning activities (e.g., symposia, field trips). These joint departments and programs and their joint faculty appointments across member institutions provide opportunities to "enable institutions to introduce specialized areas of study into the curriculum and to experiment with courses in new or emerging fields" (Five Colleges, 2003). There are two inter-institutional departments – Astronomy and Dance – and one consortium fellows program - Five College Science Education Fellows. There are several centers that represent collaborative activities in developing courses and whole programs, including the Center for East Asian Studies, Center for Crossroads in the Study of the Americas, Five College Center for the Study of World Languages, and Five College Women's Resource Studies Center. There are also numerous certificate programs, which are similar to earning a minor, and special interest programs in both classic liberal arts and emerging disciplines: African Studies; Arabic (one instructor); Asian/Pacific/American Studies; Coastal and Marine Sciences (pending approval at Amherst); Culture, Health and Science; Early Music Program; Film/Video Production; Geo Sciences; International Relations; Latin American Studies; Logic; Middle Eastern Studies (pending approval at

Amherst); Native American Studies (pending approval at Amherst and UMass); Peace and World Security Studies; and Russian, East European, and Eurasian Studies. Other cooperating field projects include architectural studies, philosophy, art history, community based learning, East Asian studies, French, and performance studies seminar.

The five member institutions are closely tied geographically, which aids logistical issues for both students and faculty and promotes greater familiarity through increased face-to-face interpersonal contact among collaborators at each member institution. Perhaps the greater connection, however, is a common mission. According to the mission statements of each institution and the Five Colleges, Incorporated, all members are committed to the liberal arts and to undergraduate education.

Sunoikisis

Sunoikisis is a distance-based CJV of faculty and courses in Classics departments. It was created with members of the Associated Colleges of the South (ACS), which is a consortium comprised of 16 member institutions across the southern region of the United States, and is now administered by the National Institute for Technology and Liberal Education (NITLE), which includes institutions across the United States. NITLE has a central office in Ann Arbor, Michigan and a technology center on the campus of Southwestern University in Georgetown, Texas.

Given that the move from ASC to NITLE occurred in the middle of data collection, the main focus of this case will focus on the original member institutions, but will also include recent planning and organizational restructuring activities of expanding to include similar institutions across the country. All members are relatively selective independent colleges serving liberal arts niches that are distinct from one another in some instances, but overlap in others. The original member institutions include the following: Birmingham-Southern College, Centenary College of Louisiana, Centre College, Davidson College, Furman University, Hendrix College, Millsaps College, Morehouse College, Rhodes College, Rollins College, Southwestern University, Spelman College, Trinity University, University of Richmond, University of the South, Washington and Lee University.

Competition among ACS members exists, but so too does a shared sense of understanding of what they do and who they are as independent liberal arts colleges and

universities. They share common principles, challenges, and assets. The mission of the ACS is "to make the case for liberal arts education and to strengthen academic programs of the member institutions" (http://www.colleges.org/mission/page1.html). One role the ACS has developed is advocacy, articulating to various public constituents the nature, role, and impact liberal learning plays on individuals and society. Another role, and the one most relevant as a research case, is as a mechanism through which member colleges and universities can collaboratively create and build programs where impossible on an individual basis. In this role, member institutions engage in a cadre of activities that ultimately benefit students. Some of these activities fall within the areas of faculty development, information technology development, administrative efficiencies, and traditional consortia activities such as study abroad and interlibrary advancement. Their collaboration as an association has, however, been evolutionary with respect to academic activities. In 2007, Sunoikisis became a part of the National Institute for Technology and Liberal Education (NITLE) funded by the Andrew W. Mellon Foundation, which is a consortium of 93 private liberal arts colleges.

While not as well developed as programs from other CJVs, Sunoikisis is a collection of several collaborative courses in Greek and Latin offered as a summer seminar to students attending member institutions. It originated and is primarily coordinated by faculty members from Furman and the University of Richmond, and is sponsored by the ACS Technology Center – one of three component centers of the NITLE. Courses are delivered in a team-teaching format by faculty from participating institutions through a combination of face-to-face and Internet-supported teaching and learning. Credits are listed and given by students' home institutions regardless of the origin of the course, with the exception of archeology, where credits are awarded by the provider institution and transferred to the home institution.

ACS is also developing the Orpheus Alliance, which is experimenting in collaborative music courses that are shared among faculty and supportive activities, such as joint concerts and conferences. The ACS Archeological Program consists of a collaborative online course, Archeology 111, which has now been offered seven consecutive years and prepares students for the accompaniment of field study in the summer. The ACS is also looking to extend their collaborative efforts into other key

academic areas, such as teacher education and women's studies, through their "New Dimensions Initiative," also funded by the Andrew W. Mellon Foundation. To date expansion of these academic programs has been served through sharing of resources and knowledge electronically and during conferences. Progress has stopped short of development of a collaborative course or program.

The Sunoikisis program is currently in its second year of a three-year evaluation process with external evaluators. I have made contact with several people involved in the program, including Sunoikisis faculty and NITLE support staff. They offered full cooperation and support, and encouraged me to select them as a site for study. There are, however, a number of negatives associated with selecting Sunoikisis as a case study. Sunoikisis does not yet offer whole programs online, nor market to students outside of those already attending member campuses. They look a lot like traditional consortia with just a technology twist. And studying this case presents a logistical challenge in that current members are spread out across a large geographical region encompassing twelve states, and potential members are spread out across the nation.

The positives associated with studying this case include their commitment to liberal arts education while focusing on developing supportive technology – reconciling liberal arts education principles with new information technology. They fit in an early stage on a continuum of coordination and collaboration relative to comparative cases as their level of collaboration evolves through their continued development of academic programming. Members represent a diversity of institutional types, including several historically Black Colleges and Universities (HBCUs) and single sex institutions, while also sharing common principles and backgrounds, such as their affiliations with Protestant churches, most of which are Methodist, Presbyterian, and Congregational. They are working together, becoming more competitive collectively, as opposed to opportunistic behavior driven by interinstitutional competition to fulfill their missions as liberal arts institutions. Opportunistic behavior can negatively impact interinstitutional relationships, and ultimately erode trust.

Data Collection

Data was collected for this study from multiple sources. Multiple sources are a way of "cross-verification" of the data collected (Anastas, 1999; Sommer & Sommer, 2002). Multiple approaches to data collection are a means by which to increase the validity of the research by providing a system of "checks" to the researchers' and observers' potentially biased accounts (Anastas, 1999; Sommer & Sommer, 2002). Obtaining several lines of sight or vantage points provides the researcher with a more comprehensive and substantial picture or view of the reality of the situation or phenomenon (Berg, 1989), and allows the researcher to pinpoint particular aspects of the phenomenon with greater accuracy (Anastas, 1999; Sommer & Sommer, 2002).

The multiple sources of data were collected for analysis through institutional documents (those that are available publicly and internally); research about the institutions as contained dissertations, journal articles, and institutional histories; and in-depth semi-structured interviews with personnel and managers of each organization.

Documents

Documents that provide information about the historical, economic, social, curricular, administrative/governance, and geographic aspects of the curricular joint venture were collected from published and institutional materials (available through the Internet and through site liaisons). The information contained in these documents helped to establish the environmental and institutional contexts for each case. This context was necessary to get a sense of the identified and potential threats and opportunities, and the representative internal and external pressures that apply to each case. Data available through these documents shaped the interview protocol prior to collecting interview data during site visits and also guided analysis of interview data in the construction of the case reports.

Interviews

To collect data about the more dynamic aspects of process, in-depth semi-structured interviews were conducted. The interviews were semi-structured to gather in-depth information from a wide variety of participants even though consistency across subjects is limited (Sommer & Sommer, 2002). The semi-structured interview form is more adaptable for a cross-section of participants than a structured interview, and will

yield more in-depth information from a variety of interviewees within each of the two organizations, even though consistency across subjects will be limited (Sommer & Sommer, 2002). Each interview was structured on a basic protocol template, but probes were used to pick up on issues relevant to the particular site and informant, and therefore the interview process was therefore loosely structured and highly tailored to the informant and his/her position. (See Appendix C for interview protocol). While there is a greater risk of interviewer bias to the semi-structured interview (Sommer & Sommer, 2002), the advantages of gathering data beyond the surface layers of information outweigh this risk for this study.

Given the emergent roles outlined by Nadler and Tushman (1997), such as idea generators, champions, gatekeepers/boundary spanners, and sponsors, organizational success relies on the skills and interests of a small group of essential people – an estimated 5 percent of employees. This implies that the organization of curricular joint ventures may consist of a relatively small cadre of representatives from each member institution, or perhaps just from a set of member institutions whereby there is disparate levels of participation across institutions. Some of the individuals interviewed were readily identifiable based on their positions as publicized in CJV literature or websites. Several of these people, regardless of what particular role they play within the CJV (idea generator, champion, gatekeeper/boundary spanner, or sponsor), served as research liaisons who enabled e to gain access to the CJV and identified less publicized but important people who are integrated and valuable to the collaborative process. This technique, known as snowballing, is one that can be employed once contact is made and continues throughout the site visit.

A cross-section of members from each organization was targeted for interviewing. The purpose of this triangulation of interview subjects was to access a level of institutional memory individuals were likely to have about the transformational process. As an example, all administrators that have played, or continue to play a substantial role in the CJV and its governance were interviewed. A few administrators and faculty who have participated in the CJV on some level from the individual participating institutions also were interviewed. I worked with a liaison from each site and relied on their working knowledge and contacts for an initial list of interviewees and legitimate access. From

these individuals, I employed a snowball technique to identify and access additional interview subjects.

By interviewing those individuals closely involved in the operation of the CJV, information about linking mechanisms, sources of leadership, communication, dispute resolution mechanisms, development of common purposes, and regular engagement and participation of each partner in the curricular collaboration was solicited for analysis as to each factor's influence on the collaborative process. A few other factors were identified in the data collection process, such as rings of proximity, and included in the analysis. Informants

Across the three sites, 30 people were interviewed with roughly the equal numbers distributed across the three sites. (See Appendix E for a listing by case.) These people were primarily faculty members and consortium staff, but also included several chief academic officers.

Analysis

Content analysis is an objective coding scheme that can condense and systematize the depth and volume of data collected (Berg, 1989), and was used to analyze the case study data consisting of documents and transcribed interviews. As written data, these are suitable for content analysis, for which the validity is increased from the use of multiple sources (Sommer & Sommer, 2002).

The interview data was transcribed into written text. Using Atlas qualitative analysis software, I coded the interview data reading carefully for themes that address 1) governance structures (rigid versus flexible), 2) external and internal forces or pressures, 3) formal and informal linking mechanisms, 4) institutional and interpersonal resources conducive to and weaknesses in conflict with interinstitutional collaboration, 5) experiential learning at the institutional and interpersonal levels, and 6) evolution or adaptation of the interorganizational relationship related to age of collaboration, geographic proximity across campuses, and geographic location in the United States. Subscribing to a limited form of grounded theory in the analysis whereby themes may emerge from the data irrespective of *a priori* assumptions (Strauss & Corbin, 1998), I also searched for themes both previously identified in the conceptual framework and

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themes that were important to respondents or were repetitious. Furthermore, these emergent themes in the analysis of the data take into account rival explanations as a means to increase the validity of conclusions (Yin, 1994).

This coding of data was utilized to build individual case studies independently from the others, resulting in three models of interorganizational collaboration. Then I conducted a comparison of themes across the cases to seek construction and testing of an emergent conceptual framework that fits all three models.

Individual Case Analysis

Data analysis was divided into three steps. The first step was to build the background narrative of each case. The second step was to examine the dynamic aspects of the collaborative process within each case. The third step was to compare across cases.

To build the background narrative of each case, a thorough review of all publicly available documents from each CJV was reviewed to create detailed descriptions of corresponding institutional contexts. These contexts included information about institutional missions, structure, curriculum expertise, staff, available resources, culture and competitive environment. The holes in these contexts were filled by contact with a staff member at each institution and/or review of any historical, cultural, or curricular accounts in the research literature (i.e., journals, biographies, dissertations). A written contextual description of each CJV was used to determine the variations in the level of integration, controls for similarities in institutional type (small, private, liberal arts colleges and universities), mission, available resources (infrastructure, faculty, endowments), and competitive environment (semi-competitive), and provided information about staff involved in the CJVs, curricular strengths or expertise, cultural quirks, and governance structures. It also provided a foundation from which to collect interview data and reach into the more dynamic factors of collaboration. This information served as the basic structure for the case narrative.

Utilizing the interview data, a theme analysis was conducted using methods consistent with those prescribed by (Miles & Huberman, 1994). These included clumping or grouping of common aspects or themes across interviewees within each case. Identification of exemplary themes or aspects that were significant in the process of

collaboration within each case was included in the case narrative. The intent was to build a theory about interinstitutional collaboration in a core activity: teaching and learning.

Cross-Case Analysis

The cross-case analysis consisted of comparing common themes or aspects utilizing the case narratives of each CJV. Differences related to geographical proximity and level of integration were the basis for such comparisons, but evidence of other influential factors also was analyzed as appropriate.

The first step in the cross case analysis was to utilize the five behavioral and structural constructs used for analysis in each case and look for similarities and differences. (See Appendix H.) The next step was to parse out the assumptions embedded in the independent variables, geographic proximity and level of integration, and compare with the findings across the five constructs, and then to observe and report the variability across cases based on these two variables.

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Limitations

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While there is no one way or consensus for dealing with validity and reliability in qualitative studies (Creswell, 1994), there are a number of methods researchers can employ to strengthen the internal and external validity and reliability of a qualitative study.

Internal validity, which refers to the accuracy and legitimacy of the information being described, interpreted, and evaluated, is addressed in part through triangulation of informants (Anastas, 1999; Berg, 1989; Creswell, 1994; Krathwohl, 1998; Sommer & Sommer, 2002). Therefore, this study used multiple sources of data that were triangulated to strengthen the internal validity of the data and analysis.

External validity in qualitative research is measured not in terms of the generalizability of a study's finding to other cases, but instead as analytical generalizability, which allows the findings to be generalized to theoretical propositions in place of other similar cases (Yin, 2003). Multi-site studies also increase the generalizability of findings across multiple settings (Krathwohl, 1998). Therefore, three separate cases are used in this study, which theoretically increases the traditional notion of generalizability to other similar cases, and the conceptual framework is drawn from the

literature and applied to each case and the cross-case comparison of collaborative processes.

Reliability, or the ability of other researchers to replicate a study, is similarly difficult in qualitative research (Yin, 2003). To address this issue, the data collection and analysis procedures are documented in this study and all data is stored for future use.

CHAPTER 4

THE CLAREMONT COLLEGES

"We really need to work together to keep each other strong, which is like a family…the strength of the whole is probably determined by the strength of each of the campuses."
Director of Advancement, Claremont University Consortium

As an older consortium with many different joint ventures in administrative, student and academic services, the Claremont Colleges have a long history and established formal and informal structures and processes that promote and support collaboration. Established as the American version of Oxbridge (Duke, 1991), the Claremont Colleges have institutionalized collaboration through experience and tradition in networks for sharing information, mechanisms for linking people and activities, and methods for resolving conflict. This context is unique among the three cases studied in this research project because the relationships between the Claremont institutions resemble those associated with families. The Claremont Colleges have been bound together since their charters and will continue to be bound together indefinitely because of their geography, culture, organizational assets and competitive advantages derived from membership in the Claremont Consortium.

The Claremont Colleges as individual institutions are dependent on scarce resources, as are many organizations (Pfeffer & Salancik, 1978), but as members of a consortium, they are resource interdependent. Consistent with the literature on sources of competitive advantage within single firms (Barney, 1991; Oliver, 1997) and collaborations (Dyer & Singh, 1998; Gulati et al., 2000), their resource interdependence is a source of competitive advantage individually and collectively.

Their interdependence on resources expands across the four basic types of shared resources outlined by Aldrich (1975) – personnel, information, products and services, and operating funds – in addition to a particularly important resource for higher education institutions, prestige (Slaughter & Leslie, 1997). Collectively the consortium's

organizational capital (Barney, 2002) is the value-added for members and contributes to the competitive advantage (Peteraf, 1993) of each individual institution. Together their organizational capabilities (Nadler & Tushman, 1997) form a competitive advantage that is unique in the industry and particularly difficult to replicate by other private liberal arts colleges and universities because of its family-like context, which implies that their brand of competitive advantage is sustainable (Barney, 2002; Oliver, 1997). Linking these intangible resources enables them to have a sustainable competitive advantage (Hall, 1993; Hoffman, 2000) over their competitors in the higher education market.

Chapter Overview

This chapter presents data on the collaborative processes experienced in the intercollegiate German program within the uniquely integrated Claremont Colleges consortium. The chapter is divided into four major sections – a synopsis of the curricular joint venture (CJV) in German, the historical background and organizational context of the CJV, and a detailed analysis of the CJV's collaborative processes[5] and related activities. This last section links data from the case to the five dimensions outlined in the conceptual framework: axes of synergy (engagement and participation; collaborative behavior; developing common purposes, mission, and vision); leadership (changes and direction of); information flows; linking mechanisms; and dispute resolution mechanisms. The purpose of examining this case is to frame the collaborative processes imbedded in a highly integrated consortium.

Synopsis

In the Claremont Colleges model of consortia, curricular collaboration occurs primarily at the grassroots among the faculty. Faculty, along with their respective academic deans or provosts, control and manage curricular decisions for their own campuses and collaborate with their counterparts across campuses when engaged in curricular joint ventures. There are times, however, where collaboration is promoted from the top or executive level through organizational design and changes in processes,

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[5] There are multiple processes operating within a single CJV because of the complex context of multiple institutions, individuals, and hierarchical levels.

suggesting a bi-directional approach (Nadler & Tushman, 1988, 1997) to collaboration (Eckel, 2003).

The intercollegiate German program is staffed by faculty from Scripps College and Pomona College. German faculty members operate as a de facto intercollegiate department, meeting regularly and making decisions typical of fully-established departments. Consortium members have agreed on common major and minor requirements for German. Majors can choose from more than 50 courses per year in various subject areas. The major can be completed with emphases in the Humanities, Social Sciences or Literature. The German CJV operates within the context of the Claremont Colleges, which is a collection of institutions that are paradoxically similar and dissimilar in terms of their institutional characteristics and interests, governance structures, organizational cultures and perspectives. These competing factors are sources of paradoxical tensions (Bouchikhi, 1998) that permeate the consortium's environment and impact collaborative behavior (De Rond & Bouchikhi, 2004).

Several organizational structures, processes and individuals (Nadler & Tushman, 1988, 1997) at multiple hierarchical levels fit together to balance (e.g., Galbraith, 1973, 1977; Katz & Kahn, 1966; Leavitt, 1965; Van de Ven & Drazin, 1985; Weick, 1979) internal tensions across member institutions through collaborative behavior that is consistent with the dominant philosophy of the consortium – we are better together than apart. These network resources (Gulati, 1999) support collaboration by linking people, organizations, and processes. One such linking mechanism (Nadler & Tushman, 1997) is the Claremont University Consortium, which is a central collaborating organization for the consortium. The Claremont University Consortium functions primarily as a facilitator of services across the Claremont Colleges, but is not integrated into academic planning. It therefore, is not discussed in this case except when its activities impact academic collaborative processes, such as when it plays host to meetings that serve as opportunities for connections among people and their respective sub-units, facilitating the flow of information via relationships (Gersick, Bartunek, & Dutton, 2000; Smith et al., 1995).

Each institution is autonomous in terms of their administrative apparatus (e.g., boards of trustees, presidents, deans, development officers, admissions and financial aid offices). Each determines independent institutional missions and cultivates their own

expertise in the liberal arts college sector. They do, however, have the ability to rely on one another to build capacity in key areas in order to concentrate resources on development of core competencies in discrete areas and disciplines. The structures that enable this pursuance of core competencies via interdependent behavior and resource reliance include the Claremont University Consortium for student, academic and institutional services, geography for physical capacities, and cross-registration for curricular programs.

Descriptive Summary

The overarching reality for institutions, programs and individuals collaborating within the Claremont Consortium is that they are much like a family. The family metaphor is borrowed from the individual respondents themselves who unilaterally used common terms, concepts, and quotes about family to describe their collaborative framework. To be consistent with how Claremont members view themselves as family, familial terms and concepts are used to describe the collaborative process in this case study, a metaphorical lens of sorts to describe the case (Morgan, 1986).

Family is defined in the dictionary (Oxford University Press., 2005) as "a group of people or objects related to one another – coming from the same stock, descending from a common ancestor, or united by a significant shared characteristic – and so to be treated with a special loyalty or intimacy." They are a family for better or worse with no options for divorce. "It's some rivalry sometimes. We're all a big family. We all get along, but you know we don't have to be perfect" (Claremont McKenna College Dean of Faculty). This context impacts the collaborative behavior of each consortium member. The implications of this reality are that the academic collaborative process in this consortium is unique when compared to those found in other, less integrated and bound consortia. "You know what Tolstoy says about family?[6] We're just like one." (Professor of German Language at Pomona College).

Some of these family relationships can be characterized as close or good, while

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[6] "Happy families are all alike; every unhappy family is unhappy in its own way." Leo Tolstoy, Russian mystic & novelist (1828 - 1910), in *Anna Karenina*, Chapter 1, first line (2006). Much has been written about Tolstoy's attitudes about family, and while there may be no academic agreement, the common understanding shared by the respondent is that happy families are the expectation whereas the unhappy family is more common.

others are similarly distant and poor. These relationships can be consistent or dynamic, transforming over time through experiences and changes in contexts (e.g., finances, market competition, and personnel). Like in most families, individuals can take advantages over others with few consequences, but there is always forgiveness (if not forgetting). This aspect may be unique in consortia and particularly in this case because they have been and will continue to be indefinitely tied together.

Claremont University Consortium

The domain of academic collaboration belongs to the institutions, but collaboration is assisted by the Claremont University Consortium. Their structure for collaboration in the services[7] provides frequent and consistent opportunities for leadership at various hierarchical levels across the campuses to develop interpersonal relationships with their respective counterparts. These relationships become the basis for all interactions – evolving over the life cycle of the collaboration (Jawahar & McLaughlin, 2001; Mintzberg, 1984), strengthening with good experiences and deteriorating with bad experiences (Holmqvist, 2003). Each level of leadership meets nearly once a month for service-related business. Based on these interactions, deans, presidents and others have a springboard of familiarity on which to launch additional conversations outside of Claremont University Consortium business. Collaboration is easier among trusted and familiar partners (Gulati, 1995).

The Claremont University Consortium exists to coordinate services, but its role impacts curricular areas, particularly as a conduit for interaction among decision makers. One Claremont University Consortium executive described her role as one that serves the institutions by bringing people together for a collective purpose, "Someone has to try to be the glue. Someone has to be the one to try to keep people talking to each other, working together for common goals."

The Claremont University Consortium is in a rather precarious role with regard to the institutions they serve. It is a separate entity and performs a role that is much like that of a traditional "mother" in a family – making sure everything operates smoothly behind the scenes, but is only when things fail to be done properly. The role it plays, with

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[7] Student, human resources, maintenance, and information technology services are included.

permission of their Board of Overseers,[8] adds value to the campuses by working on behalf of the whole consortium rather than individual institutions. As a linking organization, Claremont University Consortium administrators are most interested in reaching consensus among members and attaining goals and objectives through collaboration. Referring to fund raising for a shared student services building, the Claremont University Consortium Director of Advancement said, "I don't really care who gets to count it…as long as it gets done."

The Claremont Colleges

The Claremont Colleges aspire to enable the "collective endeavors of the member colleges to achieve more than the sum total of individual efforts" by being an educational and intellectual center. Their mission is to demonstrate "how the advantages of a small college…and the advantages of a university…can be combined…to build a notable center of learning" (Bernard, 1982, p. 7). Collectively they have been able to turn their interorganizational relationship into a sustainable competitive advantage (Powell et al., 1996). It is *sustainable* because of the permanency of their existence and binding structures and associations.

The Claremont Colleges have a linear history in that the consortium is comprised of institutions that were founded chronologically – one after another – throughout the 20th Century. Like a family, each new member was created as deemed necessary or desired by the same set of parents, or in this case, funders and overseers. The Claremont Colleges originated with the Claremont Graduate University – a university devoted entirely to graduate education – and Pomona College in 1925, followed by Scripps – a women's college – in 1926. The two undergraduate colleges – Pomona and Scripps – much like the parents of the Claremont University Consortium – then collaborated to give birth to three more undergraduate institutions with curricular foci that reflect the high national priorities of the times of their charters. Claremont McKenna College was founded in 1946, originally a men's college that has since become co-educational, focused on economics, government, and public affairs. Harvey Mudd, a coeducational institution that emphasizes engineering, science, and mathematics, was chartered in 1955 and opened in

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[8] The Board of Overseers consists of the presidents and chairs of the boards of trustees of the seven Claremont Colleges, the Chief Executive Officer and seven to eleven at-large members.

1957. Pitzer College opened in 1963, to offer an alternative liberal arts education focused on social, environmental, and political issues.

Even though each institution is autonomous in terms of governance and institutional ambitions, collaboration is a constant. Their level of collaboration is self-described as "a mid-sized university cluster of small colleges," and they come close to being "one institution" in the collaborative governance of many types of services (e.g., libraries, facilities, and payroll) and academics. Aside from cross-registration, the five undergraduate colleges, or "Five Cs" as referred to by students, faculty and administrators, collaborate extensively in academics through numerous intercollegiate programs, degrees, and departments, such as the German program.[9] (See Appendix D.) They coordinate with one another to ensure that each campus can specialize in particular disciplines and rely on the others to cover courses in disciplines that comprise a traditional liberal education for students. Direct academic activities are the domain of colleges.

There are, however, limitations to these structures, some of which are formalized by being embedded in policy and procedural documents and agreements, such as the limitations to cross-registration for students. Others are informal and rely on the practice of courtesy and respect among individuals and their respective institutions. For example, if one institution finds itself in need of an extra classroom or gymnasium, it has access because of a well-established courteous working relationship. These limitations alleviate issues related to asymmetric resources across the Five Cs and ensure fairness in collaborative endeavors.

Asymmetric resources contribute to an imbalance of prestige and power across the institutions, which impacts how collaboration is done within the consortium of institutions. "There are prestige and money, and then even staff. So some of them may have a louder voice," noted one Claremont University Consortium administrator. While they all vary at times in terms of resources and act accordingly, Pomona College is "so far out of the pale as far as their reputation and their national position" (Claremont

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[9] Cross-registration credits, including those offered through intercollegiate programs, are awarded by students' home colleges. The same is true of degrees. If a student majors in a program offered by a college other than her/his own, their home college awards their degree as though the program was offered on the home campus.

University Consortium Administrator). Resource asymmetries create competing interests across resource dependent organizations (Pfeffer & Salancik, 1978) and have implications for institutional identity and collaborative behavior (Maxwell, 2005; Osborn & Hagedoorn, 1997).

Curricular Joint Venture: German

The German program is not a formally recognized intercollegiate department at the Claremont Colleges, but it serves the German language needs of students across the Claremont Campus. German faculty have been collaborating for a several decades across the Claremont Colleges, but today fewer German faculty remain – two and a half FTE at Pomona and the two FTE at Scripps. They behave collaboratively and serve as a de facto intercollegiate department to provide a full German program.

Consistent with open systems theory (Katz & Kahn, 1966), endogenous and exogenous factors have affected collaboration, over time, at the German program level. The endogenous factors relate to the turnover of the German faculty through hires and retirements. Much of the conflict that characterized the collective group of German faculty diminished when older faculty retired. Also, two campuses – Claremont McKenna and Pitzer – eliminated faculty lines in German, which increased the enrollment demand for German faculty at Pomona and Scripps. The exogenous factors include world events that have contributed to dwindling demand for German among pragmatic students and corresponding re-appropriations of institutional resources typical of resource dependent organizations.

A Rocky Road

Faculty and administrators have had to adapt to declining student demand for the study of German. Individual faculty have pursued alternative institutional strategies, including seeking outside resources to make German more viable across the curriculum, exploiting unique means for staffing, and increasing collaboration to pursue greater efficiencies. Over time the magnitude of collaboration and related processes evolved, resulting in continued viability for German and interpersonal harmony among faculty.

When the German program had more faculty members from more campuses, there was a looser cooperation than at present. Pomona had its own program while Scripps, with just two German faculty members, collaborated with the other campuses on

courses almost exclusively at the upper division. There were a lot of difficulties in the beginning. "Just to get us around the table and to agree on certain things. And I think it evolved over the years. And right now I think we have a good - a very good collaborative system." (Scripps Professor, of German Language). Over time, the German program got smaller and more efficient, especially via interdependence – a pre-collaborative expectation (Gray, 1985, 1989) that can be realized over the life cycle of collaboration (Contractor & Lorange, 2002; Ernst, 2003; Jawahar & McLaughlin, 2001; Lado et al., 1997; Mintzberg, 1984; Osborn & Hagedoorn, 1997) by pooling intangible resources (Bailey & Koney, 2000; Dyer & Singh, 1998) and interorganizational learning (Holmqvist, 2003; Powell et al., 1996).

Today opportunities (or necessities) for greater collaboration are open because of Pomona's interdependence in German. Pomona works with Scripps because they "have to," they rely on one another to provide a full German program. Roswitha Burwick, professor of German at Scripps College, who has experienced the changing dependence with Pomona over time, said,

> We at Scripps, you know we always had to go down to Pomona or CMC and always needed somebody to help us because we can not teach the full program with two people. So we always had a bigger need for cooperation, while they didn't. But now it's at the point where we both need each other.

The dependence of the Scripps German program on Pomona and Claremont McKenna motivated the faculty to collaborate with their Claremont colleagues. Today the Pomona German program is motivated by the same dependence on Scripps such that they are interdependent with one another to provide a full German program to students at Pomona and Scripps, as well as across the Claremont Colleges.

When faculty lines were not renewed at Claremont McKenna and Pitzer, leaving just the faculty at Scripps and Pomona to maintain a full German program, Scripps and Pomona faculty lobbied their respective deans of faculty to persuade the deans at Claremont McKenna and Pitzer to hire new German professors to replace the retiring professors. The Claremont McKenna and Pitzer deans were not persuaded, but a compromise of sorts was made whereby Scripps would hire a new professor along with Claremont McKenna (the faculty members would belong half-time to each campus). The arrangement worked well until the existing tenure process, which did not define

procedures and protocol for shared faculty appointments between two colleges, resulted in a split decision whereby Scripps awarded tenure and Claremont McKenna did not. Procedures for such a situation were nonexistent in written form and lacked precedent. In the end, Scripps improvised and took the faculty member on full-time – not an ideal situation, but a necessary adaptation to maintain a complete program.

Changing circumstances and the scarcity of available resources forced German faculty from Pomona to change how they collaborated with the faculty at Scripps. One German professor articulates the implications for the remaining faculty, "If you want to have a good program that functions well… then we have to sit around the table and say that this is our program and we have to collaborate, and that is what we did." In order to retain the viability of the German program, they consistently engage in program planning together and rely on one another to provide courses that are vital to a full program. They also now refer to one another for collegial support in teaching and learning, faculty hiring, and departmental lobbying of their deans for resources.

This adaptation extends beyond the faculty to their administrators who have learned how to look to one another in making strategic resource allocation decisions, such as in hiring faculty in German. For example, given the relatively small German faculty, an additional loss could be devastating to the integrity of the whole German program across all the institutions, and they have legitimate reasons to worry about additional cuts. Several years ago, the Pomona German and Russian department applied for a renewal of position vacated by a Pomona faculty member who went on sabbatical and never returned. The faculty planning and advisory committee made a positive recommendation to the dean and president, even though enrollments were low. Knowing that the German faculty collaborated with Scripps, the dean took the recommendation outside Pomona to confer with the dean of faculty at Scripps. Learning that Scripps had added two German courses, he concluded that a third FTE tenure track appointment was not necessary at Pomona. This is a model of collaboration at the dean level to coordinate resources. The German faculty members were, of course, disappointed.

> So that is where our voluntary cooperation that was never formalized or institutionalized hurt us because the dean knew that there were other German entities out there and that we work together well and he went outside, worked at it and came back and we lost that position. (Pomona Professor of German)

The German program chair articulates how informal faculty collaboration can have negative implications from the program's perspective in terms of a reduction of institutional resources; however, from the institution's perspective, this informal collaboration has a positive implication in terms of enabling the institution to conserve scarce resources. These conflicting perspectives create an atmosphere of competing values and ever-present tensions between faculty and administration, particularly around the institutionalization of collaborative efforts that have been voluntary.

The Pomona German Chair protested the dean's decision, but to no avail. Since this decision, changes have been made in the Pomona faculty handbook to describe the faculty committee as not strictly advisory in nature, clarifying that it has some decision making powers. Also the college will look across the Claremont campuses to see what other faculty and resources are in place as Pomona positions come open to take that into account in its own decision making.

> So in a sense, that opened up the intercollegiate cooperation to a more balanced and integrated view than we had had before, where it was random. You could choose to do something – or not to look at something. In the case of German, [the dean] did. (Pomona German Professor and Chair)

The institutionalization of faculty-initiated and voluntary collaborative efforts presents opportunities and challenges for faculty as they strive to maintain or grow their share of institutional resources. German did not benefit from this more uniform institutional approach to resource allocation given collaborative activities across the Claremont Colleges, but certainly other programs have gained from the coordination of deans across the Claremont Colleges to allocate resources to their collaborative endeavors.

This is how the deans got together for the first time to make things integrated. It set a precedent, and while this is not the norm for deans, occurring only about 10 percent of the time as estimated by one dean, it provides the means for greater integration through collaboration and less duplication of resources. They also changed formal processes for the faculty committee in the faculty handbook to enable greater collaboration to occur, which is consistent with the literature on academic restructuring to meet institutional imperatives (Gumport, 2000). Changing organizational design is the deans' lever for meeting resource scarcity and dependency needs of their institutions (Galbraith, 1973, 1977).

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The reality that both faculty and deans are adapting to facilitate collaboration through the means available to them suggests a bi-directional approach to collaboration and leadership consistent with Nadler & Tushman (1988) and Eckel, Affolter-Caine, and Green (2003). Bi-directional collaboration creates an environment in which leadership is shared (Denis et al., 2007; Mintzberg, 1984) and collaboration is supported. Deans working together to share faculty resources can have desirable effects for faculty when the result is the addition of faculty positions, but can be less so when there is a greater consolidation of faculty resources. As one German faculty member said, "It is a double-edged sword."

In response to continued decline in faculty resources, Pomona has cultivated faculty resources for German in unique ways. First Pomona professor Hans Rindisbacher shares the role of German program chair with Roswitha Burwick (alternating turns) and also serves as the chair of Pomona's German-Russian program.[10] His position enables him to gather much information about the languages and about Pomona, and to establish connections with Pomona administration. The information and connections can thus serve the interests of the German program. For example, the Pomona languages faculty wanted to hire an instructional technologist with Spanish language expertise. The best person for the job had a German language specialty and thus can aid the German program by teaching and supplying German colleagues with exceptional teaching resources. Similarly the Director of the Oldenborg Center, Pomona's language house for students serving the language practice needs of the Claremont Colleges through daily language tables, an open cafeteria, and lecture series, has a Ph.D. in German. As a result, Pomona and the intercollegiate German program have an additional faculty resource if needed.

The German faculty at Pomona and Scripps have not only pursued alternative strategies for faculty staffing to counter the challenges posed by declining student demand and resources, they have changed the way in which they collaborate with one another. The evolutionary aspect to these changes in strategy and collaborative behavior are consistent with theories of adaptation across the life cycles (Cameron & Whetten, 1981; Jawahar & McLaughlin, 2001; Mintzberg, 1984) of strategic alliances (Contractor

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[10] This latter position is mirrored by two other such chairs: one for the Romance Language Program and one for the Asian Languages Program.

& Lorange, 2002; Ernst, 2003; Lado et al., 1997) and higher education institutions in particular (Cameron, 1984; Hartley, 2003). Similarly individual institutions evolve and create alternative strategies.

An Uncertain Future

Today the German faculty work well together. The reasons for this relative continuity and harmony include not just a long working history, but also complimentary personalities among the combined faculty with the collective will and ability to strike a balanced fit. The work of Del Favero (2005) on the existence of embedded differences as a function of variable cultures of discipline among deans, and by extension departments suggests that these personal attributes may be specific to faculty in a foreign languages discipline, but this was not found to be true in this case.

The German program, while always collaborative, was characterized by intergenerational conflict and tensions. Also, individuals' experiences in German programs at other institutions were markedly different. One professor at Pomona noted that her experience at a similarly small, selective liberal arts college like Pomona was less cooperative and sometimes difficult. She suggests that the difference is one of individual personalities, not disciplinary culture, and credits her German colleagues, "I think we all get along well."

One significant challenge for German is managing enrollment figures – important metrics for allocation of institutional resources, but sometimes messy in a system that supports a large volume of cross-registrations. Predictably, an appropriate system for counting enrollments from cross-registrations is vitally important to the program's survival through securing legitimacy and necessary resources. The German faculty members want to count majors from the other schools, especially since they are teaching and advising these students from the time they first enroll. One German professor describes the problems. "They are our students. Once they come here and do German, they are our students. We are investing a lot of time and energy in them, and they are not counted."

Administrators from the institutions are equally concerned about maintaining fairness in a free cross-registration system. Cross-registration – a core component of

academic collaboration at the Claremont Colleges – certainly has benefits to students and institutions, but also carries the potential for negative externalities and even abuse. Some campuses are net importers of students while others are net exporters. These imbalances – both real and perceived – drive a cyclical discussion among presidents, deans, faculty, and students concerning the need to institute safeguards. Institutions do not want to tamper with the free-trade of students to cross-register, but there are cultural and strategic reasons to attempt to impose some regulations. "The issue really is that completely free trade and unrecognized imbalances create and make a mockery of strategic academic planning… and create perverse modes of growth that lay hidden" (Pomona Dean of Faculty).

Institutions work to line up enrollments that are "fair" to students and institutions in high-demand courses that leverage institutions' core competencies. Courtesy is an important lubricant for managing enrollment and willingness to demonstrate a good faith effort through sacrifice is a particularly valuable currency among collaborators. These behaviors fall into the category of psychological aspects of collaboration that are not well understood in the empirical literature (Robson et al., 2006). Language courses are the testing ground for enacting "fair trade" of students and it occurs without the interaction of the Claremont University Consortium. Currently, there is much interest among the presidents to expand the system of transferring funds back and forth for cross-registration, even though the system is not perfect.

The Pomona Dean of Faculty mused that a good way to improve strategic planning and scheduling might be to put a dollar figure on the seat. Students would not pay higher tuition and Pomona would not receive the funds from their sibling institutions, but the funds from the imbalance of trade might be used to create a central fund for strategic academic planning, which could be used for the libraries – a central service. "I don't think Pomona needs to profit from its balance of trade, but I do think [it important] for the colleges to recognize that they're not meeting their own needs."

A formula for cost-sharing and other cautionary measures to limit imbalances among members exists within a constitution. A few limited examples of their use exist, including the introductory languages where payments follow registrations and are exchanged across campuses. Periodically additional institutional policies are conceived

and/or implemented to reduce imbalances – sometimes at the individual institutional level (e.g., capping class size, opening more sections), and sometimes at the inter-institutional level (e.g., joint faculty appointments, price per seat in introductory languages). Much "like trade data" (Claremont McKenna College Dean of Faculty), the all-registrars council utilizes the Common Enterprise System to track students, enabling the deans to manage enrollments more equitably. Both the Claremont McKenna and Pomona deans noted that this new tool (a super-excel sheet from the registrars) enables them to track cross-enrollments – something that was not easily done before the new system.

The CEO of the Claremont University Consortium, however, cautions that the institutions in their efforts to develop fairer free-trade policies must take into consideration the nuances within vulnerable programs, like German. "In some cases, like German, if you shut that off, you'll kill the program. It only survives because of cross-registration." She notes that if cross-registration can be manipulated by encouraging or discouraging cross-registration, and if money changes hands to follow the students, cross-registration becomes "an economic good."

Analysis

The process of collaboration within the Claremont Colleges' context is analyzed through the five basic constructs as outlined in the conceptual framework above: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms. These behaviors and mechanisms operate to alleviate constant interinstitutional tensions derived from competing values.

Autonomy versus dependency or interdependency and reciprocity versus free riding are particular tensions or competing values specific to the Claremont Colleges' context because they relate to asymmetrical resources and institutional interdependencies. The member institutions vary in their value of interdependency versus autonomy when considering academic offerings. They are particularly sensitive to free riding by their sibling institutions while they value reciprocity.

Engagement and Participation

Institutions and their faculty and administrators are engaged and actively participate in collaboration to varying degrees. The variation is dependent on several factors – requirements of a collaborative endeavor (i.e., create something new or willingness to sacrifice), the adaptability of the group to navigate change, and personal attributes of individuals.

The CEO of the Claremont University Consortium found that the nature of the collaborative endeavor had much to do with the degree to which institutions were engaged and willing to participate. Projects that were initiatives to create something entirely new experienced greater collaborative success because there was less of a need for sacrifice.

> It underscores one of the greatest challenges of collaboration…it is so much easier to come together around something new than it is to give anything up. And that is the fundamental principle we have learned the hard way. It is very, very hard to give up the way you are doing something. And that's what we've found. (Former CEO of the Claremont University Consortium Brenda Barham Hill)

The collaborative processes associated with projects that required institutional sacrifices through of sharing resources and changing the status quo have been characterized by incidents of rule-breaking, opting out, and conflict at the Claremont University Consortium -level.

Consistent with the literature on organizational adaptation over life cycles (Cameron & Whetten, 1981; Jawahar & McLaughlin, 2001; Mintzberg, 1984) in higher education (Cameron, 1984; Hartley, 2003) and strategic alliances (Contractor & Lorange, 2002; Ernst, 2003; Lado et al., 1997) German faculty members have adapted their behavior and structures in order to accommodate the many challenges from outside the Claremont Consortium and from within their own institutions, but *how* they were able to adapt is related to personal attributes. Inherent in the adaptability of the German program are the personal attributes of individual faculty members, who navigated change successfully. "We have fun together" says one German professor. As an indication of how well the current group works together, one new German professor says, "When we're together, it really feels like we are one department."

One particular valuable characteristic of individuals is their willingness to sacrifice in terms of time or goals. One German professor acknowledges this attribute through greater interdependencies among German faculty, "It was collaboration and you know, I have to give up something of my own."

Institutions exhibit different collaborative behaviors based on their institutional ambitions, resources, and experiences with other institutions (Bailey & Koney, 2000; Gulati, 1999; Holmqvist, 2003). Four of the undergraduate colleges are interdependent, but Pomona is self-sufficient, primarily because they have the most abundant resources as the oldest, wealthiest, largest, and most prestigious of the Five Cs, and because they choose to be competitively oriented outside of the consortium to other elite liberal arts colleges.

> Pomona sees itself as being in two consortia - a physical one, the Claremont Colleges; and a mental one that the administrators are running in everyday, if not the faculty. The mental one is made up of Swarthmore, Amherst, Williams, Carleton…the elite. They are self-sufficient. And so we are self-sufficient, because of them. (Pomona Dean of Faculty).

Pomona's institutional perspective and ambitions impact their collaborative behavior. For example, Pomona retains its self-sufficiency instead of leveraging opportunities for creating and strengthening interdependencies with the other Five Cs as an institutional strategy to compete at the elite level. This is not the chosen institutional strategy of Pomona's sibling institutions, which have exploited interdependencies to share scarce resources while developing core academic competencies on par with major universities. This competitive advantage is in wrapping these competencies in the context of traditional liberal arts colleges. The differences that exist as a result of these differing institutional strategies create several problems.

First Pomona struggles with competing values related to its institutional ambitions and its role and responsibilities within the Claremont consortium as it engages in collaboration and competition. This is consistent with the literature on competing values framework (Quinn & Cameron, 1983; Quinn & Rohrbaugh, 1983). The asymmetries of resources and autonomy present serious challenges to collaboration (Bailey & Koney, 2000; Ernst, 2003; Gulati, 1998) but as the Pomona Dean of Faculty notes, Pomona continues to ask itself what the value of the consortium is to the institution – the "value-

added" – and what Pomona can offer to its sibling institutions. It recognizes a de facto position of leadership among the Five Cs because of their abundant resources and prestige, but like the older sibling, it can be difficult to tend to family or consortium issues in light of individual ambitions. For example, the Pomona Dean of Faculty expressed frustration that the other members of the Five Cs continue to be interdependent on one another and Pomona, "I often have regrets that they're not more independent, that they have outsourced to each other so many core areas of their academic programs."

The second problem related to competing values at the institutional and consortium level is the creation of negative perceptions that impact change. Given Pomona's dominant position, other members of the Claremont Colleges' family question its commitment to the Claremont Consortium philosophy that "People have to try to work well together to keep the whole healthy and viable" (Claremont University Consortium Administrator). This perception drives the belief among Pomona's sibling institutions of the need to engage in a balancing act. One Claremont University Consortium administrator said,

> That's another little dance, a little balancing act with Pomona that's been there for a long time. I don't think that's anything new either because it's been around the longest. It makes a difference that it has been around the longest, but also it is affluent.

The cognizance of asymmetrical resources among the other Claremont Colleges compared to Pomona impacts institutional behavior as they strive to balance competing interests and tensions across institutions.

The other institutions look to Pomona not just for leadership and support, but also for prestige and competition. Unlike Pomona, which has a locus of peer[11] that is predominantly outward looking, the other Five Cs have a predominantly inward-looking locus. In other words, they look to each other as a means of assessing their competitive stock. All the Claremont Colleges track their U.S. News and World Report rankings as one metric of their prestige, keeping abreast of what other top 25 liberal arts colleges are doing to attract students and raise their educational quality; however, all but Pomona regularly look inward to their sibling institutions for metrics of competitiveness, using

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[11] Locus of peer refers to the source of identified peer institutions for an organization.

their rankings to compare with one another. Claremont University Consortium administrators, Pomona and Scripps faculty, and the Claremont McKenna dean all noted how Claremont McKenna is getting closer to Pomona in the rankings, and acknowledged a closure in a long-standing prestige gap. To use a sibling analogy, Claremont McKenna is like the younger brother who has pride and receives greater status because of his relationship with Pomona, the big and successful brother, but also covets the time when he will surpass his brother in a competitive endeavor.

Developing Common Purposes, Mission, and Vision

The value of the consortium waxes and wanes among its members, depending on current events or initiatives, institutional identities and ambitions, availability of scare resources, and individuals. The philosophy of family – knowing that they are "all in it together" like a "family" is common across the institutions and is one factor that sustains their collaboration. The former CEO of the Claremont University Consortium said that the attitude people share that "we are here together" enables deans and presidents to work together without the need for a mediator.

The permanency of togetherness is a difficult reality at times because the institutions differ below the blanket consortium identity in terms of their institutional identities and cultures, missions and visions, and ambitions and behaviors. The common thread across the campuses is a "first rate education," and a common core is cross-registration. "That's the core of Claremont, that of the students' experience of being able to move across and interact across the campuses." (Brenda Barham Hill, CEO of the Claremont University Consortium)

The institutions differ in terms of resources – the asymmetry of which can, at times, be the source of conflict for both the haves and the have-nots (De Rond & Bouchikhi, 2004). Regardless, this reality is accepted because their common geography, history, and institutional integration and inter-reliance are constants. "It is a tightrope walk sometimes…but it's just the landscape…It's one of the things that you have to overcome and move forward." (Pomona Dean of Faculty). The end result is that they each can harbor and exhibit a unique identity and culture, but also come together under a more dominant culture and identity (Smart & St. John, 1996) – that of being a member of the Claremont Colleges. As one Scripps professor said, "We are first Scripps, and they

are first Pomona. And then we are doing this other thing together." And the agglomeration of prestigious institutions with unique identities and resources creates a set of network resources (Gulati, 1999) that benefit all. The Pomona Dean of Faculty said, "It is value-added" for institutions sharing resources and students to experience a diversity of courses, interests, and classmates.

Institutions are invested in maintenance of their identities. Campus stereotypes are strong, and are reflected among students, faculty and administrators. This is not problematic to collaboration as long as the identity is healthy and congruent with a collaborative relationship with the other campuses where the espoused cultural values match behavior (Smart & St. John, 1996). For example, ownership of students in terms of teaching and mentoring them is not contingent on from where the students come, but instead depends on the program and classes in which students are enrolled. The Claremont McKenna Dean of Faculty noted that "we all have stereotypes for where our kids are, but the fact is that there are talented people doing all sorts of different things is great, so just bring them on." The dominant culture (Smart & St. John, 1996) of the Claremont Colleges – a first rate education – permeates institutional boundaries, flowing through an open system (Katz & Kahn, 1966) of consortium.

The German faculty has developed a common purpose for their existence with a common vision for what a German program should be, and this common purpose is consistent with the dominant Claremont culture and attitude toward students. For example, even though students have strong institutional identities and stereotypes, the German faculty – whether from Scripps or from Pomona – view all students who come to them as their own. One professor described the German faculty's attitudes towards other students, "Whatever they need - we treat them like a Scripps student or a Pomona student. They are welcome." The German faculty members write letters of recommendation for these students and direct their theses. The faculty members also work the registration system for students. "If it is a problem, we just get on the phone and find out."

Their common purpose and vision have been forged through necessity as the department shrunk in size and became more vulnerable as a program. In a community with few members, each individual – and particularly the leaders – must be willing to

trust others to fill in for them (Gray, 1985). This affects teaching and learning relationships between faculty and students, and collegial relationships between faculty members.

The best and most recent example of faculty interchange is in the hiring of the newest Pomona faculty member. Scripps faculty members in the intercollegiate German program were able to step in for their Pomona colleagues to hire a new faculty member (non-tenure) in an emergency situation. The alternating Scripps German program chair, Roswitha Burwick stood in for her Pomona chair colleague on a Pomona College hire by serving as a German faculty member on the faculty search and hiring committee, lending her expertise in teaching German and knowledge of the operations of the de facto intercollegiate German program. The new faculty hire ended up being of such high value that she has been retained for tenure-track.

Pomona and the German Chair allowed this because they were not only in need, but also because they had faith and trust in their German colleagues at Scripps. This beginning made an impression on the new faculty member, Friederike von Schwerin-High.

> The two actual German experts were from Scripps. …That interview already showed me how interconnected these two programs were/are…because you know I was just talking to people from Scripps and it didn't seem to matter. They made the hiring decision when the colleague who would have to work with me was in Berlin, so I thought…that's a lot of trust.

The two German faculty members and alternating chairs from Scripps and Pomona remained in contact while the latter was on sabbatical, discussing the Pomona faculty hire within the understood needs of the intercollegiate German department. This would not be possible without a shared vision and common purpose for the department that set the parameters for a faculty hire at one campus.

This event also demonstrates how the right "fit" or balance of competing values and identity (independent institutions with autonomous identities competing with the reality of an interdependent vulnerable program with a collective perspective and Claremont identity) was adapted between Pomona and Scripps in the hiring of a Pomona faculty member (Cameron, 1984).

Changes and Direction of Leadership

The direction of leadership was dependent on the initiative of individuals. This is to say that position alone cannot determine the direction of leadership, but rather leadership flowed from individuals in various positions irrespective of positional power. Leadership is more aligned with personal passion and skills of individuals located at the top, bottom and middle of the traditional institutional hierarchical structures.

Examples previously discussed include individual faculty, such as Scripps Professor Roswitha Burwick. The competent leadership she exhibits is due not only to her experience and institutional knowledge, but also because of her willingness to mentor and fill in for her colleagues, engage in entrepreneurial activities, and work tirelessly on behalf of students, her colleagues, the program, and her college.

For example, Professor Burwick worked hard to support the German program's viability by increasing the relevancy of German across the curriculum. She secured a grant and spent many hours institutionalizing the program at Scripps and with colleagues in the intercollegiate German department. Her efforts yielded benefits to the department by increasing student interest in Germany and enrollments, although the program was not sustainable long term beyond its original funding. She continues to use her own time supporting students who wish to utilize the program.

As reported by her German colleagues and the Scripps Dean of Faculty, she has worked hard – above and beyond her role and duty – to make German more viable and relevant at the Claremont Colleges. No one in the German program believes Professor Burwick the individual nor her output as a particularly skilled and hardworking professor can be easily replaced. "No person of this younger generation will do what she has been doing. She has lived and breathed that job and that college too so far beyond the call of duty." (Pomona German Professor and Chair).

Professor Burwick has served in another dimension of commitment, one that is unreasonable to expect others to duplicate and unlikely that institutions will pay for. Replacing Professor Burwick, the person, may be an impossible challenge; but regardless of whether or how she is replaced, there are implications for the vulnerable German program in terms of continued strength and viability.

The Pomona Dean of Faculty has also exhibited leadership among his dean peers. Part of his leadership is an extension from his position as an executive administrator at the de facto institutional leader – Pomona. This positional leadership gives him a baseline of legitimacy among his peers (Ferren & Stanton, 2004; Huxham & Vangen, 2000) – a reality he recognizes. Beyond positional authority, he utilizes his experience, skills and leadership style to demonstrate leadership among his peers.

Consistent with his self-identified leadership style, he has structured one-on-one personal meetings with his dean colleagues to facilitate the flow of information, a forum for conflict resolution, and a basis for collaborative relationships that will yield smoother collaborative behavior across the institutions (Alversson & Sveningsson, 2003). Referring to these one-on-one dean meetings, the Claremont McKenna Dean of Faculty expressed his appreciation for these breakfast meetings with the Pomona Dean of Faculty, who he saw as one of his greatest allies.

Linking Mechanisms

The first and foremost task in building and maintaining relationships is sharing information and trust.

> We always have a lot to talk about. We usually have a specific agenda. But even if we didn't, I think we need to maintain that ongoing contact to be at the level of trust that helps to pave the way for decisions or discussions of working together when the time comes. So that maintenance of those relationships. Because all of these campuses, even though they are part of the Claremont Colleges, they are competitors to each other in certain ways. So there are many strains that work against collaborative and cooperative efforts. (Director of Advancement for the Claremont University Consortium)

The factors that affect the degree of formality include number of participants and individuals' skills/abilities.

Size of a group is important to faculty and deans because fewer participants mean the group can reach consensus more quickly. Scripps Professor Roswitha Burwick identified a smaller number of institutional players as one of four factors that make collaboration easier. The other three include experience, time, and a younger generation that is more homogenous in terms of pedagogy and who know nothing other than collaboration – collaboration as status quo.

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This is particularly true in an open system with multiple autonomous institutions that collaborate at multiple levels. Pomona German professor said, "I haven't found it to be too terribly problematic. …Even with all these different schools, it is still a fairly small place. That may be the reason why…it seems to work."

Deans of faculty also described the value of small group meetings in addition to their regular full-dean meetings. The Pomona Dean of Faculty makes time to meet with each of his counterparts individually once a month for breakfast. They have the opportunity to discuss relevant issues and to solidify relationships. The Claremont McKenna College Dean of Faculty found that issues could be resolved and decisions made far more quickly with a group of only three or four deans, as is the case with the three deans who meet regularly to coordinate the sciences on their campuses, than it is with the full seven deans in attendance.

Critical to the development and maintenance of trust (a necessary factor for relationship development) is access to information. Multiple means of accessing information were used by individuals to keep updated, including traditional and non-traditional means. The traditional means are through regular council meetings of administrative or faculty counterparts. Informal means are through on-demand communication whereby individuals use telephone or email as the need arises.

Some individuals, like the Pomona Dean of Faculty who uses informal one-on-one meetings with the other deans, use socializing with colleagues as a means of passing information. Another informal means is just to keep one's head up and remain alert to new information throughout the workday. The Claremont University Consortium Director of Advancement said that she reads through Claremont University Consortium meeting reports/minutes, even those of groups with which she is not directly involved, in order to remain up-to-date. But some of her information seeking was "just keeping your ears open asking questions informally." She noted that the importance of this method of information seeking varies depending on the model of leadership – more important when information flows from the bottom up and less important when information flows from the top down. Others make a habit of following gossip: "we chase the grapevine," Claremont McKenna Dean of Faculty.

Being in close proximity is helpful in facilitating face-to-face interactions (the best kind for interpersonal development and relationship building/maintenance) at the Claremont Colleges. For many individuals, however, interpersonal relationships provide the means for exchanging information and support (Gersick et al., 2000), and are the foundation for engaging in collaborative behavior. Organizations, events and individuals who facilitate opportunities to build and sustain relationships, therefore, serve as linking mechanisms for collaboration.

For example, the Claremont University Consortium acts as a formal linking mechanism for students and administrators because it regularly brings together various groups (e.g., the presidents, deans, development officers). These meetings support the development of relationships that act as intersecting points in a network of information and peer-support. "Regular points of contact" are "key with all of them." Like all successful relationships, "You have to work at this because it is not going to happen without someone making this happen or setting it up." The bulk of the collaborative process is concentrated on developing, sustaining, and repairing quality interpersonal relationships.

Formal linking mechanisms for faculty include regular department meetings, which occur maybe once a month or less, and the occasional social gathering of a faculty group, which may occur only once a year. These formal mechanisms are insufficient to supporting the informal linking mechanism found in established interpersonal relationships that are sustained through frequent informal interactions. Members of the Claremont community noted that even though they are essentially on the same campus, the reality is that they rarely get together without a specific reason. Time – not geography – was cited as more of a barrier to frequent interaction. This may be, however, not as significant as rings of proximity to a pool of colleagues and peers.

Close proximity to peers influences positive collaborative behavior. These nuances can be described as "rings of proximity." Campus proximity was helpful for administrators in creating a collegial peer group to diminish the isolation of occupying an executive position. Close proximity of counterparts, particularly at the dean level, offers a cohort of colleagues that can break up the isolation. "I think being a dean at each college is absolutely the same." But having counterparts in such close proximity is what makes

"being dean at the Claremonts so enjoyable" and "different" than other liberal arts colleges.

The deans of faculty at Pomona and Claremont McKenna both acknowledged the value of having peer support so close.

> My peers are the other deans. …I have these colleagues who are doing the same thing that I'm doing. So it's wonderful to have the benefit of their presence here. I think the call to [Carleton] dean is a little more lonely, and it's forty miles from his Macalester counterpart (Pomona Dean of Faculty).

Getting together face-to-face and via telephone and email made their jobs far less lonely and provided an avenue for support in a demanding job. The Pomona Dean of Faculty said that the job of a dean of faculty does not differ from campus to campus in that it is "24/7", and "wonderful" and "exciting" to be dean at a small liberal arts college, but that being dean at the Claremont Colleges was "so enjoyable" and "so different than it would be at a Macalester or Carleton in a very personal sense" because of the close proximity of colleagues doing the same job and experiencing the same pressures.

There are a few natural linkages, including the Claremont University Consortium meetings that bring the deans together, but people have to also forge opportunities to meet with one another and develop relationships that will sustain people's need to lean on one another for support. These occur sometimes through social activities, and other times through a more systematic mechanism of interactions. All of these interactions are important meetings in a hybrid system of formal/informal communication. Some communication occurs on an as-needed basis via telephone or email, while much information is routinely communicated in once-a-month all-deans' council meetings.

Having people within close geographic proximity is not a guarantee that regular and frequent interactions will occur. The Pomona and Scripps faculty noted how much less they see of one another because they are in different buildings on different campuses, even though the distance between buildings is just five minutes by foot. "When you kind of sit back after the semester's over and you ask yourself how often you've seen or talked to somebody, it's astounding." (Pomona Professor of German Language). Faculty recognized their close geographic proximity as a value-added to their consortium; but they also seemed to acknowledge that geography is an asset they do not fully exploit. "I tell you, how rarely that happens. One would hope. One would wish, and then regret, but

we do it." (Pomona Professor of German Language). Email and telephone are the most frequently utilized tools for communication, although faculty expressed a preference for face-to-face interaction.

Close office proximity influences regular interaction and frequent collaboration among faculty. Pomona German Professor and Chair acknowledges that he sees far less of one German colleague than another simply because his office is adjacent to the latter, while the office of the former is at the other end of the hall. The latter enjoys the chair's full respect, but is seen by him far less than the other new faculty member because she is "down at the other end of the hall."

Alvesson and Svengingsson (2003) found managers emphasized the importance of informal chatting as a means of exchanging information and developing positive feelings among people (e.g., greater respect, visibility, and teamwork). This finding, coupled with the importance of collegial relationships for faculty's careers (Gersick et al., 2000) implies that frequent interaction and developed relationships benefit individuals by creating a positive working environment and collaboration by facilitating intra- and inter-campus information and collaborative behavior. The Pomona German program chair commented on his benefit of having close proximity and frequent interactions with the Language Technology Specialist and Instructor of German, "I'm always the first who knows about the new studies on the Internet, and he's all excited about that, then before everybody else knows, I know and we are a great cooperation."

Different rings of proximity impact faculty and administrators differently. The deans of faculty regularly crossed the campuses and made regular appointments to meet in their very busy schedules, whereas the faculty met less often with colleagues across campuses or even down the halls of their same buildings, interacting more regularly with colleagues in adjacent offices. These differences depend on availability of peers. A dean's existence is lonely in that each campus has just one, whereas faculty members find peers from a fairly abundant pool.

Dispute Resolution Mechanisms

Some mechanisms for dispute resolution are formal, but most are informal, created and operated by a group of individuals who collectively establish systems of resolving disputes and making decisions. Asymmetrical resources and power are realities

in consortia, but do not determine whether or not codified systems are needed and created. Of greater determination is the number of participants that encompass the whole of the Claremont community. The number of participants with competing missions and interests increases the likelihood that a formal system for dispute resolution and decision making is necessary.

In the Claremont family, the formal structure is in the hierarchy of the individual institutions and the protocol for communication across institutions. The deans of faculty serve as gatekeepers for their faculty and for the deans and faculty at other campuses. Gatekeeping serves an important role in the filtering and transference of information. For example, the imbalance of enrollments that occur via the cross-registration system is an issue of great importance to each campus. Imbalances have taken a toll on relationships in the Claremont family when a dearth of understanding or even trust exists between member institutions and individuals. A key factor in negotiating these issues in order to plan and implement a project or program is balancing competing interests and managing perceptions. These activities can be greatly enhanced by open access to information and a foundation of trust. The Claremont Colleges do this through regular points of contact and a gatekeeping mechanism between the deans that filter information through individual institutions before flowing across institutions.

Sometimes the formal structures alone are not sufficient to resolve conflicts. Instead a set of informal structures – relationships between key administrators and faculty, demonstration of trust and respect – smooth out the balancing of competing interests. For example, Claremont McKenna, concerned about limiting faculty-student ratios and maximizing their ability to perform well in national rankings related to rigor, limited course sections to 19, but opened more sections in order to accommodate student demand. The students, faculty and administrators perceived "capping classes" as a violation of the core Claremont fundamental of free trade of students.

The Claremont McKenna Dean of Faculty pursued a number of activities to resolve conflict and balance competing interests – or at least perceptions – by working with his dean counterparts one-on-one. He communicated his institutional objective for small class sizes but also his willingness to open additional sections. These commitments were communicated down through the other colleges by the deans, particularly with the

assistance and support of the Pomona Dean of Faculty. Concerns still persist, but the deans are working their available communication networks to change these perceptions.

In this case, perceptions were powerful in that they affected collaborative interactions among individuals. It mattered relatively little whether or not the negative perceptions are "real" or "misperceived." Instead, what becomes vitally important for the negatively affected institution is to control the damage and restore respect from the others. In the event that the perception is legitimate, then a change of institutional policy needs to take place and the effort communicated to outsiders. In the event of misperceptions, a number of actions need to occur: identification of the source of the misperception, discovery of facts that describe an accurate portrayal of the situation, and communication of this reality to outsiders.

Summary

Collaboration is a constant at the Claremont Colleges because of the purpose and way in which they were established by the same family of funders – to be the American version of Oxbridge (Duke, 1991). Having a common identity and mission – "We are all in this together" (Claremont University Consortium Director of Development) is important to collaboration. As noted above, "Everybody is in the sandbox" (former CEO of the Claremont University Consortium), even though "it's some rivalry sometimes. We're all a big family. We all get along," (Claremont McKenna Dean of Faculty).

Even with an overarching reality of collaboration and common "sandbox", internal conflicts compete for priority within institutions and impact collaborative behavior, and thus the magnitude of integration and collaboration. The degree to which institutions are interdependent is dynamic over time across the consortium and individual institutions. This magnitude is dependent on several factors that influence the collaborative process of the Claremont Colleges.

Asymmetries of prestige and resources, hierarchies of position and autonomy, and differences in institutional identity, peer networks and institutional ambitions create perceptions and realities that negatively impact collaborative behavior. Even though the institutions are bound together, they still can "opt out" of particular projects or programs, and influence the degree of interdependence between institutions. Institutional decisions as to the degree of interdependence and collaboration relate to internal struggles of the

institution and perceptions of themselves and their peers. Institutions struggle with competing values between institutional ambitions and the responsibilities and opportunities associated with greater interdependencies via the Consortium.

Perhaps the bulk of the collaborative process is concentrated on developing, sustaining, and repairing quality interpersonal relationships. As with any relationship, negative perceptions and/or experiences inhibit further collaboration. Giving something up presented a huge challenge for member institutions in each collaborative endeavor discussed. Brenda Barham Hill said, "[Sacrifice] underscores one of the greatest challenges of collaboration…it is so much easier to come together around something new than it is to give anything up. And that is the fundamental principle we have learned the hard way. It is very, very hard to give up the way you are doing something. And that's what we've found." Doing something new demonstrates a more open pathway to collaboration, as opposed to "giving something up." Starting from scratch, everyone can buy in without having to give something up and "deciding the best way to go" rather than protecting turfs.

Factors that positively influence the magnitude of collaboration include first and foremost – people. As noted consistently above, people with interpersonal skills, and knowledge of how to facilitate communication flows with personalities that enable them to balance competing interests are invaluable to collaborative efforts. Person after person said what makes the positive or negative difference is the "personality" of the people with whom they interact, such as in the case whereby trust and respect among the German faculty enabled Scripps professors to serve on the faculty hiring committee for a Pomona hire when the Pomona chair was on sabbatical.

Personal attributes were cited as critical factors in developing relationships (ability to resolve conflict and adaptability), but there are other factors as well, including rings of geographic proximity, information sharing, and size of group. Frequent face-to-face interaction, which is facilitated by physical rings of proximity between individuals in a peer group, facilitates more opportunities for developing and sustaining relationships between individuals. The greater access to information and peer council – the best technical resources for teaching German or the best way to address peer misperceptions of cross-registration policies – facilitate stronger relationships. And smaller groups of

people can promote greater collaboration by enabling people more direct interaction with fewer distractions associated with a larger group.

There are, however, times when agreement cannot be reached. Rather than engage in confrontation or conduct conversations with contentiousness, people are more likely to "go off and do things a different way, to quietly disagree and do things their own way" (Claremont University Consortium Director for Advancement). This means they withdraw and "break rules". The example given is when two institutions reneged on agreed plans. Trust between the members was eroded by perceptions of the lack of fairness, ethics, and honesty – which do not cease collaboration at the Claremont Colleges, but do instill more caution and therefore affect the magnitude of collaboration.

Conflict resolution skills are critical. When differences occur, and they will from time-to-time, collaboration can actually benefit and be strengthened when conflict is resolved successfully. This requires competent skills on the part of individuals. These skills align with many other factors to promote collaboration and have an impact when packaged together to demonstrate respect, knowledge and an open personality that communicates a willingness to protect the interest of others (trust) and sacrifice (give something up).

Adaptability of individuals, departments, and institutions to changes, whether outside or within the institution, is important to facilitating collaboration. As the German program has struggled to maintain relevancy and viability, the faculty and administrators have adapted the formal and informal structures in place to meet their objectives.

Conclusions

People are important to collaborations, particularly individuals who possess the skills to work within and across organizations effectively. Valuable individuals are those who exercise leadership skills at all levels, which is to say that effective leaders come not only from the top of the organization, but also from the faculty and staff ranks. Good people can only do good work insofar as the right systems are in place to support their work.

Traditions of collaboration, physical proximity, systems that support it (e.g., cross-registration, resource sharing, the Claremont University Consortium), make

collaboration a permanent arrangement at Claremont – a unique arrangement among collaborations. These factors define the collaborative process in a family of colleges bound together in multiple ways since there inception and into their collective future. The Claremont Colleges were created purposefully by the same "parents" – founders, funders, and institutions. Their unique system of governance and policies are in place to enable good people to do good work. Their collaborative process is not likely to work for all types of consortia or collaborative arrangements, but for those that resemble a family, it is a model that enables success.

CHAPTER 5

THE FIVE COLLEGES

"It would require somebody to say, 'This is what I want to do.' And do work. I do think that this works because people stand up and volunteer their time." John Brady, Professor and Department Chair of Geology at Smith College talking about why collaboration works at the Five Colleges.

The Five College philosophy is that collaboration is organic among faculty. Frequent faculty interactions that foster respect and trust form the basis for trust and intimacy, the vital factors in collaboration. Faculty participation in collaborative activities like seminars varies, however, by institutions and departments because engagement is defined by individual choice. Faculty are motivated by several factors, such as money, educational benefits for students, and professional development opportunities, but the primary motivating factor for Five College faculty members is the promise of working in an intellectual community similar to those found in graduate schools where they will be able to find colleagues with similar scholarly interests and establish lasting interpersonal relationships. The key difference is that they are also teaching in a highly prestigious liberal arts college or top-notch university with access to a liberal arts setting.

The Five Colleges are a collection of autonomous, relatively resource-rich, and highly prestigious institutions. They have been engaged in academic collaboration since three of the colleges and the university worked together to establish Hampshire College in the 1960s. Today collaborative academic endeavors are coordinated and supported by a central organization, Five Colleges, Inc., but the institutions are not structurally or culturally bound together outside of a commitment to assist Hampshire College. They are also linked, to a degree by geography, a proximity which creates a space for the Five Colleges to leverage their combined prestige (Slaughter & Leslie, 1997) and resources to fuel an intellectual community that attracts highly qualified faculty.

This community of scholars provides a platform on which to build a competitive advantage in the faculty market for all members of the consortium (Dyer & Singh, 1998;

Gulati et al., 2000; Hall, 1993; Hoffman, 2000). The gravity of this prestigious community of scholars coupled with a long history of collaboration and supporting organizational structures are unique in the higher education market and not easily replicated by other liberal arts colleges and universities. These advantages and the close geographic proximity enable the Five Colleges' competitive advantage to be sustainable (Barney, 2002; Hall, 1993; Hoffman, 2000; Oliver, 1997).

Chapter Overview

This chapter presents data on the collaborative processes experienced in the intercollegiate geology program within the moderately integrated Five Colleges consortium. The chapter is divided into four major sections – a synopsis of the curricular joint venture (CJV) in geology, the historical background and organizational context of the CJV, and a detailed analysis of the CJV's collaborative processes[12] and related activities. Like the previous case, this last section links data from the case to the five dimensions outlined in the conceptual framework: axes of synergy (engagement and participation; collaborative behavior; developing common purposes, mission, and vision); leadership (changes and direction of); information flows; linking mechanisms; and dispute resolution mechanisms. The purpose of examining this case is to frame the collaborative processes imbedded in a moderately integrated consortium that faces challenges in terms of a more dispersed geography than the Claremont Colleges between campuses that have long independent histories.

Synopsis

The overarching collaborative structure within which geology operates is the consortium office, Five Colleges, Incorporated. The consortium office facilitates academic collaboration via special funding for joint faculty and academic programming (e.g., field trips, seminars), and inter-institutional communication flows through structuring of regular points of contact between individuals (Gersick et al., 2000; Smith et al., 1995). This central, yet independent organization is the most valuable network

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[12] There are multiple processes operating within a single CJV because of the complex context of multiple institutions, individuals, and hierarchical levels.

resource (Gulati, 1999) for collaboration existing at the Five Colleges in that it supports collaboration by linking people, organizations, and processes (Nadler & Tushman, 1997).

A single CJV, the intercollegiate geology program, is examined to understand the collaborative process within the Five Colleges context where a central organization for collaboration exists. Five Colleges geology chairs are an intercollegiate group, which includes the heads of geology and earth science departments from all five member institutions in the Five Colleges consortium. Geologist chairs and their respective departments have been collaborating since the 1970s, when geology was assigned "designated field" status by Five Colleges, Inc. Today the Five Colleges geology faculty members collaborate to provide annual student and faculty symposia, a lecture series, and field trips that enhance students' learning about geologic structures. They also share a joint faculty appointment.

Each institution is autonomous in terms of their administrative apparatus (e.g., boards of trustees, presidents, deans, development officers, admissions and financial aid offices). Collectively the Five Colleges have been collaborating long-term to promote and administer activities that benefit staff, 2,200 faculty members, and over 26,000 undergraduate students, including shared use of educational and cultural resources and facilities (e.g., joint automated library system, open cross-registration, meal exchange, and open theater auditions), joint departments and programs, and inter-campus transportation. Each institution determines independent institutional missions and cultivates their own expertise in the liberal arts college sector. Geology faculty chairs reflect these independent institutional objectives, which at times are in paradoxical opposition (Bouchikhi, 1998) to one another, to the objectives of the geology CJV, or to the directives of Five Colleges, Inc., which impacts the collaborative process and planning (De Rond & Bouchikhi, 2004).

Collaboration is "organic", is a term used by faculty and Five College staff alike and implies general agreement as to the nature of collaboration between faculty members at the Five Colleges. While some structures are in place to create a climate that favors collaboration to facilitate interaction and cooperation, collaboration has been described as occurring mostly organically. The structures that are in place for geology faculty to collaborate include both formal and informal mechanisms. The formal includes the chairs

meeting with a Five College staff member. The informal include the petrology club and faculty/student dinners attached to symposia and lecture events.

Descriptive Summary

Interview respondents have an identity associated with the region, or the Pioneer Valley. All interview respondents frequently referred to "the Valley" as a community in which they live and work, providing intellectual resources and interpersonal opportunities within a bound geographic place they call home. This community most famously includes The Five Colleges, which is the backdrop from which faculty and deans talked about being a member in "a community of scholars" and "very rich intellectual community". Membership may be open to all Five College professors in the Valley, but activating that membership is still a choice based on individual assessments of time, desire, and fit. Active membership is also a product of opportunity given the culture, climate and priorities of faculty members' respective institutions and departments.

Common definitions of community include: a unified body of individuals with similar interests or identity; an interacting population of various kinds of individuals in a common location, engaged in sharing, participation, and fellowship; a group linked by a common policy; a body of persons or nations having a common history or common social, economic, and political interests; a body of persons of common and especially professional interests scattered through a larger society: joint ownership or participation; common character; social activity, fellowship; a social state or condition.[13]

It is simple to talk about communities in broad, sweeping terms, but quite complex to interpret what is going on inside communities with regards to the activities that drive and characterize a specific community. As one professor said, "We are community, and it feels like community." The question then is, what makes faculty at the Five Colleges feel like a community?

At the base level, interpersonal relationships are driving the Five Colleges' intellectual community or community of scholars. Nearly every respondent spoke about relationships, acknowledging the vital role relationships play in the collaborative process

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[13] http://www.m-w.com/cgi-bin/dictionary and The American Heritage® Dictionary of the English Language, Fourth Edition copyright ©2000 by Houghton Mifflin Company. Updated in 2003. Published by Houghton Mifflin Company. All rights reserved.

and the high personal value they assign to healthy relationships. Interpersonal relationships are the essential building blocks of community. And in the Five Colleges' context, the close geographic proximity is helpful in creating a perimeter for the Valley Community with its vast assemblage of scholars across five distinct colleges, whereby relationships can be developed and sustained through frequent face-to-face interactions that are at times planned and serendipitous. The Five College, Inc. Executive Director said, "You almost go nowhere in the Valley without finding somebody." Many respondents expressed recognition of the Valley as a geographic space whereby a social outing involves unexpected but welcome interactions with professional colleagues. The Valley is a discrete place where individuals can intermingle easily and without design.

Drawing from two separate but similar definitions, relationship is defined as being a connection, association, or involvement, or the state of being related or interrelated. These connections, associations and involvements can be derived common interests, blood or marriage, or emotional affairs between. Relationship can also refer to the state of affairs that bind people together as a way of describing the closeness of ties between individuals or groups. Common synonyms include: dependence, alliance, kinship, affinity, and consanguinity. [14]

The kinds of relationships that exist across the Five Colleges faculty are those derived primarily by individual choice. While there are structures in place to encourage and facilitate interpersonal interactions, no faculty member is forced to develop intercollegiate relationships except at the chair level. Individuals choose to develop these relationships based on intellectual merit and the desire for fellowship. In other words, if they find a colleague with similar scholarly interests and experience, then they are likely to seek a professional relationship with that faculty member. The desire to link with another professor with similar professional interests is a way to build a community of scholarship, similar to the ones in which all faculty members participated during their graduate studies. "Here, there are five people in my specialty…that's almost like being back at a university except that I am not. I am at Amherst College and that is so sweet."

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[14] http://www.m-w.com/cgi-bin/dictionary?book=Dictionary&va=relationship and Dictionary.com Unabridged (v 1.1). Based on the Random House Unabridged Dictionary, © Random House, Inc. 2006.

(Geology Department Chair, Amherst College). It breaks up the isolation common among highly specialized faculty at small, private liberal arts colleges.

The underlying condition for collaboration in the Five Colleges intellectual community of scholars rests with the health, vitality, and number of interpersonal relationships between faculty members. Five College, Inc. is the structure in place to facilitate links that will enhance development and sustainability of these relationships, and inform and guide appropriate governance activities through institutional administrators to promote and serve collaborative endeavors within the Valley. And the fundamental principle of collaborating is, "[If] we do better together, then it is worth the effort to take the time to do that rather than just go ahead as a single institution." (Provost and Dean of Faculty, Amherst College). Implicit within this principle is the concept that collaboration is an institutional choice based on a specific cost/benefit and quality criterion.

Five Colleges, Inc.

Five Colleges, Inc. supports a mix of permanent and transitory programs with a relatively "lean" organization that is "experimental and flexible", which could be the consortium's source of comparative advantage (Five Colleges, 1999). It accomplish this by being both a center of information about collaborative activities occurring on the campuses with the resources available to support these activities and an important linking mechanism for groups and individuals within the Five Colleges network. These are important facilitating roles in the collaborative process, providing collaborative expertise and resource support when needed. The consortium office, however, does not have a decision making role for institutions.

Five Colleges, Incorporated was established in 1965 to "promote the broad educational and cultural objectives of its member institutions" (*Mission and History [of the Five Colleges, Incorporated]*, 2003). The consortium grew out of a successful collaboration in the 1950s among four of the member institutions – Amherst College, Mount Holyoke College, Smith College, and the University of Massachusetts Amherst – which created the fifth, Hampshire College, which opened in 1970.

The academic activities of the Five Colleges include establishment and administration of joint departments and programs, joint faculty, and joint teaching and

learning activities (e.g., symposia, field trips). These joint departments and programs and their joint faculty appointments across member institutions provide opportunities to "enable institutions to introduce specialized areas of study into the curriculum and to experiment with courses in new or emerging fields" (*Mission and History [of the Five Colleges, Incorporated]*, 2003).

Consortium personnel manage collaborative resources (e.g., endowment, grant funds, joint faculty programming, cross-registration data) and work with administrators and faculty to promote collaboration through facilitated opportunities for collaborative academic planning. With respect to the latter, the consortium office hosts regular meetings of nearly 80 different groups of administrators and faculty from the member institutions. These meetings serve as the primary formal means of interaction between campus personnel and their counterparts engaged in a collaborative project.

To insure a constant stream of "organic"[15] collaborative ideas and planning, there are multiple opportunities for faculty groups and their administrators to interact and brainstorm. These opportunities are facilitated by the consortium office.

Every September, the department heads from all the liberal arts departments (not the professional schools) across the five institutions gather for an annual meeting. This meeting consists of a plenary session followed by group meetings. In these group meetings, Five College Inc. personnel provide information packets about joint appointments and how to apply for one. Interested departments submit reports which the Executive Director shares with the deans, who discuss all the departments' interests in joint appointments. Five Colleges, Inc. acts as the conduit of information between the full deans meetings and the full department meetings, but each dean is familiar with the aspirations and ideas of their faculty with respect to their joint faculty appointment requests. They bring this institutional knowledge into the deans' meetings to add to discussions.

Five Colleges, Inc. personnel have the advantages of seeing all the proposals at once and the access to the group of department chairs, which enables them to facilitate collaboration by offering likely connections not visible to the participants. For example,

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[15] Descriptive term given independently by multiple sources.

this past year the music heads and the theater heads separately proposed musical theater. The Executive Director communicated with both departments and encouraged them to "Get together guys."

Member Institutions

While all the Five College institutions, except the UMass, are selective, private, liberal arts colleges, they also differ. These differences become more evident when collaborating and trying to fit various, and sometimes disparate aspects together. These differences are defined by four basic characteristics or realities, prestige, autonomy, wealth and commitment.

UMass is the largest by far, and includes extensive and selective graduate programs. Amherst is the wealthiest of the Five College institutions. Smith is the second wealthiest in terms of endowment size. All are, however, relatively wealthy and highly prestigious compared to liberal arts colleges outside the Valley and across the U.S. All are autonomous except for Hampshire College. Hampshire was designed to be experimental, enabling students to craft their own programs of study by utilizing not only the curricular resources and faculty on Hampshire's campus, but also those of the other Five College campuses.

Several institutional self-studies (*Report of the 1997 self-study steering committee, Smith College*, 1998; *Toward Amherst's third century: Report to the faculty of the committee on academic priorities*, 2006) reveal institutional recognition of the potential value of Five Colleges, Inc. and associated advantages. Institutional planning and review processes, however, use the Five Colleges as a secondary means of achieving institutional objectives, which implies a lower prioritization of commitment to Five College integration. For example, one report focused on the following academic issues: expanding student internship opportunities, visiting scholar programs, technology in teaching and research, international dimensions in recruiting and curriculum; emphasizing science education and community service; and increasing faculty excellence, leadership development, and diversity. The report acknowledges that the institution's participation in the Five College Consortium augments the broad and demanding curriculum to increase the depth and diversity of curricular offerings (*Report of the 1997 self-study steering committee, Smith College*, 1998).

Common structural entities provide a means of institutional integration across the consortium. For example, the Five Colleges share a standard academic calendar, and students utilize a common online registration system which enables students to easily cross-register. The level of integration, however, is limited. Member institutions do not share universal curricular standards and requirements, although some similarities may exist because they are all highly selective. There are few programs and departments that are truly intercollegiate. Most programs and departments, including geology, have collaborative arrangements, but are not really integrated.

Formal and informal limitations to these integrative structures exist. For example, UMass offers three credit hours per course while the other four colleges offer four per course, which limits the smooth transfer of credits between UMass and the other institutions. Faculty and administrators' perceptions of institutional asymmetries also limit the effectiveness of integrative structures. For example, many Amherst faculty members perceive a higher value to students of taking courses at Amherst, rather than at another Five College campus, because of Amherst's high selectivity, and therefore, advise students not to cross-register. Amherst has a net in-enrollment, taking in more students than any of the other colleges.

Asymmetric resources contribute to an imbalance of prestige and power across the institutions, which impacts how collaboration is done within the consortium of institutions. While they all vary at times in terms of resources and act accordingly, Amherst College and UMass present particular challenges due to asymmetric resources related to prestige, wealth, and size. In recognition of potential problems associated with the much larger size of UMass, one non-UMass faculty member said, "Institutionally we can become so easily swamped by UMass." The reason this does not occur is because UMass does not participate in the consortium proportionately with their size. Similarly, another faculty member said of Amherst, "They are one of, if not the most selective liberal arts colleges in the world, and that's something that they're a bit boastful about. It is hard to say that they shouldn't be." Resource asymmetries create competing interests across resource dependent organizations (Pfeffer & Salancik, 1978) and have implications for institutional identity and collaborative behavior (Maxwell, 2005; Osborn & Hagedoorn, 1997).

The practices of courtesy and respect among individuals and their respective institutions, however, are lubricating factors for collaborative behavior (Alversson & Sveningsson, 2003), and constitute informal factors that can alleviate issues related to asymmetric resources across the Five Colleges and ensure fairness in collaborative endeavors. For example, some CJVs have established healthy working relationships built on courtesy, respect, and compromise, which set a base of positive familiarity on which trust can be built (Gulati, 1995) enabling them to effectively react to course scheduling crises utilizing Five College collaborative arrangements, both formal and informal. These high quality working relationships are not, however, universally established across CJVs.

Curricular Joint Venture: Geology

Five Colleges geology is a collaboration of faculty in the field of geology and earth science across the Five College campuses. They work together to serve the intellectual needs of faculty, enhance students' educational opportunities through research, field trips, and symposia, and provide an institutionalized release valve in course scheduling. They have been collaborating for nearly thirty years. Their collaboration is characterized by several factors including employing and practicing positive interpersonal behavior to build quality working relationships, utilizing available decision-making structures and collaborative mechanisms to create and implement collaborative activities and arrangements, and creating an intellectual community that stimulates new ideas and creates a space for scholars and friends to tolerate conflict and adapt to change.

The Five College geology departments are driven to collaborate for three basic reasons: it facilitates a program of faculty leaves, it encourages rejuvenation, and attracts money to engage in activities enhance the educational experience for students. The advantages of collaboration outweigh the extra effort and time commitment required to make the process work. Geology faculty members regularly evaluate the associated costs and benefits of being engaged in collaborative activities, and have thus far sought ways to continue to collaborate.

In addition to the structural advantages, collaboration is a means to eliminate intellectual isolation, which can be an organization's greatest benefit to individuals. The intellectual community consists of both geology faculty and students. Within this

community, faculty members teach, serve as theses advisors, and work on research projects and publish with students from other schools who share their specialty interests. Faculty and student seminars offer the Five College geology community opportunities to share their research and learn from one another. Field trips provide opportunities for faculty to bond with one another and for students to gain hands-on geology experience not available in the classroom.

A Model of Adaptation

In the 1970s, Five Colleges, Inc. received a grant to help develop more collaboration among small relatively vulnerable departments with low enrollment numbers, which they called "designated fields." Geology was one of seven designated fields. The other six fields were physics, Russian, music, theater, and anthropology. The motivating rationale was that small departments could share resources, including faculty resources, across the campuses to expand the range of offerings as curriculum expanded along research in the field.

Department heads had to agree to be named a designated field, and then respond with a detailed proposal outlining how they were going to collaborate. Some proposed joint departments, but most advocated joint field trips, symposia for faculty and students, guest lecture series, and joint faculty appointments. Only designated fields could apply for new joint appointments. As a designated field, geology was able to access Five Colleges, Inc. financial and administrative support for student and faculty symposia, field trips, guest lecture series, and a joint faculty appointment in the particularly desirable sub-field of vulcanology to serve all departments on a rotating basis.

While not all of the original designated fields have continued to collaborate, even as individuals have rotated in and out of the chair position the geology department heads have continued to meet regularly since their designation in the early 1970s, sustaining a consistent level of collaboration for nearly thirty years. A dependent factor in these original designated fields' longevity is the degree to which the right fit was established in terms of the curricula, organizations, people, and established processes. Flexibility among participants enables people and departments to adjust collaborative arrangements in order to correct flaws in previous agreements or changing situations. The "Rhodes horse-trade," as it is called by geology faculty members, is one evolutionary example.

The Rhodes horse-trade is an arrangement by the Five College geology chairs to support a rotating faculty position. The original arrangement was a traditional joint faculty appointment based at UMass, which receives half the appointment while the other colleges share the other half. Five College geology departments were interested in providing vulcanology courses to students, but it was unrealistic for the colleges to hire a vulcanologist full-time because of the high degree of specialization of this sub-field. Collectively, however, they could support a joint faculty appointment, which they did and continue to support. Dr. Michael Rhodes has been in this position for 25 years and provides benefits in addition to his teaching rotation across the colleges. Of particular value to faculty and students is the isotope lab he created and maintains, which is used for faculty research and hands-on learning lab for students across the consortium.

Once every fifth semester, each campus has a turn in the faculty rotation. Over time, however, the colleges found that they did not have as much need for a vulcanologist as they had predicted. They concluded it would be of greater value to be able to select a faculty member from a variety of specialties as need arises. For example, structural geology is a required course on every campus and all departments have a structural geologist on staff. When this person takes a leave of absence, that department has a need to secure a visiting structural geologist. The department chairs discussed the arrangement and worked out a new agreement whereby Rhodes would not be the only rotating faculty member. Instead, to satisfy the institutional support for the joint faculty position, UMass would provide a professor from various specialties among its geology faculty to deliver courses on the other campuses.

This new arrangement enables a modicum of flexibility for the geology departments to maintain their programs through disruptions in their staffing, such as maternity/paternity leaves and sabbaticals. And overall, people find the joint position effective and valuable, even though the arrangement has not always performed as planned. There have been times when UMass has been unable to provide the requested faculty member for a particular rotation for scheduling conflicts, inadequate staffing needs, or lack of lead time in the request. Therefore, colleges have not always benefited from the arrangement, but in these situations, the faculty members have been able to negotiate solutions through effective management of interorganizational relationships to

alleviate benefit gaps and restore fairness, which is consistent with Ireland, Hitt, and Vaidyanath (2002) and their assertion that effective management can reduce problems associated with free riding. It is also an example of how effective management is operates at levels other than executive (Regner, 2003). The evolutionary aspect to these changes in formal collaborative arrangements are consistent with theories of adaptation across the life cycle (Cameron & Whetten, 1981; Jawahar & McLaughlin, 2001; Mintzberg, 1984) of strategic alliances (Contractor & Lorange, 2002; Ernst, 2003; Lado et al., 1997) and higher education (Cameron, 1984; Hartley, 2003).

An Intellectual Community of Friends

The Five College geology program is characterized by frequent formal and informal interaction of colleagues for academic planning, teaching and learning, and research. Faculty specialization no longer means isolation for professors at small private liberal arts colleges because of the larger intellectual community open to geologists across the Valley. "Being at one of the Five College institutions is phenomenal because even though you are not surrounded with these people at your institution, you really can very easily reach out and go visit with other people in the Valley," (Professor of Geology, Smith College). The close proximity of a pool of geologists within the Valley enables not only formal interaction (i.e., chair meetings, symposia, lectures, and field trips), but also informal interactions, which can occur as planned or spontaneous and serendipitous meetings. All of these interactions provide the structure, precedent, and opportunities for individuals to share research and teaching interests in a peer support/advising network.

Collaborating geologists have created an intellectual community that serves their research interests, as well as a source of fellowship that serves their need for personal friendships. A number of long-established and working research relationships exist within the Five College geology faculty, some of which have resulted in the publication of many articles. While these relationships are colleague-based, they have also developed into personal friendships.

Interactions facilitate the socialization of new members and the development of new ideas. It is important to collaboration to create spaces of time and place for people to interact and stimulate bonding between the institutions. During field trips, for example, there is considerable time spent together in the field without a formal agenda, providing

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the opportunity for talk about a variety of topics both professional and personal. "We do [field trips] fairly frequently, and they're very good for relationships when you do that. You bond really well with the faculty member who happens to be helping out and going along. Usually camping, you have the time." (Smith Geology Faculty Member and Former Department Chair). All faculty respondents hail the value of field trips as the perfect setting to interact with colleagues because of the abundance of time and nature of the work done in the field.

In addition to the department chairs who have the most interaction and involvement in the collaborative process because they meet regularly to conduct group planning, there are several sub-groups, developed by faculty members within the same sub-field or specialty. For example, petrologists in the Valley have established a petrology club that meets several times a year and is a mix of the intellectual and social. Other faculty members have collaborated outside of Five College geology in the Keck Consortium, which is a consortium of geologists from private liberal arts colleges across the nation that does not include all Five Colleges.

The intellectual community of Five College geology also includes students, who have opportunities to take courses from and conduct research with geology faculty across the Five Colleges. Getting students involved, however, can be challenging for three reasons: time, distance, and interest. Students have limited time and/or interest to pursue activities outside of their direct responsibilities, and navigating the logistics of traveling beyond their home campus can be difficult even though a bus makes regular circuits across the Valley.

To promote access to collaborative activities where interaction can occur for both faculty and students, events are scheduled regularly. To promote participation in these activities, the events also include creature comforts, such as free food. "We try to make it student-friendly so some people will come and bring students. We try to have a pizza dinner so people can mix a little bit," (Smith Geology Professor and Former Department Chair). This faculty member's response was common among junior faculty with respect to the construction and scheduling of collaborative events in geology to draw more faculty and students.

Money made available to do collaborative activities through Five Colleges, Inc. is a key asset. In fact, all the Five College geology chairs express lack of understanding as to why other departments fail to compete with geology for these funds.

> I don't understand why all departments aren't Five College departments. It is easy to do. It doesn't take much time. The benefits vastly outweigh the work that you have to do. It has always been a mystery to me why we are a Five College department, and [other departments] are not. I was just thinking that they don't want to do this. (Geology Chair, Amherst College)

The Amherst geology chair is not complaining so much as she is acknowledging her gratitude for available support. It is likely that the geology faculty members would likely collaborate without available funds, but on a much smaller scale. The benefit of funding lowers the investment costs of faculty (e.g., time, effort) and, therefore, it is not clear whether or not geology would fight for support if the application process was more competitive. Perception of a "geology factor," common among geology faculty, suggests that collaboration is sustainable beyond funding for activities.

Several chairs hypothesize that the reason why geology has a long track record of collaboration and adaptation over time is because latent characteristics and experiences of geologists predispose them to collaborative processes that require patience, flexibility, and commitment. The "geology factor" is how one faculty member described the differences between geologists and other people.

> You will spend periods of time when you are too hot, or too cold, or too wet, or too dry, and what you learn is that you don't always get it your way. And you just march on. You aren't always going to be comfortable, but what you are doing is great. We're suck-it-up people. Things don't bother us as much. And you get along. (Geology Department Chair, Amherst College)

The rationale behind this difference relates to the inherent physical discomfort geologists experience when in the field doing their work.

It may be of less importance whether or not there is, in fact, a geology factor similar to the implications of Del Favero's work (2005) that suggests personal attributes may be specific to discipline. Of greater importance may be that this community of scholars believes it a geology factor exists. Regardless, collectively an intellectual community exists in geology for those faculty members who have the willingness and ability to participate.

Analysis

The process of collaboration across the Five Colleges is analyzed through the five basic constructs as outlined in the conceptual framework above: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms. These behaviors and mechanisms operate to alleviate constant interinstitutional tensions derived from competing values.

In the Five Colleges' context, the tension between voluntary and compulsory collaborative activities is a delicate balance for the institutions and Five Colleges, Inc. Some institutional administrators are interested in encouraging faculty members to collaborate with their Five College colleagues, but for reasons related to institutional autonomy they acknowledge that collaboration is strictly voluntary. Similarly Five College personnel promote collaboration and assist faculty members seeking to voluntarily engage in collaborative activities and programs, but also require engaged faculty members to meet regularly. Therefore, many parts of the collaborative process are compulsory in order to make collaboration work.

Engagement and Participation

The Five College, Inc. Executive Director identified two main obstacles to Five College collaboration: people and parking. "And I can solve the parking," she said. The implication is that without individual initiative and cooperation, collaboration fails. Five Colleges, Inc. has established structures in place to promote faculty engagement and participation in collaborative endeavors, such as regular department chair meetings.

The geology chairs are engaged in Five College collaboration through their continued prioritization of these meetings. They consistently meet early in the morning when there are not other commitments to compete for their time and attention. Chairs set the agenda and use these meetings to conduct group planning. Even though these meeting agendas are full, the structure is flexible enough to allow discussion of new and relevant issues. Chairs describe these meetings as open forums for honesty and reciprocity among participants, and as opportunities for getting to personally know each of the other chairs and the attending Five College staff member. These meetings are the key opportunities

for the flow of information across institutions and for open negotiation of group planning and conflict resolution.

Of all the collaborative activities in geology, three received the most attention in interviews: field trips, collaborating research, and the petrology club. Field trips are important activities for geology majors to see more types of rocks. Joint field trips are funded through Five Colleges, Inc.; so the geology faculty members collaborate to do big trips. One professor said, "It is a lot of work for faculty…[but] it's good for the students, so you do it." Even more than money, which serves as a nice lure, the biggest motivating factor for faculty to engage in the hard work of planning a big field trip with students aside from student-focused benefits, is the opportunity to work with faculty members outside of one's own institution. Geology Professor and Former Department Chair at Smith College said, "If you go to Iceland, for instance, then you get two or three professors who know that kind of geology…then you get a little broader expertise." All the faculty respondents placed a high value on joint field trips because of the additional expertise and opportunities to bond with one another by sharing common interests.

Faculty members also place a high value on collaborative scholarship. There are numerous joint publications among Five College geologists. How these people identified one another and subsequently engaged in joint research and scholarship is part of the collaborative process. Smith Geology Professor and Former Chair described the process as he used to engage other in joint scholarship. Because of his long tenure, he has a familiarity with nearly all the Five College geologists, including the Amherst Geology Chair, who he perceived to do good work. He had a textbook project that he did want to take the time and effort to do alone, so he approached her at Five College dinner/lecture. While she was interested, she wanted to think about it. He applied gentle pressure and she agreed. They worked together well even though at different paces. He said, "I tend to work ahead and was getting my stuff done and she wasn't, so I was always bugging her." Their work culminated in a joint publication. This type of arrangement is duplicated across the intellectual community of Five College Geology.

Sometimes shared interests bring together subgroups of faculty. The petrology club is one example. Said Mt. Holyoke Geology Department Chair, "We have similar interests. We know each other. We know of each other's work. We respect one another.

And we enjoy each other's company." The petrology club is a congregation of faculty members who meet in a variety of settings, including social settings with microscopes, rocks and beer, to collectively discuss their research and ideas and to commune in fellowship with intellectual friends. These meetings have decreased in recent years. Faculty suggest that is because students and faculty are busier than they once were, or some campuses are more difficult to visit than others. Another reason could be that the interests that brought together the petrologists over the years are different from the interests that would bring together the younger cohort of geology faculty. Or perhaps, the exchange of shared interests occurs in different mediums and in different ways.

The consortium office does not engage in fundraising for private donations because this would directly compete with member institutions. In spite of its desire to pursue multiple sources of funding, Five College, Inc. only seeks outside grants. This policy illustrates a balance between incompatible interests of member institutions and the consortium office to reach mutual objectives (Bouchikhi, 1998). The consortium office, therefore, engages in grant seeking activities to fund Five College initiatives.

Additional sources of revenue come from institutional assessments related to the activities in which each institution participates. Most assessments are divided by five, or a special formula for a particular venture (as previously agreed upon by participating members). Each institution gets an annual invoice that summarizes an inventory of their share of expenses, and to date, every institution has paid every year. The implication in this compliance is that they all see the value of participating in the consortium, and that it is better to do some things together than alone. The specific reasons that lead to compliance, however, are multiple and some unknown. No interviewee articulated why each member pays their assessments regularly, but the reasons can be inferred based on the responses of interviewees as to the value each institution places on their participation in the consortium.

Known reasons for compliance are related to the availability of resources and institutionalized expectations and control. The assessment formula has been the same since its inception. Each institution knows what to expect. They also play a role in the budget, particularly in determining in which activities they engage. Assessments are usually deemed "okay" because "in most cases, it is saving them money," said the Five

College, Inc. Treasurer. There are, however, times of financial strain for some of the member institutions during which institutions always have the potential to opt out at the planning stage of a new project. This has happened in the past, but is only an option as long as the other institutional partners are willing to divide the remaining shares. Usually the institutions discuss the relevant issues and negotiate a plan that works for all.

Perhaps one of the biggest reasons the Five College member institutions have always fulfilled their financial responsibilities is related to the flow of information. Each institution has full information about one another. There is great value in the flow of information across the consortium and through each institution, which is facilitated in budget discussions by a review process that requires regular face-to-face meetings among institutional counterparts along institutional hierarchies that enable individuals on behalf of their institutions to share information and develop relationships that promote cooperation and understanding. With greater knowledge and understanding of one another's institutions, the individuals can work together to come to consensus through active negotiation and genuine compromise.

The same is true of the geology faculty. They know each other very well. Not every individual is a desirable intellectual counterpart or friend, however. As in every group, there are people with difficult personalities who exhibit non-collaborative behaviors. Several faculty members acknowledged that these personalities exist within Five College geology. These types of people and associated behaviors could present a barrier to collaboration among a group of scholars and friends with close-knit intellectual and social ties, but they do not. One faculty member's solution to these types of people is to recognize their failings or less-than-desirable characteristics, and the things at which they are competent, and assign tasks and responsibilities that work off their strengths. For another faculty member, she just finds ways to work around "Crazy Uncle Harry" because they "are not going anywhere."

> You're just crazy and shooting yourself in the foot if you don't get around that. Or just suck it up and smile because the alternatives. If you really start a fight with crazy Uncle Harry, is every hour is a fight. So the alternative is really, really not good. So smile and say, 'Oh, that's crazy Uncle Harry!' [Laughter.]

This pragmatic sentiment acknowledges the consequences of allowing difficult personalities to disrupt collaborative activities and collaborative behavior within the group.

Developing Common Purposes, Mission and Vision

The Five Colleges have an identity based on several commonalities, including institutional levels of prestige, selectivity, and wealth, whereby the common setting of the Pioneer Valley gives them the context of a bound geographic intellectual community. Compared to the outside world of higher education, the Five Colleges appear equitable in resources with the single exception of Hampshire, which is highly interdependent by design. There are, however, distinct differences and asymmetries. As the Five College, Inc. Executive Director notes, "It's not as even as it sounds…there are differences that need to be addressed." Discovery or development of common interests, mission, and vision bridge these differences and provide the leverage to engage in collaborative activities that will meet institutional objectives.

Time and experience are two important factors for discovering common interests. "By now, over 40 years of collaboration, there is a shared culture of collaboration," said the Five College, Inc. Executive Director. The tradition of working in the Five College context has created a culture that favors collaborative activities regardless of institutional differences. These differences and asymmetries are assuaged by the common vision articulated by the Five Colleges, Inc. Executive Director, that "by collaborating…you get more." The resource pie is expandable through collaboration.

Not everyone, however, shares this common vision. When pressed about how differences and asymmetries are manifested, the Executive Director responded, "A number of faculty members at Amherst do not see that they need Five College collaboration, but they're not the majority." The Amherst College Provost and Dean of Faculty echo this perception. He sees some of the same attitudes among his faculty whereby Five College cooperation is seen as second-best next to doing an independently Amherst-coordinated project. He and the Amherst president are openly working to change this attitude among Amherst faculty to favor Five College collaboration when it makes sense to do something collaboratively, but admits it is difficult because it requires

a "culture change." Some change has already occurred. Recently the Amherst faculty approved three Five College certificate programs in a single meeting.

The Five College geology program has been able to develop a common vision through shared interest, commitment and negotiation. Some differences, however, are not up for discussion and are just accepted. The biggest difference is in institutional structure between small liberal arts colleges that pride themselves on their low faculty to student ratios and extensive integrated academic and student services that serve the holistic needs of students, and the large size of the public institution that prides itself on its graduate education and extensive scholarly resources.

This educational divide creates two camps in the Five Colleges – UMass and everyone else. These perceived differences are embedded in the autonomous institutional identities and manifest themselves in the behavior of individuals. For example, the biggest difference perceived by one liberal arts college geology faculty chair is that there is a higher risk for failure among UMass students than anyone else in the system.

> I don't feel that I can be as effective a holistic professor for those students as I can be for other students. If it was a Smith student, I'd call my colleagues at Smith because I would know that they would have enough personal contact with this person that they could do something effective. And I don't think that is the case at UMass. I don't know who it would be - the department is so big, I don't even know who I would call in the department.

This geology professor's complaint is related to an inability to reach across the institutional divide to locate appropriate student services for students experiencing academic and/or emotional difficulties. This is easily navigated within and across the four liberal arts colleges because of their size and student focus, but UMass seems a wholly different place on a large scale. It may not actually be that difficult, but the identity of this faculty member as a professor in a student-focused liberal arts college creates an institutional barrier that does not exist between the other liberal arts colleges.

Changes and Direction of Leadership

Engagement in collaboration is not universal across the Five College geology faculty. Professors have limited time to pursue activities that are time intensive like collaboration, particularly if those activities are not directly related to their teaching and scholarship duties. These time constraints are exacerbated for junior faculty because of

professional (i.e., promotion and tenure) and personal (i.e., young children) constraints that make collaboration less feasible, even if desired. Planning for collaborative engagement beyond the turbulent early career stage, one early career professor said,

> I will probably get a little bit more involved with other things once my children grow up a little bit and now I feel, since I have tenure, a bit more free to explore and do other things besides just trying to produce publishable results.

This faculty member would like to explore the opportunities available through collaboration, but recognizes that both professional and personal pressures must abate.

Barriers to collaborative participation among the younger cohort are unfortunate. An engaged and participatory younger cohort of faculty is necessary for the sustainability of Five College geology collaboration. Collaboration also is a golden opportunity for early career professors to network and connect with other professors who have similar intellectual interests. One early career professor at Amherst College said,

> The community of scholars is so big, so you really are surrounded with people of so many different levels of expertise and interest and that's really nice. … I got to meet many people in my first year, because I really went to everything and I wanted to meet as many people as possible. And from then on, you just basically know them.

She became part of the larger community of scholars because she attended Five College geology events and met a larger pool of colleagues. Time is a barrier, but if junior professors attend some events, then they have the means for connecting with others in their specialties, which provides a collegial network that will serve them later when they do have time to collaborate.

Although concerned about the limited engagement of junior faculty in collaborative activities, several mid-level professors recognize these constraints and comprehend the difficult choices facing young faculty members. "I think it is harder for them," said one Smith College professor, professor respondents could offer no conclusive answer why it is harder for junior faculty today than when they were junior faculty. One response was that, "Everybody is busy. And there is never time and everybody gets busier and busier all the time." Some faculty did not focus on the barriers to participation among junior faculty, but the means for overcoming barriers. One faculty member said, "It was difficult for me to get away for things, but some things are worth it. I had to

weigh the pros and cons and pick and choose which things I'll make time for and which things I won't." Junior faculty can participate in some collaborative activities if they place a high priority on Five College collaboration. Recognizing that sustaining Five College geology will require future leadership from the younger cohort, a few faculty members feel a responsibility to "make sure that our young people build the bridges that we built when we got here so that they have the advantages of those bridges." (Department Chair, Amherst College). The Amherst Provost and Dean of Faculty echoed this responsibility from an institutional standpoint.

Senior geology faculty members, many of whom have been at the Five Colleges since its designation, or shortly thereafter, are equally important to collaboration as holders of institutional memory and promoters of collaborative behavior. Having long-standing established relationships with colleagues across the Five Colleges and serving leadership roles, they mentor younger professors and serve as interpersonal portals for junior faculty to engage in collaborative activities. One mid-career professor said of a senior professor, "I would do anything for John Brady," because of the mentoring he received early in his career and the collaborative opportunities opened to him through this relationship.

Five Colleges, Inc. links not only faculty together, but also administrators with their administrator counterparts across the institutions. Leadership is bi-directional (Eckel, 2003; Nadler & Tushman, 1988), or shared (Denis et al., 2007; Mintzberg, 1984). Starting with presidents in the 1960s who collaborated to create Hampshire College, and the current deans of faculty who are likely to encourage departments to collaborate when gains can be made, administrators are important decision makers in the collaborative process. This is because administrative leadership is embedded in traditional institutional hierarchies, which are the foundational structures through which Five College collaboration must travel. That is to say, a grass-tops sort of leadership is necessary from administrators to establish the right organizational structure and climate to enable collaboration among faculty and departments to occur. This leadership is limited, however, by the willingness of faculty and staff to "organically" collaborate. Grassroots leadership from the faculty is necessary for buy-in among colleagues and staff at the departmental level, and requires a grassroots variety of leadership. This type of leadership

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can be exhibited collectively by multiple rank-and-file faculty and staff members. Grassroots leaders have latitude in making most decisions with respect to collaborative activities, particularly when collaboration has existed for a long time, as in geology. For those activities or requests that require administrative approval, faculty and deans must communicate with one another to achieve collaborative objectives.

The geology chairs articulated a thorough understanding of the role of deans in the decision making process. And the deans have been responsive to the needs of their geology faculty, depending on how well the request fits the curricular needs of the institution. The Amherst College Geology Chair said, "If I wanted to lobby my dean to make sure he went into the meeting with the right attitude towards this, I would have reasonably ready access to him to do that." She described her interaction with her dean of faculty as a two-way street whereby they both work to honor one another's objectives or requests. "Whatever he wants. Whatever I want," is the arrangement, which suggests that they have an established relationship that flexible to each partner's needs.

For example, Mike Rhodes is nearing retirement, and with his departure the joint faculty position is due for renewal. All respondents want to continue Five College collaboration with the joint faculty position, albeit with some changes. Several chairs recognize the timeliness of re-establishing their arrangements and inter-institutional relationships before a new person is hired in order to collectively craft the details incorporating the member departments' objectives. They also recognize the importance of communicating with their respective deans of faculty to make a reasonable case for continued financial support of the joint faculty position. As two faculty members said, it is a process of "protecting your investment," which means talking to deans and communicating departmental needs/desires to keep the position open, although maybe in some slightly different forum as agreed upon by the chairs collectively.

Linking Mechanisms

Both formal and informal structures and networks are used for the flow of information. Five Colleges, Inc. is at the center of the formal flow across institutional boundaries. They accomplish this by structuring regular points of contact between nearly 80 like-position groups (presidents, provosts/deans of faculty, and department chairs by discipline). Geology chairs meetings are one example. Through these meetings, they

develop friendships and solicit peer council and support. A number of participants find these meetings to be "fun," although at least one respondent notes that the responsibility of going to these meetings is "annoying" given the limited time faculty have to do their teaching and scholarship and the effort it takes to drive across the Valley to get to the meetings. But as annoying as these meetings may be for some, they attend because they are committed, enjoy it, and/or because they have to be there, otherwise the Five College staff will "bug you."

A number of informal means are also used to contribute to the flow of information through like groups and provide opportunities for interaction and developing relationships. One is the establishment and use of list serves, which are maintained by the consortium office. The consortium office also organizes a number of get-togethers, such as receptions so various groups can get together and socialize and retreats for groups that want to do planning. Staff members also attend non-collaborative events on campuses. "The fact that we appear at the special events or social events that are being planned by the groups we meet with makes a difference to them." said the Executive Director for the Five Colleges, Inc. These activities enable Five Colleges Inc. to maintain a presence among institutions and individuals, which is important for facilitating greater flows of information.

But what happens when there is no information flowing? Those holding joint faculty appointments, for example, have difficulty navigating the different organizational departments and procedures because they rotate every semester and are not fully integrated in each department. Although many of these issues are decreasing for the recent appointees because colleges are becoming more acquainted and familiar with them, problems persist at the departmental level primarily because of continued lack of familiarity and information. These issues include difficulties getting library privileges, office space, administrative assistance, university identification cards, and access to recreation facilities.

Traditional several Five Colleges, Inc. personnel have assisted these joint faculty appointments, but a joint faculty appointee coordinator position was recently created to serve as a single information resource for these joint faculty appointments. In recognition of her position as the primary resource for joint appointees, the Five College Joint

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Appointee Coordinator said, "I'm often the first stop in terms of assessing if something needs to happen, and who can deal with it." The coordinator maintains frequent contact with many department coordinators and the people at the colleges, the departmental assistants, who are the ones actually dealing with the joint faculty appointments on a daily basis. This frequent contact occurs prior to the arrival of joint appointees on campus to announce both their arrival, and to communicate the expectations and needs of the joint appointee. The Five College coordinator maintains this communication after the joint appointee begins to ensure continued departmental support and resolve conflicts as they arise. She conveys this information to her Five College supervisors to keep them informed and to solicit their authority in cases when necessary. She has no authority, but is vital in serving as a resource for joint faculty appointees and institutions and assisting the flow of information where it is needed to improve cooperation and collaboration.

Interpersonal relationships provide the means for exchanging information and support (Gersick et al., 2000), and are the foundational source of collaborative behavior. Within Five College geology, interpersonal relationships are forged primarily through discovery of common interests or specialties. Of course, faculty members develop close working and personal relationships with their direct colleagues on their home campus because they work closely in an autonomous department within a single academic building. But often no one within the home department shares a sub-field, which can create a sense of intellectual isolation. The greater intellectual community of Five Colleges offers a greater pool of potential colleagues and friends. And the relative close proximity enables people to meet face-to-face as desired and to share lab equipment and other research resources. Groups based on common intellectual interests and endowed complementary personalities take advantage of being within a specific geographic area and meet regularly.

Regular academic planning meetings, even though the Valley provides close proximity, need additional support. Five Colleges, Inc. coordinates and promotes (or cajoles as some attest) faculty to regularly meet face-to-face. The consortium office is important as a conduit to facilitate collaboration where the extra time, work, and complexity might inhibit collaborative endeavors. It is the primary linking mechanism for the Five Colleges.

Collaborating faculty see the value in Five Colleges, Inc. in that they also serve as a motivating mechanism that simplifies and streamlines the collaborative process. One geology faculty member said that the consortium office was useful because they provide a little budget, and then apply pressure to ensure chairs get together. "Otherwise you probably would never meet! And then some of these things would be too complicated to do and you wouldn't end up doing them," said one Smith geology faculty member. Implicit in their role is removing the complexity involved in doing collaboration.

In 1999, Five Colleges, Inc. underwent an extensive outside review. Some of its findings were not surprising, but all proved interesting to members of Five Colleges, Inc. and other academic consortia in the U.S. (Five Colleges, 1999). [16] The review team found evidence that campus perception by administrators, faculty and students was that Five Colleges, Inc. is an amalgam of special programs and broad consortial strategies (e.g., cross-enrollment and course credit) that are driven and reviewed by campus executive administrators. It also was a vigorous "sixth entity" with a constituency of its own and an array of semi-permanent institutes and programs that spontaneously "bubble up" as expressions of specialized interests that have over time, developed lives of their own.

The lesson applied by the outside review team is that while a valuable "dynamic instability" is inherent in this mix, challenges include threats of "entropy, special interest or donor fashion might increasingly influence the character of the Consortium without fresh leadership from the member institutions" (*Five College cooperation: A guide to the consortial framework*, 1998). The report suggests the potential, if not current existence, of a club-like or cliquish nature to collaborative programs that will perpetuate itself over time, limiting the availability of shared resources for faculty and their program initiatives outside the club or clique. The remedy for this club-like culture is to break up the cliques with periodic infusion of new leadership with fresh perspectives and few pre-established allegiances. On the other side, Five Colleges, Inc. is concerned that fresh leadership

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[16] A conference focused on the cultures of collaboration and the future role of consortia in higher education was sponsored by the W.K. Kellogg Foundation and hosted by the Five Colleges, Inc. in 1999. The purpose of the conference was to facilitate comparative perspectives on collaboration and consortia from across the U.S. by using the findings of the Five Colleges review team as a framework for the Five Colleges community to make sense of the challenges and opportunities inherent in their consortia.

perspectives may not include the value of the consortium, which is why they spend time indoctrinating new presidents and deans.

The implications for geology are both positive and negative. For example, geology is an area in which technology is widely used for analysis and teaching and learning, such as geographic information systems (GIS). Five College, Inc. support could enable Five College geology to gain necessary skills and knowledge about the software across the faculty and students. A more negative outcome for geology would be a determination that geology were to no longer receive Five College funding for collaborative activities as part of a new Five College evaluation process to increase the consortium's "dynamic instability".

Dispute Resolution Mechanisms

The Mt. Holyoke Geology Chair advises constant repair like in a marriage because "with all conflict, communication is necessary, and if you fail to communicate, then ill will just builds up and builds up until something blows. You just can't let stuff go." As conflict arises, faculty members should share their concerns with colleagues as a starting point to resolving issues. In geology, much of this type of activity occurs in the formal department chair meetings, but sometimes issues cannot wait for these meetings. Therefore, alternative dispute resolution mechanisms are needed.

Five College geology has a built-in release valve for common staffing pressures, which includes the Rhodes horse-trade and cross-registration. These activities work best with advance planning because the Rhodes horse-trade is scheduled year in advance and a large influx of students into courses through cross-registration creates stress on faculty, departments, and ultimately relationships. Therefore, these activities are not particularly useful in emergency situations. A situation arose several years ago when UMass could not provide a rotating faculty member to Mt. Holyoke as scheduled through the Rhodes horse-trade. Mt. Holyoke was left to cover a critical course for their geology majors at the last minute. Although cross-registration was a means for resolving the problem and an entitlement of consortium membership, the Mt. Holyoke Geology Chair understood the pressure it would place on his Five College colleagues as his students flowed into already full courses. Therefore, he took the care to call his colleagues and explain their predicament and respectively ask for permission to send his students to their courses. He

exhibited courtesy in his willingness to explore ways in which he and Mt. Holyoke could alleviate the burden. And his Five College colleagues responded with help. A Smith College Professor said, "We have some resources. We have an opportunity. I mean it is not as easy…it was big and it was not fun." The underlying premise in this assistance is reciprocity when the need arises from within.

Another example relates to how established practices of grace and generosity can alleviate conflicts that arise from asymmetric resources and resulting envy. The geology program at Amherst College recently moved into a new, state-of-the-art academic building with built-in natural history museum. It could very easily be the envy of the other Five College geology departments, and it certainly is looked upon with great yearning by respondents. Instead they were happy for their colleagues and an appreciation of their hard work. Amherst geology faculty members open their building and share its resources with their Five College colleagues, who benefit from the building's existence as a means for upping the ante on their home campuses. There is a philosophy that good things that happen to one department benefit all, or the old adage, a rising tide raises all boats.

Collaborative behavior in terms of how institutions and individuals engage in institutional policy making is important to determining the level of integration across the consortium. The consistency of this behavior in the face of disagreement is particularly important when the impact can and will affect the operations, arrangements, and even perceptions of the consortium and member institutions. The same is true for how the other institutions and individuals react to these policy decisions. Therefore, formal or informal mechanisms for dispute resolution are critical to examine in the collaborative process.

In this particular case, the consortium shares a standard academic calendar to facilitate ease of use for students to cross-register and faculty to teach and conduct research with Five College colleagues. The academic calendar is the same for all five institutions and is the product of much vertical negotiation among administrators and their institution's faculty, and horizontal negotiation with their counterparts across institutions to coordinate a common calendar. The common Five College calendar is "one of the fundamentals for Five College cooperation and cross-registration [because] it is

really transparent for our students and it allows us to trade faculty" (Amherst Provost and Dean of Faculty). If one institution changes their academic calendar, it either disrupts the activities that are dependent on a common calendar, or forces the other members to adopt the change.

Several institutions are debating changes to their institutional calendars, an institutional prerogative. The debate is rooted in institutional priorities, most notably whether or not the interim term is of continued value on campus. This debate recently made the president and dean agenda when the president and provost of X institution broached the subject of calendar change during an annual Five College calendar meeting. President of Y institution objected to further discussion at the time because of the potential of opening up opportunity for frustration. A year and a half later, president of Y institution brought the calendar change issue to the group again, suggesting the elimination of the interim term, which suited their institutional objectives. This caused some frustration outside of the anxiety associated with coordinating calendars in that the institution X was being led back into the conversation by one of the institution that had dismissed the subject over a year earlier.

Although initially frustrating, what has happened over time is that institution Y administrators and faculty have decided to delay the change to afford them time to gather information from the other institutions to learn what is from the entire Five College community of faculty to talk about it before it makes a firm decision on a calendar change. One Dean of Faculty said of the experience, "I think this was a test of how well we got along." Their effort to include the viewpoints of the entire community and giving time for discussion lends greater support to institution Y for a potential schedule change.

Conclusions

Five Colleges collaboration works among a select club of faculty members who find solace in fellowship among people with common interests. "Energetic instability" is one way in which the review team of 1999 described the desired nature of the consortium – instability, as opposed to total stability, enables the necessary senses of excitement and criticism in the participation and stewardship curricular joint ventures within the consortium.

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CHAPTER 6

SUNOIKISIS

What is the danger of walling something out—of separating entities, ideas, lives?
…Friendship, collaborative opportunities, shared resources or knowledge may be lost.
(Frost & Pozorski, 2006)

Academic collaboration within Sunoikisis is "organic" and faculty-driven. Its greatest asset to faculty participants is the close, intimate culture of a large intellectual community because of the isolation many small college classicists experience on campus. Sunoikisis has helped faculty form close professional ties, not across one campus, but across fourteen campuses, and has provided professional development opportunities that individual departments could not support.

This community of scholars provides a platform on which to build a competitive advantage for all members of the consortium (Dyer & Singh, 1998; Gulati et al., 2000; Hall, 1993; Hoffman, 2000) in the faculty market. The gravity of this prestigious community of scholars coupled with a long history of collaboration and supporting organizational structures are unique in the higher education market, not easily replicated by other liberal arts colleges and universities. These advantages and the close geographic proximity enable Sunoikisis' competitive advantage to be sustainable (Barney, 2002; Hall, 1993; Hoffman, 2000; Oliver, 1997).

Chapter Overview

This chapter presents data on the collaborative processes experienced in the intercollegiate classics program, Sunoikisis, which was established by the Associated Colleges of the South and is now managed by the National Institute for Technology and Liberal Education (NITLE), a consortium of private liberal arts colleges across the nation. The chapter is divided into four major sections – a synopsis of the curricular joint venture (CJV) Sunoikisis, the historical background and organizational context of the

CJV, and a detailed analysis of the CJV's collaborative processes[17] and related activities. Like in the previous two cases, this last section links data from the case to the five dimensions outlined in the conceptual framework: axes of synergy (engagement and participation; collaborative behavior; developing common purposes, mission, and vision); leadership (changes and direction of); information flows; linking mechanisms; and dispute resolution mechanisms. The purpose of examining this case is to frame the collaborative processes imbedded in a loosely integrated consortium that faces challenges in terms of wide geographic dispersion between campuses that have long independent histories.

Synopsis

Sunoikisis, a virtual classics department, was founded by the Associated Colleges of the South (ACS) with support from The Andrew W. Mellon Foundation in 1995 to expand the scope and curriculum of small classics departments. Today Sunoikisis offers collaborative educational programs across the membership of NITLE, a consortium of 93 private liberal arts colleges in a blend of on-campus teaching with inter-institutional instruction including weekly on-line lectures from a faculty member, an on-line question-and-response sessions in which students share thoughts on lecture materials and weekly on-campus tutorials with a classicist. Field trips to provide hands-on learning experiences are also offered.

Sunoikisis is a grassroots academic collaboration in that it is a faculty-driven CJV, but the deans of faculty and college presidents support the collaboration at home and in meetings with association counterparts. Without this support, a campus does not engage in Sunoikisis activities. Together, faculty and their provosts or academic deans control and manage curricular decisions for their own campuses and collaborate with their counterparts across campuses when engaged in Sunoikisis planning and management.

NITLE facilitates gatherings of counterparts, provides guidance for the collaborative process, coordinates resources, and advances the flow of information. This

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[17] There are multiple processes operating within a single CJV because of the complex context of multiple institutions, individuals, and hierarchical levels.

independent consortium applies an organizational framework and collaborative expertise to the governance of the various CJVs across their membership of 93 institutions. The implication for Sunoikisis is that in exchange for this support, they must adhere to several principles of collaboration at NITLE, such as inclusiveness and self-sufficiency.

NITLE as a source of collaborative expertise and experience is Sunoikisis' most valuable network resource (Gulati, 1999) because it links people, organizations, and processes. This is true in spite of the fact that NITLE is a completely independent organization and need not be subservient to member institutions. Their role is to lead its members if and when the members choose to be lead into collaboration. And some do not choose to collaborate because the activities are in paradoxical opposition to institutional objectives (Bouchikhi, 1998).

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Descriptive Summary

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Sunoikisis respondents commonly referred to Sunoikisis as a "team" of classicists. Several faculty members referred to their home campuses and colleagues as their "family." This leaves NITLE, based on its role as collaborative guide and coordinating and development activities, as the "coach" in this analogy.

The respondents' responses provide context to their CJV and collaborative processes. Sunoikisis is in many ways a team of small college classicists wanting to play together and compete against the big university classicists for the best faculty players and for the team experience of working together in scholarly and academic pursuits. Each professor's home campus and colleagues comprise their family, and as a family they make decisions about participation on the Sunoikisis team based on what resources the family can afford to share and the perceived value of benefits to campus. NITLE is the coach with many years of experience and the collaborative expertise necessary to coach the Sunoikisis team effectively and successfully if it adheres to central principles or rules of collaboration.

NITLE

NITLE was established in 2001 with support from the Andrew W. Mellon Foundation, which continues to fund NITLE and other collaborations in higher education. A unified national initiative offering instructional technology programs to providers of

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undergraduate, liberal arts education in the U.S., NITLE "promotes innovation and collaboration around the effective use of technology for teaching, learning, scholarship and information management." (http://www.nitle.org). The 21-member NITLE staff works from offices co-located with two member associations, the Great Lakes Colleges Association and Technology Center at Southwestern University, which serves the 16 colleges in the ACS.

ACS created a program coordinator position through the Technology Center to assist Sunoikisis. When Sunoikisis became a NITLE program, this position and the person who held it also became part of NITLE. This person continues to work with Sunoikisis, and is particularly valuable as a colleague because she has a PhD in the classics, which earns her added respect and credibility from her Sunoikisis colleagues.

Within the context of NITLE, which is a membership organization with a permeable boundary, member institutions encounter few barriers to entry or exit. The benefit to being within this context for Sunoikisis is that membership in NITLE offers bundled programs. Just like the basic cable package that offers multiple channels that variably interest different customers, this means that even if an institution has no interest in Sunoikisis participation, but is engaged in other NITLE organized CJVs, then they remain NITLE members and pay the membership fees that will support Sunoikisis indirectly.

Participating Institutions

Sunoikisis was an initiative spawned by the classics faculty from member institutions of the Associated Colleges of the South (ACS), a president- and dean-level association. Membership in the ACS provides a common identity for selective private liberal arts colleges located in the southern region. With support from top administrators who worked collaboratively with one another, a group of classics faculty conceptualized and developed Sunoikisis. The ACS served as pool of potential participating institutions and as the linking mechanism for active participants insofar as it is a self-governing organization that creates opportunities for associated institutions to meet through their top administrators.

Founding institutions include the following ACS members: Birmingham-Southern, Centenary College of Louisiana, Centre College, Davidson College, Furman

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University, Hendrix College, Millsaps College, Morehouse College, Rhodes College, Rollins College, Southwestern University, Spellman College, Trinity University, University of Richmond, University of the South, and Washington and Lee University. Not all of these institutions, however, fully engaged in Sunoikisis activities.

The participating institutions are traditional liberal arts colleges with traditional governance systems, academic planning processes, and administrator-faculty relations. Academic planning processes for collaborative activities utilize these traditional governance systems and involve both faculty members and deans of faculty, and sometimes presidents, which is why administrator-faculty relations are important. As is common in higher education, some of these relations within independent Sunoikisis institutions are characteristically contentious, while others are harmonious. Interviewees contrasted two specific institutions to illustrate the differences in support between administrators and faculty. Without going into the details, the existence of such differences can be confirmed.

Curricular Joint Venture: The Classics

The classics professors of Sunoikisis have known one another from participation in the larger intellectual community of professional associations. Through annual conferences, which provide the backdrop for discovering common interests and regular opportunities for face-to-face interaction, a group of classics professors from similar private, liberal arts colleges are able to develop and maintain interpersonal relationships. These relationships, aside from diminishing the isolating effects of being a faculty member in a small and vulnerable department, provide the foundation for collaborative exchanges. Often individuals have gone back to their home institutions from face-to-face meeting and continued to collaborate on research at a distance with their classics colleagues. These collaborative exchanges have recently been extended to include academic activities intended to increase the quality of teaching and learning and the breadth of offerings in the classics for students on each campus.

The collaboration of Sunoikisis is described by participants as fun, rewarding, challenging, time-intensive, and invaluable. Faculty members are driven to collaborate for three basic reasons related to the curricular needs of small and vulnerable programs, hiring needs to attract the best classics talent in the faculty pool, and intellectual and

interpersonal needs to stimulate scholarship and companionship. The benefits are mostly accrued by participating and engaged faculty, although students and home institutions have benefited as well.

Sponsored by the Mellon Foundation, Sunoikisis underwent a three-year outside review. The study found gains and challenges in four areas: collaborative teaching and learning, content mastery, intellectual stimulation and professional growth, and technological innovation. More specifically, the evaluation team (Frost & Olson, 2005) concluded that Sunoikisis furthers a core goal of liberal education, teaching that involves students as individuals, builds the context they need to think critically about important questions, and encourages them to take responsibility for learning. It also promotes successful collaboration of formerly competitive colleges and uses the unbundling of instructional components to pool instructional resources. In this way, technology leads to a re-conception of team-teaching.

Sunoikisis is a unique CJV compared to traditional CJVs because it utilizes technology to link faculty and students, an outside organization as a linking organization, and is relatively young. As a new and successful collaborative initiative, it has established a comparative advantage in the classics field that enables it to successfully compete with classics programs in large research institutions for talented faculty and students. It faces significant sustainability challenges related to an evolving identity, continued growth and expansion, and participation within a new organizing and supporting mechanism.

Becoming a Tour de Force through Collaboration

Sunoikisis was initiated by faculty, who were supported by ACS leadership and Mellon Foundation funding. As one faculty member recalled, "The real key to success was a notion to do this collaborative kind of work [while] the deans stood out of the way and watched. They were interested, but they were supportive to the extent of standing aside." And from this beginning, Sunoikisis has "evolved in terms of the structure of leadership."

Over time, Sunoikisis grew to include multiple activities to comprise an intercollegiate classics program through the virtual space supported by technology. The most successful activities have been the collaborative intercollegiate student courses and

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the undergraduate symposium because of the growing pressure on undergraduates to conduct research, attend conferences and publish papers. The undergraduate symposium started with an invitation from a co-founder and archeology professor for his ACS colleagues' students to attend a dig in Turkey. They include a blend of on-campus and across-campus teaching. The courses include on-line lectures from faculty, on-line discussion sessions, and tutorials with a classicist at each student's home campus. Sunoikisis aims to provide top-quality instruction without compromising the liberal arts learning environment that the colleges prize.

Students benefit from a wider intellectual community that includes not only faculty, but also fellow students at other institutions. They have gotten to know Classics majors from other campuses, creating an intercollegiate classics cohort. Faculty noted how many of these Sunoikisis-educated students find themselves working with one another in graduate school.

Participation in Sunoikisis activities provided faculty with membership in a classics department with benefits beyond offering students the breadth and depth of a traditional classics program. One professor explained, "More than a virtual partner is a real colleague, and we probably have it better than a lot of single departments where they see each other every day." His rationale was that because some physical departments have frequent interpersonal interaction, departmental politics create greater intradepartmental tension and strain on relationships. In contrast, Sunoikisis faculty members see each other at meetings that occur only periodically. And as a consequence, "there is a very close group factor." The program coordinator said, "Somebody said that sometimes it's easier to collaborate with someone that is not down the hall…because you don't have to see them all the time and sometimes that makes it easier." She disagrees, however, because "you're going to see the same thing" in terms of conflict in Sunoikisis as in traditional campus-based departments. In other words, individuals need to work together to see what they can and cannot do collaboration regardless of geographic distance.

Of all the activities, it is the summer faculty seminar that is of most value to and provides the greatest motivation for faculty engagement in Sunoikisis. Faculty respondents enjoy these scholarly exchanges because it is the primary means for most of

them to be linked into an intellectual community for an extended period of time (two weeks). For many, the summer experiences are closely associated with the positive intellectual experiences they had in graduate school. For classics professors who are often islands unto themselves on their home campuses, these opportunities to engage with colleagues to stimulate their scholarly interests are invaluable.

Sunoikisis leverages the existence of a discipline-based intellectual community and scholarship benefits to attract top talent in the faculty market. While the classics are fundamental to a liberal arts education, private liberal arts colleges and universities face serious challenges attracting the best classics professors because of the isolation factor. Sunoikisis was, in part, created to mitigate this factor and become a pooled force to attract the top classics talent.

In fact, the name *Sunoikisis* is Greek for collaboration and refers to a union of cities called the sun cities that collaborated to take on the Athenians. At annual conferences, the Sunoikisis contingent is a tour de force on par with big research universities. They work together to disseminate and promote themselves to faculty on the job market by highlighting the advantages of teaching in a Sunoikisis-participating institutions, with all the associated privileges of a private liberal arts institution and setting *and* the benefits of an extensive intellectual community found at large research institutions, albeit linked and supported via technology. And this teaming of the best of both worlds has enabled Sunoikisis institutions to attract top classics faculty talent.

Collaboration among faculty to provide quality educational opportunities across a wider breadth of sub-fields in the discipline is enabling institutions to continue to provide classics programs to students. This is intended to be the core activity and purpose of Sunoikisis. The existing academic activities are valuable, but collectively they do not comprise the core of Sunoikisis. This will have to change if Sunoikisis is to continue to be a sustainable program within NITLE for several reasons.

First, NITLE is an organization dedicated to supporting private liberal arts colleges and universities in collaborative endeavors that enhance teaching and learning through technology. While it may be argued that the faculty seminars and attraction of classics faculty talent increase the quality of teaching at these institutions, they are not activities that require the construction and maintenance of a curricular joint venture. And

second, Sunoikisis has been grant supported since its inception, but will need to become self-sustaining at some point. If it is truly a valuable curricular joint venture to its participating institutions, then the institutions must give it financial support.

Not all ACS institutions participated in Sunoikisis because they failed to see the value in it for them given their institutional direction. According to Rhodes professor and Sunoikisis founder, Kenny Morrell, it is not worth his colleagues' or his time and energy to continually attempt to convince these non-participants to engage in Sunoikisis because they are not likely to change their minds. This is consistent with the entrenched nature of some departments within institutions and the static state of objectives (Klein, 2005; Van Patten, 1996). Morrell believes it to be far better to open Sunoikisis to a larger pool of institutions with potential interests in participating. The probable return for recruiting efforts is much greater than to wait on non-participants within the ACS.

The original Sunoikisis faculty members see their biggest challenge in attracting NITLE colleagues to participate is in their ability to convince faculty and administrators that the activities are additive. Sunoikisis is a unique CJV in that everything they have done collaboratively has not required institutions to pay for the benefits associated with a virtual classics department. Regardless, some institutions within NITLE are highly selective and therefore may find association with Sunoikisis institutions, some of which are less-selective, as a source of negative impact on institutional prestige and attraction of top student and faculty talent in a highly competitive independent college/university market. One classicist said,

> Some schools are very worried about something like Sunoikisis taking away from [institutional uniqueness]. I don't think that any of us in the south east were worried about that, because we're not top tiered schools. We always regarded this as enhancing what we do, improving what we do. We just have to convince other people that it's possible for them too.

Maximizing prestige is an institutional imperative (Marginson & Considine, 2000; Slaughter & Leslie, 1997), and prestige can be gained or lost through institutional association (Eckel, 2003; Eckel et al., 2003).

This transition will also affect the current collaborative process, transforming it to accommodate consortium objectives on a much larger scale, which presents risks associated with continued engagement among existing partners. As NITLE and the

original Sunoikisis faculty team work to attract new participants and make corresponding changes for scale, the risk of losing some of the original team players is real because they will no longer identify with the new. Navigating change is difficult and requires patience, tolerance, and leadership. Liberal arts colleges as a mixture of both tradition and innovation have a long history of persistence in the face of change (Martin, 1984; Pfinster, 1984).

<u>Navigating Change</u>

The greatest challenge facing Sunoikisis is making a transition from a curricular joint venture within the ACS, to one in NITLE. NITLE greatly expands the number of potential partners, which is part of the attraction to make the transition. It also offers support and guidance in this transition, but makes new demands from participants. These demands include a curricular focus, financial self-sufficiency, and strict inclusiveness.

The inclusiveness factor is one that motivated the Rhodes professor and Sunoikisis co-founder to link with NITLE, but the implications of going from a small team of professors who are very familiar with one another and have established professional relationships that spillover to include personal interests to a large team of professors from across the country is daunting and unappealing.

The larger team will be less familiar and impersonal, at first, which presents challenges for those who were involved in the original close, interpersonal club. One classicist who has been engaged in Sunoikisis since its inception said, "I just won't get to know people in the same way." The relationships she has with her ACS colleagues were forged and sustained through 10 years of collaboration in teaching and learning and annual faculty symposia. She worries that many of her colleagues are less likely to continue to participate in a nationalized Sunoikisis because the ACS group "will not be split up, but just kind of watered down." It may seem less fun for those individuals and too much of a departure from the camaraderie experienced in past years.

NITLE is unsympathetic. The NITLE Director of Organizational Development and Leadership said,

> One of the things we say jokingly is that there is a difference between collaboration and a club. Right? Can Sunoikisis become something that engages more institutions, touches more undergraduates, achieves some economies of scale, brings a wider variety of intellectual specializations into the discussion? Or

will it in the effort to do that, we lose some of the sense of affiliation and allegiance and club-like community that has been important to it so far? So that's one of our big questions about Sunoikisis.

In other words, the big question NITLE is asking of Sunoikisis is whether a small collaboration with a community-based culture can be balanced with the potential for increasing the impact on students and faculty nationwide. No one knows, including Sunoikisis participants.

NITLE's role includes facilitating culture change. As the NITLE director said, "How do you teach these little campuses to adopt some different cultural values, like that sharing is better than owning?" Ways in which NITLE plans to ease culture-change include continuous sponsorship, promotion, and encouragement throughout the transition by providing participants with great collaborative experiences that ease their anxiety and enable them to forge new relationships. So far they have had a series of meetings that are linked with annual conferences to pitch Sunoikisis to faculty from NITLE institutions. They are, however, mostly in a wait-and-see position for a while to see how faculty will play out the arrangement.

When Sunoikisis was a collaboration of 16 different colleges, it operated with a single program coordinator, which was a rotating position among the faculty for a term of 2-3 years. Since being rolled into NITLE and opening up to 93 different colleges, Sunoikisis faculty recognize the need to move to a different governance system. The change is too big for a single coordinator, and therefore a coordinating committee of faculty is the likely shift for governance.

Some members question, however, whether or not there should be several coordinating committees to represent different geographic regions because of the vastness of the program's new scope. Some respondents referred to these as "regional pods" that may be able to maintain the close-knit culture of the original Sunoikisis team and replicate it across the new members. As one Sunoikisis member said, "We're still going to be one single department, but they'll be a variety of programs running underneath Sunoikisis, and I suspect they're going to be regional." This type of governance system would distribute the work and provide flexibility for the various geographic groups, which is consistent with Cameron's concept of "fit" as a balancing of both tight and loose

coupling as an adaptive governance strategy (Cameron, 1984). It also suggests that geography does matter insofar as it has facilitated existing relationships between institutions within a geographic area, a vestige of the times when interaction via information technology was limited. Until a new governance system is developed and implemented, Sunoikisis continues to benefit from a full-time NITLE program coordinator, who is the central connection and source of expertise and guidance available to Sunoikisis members and has taken over many of the duties of the faculty coordinator, such as the logistics and administration of Sunoikisis.

Analysis

The process of collaboration within Sunoikisis is analyzed through the five basic constructs as outlined in the conceptual framework above: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms. These behaviors and mechanisms operate to alleviate constant interinstitutional tensions derived from competing values.

Sunoikisis institutions are undergoing a great deal of change by expanding to include all NITLE institutions. This expansion is welcomed by a number of participants who value the potential for Sunoikisis to become a powerful program on a competitive scale of large research universities. Unfortunately for many of the original group members, growth competes with their value of a smaller, more familiar group of colleagues. This tension of exclusiveness versus inclusiveness is present within individuals struggling with their levels of comfort and ambitions for Sunoikisis.

Engagement and Participation

Engagement in Sunoikisis among faculty stems from individuals' willingness to tap into a wider associative network beyond their home institutions and campus colleagues, or families of origin. Common motivating factors for respondents included passion for the classics and participation in a wider intellectual community, student benefits, professional development, and diminishing the isolation common for classicists at small colleges and universities. As one chief academic officer said, "Faculty passion is a huge thing in terms of getting these things going - having champions in that way." In

his view, Sunoikisis was born and evolved out of the passion and work of participating faculty. This places a high value on the individuals who choose to participate and fully engage in this virtual intercollegiate department that permeates the traditional boundaries of institutions. The implication is that without these particular individuals, it is unclear whether Sunoikisis would have been created or if it will continue to evolve.

The chief academic officer posed the question if his institution would continue to participate in Sunoikisis if his engaged faculty member were to retire and be replaced. "Would that person also come in and have an equal passion for Sunoiksis? I don't know. Certainly I would encourage them to do that, but you know, individuals will deal with things differently." In other words, he cannot impose Sunoikisis engagement upon a new classics professor. Individuals and their passions are difficult to substitute.

Barriers to faculty engagement can be bifurcated by tenure. Some junior faculty are concerned that because promotion and tenure is linked to professional activities and publications, time spent on collaboration in Sunoikisis will not be rewarded. One faculty member said, "I have heard from other colleagues that they are afraid if they take too much time for participation in Sunoiksis activity that this won't carry the same weight as if they took a position at the APA." She suggested that as Sunoikisis receives greater visibility as a national program within NITLE, participation will be viewed more as a professional activity.

Senior faculty members are inhibited by factors related to technology, but even this is changing. Consistent with the theory of adoption whereby there are waves of technology adopters (Sahin & Thompson, 2007) it becomes easier and easier for cautious individuals, such as senior faculty, to adopt technology to support academic activities. For example, at a recent Sunoikisis meeting, a senior classicist who has never actively participated in collaborative activities asked many questions related to technology that could support the indexing of his research slides collected over the length of his career. After witnessing the successful adoption of technology by his colleagues coupled with his desire to chronicle his legacy, he is motivated and interested in technology via Sunoikisis collaboration.

At the institutional level, faculty members may encounter a lack of support from their deans and faculty colleagues because of a lack of information or identity with

Sunoikisis activities as related to institutional objectives (Maxwell, 2005; Osborn & Hagedoorn, 1997). For example, one ACS campus does not participate because two of the three classicists do not support Sunoikisis. The third would like to engage, but cannot because he knows his colleagues are not behind it.

With respect to deans, participating faculty work hard to demonstrate to that Sunoikisis is a benefit. For example, one professor said, "I always tried to be involved to the extent that it enhanced what I was doing and now what took away from it. It is extra time; I always thought that it was like having a part time position in another department." This professor takes care to engage insofar as it enhances what she does on campus and accepts the extra time and effort involved, taking on the responsibility outside of her on campus duties.

Developing Common Purposes, Mission and Vision

The ACS group developed common purposes, mission and vision easily as a derivative of their common identity as prestigious liberal arts colleges that holistically focus on teaching and learning, engage in research with undergraduate students, are located in the south, and have familiarity with one another based on competition for students and geographically-based joint activities. They recognized each other as similar, which provided a sustainable platform for creating a common identity through Sunoikisis. One professor recalled, "The idea that we had to share an identity, it just made collaborating and talking much easier and much more productive. I don't think there was a lot of competition amongst us." Their common identity through Sunoikisis enabled them to collaborate with one another effectively with little to no competition. They saw each other as comparable in terms of prestige, which increased trust in the quality of instruction across institutions and reduced tension and potential conflict.

Now that Sunoikisis includes liberal arts colleges and universities across the country, most of which are relatively unfamiliar to the ACS faculty, trust is replaced with concern over the expected quality of instruction and experience and the potential for conflict. One faculty member expressed her concern, "I think going out into some of these other schools…we might get into a more, I'm not going to say less collaborative, but…there might be more political jostling…I'm just anticipating some of that." The lack of a common identity with unfamiliar institutions creates anxiety among the original

Sunoikisis team about what will become of their harmonious and non-competitive organization.

Keeping the original participating classicists engaged in a nationalized Sunoikisis will be a challenge because for many, their participation has been fortified by deep personal friendships developed over the course of engagement in Sunoikisis activities. "It depends on what you go for, the society as much as the professional development," said one ACS classicist of continued engagement in Sunoikisis. "I just think it will be more of a professional thing, which it always was. But I do have wonderful friends from Sunoikisis, who I never would have known otherwise." While the basic premise of Sunoikisis has always been professionally-based, participants have derived much more from their participation in the way of developing strong and rewarding interpersonal relationships. Members perceive these relationships and collegial and friendly climate to be jeopardized by a return to a heavily focused professional purpose.

Collaborative behavior depends on individuals' abilities to forge relationships with a variety of people with different interests, roles, and responsibilities. The original faculty members clearly know how to do, but the prospect of forging relationships with colleagues from unfamiliar institutions on a larger scale is intimidating. The anxiety associated with this change impacts the level of collaborative behavior among original participants. Some are weighing whether or not they want to play anymore on a bigger more impersonal team.

The value of the intellectual community for small college classicists who are isolated from one another by geography and association is likely to be the motivating factor for the original Sunoikisis faculty to continue to collaborate. Participation in the summer faculty seminar is the opportunity many people have to interact with one another. As one respondent said,

> We're little schools, we're not graduate schools. …Just the chance to find out what people are talking about at the highest levels of scholarship, those inner circles that you used to be part of in graduate school…that's just invaluable. I don't know where else you could get that just in a matter of days, so that's very important.

The value derived by faculty from such close collaborative behavior at the seminars is like a found oasis in a desert of isolation that characterizes the intellectual environment for many small college classicists.

Frost and Olsen (Frost & Olson, 2005, p. 3) attest: "Vibrant intellectual work depends more on the passions of scholars than on the structures institutions have built to organize knowledge. When those structures become confining, scholars go around or even through them to accomplish their original goals and more." This intellectual community also promotes collaborative behavior beyond the faculty seminars as participants continue to connect through technology, such as the Internet and telephone, and common meeting places, such as professional conferences.

Identifying factors in Sunoikisis' success is difficult in terms of replicating it elsewhere. Classicist and co-founder Morrell outlines these factors:

> People who are interested in doing this, that's one thing. But also they have to have resources. And they can't be resources that are necessarily tied with the kinds of inhibiting restrictions that are frequently the case, so without Mellon money this would not have happened.

The two critical factors are willing and able people, and adequate monetary resources. Others would add a third critical factor, and that is Morrell's leadership and enthusiasm.

Changes and Direction of Leadership

Faculty respondents agree that Sunoikisis works because it is faculty-driven. Its leaders come from their own ranks, not administrators or NITLE staff. All praise NITLE staff, their program coordinator, in particular. Some praise the deans of faculty for an enabling faculty to create and operate Sunoikisis. Most recognize the need for administrator and NITLE support, but academic collaboration can only work as a grass-roots effort. One faculty member said, "It doesn't work if it's top down. …Something like this only works when the grass roots are up." This perspective places a very high value on faculty as leaders. Certainly Sunoikisis has had significant collaboration champions, but NITLE is an organization of experts in higher education collaboration.

NITLE is providing leadership and support for classicists who have collaborated successfully on a small scale to collaborate on a large, national scale. The classicists, however, see themselves as wholly original and unique, the implications of which are that they can't possibly be replicated to other disciplines. As one professor said, "They

obviously tried to put Sunoiksis out there as a model to other disciplines, and then other institutions try to convince their faculty to do it. That's the kiss of death." He is saying that a top-down approach to academic collaboration does not and will not work. His chief academic officer concurred. He said, "I'm aware of the program and how it works, but in terms of shaping the program, it really happens at the professor level." He stands out of the way and lets trusted faculty engage in collaboration that he has seen to be successful.

NITLE places less emphasis on grass-roots versus grass-tops and views leadership not as positional (Ferren & Stanton, 2004; Huxham & Vangen, 2000), but rather based in informed and networked individuals. According to the NITLE director, the best kind of leadership in a collaboration comes from "people who are social hubs. They are the people who are the networkers…and get the scoop on what's happening all over campus." These types of people are precisely the ones NITLE works to identify and assign as campus liaisons for NITLE programs. And this is consistent with the literature on effective management of alliances, which lead to competitive advantage (Ireland et al., 2002; Peteraf, 1993; Pfeffer, 1994; Rackham, Friedman, & Ruff, 1996).

Classicists and co-founders Kenny Morrell and Mark Garrison have embodied the principles of Sunoikisis, defining its purpose, crafting its activities, and breathing life into its organization by corralling and engaging his closest classics colleagues in the ACS to participate in the classics CJV. For the Sunoikisis team, they are the leaders, or captains. Morrell has been the person out front, leveraging his extensive professional network to seek Sunoikisis support from the ACS institutions and his classics colleagues, securing foundation grants, and planning for a sustainable future for Sunoikisis through NITLE. One Sunoikisis faculty member said, "Ultimately the inspiration comes from faculty. It's got to continue with the Kennys the Marks, for this to continue to evolve. Otherwise pretty soon we'll be old news." And this brand of grassroots leadership is increasingly important to maintain faculty support and enthusiasm as Sunoikisis transitions.

Morrell is described by his colleagues as a "big thinker." Respondents place a high value on his leadership and link it to the viability of Sunoikisis. Because he and his leadership has been central to Sunoikisis at each stage of its development and operation, its level of sustainability is unclear should Morrell leave the CJV or relinquish his leadership role and activities.

The program coordinator downplayed Sunoikisis' continued need for Morrell's formal leadership at this point in its evolution. She said,

> Early on he was the main driving force, and he made it a great institution. Then Sunoiksis started working more as a community. It wasn't just Kenny talking you into doing something. It was the other faculty being invested into what they were doing.

In other words, he was Sunoikisis' main champion in its early stages, but now that others have created relationships with one another, the community is in less need of a champion. Morrell continues to provide leadership, albeit in less formal ways. She explained, "He's great to bounce ideas off of. He's great for that, and if he's off doing other things, Sunoiksis is to the point where if he left it would still go on." She noted that people continue to go to Morrell for informal leadership, which is not likely to change because people view him as their captain and because he is willing to continue to be a source of leadership.

Morrell agrees. He said, "I think that there is a self sufficient critical mass now where I can safely go on to something else and it would continue." Regardless, transition of leadership is inevitable, and it will surely be a challenge for Sunoikisis. If, however, the CJV adjusts to the transition challenges facing it as it grows under NITLE guidance, then successful adjustments to leadership changes are more possible. Perhaps, leadership change is one factor that will enable Sunoikisis to transition because it will provide the necessary break with the past and replace old expectations with new and original ideas.

One faculty member said, "There are a lot of very creative and young people involved in that side of things so that Sunoikisis at this point is becoming so established that it's time for Kenny to move on and invent something else." Existing faculty participants create a pool of potential leaders capable of leading Sunoikisis to new levels of collaboration based on the fact that they all are early adopters, and by extension risk takers. They have also established rapport through existing relationships with the other classicists in Sunoikisis and in the field. The implications are that leadership transition can be positive for Sunoikisis, particularly at a time when it is expanding.

Linking Mechanisms

Information technology, interpersonal networks, NITLE staff, and annual professional association meetings support the flow of information across autonomous

member institutions to classicists on the inside and outside of Sunoikisis. The most important site for sharing information has and continues to be annual professional association meetings. One professor who has been involved since its inception remembered first hearing about the project at a conference. Thinking it sounded interesting, he attended the first meeting, which consisted of a dozen people.

NITLE works to continue to bring potential participants into Sunoikisis and to share information across the Sunoikisis community by building onto these pre-existing meetings. NITLE seeks to make sure that everybody involved is actually engaged in the academic planning. They also try to make sure that the participants' experiences are rewarding and positive so that they will go away with a greater sense of connection with their less familiar colleagues and a willingness to come back again. And in between meetings, participants will be able to strengthen their connections through the use of technology. "We're building relationships in slightly redefined modalities," said NITLE director. Having a virtual relationship with a colleague in between face-to-face interactions is different from having a relationship with a colleague down the hall, but it works for isolated faculty members who operate in rings of proximity defined by discipline and not geography.

NITLE understands that institutional cultures vary tremendously, and institutional characteristics are not adequate to judge institutional participation. For example, one of the things NITLE has noticed is that resource dependency is not a consistent factor for participation. Some of their best resourced institutions are both among the highest participating and lowest participating institutions in CJVs. Therefore, they advocate attentiveness to feedback as critical to deciphering the unique concerns of individual campuses.

Ultimately the decision to participate has to be an institutional one. It is the responsibility of participating faculty members to keep their respective chief academic officers informed about their collaborative academic activities. The flow of information on campus is the key to institutional support. Anne Leen described how best to inform chief academic officers at home:

> Largely it was just reminding them what it was doing for our students and for our institutional profile. Keeping them informed. I don't think deans like it if they're surprised if they don't know what's going on. They have to know it's not the

detracting from our institutional identity but adding to it. I think you have to speak about it very positively in those terms. Then very few of them have any problems with it.

She also made a point to communicate Sunoikisis activities to the broader campus family of faculty, student body, and community constituents through campus communications, such as newsletters and the student paper, and local newspapers.

NITLE and, more specifically, the Sunoikisis program coordinator, serve as linking mechanisms for Sunoikisis participants and potential participants. As the program coordinator describes her role, "If you need to find something out, you can come to me…I'm a matchmaker." Not only a source of information, she is also a person who can bring people together. She does this by getting to know people and then forging relationships with them. As a starting point, she gathers background information on individuals prior to meeting them "to feel them out to start the conversation" and determine what kind of people they are, such as adventuresome and active, both traits that are common among faculty participants.

She also credits her experience as common ground on which to build relationships. "It's helpful for me coming from that environment so I know where you're coming from." Several Sunoikisis respondents commented on her credentials as a classics PhD as a common connection, but she contends it is not necessary because it is not about her classics credentials so much as her experience in a small department. "I understand what it's like to be isolated. You can do your own thing, but it's just better to have colleagues. Just someone to talk to even if it's just venting." This helps her more than her background in classics, especially when she is working with collaborative groups in other disciplines. But regardless of credentials, it will become increasingly difficult for just one person to be a matchmaker for an expanding network of Sunoikisis participants.

Networks play a vital role in linking people and activities (Gulati et al., 2000). In the case of Sunoikisis, the overlap of individuals' networks creates a web of expertise and foundation for a large and dynamic intellectual community in the classics. In the Sunoikisis context, engaged classicists are linked to one another through their extensive professional networks, and those of their leaders. This expansive and dynamic network of individuals is the primary source of creating valuable academic resources for participants

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and their students that are not easily imitated in other departments or institutions, and cannot be substituted by formal organizations (Gulati, 1999).

This network resource is leveraged through attendance at professional conferences, institutional associations, and roving junior faculty, a common reality for the first five years as a classics professor. As one professor said, "Interpersonal relationships are at the very core of what do. Unless that you have people that are interested in fostering relationships, things like this are not going to happen." Interpersonal relationships provide the means for exchanging information and support (Gersick et al., 2000), and are the foundational source of collaborative behavior.

The original Sunoikisis faculty members have developed strong relationships that are reinforced several times a year in meetings, and most notably summer seminars. NITLE supports these interactions through regular communication and organization and facilitation of regular academic planning meetings. For example, each summer the faculty comes together in a workshop to negotiate different calendars, exam expectations, and course hours requirements to design a shared syllabus. They discuss weekly lectures and online postings of questions and responses. A NITLE program director is, and always will be, present at these planning sessions.

Sabbatical replacement position is also a means of linking schools. The Sunoikisis faculty tried once to string together three people who knew they were going to be on sabbatical, but it proved to be too difficult. The second time they tried it, they received foundation support, which enabled institutions to cover sabbatical replacement. The deans found the arrangement ideal because it relieved faculty and course scheduling tension and because it saved them money. The implication is that the faculty replacement program may be more difficult to convince deans to support with institutional funds.

The impact of the program extends beyond just providing sabbatical relief to pollinating ideas across institutions via the rotating faculty replacement member. This classicist who worked in the position served on a different campus each year for three years, which enabled her to get to know each of the institutions and faculty members well. The relationships she developed at each institution not only expanded her professional and personal network, but also that of Sunoikisis. She became aware of the institution-specific issues related to collaboration, learned to speak the language of each

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campus and to use this knowledge and connections to offer contextualized and informed input in Sunoikisis discussions. Her experience sensitized her to potential collaborative barriers each of the three campuses at which she worked present.

Dispute Resolution Mechanisms

The primary mechanism for resolving disputes is through NITLE, and more specifically, through its program coordinator who oversees Sunoikisis. The program coordinator does this by remaining in frequent contact, having disciplinary expertise, which provides context for disputes, and connecting with faculty and listening to their concerns. For example, she is trying to get more colleges involved. Some of the relatively large and wealthy institutions do not want to participate because they are self-sufficient and/or have concerns about Sunoikisis. Dr. Davis has found that these institutions face some of the same challenges as other places, and therefore it is critical to listen to their concerns and ask questions. She said,

> It's worthwhile to talk to them and say, "What is that challenge?" "What problems are you facing and is that something I can help with?" It's certainly worthwhile to listen, instead of just saying that I have a solution, let me impose it upon you.

She often discovers institutional concerns about NITLE, and then has the opportunity to address them. This position, however, places the NITLE program coordinator in an awkward position at times. "There's this cluster of people that have involved from the beginning, and from time to time that's exactly the sort of thing that comes up. I think it kind of puts Rebecca in an awkward position and we would talk amongst ourselves and one of us would address Rebecca." In a conflicting situation, the original faculty members are likely to resolve it in two ways. The first is to discuss amongst one's closest colleagues. Discussion with Rebecca Davis, the program coordinator, is secondary because of her position with NITLE and the potential for conflict of interest. A Sunoikisis faculty member said, "I don't think that we would feel it would be useful to brainstorm with her on something. I would go to the small corner of people, email them…small group discussion." This faculty member made clear that she respects and believes Dr. Davis to be "very good at her job," but she is viewed more as an administrator with competing interests because of her NITLE position.

These small group discussions face-to-face or via email and phone are how a number of issues have been resolved. A recent example is the brainstorming of the original Sunoikisis faculty teammates on how best to structurally organize and govern Sunoikisis to include faculty from the expanded pool of NITLE institutions. They continue to think, discuss, and debate ideas when possible. In fact, a number of them had one-on-one and group discussions on this issue while at a recent professional conference. Eventually, they will designate somebody to go to Dr. Davis and NITLE to discuss with them the options.

Faculty must navigate their home institutions' governance systems to resolve campus-based disputes. To support this navigation, two of the four Sunoikisis meetings that take place each year and serve as intercollegiate department meetings devote a great deal of time and discussion to the importance of and how best to achieve communication with deans. One faculty member said, "We always tried to keep it front and center in all our members' minds that they had to be constantly talking, and our other colleagues outside the department." Sunoikisis is not an effective mechanism for settling related disputes on the individual campuses, but faculty members are. NITLE, therefore, coaches the Sunoikisis team how best to be effectively communicate and dissolve disputes on campus. One dean of faculty said, "Sam[18] would come to me, we're family, and we talk about it there." The implication is that faculty must know or learn how to communicate and deal effectively with their academic officers at home.

Conclusions

Sunoikisis is driven by faculty in the classics for a variety of professional reasons related to scholarship, teaching and learning, and camaraderie. It has also served the needs of isolated classicists to connect with one another on an intellectual level and a personal level. Participating faculty members have developed deep professional and personal relationships through Sunoikisis, a virtual classics department, creating a CJV characterized by a level of familiarity and intimacy similarly found within functional physical campus-based departments. This club-like culture, however, must undergo major

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[18] This is a pseudonym.

change as Sunoikisis transforms from a regional CJV to a national CJV under the guidance of NITLE.

There are more questions than answers as to the sustainability of Sunoikisis as it scales up and is adopted across other disciplines. They must develop a new governance structure to accommodate a larger number of people, engage in active change to transition from a club-based culture to an open culture, continue to find ways to expand teaching and learning opportunities for students, and seek a sustainable source of revenue. Potential sources of conflict stem from an asymmetric sense of identity and familiarity between the original Sunoikisis team and potential players in the larger NITLE team. Some faculty members are unsure if they want to continue to play with people they do not know, nor with whom they share a common identity. During this transition, collaborative behavior is being tested, and NITLE, with its resources and expertise, is actively coaching existing and potential members throughout the process.

There are several established processes that have enabled Sunoikisis to thrive thus far. They have an organic means by which faculty engage in academic planning through Sunoikisis, and align these ideas and activities through their respective institutions, or families. Multiple linking mechanisms are in place to connect people and ideas to maximize creativity and adaptation in Sunoikisis, including faculty networks and NITLE staff. Information flows through these linking mechanisms via regular face-to-face interaction and the use of information technology. Organizational structures and individuals act as mechanisms to resolve disputes and concerns that arise, which are of particular importance as anxiety levels are increased during this transitional period.

CHAPTER 7

COMPARATIVE CASE STUDY ANALYSIS

"The area for real exploration around collaborative thinking and collaborative learning is what happens among faculty. One really important aspect of this must always be place-based. Then you can extend beyond the place…to much broader connections. …You have to have a critical mass of intellectuals in one place over coffee. …You can't underestimate or overlook the fact that these interactions matter." Adele Simmons, Keynote Address at the Conference Proceedings of Cultures of Cooperation: the Future Role of Consortia in Higher Education, hosted by the Fiver Colleges, Incorporated and its member institutions, November 11-13, 1999.

This comparative case study analysis examines three curricular joint ventures (CJVs), which are defined as inter-institutional alliances, whereby the partner institutions are involved in academic collaboration to develop and provide unique and shared courses and degrees to students attending member institutions. I have targeted CJVs involving private liberal arts colleges and universities in the United States that are seeking to enhance the diversity, breadth, and scope of their curricular offerings while maintaining small campus characteristics (e.g., small faculty to student ratios, experiential learning, residential living) through collaborative activity across faculty, departments, and administration.

Descriptive analysis of the processes each of these CJVs have adopted in their efforts to operate new interinstitutional curricular courses, programs, and departments is provided as a basis for understanding the basic behaviors or mechanisms that must have be in place to facilitate collaboration at differing levels of integration. This information is expected to be insightful as an outline for how institutions can collaborate at three various levels of integration.

Chapter Overview

This chapter presents data comparing the collaborative processes across three distinct CJVs – the Claremont Colleges, the Five Colleges, and Sunoikisis. Data is

presented in the same format as the individual case studies along the five dimensions outlined in the conceptual framework: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms. The purpose of comparing these three cases is to understand similarities and differences in collaboration processes of CJVs across a continuum of integration and geographic proximity variables while controlling for other factors such as collaborative focus (i.e., academic), institutional type (i.e., private liberal arts colleges and universities), level of discipline vulnerability (i.e., high), and performance (i.e., successful).

Common themes and aspects that are evident in all the case studies include the "organic" nature of collaboration coming from the faculty ranks and the importance of relationship development and maintenance. Distinct differences emerge based primarily on issues related to organizational and governance structures, culture, and perceptions of costs and benefits that impact the level of flexibility and free will among faculty. These differences are influenced by geographic proximity and level of integration, but also by individuals' perceptions of interpersonal proximity and reciprocity of partners when asymmetry of resources exists.

Analysis

The process of collaboration within CJVs is analyzed through the five basic constructs as outlined in the conceptual framework above: engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms. (See Appendix H for a table of evidence that contextualizes each site across the five constructs.)

Each CJV struggles to balance multiple competing values through the five identified behaviors and mechanisms below. These competing values are similar across institutions, but some values given the institutional contexts of member institutions and the CJV vary in relevancy by case.

Autonomy versus dependency or interdependency and reciprocity versus free riding are particular tensions or competing values specific to the Claremont Colleges' context as they relate to asymmetrical resources and institutional interdependencies.

Institutions vary in their value of interdependency versus autonomy in terms of academic offerings, and related to these interdependencies, are particularly sensitive to free riding by their sibling institutions while they value reciprocity.

In the Five Colleges' context, the tension between voluntary and compulsory collaborative activities is a delicate balance for the institutions, and Five Colleges, Inc., to maintain for their faculty. Some institutional administrators are interested in encouraging faculty members to collaborate with their Five College colleagues, but for obvious reasons related to institutional autonomy they acknowledge that collaboration is strictly voluntary. Similarly Five College personnel promote collaboration and assist faculty members seeking to voluntarily engage in collaborative activities and programs, but also require engaged faculty members to meet regularly. Therefore, many parts of the collaborative process are compulsory in order to make collaboration work.

Sunoikisis institutions are experiencing a great deal of change as the venture expands to include all NITLE institutions. This expansion is welcome by a number of participants who value the potential for Sunoikisis to become a powerful program on a competitive scale with large research universities. Unfortunately for many of the original group members, growth competes with their value of a smaller, more familiar group of colleagues. This tension of exclusiveness versus inclusiveness is present within individuals struggling with their levels of comfort and ambitions for Sunoikisis.

Engagement and Participation

Technology has certainly enabled faculty to move beyond their campus boundaries to create a collaborative community in Sunoikisis. Technology is somewhat less important for faculty and administrators at the Five Colleges and the Claremont Consortium. Even with technology enhancing interactions and enabling collaborative activity and learning among faculty from distant campuses, the face-to-face, place-based interaction among a critical mass of faculty is crucial for people to do the difficult and tenuous work of building relationships that will support collaboration. This is evident in the high value Sunoikisis faculty place on their summer seminars where, as one faculty member said, they can all get together "like in the old student days, which they miss," learn collectively and collaboratively, get to know one another professionally and personally, and establish a level of familiarity that can serve as a platform for future

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interactions via technology. Faculty and administrators at the Five Colleges demonstrate the importance of face-to-face interaction "over coffee" in their regular and frequent meetings, which are also supported by the central Five College office and instigated by staff, while the faculty and administrators at the Claremont Colleges all utilize technology for communication and some interactive purposes, the closest ties between individuals occurs face-to-face, which is supported by office proximity and other similar serendipitous geographical situations. Time is precious, as everyone noted within and across all three cases, but, face-to-face interactions were still valued and seen as critical, with technology serving as a supporting interaction mechanism for already established relationships among individuals.

Smart & St. John (1996) utilize the competing values framework (Quinn & Cameron, 1983; Quinn & Rohrbaugh, 1983) to explore the hypothesized linkages between organizational effectiveness and dominant culture type and culture strength of an institution of higher education. They found that while most higher education institutions traditionally exhibit clan cultures, alternative culture types exist, often multiple types within a single college or university.

The culture of the three CJVs follows this pattern and exhibits a clan-like quality. This is part of how the individual CJVs can reward its members for additional work and effort, because it is providing them with an intellectual community that stimulates them professionally, and a community of friends that supports their need for fellowship and contact. Whether participants described themselves as family, community, or a team, they all placed a high value on being a part of a group of respected and familiar people.

Developing Common Purposes, Mission and Vision

All three cases are examples of unique CJVs that have created comparative advantages within their field across the higher education industry. The comparative advantages of two CJVs, the Claremont Colleges and the Five Colleges are sustainability based on history, geography and cost-benefit perceptions. Sunoikisis, however, faces many challenges related to its relative youth as a CJV and transition from an ACS-based CJV to a larger NITLE-based CJV. They have to redefine shared purposes, mission, and vision with a larger pool of potential partners. Issues of institutional identity, which are common across all three CJVs, limit some institutions' ability to see collaboration with

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less prestigious institutions as positive. Many of these issues are related to asymmetrical resources (e.g., wealth, selectivity, size, age).

Based on the experience of the older two CJVs, which have and continue to evolve and periodically redefine their collective purposes, missions, and visions, frequent interaction and intellectual exploration within a community of scholars who share common interests aid in the development of a shared purpose. Through greater familiarity and experience with colleagues outside one's campus, people are able to discover common ground, which provides the foundation on which to build relationships.

Changes and Direction of Leadership

"New developments tend to thrive when they rise out of organic growth rather than being imposed by formal structures" (Frost & Chopp, 2004; Frost, Chopp, & Pozorski, 2004). "Organic" is how collaboration was described at Five Colleges, and it is derived from faculty – a grassroots philosophy. Leadership from above or grasstops supports behaviors and activities through traditional higher educational governance structures. Leadership flowed from the bottom up and the top down in all three CJVs, but the type of leadership differed. Administration at the Claremont Colleges directed and actively promoted collaboration through their leadership, whereas administrators at Sunoikisis institutions primarily provided administrative support through their positions of authority. Administrators at the Five Colleges provided support, and at times worked to promote greater intercollegiate collaboration through their leadership efforts to change institutional cultures.

Linking Mechanisms

All three collaborative organizations – NITLE, Five Colleges, Inc., and the Claremont University Consortium – are the main mechanisms for linking individuals and institutions (Nadler & Tushman, 1997), albeit in different ways with different organizational mandates, contexts, and resources. The Claremont University Consortium is a services-based collaborative organization, whereas both NITLE and Five Colleges, Inc. are academics-based collaborative organizations. All bring individuals with academic decision making roles together face-to-face, including presidents, provosts/deans of faculty, and faculty. The context of the meetings, however, varies because NITLE and Five Colleges, Inc. focus on academic planning while the Claremont

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University Consortium bring people, primarily administrators, together for planning of campus services. Regardless of context, these meetings serve as opportunities for people to connect, share information, and form relationships (Gersick et al., 2000; Smith et al., 1995), which are the foundation for academic collaboration.

Five Colleges, Inc. and the Claremont University Consortium are both central facets to their respective consortium's organizational design as linking mechanisms for member institutions (Nadler & Tushman, 1997), albeit in different ways. Five Colleges, Inc., through structured academic planning meetings, and the Claremont University Consortium, through established student services networks and activities, facilitate collaboration from the grassroots and the grass-tops, providing collaboration expertise in their coordination of all the necessary decision makers and participation in academic planning. NITLE, however, is not a product of organizational design by member institutions, but is a wholly independent, outside organization.

Collaboration among these types of institutions often has to be tailor-made, from scheduled interactions, administrative support, and software. For example, the Claremont University Consortium's common enterprise system as noted by the CUC Executive Director Brenda Barham Hill, had to be created by a software company to suit their specific technical needs "because no one has a module out there in the world that allows for cross-registration, we knew that whichever vendor we went with, they would have to develop one for us." Modes of delivery also have to be specifically designed to suit the purposes of the CJV, not the lure of saving money. odes of delivery – none of which saves colleges money given the combination of both direct and indirect costs (people's time and expertise as is evident from the CUC Executive Director's comment, "the idea was that we could probably save some money - ha ha ha - which, we might have, but we spent a huge amount of money, we might have saved some money - you don't know if you added up whatever everybody was spending." Sunoikisis founder and faculty member said that the identity of Sunoikisis institutions to have particular fields as liberal arts colleges outweighed collaboration costs. If the benefits outweigh the costs, then CJVs are valuable endeavors to the participating institutions in terms of securing a sustainable competitive advantage.

Dispute Resolution Mechanisms

The theory that best describes the collaborative model of Five Colleges is probably the evolution of the organizational life cycle. With the exception of Hampshire, none of the institutions are resource dependent on one another in terms of curriculum. This is not true of the Claremont Colleges, which are especially driven because of their high level of curricular integration and dependence on one another to provide general education courses, with the exception of Pomona. This is not to suggest that the Claremont Colleges have not evolved over time – quite to the contrary they have evolved as any organization will over time; but their evolution is of necessity more so than choice. Five Colleges continually choose to collaborate. This is why they have a strong central office to promote and facilitate academic collaboration, or to "bug" faculty, departments, and institutions to engage in collaborative behavior and structured activities.

Comparison of Variability

Comparisons are then made across cases paying attention to the two independent variables of geographic proximity and level of integration.

Geographic Proximity

This study was designed to compare cases that differed in terms of their geographic proximity. Each of the three cases represents a point in a continuum of distance from close clustering of campuses to dispersed campuses. A series of a priori assumptions of how different geographic proximities impact the collaborative processes of each case are presented in Figure 4 coupled with the findings by geographic proximity (i.e., closest, close and dispersed).

With respect to engagement and participation, the assumption was that the closer in geographic proximity CJV partners were situated, the less faculty and administrator resistance existed. The implication then is that with less resistance, the collaborative process is more organic among closely situated partners who have greater opportunities for serendipitous and planned interactions. The further apart members were, the more need for motivational forces, such as resources to fund planned meetings.

Figure 4. Variability across Cases by Geographic Proximity

Constructs	Geographic Proximity		
	Closest	*Close*	*Dispersed*
Engagement and Participation	**Assumption:** Little resistance and little need for motivational support **Finding:** Time creates resistance unless motivation is greater, and no strong supports exist to facilitate motivation	**Assumption:** Moderate resistance **Finding:** Strong central supports motivate engagement and participation	**Assumption:** Need for strong core of champions to influence **Finding:** Formal less important than the core faculty involved, but great variability across potential participants
Development of Common Purposes, Missions, and Visions	**Assumption:** Development is simple **Finding:** Development is hard work because it is "difficult to give things up"	**Assumption:** Development is limited to pre-existing common ground **Finding:** Similar institutional characteristics enable development	**Assumption:** Difficult, facilitated by strong central organization **Finding:** Similar institutional characteristics enable development, and motivation is key
Leadership	**Assumption:** Leadership is bi-directional **Finding:** Leadership is bi-directional	**Assumption:** Leadership is bi-directional **Finding:** Leadership is bi-directional	**Assumption:** Leadership is bi-directional **Finding:** Leadership is grassroots originating almost exclusively from the faculty
Linking Mechansisms	**Assumption**: frequent face-to-face interaction **Finding:** Little face-to-face interaction beyond building boundaries	**Assumption:** Moderately frequent face-to-face interaction with support from simple technologies (i.e., telephone, email) **Finding:** Frequent face-to-face interaction and interaction via simple technologies	**Assumption:** Difficult because of the vast distances, need of high tech solutions **Finding:** Frequent face-to-face interaction and interaction via simple technologies, in addition to high-tech solutions
Dispute Resolution Mechanisms	**Assumption:** Blend of formal procedures and informal interactions facilitate greater resolution of disputes **Finding:** Disputes are not always resolved so much as let go	**Assumption:** Formal procedures and central consortium office **Finding:** Blend of formal procedures of central consortium office and informal interpersonal practices	**Assumption:** Formal procedures and central consortium office **Finding:** Blend of activities from central consortium office, but emphasis on the grassroots leadership

The findings contradict these assumptions. The further apart members were located, the more organic the engagement and participation among faculty. The closer partners were located, the more they resisted based on perceptions of time constraints. Consequently, stronger organizing structures were needed to provide motivational forces, which are institutionalized procedures for collaborating. And resources to fund planned meetings were important across the continuum. Collaboration is challenging for everyone regardless of geographic proximity and requires resources and planning.

Even though this study controlled for institutional type and size (small private liberal arts colleges) and core collaborative activity (CJV), institutional identities vary. The assumption with respect to geographic proximity was that the closer institutions are located to one another, the greater familiarity members have of one another, which breeds trust and greater likelihood of collaborating (Gulati, 1995). While this was found to be true with respect to familiarity, such as the original Sunoikisis members who were all a part of the Associated Colleges of the South being more willing to continue to work with one another rather than people and institutions with whom they are unfamiliar, there is a point of diminishing returns with respect to familiarity. The Claremont Colleges are so close and intimately familiar with one another, like a family, that their institutional identities are strengthened and differentiated, which impacts their ability to develop common purposes, mission and visions.

Given previous collaboration research (Eckel, 2003; Eckel et al., 2003), leadership in CJVs is typically bi-directional or shared, meaning that faculty members play a leadership role in the initiation and management of CJVs and work with their administrators and a central organization, both of which also provide leadership and guidance for the CJV. Geographic proximity was not expected to have an impact on leadership direction, but it did. While all administrators acknowledged that faculty initiation and management was critical – the organic nature of collaboration as arising from faculty – and the fruitlessness of top-down dictates of collaboration, the closer the colleges were located to one another, the more of a role administrators played in collaboration. Collaborative leadership at the Claremont Colleges and the Five Colleges is bi-directional given the traditional governance of higher education institutions and academic planning activities, but collaborative leadership in Sunoikisis is heavily skewed

toward the faculty members, who make the decisions and engage in planning, but communicate with their administrators as necessary.

Mechanisms for linking individuals and activities were expected to be less formal in closely clustered CJVs, more formal in highly dispersed locations. The rationale is based on theory of interpersonal proximity, which assumes individuals within closer physical proximity that enables frequent face-to-face interaction provides a natural linking mechanism (e.g., Kahn & McGaughey, 1977; Monge & Kirste, 1980; Nahemow & Powell, 1975; Priest & Sawyer, 1967; Schutte & Light, 1978). The implication is that the Claremont Colleges, and to some degree the Five Colleges, would have less need for a strong formal linking mechanism, such as regularly scheduled meetings and a central consortium office facilitating the flow of information. The findings do not support this assumption, but also do not depart entirely from recent contributions to the theory of interpersonal proximity. Individuals' perceptions of interpersonal proximity are really the driver for frequency of interaction, and not outsiders' perceptions of proximity (e.g., Monge et al., 1985).

Also of consequence are perceptions of similarity between individuals as a linking mechanism (Kenny & Lavoie, 1982; Worthen et al., 2002). Even though faculty members in Sunoikisis are located far apart from one another, they see great similarities in one another as classicists. The classics represent a discipline that is not only vulnerable, but is also unique in that not many people are educated in area. Classicists see each other often at professional conferences, which provide the necessary interpersonal proximity, and their relative similarities bring them together in ways they do not necessarily link with faculty from their home campuses in other disciplines.

The more familiar people are with one another and their institutions, the more understanding they have of one another, which could mean they have would have less need for formal dispute resolution mechanisms. The rationale with respect to geographic proximity is that members of closely clustered CJVs would have greater familiarity with one another, and the further dispersed members would have less familiarity. The findings suggest that the closer and more familiar institutions are to one another, the more need there is for formal dispute resolution mechanisms. In the case of the Claremont Colleges, they are located with one another on a single campus with no option for relocation, which

means that they have to resolve disputes or let them go. They often let unresolved disputes go, albeit with lingering traces of resentment and anger that impact future collaborative activities, and continue to collaborate with one another. The need for a formal dispute resolution mechanism is high, and the central consortium office does play a role in resolving disputes among administrators; but, the mechanisms for resolving disputes are more informal, resting with individuals from the faculty and administration getting with their peers to express concerns and issues.

Five Colleges, Inc. plays a critical role in resolving disputes, most of which is in prevention of disputes through greater communication, but informal mechanisms are also active as individuals work with one another to resolve disputes. The case is different with Sunoikisis, which employs informal means of resolving disputes through faculty, rarely bringing in the NITLE program coordinator. Of course, it is difficult to determine whether the use of formal versus informal dispute resolution mechanisms is more a product of geographic proximity or level of integration.

Level of Integration

This study was designed to compare cases that differed in terms of their level of integration. The level of integration is a proxy for evolution of collaboration over the life cycle of CJVs. Each of the three cases represents a point in a continuum of integration from high integration to low integration. A series of a priori assumptions of how different integration levels impact the collaborative processes of each case are presented in Figure 5 coupled with the findings by level of integration (i.e., high, medium, and low).

Assumptions about engagement of participation and leadership related to level of integration were confirmed in this study. The less integrated a CJV is, the more important faculty champions are to the engagement and participation of members. The more integrated a CJV is, the more engagement and participation of members is institutionalized – "part of the landscape." Leadership from the top increased the more

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integrated CJVS were, and originated more from the faculty or grassroots for the less

integrated.

Figure 5. Variability across Cases by Level of Integration

Constructs	Level of Integration		
	High	*Medium*	*Low*
Engagement and Participation	**Assumption:** Institutionalized and fluid	**Assumption:** Moderate resistance	**Assumption:** Need for strong core of champions to influence
	Finding: Institutionalized - "part of the landscape"; but with "organic" origins to CJVs	**Finding:** Strong central supports motivate engagement and participation, "organic"	**Finding:** Formal less important than core faculty involvement; "organic"
Development of Common Purposes, Missions, and Visions	**Assumption:** Development is simple, a given	**Assumption:** Development is limited to pre-existing common ground	**Assumption:** Difficult, facilitated by strong central organization
	Finding: "balancing act"	**Finding:** Institution retain strong independent identities; umbrella identity for community	**Finding:** Similar institutional characteristics enable development, and motivation is key
Leadership	**Assumption:** Leadership is bi-directional	**Assumption:** Leadership is bi-directional, but skewed to grassroots	**Assumption:** Leadership derives primarily from grassroots
	Finding: Leadership is bi-directional and given the purpose of the consortium office, it does not provide much leadership	**Finding:** Leadership is bi-directional	**Finding:** Leadership is grassroots originating almost exclusively from the faculty
Linking Mechansisms	**Assumption:** Multiple linkages both formal and informal	**Assumption:** Moderately frequent face-to-face interaction with support from simple technologies (i.e., telephone, email)	**Assumption:** Difficult because low level of integration creates fewer opportunities for linking information and people
	Finding: Some organizationally constructed, but many more linkages are made informally via serendipity	**Finding:** Frequent face-to-face interaction, both formal and informal, and interaction via simple technologies	**Finding:** Frequent face-to-face interaction outside of integrated activities
Dispute Resolution Mechanisms	**Assumption:** Formal structures and familiarity drive mechanisms for dispute resolution	**Assumption:** Formal procedures and central consortium office	**Assumption:** Formal procedures and central consortium office
	Finding: "It's rivalry sometimes. We're all a big family. We all get along."	**Finding:** Blend of formal procedures of central consortium office and informal interpersonal practices	**Finding:** Blend of activities from central consortium office, but emphasis on the grassroots leadership

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Assumptions about development of common purposes, missions, and visions related to level of integration were not confirmed. Finding common ground and direction among members was difficult across the continuum. It was not easier for institutions to match their distinct institutional identities if a strong central office existed to coordinate efforts and people, but instead required members across all three cases to engage in a "balancing act." This balancing act enables institutions to retain their identities while adopting an umbrella identity that fits all. This umbrella identity is easier to adopt when the member institutions can start with pre-existing common ground, such as that they all are prestigious, wealthy, private, liberal arts undergraduate institutions.

The more integrated a CJV, the assumption is that the linking mechanisms and dispute resolution mechanisms are more institutionalized or formal. The findings confirm this, in part. The medium integrated CJV had more formal or institutionalized mechanisms for linking people and procedures and resolving disputes than either the low or highly integrated CJVs. This may be more a function of geographic proximity than level of integration.

Conclusions

Adaptive expertise is one common factor vital to all three CJVs. Consistent with the literature on organizational lifecycles (Cameron & Whetten, 1981; Jawahar & McLaughlin, 2001; Milliman et al., 1991; Mintzberg, 1984; Quinn & Cameron, 1983), collaborative processes must adapt and evolve over time to continue to meet institutional objectives. This is one reason why each CJV seems tailor-made for its purposes and the abilities and will of its individual members. Part of the tailoring is due to accommodate geographic proximity and level of integration, although the latter may be a product of the accommodation.

CHAPTER 8

CONCLUSIONS

The purpose of this study is to develop a greater understanding of academic collaboration in higher education around the core activity of teaching and learning and to test an emerging framework of collaboration as an alternative strategy to create a sustainable competitive advantage as applicable to core products and services of organizations. This study used empirical research in an area that has, until now, been dominated mostly by anecdotal musings about collaborative processes in higher education.

Findings suggest that all five constructs are important in the development and maintenance of valuable interorganizational relationships, in addition to the interaction of constructs to each other. Intangible resources are valuable to the collaborative process in each case and are developed and shared via these five constructs. These resources include interpersonal familiarity, trust, reciprocity, and respect. The effective yet distributed management across the CJVs of information, competing values, competition, and perceptions of fairness is also important.

Overview of the Study

The primary focus of this dissertation research is the study of a set of behaviors and mechanisms that support the process by which private liberal arts colleges and universities collaborate to create new curricular joint ventures. The rationale for studying this process of collaboration is to gain an understanding of the functioning of organizational units (e.g., such as departments, colleges and university partners) and of individuals' behaviors or characteristics (e.g., interpersonal relationship skills and experience), both of which contribute to the organizational level of output (i.e.,

knowledge as measured by course credits and/or postsecondary degrees). More specifically, the research question is as follows:

- How do particular behaviors and mechanisms support the process by which institutions collaborate in curricular joint ventures?

 And,

- How do behaviors and mechanisms compare across differing collaborative processes that operate within three different types of curricular joint ventures?

Three case studies of collaborative joint ventures (CJVs) were conducted and analyzed through a conceptual framework of five basic constructs consisting of a set of five behaviors and mechanisms identified in the research literature concerning interorganizational relationships that support collaboration. Supporting research from the higher education, organizational behavior, leadership, and sociology fields are also utilized to frame these behaviors and mechanisms of the collaborative process. These include engagement and participation; developing common purposes, mission, and vision; leadership (changes and direction of); linking mechanisms; and dispute resolution mechanisms.

Studying the purpose, organization, and role CJVs play among these types of higher education institutions is valuable given the relatively few available strategic options. Smaller institutions, like the many private liberal arts colleges that exist across the country, are limited by their resources to respond to competition and create a sustainable competitive advantage. This dissertation research sheds light on the processes involved in collaboration, which can inform institutions as to the feasibility of collaboration as a response strategy based on two institutional contexts – geographic proximity and level of integration.

Geographic proximity is defined as the relative location of member institutions to one another. Some are dispersed enough to restrict easy face-to-face contact, such as the members of the Sunoikisis, which are spread out across the United States and require extensive travel between institutions. Others are close enough to walk to partner institutions' campuses, such as the Claremont Colleges where all the campuses are adjacent to one another. Level of integration is defined as the degree to which curricular activities traverse institutional boundaries and require interinstitutional coordination

across people, departments, and administrative units. It is measured by the size of formal organizational design constructed to execute interinstitutional curricular activities.

The three case studies capture three different models for academic collaboration at private liberal arts colleges based on a continuum of geographic proximity and level of integration. (See Figure 6.) The three selected sites include the Claremont Colleges in Pomona, California, the Five Colleges in Amherst, Massachusetts, and Sunoikisis, which include partner institutions throughout the United States with two central administrative organization locations in Texas and Michigan. Each case is special in its ability to illuminate specific issues related to inter-institutional academic collaboration among private liberal arts colleges and universities.

Figure 6. Primary Selection Criteria of Case Sites: Geographic Proximity and Level of Integration (Same as Figure 3 in Chapter 3.)

		Geographic Proximity		
		Closest	*Close*	*Dispersed*
Level of Integration	*High*	The Claremonts		
	Medium		The Five Colleges, Inc.	
	Low			Sunoikisis

The Claremont Colleges have existed as a CJV for decades. The member institutions are tightly bound geographically with adjacent campuses. They leverage their unique academic relationship to establish inter-institutional degrees, programs, and departments across the disciplines, including vulnerable disciplines and emerging areas of study. This CJV has the greatest degree of integration.

The Five Colleges are also relatively tightly bound geographically and have a long history of collaboration, beginning with the collaboration involved in creating a new institution – Hampshire College. They have numerous inter-institutional programs and

whole departments, but they do not have the kind of infrastructure that facilitates integrated collaboration at the Claremont Colleges.

Sunoikisis, originally organized and supported by The Associated Colleges of the South, is now administered by National Institute for Technology and Liberal Education (NITLE). It is just beginning to emerge as a CJV in its effort to establish a collaborative program in the classics. To date only a few member institutions are directly involved in the collaborative effort, but all members may utilize the evolving program. Sunoikisis differs from the other two selected sites in that participating institutions, and their faculty members, are distributed across a large geographic region that covers the entire south of the United States.

Each CJV struggles to balance multiple competing values through the five behaviors and mechanisms identified below. These competing values are similar across institutions, but they vary in relevance given the institutional contexts of member institutions.

Autonomy versus dependency or interdependency and reciprocity versus free riding are particular tensions or competing values specific to the Claremont Colleges' context as they relate to asymmetrical resources and institutional interdependencies. Institutions vary in their value of interdependency versus autonomy in terms of academic offerings. While they value reciprocity, they are particularly sensitive to free riding by their sibling institutions.

In the Five Colleges' context, the tension between voluntary and compulsory collaborative activities for their faculty is a delicate balance for the institutions and Five Colleges, Inc. Some institutional administrators are interested in encouraging faculty members to collaborate with their Five College colleagues. For obvious reasons related to institutional autonomy, however, they acknowledge that collaboration is strictly voluntary. Similarly Five College personnel promote collaboration and assist faculty members seeking to engage voluntarily in collaborative activities and programs, but require engaged faculty members to meet regularly. Many parts of the collaborative process are compulsory in order to make it.

Sunoikisis institutions are undergoing a great deal of change by expanding to include all NITLE institutions. This expansion is welcomed by a number of participants

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who value the potential for Sunoikisis to become a powerful program on a competitive scale with large research universities. For many of the original members, however, growth competes with their value of a smaller, more familiar group of colleagues. A tension between exclusiveness and inclusiveness is present among individuals struggling to accommodate the ambitions for Sunoikisis.

These various interinstitutional tensions or competing values provide context for each case by illustrating how participants design their organizations, interactions and behaviors to meet institutional objectives through collaboration. The first important finding from this research is that all organizations struggle with competing values. Continuous negotiating and balancing by individuals and institutions is the core of collaboration, and ultimately is an important factor in organizational design and redesign.

Summary of Key Findings

Comparing cases across geographic proximity provided some surprises. The most interesting was that geographic proximity influenced the collaborative process, but not in the ways expected. More important to the collaborative process were individuals' perceptions of proximity to one another, which was influenced, in turn by perceptions of similarity and opportunities for exploring these similarities. These opportunities sometimes meant adjacent offices, but it also meant frequent interaction and attendance at professional conferences. Just because member institutions may be tightly clustered does not mean that individuals will meet with one another more frequently, suggesting that geographic proximity is highly nuanced.

Another key finding is that greater integration may pose greater challenges for collaboration because it requires members to forfeit tightly held notions of identity and autonomy. If collaboration is seen as something additional, such as with the addition of an intellectual community to compliment the individual environments of the Five Colleges, then little resistance is expressed. If, however, collaboration is seen to require giving something up, such as the Pomona German program not getting an additional faculty member because of their informal inter-institutional collaboration with Scripps, then collaboration faces significant threats.

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The constant presence of competing values that influence institutional behaviors is the main reason why collaboration and the behaviors and mechanisms that support collaboration are not static. A process for collaboration at a particular site will never stay the same because the balance of competing interests requires vigilant negotiation and effective collaborative management. In terms of collaborative process, CJVs can never be "there". Collaborative partners are always striving to make it work because of various endogenous and exogenous changes. Collaboration is a moving target and, therefore, the process is dynamic and the behaviors and mechanisms that support the process are ever changing.

While this study examines successful CJVs the behaviors and mechanisms involved in sustaining these successes, it does not seek to determine how these behaviors and mechanisms can be utilized to make unsuccessful CJVs become successful. In each of these cases, strong consortia are built on healthy institutions. It is doubtful whether struggling institutions could support these types of collaborations given the interpersonal and interinstitutional resources needed to effectively manage CJVs.

Engagement and Participation

The first research sub-question asks what the engagement and participation patterns of member institutions reveal about the collaborative process? The finding consistent across all three cases was that key people among the faculty needed to decide collaboration was important enough to stimulate their dedication and loyalty. These change agents emerged from both the ranks of administrators and faculty. This supports the existing leadership literature that suggests both types of leadership are important (Day et al., 2006; Denis et al., 2007; Ensley et al., 2006).

Common characteristics among these change agents include a balancing of loyalty to their home institutions with the additional dedication to collaboration that offers potential opportunities to support institutional and departmental objectives. For example, the German professors at Scripps and Pomona colleges find congruent and coherent means of balancing their primary loyalty to their home institutions with their dedication to students and German language studies across the Claremont Colleges.

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Developing Common Purposes, Missions and Visions

Participating organizations need to develop common, or at least congruent purposes, institutional missions and a vision for their collaboration. They do this through a process that requires individuals and institutions to identify common values, merge existing values or develop shared values. How this occurs is the content of the second research sub-question of this study.

The value of each consortium varies depending on the nature of initiatives, institutional identities and ambitions, availability of scarce resources and individuals. In each case, however, participants are motivated to continue to find common ground for reasons related to their unique organizational contexts, such as the physical proximity of the Claremont Colleges that creates a family-like relationship or the inherent realities common to the small, private liberal arts colleges of Sunoikisis, which must compete with large research universities for high market students and faculty in classical studies.

The ways in which each CJV works to align common purposes vary not just compared to each other, but also within each case. At times individual leaders or managers are critical to getting people together and working to find common ground. In the case of the Five Colleges, for example, the Amherst Dean of Faculty works to encourage faculty to engage in greater academic collaboration across the CJV. Sometimes the institutionalized system of procedures is critical to mission alignment, such as regular interaction of faculty and administrators supported by their central coordinating offices.

Inevitably there will always be competing interests or values, and finding common ground will be limited, but time and experience enable greater congruencies and create path dependencies that enable greater development of common purposes, missions, and visions.

Leadership

Leadership is an important element of managing alliances, and leadership can originate from multiple levels in an organization. Previous research on CJVs spent a great deal of time identifying the location from which leadership originated in an institution (top, bottom, or central). It found that leadership comes from all levels in effective CJVs (Eckel, 2003; Eckel et al., 2003; Eckel et al., 2004). This study also examines from where

leadership originates to compare to this previous work. In addition, the study also examines common leadership styles and characteristics that are present across the cases.

This study found that leadership is dependent on individuals at the administrative and faculty levels who have the abilities to build support and consent, and exhibit high levels of self-monitoring. Self-monitoring is defined as self-observation and self-control guided by situational cues to social appropriateness (Snyder, 1974) in order to understand other institutional cultures, objectives and actions. This is consistent with research that suggests leaders, particularly emergent leaders with high self-monitoring (Foti & Hauenstein, 2007), are more likely to effectively manage organizations (Ellis & Cronshaw, 1992; Foti & Hauenstein, 2007; Snyder, 1974).

Consistent with previous research (Eckel, 2003; Eckel et al., 2003; Eckel et al., 2004), leadership emanates from multiple hierarchical levels of institutions and each level provides a necessary link in the overall leadership of the collaborative activities. Collaborative leadership is not based solely at the presidential, faculty, or deans level. It has to be integrated and move along traditional college and university organizational structures. It is important, therefore, to understand the way in which each individual institution is structured. Matching individual organizational structures together demonstrates the points at which leadership can be displayed and utilized. Deans of faculty meet with deans of faculty and faculty meet with faculty and faculty meet with their respective deans in a square structure. Implied in this is that reward or evaluation systems must be aligned with not only collaborative objectives, but also independent department and institutional objectives. Otherwise people will be not engaged in collaboration or may even sabotage the collaborative efforts and activities.

Linking Mechanisms

The organizational structures and interpersonal interaction patterns that are constructed or develop across collaborating organizations comprise the informal and formal linking mechanisms necessary to facilitate and support the flow of information and task interdependence. The fourth research sub-question asks how these develop and are designed in each case.

Interpersonal relationships provide the means for exchanging information and support (Gersick et al., 2000), and are the foundational source of collaborative behavior.

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The sharing of information and trust is critical to building and maintaining relationships. Linking mechanisms that facilitate the flow of information and trust are valuable to the collaborative process. These are sometimes formal, as is evident in each case with respect to the role central collaborating offices play in getting people together and facilitating collaborative discussions and activities. Sometimes they are informal, as in all three cases when individuals seek out their counterparts for purposes of peer support and friendship.

Several factors affected the efficacy of linking mechanisms. The smaller the group, the more effective and efficient individuals could be in getting collaborative work done and forming significant collegial bonds with peers. Geographic proximity was also important, although not necessarily the geographic proximity of institutions, but often that of individuals. Interpersonal geographic proximity was based on how often individuals have opportunities to interact, both formally and informally, and individuals' perceptions of commonality with each other.

Dispute Resolution Mechanisms

Conflict is a universal reality for organizations and individuals engaged in collaboration as they work to reconcile interinstitutional tensions. The mechanisms that develop or are created and institutionalized to support the resolution of disputes are important to understand in the collaborative case where interinstitutional values and objectives compete for attention and resource allocations. The fifth research sub-question asks what these are in each case.

Disputes are inevitable in organizations struggling to balance competing interests and manage interorganizational tensions. Each site has a history of disputes. Common across all three CJVs, however, is respect and courtesy as important lubricants for effective resolution of these disputes. The multitude of interorganizational and interpersonal connections – both formal and informal – are also important in settling disputes because they facilitate the flow of information necessary to make sense of how others perceive the actions of an organization or individual and to communicate the reasons and purposes behind strategic decisions or policies. When information flow can fill the gap in understanding between various players or constituencies, then better decisions can be made to balance competing interests and alleviate tensions.

Balancing Competing Values

The final research sub-question is a derivative of the primary research question, going one step further to ask how these behaviors (engagement and participation, development of common purposes, and leadership) and mechanisms (linking and dispute resolution) collectively balance competing values across individuals and institutions. As acknowledged throughout this study, collaboration is easier to accomplish when institutions and people create something new and are not asked to sacrifice or change existing programs and activities. The competing values and latent interorganizational tensions that are always present are less likely to be stimulated when new projects are being created, whereas changing or eliminating existing programs to make way for a collaborative process can arouse deep-seated tensions and incite perceptions of unfairness. This is explicitly acknowledged by the interview subjects at the Claremont Colleges and is evident in the development of the joint German program. Collaboration that required sacrifice in terms of sharing courses to eliminate unnecessary duplication was not realized until the program was so threatened that extreme strategies were necessary for the survival of the program.

With respect to the Five Colleges' Geology program, the institutions collaborate for academic activities that are important (e.g., field trips, lectures) but ultimately supplementary to courses, of which they all have their own. While they do share some courses with the roving joint geology faculty member based at the University of Massachusetts –Amherst, these courses and the availability of cross-registration provides more of a pressure valve for faculty and departments to ensure continuity of individual institutional programs of study when individual faculty members take leaves of absence (e.g., sabbatical, maternity leave). They do not streamline their programs and/or reduce duplications. The Five College model provides a means to enrich the member institutions' individual geology programs through collaboration, which does not violate competing values of member institutions as much as asking for sacrifice of full-time faculty and courses to coordinate a comprehensive joint program.

Managing these competing values and enabling collaboration to occur across organizations depends on all five behaviors and mechanisms used in the analysis of this study. How all these work in concert with one another gives an illustration of how

successful management of CJVs is accomplished in each case. Because successful management of interorganizational relationships is a key source of sustainable competitive advantage for members, it is important to examine how these constructs fit together.

Fitting Constructs Together

In all three cases, a central organization is utilized for collaborative activities. These organizations vary in terms of the primary organizational focus (services vs. academics) and whether or not each was established to serve the specific CJV or oversee a number of CJVs. Both the Claremont University Consortium (CUC) and the Five Colleges, Inc. were created by their respective CJVs for the explicit purpose of serving the collaboration from within. The CUC is focused on collaboration of services, however, while the Five Colleges, Inc. is focused on the collaboration of academics. Sunoikisis is coordinated by NITLE, which existed before the creation of Sunoikisis. It coordinates many different academic collaborations for its member institutions.

In each case, the model for this central organizing body is dependent on the organizational needs of the CJV. For example, Sunoikisis is a relatively young CJV. It is looking to grow and relies on the collaborative expertise of an established organization such as NITLE. By comparison, Five Colleges, Inc. was created to focus on the particular interests and needs of its five member institutions and tailor mechanisms and procedures that work in their specific context. The commonality of these central organizations across the three cases is in the role they play in linking people and activities, enabling dispute resolution mechanisms to operate, promoting engagement and participation among members, development of common purposes, and leadership.

This is not to suggest that having a central organizing body for collaboration is the silver bullet for all CJVs, but that these entities serve as an important coordinating and linking mechanism that enable the other constructs to be activated. The role individuals play in terms of leadership and modeling positive collaborative behavior by working constructively to balance competing values and interinstitutional and interpersonal disputes effectively cannot be overlooked. These key people are vital to a successful collaborative process, and the central collaborating organization and the mechanisms it coordinates serve to enable these people to do good work.

People serve important management and leadership roles within and across their organizations at all hierarchical levels. If collaboration is maintained through constant attention to the negotiation and balancing of competing values across the membership, then leadership is key to this dynamic balancing act, a perpetual process where balance is temporary because change is constant. This applies to different organizational, political, and cultural contexts, such as the three cases examined in this study.

Contexts vary in terms of flexibility and focus. For example, an organization may look beyond their collaborative partners for competition (external focus) and be highly structured in organization, such as Pomona within the Claremont Colleges consortium. In this case engagement and participation, development of a common vision, and linking mechanisms are well developed and in place. Leadership need not devote a great deal of time and effort to these particular behaviors and mechanism. This is not to suggest these are unimportant or irrelevant to collaboration in the Claremont context, but rather they are of less importance than resolving conflict and disputes.

Leaders in this context of external focus and high organizational structure spend a great deal of their time resolving disputes that continuously arise from competing interests. It is difficult to determine why this is the case. It may be due to the fact that the members are secure in their connection to one another. Their collaboration is highly evolved, their commitment to collaboration a constant through organizational design (structure) and historical precedent. Collaboration has become the norm for the member institutions, a given that members can take for granted as they turn their attention to other institutional goals and prerogatives.

Within each different context, as represented by the four varying quadrants in Figure 7, leadership must devote a greater share of attention and effort to specific collaborative behaviors or mechanisms. Sometimes this model applies to the overall collaborative context as in the Pomona case above, but other times it applies to varying situations within a single collaboration. For example, in the case of the Five Colleges, leaders at all levels deal with situations that vary across the four quadrants.

Recall from Chapter 5 that the Five Colleges rely on a common calendar for ease of cross-registration and collaborative activities, but the common calendar is not a formal structure. In other words, it is a rather flexible organizational structure with only the rule

of precedent supporting its institutionalization. One institution could best benefit by a change in their academic calendar as they strive to meet institutional goals and compete with like-institutions outside of the consortium. The implication of this change for the other four member institutions is that they would need to either go without a common calendar or change their current academic calendar to match the change. The external focus of each member institution in terms of competition dictates that the latter option be considered thoughtfully and requires the agreement of the faculty for change. Leadership is dealing within the quadrant of an external locus of competition and a flexible organizational structure. A great deal of leadership attention must be devoted to developing or renewing a common vision for the collaboration of ensuring ease of cross-registration for students and faculty collaboration. Leaders need not spend as much effort on engagement behavior because the issue is not about initiating an activity, but rather making established collaborative activities easier.

Within the same consortium, Five College members are struggling with creating pathways for joint faculty members to operate across the different academic departments and colleges. In this context, the focus of the issue is internal and the organization is highly structured with the establishment and governance of joint faculty through written agreement, funding, and a central organization. Five Colleges Inc. secured funding and personnel in order to help new joint faculty appointees negotiate the different institutional settings and protocols. In this situation, leadership is focused on developing linking mechanisms across member institutions to enable the assimilation of joint appointees within each institutional setting. Less leadership attention is spent developing common purposes or engagement in collaboration or even dispute resolution, although these all are still important leadership activities. The reason for less attention is possibly because engagement is already established, the common purpose defined in writing, and disputes not yet developed since the joint appointees are new in each setting and engaged in making sense of their new colleagues and environments.

Figure 7. Competing Values in Collaboration by Organization (Flexible versus Structured) and Focus (Internal versus External)

Flexibility
(Autonomy)

Engagement   Vision, Purpose

Internal   External
(Close)   Leadership   (Distant)

Linking Mechanisms   Dispute Resolution

Stable Funding

Structure
(Interdependency)

While leadership must be exhibited in each of these quadrants in order to address critical collaborative behaviors and mechanisms, effective leaders traverse each quadrant and adapt according to the unique features, arrangements, culture, and competitive values and pressures inherent within each institution and their collaborative partners.

Implications

There are a series of implications for these findings. They include how other types of organizations in higher education and other industries can apply specific behaviors and mechanisms into their collaborative processes, how individuals can effectively manage collaborative efforts, how society can benefit from effective collaboration, and what policymakers can learn to apply from small-scale collaboration to large-scale collaboration – a trend that is gaining appeal to maximize goals with limited funding. Each of these is discussed in this section along with implications for scholarship.

Implications for Organizations

There are limits to applying the findings from this case study among private liberal arts colleges to other types and sizes of higher education institutions. For example, the institutions in this study are relatively small compared to large public, research universities that are not only larger and more diverse in size and departments, but must also operate within the realms of public accountability and research focused. In the Five Colleges case, collaboration is possible among four small private institutions and University of Massachusetts-Amherst, although their inherent differences create paradoxical tensions in their collaboration.

For example, the sheer size of UMass-Amherst might seem overwhelming to its small college partners even though its students participate at a lower rate than the other colleges. In real numbers there is a lot of cross-registration of UMass-Amherst students. On the other hand, its size and status as a research institution provide access to valuable resources, such as faculty expertise, facilities, equipment, and capacity that would otherwise be inaccessible to the smaller institutions. The paradoxical tensions are related to the trials and fruits of collaborating with a large, public research university. It should also be noted that in this case, paradoxical tensions exist among the four similar institutions. This suggests that while some of these tensions may derive from obvious institutional differences, others may derive from tacit institutional differences related to culture and identity.

Generalizing to organizations outside of the higher education industry is limited by significant organizational differences beyond size, such as being for profit versus not-for-profit or information, technical or labor intensive. These types of differences present

underlying variations in motivational factors that may influence core behaviors and mechanisms that support interorganizational collaboration. As noted in the Five Colleges case, obvious organizational differences are a source of paradoxical tensions. There are, however, other sources of paradoxical tensions that influence collaboration that are related to tacit differences. The parallel across all cases is the attention given to core behaviors and mechanisms that are common to collaboration, in general. The collaborative process for all organizations demands specific behaviors from its individual and institutional members to balance competing interests, which are inevitable and omnipresent. The first is engagement and participation from members supported by governance structures that incentivize and support collaborating members. Second is developing common purposes, missions and visions across member institutions from a cadre and disjointed assemblage of institutional identities and ambitions. Third is leadership from individuals in positions of leadership as well as imbedded leaders at all hierarchical levels of the organization.

The development and maintenance of linking and dispute resolution mechanisms are vital to interorganizational collaboration. They are also vital to individual organizations up and down the hierarchical levels and across departments and even outside the organization to its customers and constituents. The demand for efficient and effective information flows and resolution of disputes is the same for interorganizational collaboration. This rationale supports the case that the basic building blocks of this study's findings are generalizable outside of higher education to other types of organizations, although the organizational and governance structures and the execution of the behaviors will vary to adapt to unique organizational contexts.

Implications for Practice

There are three basic implications for practice of managing a curricular joint venture, or even other types of strategic alliances. These relate to financing, adaptive and dynamic leadership and linking mechanisms.

It is ironic that one of the reasons for the formation and maintenance of curricular joint ventures is to reduce institutional costs. Yet the first implication of this study for practice is to ensure a stable funding source with a long term outlook. The CJVs in this study were funded through a combination of grants, founders, and institutional

appropriations. The source of funding matters less than the stability of that funding. In the case of grants, the organizations and institutions in this research were all funded by at least one common foundation, the Andrew W. Mellon Foundation, which is dedicated to supporting collaborative academic activities in higher education. Funding from this source is available and it is reasonable for the CJVs to expect continued support once they have been initially funded by the foundation. This, however, is not the only source of funding. All three CJVs have identified their funding sources that are relatively stable over time and therefore, reliable.

Successful management of collaborative activities requires an adaptive dynamism from its leaders at multiple levels. Change is a constant in organizations, and alliances are no exception. The implication of this constant change is that management of the integrated organizations and procedures in a collaborative endeavor must be able to adapt to changes. Leaders must be able to change the organizational design and procedures of collaboration to constantly seek greater efficiencies and congruencies of purpose and activities to a dynamic environment. This is not to suggest that leaders enact change for the sake of change, but instead must be willing to make changes as necessary in order to capture opportunities and reduce risks. Therefore, consistent successful management of alliances becomes a great source of competitive advantage for the institutions. It is a sustainable competitive advantage over time as long as leaders continue to manage with adaptive dynamism.

To foster and maintain quality interorganizational relationships requires consistent access to information used to continually assess the alliance environment as well as regular interpersonal contact of leaders and participants. The organizational design and procedures need to provide consistent reasons for meeting regularly regardless of geographic distance. The old adage, "out of sight and out of mind" has implications on single campuses across different departments and buildings. The same is true for multiple campuses, even those in close proximity.

As in the case of the Claremont Colleges, being physically one campus is not enough assurance that people will get together and collaborate. They needed to have specific reasons to meet in order to justify the reallocation of faculty members' and administrators' limited and valuable time. The Five Colleges are in relatively close

geographic proximity which promotes serendipitous interactions, but they recognize the need for regular, scheduled interaction and have built mechanisms that consistently bring people together. Sunoikisis takes advantage of every opportunity for common attendance, such as professional conferences, to get people together. These face-to-face meetings support the distance-based interactions that occur continuously and are necessary given their vast geographic distance. The bottom line is that no one mechanism is appropriate for all types of alliances, but the importance of designing and maintaining linking mechanisms that bring people together regularly is critical. Therefore a vital part of managing alliances is designing and maintaining linking mechanisms that are appropriate to the organizational context of specific alliances.

Implications for Societal Contexts

Questions imbedded in this study relate to the paradoxical tension between competition and public good. The term "competition" often solicits market-based concepts related to a profit-orientation rather than a public-good or societal orientation. The higher education institutions examined in this study are not-for-profit and are motivated, in part, to benefit society by educating individuals to be good citizens, promote social and scientific progress, and contribute to the economic welfare of their communities.

Not-for-profit, however, is not mutually exclusive with competition. Each individual institution competes with other colleges and universities for the best student, faculty, and administrator talent in order to maximize prestige. In the higher education market, prestige is the leveraged asset akin to profits among for-profit firms in other industries. There are many activities related to cultivating and maximizing prestige, including retention and support of classic liberal arts disciplines even if these disciplines reap no financial rewards in terms of lower operational costs and/or attraction of students.

For example, Pomona and Scripps colleges do not gain a quantity of students by retaining an intercollegiate German program. They do, however, gain a quality of student that signals a level of prestige as a liberal arts college to the college student market. Of course in actuality, retaining a German program is not necessarily characterized by such calculated planning and behavior by faculty and administrators. For the German faculty, competition is not linked with student markets or prestige, but instead with survival.

Their form of competition is merely to continue teaching a discipline for those few students who are interested, to continue to have a program, to be employed, and to continue an academic legacy.

For both faculty and administrators, retaining a vulnerable discipline may be motivated more by tradition and attitudes about what a liberal arts college should offer to students, than by prestige maximization. This reality, however, means that choices will be more difficult when balancing these attitudes and traditions with institutional and financial necessities. This reality is no different in for-profit firms, although the conflicts may differ.

The higher education institutions in this study are concerned both about being competitive and serving the public good. These values are sometimes conflicting and present decisionmakers with difficult choices, but occasionally an organizational strategy, like interorganizational collaboration, serves both values.

For example, Amherst College is highly competitive among elite private liberal arts colleges, cultivating and maximizing prestige in terms of the most talented students and knowledgeable faculty. As a small college, however, Amherst finds some resources inaccessible to their faculty, such as specialized equipment and laboratories for geological study. They have a geology program that is robust for private liberal arts colleges, but like many natural science programs, it is expensive give the costs inherent in technology and the nature of teaching and learning of geology, which is enhanced by taking students into the field. Through Five College collaboration, the Amherst geology program shares resources with other geology programs, enabling faculty and student access to unique and valuable equipment and laboratories for scholarship in addition to funding for extensive and valuable field trips for teaching and learning.

Amherst College, unlike many of its competitors, can offer high demand students and faculty the best of both worlds in terms of research university capability and small campus environment with a focus on teaching and learning. In turn, collaboration is enabling Amherst to serve society by enabling their faculty and students to push the boundaries of research and teaching and learning by capitalizing on economies of scale without losing focus on development and promotion of knowledgeable college graduates and geologists.

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In the Claremont Colleges case, the individual institutional members are focused on developing core competencies through economies of scale given their collaborative arrangement. These core competencies enable individual institutions to compete strongly with peer institutions by marketing a large research university size and quality program (their core competency, such as economics and policy for Claremont McKenna College), while also adhering to the small college values of a traditional private liberal arts college. In this and the other cases, collaboration serves both a market –oriented value of competition and serving the public good.

The implication for society as a whole is that there can be win-win strategies to compete and serve the public good. For example, energy companies are highly competitive for profit organizations. To compete, energy companies must maximize profits to satisfy their shareholders. They do this by striking the right balance between customer energy rates and production costs. Production costs are lower if research and development is limited, and the public good is served by production of affordable energy. Research and development, however, can not only lower the cost of production, but also greenhouse gases in the future. Current production technologies create harmful greenhouse gas emissions, which negatively impacts the public. The dilemma poses conflict for decisionmakers, but collaboration may offer an alternative strategy to enable research and development of alternative and green energy technologies that can benefit multiple energy companies and the public good.

Implications for Policy

The behaviors examined in the findings of this study certainly apply to large-scale collaborative policy initiatives in that engagement, development of common purposes, and leadership are all valuable to the collaborative process. Similarly, mechanisms for linking individuals and their organizations and resolving disputes are important for collaboration, just as they are important in all forms of interpersonal and/or interorganizational interaction. In this case, however, the mechanisms may be more informal than formal.

The implications of findings for policy beyond the institutional level to the state and federal levels suggest three basic requirements for successful collaboration. These relate to structural supports, interpersonal connections, and risk-tolerant commitment on

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the part of individuals and their representative organizations. It is a great leap to go from the finding of this study to implications for state-wide collaborative efforts, but at the base level, these three requirements are necessary. If something less than all three are present, then collaborative efforts are less likely to succeed at any scale.

For example, several states are considering urban resettlement policy initiatives that involve collaborative efforts on the part of multiple organizational constituents, such as business leaders, city politicians, education administrators, and a combination of venture capitalists, entrepreneurs and innovators. The common goal is make urban cores safe, vibrant destination locales in which to live, work and visit. The means of achieving this goal is to stimulate economic development to attract new and established businesses, to create a higher quality of place with museums, entertainment options and cultured events to attract visitors and residents, and safe desirable residential properties to attract new or returning residents within the urban cores to replace degeneration and blight. The strategy is to bring together in a collaborative process the relevant constituents.

Given the political, economic, and social risk involved with such a large-scale collaborative effort, the process is served through interpersonal connections. This is true of each of the three cases examined in this study, and it may be particularly true of state-wide policy collaborations. There are relatively few formal linking mechanisms, if any, established across the various constituents in this example. There is, however, a powerful informal linking mechanism – interpersonal connections. These connections have been created and maintained through multiple previous encounters and activities. In collaboration, these connections are the glue to identify and bring together collaborative partners, and also serve as an informal linking mechanism.

Effective collaboration in this example may also be served best by presence of structural supports that enable collaborating constituents to know what to expect and have a means to resolve conflict. For example, a simple memorandum of understanding that outlines collaborative goals, member responsibilities, and contingency plans can provide a ready list of expectations for all collaborating members.

In this scenario, business leaders are collaborating with urban and state policymakers to negotiate competing interests for a common goal. This may entail creation of tax or grant incentives for new or established businesses in return for

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development and promotion of business activity in the urban core. The necessary glue for this collaborative process is the reliable commitment of each partner for the long term regardless of perceived risk and intermittent bouts of doubt.

Implications for Theory and Scholarship

The prevailing assumption in the strategic organization literature is that organizations try to increase their power relative to other organizations in its relevant environment in order to reduce its dependence on others (Pfeffer & Salancik, 1978; Thorelli, 1986). This research found exactly the opposite. The institutions with the least degree of dependence on its partner schools were not seeking to increase the dependence of its partner institutions on them, but instead to foster greater independence for them. For example, Pomona College expressed desire for the other Claremont Colleges to be less dependent on them and less interdependent across the consortium. Similarly neither Amherst College nor the University of Massachusetts-Amherst was seeking greater dependence from the other members of the Five Colleges.

The findings of this dissertation research examining the differences in organizational context (i.e., geographic proximity and level of interorganizational integration) suggest confirmation of the research linking organizational contexts to interorganizational success and sustainability. Institutional contexts do have an impact on organizational outcomes. This study, however, is also limited in the same ways in that causality of one specific context cannot be determined irrespective of other organizational contexts and management attributes.

Nevertheless, this study's examination of three successful CJVs represent three different points along the interorganizational life cycle continuum of CJVs. It presents three different models for effective interorganizational management as a sustainable competitive advantage across various stages of organizational life cycles, including growth and maturity. Its findings are consistent with research that articulates a paradoxical reality for experienced organizations in terms of a trade-off between greater efficiencies through finely tuned organizational routines via greater bureaucracy (Langton, 1984) and limited organizational abilities to adapt to new environmental trends and competition compared to young organizations (Sorensen & Stuart, 2000). It concludes that greater levels of integration limit the mature CJVs' abilities to quickly

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adapt to external challenges. For example, the Claremont Colleges have been approached to join Sunoikisis, but they are not interested because as an established consortium with a mature interorganizational structure, they do not see the need to collaborate. They are focused more on controlling growth characteristics rather than seeking greater flexibility. This is consistent with Milliman, von Glinow, and Nathan's (1991) suggestion that organizations are variably focused on organizational fit and flexibility across organizational life cycle stages. They emphasize flexibility over fit during periods of rapid growth, and fit over flexibility of controlled growth characteristic of mature organizations as they seek to increase structure and control. Sunoikisis institutions have made significant and rapid changes, most notably moving from being an Associated Colleges of the South program to being administered by NITLE, to take advantage of available opportunities for growth.

The contribution of this dissertation research to the theory of collaboration is in its illumination of how five constructs of behavior and informal and formal mechanisms support the processes at work across three distinctly different collaborative models within higher education consortia. It adds to a literature characterized by a paucity of empirically-based studies concerning curricular-based alliances among higher education institutions, particularly among private liberal arts colleges and universities.

New Areas for Research

There are areas of knowledge that could benefit from future research in strategic alliance management, particularly in the area of strategy as practice. This study merely acknowledges multiple levels of leadership in determining the direction of leadership and management of interorganizational relationships at the upper echelons and among mid-level administrators and the faculty. Recent literature on strategy as practice, which views strategizing as a socially-based activity that emanates from multiple organizational levels (e.g., Jarzabkowski, 2004, 2005; Johnson, Melin, & Whittington, 2003; Paroutis & Pettigrew, 2007; Whittington, 2003, 2006), presents opportunities for distinguishing patterns of leadership and organizational change that at all levels of higher education institutions engaged in collaborative activities. A few recent scholarly pieces have paid particular attention to leadership and management behaviors at multiple levels, such as

the work by Maitlis and Lawrence (2007) that examines the triggers and enablers of sensegiving in organizations at multiple levels. Their findings suggest there are differences of triggers and enablers of sensegiving behavior among leaders at the upper levels as compared to middle or periphery levels (Maitlis & Lawrence, 2007) such as faculty.

Strategizing for practice in pluralistic contexts presents another area of the literature open for future research. Denis, Langley, and Rouleau (2007) suggest rethinking the theoretical frames for planning and strategy in pluralistic contexts, such as in higher education collaboration where multiple stakeholders and goals need to be addressed and balanced. As noted in this study, competing values lead to tensions that necessitate careful and strategic management of interdependent relationships.

Another area of research is studying how organizations explicitly strategize the building of sustainable interorganizational relationships and structures. Bossink (2007) conducted case study research to identify stages of interorganizational development. This study, however, focuses on building these structures from the ground and does not address similar explicit strategizing in pre-existing interorganizational structures as they continuously adapt to constant change. This presents another potential area for research.

APPENDICES

Appendix A. Data Collection for Variables

Variables	Range	Document	Interviews
Integration	→ Close → Intermediate → Loose	• CJV communications • Governance Diagrams • Memorandum of Understanding • Course Catalog • Institutional and CJV Marketing Publications	(Clarifying questions only as necessary)
Context	→ Control variables (influence collaboration, but are background for the case)	• Mission/Vision Statements • Enrollment data • Academic Course Catalog • Endowment Figures • Memorandum of Understanding • U.S. News and World Report Rankings by institution and undergraduate programs • Admissions data – from where students are drawn (regional, schools, SES) • Financial Reports/Summaries • Strategic Plans • Other Research on Sites	(Clarifying questions only as necessary)

Appendix B. Data Collection for Constructs

Constructs	Dialectic Tensions	Document		Interviews
Engagement and Participation	→ Regular versus Irregular	●	Memorandum of Understanding	Question Set 1
	→ Weak versus Strong	●	Historical Accounts	
	→ Rigid versus Flexible	●	Memorandum of Understanding	
	→ Strategic versus Constant	●	Organizational Maps and Governance Diagrams	
Developing Common Purposes, Missions, and Visions	→ Design versus	● ●	Institutional Documents Internal Communications	Question Set 2
	→ Strategic versus Constant	● ●	Strategic plans Memorandum of Understanding	
Linking Mechanisms	→ Rigidity versus Flexibility	● ●	Organizational Maps Governance Diagrams	Question Set 3
	→ Formal versus Informal	● ●	Memorandum of Understanding Internal Communications	
	→ Design versus	● ●	Faculty Governance Strategic plans	
	→ Formal versus Informal			
Leadership	→ Shared versus Centralized	● ●	Organizational Maps and Governance Diagrams Historical Accounts	Question Set 4
	→ Top-down versus Bottom-	●	Strategic Plans	
	→ Formal versus Informal			

Appendix C. Interview Protocol

1 Engagement and Participation

1.1 What is the amount of time you schedule each day/week/month to CJV business? (Expected to differ depending on individual.)

1.2 How well do you know your counterpart(s)?

1.3 How much time do you think your counterpart(s) spend on the CJV?

1.4 In what ways do you keep up on CJV activities?

2 Developing Common Purposes, Mission and Vision

2.1 How does collaboration in X CJV meet your institutional mission?

2.2 What role does your institution play in the CJV?

2.3 What are some challenges facing the CJV? How have you and your CJV colleagues managed previous challenges?

3 Linking Mechanisms

3.1 How do you communicate with other members of the CJV? (Formal and Informal)

3.2 How often do you communicate? Do you wish communication was more or less often?

3.3 What are the problems you have had with communication? And if you could change the communication process, what would you do?

3.4 How often did you meet with partners? In what form (i.e., phone, face-to-face, written)?

3.5 How do you coordinate activities?

    3.5.1   New/existing courses

    3.5.2   Faculty

    3.5.3   Student services

3.6 When you first started working here, how did you learn the way in which things are done in the CJV, and how to communicate with others?

3.7 How do you impart to new individuals the ways in which the CJV operates today?

4   Leadership

4.1 Who provides the leadership for collaboration? Is it shared? Rotated? Consolidated?

4.2 What role do individuals at your level (i.e., administrative, executive, faculty) play in making decisions?

4.3 Who can initiate the development of a new curricular program? Who determines whether or not new programs are offered? Who can eliminate existing programs?

4.4 Where do you think the CJV will go in terms of continued collaboration, level of integration among partners, and educational programs that are supported?

5   Conflict Resolution

5.1 What happens when an institution or an individual has a breach of contract or faith?

5.2 How are conflicts resolved?

5.3 What kinds of conflicts have occurred? What happened? Are there tensions/problems/conflicts existing now? And if so, what are you doing about it?

Appendix D. Review Findings of the Five Colleges Consortium

- Question 1: After 25 years and several leadership succession in member colleges, what is the Five College Consortium? How is it perceived on campuses by administrators, faculty and students?
    - As a largely spontaneous "bubbling up" of interesting "add-on" programs that are expressions of specialized interests that evolve lives of their own?
    - As a combination of special programs and broad consortial strategies (e.g., cross-enrollment and course credit), driven and reviewed regularly by presidents, deans and trustees?
    - As Five Colleges, Inc., a vigorous "sixth entity" with a constituency of its own and an array of semi-permanent institutes and programs?
- Findings: The Review Committee perceived elements of all three and liked the "dynamic instability" inherent in this mix, but wondered if entropy, special interest or donor fashion might increasingly influence the character of the Consortium without fresh leadership from the member institutions.
- Question 2: Is there a systematic process of initiation, review, renewal and eventual termination of consortial programs? Does this process differ for administrative programs and academic programs?
    - What formal institutional review and approval occurs at program outset (e.g., by academic deans and business officers)?
    - What takes place at first renewal?
    - Should the model of Five Colleges, Inc. be largely entrepreneurial and facultative or institutional? Should any Five College, Inc. programs exist in perpetuity? Would a practice of "spinning-off" consortial initiatives into the control of a single campus, after an experimental period, assure quality and salience control?

- Findings: The Review Committee could see some utility in a mix of permanent and transitory programs, but it saw the Consortium's comparative advantage in being lean, experimental, and flexible.
- Question 3: What might be some future areas of substantive program engagement for the Five College Consortium?
- Findings: The Review Committee suggested a number of areas in which to focus substantive program engagement, including the following: advancement of cross-registration and resource sharing; coordination of technology; identification of comparative advantages in service projects; establishment of high-quality, off-campus study programs in neglected but important areas of the world; and identification of additional opportunities for consortial cost-saving through administrative programs.

Appendix E: Research Materials

Case 1: The Claremont Colleges

Documents

1. Statement on Land Use and Planning by the Board of Overseers of Claremont University Consortium. January 2005.

2. Annual Financial Report 2004-2005. Claremont University Consortium. September 2005.

3. Annual Report 2004-2005. Claremont University Consortium. 2005.

4. CUC Scene: News from the Staff of Claremont University Consortium. Claremont University Consortium. Spring 2005.

5. Strategic Plan (abbreviated). Claremont University Consortium. Adopted by the Board of Overseers September, 2002.

6. Intercollegiate Academic Cooperation 2005-2006. (Internal Claremont University Consortium document). Received October 2006.

7. Claremont University Consortium Home Webpage, http://www.cuc.claremont.edu/. (Utilized links to all CUC college members).

Informants

1. Gary Kates, Provost and Dean of Faculty, Pomona College

2. Gregory Hess, Dean of the Faculty and Vice-President for Academic Affairs, Claremont McKenna College.

3. Michael Deane Lamkin, Vice President and Dean of Faculty, Professor of Music and Joint Music, Scripps College.

4. Roswitha Burwick, Distinguished Professor in Modern Foreign Languages (German), Scripps College.

5. Hans J. Rindisbacher, Associate Professor of German, Pomona College.

6. Friederike von Schwerin-High, Assistant Professor of German, Pomona College.

7. Rita Bashaw, Director, Oldenborg Center, Assistant Professor of German, Pomona College.

8. Sharon Hou, Chinese Coordinator and Associate Professor of Chinese, Pomona College.

9. Brenda Barham Hill, Chief Executive Officer (Former), Claremont University Consortium.

10. Barbara Jefferson, Director of Advancement, Claremont University Consortium.

11. Jonathan Lew, Assistant to the CEO/Secretary to the Board of Overseers, Claremont University Consortium.

Case 2: The Five Colleges

Documents

1. Toward Amherst's Third Century: Report to the Faculty of the Committee on Academic Priorities. January 2006.

2. Report of the 1997 Self-Study Steering Committee, Smith College, January 1998.

3. Five College Cooperation: A guide to the consortial framework. Published by Five Colleges, Incorporated, Fall 1998.

4. The Five College Faculty Handbook for 2006-2007: A quick reference guide to collaborative activity. Five Colleges, Incorporated, September 2006.

5. Five Colleges, Incorporated: Celebrating 40 years – Annual Report 2004-2005.

6. Chronicle of Higher Education, October 22, 2004 issue article on Five Colleges, Inc.

7. Cultures of Cooperation: The future role of consortia in higher education. Conference Proceedings, November 11-13, 1999, hosted by Five Colleges, Incorporated and its member institutions with the support of the W.K. Kellogg Foundation.

Informants

1. Gregory Call, Provost and Dean of Faculty, Amherst College

2. Tekla Harms, Professor and Current Chair, Geology, Amherst College

3. Robert Burger, Professor and Former Chair, Geology, Smith College

4. John Brady, Professor and Current Chair, Geology, Smith College

5. Bosijkla Glumac, Associate Professor, Geology, Smith College

6. Steve Dunn, Professor and Current Chair, Geology, Mt. Holyoke College

7. Steve Roof, Professor and Current Chair, Geology, Hampshire College

8. Michael Williams, Professor, Geology, University of Massachusetts-Amherst

9. Lorna Peterson, Executive Director, Five Colleges, Inc.

10. Nate Therien, Director of Academic Programs, Five Colleges, Inc.

11. Marie Hess, Treasurer, Five Colleges, Inc.

12. Sue Dickman, Joint Faculty Appointment Coordinator, Five Colleges, Inc.

Case 3: Sunoikisis

Documents

1. Frost, S., & Pozorski, A. (2006). *Chaos and the New Academy.* Susan Frost Consulting.

2. Frost, S. and Chopp, R. "The University as Global City: A New Way of Seeing Today's Academy," March/April 2004. Change, 44-51.

3. Frost, S, Chopp, R, and Pozorski, A. "Advancing Universities: The Global City as Guide for Change" (2004). Tertiary Education and Management (TEAM), 10, 73-86.

4. Frost, S, Jean, P., Teodorescu, D. and Brown, A. "Intellectual Initiatives across Disciplines: Genesis, Evolution, and Conflict" (2004). Review of Higher Education 4, 461-479.

5. Frost, S. and Jean, P. "Bridging the Disciplines: Interdisciplinary Discourse and Faculty Scholarship" (2001). Journal of Higher Education, Mar/Apr, 74 (1), 119-149.

6. Frost, S. and Olson, D. "Sunoikisis: Program Evaluation and Model Design" (2005), http://www.colleges.org/techcenter/Archives/reports.html.

Informants

1. Ann Leen, Professor, Classics, Furman University

2. Hal Haskell, Professor, Classics, Southwestern University

3. James Hunt, Provost and Dean of Faculty at Southwestern University

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4. Jo Ellen Parker, Director for Organizational Development and Leadership at NITLE
5. Kenny Morrell, Professor, Classics, Rhodes College
6. Miriam Carlisle, Professor, Classics, Washington and Lee University
7. Rebecca Davis, Program Development, NITLE

Appendix F. Selected Curricular Joint Ventures for Study

CJV	The Associated Colleges of the South (ACS)	The Claremont University Consortium	Five Colleges, Inc.
Competitive/ noncompetitive	Competitive and regional	Regional (1 square mile)/quasi-competitive	Quasi-competitive
Location	Across the South - Central office in Atlanta and the ACS Tech Center is in Georgetown, TX	Claremont, CA - Geographically clustered in East LA	Amherst area, MA - Geographically-clustered in the Connecticut River Valley of Western Mass
Size of CJV	16 members - 27,869 undergraduates and 1,267 graduates - total of nearly 30,000 students	6500 students, 3300 faculty and staff	combined enrollment of 30,177 undergraduate and graduate students. (25,923 total UG, 4,254 Grad). MHC - 2100, Hampshire - 1334, Smith - 2750, Amherst - 1600, Umass - 18139 undergrad and 4254 grad for a total of 22394
Member Institutions	Birmingham-Southern College, Centenary College of Louisiana, Centre College, Davidson College, Furman University, Hendrix College, Millsaps College, Morehouse College, Rhodes College, Rollins College, Southwestern University, Spelman College, Trinity University, University of Richmond, University of the South, Washington and Lee University	The Claremont Colleges: Claremont Graduate University, Claremont McKenna College, Harvey Mudd College, Keck Graduate Institute of Applied Life Sciences, Pitzer College, Pomona College, Scripps College (plus 3 affiliated colleges, although not sure what this means)	Amherst, Hampshire, Mount Holyoke, Smith, UMass-Amherst
Institutional type	private liberal arts colleges	private liberal arts colleges - 5 undergrad and 2 grad	one public research one flagship, 2-3 women's private liberal arts, one co-ed private liberal arts
Programs, Courses, Degrees, Certificates Offered	Collaborative courses in Greek and Latin (Sunoikisis), Orpheus Alliance - experimenting in collaborative courses that are highly specialized in music	joint acadmic programs - cross-registration of 2500 courses	Inter-institutional departments (Astronomy - utilizing small liberal arts environment with the resources of a large research institution, and Dance), centers (Center for East Asian Studies, Center for Crossroads in the Study of the Americas, Five College Center for the Study of World Languages, Five College Women's Studies Research Center), and programs (Architectural Studies, Area Studies, Art History, Community-based Learning, Philosophy, East Asian Studies, French, Performance Studies). Collaborative certificates (African Studies, Asian Pacifric/American Studies - pending approval at Amherst, Coastal and Marine Sciences - pending approval at Amherst, Culture, Health and Science, International Relations, Latin American Studies, Logic, Middle Eastern Studies - pending approval at Amherst, Native American Indian Stuides - pending approval at Amherst and UMAss), courses and degree programs (Astronomy, Dance and others in the centers and programs).
Disciplinary Area(s)	"Threatened" - the Classics (Greek and Latin, archeology)	Joint programs: German, philosophy American Studies, media studies, modern studies, Native American Studies, Religious STudies, Science technology and Society, joint science department (biology, chemistry, physics); Intercollegiate programs: Asian American studies, Black Studies, Theater and Dance, Chicano Studies, Core Program in the Humanities, Womens Studies, Classics	African Studies (Smith), Arabic (MHC), Asian/Pacific/American Studies (Amherst and UMass), Center for World Languages (UMass), Dance Department (Hampshire), Early Music Program (MHC), Film/video Productions (MHC, Hampshire), Geo Sciences (Umass), International relations (MHC), Peace and World Security Studies (Hampshire), Russian, East European, and Eurasian Studies (Smith), Five College Science Education Fellows (UMAss, Smith, MHC)
Type of Educational services	New collaborative courses - no whole programs. Some courses may currently be offered on campus, but most are new and all are collaborative. Focus on enhancing the quality of upper-level courses. Keep intro courses personal and on campus	Joint departments, shared library, intercollegiate programs, cross-registration, shared facilities, collaborative administrative activities	Cross-registration, integrated libraries, meal exchange, fare-free buses, faculty joint appointments, interinstitutional centers and programs
Medium of delivery	mixed - Internet with F2F on campus - field trips/practicums	F2F - all adjacent campuses	F2F
Level of collaboration	Collaboratively developed (at a summer seminar sponsored by the Tech Center) and delivered (Course director, instructors - who also act as mentors on campus, lecturers, and tutors) - "team teaching"	"A mid-sized university cluster of small colleges" -	Faculty joint appointments in a variety of departments to "enable institutions to introduce specialized areas of study into the curriculum and to experiement with courses in new or emerging fields". Each Five College deparment and program is overseen by a faculty committee representing the relevant programs and/or departments of each campus. I am not sure how much inter-faculty collaboration of individual course is occurring, but much interinstitutional collaboration in putting degrees/certs together with existing courses exists.
Funding	Andrew W. Mellon Foundation	A budget of $34 million	Traditional with additional outside funding

CJV	The Associated Colleges of the South (ACS)	The Claremont University Consortium	Five Colleges, Inc.
Credits	Everything listed and given by home institutions regardless of origin of course except in archeology	awarded by home colleges, as are degrees.	Unknown - most likely Home College
Governance structure	Tech Center helps facilitate efforts through faculty and course development and developing and monitoring course delivery system. Other administration is within campuses	Home colleges give credit for cross-register courses as if taken at home, and they grant the degrees. Some formula for cost-sharing and cautionary measures to limit imbalances among members. They have a constitution worth reviewing.	Collaborative programs and the like get Five Colleges approval and individual instituional approval
Point of Origin	Classics department faculty	Pomona College 1925	Colleges collaborated to found Hampshire College - through this activity they collaborated more regularly in academics, administration, resource sharing
Purpose/ Objectives	Enhance curriculum within institutions (through both increase in quality and diversity of courses offered), and to stay alive in a threatened discpline - they are on top of the Prisoner's Dilemma sticking together to be stronger even if competitive with one another. They share common principles and understanding of what they do and who they are.	an educational and intellectual center that aspires to enable the "collective endeavors of the emmber colleges to achieve more than the sum total of indivdiual efforts" by: fostering academic and administrative collaboration among the members, efficiently and effectively managing consortium services and programs, promoting the establishment of new centers, academic enterprises and colleges, increasing financial support for new and existing programs and facilities, advancing the rep and recognition of teh consortium and its constituent institutions, serving as an international exemplar of the benefits to be gained through consortial practices in higher education: Mission: "This pioneering enterprise has given national leadership in demonstrating how advantages of the small college...and the advantages of a university...can be combined...to build a notable center of learning" (Dr. Robert J. Bernard, strategic plan 2002, p. 7)	Five Colleges, Incorporated is a nonprofit educational consortium established in 1965 to promote the broad educational and cultural objectives of its member institutions, which include four private, liberal arts coleges and the Amherst campus of the state university. The consortium is an outgrowth of a highly successful collaboration in the 1950s among Amherst, MHC, Smith, and UMass-Amherst, which resulted in teh founding of the fifth instiution, Hampshire in 1970. Five Colleges promotes and administers long-term forms of cooperation that benefit faculty, students, and staff.
Other activities	Collaboration in research between 2000 faculty, in administrative activities between 4000 staff to achieve greater efficiencies with technology on campus	the CUC is a nationally recognized model for academic support, student support and institutional support services: campus safety, a central library, health and counseling services, ethnic centers, central bookstore, physical plant and facilities support, payroll and accounting, information technology, human resources, real estate, risk management and employee benefits	Shared use of educatioanl and cultural resources and facilities, including a joint automated library system, open cross registration, and open theater auditions, joint departments and programs, inter-campus transportation. Their proximity to one another in the Connecticut River VAlley of western Mass favors Five College collaboation, as does their commitment to the liberal arts and to undergraduate education. There is cooperation across administration, academics, faculty and students. the CJV has a page all about "how to collaborate"
Birth	The ACS was incorporated in 1991. The online programing was developed in 1994	1925 - with new additions throughout the 20th Century and incorporated as the CUC in 2000	Integrated since 1965
Evaluation	Currently in a second year of a 3 year evaluation process with external evaluators		
Parent organizations	ACS is one of three component centers of the new National Institute for Technology and Liberal Education (NITLE) - also funded by A. W. Mellon Foundation. ACS created the Technology Center at Southwestern University to serve all member institutions.	CUC - consoritium	Hampshire Collaboration - previous working relationship
Positives	liberal arts focus in a tech situation (have developed their own vocabulary to avoid "distance learning" and work to reconcile liberal arts education principles with new IT), people who have written and are researching alliances in HE, Willingness to cooperate is high, involves a virtual library, is in the south of the US, middle of an evaluative process, involves "threathened disciplines", highly selective liberal arts colleges with a commitment to LA, many are affiliated with the Methodist/Presbyterian/Congregational churches, some graduate schools, HBCU inclusion, gendered campuses and one imbedded gendered campus (University of Richmond). They could be at the early stages of a long-term continuum of collaboration - hard to tell	Geographically tight - easy to research, has been a longstanding and evolutionary CJV, recommended by several committee members, feasibly accessible, highly evolved level of collaboration compared to others, collaborative from beginning like the Sage Colleges but more integrated academically for students, LA is nice in the spring	It is a well-known CJV that has stood the test of time given the relative newness attached to so many current CJVs, committee knows of it and recommended its inclusion, interesting case given the gendered campus dynamic and the inclusion of one public HEI, previous association with one another prior to incorporation, centrally located for collecting data, high selectivity of member institutions, local alums as friends.
Negatives	they don't offer whole programs online, don't market to students outside of those already attending member campuses, looks a lot like traditional consortia with just a technology twist. They are really spread out across a large geographical region.	Am not sure how the CUC maintains the unique culture of each campus while integrating the system? Such a highly evolved collaborative, it could be fairly dense to work through and complicated to make sense of.	inclusion of a public, complex cadre of programs, certificates, degrees, joint faculty, centers, interinstitutional departments - may be difficult to find the right folks to speak with, could be unwieldy case given its size and diversity of collaborative activities

Appendix G. Potential Sites for Study: Other Curricular Joint Ventures

CJV	Tri-College University	Colleges of Worcester Consortium, Inc.	Lehigh Valley Association of Independent Colleges
Competitive/ noncompetitive	quasi-competitive	non-competitive - diversified/niche type institutions, regionally based in tight geographic proximity (a city)	quasi-competitive, regional - tight geographic proximity
Location	Fargo, ND	Worcester, Mass	Lehigh Valley - Bethlehem, PA
Size of CJV	three instiutitons serving XXX students	13 governing-member colleges and 13 associate members - 31,000 students	6 colleges with approx. 12,000 students
Member Institutions	Concordia College, Minnesota State University Moorhead, North Dakota State University	Anna Maria College, Assumption College Day and Evening programs, Atlantic Union College, Becker University, Clark University, College of the Holy Cross, Massachusetts College of Pharmacy and Health Sciences, Nichols College, Quinsigamond Community College, Tufts University School of Veterinary Medicine, University of Massachusetts Medical School, Worcester State College, worcester Polytechnic Institute (13 associate institutions are mostly society orgs, museums, and the like)	Cedar Crest College, DeSales University, Lafayette College, Lehigh University, Moravian College, Muhlenberg College
Institutional type	two publics and one private	private, religious, non-profit - and state regional	all independent
Programs, Courses, Degrees, Certificates Offered	masters and specialist degrees (ed admin), B.A., B.S.N., or M.S. (Nursing), seminars, acadmic programs (major/minor), licensure in development/adapted phys. Education	certificates in college teaching; Cooperative academic program (courses, internships, academic advising, career planning and gerontology certificate) - gerontology	African Studies (to be announced), Women's stuides - minor and certificate at any membr institution, Evening Humanities Program (English, History) - two subjects not commonly available at night, like business, computer science and social sciences. Students enroll at one of the institutions and complete that college's requirements for the degre and for a major in either subject. The colleges coordinate their course offerings so students can get the upper level courses they need by taking the occasional course elswhere. three of the six colleges participate for both majors.
Disciplinary Area(s)	languages, history, nursing, educational leadership, math, physics, gerontology, world studies, phys. Ed	Teaching education, gerontology	Women's Studies, African Studies, and humanities
Type of Educational services	cross-registration, seminars/colloquia, courses, programs (major/minor) masters degree programs, library, art, study abroad, student academic orgs	cross-registration at no-charge arrangement, cooperative gerontology program, collaborative teaching certificate, interlibrary privileges, collaborative career services, dual-degree programs	study abroad, cross-registration, program coordination
Medium of delivery	F2F	F2F	F2F
Level of collaboration	Collaborative degrees and programs.	Collaborative teaching certificate and gerontology certificate and coordinated services	program coordination for specific student pops for humanities and within interdisciplinary studies (women's and African)
Funding			Traditional and institutioanl assessments (traditional association structure)

CJV	Tri-College University	Colleges of Worcester Consortium, Inc.	Lehigh Valley Association of Independent Colleges
Credits	Home institution?		Given by home institution
Governance structure	Board of directors comprised of three presidents and five community members and on a rotating basis the student body president of one of the three campuses - principal rep for TCU affairs at each member institution are the vice presidents for academic affairs, serving as the TCU Commissioners		Center coordinating body for the association
Point of Origin	late 1960s to allow cross-registration - incorporated in 1970	1968 by the presidents of the existing coleges of the time	1969
Purpose/ Objectives	To maximize opportunities for Tri-College students, faculty and the community: Objectives inclue - To assist in the establishment and the maintenance of coordinated programs among and between Concordia College, Minnesota State University Moorhead, and North Dakota State University (or their successors), together with affiliated institutions and supporting agencies and organizations, as a means of maximizing higher educational services for the people of the region; To serve as an agency through which existing and potential educational programs and courses of instruction at the above enumerated institutions can be promoted and strengthened; To promote Fargo-Moorhead as a regional center of higher education; To serve as an agency through which voluntary and governmental resources, financial and otherwise, may be received and dispensed to supplement the educational endeavors by Concordia College, Minnesota State University Moorhead, and North Dakota State University (or their successors), and affiliated and supporting agencies and institutions.	The Colleges of Worcester Consortium, Inc. is a not-for-profit association of public and private accredited colleges and universities located in central Massachusetts. We are committed to working cooperatively both to further the missions of the member institutions individually and to advance higher education regionally. The Colleges of Worcester Consortium: Serves as a mechanism through which member and partner institutions share resources and cooperate for the benefit of students, faculty and the greater community; Provides a forum for members and community leaders to explore ideas and concerns affecting higher education; Promotes the role of higher education in the region's economic and cultural vitality; Promotes communication and cooperation among its members and local, state and national governments. After reviewing the current state of the Consortium and the progress we have made in implementing the first strategic plan, the Board of Directors takes pride in and endorses the benefits the Consortium brings to its many constituencies. The Consortium is committed	The mission of the Lehigh Valley Association of Independent Colleges, Inc. (LVAIC) is to make strong institutions stronger. LVAIC is incorporated as a non-profit, charitable organization; Established in 1969, LVAIC expands educational opportunities for students; offers professional development programs for faculty and staff; engenders greater economy and efficiency in institutional operations; and serves local communities in a variety of ways. Cooperation permits smaller colleges and universities to retain the numerous advantages that flow naturally from humanly-scaled organizations, while providing many of the services usually associated with larger-scaled, less personal institutions. Business: The Lehigh Valley Association of Independent Colleges provides member institutions the opportunity to reduce expenses through greater buying power and improved efficiency by participating in the Business Services and Group Purchasing programs. LVAIC endorsed vendors offer member institutions a variety of products and services at discounted rates. Cost Avoidance Savings: Negotiated/bid contracts offer bottom-line sav
Other activities	Red River Basin Institute, World Studies Seminar, Languages, Study Abroad, intercampus ar agreement, gerontology minors, developmental/Adapted physical education, physics honorary society, mathematics colloquia, Tri-college history lectureship - graduate programs in educational leadership and nursing consortium	enhance Teaching and learning for faculty and students at member institutions, GEAR-UP Massachusetts, joint purchasing, Shuttle services	Administrative and business (highly evolved joint purchasing and the like), interlibrary loan, cross-registration, study-abroad, conferences for students and faculty
Birth	1970	1968	1969
Evaluation		Impact study available at www.cowc.org/Impact/	
Parent organizations	The three members		
Positives	Long-term relationship intended to last forever in a most collaborative manner, regionally focused in an area losing young educated residents en masse.	Students applying to the teaching certificate actually apply to the Consortium - that is interesting. They are a long-existing collaborative moving into areas that make sense for the region and individual institutions (teaching and geronology)	Easily accessible for me to travel to and visit inexpensively - seems really interesting with the evening humanities program and budding Women's and African Studies programs - need to learn more. Traditional and evolutionary association with a central office
Negatives	includes more publics than privates	I already have one site selected in Boston.	Seems primarily driven by business collaboration rather than academic collaboration

CJV	Colleges of the Fenway
Competitive/ noncompetitive	non-competitive unique institutions, somewhat vertical in association, tight geographic proximity
Location	Boston, MA
Size of CJV	6 independent institutions with a total of 9800 FTE and 3400 FTGrad (12% of total Boston Student pop), 2800 faculty and staff (13% of employees in Boston HE field)
Member Institutions	Emmanuel college (PLA), Massachusetts college of Art (undergrad/grad and certificate - private), Massachusetts College of Pharmacy and Health Sciences (undergrad and grad/private), Simmons College (women undergrad and co-ed grad, PLA), Wentwork Institute of Technology (independent co-educational), Wheelock College (PLA - focused on child life, social work and education)
Institutional type	Independent institutions
Programs, Courses, Degrees, Certificates Offered	Collaborative degree in women's study, collaborative course for the CJV
Disciplinary Area(s)	Women's studies and local culture
Type of Educational services	2500 students cross-registration each semester, specially developed Colleges of Fenway course "work and American Culture", Women's Study degree program (collaborative between Emmanuel Simmons, and Wheelock), academic initiatives, dual degree (7 year Simmons and Mass College of Pharm),
Medium of delivery	
Level of collaboration	Collaborative degree in women's study, collaborative course for the CJV
Funding	

CJV	Colleges of the Fenway
Credits	
Governance structure	Regular meetings of the chief financial officers, chief academic officers, and deans of students are held to address opportunities for joint initiatives.
Point of Origin	1996 by the presidents of the institutions
Purpose/ Objectives	Enhance student and faculty environments of our independent institutions while returning the unique qualities of each of our schools, economic benefits of collaboration to slowdown escalating costs of HE through the sharing of resources, ending costly duplication, advantages of joint purchasing, smaller environment and enjoy resources of a major academic environment.
Other activities	Core programs of cross registration, faculty development workshops, joint purchasing, and joint student programs form the foundation of the COF. Colleges of the Fenway functions as a coordinating agency which identifies new opportunities for collaboration, provides organizational support and leadership to agreed upon initiatives, enhances communication between the members, and monitors and evaluates programs.
Birth	1996
Evaluation	
Parent organizations	
Positives	This is an interesting collaborative, relatively new, all independent - again- women's studies, and interesting to put a truly collaborative course together
Negatives	It is in Boston - if I choose the 5 colleges, this is not good.

Appendix H. Contextual Evidence of Each Construct across Each Case

Construct	The Claremont Colleges	The Five Colleges	Sunoikisis
Engagement and Participation	*People have to try to work well together to keep the whole healthy and viable (CUC Administrator).*	*You're just crazy and shooting yourself in the foot if you don't get around that. Or just suck it up and smile because the alternatives, if you really start a fight with crazy Uncle Harry, is every hour is a fight. So the alternative is really, really not good. So smile and say, 'Oh, that's crazy Uncle Harry!' [Laughter.] (Amherst Geology Professor)*	*You're going to see the same thing. Somebody said that sometimes it's easier to collaborate with someone that is not down the hall it's easier to work with someone that is across the country because you don't have to see them all the time and sometimes that makes it easier. (NITLE Program Coordinator)*
	Pomona sees itself as being in two consortia - a physical one, the Claremont Colleges; and a mental one that the administrators are running in everyday, if not the faculty. The mental one is made up of Swarthmore, Amherst, Williams, Carleton....the elite. They are self-sufficient. And so we are self-sufficient, because of them. (Pomona Dean of Faculty).	*I don't understand why all departments aren't Five College departments. It is easy to do. It doesn't take much time. The benefits vastly outweigh the work that you have to do. It has always been a mystery to me why we are a Five College department, and [other departments] are not. I was just thinking that they don't want to do this. (Geology Chair, Amherst College)*	*Faculty passion is a huge thing in terms of getting these things going - having champions in that way. (Southwestern Dean of Faculty)*

Construct	The Claremont Colleges	The Five Colleges	Sunoikisis
Development of Common Purposes, Missions and Visions			*Some schools are very worried about something like Sunoikisis taking away from [institutional uniqueness]. I don't think that any of us in the southeast were worried about that, because we're not top tiered schools. We always regarded this as enhancing what we do, improving what we do. We just have to convince other people that it's possible for them too. (Classics Professor)*
	We are first Scripps, and they are first Pomona. And then we are doing this other thing together. (Scripps German Professor)	*A number of faculty at Amherst do not see that they need Five College collaboration, but they're not the majority. (Five College, Inc. Executive Director)*	
	It is a tightrope walk sometimes...but it's just the landscape...It's one of the things that you have to overcome and move forward. (Pomona Dean of Faculty Kates).	*It is changing culture...The college does better by recognizing the opportunities we have to learn from other institutions, and not trying to go it alone just because we are fortunately a wealthy institution, and to see the benefit in doing some things collaboratively, that we can actually do them better collaboratively than we could do them if we did them solely by ourselves, even if we could afford it. (Amherst Dean of Faculty)*	*One of the things we say jokingly is that there is a difference between collaboration and a club. Right? Can Sunoikisis become something that engages more institutions, touches more undergraduates, achieves some economies of scale, brings a wider variety of intellectual specializations into the discussion? Or will it in the effort to do that, we lose some of the sense of affiliation and allegiance and club-like community that has been important to it so far? So that's one of our big questions about Sunoikisis. (NITLE Executive Director)*
			The idea that we had to share an identity, it just made collaborating and talking much easier and much more productive. I don't think there was a lot of competition amongst us. (Sunoikisis Classics Professor)

Construct	The Claremont Colleges	The Five Colleges	Sunoikisis
Leadership	*No person of this younger generation will do what she has been doing. She has lived and breathed that job and that college to so far beyond the call of duty. (Pomona German Professor)*	*I will probably get a little bit more involved with other things once my children grow up a little bit and now I feel, since I have tenure, a bit more free to explore and do other things besides just trying to produce publishable results. (Smith Geology Professor)*	*The real key to success was a notion to do this collaborative kind of work [while] the deans stood out of the way and watched. They were interested, but they were supportive to the extent of standing aside. [And from this beginning, Sunoikisis has] evolved in terms of the structure of leadership. (Classics Professor)*
		[To insure future leadership faculty must] make sure that our young people build the bridges that we built when we got here so that they have the advantages of those bridges. (Amherst College Geology Professor)	*We're still going to be one single department, but they'll be a variety of programs running underneath Sunoikisis, and I suspect they're going to be regional. (Sunoikisis Classics Professor)*
		I would do anything for John Brady. (Mt. Holyoke Geology Professor)	*Early on he was the main driving force, and he made it a great institution. Then Sunoiksis started working more as a community. It wasn't just Kenny talking you into doing something. It was the other faculty being invested into what they were doing. (NITLE Program Coordinator)*

Construct	The Claremont Colleges	The Five Colleges	Sunoikisis
Linking Mechansisms	*You have to work at this because it is not going to happen without someone making this happen or setting it up. (CUC Executive Director)*	*The fact that we appear at the special events or social events that are being planned by the groups we meet with makes a difference to them. (Five Colleges, Inc. Executive Director)*	*More than a virtual partner is a real colleague, and we probably have better than a lot of single departments where they see each other every day. (Southwestern College Classics Professor)*
	When you kind of sit back after the semester's over and you ask yourself how often you've seen or talked to somebody, it's astounding. (Pomona German Professor)	*[Five College organization of chair meetings are critical] otherwise you probably would never meet! [Laughter.] And then some of these things would be too complicated to do and you wouldn't end up doing them. (Smith Geology Professor)*	*We're building relationships in slightly redefined modalities. (NITLE Executive Director).*

Construct	The Claremont Colleges	The Five Colleges	Sunoikisis
Conflict Resolution Mechanisms	*It's rivalry sometimes. We're all a big family. We all get along, (CMC Dean of Faculty).*	*[Like in a marriage] with all conflict, communication is necessary, and if you fail to communicate, then ill will just builds up and builds up until something blows. You just can't let stuff go. (Mt. Holoyoke Geology Professor)*	*It's worthwhile to talk to them and say what is that challenge? What problem are you facing and is that something I can help with? It's certainly worthwhile to listen, instead of just saying that I have a solution, let me impose it upon you. (NITLE Program Coordinator)*
	My peers are the other deans. ...I have these colleagues who are doing the same thing that I'm doing. So it's wonderful to have the benefit of their presence here. I think the call to [Carleton] dean is a little more lonely, and it's forty miles from his Macalester counterpart (Pomona Dean of Faculty).	*It is very useful to hear as deans, but also as liberal arts institutions the similarities that are often present. But you are also aware that each institution, as similar as we are, has a different culture. And these lead to differently to suggestions sometimes. But it is very useful to be able to talk through some ideas. (Amherst Dean of Faculty)*	*We always tried to keep it front and center in all our members' minds that they had to be constantly talking, and our other colleagues outside the department. (Sunoikisis Classics Professor)*

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