

# CHAPTER I

## INTRODUCTION

The research with the issues displayed below would be the initial steps leading to the right directions of the study.

### Rationale of the Study

Chschetto-Salles, et al. (2006, p.15) defined "*Management*" with specific factors- the focus on leadership skills, such as establishing the vision of the organization and its goals, communicating these and guiding others to accomplish them. It asserts that *leadership* must be facilitative, participative and empowering to ensure visions and goals are established and communicated. They also added that management also could be understood as the group of people responsible for making decisions in an organization, such as executives and managers. Management scholars' view "*Change*" as "Incremental and Continuous," others view it as "Episodic and Discontinuous." Yet, Walker (2004, p.814) pointed out that most scholars and practitioners of change agree that human systems were characterized by some type of continuous change.

Actually, educational administration was of a short history (Sergiovanni, 1999, p.146), which has emerged during the decades of the twentieth century in setting up a "science" of education and administration. He considered it to be "an applied science." He cited:

...This applied science relies heavily on concepts, insights, and practices from the various disciplines and from the study of organization and administration in general but evaluates these ideas for goodness to fit the unique value structure of educational organizations

(Sergiovanni, 1999, p.146)

In general, change management is regarded as a structured approach to change in individuals, teams, organizations and societies, enabling the transition from a current state to a desired future one. It also poses a broad way of topics. To an individual perspective, the change may be a new behavior. For a business idea, the change may be a new business process or new technology. And from a societal point of view, the change may be a new public policy or the approval of a new law. However, successful change needs more than a new process, technology or public policy, and it requires the engagement and participation of the people involved. Therefore, change management supplies with a framework for managing the people side of these changes.

Even in the early years of change management, in the model of the individual change management, Kurt Lewin (1951) was famous for his three-stage model, describing as a process- unfreezing, moving (changing) and refreezing. Abraham Maslow (1970, p.123) developed "A Need Hierarchy" theories, suggesting an administrator's job is to provide avenues for the satisfaction of employee's needs, which in turn supports the organizational goals and reduces the causes of frustration, negative attitudes or dysfunctional behaviors. Then, Speck (1999, p.219) introduced "Change Process Model" (CPM), based on a learning community with the participation of all the stakeholders- teachers, staff, students, parents and the rest of the community on the way of practicing change process and management. The model also put an emphasis on both the importance of the individual in transition and the role of the school organization. Plans for change had to be considered by the school organization. A collaborative leadership team working with the principal and the faculty and from the collaborative efforts from the stakeholders, which was made a system that creating the dynamic interactions- the skills/capacities, incentives/motives, resources, time and politics. All operate like a machine of a learning organization. Above all, it is the roles of leadership that is mentioned a lot.

In recent years, change management, especially in educational administration sphere, has been introduced worldwide through models based on theories from famous educational experts, educators, professors and scientists. For example, William, J. Reddin posed "Three-Dimensional Model of Leadership Effectiveness" (Lunenburg, 2001, p.172), consisting of the basic styles, effective styles and ineffective styles.

Hoy, et al. (2001, p.91) came up with "Integrated Model of Organizational Effectiveness," relating to inputs criteria, throughputs criteria and outcomes criteria. Hall, et al. (2000, p.73) also got their success with the Concerns-Based Adoption Model (CBAM), referring to diagnostic tools: stages of concerns, levels of use and innovation configuration. And, leadership has also been introduced to be an effective tool towards change management process.

French (2005, p.25), while talking about organizational change, listed out a few kinds of environmental factors in an organization needed to change such as a new competitor and a new invention. For the levels of the change, he indicated (1) fundamental, large-scale change in the organization's strategy and culture and (2) fine-tuning. And for the strategies of change, he shows out six ways- (1) individual change strategies, (2) techno structural strategies, (3) data-based strategies, (4) organization development, (5) violent and coercive strategies and (6) nonviolent yet direct-action strategies. In the seven main modules, Fullan (2006, p.72) presented, in Module II "Leadership for Change," that leader would have to equip with emotional intelligence, self management, social awareness, and relationship management

And at the outset of 2009, Lisa and Cynthia (2009, p. 4) produced a new model called "Logic Model." They explained that there were two types of models: THEORY OF CHANGE (a theory of change model is simply a general representation of how you believe change will occur) and PROGRAM (a program logic model details resources, planned activities, and their outputs and outcomes over time that reflect intended results). Apart from this, they added that theory of change models (TCM) is distinct from program logic models (PLM) in several important ways. TCM presents a very high-level and simple explanation of "do" and "get," whereas PLM offers a detailed map that can be implemented when supplemented with work plans.

Indeed, theories and models have been implemented at any filed at any level worldwide. And importantly, it is in educational administration that has revealed a very wide variety of theories and models to be studied and conducted in the hope of creating a lifelong environment. In this respect, the researcher would like to spend more time studying documents dealing with these issues, especially the theories and models on change management in the emergence of globalization along with Education for Sustainable Development (ESD) to create a model for change

management in higher education level globally. And then have a close survey at the real scene, Can Tho University (CTU), Vietnam for information about administration and implementation of change management and needs for change, and then construct another hypothetical model toward enhancing effective performance of change management nationally. Finally, there will be a judged model proposed through the comparison, verification and modification between a global and national change management model before a new CTU change management model is officially proposed to be implemented. That means, above all, finding out an effective change management model to propose to CTU, Vietnam is a must.

Universities as well as schools must be continuously taken part in the process of change or they will not be successful with their students and the ever-changing needs of society (Speck, 1999, p.174). In addition, change in schools gets the whole community involved in its process, as Hall, et al. (2001, p.14) stated:

...Change processes are easier and chances of sustained success are increased as the school staff understands more about how to use external resources and as those external to the school recognize the importance of their roles in facilitating each school in achieving change success

(Hall, et al., 2001, p.14)

And when change theories proliferated, Herbst (1999, p. 125) during the early years of the post World War II era, development issues prevailed and quantitative approaches, both of a descriptive or evaluative nature, gained prominence. In the mid 60s, the climate began in the U.S.A and Europe, particularly in the public sphere and in the wake of new social movements emphasizing bottom up approaches, broader participation and advocacy (Alinsky, 1971 and Herbst, 1999). And in the field of HE, many of the more popular change approaches originally designed for other purposes were-as "borrowed systems"-adapted to and integrated into the management of individual institutions or HE systems (Chaffee, 1985 and Herbst, 1999).

Tushman and Romanelli's (1985) and Eisenbach (1999, p.81) stated that there are three types of change: incremental, radical and continuous. They punctuated equilibrium model of change emphasizes the discontinuous nature of change. Long periods of small incremental change are interrupted by brief periods of discontinuous, radical.

Meanwhile, Ford and Ford (1994; Eisenbach, 1999, p.82) used models of "LOGIC" to provide different understandings of the change process. From the logic of dialectics, the conflict between the forces for and against change are two opposing actions that "work at each other" until one dominates and the resulting outcome is a synthesis that is distinct but contains elements of the forces for and against change? But from the logic of trialectics (change occurs through attraction), Change do not result from "pushes" or pressure to move away from the present situation, but instead result from being "pulled" toward or attracted to different possibilities.

Furthermore, far to Africa, Van Schoor (2003, p.3) expressed that private and public organizations were facing a future of constant change due to change drivers: globalization, economic nationalism and information technology, and South Africa is also meting with major changes to its tertiary education landscape, in which a plan was announced for restructuring of HE with the overarching goal to remove the inequalities of the past (South Africa Department of Education, 2002).

In addition, when change process is being carried out, the roles of the leaders are recognized. Hall, et al. (2001, p.27) also put it:

...Change is not only, however, about the implementers – those who will change their practices- but also about those who will facilitate the implementers in doing so

(Hall, et al., 2001, p.27)

And in order to get change done, change processes need to have action plans, inspection, control, and even evaluation because when there is careful consideration of the possible components, variations and clusters from the beginning, the process will be more efficient and effective (Hall, et al., 2001).

Also, when discussing a change beyond the school, Fullan (2003, p.51) expressed that the school environment cannot be improved from the top. And the top can supply with a vision, policy incentives, and mechanisms for interaction, coordination and monitoring, but to recognize this vision. There had to be the lateral development. He added that people at one's own level give and receive help in effect, building capacity and shared commitment across schools.

Indeed, change processes in schools need the understandings and involvement from the insiders -teachers, staff, administrators and students and outsiders- parents, business and the community. All these stakeholders create a united organization to push up the change process. Tomlinson (2004, p.102) indicated that when implementing exchange, schools had to deal with adapting to new pressures and requirements from outside the school. He also put down that the changes driven from outside are part of the institutionalizing process rather than the result of fresh organizing learning.

Let us take a look at some models and practices at the university level. First, in the case of Chinese educational settings, Ma wan-hua (2007, p.73), in his articles about "Globalization and Paradigm Change in Higher Education: The Experiences of China", (Herschock, et al., 2007, p.164) expressed, " The changes China has undergone over the past three decades are so fundamental that virtually no aspect of social life has remained unaffected. Higher education is no exception." He added that at any the system level, Chinese higher education has experienced changes with respect to expansion, diversification, massification and commercialization. Also, according to Ma wan-hua (2007, p.76), recently the Chinese Ministry of Education held two Chinese and foreign university president conferences for more awareness of the interplay of local, national, regional and global forces and issues in decision-making for institutional change and development.

Second, in the Singaporean case, Jason Tan (2007, p.175), when mentioning about "National Education" in Singapore schools, pointed out that the National Education initiative, launched in May 2007 by Deputy Prime Minister, Lee Hsein Loong, aimed at developing national cohesion in students with (1) fostering Singaporean identity, pride and self-respect; (2) teaching about Singapore's nation-building successes against the odds; (3) understanding Singapore's unique

development challenges, constraints, vulnerabilities, and (4) instilling core values such as meritocracy and multiracialism, as well as the will to prevail, in order to ensure Singapore continued success.

Third, Prof. Muongmee Suchinda (2007, p.33), in his article entitled "The Role of Lifelong Learning and Self-Directed Learning in Educational Reforms in Thailand" posed the needs for educational reforms in Thailand. He stated that the educational reform is, among other things, seen as a crucial ingredient for building a nation of wealth, stability and dignity, and a capability to compete with others in the age of globalization. He also displayed some obstacles which need to overcome as follows (1) strong leadership with clear vision and understanding of the mission of education, (2) politics influencing education, (3) a duty of the government to solve any education problem, (4) a big gap between academics and the general public in the process of educational reform, (5) the main issues of educational reform - change in mentality, behavior and work culture in education, (6) parents' thoughts about traditional education needed to be reformed and (7) students' points of view to be considered.

Meanwhile, in the era of globalization, the Vietnamese education is being influenced as other developing countries in the world are. The national education reforms since the early 1990s with many major changes have been seen (Mac Cargo, 2003). Obviously, the country is also facing challenges and opportunities. First, taking about the challenges, Mac Cargo (2003, p.87) stated that the reforms had resulted in a rapid increase in numbers of students, numbers and types of educational institutions and courses of studies at all levels of education. He added that; however, the national education system seems to be facing deterioration in quality.

In the context of opportunities towards higher education environment, when being asked from Viet Nam News on May 31, 2006, Deputy Minister of Vietnamese Education and Training, Banh Tien Long said that the overall objective of tertiary reform in the next 15 years (the country's global integration plan for education from 2006 to 2020 would be to achieve basic changes in the quality and scope of the system so that it could respond to the socio-economic development and the people's demands for further studies.



At the same token, Quoc Hung (2007, p.4), when writing his article entitled “An Overview of Vietnamese Higher Education in the Era of Globalization: Opportunities and Challenges” conveyed the five challenges, which included the comparability of quality and standards, the multi-nationalization of higher education, the problem of brain drain, the problem of intellectual property and maintaining a university as a learning organization. And mentioning about the roles of the leaders in the transformation in Vietnamese higher education, Hung (2007, p.5) suggested that Vietnamese universities need a radical transformation to improve the quality and effectiveness of education in order to meet the diversified demand for human resources. In the context of Can Tho University (CTU), Vietnam, Quoc Hung (2007, p.6) also put out his suggestions on this matter that CTU leaders, in spite of following the directions from the Vietnamese Ministry of Education and Training, need to empower the practice of educational decentralization at department levels in terms of vision sharing. Actually, CTU, Vietnam is on the way to change management. However, the decentralization is done by step by step. The university needs a planned path on the move. And the management of change needs to be taken into account and boosted in the whole process.

From the results of a structured questionnaire with 27 items (SWOT analysis) dealing with Change Management Process, Organizational Change Management, Change Agents Management and Change Management in Education for Sustainable Development (ESD), 50% responses from 51 CTU administrators, (deans, deputy deans, director, deputy directors, administrative office chiefs and administrative office deputy chiefs) of 27 colleges/schools, institutes/centers and departments/offices, put a strong need for enhancing change management at this venue.

Consequently, from the above-mentioned issues, in this study, the researcher is going to find out a model currently implemented in the higher education level globally from parts of change management processes. Then there will be a survey about how the administration is going on, what the needs for change management are and how effective the change management will be in CTU, Vietnam, where change management process has been in use for over 10 years. Furthermore, there will also be an in-depth judgment between the global and national change management model in choosing a suitable one for its implementation in CTU, Vietnam. Surely, this will be a



solid base, helping construct a model to enhance effective change management performance in the long run, which has never done before.

In short, the study would investigate the matters (1) an effective change management model in ESD in HEIs globally through theories, models and practices, (2) the judgments about change management models from experts worldwide and (3) the present state of administration and the needs for change in Can Tho University, Vietnam, and an appropriate and practical change management model proposed towards Can Tho University, Vietnam.

### **Questions of the Study**

In order to fulfill the thesis, the researcher will try to find out the answer to the major question- *what the model proposed to enhance effective change management in Education for Sustainable Development in Can Tho University, Vietnam, will be,* with the following specific matters:

1. What is the effective change management model in Education for Sustainable Development (ESD) in Higher Education Institutions (HEIs)?
2. How is the effective change management model in Education for Sustainable Development (ESD) in Higher Education Institutions (HEIs) verified?
3. What is the appropriate and practical change management model in Education for Sustainable Development (ESD) proposed in Can Tho University, Vietnam?

### **Objectives of the Study**

In order to find out the answers to the research questions mentioned above, here, in the context of the general purpose, the author would like *to propose a model to enhance the effective change management in Education for Sustainable Development in a higher education institution in Vietnam, particularly in Can Tho University.* Therefore, this paper will specifically aim, as follows

1. to construct a hypothetical model (Global Model) to enhance effective change management in Education for Sustainable Development (ESD) in Higher Education Institutions (HEIs),

2. to verify the hypothetical model (Global Model) to enhance effective change management in Education for Sustainable Development (ESD) in Higher Education Institutions (HEIs), and

3. to propose the model to enhance effective change management in Education for Sustainable Development (ESD) in Can Tho University, Vietnam.

### **Significance of the Study**

Hopefully, this study would bring benefits to all those interested in change management issues. For the researcher, first, the study will get comments, ideas and suggestions to a tentative change management model from email discussions of the international experts. It will be a good opportunity for the writer to get to know the famous figures in the sphere of change management of educational administration. Second, the author will better understand the theories and models about change management. Third, he will find out the current state of the administration and the needs for change management in CTU, Vietnam, which has never been studied before. And finally, it is the author that will construct an effective change management model proposed to the CTU administrative board in the long run.

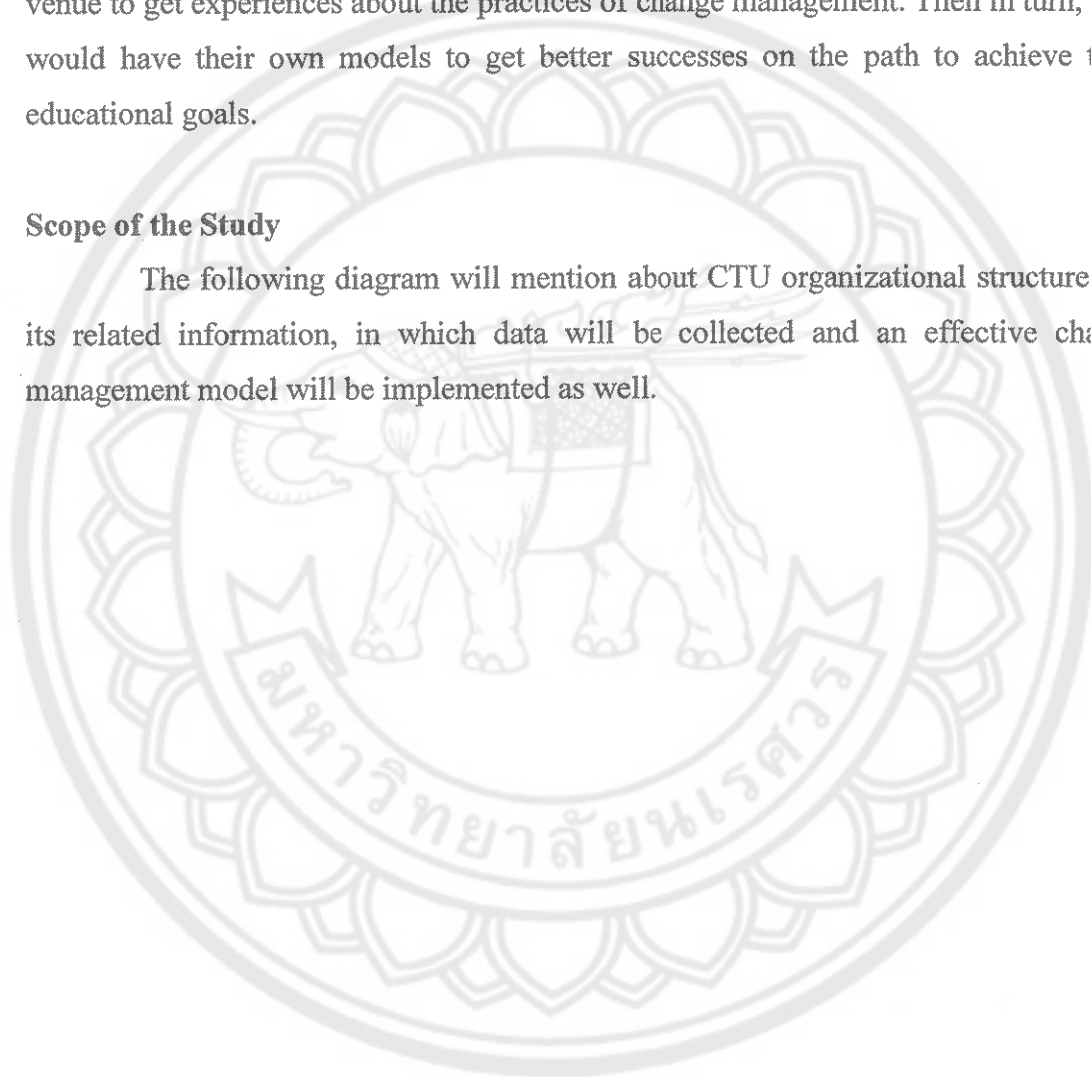
For the readers, as a result of the research, firstly, they will have an opportunity to better understand CTU, Vietnam about its practices of change management since the 1990s (Post Vietnam War 1975) and, meanwhile, to obtain some information about the current path of CTU, Vietnam, embarking on implementing change management since then. Secondly, this research will hopefully be a useful reference to the administrators, office staffs, teachers and students else where, when they would like to look for the additional information needed. Thirdly, after reading the research, readers will have another chance to have a new venue for cooperation in the long run for the administrative fields and other related issues within educational circle, especially with CTU, Vietnam. And finally, from taking interest in learning new models, implementing them and creating others, the researchers will see this paper as a strong impetus to engage in a comparative study among levels of education beyond one border in order to integrate in the regional and global learning environment

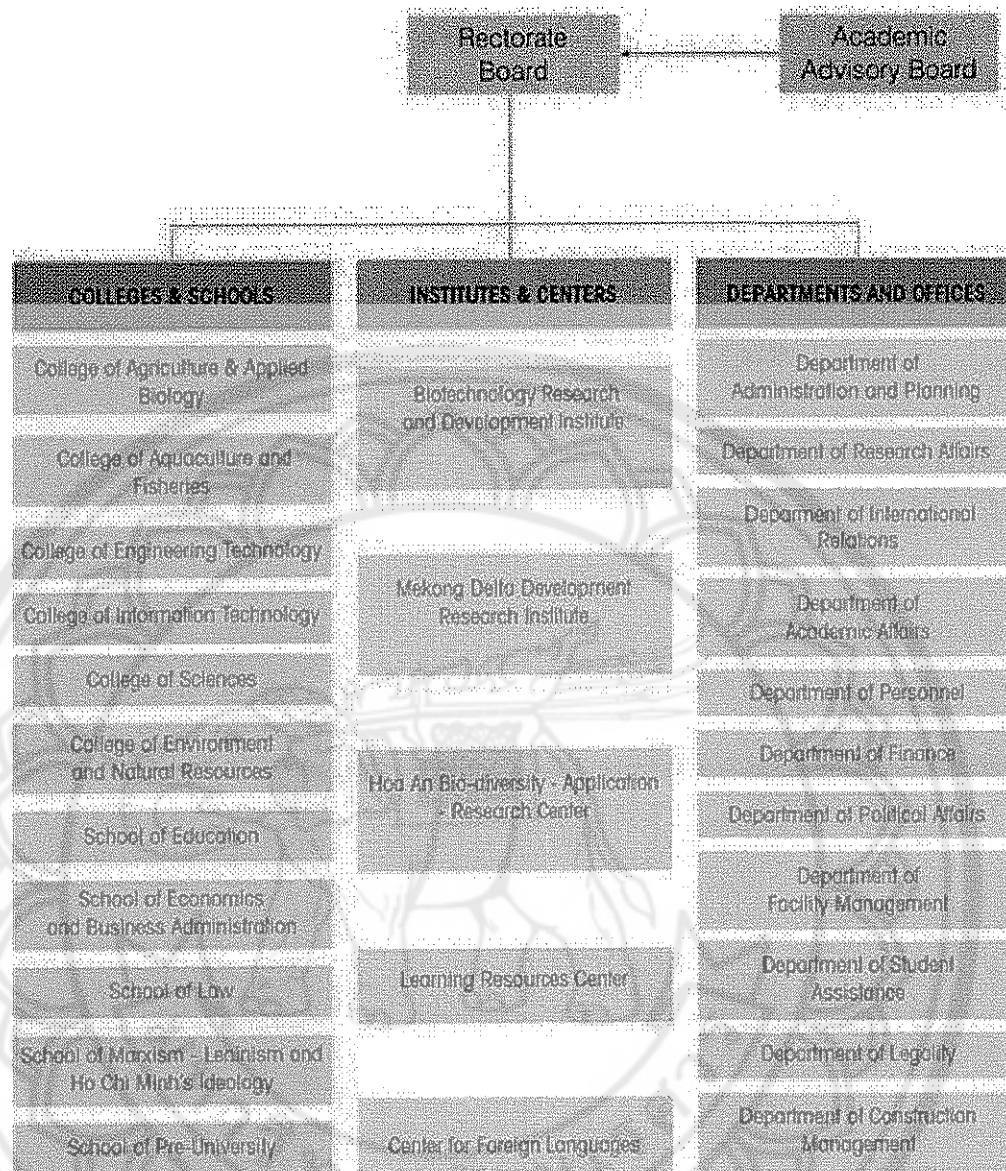
For Can Tho University, Vietnam, the HEI, directly implemented the new change management model, would have an ever-done task looking back about their ongoing administration and applying a new try out to its effectiveness of the change process. The whole stakeholders of CTU would engage in the circle of change and be more confidence in their actions and results of change.

For other HEIs in Vietnam and global scale, they would have a channel and venue to get experiences about the practices of change management. Then in turn, they would have their own models to get better successes on the path to achieve their educational goals.

### **Scope of the Study**

The following diagram will mention about CTU organizational structure and its related information, in which data will be collected and an effective change management model will be implemented as well.





**Figure 1 Organizational Structure of CTU, Vietnam**

Can Tho University (CTU), founded in 1966, is the largest public one, located in the heart of the lower Mekong Delta areas, South Vietnam. The university also lies in Can Tho city, dubbed “capital of Southwest,” 150 km west of Ho Chi Minh City (formerly Saigon). CTU is among the leading universities in Vietnam and has become an important center of learning, research and technology. Also, CTU closely works with provincial authorities, private and public enterprises and the farming

community. These essential links enable this university to mold its teaching and research activities in the needs of the local community.

CTU is also well-known for its outreach programs and satellite colleges, serving all the communities throughout the Delta. These programs provide education and training opportunities to students and people in the surrounding areas, who cannot attend classes at CTU. In addition, this university is making an attempt to achieve excellence in all of its academic programs and in the assistance that it supplies to the Delta provinces

The university offers 77 undergraduates programs and 36 graduate ones in the disciplines of Agriculture and Applied Biology; Aquaculture and Fisheries; Environment and Natural Resources; Engineering Technology; Information and Communication and Technologies; Education, Law; Economics and Business Administration; Political Sciences, Pre-University and Sciences. Also, the university has a network of satellite colleges of ten in the Mekong Delta provinces. Presently, there are about 27,000 full-time students and 15,000 studying at satellite colleges throughout 13 Mekong Delta provinces.

CTU is a comprehensive university under the jurisdiction of Vietnamese government and the university rector board. Its missions are (1) to offer undergraduate and graduate training programs to meet current and future educational needs of the residents in the Mekong Delta areas, (2) to conduct fundamental scientific research and to develop applications, (3) to directly serve the needs of the community by spreading knowledge of science and technology and transferring technology and (4) to assist in developing the regional economy and local productivity by expanding agriculture and bringing scientific and technological advances to local producers.

### **Definition of Terms**

Given the way to make some rather difficult academic terms clear, occurring throughout the dissertation, the following will convey the meanings.

**Change Management** is a structured approach to change in individuals, teams, organizations and societies that enables the transition from a current state to a desired future state.

**Model to Enhance Effective Change Management** is a typical structure designed with the main elements or factors, helping an organization to develop the practice of the management of change.

**Can Tho University (CTU)**, Vietnam, Can Tho University is one of the largest public universities throughout Vietnam with a comprehensive university model. It is located in the heart of Can Tho City, Can Tho Province, in the lower Mekong Delta region. It is 150 km west of Ho Chi Minh City, and over 200 km south from Cambodia. It is a rather new university (established in 1966). Its crucial role is to help develop the region in both knowledge and human resource development.

**State of CTU administration** is that leadership and management from the rector board to the colleges/schools, institutes/centers and departments/offices levels (top down management) and the relationship and cooperation among the school and administrators (horizontal management) and the feedbacks from the department level to school or college and to the rector board (bottom up management) in Figure 1 (p.12)

**Needs for Effective Change Management in CTU** are the specific factors towards more effective management of change in CTU in terms of Change Management Process, Organizational Change Management, Change Agents Management and Change Management in Education for Sustainable Development (ESD).

**Education for Sustainable Development (ESD)** has its roots in the history of two distinct areas of interest of the United Nations: education and sustainable development with the three thrusts as follows: (1) improving access to quality basic education, in this sense, the first priority of ESD is improving the access to and quality of basic education, (2) reorienting existing education programs, from this issue, more basic education as it is currently taught will not create more sustainable societies, and (3) developing public understanding and awareness of sustainability, with this question, to make progress towards more sustainable societies requires a population that is aware of the goals of sustainability and has the knowledge and the skills to contribute towards those goals.

Briefly, these terms are likely to offer clear explanations to the research itself and to the readers, too, and they would be found more often in the next parts, especially in Chapter II, literature review section as well.