

THE TRANSITIONAL GENERATION: FACULTY SENSEMAKING OF HIGHER
EDUCATION REFORM IN ECUADOR

A Dissertation

Presented to the

The Faculty of the School of Education

The College of William and Mary in Virginia

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Philosophy

By

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2018

THE TRANSITIONAL GENERATION: FACULTY SENSEMAKING OF HIGHER
EDUCATION REFORM IN ECUADOR

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Table of Contents

Acknowledgments.....	viii
List of Tables	ix
List of Figures	xi
CHAPTER 1: INTRODUCTION	2
Contemporary Higher Education Reform in Ecuador	5
Faculty Policies and Role in Ecuador	7
Problem Statement	13
Research Questions	13
Purpose Statement.....	14
The Model of Policy Reaction	14
Significance of the Study	16
Definition of Terms.....	17
Summary	22
CHAPTER 2: REVIEW OF LITERATURE	23
History of Higher Education in Ecuador	23
The Spanish Colonial University (1520s-1800s)	24
The Republican University (1800s-1900s)	27
The Progressive University (1900s-2000s)	30
Contemporary Reform of Higher Education	38
Faculty Work and Role Expectations	43
The Model of Policy Reaction	48

Neo-institutionalism	49
Role Theory	56
Sensemaking.....	59
Summary	62
CHAPTER 3: METHODS	64
Study Design.....	65
Research Method	65
Research Paradigm	66
Cases, Participants, and Sampling	67
Cases	67
Final Site Selection	71
Participant Sampling	73
Data Sources and Collection.....	77
Interviews	77
Field Notes	79
Documents	80
Data Transcription	81
Data Analysis	81
Ethical Considerations	84
Trustworthiness.....	84
Researcher Positionality.....	86
Delimitations, Limitations, and Assumptions.....	87
Delimitations	87

Limitations	88
Assumptions	89
Summary	90
CHAPTER 4: CONTEXT, CASES, AND PARTICIPANTS	91
Contemporary Context of Ecuadorian Higher Education	91
Case Institutions and Participants	96
Case A	98
Case B	100
Case C	102
Case D	103
Case E	105
Summary	107
CHAPTER 5: FINDINGS	109
Code Mapping	110
Navigating Uncertainty	115
Adapting to Change	115
Resisting Change	119
Building Networks	121
International-level	122
National-level	125
Institutional-level	128
Legitimizing Work	131
Evaluation of Work	132

Institutional Decision-making.....	134
Constraining Autonomy	138
Access to Resources	139
Publication Outlets	142
Language of Publication.....	143
Embodying Transition	146
Transitional Generation	147
Sustainability of Reform Efforts.....	150
Summary of Findings	152
CHAPTER 6: DISCUSSION AND IMPLICATIONS	155
Research Questions.....	156
Summary of Findings.....	157
Discussion of Findings.....	158
Faculty Sensemaking	158
Faculty Sensemaking across Contexts.....	170
University Policy Implementation	173
Summary.....	174
The Model of Policy Reaction	175
Macro	177
Meso.....	179
Micro.....	180
Summary.....	181
Implications for Policy, Practice, and Research	182

Policy.....	182
Practice.....	183
Research.....	185
Conclusion.....	186
Appendices.....	188
Appendix A: List of Universities by Institutional Type, Control of Institutions, Location of Institution, and Geographical Location.....	188
Appendix B: Request for Participation Email.....	194
Appendix C: Interview Protocol for Faculty.....	196
Appendix D: Protocolo de la Entrevista de Profesor/Profesora.....	199
Appendix E: Participant Informed Consent.....	202
Appendix F: Auditor Informed Consent.....	207
Appendix G: Translator Informed Consent.....	209
Appendix H: Matrix of Research Questions, Interview Questions, and Field Notes with Literature.....	211
References.....	214
Curriculum Vitae.....	237

Acknowledgments

I would like to thank my dissertation committee, and especially my dissertation chair, Dr. Pamela Eddy, for all the guidance and support I received during this process. I would also like to extend my hearty thanks to my sister, friend, and advisor, Dr. Ane Johnson. To my husband, César Toala, I must thank you for your support and many discussions—you are a true partner. Lastly, my gratitude goes out to César Toala Loor, Jeannette Veloz de Toala, Lesylie Johnson, and David Johnson for their care and support during my fieldwork.

List of Tables

Table 1. Ley Orgánica de Educación Superior Policies Relevant to Faculty Work	8
Table 2. Reglamento de Carrera y Escalafón del Profesor e Investigador del Sistema de Educación Superior Policies Relevant to Faculty Work	10
Table 3. Ecuadorian Universities Founded during the Spanish Colonial Era	26
Table 4. Ecuadorian Universities Founded Between 1940 and 1970	32
Table 5. Timeline of Higher Education in Ecuador within the Context of Socio-economic, Political, and Religious Events from 1492-2007	36
Table 6. Highlights of 2010 La Ley Orgánica de Educación Superior	41
Table 7. Timeline of Higher Education Reform in Ecuador Relevant to this Study from 2007 to 2017	42
Table 8. Matrix of the Six Selected University Sites and the Primary and Secondary Criteria	72
Table 9. Matrix of the Research Participants at Case Sites	76
Table 10. Case Site and Participant Disciplines	77
Table 11. A Priori Codes, Code Meaning, Legal Documents where Codes are Found, and Interview Questions Related to the Codes	83
Table 12. Budget for Public Universities in Ecuador	93
Table 13. Description of Case Universities	98
Table 14. Case A University Participant Details	100
Table 15. Case B University Participant Details	102
Table 16. Case C University Participant Details	103
Table 17. Case D University Participant Details	105

Table 18. Case E University Participant Details	107
Table 19. Code Mapping: Four Levels of Analysis	112
Table 20. Research Themes, Sub-themes, and Participant Support	114
Table 21. Findings at a Glance	153

List of Figures

Figure 1. Model of Policy Reaction for the Study of Faculty Role in Higher Education in Ecuador	49
Figure 2. Factors Influencing the Professionalization of the Role of Faculty in Ecuador.	55
Figure 3. A Map of Ecuador by Region with Case Universities	73
Figure 4. A Conceptual Model to Describe How the Macro, Meso, and Micro Elements of Higher Education in Ecuador React to Top-Down Policy Reform	177

Abstract

In response to public sector criticism, higher education reform in Ecuador over the past decade has created a nation-wide transformation of faculty roles. The literature from researchers in Ecuador concerning reform and the role of faculty discusses the desired impact of these new expectations; however, very little is known regarding the substantive reality of faculty navigating new roles and work. This study explored faculty sense making of national reforms relating to their role and work at universities and sought to understand how faculty are navigating both policy and implementation of new work expectations ten years after government top-down reform efforts.

The qualitative, cross-case comparison was framed through the perspective of the model of policy reaction. Interviews were conducted with 15 full-time Ecuadorian faculty participants representing hard and social sciences from five case universities located throughout the country. Data analysis resulted in five major findings: a) faculty negotiating uncertainty around work expectations and policy implementation; b) faculty building networks in order to meet expectations and develop research capacity; c) faculty understanding practices to legitimize their work as distrustful and inefficient; d) faculty perceiving policies as constraints to their academic autonomy, and; e) faculty making sense of themselves as a transitional generation building capacity and sustainability for future university stakeholders. The findings for this study will assist future policy-makers and university authorities in planning and managing change efforts to ensure that faculty stakeholders are involved in the policy-making and implementation processes.

THE TRANSITIONAL GENERATION: FACULTY SENSEMAKING OF HIGHER
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CHAPTER 1: INTRODUCTION

Si no cambiamos la educación superior, no habrá futuro para el país.

If we do not change higher education, there will be no future for the country.

Rafael Correa to the National Assembly of Ecuador (Mena Erazo, 2010a)

During the 21st century, Latin America has experienced widespread efforts to improve higher education. Tünnermann (1999) reflected on the role of higher education on development in Latin America and cited the key demands of equity, quality, and relevance for higher education in the 21st century. Several countries in Latin America have implemented national quality assurance and evaluation mechanisms in hopes of improving higher education systems historically plagued by a lack of transparency, under-qualified faculty, and nonexistent research agendas (Bernasconi, 2006, 2008; Ferrari & Contreras, 2008; Montoya, Arbesú, Contreras, & Conzuelo, 2014; Rengifo-Millán, 2015; Schwartzman, 1993; Van Hoof, Estrella, Eljuri, & Leon, 2013).

Likewise, the focus worldwide on neoliberal perspectives of the knowledge economy and globalization has led many developing countries in Latin America to place emphasis on the role of higher education in social, cultural, and economic development (Hunter, 2013; Schwartzman, 1993). One way in which Latin American countries are working toward becoming knowledge producers is by improving the quality of post-secondary institutions and reforming the role of faculty in the university to bolster outcomes.

Historically, the role of faculty in the Latin American university has been filled by part-time professionals who did not engage in research nor have doctoral degrees; the academic profession has occupied the peripheries of the higher education sector in the region (Altbach, 2003; Bernasconi, 2006; Schwartzman, 1993). However, with quality assurance and knowledge production the leitmotifs of higher education, the role of faculty has become more complex. Faculty members in Latin America constitute the critical ingredient that influences the quality and effectiveness of higher education institutions (Austin, 2002). The professionalization of the academic position in Latin America has meant the rise of the faculty member as an independent expert who possesses academic credentials such as a doctorate, is devoted full-time to academic tasks, creates knowledge through research, and is involved in developing the culture and climate of his or her university (Berrios, 2014). Altbach, Reisberg, and Rumbley (2009) observed, however, that due to the rapid growth of the academic profession, facilities for advanced degree study are not keeping up—nor are salary levels that encourage the “best and brightest” to join the professorate in developing knowledge economies. Moreover, the focus on faculty research production and publication in Latin America has over-flung universities’ abilities to supply research facilities or support and training for research enterprises (Ferrari & Contreras, 2008).

Chile and Mexico within the Latin American higher education market have initiated efforts in the past several decades to improve the quality of the professoriate. Efforts include scholarships for faculty PhD studies abroad, more stringent faculty evaluation mechanisms, and increased salaries for academics—meaning that faculty can survive on academic work alone (Bernasconi, 2006; Montoya et al., 2014). In Chile,

Bernasconi (2006) pointed to the rise of the “entrepreneurial professor”—a dedicated and productive researcher able to obtain and manage large research grants, advise governments, and consult on projects while contributing to his or her field and making a high salary—as a new paradigm for the professoriate in Chilean higher education as a result of reform efforts.

The Mexican Vice Ministry of Higher Education established in 1996 *La Programa de Mejoramiento del Profesorado* (PROMEP), a program still existing today which is aimed at improving faculty performance and enhancing academic productivity through incentivization (Montoya et al., 2014; Navarro-Leal & Contreras, 2014). PROMEP offers economic incentives and support in the form of scholarships for postgraduate and post-doctoral study and research collaboration and networks (Montoya et al., 2014). With PROMEP came an increase in research productivity and a rise in the number of faculty with a doctorate in Mexico (Montoya et al., 2014; Navarro-Leal & Contreras, 2014).

Situated within the overall context of Latin American higher education reform is the transformation and standardization of the higher education sector in Ecuador since 2007. This small country on the west coast of the subcontinent has experienced top-down reforms from the government designed to improve the quality of the professoriate and develop the university system as a whole. The development of the higher education sector in contemporary Ecuador is absent from the literature on higher education reform in Latin America. The focus of the region’s commitment to universities is to not only educate the population, but also contribute to the region’s knowledge production. Furthermore, the transformation of the role of the faculty member in higher education in

Ecuador, from a part-time instructor to a devoted faculty-member, is also missing from the literature. This study demonstrates the sensemaking faculty members had of this transformation to their roles and their work within the neo-institutional higher education policy reform environment of Ecuador.

Contemporary Higher Education Reform in Ecuador

Higher education institutions in Ecuador historically had limited government oversight before 2007. Now, the sector operates within a highly politicized and regulatory environment due to policy reforms under a new government (Saavedra, 2012; Van Hoof et al., 2013). Before 2007, universities enjoyed a great deal of autonomy—policies concerning student matriculation to budgeting and hiring were often homegrown and varied from institution to institution (Van Hoof et al., 2013). However, the contemporary reform of the higher education system, which began under the presidency of Rafael Correa’s socialist *Revolución Ciudadana* in 2007, has led to efforts to improve the quality of the country’s universities. Under government auspices, including new constitutional mandates, a new higher education law, and a new government-run post-secondary accrediting body, changes occurred. These changes transformed “the funding and administrative structures of Ecuador’s public universities from tuition-based and relatively autonomous to complete dependency on the central government with regard to budget allocations, student admissions, and administration” (Van Hoof et al., 2013, p. 346). The shift from deregulation and decentralization of a higher education system that lacked accountability to a centralized and decidedly regulated system has been met with debate and accusations from university administrators that the government was attempting to undermine university autonomy in violation of the constitution. The 2008

constitution specifically states that universities will have institutional and political autonomy from the government (Lloyd, 2010; Saavedra, 2012). Further, many feared that instead of increasing quality, reform efforts would only increase bureaucracy and financial burden on the State (Saavedra, 2012).

Several major policy developments have changed the landscape of higher education in Ecuador, the first being a new constitution with new mandates concerning higher education. When Rafael Correa became president, he shepherded the adoption of a new constitution in 2008. In the constitution, higher education undergraduate study became free for Ecuadorian citizens, thus removing tuition dollars as the major source of funding and shifting the revenue source to an increased reliance on the government for resources (Johnson, 2017; Van Hoof et al., 2013). The change in the constitution also changed national funding support for higher education. Per the 2008 Constitution, not only does the State guarantee the funding of public universities, but also the State is plainly appointed as the leadership of the national higher education system, which regulates and monitors all activities. Further, the constitution placed the onus of national development on the system of higher education and its constituents. As stated earlier, the constitution also guarantees university autonomy and academic freedom.

Correa's 2008 Constitution also mandated the creation of a major law dictating higher education. In 2010, amid debate between the government and university administrators, *La Ley Orgánica de Educación Superior* (LOES) was passed and this act defined the quality, transparency, and accountability requirements of the system of higher education, individual institutions, and their governance (Saavedra, 2012). Under the law, a new accrediting body for higher education in Ecuador was created. This new entity,

Consejo de Evaluación, Acreditación y Aseguramiento de la Calidad de la Educación Superior (CEAACES), replaced the previous accrediting body and this new overseer was put in charge of ensuring that universities conform to the national accreditation model. In 2012, CEAACES, which employs an institutional ranking mechanism in order to enforce compliance, closed 15 universities that enrolled over 30,000 students due to their inability to make rapid enough changes to meet accreditation standards (Neuman, 2012b).

The higher education policies that emerged under the presidency of Correa have altered how higher education functions in the country. Under the 2008 Constitution, public undergraduate study became free, but at the same time, the constitutional changes also brought universities under tighter State budgetary and administrative control. Moreover, the 2010 LOES, echoing the mandates of the constitution, charged a newly created accrediting body with the duty of forcing universities to standardize their organizations and raise the quality of education. New requirements for faculty members were part of this mandated change.

Faculty Policies and Role in Ecuador

Faculty policies and roles in universities have been revolutionized in Ecuador's quest for increased quality in institutions of higher education. Due to the mandate of the 2008 Constitution, higher education became essential to producing new knowledge in order to develop the country. This focus on knowledge production, in turn, changed the role of faculty in universities. Shifting from a population of part-time instructors, the 2010 LOES required that many university professors now have PhDs, work full-time for the university, become involved in university administration, and produce research and

publications. Table 1 highlights the Ecuadorian articles and provisions that mandate the changes to faculty work and roles.

Table 1

Ley Orgánica de Educación Superior Políticas Relevant to Faculty Work

Article or Disposition	Description
Article 6 Rights of professors and researchers	Professors and researchers exercise their positions and research under the widest freedom without any imposition or religious, political, partisan or otherwise restriction.
Article 6 Work of professors and researchers	Faculty careers and management positions are guaranteed stability, promotion, mobility, and retirement, based on academic merit, the quality of teaching, and research production, without discrimination of gender or any other type.
Article 36 Allocation of resources for research, publications, grants for professors	Public and private universities are obligated to assign at least six percent (6%) of their budgets to support research for indexed publications and scholarships for postgraduate studies for professors under the law of national development.
Article 147 Academic staff of universities and polytechnic schools	Teaching and research should be combined with other management activities, schedule permitting.
Article 149 Faculty dedication	The time of dedication required is: full-time, with 40 hours weekly; half-time, with hours per week; Part-time, with less than 20 hours per week. No professor or administrative officer may simultaneously hold two or more full-time positions in the education system, in the public sector, or in the private sector.
Transitory Disposition 13	The requirement of doctorate (PhD or its equivalent) to be a lead professor at a university must be achieved by 2017. If this condition is not met, professors will automatically lose their position.

Not only did the 2010 LOES mandate the creation of an accrediting body to ensure institutional compliance, but it also authorized the creation of a national handbook for public and private universities that directs *personal académico* (academic staff) activities and hierarchy at higher education institutions in the country. Table 2 highlights the articles from the handbook, *Reglamento de Carrera y Escalafón del Profesor e Investigador del Sistema de Educación Superior* (Higher Education Professor and Researcher Rank and Title Handbook; CES, 2016), relevant to faculty work.

The objective of the handbook is as follows:

El presente Reglamento establece las normas de cumplimiento obligatorio que rigen la carrera y escalafón del personal académico de las instituciones de educación superior, regulando su selección, ingreso, dedicación, estabilidad, escalas remunerativas, capacitación, perfeccionamiento, evaluación, promoción, estímulos, cesación y jubilación. (Artículo 1)

This handbook lays down binding rules governing the career and rank of academic staff in higher education institutions, regulating their selection, admission, work, stability, pay scale, professional development, evaluation, promotion, incentives, suspension, and retirement. (Article 1)

Table 2

Reglamento de Carrera y Escalafón del Profesor e Investigador del Sistema de Educación Superior
Policies Relevant to Faculty Work

Article	Description
Article 5 Types of academic staff	Members of the academic staff of public and private universities and polytechnic schools are tenured and non-tenured. The condition of tenure guarantees stability. Tenured faculty are classified as lead, aggregate, and auxiliary. Non-tenured are classified as honorary, invited, and casual.
Article 6 Activities of academic staff	Professors and researchers of public and private universities and polytechnic schools, tenured and non-tenured, must carry out teaching, research, and administration or academic administration.
Article 7 Teaching activities	1) Delivery of face-to-face, virtual, or online classes in the institution or outside of it; 2) Preparation and delivery of classes, seminars, workshops; 3) Design and production of books, teaching materials, teaching guides, or syllabus; 4) Management, tutoring, monitoring and evaluation of student internships and work; 5) Participation in activities of social, artistic, productive and business projects of engagement with society and linked to teaching and educational innovation.
Article 8 Research activities	1) Design, management, and execution of projects of basic, applied, technological, and artistic research, involving the creation, innovation, diffusion, and transfer of the results; 2) Advising, tutoring, or conduction of doctoral theses and research master's projects; 3) Participation in congresses, seminars and conferences for the presentation of research; 4) Participation in committees or councils of indexed academic and scientific journals with high academic impact; 5) Dissemination of research through publications, art, performances, concerts, etc.
Article 9 Academic management activities	1) Government and management of public and private universities and polytechnic schools; 2) Direction and management of the process of teaching and research processes; 3) Organization and management of national or international academic conferences; 4) Performance of positions such as: director or coordinator of higher education majors, postgraduate courses, research centers or programs, links with the community, academic departments, academic editor, or editorial director of a publication; 5) Reviewer of an indexed or refereed journal, or a peer-reviewed publication; 6) Design of undergraduate projects, and degree and postgraduate programs; 7) Academic management activities in the areas of inter-institutional collaboration, such as: delegations to public bodies, representation to the Assembly of the Higher Education System, Regional Advisory Committees on Planning for Higher Education, among others; 8) Advisors to higher education system organisms such as CES, CEAACES, and SENESCYT.
Article 10 Service activities	In public and private universities and polytechnic schools, engagement activities should be included in the activities of teaching, research and academic management.

Due to these governmental efforts to improve quality in Ecuadorian higher education, faculty qualifications and activities fell under intense scrutiny. Historically, faculty members focused primarily on teaching and very few professors were full-time employees, had degrees beyond a bachelor or master's, advised students, or performed any type of research (Van Hoof et al., 2013). After the passing of LOES in 2010, and subsequent accreditation expectations and the handbook governing faculty activities, all universities were tasked with ensuring lead professors held *títulos de cuatro nivel* (PhD or equivalent) and are pursuing some type of research and publication agenda. The new laws and policies markedly change faculty roles in institutions of higher education in Ecuador. Now, faculty members must possess credentials in the form of a terminal degree and the research component of faculty work, non-existent before 2010, has become an essential element identified to help meet the country's social and economic development needs. Further, faculty work requires a larger commitment to the management of the university.

A further stipulation of the government changes is the categorization of public and private universities and polytechnic schools that offer both undergraduate and graduate degrees into two options: a *teaching-research university* or a *teaching university*. This new typology does not include the other higher education institutions in Ecuador, such as the 2-year vocational and teaching schools. According to the *Reglamento Transitorio para la Tipología de las Universidades y Escuelas Politécnicas* (Transitory Regulation for the Typology of Universities and Polytechnic Schools), teaching-research universities prioritize the generation of knowledge through teaching and research (CEAACES, 2012). In order for a university to be a teaching-research

institution, 70% of faculty must have a PhD in accordance with the 2010 LOES (CEAACES, 2012). Moreover, they must offer PhD programs that produce research as an essential component. Teaching institutions prioritize professional capacities that boost the economic and social development of the country (CEAACES, 2012), and 40% of a teaching institution's faculty must have a PhD. This legislative demand for faculty members to have a PhD and Ecuador's lack of PhD programs has led many professors to leave the country to pursue a PhD, and to the concurrent importation of doctorate-holders from other countries (Johnson, 2017; Van Hoof, 2015; Van Hoof et al., 2013).

The new focus on faculty research and publication under the national reform policies presented challenges. Van Hoof (2015) stated that in Ecuador,

The research infrastructure is dated or absent, there have never been many incentives for faculty members to do research, there is a lack of appreciation about its value and importance, professors lack an understanding of basic research methodology, and there is a chronic lack of funding. (p. 60)

Under the legislative codes, however, one of the major purposes of the higher education system has become the production of educational, scientific, and technological knowledge (Asamblea Nacional de Ecuador, 2010). According to research by Saavedra (2012), the government discourse assumes that the research conducted in Ecuador's institutions of higher education will be "a significant contributor to technological advancements and innovation, economic growth, development, and global competitiveness" (p. 174). What remains unknown, however, is how the lack of research infrastructure and faculty credentials will change and potentially grow in response to the law.

Problem Statement

Ecuadorian faculty role requirements have evolved in terms of teaching qualifications, professional activities, and research requirements due to the country's new focus on knowledge production. This study explores how faculty experience their work and define their roles in response to the new policies under Correa's government.

The problem investigated in this study is to understand how faculty members make sense of the current higher education reform policies in place in Ecuador. What is unknown is how faculty members personally understand and implement the new requirements in their own practice, and how they culturally define their professional roles and experience in their work, information currently missing from the literature. Faculty roles and work may differ across the comprehensive universities in Ecuador and this study compares faculty experiences across institutional types, control of universities, and location of universities. The study focuses on the new role requirements for faculty members and on faculty sensemaking of teaching, advising, administration, service, and research within their institutional context and locale and ultimately, to understand how faculty with PhDs experience the implementation of the development policies under Correa's *Revolución Ciudadana* (2007-2017).

Research Questions

The research questions that guided the study were:

1. How do faculty members in Ecuador make sense of their roles and work experiences after the 2007 national policy reforms?
 - a. How do these roles and work experiences compare across institutional types?

- b. How do these roles and work experiences compare across control of institutions?
 - c. How do these roles and work experiences compare across location of institutions?
2. What institutional policies, practices, and organizational structures have emerged since the inception of national policies related to faculty work?

Purpose Statement

Faculty work in Ecuador, which has historically been the milieu of the part-timer with few duties outside of teaching a class or two, has expanded to include research, administration, and full-time dedication to a single institution. The purpose of this research study was to investigate how these national reform policies, implemented since 2007, alter the daily lives of professors and their understanding of their roles in this environment. This research sheds light on how faculty makes sense of these reforms and explores how they navigate their new roles.

The Model of Policy Reaction

The discussion of faculty roles in the contemporary policy environment of higher education reform in Ecuador for this research study employed the model of policy reaction. The model of policy reaction is comprised of three frameworks: neo-institutionalism, role theory, and sensemaking. The first component, neo-institutional theory, provided a lens in which to view the larger macro institutional and organizational policy environments of higher education. Neo-institutionalism, an organizational theory used in education, described the homogenization of the institutional sector, and its individual organizations, via mimetic, coercive, and normative isomorphic changes

(DiMaggio & Powell, 1983). Ecuadorian universities, which have experienced top-down reforms under the government of Rafael Correa, have standardized coercively due to the possibility of closure by CEAACES and have mimicked institutions ranked highly via CEAACES institutional ranking mechanism. Moreover, neo-institutionalism highlighted the norming behavior of the reforms on higher education institutions and the legitimization of the faculty's role in the quality of higher education (DiMaggio & Powell, 1983; Jepperson, 1991). Lastly, and importantly, neo-institutionalism was used as a framework to highlight the professionalization of the faculty role in higher education in Ecuador.

The second theoretical framework, role theory, focuses the research study in investigating how faculty members, the meso level of policy reaction, respond to the changes in their roles within the neo-institutional policy environment. Role theory characterizes social actors as occupying certain positions, such as the faculty role in this study, and the ways in which these actors will perform that role based on social, institutional, and organizational expectations, while also interpreting this position for themselves (Biddle, 1986). Further, aspects of role theory, such as role conflict and role ambiguity (Katz & Kahn, 1978; Rizzo, House, & Lirtzman, 1970), are used to highlight how Ecuadorian faculty respond to contemporary national and university policies regarding their work.

Lastly, sensemaking (Weick, 1995) acted as a lens to understand faculty navigations of the changes in their roles on campus and in the country at them micro-level of policy reaction. Faculty are not simply empty vessels that consume and conform to national and university policies, but agents who make meaning of “structures and

norms, use them, and often reproduce them as they take action, but they do this from a certain vantage point and in ways that make sense to them and to their world view” (Gonzales & Rincones, 2011, p. 67). Sensemaking, in this research, referred to the process whereby agents arrange and manage information within a social context (Weick, 1995; Weick, Sutcliffe, & Obstfeld, 2005). Due to the major reforms of faculty qualifications and activities, how faculty perceive and perform their new roles is essential to understanding the effect and utility of these reforms across different institutional types, control of institutions, and the location of comprehensive universities in the country.

Significance of Study

This study provided a timely, in-depth analysis of the various higher education reform policies in Ecuador and how they have affected professorial work and role definition for current faculty members. Saavedra (2012) noted that when studying higher education in Latin America, Ecuador is noticeably absent from the literature. Larger countries like Chile and Mexico have received most researchers’ attention, leaving smaller countries like Ecuador from systematic research (Jameson, 1997; Saavedra, 2012). As such, there is little empirical research available; thus, this study attempted to fill this gap and contribute to the literature by examining Ecuador’s most recent reform of higher education. Likewise, too little attention has been paid to the transformation of the professoriate in the region and this research filled a gap in the literature concerning faculty development and roles in higher education (Balán, 2006).

Definition of Terms

CEAACES	Consejo de Evaluación, Acreditación y Aseguramiento de la Calidad de la Educación Superior is the State-run body that manages the evaluation, accreditation, and quality assurance of the system of higher education in Ecuador. The function of CEAACES is determined by the LOES.
Comprehensive university	Ecuador hosts five types of universities: Comprehensive universities, graduate degree post-secondary institutions, foreign universities, <i>universidades emblemáticas</i> (national universities), and two-year degree post-secondary institutions. Comprehensive university in this study means the 52 universities that offer both undergraduate and graduate degrees and includes both institutions referred to as <i>universidades</i> and <i>politécnicas</i> within this definition.
Control of institutions	In this research, control of universities is characterized as either public and relies on the government for resources; or private, which relies wholly on student tuition and other forms of finances (<i>auto financiado</i>) or relies on both tuition and the State for resources (<i>cofinanciado</i>) (Asamblea Nacional de Ecuador, 2010).
Geographical regions of institutions	Ecuador is comprised of four distinct geographic regions:

- *La Costa:* The coast of Ecuador, located in the west, is the coastal lowlands of the country, where Guayaquil, one of Ecuador's three major cities, is located.
- *La Sierra:* The Sierra, or the Andean highlands, bisects the country. The highlands are comprised of the Cordillera Central Range and Cordillera Occidental Range of the Andes. Here Quito, the capital city, is located, as well as several active volcanoes.
- *El Oriente:* The Amazon rainforest region, located in the east, is comprised of two sub regions: the high Amazon and the Amazon lowlands. The largest, and least populated, region contains dense tropical jungles.
- *El Archipiélago de Colón:* The Galápagos Islands are located approximately 600 miles off the coast of Ecuador in the Pacific Ocean and are on the equator.

Institutional type

Defined in the regulation concerning the typology of universities and polytechnics, institutional type is used to refer to teaching-research universities and teaching universities:

- Teaching-research university: Defined by the regulation concerning the typology of universities and polytechnics, this institutional type prioritizes knowledge production.

To be categorized as this institution, 70% of faculty hold a PhD or its equivalent, offer master's and doctoral programs, and demonstrate established research capacity in each doctoral program offered (CEAACES, 2012).

Currently, there are five universities (four public and one private), which can be considered teaching-research universities.

- Teaching university: Defined by the regulation concerning the typology of universities and polytechnics, this institutional type prioritizes teaching. To be categorized as this institution, 40% of faculty hold a PhD or its equivalent (CEAACES, 2012). All public and private comprehensive universities, except for five, are currently categorized as teaching universities.

Location of institutions In this research, location refers to whether the university is located in an urban center or a rural area. These areas are defined by *Sistema Integrado de Indicadores Sociales del Ecuador (SIISE)*. SIISE does not use the term “suburban.”

- *Urbana* – Defined as urban areas or seats of provincial capitals and county and municipal seats according to political administrative divisions, without taking into account size (SIISE, n.d.).

- *Rural* – Rural areas include parish seats, other populated centers, the peripheries or outskirts of urban centers, and sparsely populated areas, without taking into account size (SIISE, n.d.).

Lead faculty	Defined by the Reglamento de Carrera y Escalafón del Profesor e Investigador del Sistema de Educación Superior (Higher Education Professor and Researcher Rank and Title Handbook), lead faculty (<i>titulares</i>) are faculty that enter the scale via the <i>Concurso Público de Méritos y Oposición</i> (a government agency administered by the Ecuadorian social security system that governs the rank and careers of faculty). Lead faculty are categorized as <i>principales</i> (lead), <i>agregados</i> (shared between institutions), and auxiliary and work 40 hours weekly at one or two institutions. This study focuses on <i>principales</i> .
LOES	Ley Orgánica de Educación Superior (LOES) is the higher education law of 2010 that governs the activities of post-secondary institutions in Ecuador
Neo-Institutionalism	A theory that asserts that organizational structures reflect and respond to institutional forces—practices, knowledge, and policies legitimated by social norms, symbolic systems, legal precedent, and prestige—“contributing to an

institutionalized social order: all support and sustain stable behavior” (Scott, 2008, p. 429).

Role “A role is a comprehensive pattern for behavior and attitude that is linked to an identity, is socially identified more or less clearly as an entity, and is subject to being played recognizably by different individuals” (Turner, 2000, p. 112).

SENESCYT Secretaría de Educación Superior, Ciencia, Tecnología e Innovación is a State -run government body that is responsible for managing the application of higher education public policies. Moreover, it promotes the formation of advanced human talent, the development of research, and execution of policies, programs, and projects related to science, technology, and higher education.

Sensemaking A concept that describes how agents “structure the unknown” (Waterman, 1990, p. 41). Weick (1995) describes sensemaking as a process that is grounded in identity construction, retrospection, enactment in social environments, narrative, ongoing, extracted from cues and linked to broader ideas, and lastly, driven by plausibility over accuracy in accounts of events and contexts.

Summary

In this chapter, an introduction to this study was provided by discussing the background for the research on the topic of higher education reform and the role of faculty in Ecuador. This research study centered primarily on the higher education reforms of faculty work under the government of Rafael Correa from 2007-2017. Higher education reforms led by a new constitution in 2008, followed by a higher education law in 2010 and subsequent reforms to higher education institutions and the role and purpose of faculty in the university, have led to the professionalization of the faculty role with an increased focus on research. Further, research questions that guided the study were identified and the theoretical framework of the model of policy reaction was discussed.

Faculty play an important role in the quality of a developing higher education system. Not only do they provide important teaching and guidance to students, but faculty are also involved in the creation of new knowledge, and are pivotal to the implementation of an institution's mission and vision, and instrumental to the university's relationship to its surrounding community. In Ecuador, historically, faculty have been part-time teachers, and uninvolved in research, academic management activities, and community engagement. With higher education reforms, faculty members have more complex expectations from the government and their institution in which to navigate. There is no extant literature on how faculty make sense and develop into their roles in Ecuador; thus, it is by studying this phenomenon that this research contributes to the literature on the transformation of the professoriate.

CHAPTER 2: REVIEW OF LITERATURE

Después de más de nueve años de Revolución Ciudadana, ahora es el momento de comprobar cuán profundas son las raíces de nuestra democracia, cuánto hemos avanzado y de qué somos capaces.

After more than nine years of the Citizens Revolution, now is the time to see how deep the roots of our democracy are, how far we have advanced, and what we are capable of.

René Ramírez (2016), former secretary of SENESCYT

This chapter provides a review of the extant literature related to the focus of this study, namely the influence of contemporary higher education reform policies in Ecuador on faculty roles and work. First, the chapter provided an overview of the historical development of higher education in Ecuador. Next, a comprehensive discussion of contemporary higher education development and reform from 2007 to 2017 is presented. Lastly, the theoretical frameworks used as lenses in which to view current reform policies and change in the institutional sector of higher education related to faculty roles and work since 2007 are discussed.

History of Higher Education in Ecuador

Historically, Ecuador has seen turbulent political, economic, and social change for almost all of the past 500 years. Once part of the Inca empire, the geographical region known today as Ecuador was one of many regions in Latin America overwhelmed by the

forces of Spanish *conquistadores* led by Francisco Pizarro in 1528. Ecuador, like most of Latin America, was deeply affected by the cultural, social, and economic institutions the Spanish enforced. This section details the historical development of higher education and reform movements in Ecuador and Latin America in light of the social, economic, and political developments in the country and region over time.

The Spanish colonial university (1520s-1800s). Reflecting on early Spanish rule, conquistador Francisco Vásquez opined on this time, “*Aún olía la pólvora y todavía se trataba de limpiar las armas y herrar los caballos* (still smelling of gunpowder and trying to clean the weapons and shoe the horses)” (Tünnermann, 2001, p. 41). Emerging from this backdrop, the first university was chartered in 1586 in the region now known as Ecuador. Universidad de San Fulgencio de Quito is the second oldest university in Latin America—behind Universidad de Santo Tomás de Aquino in Santo Domingo, Dominican Republic—and the oldest in Ecuador (“La Universidad más Antigua,” 2011; Tünnermann, 2001). During Spanish rule, over 25 universities were created (Bernasconi, 2008).

The role of the Catholic Church in the colonial university was to enable the transmission of the social and political philosophy of the Spanish Crown and the Church into the colonies. As Cruz (1973) commented, “those centers for teaching sprouted as a need of the New World and as an integral part of the *fenómeno hispanocolonial*” (p. 132). Universidad de San Fulgencio de Quito was part of the long tradition of colonial universities in Latin America. Education is often used as a vehicle to impart social norms in a colonized region, and Spanish colonial powers used higher education to reinforce their hegemony (Arocena & Sutz, 2005; Bernasconi, 2008; Figueiredo-Cowen, 2002).

The “‘colonial university’ was an imported institution that aimed to copy the medieval model and was directly subordinated to the Crown and the Church” (Arocena & Sutz, 2005, p. 573). Spanish colonial institutions throughout Latin America were based on the medieval model of Universidad de Salamanca and Alcalá of Spain (Bernasconi, 2008; Tünnermann, 2001). The colonial university reproduced the spiritual, political, and cultural schemas of Spain and was “one of the elements establishing nascent American life” (Tünnermann, 1991, p. 18). The colonial university offered the type of education a well-born son might find in Spain and prepared those sons to fill civil, bureaucratic, and religious positions in the country (Tünnermann, 1991, 2001). Furthermore, the colonial university was the center of religious teaching and learning and supported those from the Catholic order to evangelize to the indigenous populations (Figueiredo-Cowen, 2002; Tünnermann, 1991, 2001). *Mestizos* (mixed Spanish and indigenous heritage) and the indigenous population of Ecuador were excluded from access to higher education.

Unlike the Portuguese Crown, which did not create any universities during the colonial era in Brazil, the Spanish Crown created approximately 25 universities by the end of the colonial era (Balán, 2013; Bernasconi, 2008; Figueiredo-Cowen, 2002). Most of the Spanish colonial universities were categorized as *universidades pontificias y reales* (pontifical and royal universities) and housed four major disciplines: Art, Theology, Law, and Medicine (Chacón Burbano, 1996; Tünnermann, 2001). A turning point in the history of higher education in Ecuador dates to the arrival of the Jesuits in 1586. Known worldwide for their brand of education, King Philip III received pontifical authorization to create the second university in Ecuador, Universidad San Gregorio Magno, in 1620 (Chacón Burbano, 1996). This university was formed based on a Jesuit model of higher

education. However, after the Jesuits were expelled from the Spanish colonies in 1676 by King Charles III, San Gregorio Magno transferred over to the management of the Dominican order. Nine years later, San Gregorio Magno was closed and a third university, Santo Tomás de Aquino, was opened in 1688 (Chacón Burbano, 1996). Ultimately, the two remaining colonial universities would merge under Simón Bolívar in 1826 to form Universidad Central del Ecuador, the largest university in Ecuador today with an enrollment of over 60,000 students (“La Universidad más Antigua,” 2011). Table 3 highlights the religious affiliations of the three colonial universities founded in Ecuador in the 14th and 15th centuries.

Table 3

Ecuadorian Universities Founded during the Spanish Colonial Era

Higher Education Institutions	Year Founded	Religious Order
San Fulgencio	1586	St. Augustine
San Gregorio Magno	1620	Jesuit
Santo Tomás de Aquino	1688	Dominican

Note. Adapted from “A New Model of Ecuadorean Higher Education: Its Impact on External Efficiency, innovations, and Economic Growth” by M. Chacón Burbano, 1996, p. 16.

By the 17th century, university officials throughout Latin America began to consider the “*acriollamiento de la estructura salmantina*” or the Americanization of higher education—moving away from the models of Salamanca and Alcalá (Tünnermann, 2003). It was not until the 19th century, however, that the colonial model

of higher education was replaced by a new model—the Republican university (Arocena & Sutz, 2005; Bernasconi, 2008; Tünnermann, 1991, 2001). It is important to note, nevertheless, that “[t]he traditional characteristics of the colonial university neither changed after the Independence of Ecuador from the Spanish Crown nor in the Republican Era of the 1830s. Higher education remained supervised by clergymen” (Chacón Burbano, 1996, p. 17). Thus, despite changes in central governmental control, the essence of higher education in the early 1800s remained rooted in religious and colonial ideals of privilege.

The Republican university (1800s-1900s). The Spanish ruled the region for several centuries until Simón Bolívar united the area in 1819 of what is now Ecuador, Colombia, Venezuela, Panama, northern Peru, parts of Guyana and northwest Brazil into one vast region with one government, known as *Gran Colombia*, ousting the Spanish monarchy. During this era, Bolívar created Universidad Central del Ecuador in 1826 in an effort to promote the creation of *pensamiento bolivariano*—a culture that is wholly Latin American and as formidable as the United States. In order to transmit Bolivarian thought, two more campuses of Universidad Central were opened, one in Bogotá, Colombia and one in Caracas, Venezuela (“Universidad Central,” 2002). The short-lived union of Gran Colombia, from which Ecuador withdrew after 11 years, was followed by almost constant upheaval in Ecuador, up to and including the time when it emerged as its own sovereign state in 1830. During this time, the new republican model of universities was introduced.

The republican model of higher education, adopted in the 19th century, differed from the colonial model in that universities were “created or revamped from colonial

predecessors to spearhead the post-independence effort to create a modern nation-state released from the fetters of Iberian colonial heritage” (Bernasconi, 2008, p. 27). The French model of universities, inspired by 17th century French Enlightenment and the growing nationalism from independence movements, affected reforms that took place all over Latin America (Figueiredo-Cowen, 2002). This type of organization persists today in Ecuadorian higher education and is characterized by Universidad de Guayaquil, the oldest university in Guayaquil. Bernasconi (2008) described the new model as follows:

The new design was brought from post-revolutionary France: professorial chairs grouped in loosely articulated faculties, which in turn corresponded to professional fields—typically, law, medicine, and engineering. Prestigious men in the liberal professions and letters were appointed to the chairs. For these reasons of history, mission, and organization, Latin American universities are frequently characterized as Napoleonic. (p. 27)

During the 1800s, only four universities were in existence: Universidad Central del Ecuador (1826), Universidad de Guayaquil (1867), Universidad de Cuenca (1868), and Escuela Politécnica Nacional (1869; Chacón Burbano, 1996).

The first native-born president of Ecuador, Vicente Rocafuerte, governed Ecuador from 1834 to 1839. Known as Ecuador’s education president, Rocafuerte created the Law of Public Instruction, which fostered the inclusion of new subjects in the higher education curriculum—foreign affairs studies and educational law (Arellano, 1989; Chacón Burbano, 1996). Between 1839 and 1851, governance of Ecuador passed from the hands of five different presidents and interim presidents. During this time, however, higher education was financed and tightly controlled by the government.

In 1853, President José María Urbina passed the Law of the Freedom of Studies, thus marking a period where universities passed from the control of the government to university administrators (Chacón Burbano, 1996). The law decreed that the cost of higher education would be the onus of its students. Further, under the law, students were not required to take written and oral exams in their field of study nor actually be enrolled students to receive a degree. Garcia Moreno, the rector of Universidad Central sought, unsuccessfully, to repeal the law because it signaled to him that the President and Congress endorsed anti-intellectualism (Chacón Burbano, 1996).

By the 1860s, ex-rector and theocratic Catholic dictator Gabriel Garcia Moreno helped to unify the country and its economy. Also, in the 1860s, two prominent republican universities were established that still exist today: Escuela Politécnica Nacional in Quito and Universidad de Guayaquil in Guayaquil. The second oldest university in Ecuador, Escuela Politécnica Nacional, founded by Moreno, was run by German Jesuits who had been allowed to return to Ecuador, focused on scientific teaching and research and became the first *politécnica* (polytechnic) of its kind in Ecuador. The university was closed in 1876 by President Borrero and not re-opened until 1935 under President Velasco Ibarra (Escuela Politécnica Nacional, 2015). In 1867, the National Congress created *la Junta Universitaria del Guayas*, a university-like foundation in Guayaquil that conferred law degrees. Later the foundation developed into Universidad de Guayaquil and now has 16 faculties, an enrollment of over 20,000 students, and is an enduring representation of the republic model (Universidad de Guayaquil, 2015).

After Moreno's assassination in 1875, Ecuador headed into more turbulent times. For the next 20 years, presidents were murdered, exiled, and overthrown by military juntas. Ecuador experienced an intense period of crisis (Buckman, 2014). During this time, higher education was not immune to the effects of this turbulence and witnessed student revolts, campus closures, and administration resignations. In 1876, General Ignacio de Vintimilla, who reenacted the Law of Freedom of Studies of 1853, became dictator of Ecuador. He added to the law with a new administrative structure of higher education, leading to the first recorded student protest to national politics (Chacón Burbano, 1996). Moreover, Vintimilla passed a law against university autonomy and ordered that the leadership of universities be appointed by Ecuador's executive branch. The new system of university appointments led to the resignation of top university officials and the subsequent student revolt was punished by the government (Chacón Burbano, 1996). Many students joined the Restoration Troops, which removed Vintimilla in 1883.

The progressive university (1900s-2000s). Higher education in Ecuador during the 20th century, known as the progressive era, witnessed an increase in public funding and high academic achievement, with focused attention on science and modern technology (Chacón Burbano, 1996). Moreover, Latin American higher education saw a major reform movement begin in Argentina with *la Reforma de Córdoba*, or the University Reform Movement (URM) of 1918. Córdoba was considered a turning point for higher education in South America in which students publicly resisted traditional teaching and authority (Figueiredo-Cowen, 2002; Arocena & Sutz, 2005). Arocena and Sutz (2005) stated:

The URM was a university movement but its goals were broader: in fact, it aimed to democratize the university in such a way that the university itself would become a democratizing agent. That was the justification of the defining proposal of the Reform Movement, with well-known medieval antecedents: the *cogobierno*, which implies the autonomous rule of universities by its students, teachers and graduates. The direct participation of the students in the ruling of universities was regarded as a value *per se* and as a safeguard against the tendency of the ‘university caste’ to cloister itself in its own ivory tower. Thus, a new way of ruling the university was demanded as a tool for accomplishing a new social mission: to promote the democratization of society. (pp. 574-575)

Two important characteristics of the URM were academic freedom and university autonomy (Yarzabal, 2001). Before the reform movement, many Latin American universities were beholden to their government for funding, curriculum, and governance. After the movement, universities embraced autonomy from government regulation, though many still received funding. *La Revolución Juliana* of 1925 in Ecuador led to the establishment of a new Law of Higher Education, which instilled the principles of the URM for the first time in the country’s universities (Chacón Burbano, 1996). The University of Guayaquil was one of the first universities to commit to the ideas of the reform movement in Ecuador, though it continued to receive funding from the government as a public university (Universidad de Guayaquil, 2015). From 1943-1970, nine universities were developed (Table 4). In 1946, the first private university was established—Pontificia Universidad Católica del Ecuador.

Table 4

Ecuadorian Universities Founded Between 1940 and 1970

Date Founded	University/Polytechnic	Control of University	Geographical Region
1943	Universidad Nacional de Loja	Public	Sierra
1946	Pontifica Universidad Católica del Ecuador	Private	Sierra
1952	Universidad Técnica de Manabí	Public	Costa
1958	Escuela Superior Politécnica del Litoral	Public	Costa
1962	Universidad Católica de Santiago de Guayaquil	Private	Costa
1966	Universidad Laica Vicente Rocafuerte de Guayaquil	Public	Costa
1969	Universidad Técnica de Ambato	Public	Sierra
1969	Universidad Técnica de Machala	Public	Costa
1970	Universidad Técnica de Esmeraldas	Public	Costa

According to Jameson (1997), the modern higher education system in Ecuador is rooted in the period of growth in the country emerging in the 1970s. This time period saw a growth of higher education development in Ecuador due to a newfound oil industry, and the revenue generated was spent on public works like education (Buckman, 2014; Jameson, 1997). Four public higher education institutions were created during the

dictatorship of the 1970s. Two comprehensive universities, Escuela Politécnica del Ejército (ESPE; a university for the armed forces) and Escuela Politécnica del Chimborazo (ESPOCH), and two post-graduate institutions, Instituto de Altos Estudios Nacionales and Facultad Latinoamericana de Ciencias Sociales (FLASCO; R. Ramírez, 2016). During this time, Ecuador moved from total reliance on agriculture-based industry and became a member of OPEC (although it withdrew in 1992; Buckman, 2014). Ecuador, politically, however, continued to be plagued by instability. Between 1972 and 1981, there was one military regime, one military junta, two presidents, and a new constitution. According to Post (2011), however, “authoritarian governments during the late 1970s and 1980s acted to regulate the number of universities supported at public expense, and governments also had the power to deny official recognition and deny a legal charter to private universities” (p. 5). Similarities between this period of reform and contemporary higher education can be seen in the tightened State-control of institutions. In 1988, Universidad San Francisco de Quito (USFQ), a private university, was founded and based on the model of the US system of liberal arts colleges (Jameson, 1997).

By the mid-1990s, Ecuadorian history was punctuated by a border war with Peru and an economic crisis triggered by decreasing oil prices. Several banks foundered and the value of Ecuador’s currency, the *Sucre*, fell by 60% (Buckman, 2014). Conversely, this time period marked a heightened interest in higher education with new public policies dedicated to its development, due in large part to the “surge in the number of private universities, permitted by a weakened state regulatory apparatus. Nearly every university authorized by the National Council of University and Polytechnics after 1996 was private” (Post, 2011, p. 5). Moreover, the public sector began criticizing Ecuador’s

higher education system—“the widespread sense that the universities of the country, particularly the traditional universities, are ineffective in meeting the needs of the society” (Jameson, 1997, p. 268).

During the 1990s, 53 universities were created, of which 39 were private (R. Ramírez, 2016). In recognition of the dearth of quality in higher education, this time period was underlined by a government reform project known as *Universidad Ecuatoriana: Misión para el Siglo XXI* (Mission of the Ecuadorian University for the 21st century). This proposal, developed by the National Council for Universities and Polytechnic Schools, the Ministry of Education and Culture, and the World Bank, in an attempt to control a crisis in higher education, identified several areas in need of innovation: the mission of higher education, status of autonomy, diversification, quality, faculty, and governance (Chacón Burbano, 1996). Identifying higher education as an important factor in the nation’s development, this proposal worked to create the first national system and independent agency of accreditation and evaluation for the country’s universities headed by former university rectors (Gonzalez, 1999). This council would later be replaced by a new accrediting agency in 2000 under a new higher education law and again in 2010 by Rafael Correa’s government.

In 1998, under the presidency of Jamil Mahuad, a neo-liberal constitution, together with the law of higher education in 2000, prompted the marketization of higher education in the country (Herdoíza, 2015; R. Ramírez, 2013). Neo-liberal tendencies of the global economy impelled Ecuador to regard the higher education sector as a “market good and the university field as a space where competition and private sector logic prevail” (Herdoíza, 2015, p. 26). By 2000, Ecuador made the US dollar the official

currency, prompting a coup d'état of President Jamil Mahuad. Due to dollarization, many Ecuadorians went abroad to study in other countries in Latin America due to the increased affordability of a foreign education (Post, 2011). There was also an increase in demand for higher education and, thus, a boom of garage universities that were private colleges of poor quality (Lloyd, 2010). Although there were attempts to reform national higher education in the early 2000 with a new higher education law, the lack of government stability before 2007 only increased the preponderance of poor quality private universities (Post, 2011).

In 2006, during the final year of Alfredo Palacio's presidency, the Ministry of Education, along with other stakeholders, proposed a 10-year education plan that was accepted by national referendum and became mandatory regardless of who won subsequent presidential elections (Cevallos & Bramwell, 2015). This eight-point plan called for a closer articulation between primary, secondary, and higher education. Two policies of the plan were to elevate the status of the teaching profession with a new system that would provide advanced degrees and professional development and to increase the percentage of the GDP allocated to education (Cevallos & Bramwell, 2015; Ministerio de Educación, 2007). In 2007, upon the election of Rafael Correa as president, a state of emergency for education was declared and Correa allocated \$80 million to intervene immediately in educational infrastructure (Ministerio de Educación, 2007).

Table 5

Timeline of Higher Education in Ecuador within the Context of Socio-Economic, Political, and Religious Events from 1492 to 2007

Year	Socio-Economic Events	Political Events	Religious Events
1492-1550	Conquistador Pizarro led the conquest of the regions of Ecuador and Peru.	Spanish conquest of territories in South America. Transmission of social and political philosophies of the Spanish Crown into colonies through the creation of royal and pontifical universities.	Church responsible for Christian civilization in colonies.
1550-1650	First three universities in Ecuador managed by religious groups and modeled on Spanish universities. Prepared dominant group of Spanish descent to rule colony and reinforced hegemony.		The Catholic Church provided religious leaders as faculty and administrators of universities. Most instructors were Augustinian, Jesuit, or Dominican priests. First universities founded with pontifical authorization.
1650-1750		The Jesuit run San Gregorio Magno was transferred to Dominicans, then closed and replaced by Santo Tomas de Aquino.	Jesuits expelled from colonies by order of Charles III.
1750-1850	Santo Tomas de Aquino educated first Ecuadorian independence leaders. First reform of higher education took place due to overabundance of inadequately funded universities. Colonial universities merged into one, Santo Tomas de Aquino, and constituted the beginning of Universidad Central de Ecuador. Simon Bolivar created Universidad Central in 1826, 10 years before the country became a Republic.	Simon Bolivar focused on the enhancement of the university as a way to promote <i>pensamiento bolivariano</i> and South American culture. Universidad Central's first rector was a high government official and its auditorium was used as the stage for the adoption of the pre-constitution of Ecuador as a Republic.	The role of the Catholic Church weakened in higher education, and the new university centralized the power of the government and the Spanish Crown.

1850-1930	<p>Students were expected to pay for their courses and could take exams whenever they were ready. Teachers established their own curriculum.</p>	<p>President Urbina pass the Law of Freedom of Studies</p> <p>Garcia Moreno became president of Ecuador.</p>	<p>After death of Catholic dictator Garcia Moreno, education became the purview of the public sector.</p>
	<p>Garcia Moreno closed Central and converted to a polytechnic school. Central re-established in 1876.</p>	<p>Garcia Moreno assassinated. General Vintimilla reenacted Law of Freedom of Studies of 1853, which proscribed institutional autonomy.</p>	
	<p>Law of Freedom of Studies reenacted and caused student revolt and resignations of top officials. Students helped remove Vintimilla from power in 1883</p>	<p>University reform movement of Córdoba in Argentina in 1918.</p>	
	<p>Due to university reform movement of Córdoba in 1918, students included in governance and university autonomy and academic freedom espoused.</p>	<p>Revolución Juliana of 1925 led university autonomy movement and made any attempt to violate unconstitutional.</p>	
1930-2007	<p>Violation of university autonomy by President Velasco Ibarra due to socialist ideologies on campuses.</p>	<p>Velasco Ibarra closed Universidad Central in 1934 due to socialist ideology espoused by students. It was reopened in 1935.</p>	
	<p>Between 1943 and 1970, nine universities were founded.</p>	<p>Failed higher education reform movement in spirit of the URM by President Manuel Aguirre.</p>	
	<p>Newfound oil industry in 1970s funded higher education.</p>	<p>1970s punctuated by authoritarian governments that acted to regulate the expense of higher education by denying private university charters.</p>	
	<p>Ecuador experiences economic crisis due to decrease in oil prices in mid-90s. Sucre, Ecuador's currency, fell by 60%.</p>		

World Bank, with government agencies attempted to control crisis in higher education by preparing the proposal “The Mission of the Ecuadorian University for the 21st century.”

1990s saw six presidents in 10 years—a time marked by government instability. Lack of oversight of higher education provoked a surge in private, poor quality universities.

In 2000, Ecuador devalues the Sucre and begins using the US dollar as the official currency. Dollarization allowed many Ecuadorians to study abroad due to increased affordability of a foreign education.

In 1998, Jamil Mahuad, prompted marketization of higher education through a neo-liberal constitution and higher education law.

Coup d’état of Jamil Mahuad in 2000. Three presidents elected and removed from office before their terms were up. Noboa, Gutiérrez, and Palacio each only served two years of their 4-year terms.

Note. Adapted from “A New Model of Ecuadorean Higher Education: Its Impact on External Efficiency, innovations, and Economic Growth” by M. Chacón Burbano, 1996, pp. 23-26.

Contemporary Reform of Higher Education

On January 15, 2007, Rafael Correa’s *Revolución Ciudadana* (Citizens’ Revolution) began with his inauguration as Ecuador’s 43rd president. Correa envisioned a country whose higher education system could help the citizens of Ecuador to meet the challenges of the 21st century and raise the country’s profile in the knowledge economy (Herdoíza, 2015; Saavedra, 2012). With the new constitution in 2008, higher education was mandated as a right and public good and public universities became tuition-free in order to allow a greater percentage of the population to attend university (Charvet, 2014; Cuji, 2012; Herdoíza, 2015; R. Ramírez, 2010). Further, another fundamental normative change was to establish the regulatory capacity of the State to guarantee the quality and

relevance of higher education (Herdoíza, 2015). Universities, however, lost much of the autonomy they won after the University Reform Movement of 1918 due to the increased focus on quality by the government (Post, 2011; Van Hoof, Navas, Fan, Pacheco, & Cordero, 2014). A new law and a new accrediting agency would change the behavior and structure of the higher education system (Van Hoof, 2015).

In October of 2010, a new law was passed that would impact universities in Ecuador, *Ley Orgánica de Educación Superior* (LOES). This higher education law increased the government's control of the country's universities "by increasing their accountability to the central government and by bringing their research and educational efforts more in line with the country's social and economic development needs" (Van Hoof et al., 2013, p. 346). In Table 6, key areas of policy reform in the 2010 LOES are highlighted. The following is translated from the law:

That the validity of the law on higher education regulations for the system of higher education are established, agencies and institutions that compose it determines the rights, duties, and obligations of natural and legal persons, and establishes the respective penalties for breach of the constitutional provisions and those contained in the legal instrument. (Asamblea Nacional de Ecuador, 2010, Article 1)

New government organizations were created in order to manage the new policies created by the new constitution and law, which increased government control of post-secondary education. With LOES, the National Council of Higher Education (CONESUP) was replaced by the Council of Higher Education (CES) to plan, evaluate and coordinate the system of higher education along with the executive branch of the

Ecuadorian government (Herdoíza, 2015). The Council of Evaluation, Accreditation, and Quality Assurance in Higher Education (CEAACES) was also created for the purpose of accrediting and ranking all universities in Ecuador, replacing the previous National Council of Evaluation and Accreditation (CONEA). Moreover, according to the 15th Transitional Provision of the law, all applications for new universities that were presented to CONESUP and CONEA would no longer be considered, thus ending a period of growth of garage universities—small poor quality private universities—and the proliferation of private universities (Neuman, 2012a; Post, 2011). The new government organizations were designed to be gatekeepers to the system of higher education’s quality. Table 6 highlights the articles and provisions that affect the quality of universities.

Table 6

Highlights of 2010 La Ley Orgánica de Educación Superior

Article or Provision	Area Affected	Description
Article 3	Admissions	National Secretary of Higher Education, Science, Technology and Innovation (SENESCYT) given authority to oversee admissions standards at public universities
Article 9	Quality Assurance	Creation of the Council of Evaluation, Accreditation, and Quality Assurance of Higher Education (CEAACES) to oversee university compliance with the law.
Article 14	Research Universities and Faculty	Only teaching-research universities are able to offer Master's or PhDs and those universities must have 70% of the faculty hold doctorates
Article 15	Evaluation	Universities submit to evaluation by CEAACES and degrees and programs are approved by CEAACES and the Council of Higher Education (CES)
Article 28	Faculty	Doctorates of faculty must be from a recognized international university by SENESCYT
Article 166	System of Higher Education	Creation of the Council of Higher Education (CES) to replace the National Council of Higher Education (CONESUP) in planning, regulating and coordinating the internal system of higher education
Provision 15	Faculty	Lead professors must obtain a PhD or its equivalent by 2017

The new law details how the CES and CEAACES are involved in the suspension of universities that do not adhere to the new policies. It describes the procedure of suspension of operation by universities by CES and CEAACES and the imposition of sanctions against universities. Additionally, the law's general and transitional provisions

describe how finances are reported and allocated and what type of degrees can be offered.

The table below offers a timeline of policy development and implementation of higher education reform in Ecuador beginning in 2007.

Table 7

Timeline of Higher Education Reform in Ecuador Relevant to this Study from 2007 to 2017

Date	Event
2007	Rafael Correa becomes 43rd president of Ecuador and declares a State of Emergency for education, calling for an \$80 million investment in educational infrastructure.
2008	New constitution is ratified by constitutional referendum. Article 27 of the new constitution states: "La educación es indispensable para el conocimiento, el ejercicio de los derechos y la construcción de un país soberano, y constituye un eje estratégico para el desarrollo nacional." Education is indispensable for knowledge, the exercise of rights, and the construction of a sovereign country and it constitutes a strategic axis for national development.
2008	The National Constitutional Assembly issues the Constitutional Mandate 14 "Mandato 14" establishing the need for CONEA to elaborate a technical report about the performance of higher education institutions in order to guarantee their improvement.
2009	Correa re-elected as president of the country.
2009	The execution of Mandate 14 culminates with the delivery of the report to the National Assembly on November 4, 2009. The report highlights the problems with the higher education system in the country. The report finds major problems in the area of teaching and that of the 33,007 instructors in the university system; only 4.8% are full-time, dedicated faculty members (Santos & Cevallos, 2016).
2009	The report classifies all higher education institutions into five categories: A, B, C, D, and E. Category A is for institutions with the highest performance and E for institutions with the lowest.
2010	Passing of Ley Orgánica de Educación Superior (LOES).
2010	LOES sets a deadline by which all full-time, tenured (<i>titulares</i>) faculty members must have a PhD. Further, LOES states that faculty must be pursuing research and publication. The deadline for faculty is October 12, 2017.
2010	LOES mandates the creation of four national emblematic universities: Yachay (Hard Science), Ikiem (Humanities), Universidad de las Artes (Arts) and Universidad de Docencia (Education).
2010	Article 93 of LOES establishes CEAACES to replace CONEA to manage the evaluation of higher education institutions.
2010	Article 19 of LOES establishes SENESCYT to manage all higher education policies and ensure implementation.

- 2010 LOES establishes that the Council of Higher Education must elaborate the Reglamento de Escalafón y Carrera del Profesor e Investigador, a general regulation which sets out the guidelines of the academic career and career ladder for higher education faculty.
- 2011-2012 CEAACES evaluates all higher education institutions in the country.
- 2012 The first national university admissions exam is given to prospective undergraduates (Ponce, 2016).
- 2012-2013 Due to the results of the CEAACES evaluation, 15 private universities were closed, forcing 43,000 students to continue studies elsewhere.
- 2013 Correa wins presidential election a third time.
- 2015 Public universities and polytechnics receive 70% of public spending on higher education (Ballas, 2016).
- 2016 An increase in public spending on higher education by 25%, from \$977 million in 2010 to \$1.2 billion (Ballas, 2016).
- 2017 Correa accedes to Lenin Moreno the presidency of Ecuador and the titular head of the party *Alianza Pais* in May 2017.
- 2017 Augusto Barrera replaces René Ramírez as head of SENESCYT and proposes reforms to the LOES. One such change is to mandate that CEAACES evaluators can no longer have multiple jobs, be employees of public higher education institutions, nor be linked to the governing bodies of higher education institutions. Moreover, he proposes extending the deadline for lead professors (*titulares*) to earn their PhD.
-

Faculty Work and Role Expectations

Within the contemporary policy environment of higher education in Ecuador, the work and roles of faculty have changed substantially. In the 2010 higher education law, the government stipulated that any person who teaches at a university in Ecuador must have at least a master's degree (Van Hoof et al., 2013). Before 2010, the only formal faculty requirement was that the instructor had a bachelor's degree (Van Hoof et al., 2013). The law established a deadline of 2017 for all lead faculty members employed in

the university system to obtain a doctoral degree. The intent behind this requirement is clear:

Better educated professors will be able to provide a higher-level education, will be able to conduct research independently, and will thereby raise the bar for the university system overall and assist the country in its economic and social development needs. (Van Hoof et al., 2013, p. 349)

What remains unknown, however, is how these policies are being perceived and performed by faculty 10 years after reform efforts began. This section addresses the work and role expectations of faculty, with respect to the historical roles and the new expectations under national reform policies.

Dedication. The work of faculty in Ecuador has historically been the milieu of part-time instructors supplementing their income (R. Ramírez, 2013; Van Hoof et al., 2013). By 2013, it was estimated that less than half of university faculty were full-time (Van Hoof et al., 2013). In a report by CONEA in 2009, the average monthly paycheck for those few full-time faculty was \$1,435 in public universities and \$666 for faculty in private institutions.

Even with the passage of the new law in 2010, little had changed with respect to faculty hiring. Further, adjunct faculty taught on a course-by-course basis and were not expected to be engaged in the administration of the university nor a part of university culture (though they dominated the professoriate; Van Hoof et al., 2013). Per Santos and Cevallos (2016): “*Hacer de la docencia una comunidad académica, una comunidad de aprendizaje social requiere una institucionalidad académica de bases económicas y sociales; salarios bajos no son, ciertamente, un estímulo para ello*” (To make the faculty

an academic community, a social learning community requires an academic institutionalization of economic and social bases; low salaries are certainly not a stimulus for this; p. 336). Yet, according to the 2010 LOES, at least 60% or more of the faculty must be *tiempo completo* (full-time; Asamblea Nacional de Ecuador, 2010). Clearly, these targets were not met as reported in the 2013 data on staffing (Charvet, 2014; Van hoof et al., 2013). Further, full-time faculty must devote 40 hours a week to the university. The changes resulting from the new law translated the role of full-time faculty members, adding on a sense of legitimacy of the career. Those working as full-time faculty are paid a salary for full-time work and expected to serve as dedicated employees to the university. According to 2012 data by CEAACES, full-time faculty monthly remuneration had risen to an average of \$2,076 for both public and private institutions, respecting their new contributions to the university community.

Teaching. Teaching at Ecuadorian universities was the job of part-time professionals who had little interaction with their students outside of the classroom or few duties outside of teaching. Moreover, the quality of teaching historically received little attention by administration. Under the legislation of LOES and the national handbook for the career of faculty, *actividades de docencia* (teaching activities) included developing new classes, participating in projects that boost teaching innovation, and including service and community engagement activities in their courses (CES, 2016). Faculty are also expected to engage with their colleagues at their university and other universities to exchange knowledge and training concerning teaching methodologies and experiences (CES, 2016). What these new expectations look like to faculty members has not been explored in the literature and was the focus of this study.

Research. Between 2002 and 2012, the Ecuadorian university generated only 10 patents and the production of research, research articles, and scientific books had been non-existent (R. Ramírez, 2013). Due to the focus on knowledge production in the contemporary policy reforms, faculty are expected to perform research and publish research. The historic lack of research facilities in Ecuador has impacted the level of research conducted by faculty members (Van Hoof, 2015).

Though few opportunities exist for faculty to further their education in Ecuador at the doctoral level, the government, in its attempt to increase quality through regulation, has placed major importance on doctoral degrees for faculty and research production (Saavedra, 2012). Under the law (Provision 15), all lead faculty, characterized as *titulares* who work full-time for the university, are expected to have completed a PhD by 2017. Furthermore, the new law categorizes universities as teaching universities or teaching-research universities and the faculty employed at each type of institution must have different types of credentials. Forty percent of faculty in a teaching university must hold a PhD and 70% in a teaching-research university. According to the typology, teaching-research universities must have doctoral programs that focus on research and have the capacity to perform research (CEAACES, 2012). Moreover, because faculty have had historically little experience with research, they have not been able to provide basic research methodology teaching or experiences to undergraduates or graduates. Many universities are now focusing on training in graduate school so that future faculty members become skilled in a range of methodologies (Johnson, 2017). This is accomplished by opening doctoral programs that focus on research methodologies and incorporating research methodologies early in college careers (R. Ramírez, 2013).

Community engagement. The requirement of *vinculación* is a relatively new concept that has become an expectation of faculty work in Ecuador. Many institutions have revised their missions to include this facet due to public sector criticism of the *torre de marfil* (ivory tower) and its disconnect from the needs of society (R. Ramírez, 2013). Faculty, in conjunction with university administration approval, must design and implement community engagement activities as part of their duties. The LOES and subsequent regulations demand faculty engagement with the community, but organizational requirements and expectations vary from institution to institution in Ecuador. According to the CEAACES framework, a full-time faculty member's 40-hour workweek must include attention to her or his own community engagement activities and the incorporation of engagement in courses. Faculty are expected to design, seek approval, go through the process of engagement activity evaluation by administration, look for funding for engagement, and find time to ensure students are involved in engagement activities while being supervised appropriately. Lacking institutional ethics review committees, faculty receive little input or training when designing and implementing community engagement activities.

Summary. R. Ramírez (2013) noted during his investigation into higher education in Ecuador:

Entre las perversidades del sistema encontrábamos que los profesores tenían salarios bajos, eran explotados en términos del tiempo dedicado a dar clases, las universidades no contrataban a sus docentes como titulares y tampoco las instituciones buscaban tener docentes a tiempo completo. El “profesor taxi” que

recorría algunas universidades para enseñar, para tener un salario digno, era algo habitual dentro del campo.

Among the perversities of the system, we found that professors had low wages, were exploited in terms of time spent teaching, universities did not hire their professors as leads, nor did institutions seek to have full-time faculty. The “taxi professor,” who went through several universities to teach in order to have a living wage, was commonplace in the field. (p. 33)

The new policy reforms, however, have transformed the expectations for the role of the faculty member. Research production and publication, along with an increased role in teaching, management, and community engagement, have ostensibly been mandated in order to raise the quality of the higher education system, while also raising the country’s profile in new knowledge development. These top-down legislative reforms have created new challenges and opportunities for professors new to these expectations. Though most of the literature concerning the reform coming out of Ecuador has discussed the desired impact of the reforms, very little attention has been paid to the reality of faculty as they respond to and enact the new expectations.

The Model of Policy Reaction

This section provides a review of the relevant literature concerning the theoretical frameworks that have been nested to devise a grander theory. This nested model of policy reaction encapsulates the macro, meso, and micro university environment in Ecuador. The nesting of these frameworks provides better understanding of how the sector of higher education, universities, and faculty are reacting to the country’s policy reform of the system and faculty roles. Neo-institutionalism (DiMaggio & Powell, 1983)

describes the environment of higher education and provides the overarching framework to analyze contemporary higher education in Ecuador. Role theory (Biddle, 1986; Katz & Kahn, 1978; E. Thomas & Biddle, 1966) further focuses the study and describes the actions and perception of faculty members within the neo-institutional environment of Ecuador. At the core of the frameworks that are used for this study is sensemaking (Kezar, 2013; Kezar & Eckel, 2002; Weick, 1995; Weick et al., 2005), which frames how faculty members are understanding and reacting to their roles. Figure 1 highlights the nested nature of the theoretical frameworks for this study and provides a visual for understanding how faculty make sense of their role in the institutional and organizational environment of higher education in Ecuador.

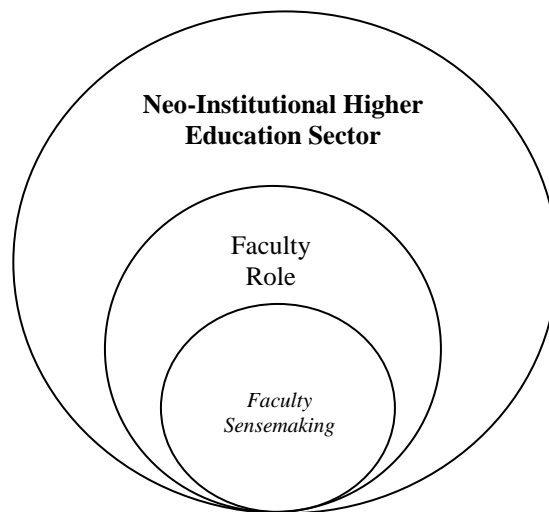


Figure 1. The nested model of policy reaction used for the study of faculty role in higher education in Ecuador.

Neo-institutionalism. Neo-institutionalism provides a lens through which to view the actions of higher education institutions in the regulatory policy environment of reform in Ecuador. As major university systems around the world have changed in

response to external pressures and government policies, universities are driven to “show broadly converging characteristics in terms of their organizational structures” (Croucher & Woelert, 2016, p. 440). The international convergence of educational structure, roles, and goals demonstrate the impact of the international economic imperative for a country to remain competitive in the global market (Fowler, 2013; Torres & Schugurensky, 2002). In Ecuador, in light of the higher education law in 2010 and accreditation standards set by CEAACES, universities are demonstrating institutional isomorphic change and uniformity due to the creation of a normative environment and the national decree to raise the country’s profile in the global knowledge economy (DiMaggio & Powell, 1983; Saavedra, 2012).

The concept of neo-institutionalism emerged in the field of education in the late 1970s in reaction against behavioral theorists (Rowan, 2006). Classic institutionalism focused on explaining the production of social structures through functional needs, power, and interests of actors operating in local situations (Rowan, 2006). Alternatively, *new* institutionalism, or neo-institutionalism, “has moved research away from overly rationalistic explanations of organizational behavior toward explanations that recognize that organizations are embedded in larger cultural and political contexts” (Frumkin & Galaskiewicz, 2004, p. 283). Moreover, any organizational changes that occur are largely limited. Once an organizational structure has been developed and established, whatever changes that do occur over time will be toward greater conformity (DiMaggio & Powell, 1991; J. Meyer & Rowan, 1977). This tendency toward conformity, known as isomorphism, is considered a fundamental component of the neo-institutional perspective. Isomorphism involves the convergence of structures, rules, and norms of a

sector via processes of coercion, imitation, and legitimization (DiMaggio & Powell, 1983).

Institutional environments. Important factors to understanding and applying neo-institutionalism are the institutional environments of organizations. Campbell's (2004) definition of institution aids in understanding the construct of institutional environments:

Institutions are the foundation of social life. They consist of formal and informal rules, monitoring and enforcement mechanisms, and systems of meaning that define the context within which individuals, corporations, labor unions, nation-states, and other organizations operate and interact with each other. Institutions are settlements born from struggle and bargaining. They reflect the resources and power of those who made them and, in turn, affect the distribution of resources and power in society. Once created, institutions are powerful external forces that help determine how people make sense of their world and act in it. They channel and regulate conflict and thus ensure stability in society. (p. 1)

In this study, organizations are comprehensive universities and the higher education sector is the institutional environment, encompassing regulative, normative, and cultural-cognitive systems that shape that environment. In Ecuador, the institutional environment of higher education is responding to multiple levels of influence—from the demand for a system that can compete at the global level to the individual actors that develop and implement the mission and vision of its discrete organizations.

Rules, norms, and cultural beliefs help characterize institutions and shape the institutional environment (Scott, 2001). As institutional environments are often varied

and conflicted, subsequently these systems and structures developed by rules, norms, and cultural beliefs are not always aligned and often exhibit tension (Scott, 2001). As noted earlier, the institutional environment of higher education in Ecuador is a product of both push and pull factors from multiple constituencies. The higher education sector, working towards greater international convergence, is also one defined by the society in which it is embedded. In order to participate in the global knowledge economy, quality assurance mechanisms deeply influence university behavior, while the university is also the product of the historic social and cultural legacies of colonialism (F. Ramirez, 2006).

Institutionalization and legitimacy. Institutions are changing and dynamic, and affected by the processes of institutionalization and deinstitutionalization (Tolbert & Zucker, 1983). Per Scott (2001), institutionalization is iterative, impacts the development of thriving structures; however, deinstitutionalization is when structures fail. This process of institutionalization and deinstitutionalization can be seen in the higher education sector in Ecuador in light of quality assurance mechanisms mandated by the higher education law. CEAACES, in charge of ensuring universities comply with standards, ranks institutions based on their ability to institute national reforms. Those universities unable to institute reforms sufficiently are either ranked low or closed all together, thus demonstrating an institution's deinstitutionalization.

Additionally, institutionalization leads to legitimacy for individual organizations and that same legitimacy augments the status of institutionalization, thus creating a feedback loop (Jepperson, 1991). Institutional legitimacy is “a generalized perception or assumption that the actions of an entity are desirable, proper, or appropriate within some socially constructed system of norms, values, beliefs, and definitions” (Suchman, 1995,

p. 574). Institutional legitimacy is supported by three elements, according Scott (2001): regulative, normative, and cultural-cognitive. CEAACES ranking, an example of all three elements, provides universities legitimacy in the higher education sector in Ecuador and further, legitimates the roles of those involved in the business of a university.

Isomorphism. Isomorphism (as a state) or isomorphic change (as a process) are important elements of neo-institutionalism and is demonstrated in the institutional environment of higher education in Ecuador (DiMaggio & Powell, 1983). Isomorphism happens when organizations share the same institutional environment—in this study, the institutional environment is higher education and the organizations are universities (Deephouse, 1996; DiMaggio & Powell, 1983; Rowan & Miskel, 1999; Scott, 2008). DiMaggio and Powell (1983) identified three mechanisms for institutional isomorphic change: coercive isomorphism, mimetic isomorphism, and normative isomorphism.

Coercive isomorphism is characterized by organizations coerced into change due to pressures exerted by other organizations, governmental regulatory agencies, and the public sector, to name a few (DiMaggio & Powell, 1983). In this isomorphic process, “organizations in a sector follow the formal rules and regulations laid down by the state and its agencies and thereby end up with similar structures or procedures” (Rowan & Miskel, 1999, p. 366). Thus, as governments expand their dominance over higher education institutions, universities come to reflect rules institutionalized and legitimated by the state.

Mimetic isomorphism is a process whereby organizations become increasingly uniform due to uncertainty in the environment. DiMaggio and Powell (1983) characterized uncertainty as “a powerful force that encourages imitation” (p. 151).

Organizations, lacking a clear idea of how to manage uncertainty or ambiguity, copy the practices of ostensibly successful organizations in their institutional field (Campbell, 2004). Thus, an institutional sector, such as higher education, can homogenize in reaction to top-down change. Further, according to Schwindenhammer (2013), mimetic pressures focus on the influence of best practice, which can, in turn, lead to homogeneity. However, some literature argues that room is still made for diversity and that organizations within the same institutional sector are still part of a process of market differentiation (Rowan, 2006).

A third source of isomorphic change, normative isomorphism, stems from professionalization, meaning a professionally trained workforce—in this study the faculty—and professional networks leading to cross-organizational homogenization (DiMaggio & Powell, 1983). Rowan and Miskel (1999) posited that, “professional codes are spread to organizations by personnel who have been socialized and educated to follow professional standards” (p. 366). Moreover, DiMaggio and Powell (1983) interpreted professionalization as “the collective struggle of members of an occupation to define the conditions and methods of their work” (p. 152). The professionalization of the faculty role in Ecuador due to national policy reforms is an example of normative isomorphism. Moving away from “taxi teachers”—adjunct faculty with little institutional decision-making or involvement—to full-time faculty who are expected to serve on organizational and national committees, publish research, and provide institutional leadership, is indicative of the socialization of the faculty role that demonstrates characteristics of international convergence, policy reform, organizational expectations, and membership expectations, as seen in Figure 2.

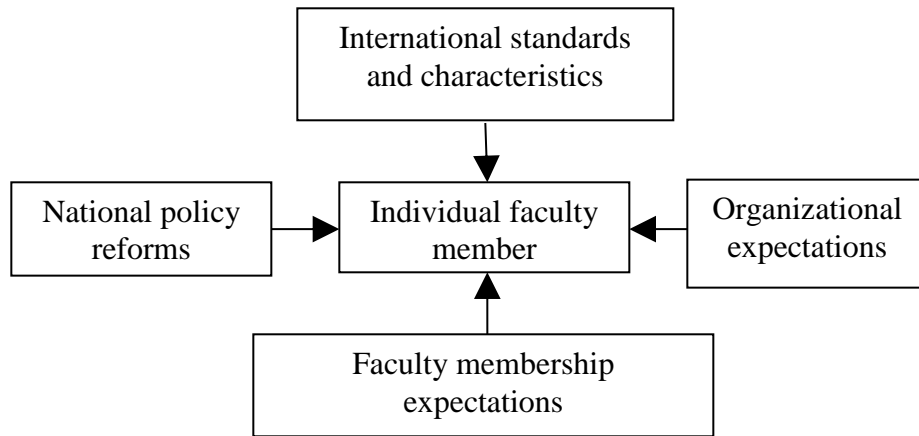


Figure 2. Factors influencing the professionalization of the role of faculty in Ecuador.

Summary. All three isomorphic processes are evident in Ecuador’s contemporary higher education sector. Universities have become more institutionalized and homogenized in order to reflect institutional environments that reproduce the standardization of higher education in the country through regulations, norms, and cultural understanding. This means that through policy tools, such as the 2010 LOES and subsequent accreditation mechanisms, like institutional ranking, have coerced universities into complying with the State’s vision of how universities should appear and function. Moreover, institutional ranking has created an environment where, in response to change and uncertainty created by the 2010 LOES and CEAACES, lower ranked universities will imitate those higher ranked in hopes of raising their own ranking. Lastly, through norming behavior among universities, such as decreeing that lead professors have PhDs by 2017, the State has created an environment where faculty follow professional standards in order to comply with the law and accreditation framework. What remains

unknown, however, is the nature of the “collective struggle” of faculty due to the professionalization of their roles. As the sector of higher education has institutionalized and expectations for the role of faculty have increased, understanding how faculty navigate these new expectations is important to understanding the current and future impact of the reform to higher education in the country.

Role theory. In this study, role theory provides an additional framework to review faculty behavior and perceptions of work—in essence, their roles—within the neo-institutional environment of higher education reform in Ecuador. Dwelling within the neo-institutional environment of higher education in Ecuador are the actions of *personal academico* (academic staff) perceiving, reacting to, and making sense of their organizational (the university) and institutional (higher education system) environments.

“All higher education systems categorize staff, using terms that have considerable historical, social, and cultural significance, particularly ‘academic’ or ‘faculty’” (Blackmore & Blackwell, 2003, p. 18). In Ecuador, the roles and work of university faculty have changed substantially over the past decade. The role of a faculty member has changed to one now requiring a full-time commitment to their institution, and now includes new requirements of work such as research and publication, management, and more comprehensive student advising. Before national policy reforms, faculty perceived their roles as a *job* that provided supplemental income, but not a legitimate *career*. After the policies, the work of faculty became legitimized and seen as a career path.

Biddle (1986) portrayed role theory as “one of the most important characteristics of social behavior—the fact that human beings behave in ways that are different and predictable depending on their respective social identities and the situation” (p. 68).

Moreover, Blackmore and Blackwell (2003) asserted that *roles* might vary substantially, both informally and formally, which “may occur at a system level, if a formal description does not capture the reality of the job, or at an individual level, where the characteristics of the role holder may make a major difference to the way a role is enacted” (p. 18). Further, roles may fluctuate over time and in response to external conditions and call into questions traditional boundaries and limitations (Blackmore & Blackwell, 2003). As no one grand theory exists for role theory, it is best understood, according to Vargas (2011) as one which “assists in explaining the person’s behavior based on their perceived social position and the assumed role expectations held by themselves and others” (p. 429). Thus, it is critical to understand better the perspectives of faculty members in Ecuador to the changes in policy that have impacted their roles since the passage of new higher education reform policies.

E. Thomas and Biddle (1966) liken role theory as actors in a play. Although two actors may be given the same part, they will interpret that part differently due to internal and external factors. Such factors include the director’s instruction, the performance of the part by other actors, and the reaction of the audience (E. Thomas & Biddle, 1966). Nevertheless, a significant number of similarities over the life of the role will occur due to a common script (E. Thomas & Biddle, 1966). The same could be said of social actors occupying certain positions, such as a faculty role, in which they will perform that role based on social, institutional, and organizational expectations, while also interpreting this position for themselves (Biddle, 1986). Thus, role theory advances the perspective that an individual’s behavior in a specific role is large shaped by “the demands and rules of others, by their sanctions for his conforming or nonconforming behavior and by the

individual's own understanding and conceptions of what his behavior should be" (E. Thomas & Biddle, 1966, p. 4). The faculty role, historically occupying the periphery, is now considered key to enhancing the quality of the university in Ecuador (Altbach, 2003). Moreover, new quality assurance expectations on the role of faculty influence how individual faculty members perceive and make sense of their roles.

Role expectations. Faculty in the Ecuadorian university are navigating new role expectations due to national policy reforms. Katz and Kahn (1978) characterized role expectations as evaluative standards applied to the behavior of an individual who occupies a given position. The role expectations of Ecuadorian faculty not only include teaching, but contributing new knowledge via research and publication. Further, faculty are expected to support graduate students in their research and provide leadership to university-wide efforts—all of which are mandated by national policies. These role expectations influence role behavior (Katz & Kahn, 1978). The relationship between role expectations and role behavior creates a feedback loop; "the degree to which a person's behavior conforms to the expectations of the role at one point in time will affect the state of those expectations in the next moment" (Katz & Kahn, 1978, p. 195). Thus, individuals occupying the faculty role both react to the role expectations of the institutional sector and the discrete organization, while also having a hand in developing and defining that role.

Blackmore and Blackwell (2003), in their review of academic roles and relationships, pointed to the varying degrees with which faculty are able to or willing to comply with those expectations. Due to the categorization of institutions as teaching or teaching-research in Ecuador, faculty may place less or more emphasis on the role

teaching or research plays in their role behavior. Further, in respect to whether a university is private or public, university facilities, location, operating budget, and faculty salary will influence role expectations and behavior.

Role ambiguity and conflict. Role ambiguity and role conflict are characteristics of role theory, which influence an actor's job satisfaction, self-confidence, job performance, and personal and professional stress (Katz & Kahn, 1978). Role ambiguity is the lack of clear goals in one's position or the lack of clarity of behavioral requirements that would guide the person in the appropriate behavior (Rizzo et al., 1970, p. 156). Further, Katz and Kahn (1978) define role ambiguity as "uncertainty about what the occupant of a particular office is supposed to do" (p. 206). Given the changes in faculty work in Ecuador, some level of role ambiguity may have occurred.

Role conflict, as defined by Rizzo et al. (1970), occurs when there is incompatibility in the requirements of a role and can be the result of different types of conflict. One type of conflict is between an individual's internal standards, values, and/or resources and the role behavior and/or a conflict between several roles for the same person (Rizzo et al., 1970). Furthermore, conflicting organizational demands and expectations can result in role conflict for an individual (Rizzo et al., 1970). When confronted with new changes and policies to an organization, for example faculty during institutional sector reform, social actors are expected to manage change from both institutional and organizational perspectives. Moreover, how an organization understands and implements change may cause role conflict and ambiguity for the faculty member.

Sensemaking. A central question arising as a result of applying role theory relates to how faculty members in universities manage role expectations, ambiguity, and conflict to ultimately make sense of and develop their understanding of their roles. Weick (1995) advanced that organizations are social constructions in flux—meaning they are created and re-created constantly by individuals as they make meaning of their work lives. Due to the changes that have impacted higher education in Ecuador, faculty are faced with what Simpson and Carroll (2008) identify as *becoming* the role versus *being* the role, especially as the role has evolved in organizations in flux. Weick (1995) argued that role ambiguity will motivate people to rely on their past beliefs and communicative interactions to *make sense* of their organizational roles. Sensemaking is the scholarly expression of human understanding where we identify, act upon, fashion, remember, and apply patterns from the material of our lived experience to enforce order on that lived experience (Weick, 1995).

Moreover, “sensemaking goes beyond interpretation and involves the active authoring of events and frameworks for understanding, as people play a role in constructing the very situations they attempt to comprehend” (Maitlis & Christianson, 2014, p. 58). Weick et al. (2005) described sensemaking as a process by which actors arrange and manage information within a social context as follows:

In the context of everyday life, when people confront something unintelligible and ask “what’s the story here?” their question has the force of bringing an event into existence. When people then ask, “now what should I do?” this added question has the force of bringing meaning into existence. (p. 410)

This study sought out how faculty members in Ecuador made meaning of their roles and whether this sensemaking is shared, or not, among faculty members. Because the institutions in which the faculty work have different foci, there is institutional influence on the ways in which faculty roles are constructed and thereby understood.

Weick (1995) identified sensemaking as being composed of seven characteristics that distinguish it from other processes such as understanding and perception. The first is that sensemaking is grounded in identity construction. This means we understand ourselves in relation to the world that surrounds us. Sensemaking is also retrospective in that as we experience the world, we devise meaningful patterns in relation to past experience. Thirdly, the process of determining what is sensible depends on how we were socialized. Socialization describes how we grew up or were nurtured, how we learned our place in the world, and with whom we interact daily. Moreover, sensemaking is a continuous process, or ongoing, wherein our interactions, experiences, and understanding are continually in flux.

Another characteristic of sensemaking, according to Weick (1995), is that sensemaking builds on extracted cues in that the contextual circumstances play a large role in decisions we make or actions we take. Lastly, sensemaking is less a matter of accuracy and completeness than plausibility and sufficiency (Maitlis & Christianson, 2014; Weick, 1995). Accuracy is more relevant for short durations and for specific questions than for global circumstances (Weick, 1995). Few, if any, humans have the perceptual or cognitive resources to know everything comprehensively, so we move forward with the information we have available. Thus, plausibility and sufficiency enable action within a specific context.

Transformational change in higher education, according to Kezar and Eckel (2002), “alters the culture of the institution by changing select underlying assumptions of institutional behavior, processes and products; is deep and pervasive and effects the whole institution; is intentional; and occurs over time” (pp. 295-296). Faculty within this change atmosphere are required to confront meaning construction/reconstruction and reimagine previous understandings (Kezar, 2013). Kezar and Eckel (2002) highlighted mechanisms that support faculty in sensemaking—senior leadership support, collaborative leadership, staff support, action-taking, and vision. According to Kezar (2013), “with more people involved in interacting related to the change there [are] more opportunities for people to think about what the change means for their own role and position” (p. 762). It is unknown if these mechanisms of support exist for faculty members in Ecuador or if the supports operate in the same way in an international context.

Summary

Higher education in Ecuador dwells in an atmosphere that has been punctuated historically by uncertainty, ambiguity, political divisiveness, and conflict. The contemporary policy environment of higher education in Ecuador demonstrates a reaction to historic uncertainty through isomorphic change, be it by coercive, mimetic or normative processes. Pointedly, *coercion* is manifest in the carrot and stick policy environment in which organizations find themselves, particularly evident in Ecuador after the 2007 policy reforms (Johnson, 2017).

Within this environment, normative isomorphic change is occurring in the professionalization of the faculty. The meaning of *profesor/profesora* has evolved to

connote not only teaching a few classes to supplement one's income, but becoming involved in raising the country's research profile, in managing and helping to create the culture and vision of the university and laying a more robust groundwork for student-faculty interaction. Through national and institutional policies, faculty have been greeted with a sudden transformation of their roles. How faculty make sense of these new roles within this atmosphere of change was the primary aim of this study.

CHAPTER 3: METHODS

This qualitative, multiple case study analyzed Ecuadorian faculty sensemaking of their work and roles at five universities under the national reform policies. As described in Chapters 1 and 2, higher education in Ecuador has seen dramatic change since 2007 as a result of major reform policies. The purpose of this chapter is to describe the methods that were employed to conduct the study. The chapter outlines the design of the research, the research paradigm, the case sites, participants, and methods of sampling. Moreover, it reviews the data sources and collection methods used in the study, the data analysis techniques, and the measures that were taken to ensure trustworthiness of the findings. Lastly, the chapter reviews the delimitations, limitations, and assumptions of the study. The research questions that guided the study were:

1. How do faculty members in Ecuador make sense of their roles and work experiences after the 2007 national policy reforms?
 - a. How do these roles and work experiences compare across institutional types?
 - b. How do these roles and work experiences compare across control of institutions?
 - c. How do these roles and work experiences compare across location of institutions?
2. How have institutional policies, practices, and organizational structures emerged since the inception of national policies related to faculty work?

Study Design

In researching how Ecuadorian faculty make sense and meaning of their role and work in higher education institutions within the contemporary policy environment, I used a multi-case design to allow for deep exploration of the phenomenon. Case study research, particularly in education, allows the researcher to conduct an in-depth, descriptive study of the participants' sensemaking of their experiences (Yin, 2014). Moreover, an interpretivist research paradigm, which emphasizes the importance of human meaning, guided the study due to its focus on participants' meaning-making of their environment (Bakker, 2010).

Research method. Naturalistic, or qualitative, inquiry is a “discovery-oriented approach that minimizes investigator manipulation of the study setting and places no prior constraints on what the outcomes of the research will be” (Patton, 2002, p. 39). The methodology for this study is case study, and more precisely, cross-case comparison (also referred to as multisite or multi-case study). This type of study involves collecting and analyzing data from several cases and can be distinguished from the single case study that may have subunits or subcases embedded within (Merriam, 2009; Yin, 2014). Stake (2006) suggested that a “multicase study starts with recognizing what concept or idea binds the cases together,” and he added, “for qualitative fieldwork, we will usually draw a purposive sample of cases, a sample tailored to our study; this will build in variety and create opportunities for intensive study” (pp. 23-24). The case units for this study are five comprehensive universities in Ecuador, which were further bound by criteria such as the type of institution, the control of institution, and the location of the institution. The

unit of analysis for each case is faculty members and their sensemaking of their roles within each case university as subcases.

Miles and Huberman (1994) asserted that cross-case analysis enhances generalizability and, fundamentally, deepens understanding and explanation of the phenomenon under study. The importance of using cross-case comparison in this study is not only to find what is common across the cases, but also what may be unique to each case (Stake, 2006). The main drawback of case study research is the limited generalizability of findings; however, this drawback is reduced through the use of cross-case comparison (Yin, 2014). In this study, the use of five cases, along with faculty participant subcases, and the comparison of their data gives a wider view than research based only on a single case study.

Research paradigm. This study is grounded in an interpretivist research paradigm. Interpretivism is often associated with case study research as a case study emphasizes the importance of interpretation of human meaning (Bakker, 2010). The interpretivist approach posits that reality is socially constructed and relies upon the participants' view of the situation being studied (Creswell, 2013; Mertens, 2005). This multiple perspective view is especially salient as I researched faculty sensemaking of their role within the contemporary policy environment of Ecuador (Bakker, 2010). Researchers working within the interpretivist paradigm believe that “humans behave the way they do in part because of their environment” and in part due to the influence of “their subjective perception of their environment—their subjective realities” (Willis, 2007, p. 6). Reality is co-constructed between the researcher and the researched; thus the

role of the researcher is one in which the researcher interprets the reality of the participant (Creswell, 2013).

Cases, Participants, and Sampling

Due to the nature of the study design, a cross-case comparison, this section details not only how individual participants were found, but also describes institutions of higher education in Ecuador and highlights how individual university cases were selected. Criterion sampling was used to identify and select informants from each case for the study. Five sites were selected and at least two faculty members meeting the criteria for sampling were chosen to participate from each of the university cases.

Cases. Ecuador is host to approximately 200 higher education institutions—some with full accreditation by the State higher education accrediting body (CEAACES) and some without. There are 51 accredited four-year or higher-focused higher education institutions, 56 accredited *institutos superior* which offer 2-3-year professional undergraduate degree programs (though more than 100 *institutos* are conditionally accredited), and three post-graduate universities. Additionally, under the presidency of Correa, four national universities have been developed, but these institutions were not chosen for the study as all four have been in operation for less than 10 years.

The five universities sites selected for the study contrast and compare how faculty perceive their roles within different institutional types, control of institutions, and locations of the comprehensive universities. The universities selected were chosen because they represent one primary criterion and two secondary criteria. Table 7 describes the matrix of sites selected based on the primary and secondary criteria. Each university selected was either a teaching university or a teaching-research university.

This institutional type, the primary criterion for selection, is typically identified by the university in their strategic plan or on the CEAACES website. The secondary criteria are control of universities and location of universities. In this research, control of universities is characterized as either a public institution that relies on the government for resources; or private, which relies wholly on student tuition and other forms of finances or relies on both tuition and the State for resources (Asamblea Nacional de Ecuador, 2010). Of the 52 institutions that are the focus for this research in Ecuador, only five are teaching-research—four public institutions and one private institution. The locations of the universities are characterized by whether the institution is rural or urban and whether the university is situated in one of the two major geographical regions of the country. Details concerning all 52 comprehensive universities can be found in Appendix A.

The five universities were chosen for the cross-case comparison from the 52 accredited four-year or higher-focused institutions, which have been in operation before the presidency of Correa. “By looking at a range of similar and contrasting cases, we can understand a single case finding, grounding it by specifying *how* and *where* and, if possibly, *why* it carries on the way it does” (Miles & Huberman, 1994, p. 29). Initially, a total of six sites were selected to ensure diversity of location, control, size, and mission; however, I was unable to interview faculty at an institution in the Amazon due the inability to identify a gatekeeper within the administrative or faculty ranks of the institution to aid in providing introductions. In Ecuador, having *palanca*, which literally means leverage, but in this case, refers to a network of friends and colleagues, at an institution limits an individual’s access to that institution. Ultimately, my network or

leverage in Ecuador did not extend to the Amazon and thus I was unable to use *palanca* to attract interest in my research from an institution in this region.

Institutional type. I sought to have both teaching universities and teaching-research universities represented as cases. The primary criterion of institutional type is defined as follows:

- Teaching university: This type of university, established in the *Reglamento Transitorio para la Tipología de Universidades y Escuelas Politécnica*, is characterized by prioritization of teaching and the requirement that 40% of its faculty hold a PhD or its equivalent. These institutions are public universities, which are fully financed by the State and private universities (*particulares*) that are either *auto financiado* (self-financed) or *cofinanciado* (partially financed by the government). There are currently 46 teaching universities in Ecuador.
- Teaching-research university: Also established in the university typology regulation, this institutional type is characterized by its focus on knowledge production. To be categorized as this institution, 70% of faculty hold a PhD or its equivalent, offer master's and doctoral programs, and demonstrate established research capacity in each doctoral program offered. These institutions are both public and private universities. Currently there are only five teaching-research institutions: Escuela Politécnica Nacional, Escuela Superior Politécnica del Litoral, Universidad Andina Simón Bolívar, Universidad de Cuenca, and Universidad San Francisco de Quito (the only private).

The secondary criteria for site selection were the control of the institution and the location of the institution. These criteria were selected due to the influence financial

resources and location may have on how universities and faculty behave. The secondary criteria are described next.

Control of universities. In this research, control of universities is characterized by an institution being either public or private. Public universities in Ecuador became, under the 2008 constitution, dependent upon the government for its operating budget. Private universities in Ecuador mainly rely on student tuition for its operating budget. A breakdown of public and private universities can be found in Appendix A.

- Public institution: Public universities (*publicos*) are characterized as full dependence on the government for all finances. There are 26 public universities.
- Private institution: Private universities (*particulares*) are either *auto financiado* (self-financed) or *cofinanciado* (partially financed by the government). There are 25 private universities.

Location of universities. In this research, the third criterion for site selection was based on location. Location refers to whether the university is located in an urban center or a rural area, and whether it is situated in one of the three geographical locations of the country. Urban and rural areas are defined by *Sistema Integrado de Indicadores Sociales del Ecuador* (SIISE). SIISE does not use the term suburban.

- Urban: Defined as urban areas or seats of provincial capitals and county and municipal seats according to political administrative divisions, without considering size (SIISE, n.d.). Examples of urban locations are Quito which hosts 12 institutions, Guayaquil hosts 15, and Cuenca hosts four. In total, there are 42 universities located in urban areas in the country.

- Rural: Rural areas include parish seats, other populated centers, the peripheries or outskirts of urban centers, and sparsely populated areas, without taking into account size (SIISE, n.d.). Examples of rural locations are Sangolquí, Cumbaya, and Portoviejo. A total of 10 institutions are in rural regions throughout the country.

Lastly, the sites selected attempted to represent diversity in geographical location and can be seen in Figure 2. The two regions represented in this research include the *sierra*, the Andes region of the country, the coastal region (*costa*). Though I originally intended to interview faculty at the only public institution in the Amazon region (*oriente*), I was unable to find a gatekeeper that would assist in identifying faculty. And while geographical diversity is important because past research has been limited to easily accessible universities in Quito, Guayaquil, and Cuenca (Johnson, 2017; Van Hoof, 2013; Van Hoof et al., 2015), this research was unable to include the Amazonian region.

Final site selection. Using the criteria above, a total of five universities were included in this study (see Table 8). Sites were selected to ensure a diversity of institutional type, with a selection of three teaching-research universities and two teaching universities. Moreover, three public universities and two private were selected, representing diversity in geographical location throughout the country (see Figure 3) and their positioning inside and outside major urban centers. It is important to note that my prior research relationships with two of the case universities were also considered when selecting case sites.

Table 8

Matrix of the Five Selected University Sites and the Primary and Secondary Criteria

Case Site	Primary Criterion	Secondary Criterion: Control of Institutions	Secondary Criterion: Location of Institutions
A	Teaching-research	Public	Urban, Costa
B	Teaching-research	Private	Rural, Sierra
C	Teaching-research	Public	Urban, Sierra
D	Teaching	Public	Rural, Sierra
E	Teaching	Private	Urban, Costa

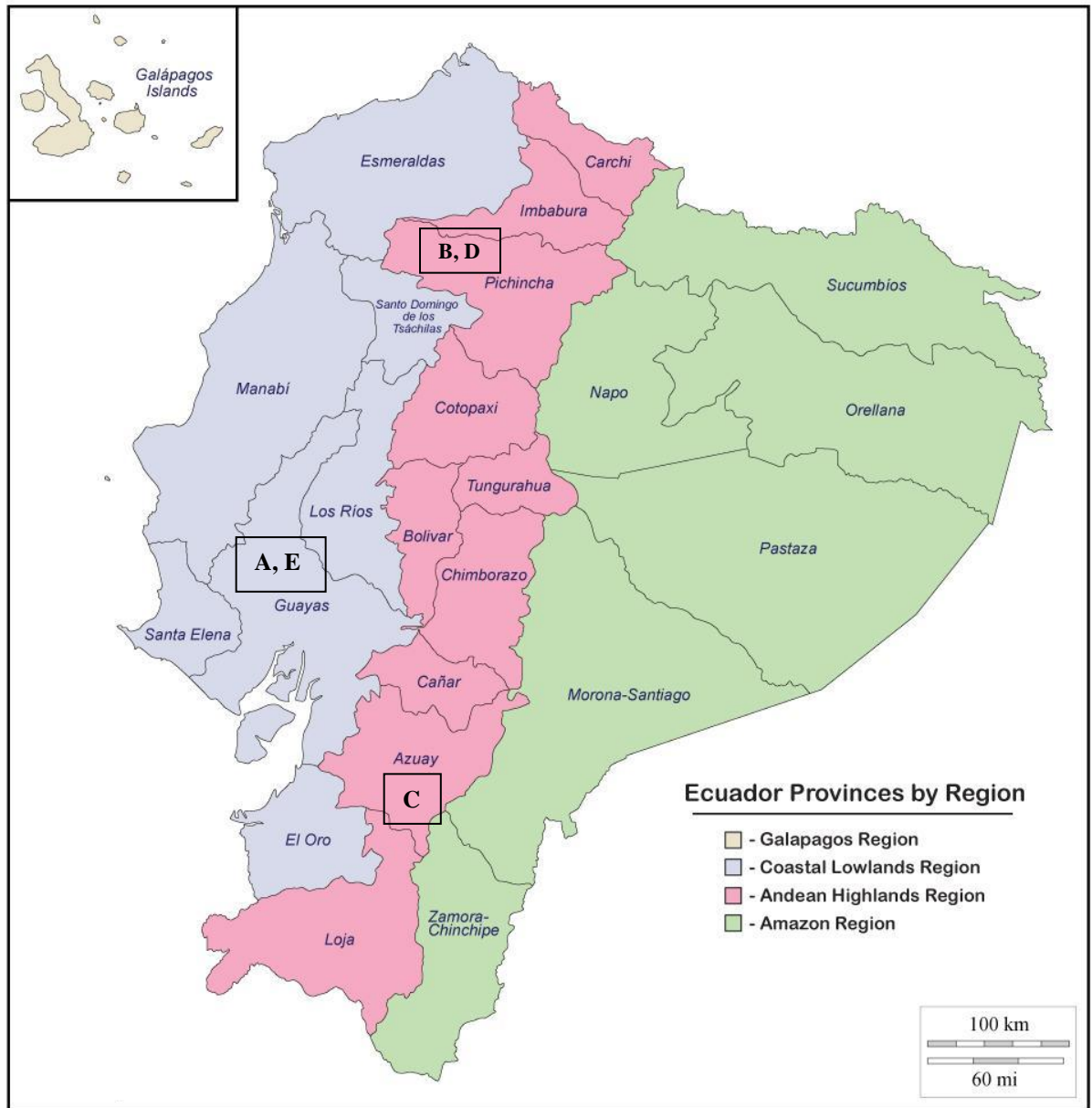


Figure 3. A map of Ecuador by region with university sites identifiers.

Participant sampling. From the five sites visited, a minimum of two participants, with a maximum of four, per site were interviewed to investigate faculty sensemaking of their roles due to the influence of both national and institutional policies. Patton (2002) recommended specifying a minimum sample size “based on expected reasonable coverage of the phenomenon given the purpose of the study” (p. 246). Unlike

quantitative studies, qualitative researchers “usually work with *small* samples of people, nested in their context and studied in-depth” (Miles & Huberman, 1994, p. 27, italics in original). By focusing on a smaller pool of informants, I was able to investigate faculty sensemaking in more detail.

Criterion sampling was used in order to select participants for the study. Criterion sampling involves selecting participants that meet some predetermined criterion of importance (Patton, 2002). At the selected sites, a gatekeeper was identified in order to facilitate participant selection. A gatekeeper is an individual at the site who can provide access to the site and is able to arbitrate access to potential participants (Creswell, 2014). In previous research (Johnson, 2017), I built relationships with gatekeepers at two institutions. I included these institutions in the current study due to the relationships I have with the university gatekeepers. Those institutions where I did not have a gatekeeper, I attempted to find one to provide access to the institution. I was unable to find a gatekeeper at a pre-selected site in the Amazon region, and thus removed the sixth case from my study. Moreover, participants were recruited individually, as well. Individual recruitment involved contact through email and/or through personal contacts (see Appendix B for participation request email). The criteria used to identify participants were:

- The participant is from Ecuador.
- The participant has a doctorate.
- The participant has worked three or more years at the case university.
- The participant is *tiempo completo* (full-time faculty member).

- The participant is from the social sciences or the hard sciences.

Ecuadorian universities currently host many faculty that are not nationals due to a government scholarship (*Proyecto Prometeo*) created to help strengthen research at universities. These new faculty members were not chosen because they have little knowledge of the higher education system that existed before the inception of the Prometeo project and are typically foreign-born. Moreover, participants who are nationals with doctorates, and who have worked at the case university for approximately three years or more were important to the study as those faculty members have a deeper knowledge of their institutions and the reform policies related to faculty work under the presidency of Correa. Additionally, full-time employees involved in teaching, research, advising, community engagement, and management, were selected because part-time employees are usually only involved in teaching (CES, 2013). Faculty from the social sciences and from the hard sciences were selected because these disciplines require faculty to have a Ph.D., unlike professional degrees like architecture or medicine (both which are only require five-year undergraduate degrees to practice in Ecuador). I attempted to balance the selection of participants both within and across case sites so that hard and soft sciences were equitably represented; albeit, faculty with doctorates in the hard sciences were much easier to locate in Ecuador than those in the social sciences.

Overall, 15 faculty from five case sites were interviewed. Most faculty interviewed were identified via the help of a gatekeeper, through a friend of a friend/colleague network, or an email after looking through the university website. Of the 15 participants, eight represented the social sciences and seven represented the hard sciences. The graphs below describe the participants in each case context and their

respective fields. Chapter 4 describes the participants in more detail, including gender diversity, years at their respective institutions, and their specific fields of study.

Table 9

Matrix of the Research Participants at Case Sites

Case Site	Typology	Control of Institutions	Location of Institutions	Hard Sciences	Social Sciences
A	Teaching-research	Public	Urban, Costa	1	1
B	Teaching-research	Private	Rural, Sierra	1	3
C	Teaching-research	Public	Urban, Sierra	1	1
D	Teaching	Public	Rural, Sierra	3	1
E	Teaching	Private	Urban, Costa	1	2

Table 10

Case Site and Participant Disciplines

Case Site	Science	Discipline
A	Hard	Computer Science
	Social	Tourism
B	Hard	Material Science
	Social	Latin American Literature Political Science Education
C	Hard	Biological Sciences
	Social	Tourism
D	Hard	Ecology Biology Civil engineering
	Social	Education
E	Hard	Food Science
	Social	Leadership Applied Linguistics

Data Sources and Collection

The three sources of data collected for this study included: interviews, field notes, and documents. These various forms of sources helped me to triangulate my findings and corroborate the reform intent and its practical application at universities and with faculty.

Interviews. Fieldwork was conducted in Ecuador in the months of June, July, and August 2017. The academic year in Ecuador begins in May, thus access to

participants posed little issue. Faculty interviews are the major source of data used for this study. Sampson (2004) suggested the use of a pilot study before full engagement with the field of study as a useful process to test interview protocols and procedures. She observed that pilot studies “are invaluable as introductions to unknown worlds” (Sampson, 2004, p. 399). For my case study, I piloted my interview protocol to test my interview procedure and questions at a university in Ecuador that was not one of the case sites. This pilot led to an additional question related to faculty community engagement (see Appendices C and D).

The interview protocols (Appendices C and D) were informed by Hairston’s (2013) dissertation titled *Impact of the Bologna Process and German Higher Education Reforms on Professorial Work and Role Definition at the University of Potsdam: A Case Study*. I received permission from Hairston (2013) to adapt her protocol to my research’s specific context. The pilot interviews helped inform and develop interview questions to reflect the higher education context in Ecuador. As noted, this institution was not included as a site for the full study. The pilot study was held the first week of June at a private university in Guayaquil. I piloted the interview protocol and procedure with two Ecuadorian faculty members, one in the social sciences and one in the hard sciences. The results of the pilot helped determine if the protocol was effective or required additional refinement, and these data were not used for the final study.

After piloting the interview questions, individual interviews were conducted with each participant selected for the study at each case site. An email was sent to potential participants that explained the study and asked for participation (see Appendix B). The interview protocol was semi-structured in nature and allowed for follow-up questions and

probes for clarification and depth (Rubin & Rubin, 2005). The responsive format for the interview provided an opportunity for an extended conversation, during which I ensured depth and clarity of the interview by asking interviewees to expand on responses. Moreover, the interview questions used in the study were informed by the pilot interviews in order to capture faculty sensemaking of their roles and work. I held only one interview in Spanish, meaning that both the participant and I performed the interview in Spanish, and this interview was transcribed by a native Spanish speaker. All participants signed a consent form prior to the interview (see Appendix E).

Field notes. According to Yin (2014), case study research is used “to gain an in-depth (and up-close) examination of a ‘case’ within its real-world context” (p. 220). Observing the real-world context is one way in which to gain an up-close viewpoint. During my fieldwork, I spent two to three days at each of the five case universities. Initially, I intended to observe faculty participants in their natural environments, meaning I would observe meetings, research, and teaching. Unfortunately, this proved to be difficult to arrange due to the pressures of participant schedules. Thus, I took field notes before, during, and after my interviews. According to Sanjeck’s (1990) process of taking field notes, scratch notes are the first step to field perception. Scratch notes are taken during the interview and provide insights into the exchange with the participants. They are often observations on the interview, the participant, and/or jottings of the conversation between the participant and the researcher (Sanjeck, 1990). Later these notes are turned into field notes, which are typically written directly after the interview. I followed this format and used field notes to write interpretations or explanations concerning the content of the scratch notes. Field notes helped me to identify concepts

and themes that emerged from the interviews and also helped inform the interview process.

Documents. Primary sources of data, such as legislative and organizational documents, served as the foundation for document analysis and understanding faculty roles and work in universities in Ecuador. Moreover, news articles, speeches, social media, and videos provided an in-depth understanding of the environment of higher education. To narrow the public documents reviewed, I focused on articles in the press or on social media that related specifically to faculty work and the LOES 2010. Further, newspaper sources were limited to the time frame between 2010 and present day and were selected from reputable newspapers in Ecuador. These news sources included *El Universo* and *El Comercio*, primarily. These artifacts and sources served as mute evidence (Hodder, 1994) that persist physically and provide insight into the context and conditions of the field. Document analysis began at the inception of this research topic and continued to be analyzed during fieldwork and analysis of findings.

Legislative documents included *Ley Orgánica de Educación Superior* (LOES), *Reglamento de Carrera Y Escalafón del Profesor e Investigador del Sistema de Educación Superior* (higher education regulation for university faculty and researchers), and *Reglamento Transitorio para la Tipología de Universidades y Escuelas Politécnicas* (temporary regulation of university typology). I also analyzed documents from government agencies such as the *Consejo de Educación Superior* (the main governmental body for higher education), and *Consejo de Evaluación, Acreditación y Aseguramiento de la Calidad de la Educación Superior* (CEAACES). University artifacts were collected and analyzed in order to discern each institution's understanding of the law and

accreditation standards as they relate to faculty work. Organizational artifacts included websites, university-published research journals, and institutional documents, such as strategic plans, faculty handbooks highlighting employee and faculty policies, and case sites' *rendición de cuentas*, a glossy magazine-like document that is ostensibly used for university operations transparency purposes.

Data Transcription

I first conducted the interviews and digitally recorded the audio with each participant's permission. All participants agreed to have their interviews recorded. Immediately following each interview, I created field notes of observational details and my significant impressions of the interview. I submitted the recordings to a transcription service. I reviewed each text transcript while listening to the recordings to ensure quality of transcription. Only one interview was held in Spanish and both the fluent Spanish transcriber and I were in close consultation during the transcription process to ensure quality and accuracy of the Spanish to English transcription.

Data Analysis

I used Dedoose (Version 8.0.31), a web-based data analysis tool, to code and analyze all interview data and field notes. Dedoose is particularly useful as it allows for both simple and complex coding and provides the user data visualizations. For example, the word cloud visualization provides a means to illustrate what themes have been coded the most by making concepts or themes larger or smaller the more or less you code for that concept. Analysis of the coded data involves sorting and grouping related codes together (parent-child code groupings in Dedoose) and using the word cloud visualization found in Dedoose to sort, rank, weigh, and compare codes.

Because this study employed multiple cases in order to provide depth and breadth to the description of the phenomenon, I used Miles and Huberman's (1994) cross-case analysis of variable-oriented strategy. Variable-oriented strategy looks for themes that cut across cases (Miles & Huberman, 1994). A priori codes of teaching, researching, advising, and managing emerged during initial analysis of legal documents concerning faculty work. A code related to community engagement was added after many of the participants discussed this facet of faculty work during their interviews. Table 11 provides a description of the codes, where they are found in the legal documents, and the interview questions related to each code. Moreover, the wording of these codes was informed by Saldaña's (2011) process coding, "which uses gerunds exclusively to capture action in the data" (p. 96). Emergent themes from the interviews, field notes, and document review were also incorporated, but those themes ultimately fell under the codes described in Table 11.

Table 11

A Priori Codes, Code Meaning, Legal Documents Where Codes Are Found, and Interview Questions Related to the Codes

Codes	Meaning	Documents	Interview Questions (Appendices C & D)
Teaching	Refers to the work faculty do with students inside the classroom	LOES, Regulation of Faculty Career and Rank, Institutional documents	1, 2, 3, 4, 6, 7
Researching	Refers to <i>investigación</i> required by law and the university, including research and dissemination and publication of research	LOES, Regulation of Faculty Career and Rank, Institutional documents	1, 2, 3, 4, 5, 6, 7
Advising	Refers to the work faculty do with students outside of the classroom	LOES, Regulation of Faculty Career and Rank, Institutional documents	1, 2, 3, 4, 6, 7
Managing	Refers to the administrative duties faculty are required to do for their university	LOES, Regulation of Faculty Career and Rank, Institutional documents	1, 2, 3, 4, 5, 6, 7
Engaging	Refers to the community service work faculty are required to engage in due to both national and institutional policies	LOES, Institutional documents	2, 3, 4, 6, 7

Ethical Considerations

This research study began once institutional review board approval was received by the College of William & Mary. All participants were required to sign an informed consent document (Appendix E), which states the purpose of the research and provides a statement of confidentiality. All participant names and identifiers are withheld in the final research study and are not associated with a particular institution. All data from the interviews were kept in a secure location where only I can access the information. All interviews were transcribed by me or via a transcription service.

Trustworthiness

Trustworthiness refers to the quality of research, meaning whether the findings and interpretations made are an outcome of a methodical process, and whether these findings and interpretations can be trusted (Lincoln & Guba, 1985). I chose Lincoln and Guba's (1985) concepts of credibility, transferability, dependability, and confirmability to establish trustworthiness due to their constructivist natures. Guba (1981) and Lincoln and Guba (1985, 2013) used the above terms in lieu of the scientific terminology—internal validity, external validity/generalizability, reliability and objectivity—used by many qualitative researchers, including Yin (2014).

Credibility, as defined by Lincoln and Guba (2013), refers to establishing confidence in the findings and interpretations of a research study. Furthermore, it is satisfied when participants agree to honor the researcher's reconstructions and interpretations (Lincoln & Guba, 1985). The techniques that were used in my research study included prolonged engagement with the participants in the two to three days I spent on each campus and through member-checking. Prolonged engagement occurs

when the researcher spends a sufficient amount of time in the field “to allow locals to adjust to the presence of researchers and to satisfy themselves that they do not constitute a threat” (Guba, 1981, p. 84). In order to achieve this, I spent a few days at each of the five university locations, touring the campuses, observing the campus environment, and casually interacting with campus employees and students.

Transferability, which corresponds to the positivistic technique of external validity, is achieved via the production of an in-depth description of the context and phenomenon (Lincoln & Guba, 2013). Shenton (2004) observed, “After perusing the description within the research report of the context in which the work was undertaken, readers must determine how far they can be confident in transferring to other situations the results and conclusions presented” (p. 70). Thus, in order to encourage trustworthy transferability, Guba (1981) suggested that the researcher provide a thick description for the reader to make an informed decision on the transferability of context A research to context B. A thick description is a detailed account of the research as opposed to a thin description, a superficial account (Geertz, 1973). In order to provide a rich, thick description, cross-case analysis was employed. A case description is provided for each site in Chapter 4.

Dependability addresses the degree in which the research outcomes are the product of a systematic process of inquiry. In order to examine the dependability of my findings and interpretations, an experienced qualitative researcher was selected as an external auditor and this individual performed an inquiry audit of my research. The auditor signed a confidentiality agreement before beginning the audit (see Appendix G). An inquiry audit, per Guba (1981), is done by “someone competent to examine the audit

trail and to comment on the degree to which procedures used fall within generally accepted practice” (p. 87). So that an inquiry audit could be performed, I established an audit trail that the external auditor used, including clear documentation of data collection and my research journal. An audit trail is also used to establish confirmability of trustworthiness.

A final criterion of trustworthiness (although they are not listed here in any particular order) is confirmability. Shenton (2004) describes confirmability as the qualitative researcher’s analogous concern to objectivity. “Here steps must be taken to help ensure as far as possible that the work’s findings are the result of the experiences and ideas of the informants, rather than the characteristics and preferences of the researcher” (p. 72). To work towards confirmability, the external auditor performed a confirmability audit in conjunction with the dependability inquiry audit. The audit trail in this case included my researcher positionality statement in which I admitted my biases and predispositions. Guba (1981) also suggested the use of a reflexive journal. I maintained a journal and made regular entries on the research process and reflection on the process and my values as they grew and/or transformed.

Researcher Positionality

Positionality both describes an individual’s worldview and the position they have chosen to espouse in relation to a specific research task (Bourke, 2014). Researcher positionality is especially important to address when undertaking comparative, international research (Phillips & Schweisfurth, 2014). As the instrument of research, data collection, and analysis in the study of higher education in Ecuador, I approached this study with an etic/outsider perspective. Though I have lived and worked in Ecuador,

I am heavily influenced by my own national origins and the organizations and structures found therein.

An important methodological consideration for this research was the foregrounding and bracketing of my assumptions through a process of reflection and comparison (Phillips & Schweisfurth, 2014). This process entailed coming to understand my perspective to the point where its influence on the research process could be controlled, though never eliminated. As such, it was important to recognize that I am a White, middle-class woman from the United States who is a product of US-centric education. During reflexivity, I engaged in bracketing in order to allow for a transferable description of faculty making sense of their new roles in higher education in Ecuador. Further, this research was inspired by my work in Ecuador and as a researcher interested in faculty recruitment, hiring, and retention in higher education in Ecuador (Johnson, 2017). Due to this, it was important to engage in a self-conscious awareness of the relationship between the researcher—me—and the participants.

Delimitations, Limitations, and Assumptions

This section details what boundaries have been set for the study. Further, I discuss what limitations affected the trustworthiness of the study, and my assumptions of the political and higher education environment of Ecuador.

Delimitations. This study focused solely on faculty members at universities in Ecuador. Moreover, I chose participants who have worked for approximately three or more years at the selected university in order to delimit the study to faculty who are informed of the practices and policies of the case university. Additionally, my study was delimited to only Ecuadorian faculty with doctoral degrees and those who work full-time

at the university. These faculty are delimited to only those within the social sciences or the hard sciences. Though there are faculty with terminal degrees in other fields, such as architecture and medicine, these degrees are professional degrees and were not selected for the study because the advance degree differs from the doctorate in social sciences or hard sciences. Moreover, there are many foreign faculty working at universities in Ecuador due to a government scholarship program. These faculty were not chosen because they may have limited knowledge of higher education in Ecuador nor are aware of what higher education looked like before reform efforts began in 2007. This population of faculty, however, may be an area for future study.

The five universities chosen further delimit the study, since they are comprehensive institutions that offer both undergraduate and graduate degrees. Ecuador hosts several different institutional types—higher education institutions that offer only graduate programs and 2-3-year degree program *institutos tecnológico superior* and *institutos superior pedagógico*. Though both types of institutions are also beholden to LOES and CEAACES accreditation, these universities were not chosen because they are not representative of higher education as a whole in the country. However, both higher education institutional types may be areas of interest for future study as they fall under different articles in LOES and different accreditation standards. Lastly, the study is also delimited by the conceptual frameworks that are used to guide the study—neo-institutionalism, role theory, and sensemaking.

Limitations. There are several limitations of the study that should be documented. First, the major limitation of this study is my role in performing the research. Many of the data sources, such as interviews, documents, and observations,

were in Spanish, and Spanish is not my native language. Though I worked at a university and lived in Ecuador for several years, I am not a bilingual Spanish speaker nor do I consider myself fluent in Ecuadorian culture. In order to help limit the effect of this weakness, I consulted with a bilingual Ecuadorian. I have also employed trustworthiness measures such as member-checking to reduce this limitation. Moreover, my position as a White, middle-class American is a limitation. My worldview is saturated with the concept of higher education in the United States. In this sense, my analysis may be biased. However, I hope, again, that my awareness of this bias and the practice of reflexivity, and my years living, researching, and working in Ecuador helped limit this weakness in my study.

Other limitations of the study include: the short amount of time spent at each university; the reliance on a gatekeeper at some institutions for participants; and the decision to allow for a minimum of participants to two per university. Another limitation is the level of understanding the faculty participants have about the national reform efforts, and the level to which they have seen their roles change as a result of the new requirements. A final important limitation that emerged from the study related to the geographical location of institutions in which many of the faculty received their graduate degrees (MA or PhD) or did graduate-level work. Of the 15 participants, 10 did graduate work in the United States or Europe. This background is important to highlight as many of the faculty participants might have been more critical of higher education reform in Ecuador due to their knowledge of higher education in the United States or Europe.

Assumptions. An assumption of this study was that the Ecuadorian faculty participants selected were assumed to be representative of the population of faculty with

doctoral degrees in Ecuador. It was also assumed that the faculty selected for the research provided sufficient access to their worldviews and discussed honestly and fully the issues of interest.

Summary

The aim of this study was to explore the sensemaking of faculty concerning their transformed role under the higher education reform policies of Correa since 2007 in Ecuador. This qualitative study employed the cross-case comparison of five universities in order to compare faculty sensemaking of their role in the current higher education environment of Ecuador. The research design of cross-case comparison, informed by an interpretivist paradigm, which places importance on human meaning, helped to increase the generalizability of the findings. University cases were selected via the primary criteria of institutional type and secondary criteria of control of institutions and location of institutions. Further, 15 participants from the sites were selected and interviewed based on criterion sampling. Participants were identified either by a gatekeeper or recruited individually through personal contacts and/or email. Data were collected primarily through interviews with participants but was supplemented with field notes and document analysis. Data generated from collection was coded using a priori codes of teaching, researching, managing, and advising, but emergent themes from the analysis were also included. Trustworthy measures such as prolonged engagement, member checking, an inquiry audit, and reflexive journaling were employed.

CHAPTER 4: CONTEXT, CASES, & PARTICIPANTS

La verdad es que no existe universidad latinoamericana entre las mejores del mundo. Es un reto que tenemos como región, y que Ecuador ha asumido, pero no podemos descuidarnos.

The truth is that there is no Latin American university among the best in the world. It is a challenge that we have as a region, and that Ecuador has accepted, but we cannot neglect.

Rafael Correa (2017) tweeted in response to the news that two Ecuadorian universities were ranked among the best Latin American universities

In this chapter, I describe the case universities chosen for this study and the participants interviewed at each institution. I begin the chapter by providing context for the findings of Chapter 5 by situating the discourse in the contemporary environment of higher education in the country. I then provide a description of each case institution, with details highlighting the participants at each case. Together with the context and description, this chapter gives the reader a better appreciation of the complex situation in which faculty are operating in Ecuador.

Contemporary Context of Ecuadorian Higher Education

Ecuadorian higher education has developed considerably over a short time period due to government top-down policy-making (Johnson, 2017). “There is a shift in Ecuador’s higher education system from decentralization, deregulation, and a lack of accountability to a centralized and highly regulated system where university governance

is imposed rather than exercised” (Saavedra, 2012, p. 173). The shift that Saavedra (2012) described was in response to questions surrounding university activities from various sectors in the country (Rojas, 2011). The lack of supervision of academic activities, the directionless proliferation of degree programs, the lack of standardization of university courses and degrees, and the unequal application of quality assurance mechanisms were just a few of the major criticisms of the university system (Rojas, 2011). Moreover, the faculty role was populated by part-time “taxi” instructors, who worked multiple jobs, made a low salary, did not do research or publish, nor engage in university administration (R. Ramírez, 2013; Van Hoof et al., 2013). Likewise, a dearth of public investment in the university system made reform lack feasibility (Ballas, 2016).

In 1949, Luis Alberto Sánchez asked if there exists a unique *Universidad Latinoamericana* (Tünnermann, 2003). He identified several characteristics of the Latin American university that are particularly salient to the current context of higher education in Ecuador today. One of these characteristics is the pervasive lack of economic resources. Ongoing fiscal constraints have plagued higher education in Ecuador since time immemorial but became particularly challenging once Correa declared public institutions tuition-free. This mandate forced public universities to rely heavily on the government for budgets (Johnson, 2017). Ecuadorian GDP is reliant on its oil industry and the drop in oil prices since 2016 has impacted the public sector. However, it is important to note that between 2010 and 2016, the budget for public higher education as a percentage of the GDP increased from 1.6-2%, as opposed to the average 1% of countries in the region (Ballas, 2016; Ponce, 2016). Table 12 highlights the budget increase in dollars for public universities.

Table 12

Budget for Public Universities in Ecuador

Year	Budget in dollars
2011	977,046,604
2012	1,032,506,395
2013	1,205,703,335
2014	1,043,386,598
2015	1,198,442,632
2016	1,218,673,228

Since the passing of LOES in 2010, four new public national universities were created, referred to as *universidades emblemáticas*. These new universities, of which Ecuador invested \$1.3 billion in development, cover four areas of knowledge: hard sciences (Yachay), life sciences (Ikiam), arts (Universidad de las Artes), and education (Universidad de Docencia; Ponce, 2016). The *Revolución Ciudadana* government under Correa pushed this initiative in order to raise Ecuador’s higher education standing in the world, while also providing an enduring legacy for the former president. University constituents in the country have criticized Correa’s government for the creation of these institutions, questioning why this investment was not directed towards pre-existing institutions (Villavicencio, 2013). These emblematic universities are under the public eye due to accusations of corruption and inflated salaries for administrators.

Universities are also constrained in budgeting based on the categorization of quality managed by CEAACES. In response to *Mandato 14*, a constitutional mandate

establishing the need for universities to be assessed, CEAACES evaluates universities every few years to ensure institutions are performing. This quality assurance mechanism places universities from A, the highest, to E, the lowest. In 2013, 15 private universities were ranked E and forced to close due to categorization results of 2011. The ranking mechanism also helps the State to decide who should receive the most resources. Resources are allocated to public and private university based on criteria of quality, efficiency, equity, justice, and academic excellence (Asamblea Nacional de Ecuador, 2010). Ultimately, those institutions ranked A, specifically public and co-financed universities, receive the lion's share of earmarked higher education spending.

Moreover, with the move to improve access to higher education and constitutional mandates removing tuition from public post-secondary institutions, institutions are faced with exponential growth in student enrollment. This increase in student numbers is particularly challenging, since many institutions are not equipped to manage the growth. In 2017, approximately 251,000 places were offered to young people to enter undergraduate—156,000 for public institutions and 95,000 for private—as long as they were able to successfully pass national entrance exams. In 2015, student enrollment was estimated to be 587,779. By 2021, officials expect to pass one million students in the university system (“250.000 Cupos Se Abren,” 2017). Between 2006 and 2014, the enrollment rate grew from 28-39% and the poorest population doubled their enrollment. First generation, low-income university students represent 70% of all university students in the country (“El Acceso a la Educación Superior,” 2017).

As Saavedra (2012) noted, government discourse is that research via higher education will be “a significant contributor to technological advancements and

innovation, economic growth, development, and global competitiveness” (p. 174). Yet, according to 2015 data from the Secretary of Higher Education, Science, Technology, and Innovation (SENESCYT), only 2,281 of 35, 589 (6.4%) professors have PhDs. Ecuador invested heavily in two programs to increase the level of faculty with PhDs and very little in creating PhD programs at local universities in the country. Only five institutions are doctoral-degree granting in the country, and those degrees focus primarily on STEM fields. Furthermore, research productivity in Ecuador is incredibly low, “representing only 0.2% of the world’s research output and only 4% of Latin America’s publication productivity” (Van Hoof et al., 2014).

In order to raise the profile of the professoriate, the State has invested considerably in programs that bring foreign faculty to Ecuador and send Ecuadorian faculty abroad for doctorates. Ecuador invested \$7 million in attracting faculty from abroad (Ballas, 2016). Known as the Prometeo initiative, the Ecuadorian government funded academics from other countries to pursue research and teach in the country’s universities. This program “is aimed at universities, polytechnic schools, public research institutes, and other public or co-financed institutions that require assistance in the development of research projects in areas of priority” (SENESCYT, n.d., para 1). As of 2016, the Prometeo program hired and integrated approximately 1,000 international scholars with doctorates into public universities and research institutes around the country (Pazos, 2016). Ultimately, the Prometeo project was discontinued in 2017. Another initiative was the investment in scholarships to support faculty doctoral study abroad due to the lack of doctoral programs in the country. Of the approximately 11,000 scholarships SENESCYT has granted to Ecuadorians to pursue degrees abroad, 3,500 of these have been granted as part of

the process to raise the education level of university faculty to doctorates (Ramírez, 2016). Many, however, have criticized this initiative, stating the lack of time to in which to pursue a degree and the poor allocation of resources to scholarship students in the program (Johnson, 2017; Johnson & Hidrowoh, 2017).

As of May 2017, Ecuador elected a new president, Lenin Moreno, of Correa's party *Alianza Pais*. Moreno, a former vice president of Correa's, began his presidency by going after corruption in the government. Also, in May 2017, a new head of SENESCYT was appointed, replacing the economist Renée Ramírez. Augusto Barrera, the former mayor of Quito and a medical doctor who is in the process of securing his PhD in Sociology, Political Sciences, and International Relations at Universidad Complutense de Madrid in Spain, has begun reviewing the policies of LOES. He has criticized the CEAACES accreditation model and CES intervention in underperforming universities. He declared that the separate government entities in charge of higher education—CES, SENESCYT, and CEAACES—must coordinate better for smoother articulation of each body's activities (Heredia, 2018).

Case Institutions and Participants

Ecuador is home to 60 universities and *escuelas politécnicas* (polytechnics). Of these 60, four are new national universities created during Correa's presidency, known as *universidades emblemáticas*, three are post-graduate universities only, and one is a foreign university with a campus in Ecuador. This study focused on universities in existence before the presidency of Correa, and that are comprehensive and domestic. Both types of institutions, universities and polytechnics, are referred to as *comprehensive universities* in this study and are defined as four-year or more degree-granting institutions. All five case universities offer undergraduate and graduate degrees. The

information provided in the case descriptions was gathered from university websites and university *rendición de cuentas*, a document that universities in Ecuador publish yearly concerning all university activities, including operational budgets, research activities, student matriculation. Moreover, the case descriptions are informed by my prolonged engagement at the universities, providing a “lived” view on the static university documents and web sites.

Between June and August 2017, I visited five pre-selected case universities in Ecuador. The criteria for case institution selection were based on the following: geographical location, control of institution, and type of institution.

- Location of institution: Geographical location and urban or rural location
- Control of institution: Public or private university
- Type of institution: Teaching-research or teaching university

The below table details each case institution with criteria, total faculty, total faculty with doctoral degrees, and student enrollment based on 2015 data from SENESCYT.

Table 13

Description of Case Universities

Case Site	Typology	Control	Location	Total Faculty	Percentage of Faculty with PhDs	Student Enrollment
A	Teaching-research	Public	Urban, Costa	885	20%	12,563
B	Teaching-research	Private	Rural, Sierra	742	20%	8,011
C	Teaching-research	Public	Urban, Sierra	1,257	7%	16,925
D	Teaching	Public	Rural, Sierra	1,257	7%	16,332
E	Teaching	Private	Urban, Costa	248	7%	4,940

I interviewed a total of 15 faculty members at the five case universities. Ten of the faculty participants are also former undergraduate students of the institutions in which they now teach. Moreover, many of them (10) also completed graduate work, either a master's or PhD, in the United States or Europe. Below I provide a description of each case university, focusing on location, degree programs, campus, and research. Under each case site, I also provide specifics of the participants I interviewed, providing pseudonyms for each participant to ensure confidentiality, gender, PhD discipline, areas of research, and finally, years at the case institution.

Case A. The first case university is a polytechnic university located in a major urban center on the coast of Ecuador. The university was founded in the late 1950s and is

composed of seven *facultades* or colleges, six of which are science, engineering, math, and technology (STEM)-focused colleges. Moreover, Case A is one of only five universities in the country that offer a PhD program—in this case, a doctorate in a STEM field.

Case A University established several research lines of priority in their strategic plan, focusing on agriculture, climate and environmental science, alternative energy, and industrial technology. Between 2010 and 2016, there was a 480% increase in SCOPUS journal publications from faculty at the university, due in large part to the legislative push for knowledge production and publication.

Case A University has three campuses, two situated in the urban location and the third located in a coastal province where much of the marine science research and degrees are sited. The main campus, which I visited, is spread out over 1,700 acres, including a protected forest of mangrove and a lake. Over 30 buildings, many of which are laboratories, classrooms, and administrative buildings, are spread over a hilly, dusty area shrouded in ceibos and samanes trees.

On the day I visited, the university was in session. Overall, the buildings are mainly old and concrete with a newer science building. My first interview was located a bit away from the center of the campus and as I walked to my second interview, I passed a mangrove forest and lake with a traditional bamboo cane cabin. Once I was on campus, there was an atmosphere of energy as students in groups moved between the old buildings of the campus. I did get lost trying to find the building where one of my interviews would take place. I stopped two students and ended up having a coffee and

chatting with them about the university and campus. They kindly talked to me about their lives while acting as tour guides to the institution.

I interviewed two lead faculty at the university. One of the participants received her PhD in the United Kingdom and the other from the United States. Each interview lasted approximately 2 hours. Table 14 provides highlights of the participants

Table 14

Case A University Participants Details

Participant Pseudonym	Gender	PhD Discipline	Research Area	Years at Institution
Sara	Woman	Tourism	Beach management, gender and sexual identity in tourism	14
Lucia	Woman	Computer Science	Cloud computing, education	14

Case B. Case B University is a medium-sized liberal-arts, private institution found in a rural area outside a major city in the Andean highlands. Case B has three campuses situated around the country. Further, the university manages, in collaboration with an American university, a biodiversity station in the Amazon Basin. I visited the main campus. On the day I visited, the university was on break and, thus, few students and faculty were around. I mainly encountered administrative staff during my visit. The main campus is composed of 32 buildings surrounded by a wall dividing the university from the rest of the town. The university grounds are well manicured and have a view of several mountains, including a volcano.

The university has 10 academic colleges, ranging from health science to music, and was established in the 1980s. Case B has one PhD program, in a STEM field, and tuition costs range from \$8,000 to \$11,000 per year, depending on the degree program. The university has approximately 100 bilateral exchange agreements with universities throughout the world and 1000 international students attend each year. Moreover, Case B is one of few universities recognized for scientific publication and publishes several academic journals and magazines.

I interviewed four lead faculty at Case B. Three of the participants represent the social sciences and one the hard sciences. Three participants received their post-graduate degrees in the United States and one in Spain. One received his/her PhD from an online, for-profit institution, the only participant of the study to do so. This participant is experiencing challenges with SENESCYT to recognize the degree. Interviews lasted 1-2 hours. Table 15 details each participant.

Table 15

Case B University Participant Details

Participant Pseudonym	Gender	PhD Discipline	Research Area	Years at Institution
Martin	Man	Material Science	Nanotechnology and mechanical engineering	3
Luis	Man	Latin American Literature	20th century Ecuadorian literature, literary criticism	19
Camila	Woman	Education	Primary and secondary education, service learning	14
Pablo	Man	Political Science	Electoral behavior, democracy	3

Case C. This case site is located in a major urban area in the Andean highlands and is a large public university. Case C University serves the most students of the case institutions in the Sierra. The university was founded in the 1860s by legislative decree under the presidency of Carrión y Palacio.

The university has 11 *facultades*, including medicine and the arts, and offers approximately 50 degree programs. Case C also offers a doctorate in water resources. In 2016, over 130 articles were published in SCOPUS journals by faculty at the case institution.

Case C has five campuses, of which I visited the main campus in the Andean city. All of the main administrative buildings and many of the programs related to research

grants are located on the main campus. A major river separates the main entrance of the university from the city, where one crosses a pedestrian bridge from the historic part of the city to the university campus. On the days I visited the campus, the city and university were shrouded by fog and the weather was rainy. I spent time at the campus coffee shop and observed few students and faculty on campus, but many administrative staff. The overall campus is well maintained, with grass, and many bushes and trees.

I interviewed two faculty members at Case C, one who leads a major STEM research grant on campus and the other a faculty member in tourism. Both participants have done post-graduate work abroad, one in Europe and the other in the United States. Interviews lasted 1 hour to 1 hour and 45 minutes.

Table 16

Case C University Participant Details

Participant Pseudonym	Gender	PhD Discipline	Research Area	Year at Institution
Bruno	Man	Tourism	Ecuadorian higher education, Ecuadorian tourism	13
David	Man	Biological sciences	Pharmacological application of natural products	10

Case D. Case D University is one of the most unique of the five institutions under study. This university is a large public polytechnic institution that also serves the military population of the country, located in a rural area outside of a major Andean city. Approximately 30% of students at the institution are from the armed forces. Moreover,

many in administrative and faculty positions hold a military rank. The university has nine *facultades*, six of which are focused on STEM-fields, and one focused on security and defense.

Case D was established in 1922 and was once ranked by QS World Rankings among the 250 best universities in Latin America. The university has three campuses of which I visited the main campus where the main administration of the university takes place. I visited the campus for 3 days. My university contact arranged for me to have several student tour guides. Two were young students close to the end of their studies and one was a non-traditional student who held military rank and was near the end of his studies. I was also taken to lunch with the vice-rector of the university and one of my faculty participants. During my visit, I had the opportunity to see classrooms and administrative offices. The buildings and classrooms were well maintained, but often at capacity with many students, faculty, and staff crowded into small spaces.

In 2015, Case D faculty published 134 articles in indexed SCOPUS publications, while 80 papers were published in Latindex journals and approximately 120 research articles were accepted at national and international conferences. Case D provides doctoral scholarships for faculty and students to study abroad and has 20 agreements with international universities and businesses. I interviewed four faculty members at the main campus of Case D. All four participants received their PhDs from the United States. One of the participants holds military rank and another was once awarded the best young academic in Ecuador award. Interviews lasted 1-2 hours.

Table 17

Case D University Participant Details

Participant Pseudonym	Gender	PhD Discipline	Research Area	Years at Institution
Victoria	Woman	Molecular systematics	Systematics, evolution, tropical ecology, conservation biology	4
Paula	Woman	Ecology, Evolution and Behavior	Agricultural engineering, biotechnology, science education	4
Lenin	Man	Structural and environmental engineering	Seismic design and engineering	5
Manuel	Man	Education	Primary and secondary education, community engagement	10

Case E. Case E University is a small private institution located in a major urban center in the coastal region of Ecuador. Case E's business school is ranked number two among business schools in the country and the university was established in the early 1990s. The university is composed of 16 buildings, 10 *facultades*, and offers approximately 50 degree programs, focused mainly in the social sciences. Tuition costs range from \$144 per credit hour to \$300, depending on the degree program. As of 2016, 61% of all faculty were full-time and 57% were lead faculty, or *docentes titulares*.

Faculty published over 170 articles in both SCOPUS and Latindex journals in 2016, seeing a 7% increase from 2014.

The case institution has only one small campus and showcases many new buildings. Case E has committed itself to internationalizing its campus and has agreements with major university in the United States, much like Case B. Moreover, many of its students study abroad and have access to study abroad scholarships. I visited the campus for 3 days and had the opportunity to tour the campus and enjoy the campus café with one of the faculty participants. The university was not in session; however, it was humming with student, administration, and faculty activity. The days I visited, it was incredibly hot and sunny, with iguanas lying around the main courtyard of the campus. The buildings were newer and well maintained. The university boasted a new building boasting growth in its programs and a large library.

I interviewed three faculty participants at the university. The participants studied for their doctoral degrees in Colombia, Spain, and Argentina. Two had completed bachelor and master's degrees in the United States. Interviews lasted between 45 minutes to 1 hour and 30 minutes.

Table 18

Case E University Participant Details

Participant Pseudonym	Gender	PhD Discipline	Research Area	Years at Institution
Ignacio	Man	Leadership	Multiculturalism, cultural competence and leadership	10
Emilia	Woman	Food science	Public health nutrition, malnutrition, food and nutrition management	4
Jacobo	Man	Applied linguistics	English language accent reduction, English language teaching and learning	13

Summary

This cross-case comparative study focuses on five public and private universities, selected from 52 comprehensive universities in Ecuador. The case universities were carefully chosen based on the control of the institution, the institutional type, and location. Of the case universities, three were located in the *sierra* region of the country, the Andean highlands, while two were located in the *costa*, or costal region of Ecuador. Three cases are public universities and two are private comprehensive universities. Lastly, institutions were selected based on the typology laid out in LOES, identifying institutions as teaching or teaching-research. Institutions self-identify within this

typology. Three of the five cases were selected based on being a teaching-research university.

Fifteen participants were selected and interviewed based on criteria that they had a doctorate, had been at the institution for 3 or more years, were nationals, and represented the hard or social sciences. Participants with degrees in architecture or medicine were not selected, since these are terminal 5-year undergraduate degrees in Ecuador. Participants for the study, on average, worked at the case universities for 9 years and many received their degrees either from the United States or Europe. Of the 15 participants, only six were women. Finally, eight participants represented the social sciences and seven the hard sciences.

CHAPTER 5: FINDINGS

Siempre he creído firmemente en el poder transformativo de la universidad, adicional al importante rol que la calidad de la enseñanza juega en la preparación de profesionales del futuro, el rol vital de la investigación, especialmente cuando la investigación permite saltos paradigmáticos que tanto necesitamos.

I have always believed strongly in the transformative power of the university, in addition to the important role that quality teaching plays in the training of professionals of the future, for the vital role of research, especially when research allows for the paradigmatic leaps that we need.

Rafael Correa (2011) at the International Congress on University Development and Cooperation

The purpose of this study was to expand the understanding of faculty sensemaking of their roles as they navigate neo-institutional reform of higher education in Ecuador. The findings focus particularly on new role expectations of research and publication, university administration, and community engagement. Little of the extant scholarly literature concerning higher education in Latin America concentrated attention regarding the transformation of the professoriate or national reform efforts in Ecuador. The findings presented in this chapter are based on analysis of semi-structured interviews with faculty members at public and private comprehensive institutions in Ecuador, both

institutional and national documents (e.g., university *rendición de cuentas*, newspaper articles, and legislative documents), and field notes of faculty interviews and the case universities' communities. The data gathered during this study are at the core of these findings and suggest that faculty members and institutions are still engaged in the process of sensemaking a full 10 years after the start of Correa's presidency, constitutional mandates, the implementation of LOES, and subsequent policies. Moreover, faculty at the five case universities are still experiencing varying levels of role ambiguity and conflict in reaction to both national and institutional policies and practices that grew out of reform efforts begun in 2007.

This chapter is divided into three sections. The first section describes code mapping and its use in providing transparency to the process of connecting data and exposing a larger picture. Next, the chapter reports the results of the interviews with faculty participants, drawing out the major findings related to faculty sensemaking of their new roles: navigating uncertainty, building networks, legitimizing work, confounding autonomy, and embodying transition. Lastly, the chapter summarizes the findings, providing a snapshot of the major themes with relevant supporting data.

Code Mapping

As a condition of trustworthiness, I used code mapping to provide transparency of the data analysis process. Adapted from the code maps presented in Anfara, Brown, and Mangione (2002), the map below demonstrates the several iterations of coding used on the data during analysis. The purpose of this table is to present the reader with the larger, connected picture exposed through the “process of bringing order, structure, and interpretation to the mass of collected data” (Marshall & Rossman, 1999, p. 150). The

first iteration demonstrates the parent codes—*a priori* codes drawn from an analysis of legislative documents pertaining to faculty roles and work and cut across all research questions and interview questions (see Table 11 in Chapter 3 and Appendix H). The second iteration shows the child codes used on the data. These codes were developed in order to create manageable chunks from 15 interviews lasting 1 hour to 1 hour and 45 minutes. The child codes are directly related to the parent codes in that they are sub-codes and can be found across all five of the parent codes in iteration one. The third iteration of coding “further manages, filters, highlights, and focuses the salient features of the qualitative data record for generating categories, themes, and concepts, grasping meaning, and/or building theory” (Saldaña, 2016, p. 8). This stage of coding resulted in building the major themes generated from the data analysis and are summarized below. The fourth iteration applies the level of analysis holistically through the development of propositional statements, which “formalize and systematize the researcher’s thinking into a coherent set of explanations” (Miles & Huberman, 1994, p. 75).

Table 19

Code Mapping: Four Levels of Analysis

Code Mapping for Faculty Sensemaking of Roles in Ecuador				
RQ1: How do faculty members in Ecuador make sense of their roles and work experiences after the 2007 national policy reforms?	RQ1A: How do these roles and work experiences compare across institutional types?	RQ1B: How do these roles and work experiences compare across control of institutions?	RQ1C: How do these roles and work experiences compare across location of institutions?	RQ2: How have institutional policies, practices, and organizational structures emerged since the inception of national policies related to faculty work?
First Iteration: A Priori Codes/Parent Codes				
Teaching	Researching	Managing	Advising	Engaging
Second Iteration: Child Codes				
Bureaucracy	Funding	Work expectations	Network of colleagues	Managing relationships
Transparency	Purchasing	Organizational practices	Innovation	Government policies
Alumni	Preparing students for research	Opportunities	Old vs. new	Mentoring
Evaluation of work	Oversight	Trust	Academic freedom	Political power
Policy-making	Enabling/disabling system	Access	Instability	Institutional decision-making
Workload	Publishing	Change	Resources	Autonomy
Loyalty	Transition	Authorities	Academic capitalism	
Third Iteration: Themes/Findings				
Navigating uncertainty	Building networks	Legitimizing work	Constraining autonomy	Embodying transition
Fourth Iteration: Propositional Statements				
<ul style="list-style-type: none"> • Faculty members find themselves in professional limbo as they increasingly view their daily work lives through a new lens, and experience change either through adaptation or resistance within the constraints of work expectations. • Faculty benefit from building networks to respond to the role expectations, especially related to notions surrounding research. • They engage in opportunities to connect with peers, students, build relationships, and create meaningful relationships globally, nationally, and institutionally. • Nevertheless, faculty find the new processes that legitimize their work to be onerous and to decrease the efficiency of intuitional decision-making. • Consequently, they recognize the importance for transparency in policy-making and their obligation to be involved in the policy-making process concerning their work and roles at both the local and national level. • They view their role as an important component to the transition of the higher education system and to building sustainability for human and institutional capacity. 				

As noted in the Table 19, specifically in the third iteration, five dominant themes emerged during analysis of the interviews of the 15 participants at five case universities. In the table below, the five themes and their sub-themes are presented, illustrating which of the 15 participants supported each of these. These themes focus on the perceptions surrounding a faculty member's sensemaking and navigation of role expectations at both the institutional and national level. During analysis, I found, primarily, that faculty participants still felt a sense of uncertainty surrounding the reforms, as they noted how often national policies did not reflect the nature of their work or role at their institution. Secondly, faculty responded to reform efforts by creating institutional, national, and international networks to support them and make sense of role expectations. These networks were not always work-related, but often provided personal support to the faculty member. The third theme focused on how faculty responded to the increase in workload and bureaucratic processes which are a feature of the reform efforts and are perceived by faculty as legitimating their work. Thus, they perceived a lack of trust by their institutions and government. Moreover, though guaranteed academic freedom in the 2008 Constitution, faculty perceived expectations of research and publication as unrealistic and often constrained by their respective institutions and the government. They viewed policies surrounding research limiting their decision-making concerning access to resources, the ability to publish in their native language, where to publish, and what to research. Lastly, the fifth theme surfaced from the meaning faculty attribute to reform efforts in the country, ascribing the concept of "transitional" as a description of their generation of academics. Each of these findings is presented more fully in the following sections.

Table 20

Research Themes, Sub-themes, and Participant Support

	Navigating Uncertainty		Building Networks			Legitimizing Work		Constraining Autonomy			Embodying Transition	
	Ad	Re	Intl	Nat	Inst	Ev	Inst	Ac	Pu	La	Tr	Sus
Sara	X	X	X		X	X	X	X	X	X	X	X
Lucia	X	X	X	X	X	X	X	X	X			X
Martin	X		X	X	X	X		X			X	
Luis		X			X	X	X		X	X	X	X
Camila	X				X	X			X		X	
Pablo	X	X	X			X	X			X		X
Bruno	X	X			X	X			X	X		
David	X		X	X	X		X	X			X	X
Victoria	X		X	X	X	X	X	X			X	X
Paula	X		X	X				X			X	X
Lenin	X	X	X			X		X		X		
Manuel	X			X		X			X	X		X
Ignacio	X	X	X			X	X		X		X	X

Emilia	X	X		X		X	X		X	X	X	X
Jacobo		X				X	X		X	X		X

Note. Ad=Adapt, Re=Resist, Int=International, Nat=National, Inst=Institutional, Ev=Evaluation of Work, Inst=Institutional Decision-Making, AC=Access to Resources, Pu=Publication Outlets, La=Language of Publication, Tr=Transitional Generation, Sus=Sustainability of Reform Efforts

Navigating Uncertainty

The years between 2007 and 2017 have been uncertain ones for faculty at higher education institutions across Ecuador. With new government policies related to the work of faculty and institutional sensemaking of these policies, faculty members are left wondering what will happen next. The faculty participants for the study commented on the instability of national government administration. They also discussed the unstable nature of university administration and the lack of institutional policies and procedures. They also criticized the lack of faculty voice in national higher education policy-making, and the lack of transparency in policy-making at both the national- and institutional-levels. They noted that “authorities”—a word used often by participants to describe university administration and government officials interchangeably—have changed the rules many times and faculty feel a sense of skepticism about reform efforts. Chiefly, faculty have responded in two ways to the constant change and uncertainty: adaptation or resistance.

Adapting to change. Several faculty participants noted their frustration with the rate of change in policies and procedures, both by their universities and the government. However, these faculty members view changes due to the national policy as a process

that requires forbearance on their parts, in the hopes that with change will come a better system. They acknowledged that the system before Correa was broken and needed reform. Moreover, they viewed change as an opportunity to push for new ways of doing and being. David at Case C University, a public institution, noted that those institutions and faculty members that find ways of managing and working within the shifting landscape of policy would thrive. Martin at Case B University, a private institution, supported this perspective and commented on how he has been able to find pathways and collaboration in an unstable environment responding to top-down policies. Unable to access funding at his university for a community outreach project, Martin decided to work with one of the universities created during Correa's presidency to gain access. He said,

The fact is that they [policy makers] change a lot of things and they keep changing all the time so by the time you know what to do, they change it. So that's a problem of continuity so you can't actually plan ahead. Some of us keep thinking about [community outreach] project, but we don't think about how much money is involved so we run into those problems and that takes time. We don't have any access to public funds. We are creating needs for the community and we can't get any funds for the community...and if we can't get funds, we collaborate and that's how we try. For engineers without borders, we created a partnership with one of Correa's *universidades emblemáticas* so we could have to access some funds...so we got a lot of people around in the community and so we are trying to put some infrastructures there and help the community itself.

Martin was able to adapt to uncertainty by reaching out to his network. By collaborating with other institutions, especially those institutions receiving considerable attention by the government, he was able to work in concert with colleagues to achieve common goals.

Both Manuel and Paula at Case D University, a public university, described how they and their colleagues have created mentoring opportunities for new faculty to help acclimate them to the environment. Manuel noted that they did this because they perceived a real lack of mentorship overall in higher education in Ecuador. Manuel stated, "I didn't get mentoring when I came on during the reform. I was kind of thrown in. Now, because we know what it's like, we don't want other instructors to experience that." Acting as a resource to new faculty or faculty struggling to acclimate to new expectations has been one way faculty participants have adapted to uncertainty surrounding their roles and supported one another.

Sara at Case A and Emilia at Case E agreed that the change in procedures has affected how they manage relationships with administrators. Sara spoke of the government policy requiring universities to change university authorities every two years. She noted that, for example, she has been able to establish a strong relationship with the director in charge of research, but that she fears that when the current director's time is up she will need to go through the same process to ingratiate herself to the new director. Moreover, she noted, that the processes the current director has established will not transfer to the new director due to the lack of policies and procedures in place. When I asked her if there was a manual of best practices for that would be passed from one administrator to another, she expressed her skepticism and said that that was not how

things are usually done at the institution. Moreover, she said that institutional policy-making lacks transparency and she has advocated for stronger clarity around the policy process and faculty involvement in that process. Sara, and other faculty participants, have found themselves acting as agents of change at their institutions in response to reform efforts.

They [processes] should be clear, transparent, and we should have a more transparent way of making policies for the whole university. Like we should have some mechanisms for participation. Like in a public space. And we should receive... Oh, one single thing that would improve things is that when they have their boards [higher-level administration meetings], the minutes should be available for everyone immediately. I'm in the faculty committee and I know they haven't uploaded the minutes for like 3 or 4 years.

This lack of transparency required faculty members to adapt within a context of uncertainty. Similarly, when asked what it means to be an academic nowadays in Ecuador, Victoria at Case D said it meant to embrace innovation.

Because it's changing so fast, and, I think, what it means to be an academic now is to push for new things. For inclusiveness, for new ways of teaching, pushing for, I'm going to put an example. I had a discussion with one of these senior academics. And he said, you shouldn't talk about politics in your class. Because I talk about politics in my class. And he teaches a very similar subject in my field. And he said, I never talk about that because we need to teach them the technical stuff. But it's also a very old way of seeing my field. So, it means that what I teach is new, but it also means that what I believe in should be also reflected in

what I do every day. So, if we're talking about new ways that means that we need to have things in place for the university that allows communication.

Undergirding the ability to adapt and to innovate in a new environment were the need for communication, networking, and transparency. Those that were adaptive to the unstable environment found new ways to manage uncertainty and lay the groundwork for positive outcomes.

Resisting change. The feeling of instability has also caused some faculty to criticize the leadership of their institutions and ignore requirements for their new roles. Faculty resisters and would-be resisters, meaning those who resist some but not all of the requirements, were critical of the upheaval of their time, workload, and certain new requirements of their jobs. The requirement of *vinculación*, or community engagement/outreach, has been met with major resistance from faculty participants. A lack of clarity around community outreach expectations and bureaucratic processes have frustrated faculty and caused them to look at this function of their work with antipathy. Luis, a professor in Latin American literature at Case B University, had created and started a project working with another colleague to teach underprivileged girls at public schools how to play a sport while supporting them in their academic success. After 2 years of the project, the university decided it no longer considered it *vinculación*.

That's just garbage. On my own, I play professional basketball here for years.

And, about 3 or 4 years ago with [colleague] in education, you can ask her about it, I set up this program for underprivileged girls around here to teach them how to play. I mean, that was all it was, you know, I've been around this a long time and I know for a fact that young girls will play sports, organized sports, receive

support, they are empowered. Just for playing... I mean. So, we went around all the physical schools here, the public schools, brought them in, and just taught them how to play, you know... helped them a little bit with their homework...it was a... we did that for like 2 years. You think that worked for *vinculación*? It doesn't work because, no, it's not written up, SENESCYT doesn't approve it, it's not... so, you know I said, you know what? Screw that.

Due to the uncertainty of expectations tied to community outreach activities, faculty have become critical of their institutional authorities and the government. Similar to Luis, Pablo, also at Case B, is unwilling to take on community outreach due to the demands on his time and lack of clear guidelines for this function of his work. Jacobo, who has been at Case E, a private university, for 14 years, noted that the new community engagement requirement took away valuable time from academic foci for professors and students. He remarked,

Before Correa, a teacher just taught and that was all. You finished your class and you went home. But after Correa, now we have to write a book every two years and do community thing...and your workload is not diminished.

Many of the faculty in the social sciences resisted the expansion of their faculty roles in the post-reform era, especially related to *vinculación*. Social science faculty participants felt doing more research takes time away from the more important work—teaching. In the interviews, hard science faculty participants did not exhibit resistance to this aspect of role expansion. This may be due in part to those faculty participants having greater networks of colleagues with whom to partner on community outreach projects.

An emerging theme from the faculty participants involved differential perspectives of older faculty versus newer faculty and the ability to adapt to new expectations. The participants noted that faculty who have had trouble adapting have typically been older faculty interested in maintaining their political power and status quo. These faculty members experienced more time with former set expectations for their faculty roles and the new changes created role conflict and role ambiguity. Newer faculty to the profession did not have the same preconceived role expectations. This concept of new faculty versus old faculty members came up in most interviews as divided expectations, and participants described in particular how younger faculty members' experiences were embedded in working in an institution run by older faculty. Newer faculty participants described the resistance they encountered with faculty who have been in their respective institutions for a long time whenever they tried to implement innovative practices and adhere to role requirements. As Lenin noted, from Case D, "[Older faculty] don't like new things. They believe this reform can be ignored until they retire." Resistance to the uncertain times of change was evidenced most often by longer serving faculty members.

Building Networks

The concept of networking emerged as a mechanism used by faculty to understand the process of reform in higher education in Ecuador. This networking, in response to a demand for amplified knowledge production occurs on an individual and institutional level and has led universities and faculty to engage with universities abroad, particularly Europe and the United States. Moreover, faced with the expectation of publication, in conjunction with teaching, administrative work, and community

engagement, several participants have begun networking with faculty members in their institution and across institutions in order to make sense of and organize around their roles. Likewise, faculty have created institutional-level networks to create committees that establish procedures and processes that were non-existent at their universities. Much of this cross-pollination has led, in the mind of participants, to innovation in academic practices, programs, and opportunities for students.

International-level. In order to fund the mandate for knowledge production, many faculty members have turned outward to connect with peers in Europe and the United States to help establish research lines and protocols. Faculty also look to universities abroad to help raise the profile of their institutions by networking with their former research advisors to develop research prospects, obtain materials, and involve Ecuadorian students in advanced degree opportunities.

At Case C, a large public university in the *sierra*, David talked about a research project in which the research members of the university's philosophy department were involved. He remarked that the international research group of Ecuadorians and Europeans is supporting doctoral-level training and engaging with the local community. He remarked, "It's a kind of project in the Philosophy faculty. So, they are working a lot with the schools and all the different things for violence against women, with sexual education, pregnancy." He went on to describe how the program has provided PhD training opportunities for students and the program has impacted not only the university community, but a rural Ecuadorian one, as well. Further, he added that the international project team is also meeting the scientific research expectations of Ecuadorian faculty members.

And, at the same time, they are applying for scientific budget. So, it's the three parts of the academic activity that had to be implemented. [I]t's funded by the Belgian, the Flemish universities...so, more or less, the total budget invested is about 8 million Euro. So, at the end, also, we got complementary programs. For example, you can apply for programs that they called TEAM. TEAM programs are quite important scientific programs between two universities at South. For example, Ecuador and Peru, plus one university in Belgium. You can include even other European or North universities. And, then, you create a kind of network and it's quite interesting.

Several of the faculty participants completed their PhDs in the United States and look to their former institutions and faculty members there to support their efforts in raising the profile of their universities. Lenin, at Case D, described his experience with this type of networking.

Actually, you know, also, in [the US university where completed PhD] I was working as teaching assistant. But, for me, especially with my background, my goal is to improve the knowledge of this department in cooperation with other institutions, especially from the U.S. I hope that both of the... We don't have a Master's and PhD degree here, just the Bachelor degree. So, I think it's important that the professors who have the PhD degree improve the level of our university. That is, probably, one of the keys in [Case D] now. My professor [at university in the U.S.], he donated his library [to my department]. So, we don't have books, especially in English, the idea is to improve the number of books in our university. With that materials, the students probably use them.

Lenin is working with universities in the United States to help develop curriculum for the degree programs in his department of civil engineering and to help students to study for their post-graduate degrees. Lenin remarked that he has agreements with two universities in the United States:

And, you know, Amanda, one of my goals is to motivate my students that they should apply, for instance, [student name], he wants to study in [university in the U.S.] that's another important part of it. We have to facilitate the process in order to apply by coordinating with international universities to provide this training cause we don't have it here.

Faculty participants engaged in networking to help obtain the goal of more PhD trained university faculty, often reaching back to former contacts in internationally located universities where they received their own graduate training.

Paula, at Case D, described her experience of attaining an international grant to work with a colleague at a university in the United States. With this grant, she was able to fund an Ecuadorian graduate student. Paula commented further on her network efforts to find funding, "Funding to do research is very limited especially here in Ecuador. So, I have a local grant here that is not big enough but I am still pursuing grants outside in collaboration with other colleagues abroad." This external funding was obtained via network connections and outreach. Ignacio, at Case E, explained his excitement over how the reforms have impelled faculty to stretch beyond borders to collaborate with international colleagues. He noted,

I want to tell the truth, Amanda. I am in the best work, job. I am in the best job in Ecuador, for me. Because, number one, I can speak English. I can meet with

people from different countries. Today, I met with someone from Ukraine, from Lithuania...that in the States is normal, but not here. This job allows me to meet people from different countries and collaborate with new people. Before the reform, we never did that.” Faculty participants noted how reform efforts resulted in increased networking, both as an outcome of reform and as a necessity to reach the goals of reform.

National-level. To achieve expectations surrounding research projects and publication, faculty participants are connecting with colleagues throughout the country. They are creating networks to highlight work going on at different institutions and to create opportunities to mentor academics.

David, from Case C University, described his feeling about creating collaboration among universities in the country and how the reform has banded universities together that were historically oppositional.

Within the country we have a network, we need to destroy the wall about cooperating with people within the same country. You see, a lot of... I don't know. It's still the same feeling, it's still a feeling of that kind of “not trust your neighbors” but now the enemy is not the other university, the enemy is the government. So, now it's become better because now we have a common enemy. I can see that this is easier than before, you have good groups. The advantage is that we are on a position that we are in front because there are groups that are moving, other groups are still fighting against the LOES and they want to change everything back. So, the groups that really realize say, OK, this

is the situation, now we have to deal with that. Those groups of different universities are cooperative. And that's a good one, a good policy.

Barriers were breaking down regarding collaboration within the country as a result of the need to meet the reform requirements. Martin at Case B, a private university, illustrated how he has developed his network of research colleagues by connecting with colleagues from his undergraduate alma mater. The motivation to develop this network was created in response to a lack of funding of research at his institution due to it being a private university.

The thing is that I decided to go for material sciences and engineering which is not something common in here [Ecuador]. Several people from my former alma mater [Ecuadorian university] actually went through that part so most of them were former colleagues so that's how we all get connected...so I just made a list of why I'm here and most of them were curious about why I came to [Case B], I just answered their questions and definitely...it was interesting so we had a common interest in terms of nanotechnology and materials related topics so I started to build that level of collaboration especially for [Case B]...the level of politics was rising so when I got here, I was told the relationship with the government and that we were ineligible for funding and I was disappointed...that's a shame...that's not the way to do it...that means we are not capable of doing interesting work if we don't have the right tools. I had that vision and me and my colleagues shared that with a [professor at alma mater] who is the director of a laboratory and we started to work together.

To meet his vision of faculty work, Martin developed networks with colleagues in Ecuador that shared similar goals in order to meet role expectations.

Victoria, at Case D University, described her involvement in the creation of a university women's network for Ecuadorian women involved in the hard sciences. She said that the creation of the network was in response to how few women in Ecuador are in the hard sciences and she deemed it important to connect them so that they feel they are part of a larger community. Victoria stated, "Basically our object is that people visualize us, because the moment here, especially in Ecuador, the moment is that people feel science is male." She was inspired by her experience in the United States studying for her PhD where she had joined a group for female doctoral students with children.

So, we create the network helping other PhD mums and that was nice. When I came here to Ecuador, I say, okay I want to continue that, and then I start basically social networking and I go, okay I'm going to create a Facebook group [name of university women's group in Ecuador], and basically that was the beginning. I was contacted from a girl in Germany, and she say, you know, I know about your group and I say, oh cool, and she's an Ecuadorian and say, definitely I'm doing my PhD and definitely we want to create this network, and I say okay if I can help you, no problem at all, and there was like two or three people that we start to connect, each one of us with our contact and I know other people here at [Case D]. We're supporting a network of Ecuador universities and women scientists.

Lucia, at Case A University, is also connected with this women's group. She commented, "Now we're trying to do meetings for researches to get connected, and to form

researching networks, so, women, we get together and decide to work on projects in Ecuador.” This network not only helps women connect for research, but also mentors students and young academics. Victoria added,

Mentoring, like how to write a CV, how to give a good presentation, how to ask for a letter of recommendation, who is the person that you have to ask for things. The goal is [to support students] in their last semesters, because they are trying to get a job, they’re trying to get funds for scholarship. That is an activity that we work in the group and with the women network that we are creating.

Networking with women faculty and graduate students created a means to connect around common issues associated with being a female educator in historically male-dominated fields of study.

Institutional-level. Faculty have responded to new expectations surrounding their work by developing committees to create and respond to policies and engage in cross-disciplinary research and teaching. Many of them are engaging in research with others in their disciplines for the first time. For example, Lucia, at Case A, described creating research projects with others in her discipline.

That is important to let you know that before maybe two years ago, for example, my area of expertise is software engineering—so I used to work in only software engineering, or another professor just in distributed systems, like that. But one year ago or more than one year ago, it was at the end of 2015, we decided to start working together. For example, now I work with [colleague] who teaches distributing system, account computing and operating systems. I think this is a trend, and also because we teach the master program and the PhD program, so the

research topics cannot involve just one specific topic, because everything is related. So now, I work with [colleague] in cloud computing, and I work with [another colleague] in big data and social media data analysis and stuff like that and now we're trying again with another professor to work with like, hardware people with software people, we're planning to do that.

A strategy to address the demands of educational reform resulted in more peer-to-peer interdisciplinary collaboration. Manuel, at Case D, and Emilia, at Case E, both discussed how they are working with colleagues outside of their departments and across disciplines, something new to both of them. Manuel is teaching a language course with another instructor in engineering and Emilia is teaching a public health course with someone from medicine. Sara, at Case A, described a course she is co-teaching with a faculty member in another discipline.

We can do it in the whole university, but now everybody is very keen, I am very keen. So, for example, for tourism planning, for the second part, we have somebody from Oceanography. They are going to teach geographical information systems. And I'm going to be there because we are going to actually do the co-teaching together. So, he's going to teach them too, and I'm going to ask them to apply it in tourism. So, we're going to be together. We're very lucky that authorities are very keen on new trends and new ways to do things. So, if you were in that path, as well, you can thrive.

Cross-disciplinary collaborations are now encouraged and valued as a result of reform.

Due to the lack of procedures, especially surrounding research, community engagement, and evaluation, many of the participants have formalized institutional teams

to help establish necessary procedures and improve teaching practices. At Case C, where an institutional review board for social science had not been created, Bruno has taken the impetus to connect with other social scientists to establish an ethics committee for research and community outreach. The push for more research as part of the reform efforts requires the creation of policies, procedures, and practices to govern new research programs. Regarding community engagement and the lack of ethical guidelines from the Secretary for interacting with the community, Bruno commented,

There are no ethical policies here [Case C] for that. So, we're going to intervene, about their own community, you're going to change things...you intervene in the community. You didn't ask yourself if it's OK or if it's ethical to intervene. And this *vinculación* thing comes from the SENESCYT. And, that's a lot of paperwork. It's just ridiculous. The project is this and the paperwork is this. But no ethics.

He went on to point out that researchers in the social sciences at his institution lack oversight for their research and for their community engagement. Bruno and his colleagues are in the process of developing a committee *cum* institutional review board to ensure researchers are being ethical during the research process.

What I do, because I do social research, is my own research protocol, nobody here asks for it. So, our interest is that we set an example for the university. We don't have an ethics committee, so what we are proposing, with my colleagues that we are going to have the first ethics committee in the department. So, we are going to do it ourselves and we are going to record our research processes in our own research. So, record, you know, ethic moments, what happens in the social

environment when we go and ask stuff and record everything. And when we have that systematized, we are going to create the committee. That's going to take us a while; we don't want to do it the quick way. We want to see what ethics problems we would have when we go to do some field research. For example, with the one [research project], I followed an ethics protocol, but it was with it because I work with students, as well. So, we had a meeting and we said what we were going to do and then we explained to every one of the participants, we had a piece of paper like this. But we followed it because I knew that that's what I had to do.

The need to develop protocols for conducting ethical research and outreach propelled faculty participants to network with others in their institutions and with others in their discipline across universities in Ecuador. The emerging network may serve as a foundation for increased opportunities for research, exchange ideas and practices, and create support for women, new, and emerging faculty members.

Legitimizing Work

With reform and the associated effort to legitimate the work of faculty in Ecuador has come an increase in bureaucratic activities at every level of the institution. Faculty members find themselves navigating expectations surrounding new and onerous bureaucratic processes, and, as one participant referred to the increased bureaucracy, *un montón de papeles*, or a mountain of paperwork. In some cases, the paperwork is literally papers, whereas in other cases, added "paperwork" occurred as faculty members learned new software to input information into online forms. These new bureaucratic processes also involved increased paperwork surrounding faculty evaluation. Too, there was an

increase in the number of meetings faculty were required to attend, and these were attributable to the increase in role expectations of teaching, research, administration, and community engagement. One participant viewed the new processes as ‘box ticking’ whereas another found the process burdensome, but necessary in order to improve the quality of education and increase overall legitimacy of their work and their institution. Further, many faculty participants perceived the increase in bureaucracy denoting a lack of trust in faculty decision-making and decreasing the effectiveness of institutional decision-making.

Evaluation of work. As noted by all the participants, the process of faculty member evaluation of work has become the most grueling addition to their role. At several of the universities, participants were expected to complete or submit upwards of five different systems of evaluation, each requiring its own set of processes and requirements. These evaluation mechanisms included student, peer, and administrative feedback, and are related to the role expectations of faculty work. At Case A university, a participant showed me the online forms that must be filled out and at Case E, a private university, I was shown all the physical paper forms that are required of faculty. I was shocked by all of the paperwork focused solely on the performance of one faculty member for one semester of work. A participant at Case A noted that she had to hire an assistant, one she paid for from her own salary, in order to manage the documentation required by the university; however, no other faculty participants said they did this.

Lucia, a computer science faculty member at Case A, pointed out the range of paperwork now associated with her faculty role. She noted,

So to do this, I think I need three weeks to work really hard or one month to collect data and fill out all of these forms. Look, [shows online forms] this one is for teaching, this one is for my management activities, this one for student advising, to be in meetings, and so on.

Moreover, Lucia commented that her institution, Case A, requires an overall evaluation of all faculty work to be 80% in order to receive promotion within the faculty ranks, as opposed to the national requirement of 70%. She said her institution does this to prove they are one of the best universities, but ultimately, the requirement puts too much pressure on the faculty member.

Sarah, a faculty member in Tourism at Case A, believed that much of the evaluation is merely box checking—meaning that the university uses it to show that it is complying with CEAACES regulations. Sara observed,

Before [the reform], we were lecturers, teachers...I know some of my colleagues feel that they are public servants now, lots of bureaucracy. And that's one of the big changes we've had. There's no time [to complete work], we have meetings, we have forms to complete, we have evidences to upload in the system and everything seems to be evidence-based, instead of... that's why we have the feeling that now we are public servants, we have to check tick boxes and have evidence. Today I had a meeting with somebody who is in charge and he was a bit late, and I was like, you know, I have a class to teach, and he was like, it doesn't matter, just tick that box, sign here and sign here.

On the one hand, evaluation was espoused as a means to create legitimacy for new faculty roles. On the other hand, the paperwork and added bureaucracy was not valued

by the faculty members as a means to achieve this legitimacy. Rather, ticking boxes was viewed as a task versus an opportunity to validate faculty work and new role expectations.

At Case D institution, part of my interview involved walking with Victoria as she went to teach a class. She wanted to show me the process she must take care of before each class she teaches. We walked from her office to a building across campus where she signed and time-stamped a sign-in sheet proving that she was there to teach her class. We then walked to another building where she held her class. The sign-in sheet was filled with instructor names with dates and times. Victoria perceived this process of proof of teaching as absurd and suggestive of a lack of trust, but one with which she had to comply. She did note, however, that some faculty refused to comply, but did not detail what the consequence of resistance or who those resisters were.

At Case E University, Ignacio gave another example of evaluation, in which students must sign a paper after each class explaining that the professor taught the content promised in the syllabus. Ignacio understood this as a meaningless process, but one with which he had to comply to show “authorities”—a word used sweepingly throughout the interviews to refer to university administration and governmental bodies—that he is following regulations. He noted that students just signed the forms without looking at the syllabus or understanding the purpose of the policy. The conclusion the faculty participants conveyed was that the forms of evaluation in use did not create legitimacy for their faculty roles.

Institutional decision-making. At all of the case universities, the participants remarked on the slowness of institutional decision-making after the reforms. A clear

decision evident was an increase in paperwork, and an emphasis put on showing proof of various aspects of faculty work. The participants felt this decision to increase paper documentation denoted a lack of trust in faculty decisions around research, allocation of resources, and engagement with the community. Moreover, several faculty decided that avoidance of certain requirements, like community engagement activities, was preferable given the extensive approval process required for the activities.

Emilia at Case E commented negatively on the bureaucratic processes surrounding institutional decision-making. She remarked,

Our computer information system is a disaster. We have to do everything here a thousand times. Everything has to be on paper, then we spend paper in printing, it's crazy. We don't share information because we lack the technology.

Everything here is so slow. And once you become accustomed to the requirements of A, they then add B, C, and D, with new systems.

Emilia went on to add, "For example, so I could do a research course in my school, I had to have it approved by seven different departments. It took a month and a half." Despite these complaints, she made a point to say that she believes it was worse before the reforms. Emilia noted, "In the past, I would have died here, I would have returned to [foreign university where she completed her PhD]. I imagine it was even slower then." The improvement in decision making over past practices did not negate the fact that the current practices were still viewed as onerous.

Lucia, at Case A, asserted that increased paperwork that ostensibly supports institutional decision making does not necessarily equate to an improvement in quality of

faculty work. She noted that the increase in bureaucracy has hurt the students, too. She said,

Okay...First, they have to understand that paper work doesn't mean better... I think there is no linear relationship; it's the opposite. That's one thing. The other thing is flexibility, because now we feel like we are controlled all the time. Everything you need means you need to sign a form, you need to prove, it's like there's no trust... I don't know in other universities, but here, the people that work here are not corrupted, so why they ask us to sign before we buy something, it means they don't trust us... You have to justify everything... It's like sometimes you think, I prefer not to do it or pay by myself. It's not fair but there is a limit and the students need more.

The participants did not perceive that the institutional decisions, and added paperwork, benefited student learning.

Similarly, both Lucia and David, a professor at Case C, discussed the process of securing resources for research in their STEM fields. Lucia explained that in the past, if she needed equipment, she could purchase it with her departmental resources, a process that took little time or justification. David added that the new process for securing chemical solvents for his research became untenable and ultimately makes his university uncompetitive. He said,

Even if we will compare against other countries, I will compare against Columbia, and we are far from Columbia, then it becomes the problem, you [Case C] are not competitive. You have the equipment, but you are not competitive. And that's our main difficulty. For example, I need solvent, I need solvent in which can be

used for an experiment. Okay, this is, dichloromethane, we have acetic acid, you can use them for the experiment. That's okay, but you need to ask for permission one year in advance, that means you have to plan everything. And then and then, the problem is the time. In Belgium, I remember I have dimeric solvents in the office, and a supplier system from Germany. For me [here in Ecuador], if I need a solvent, I will sign the paper, my professor will sign the paper, we are going to use this for that, please put it on the desk of the secretary, and I wait. One year in advance when I need a solvent I start to look for the supplier. [Yes] it means they are very slow and very bureaucratic system. And that means that's the end. The end. That means the solvent for Americans, Europeans took 2 or 3 days to be on the desk, for us, it takes more than 7 months. We are not competitive.

The added layers of bureaucracy were seen to hurt global competitiveness, the very outcome the reform hoped would bolster the country.

At Case B University, Pablo and Luis both refused to or were slow to implement the required community engagement activities due to the process required and the demand on their time. Luis remarked that it was "garbage." Pablo, a political scientist, commented,

I haven't done anything in two years. Because, I mean, how do they expect you to do it? They have told us many times, but have realized there are many people who don't do it, and I don't have the time. I have research, I have a small daughter, I haven't had the time to do it. So, I haven't done it. That's another thing that I don't want to get involved with. Because it's not that you just get involved with the projects, no. You have to explain everything, get it

approved...whatever. I've only had one evaluation done thus far. The first year, the evaluation was done in the December, and the next is done in December as well. And the person that evaluated me just said that I hadn't done anything in *vinculación* [community engagement], which was true of course. And I said I was going to do some more and I haven't done anything. I mean, I just can't do everything.

Thus, despite the institutional requirement to do community outreach, there has been no consequence to date for those faculty members who are not complying with this requirement. Faculty members are making individual choices to spend their time in areas of their work they view as more rewarding or important, both personally and institutionally—namely teaching and research.

Luis remarked that there was too much red tape to the community engagement expectation. He said,

Now I'm trying to work this thing to teach some literature and language professors of the municipal education system to help them with their own lesson plans, stuff like that. But, you have to go through all these red tape and, you know... yeah. It's hard to get things approved and you have to do this independently of all the other bullshit you have to do in the university, so.

Again, Luis faced no consequence for his lack of involvement in community engagement, despite the fact that the university required this as part of the expanded faculty role.

Constraining Autonomy

With increased attention on faculty work and decision-making, participants in this study understood their work as circumscribed by authorities. This oversight was

particularly evident around the work expectations for faculty research and publication. The concept of academic freedom is not new to Ecuador or to the Latin American region. Article 29 of the 2008 Constitution of Ecuador guarantees faculty the right to academic freedom:

El Estado garantizará la libertad de enseñanza, la libertad de cátedra en la educación superior, y el derecho de las personas de aprender en su propia lengua y ámbito cultural.

The State shall guarantee the freedom to teach, academic freedom in higher education, and the right of persons to learn in their own language and cultural environment. (Asamblea Constituyente, 2008)

However, faculty participants feel constrained by government and institutional policies related to research and publication despite the legal right to academic freedom. The ability to research what one wants, the resources available to research and publish, to publish in one's native language, and where to publish are often dictated by each participant's institution and governmental mechanisms. Government and institutional policies surrounding funding, access to resources, and frequency of publication have, to the mind of the participants, stifled the ability to do research. Moreover, faculty understand their situation as one where they are forced to comply if they want access to resources. Nevertheless, they also believe that some of the policies will help raise Ecuador's global research profile.

Access to resources. Faculty participants have experienced their research agendas as filtered by their institutions. Some, like in the case of Sara, because the topic of research was not acceptable. Sara noted that her institution would not fund her if her

main research agenda focused solely on topics of gender. She stated that she is able to pursue her research agenda on gender because she also researches areas in which the university approves.

Yes, well, we are constrained because, also, funding for research is just for the areas that they [the university] decided already. Tourism is not an area, so, sometimes I have... I do beach management because I can put it in their environmental books. And I can get funding for this. But I won't [get] funding for women's studies at all. So, I don't know if I should say this, but everybody knows that what I'm doing is that... I have funding for this project, and I have, you know, some of this is going to the other research [on gender]. And everybody knows I'm doing that and everybody is fine. But I won't get funding for that [research on gender].

Even though Sara has the academic freedom to explore her own choice for lines of inquiry, not all of these areas of her interest are fundable.

Others are constrained by bureaucratic processes that slow down access to funding. David, at Case C, and Lucia, at Case A, have seen their research or the research of colleagues put on hold because either the institution worked too slowly to come to an agreement with the private sector funder or the institution does not have the necessary tools to do expected research. Lucia noted that a recent project of hers was delayed for months because university processes were too constrictive.

I think there are many things that we can do here to be a better country because we have very smart people here that I have worked with here capable to do many things, but we don't have enough resources to do that. They are pushing us, for

example, to get research funds from the private sector, but the economy is terrible, and the people from the private sector, they also say they will like to have less bureaucracy, because if we have to sign an agreement with a company and they send a request to work together like to sign an agreement, they send us the agreement in 2 days, 3 days or 1 week but the university takes 3 months to send an agreement...yeah...and they say no this is not correct. So, it's really a shame, like a pain to say, no, no, no, this is not correct so go back, you have to get the approval and again changes [from the private sector]. Sometimes the agreement of the companies are signed, but at the end, there is nothing, they [private sector] feel like there is too much bureaucracy.

Moreover, Lucia noted that there is this great expectation for faculty to do research, but so little funds exist to do it. She remarked, "There are no fundings, we have to look outside." Likewise, David at Case C remarked that government regulations have restricted his access to animals for experimentation to do important research for the region.

We work with zebrafish, we contact the [university in the U.S.] and they say, OK, this is our model, we are going to give it to you for free, you can start working on that, we are going to share with you the wild type, we are not to share the modified lines, but we are going to share the wild type. If you like the model, if you use the model, then, you can start buying from us. They have more than 50 modified lines. OK, we try to import them. You have to do it through FedEx, OK we contact FedEx and they say, "Sorry, señor, but in Ecuador we are not able

to import.” Meetings, meetings meeting, meetings, meetings... More than 7 years and we are not able to get the zebrafish here in our country.

Both David and Lucia point out that if you want world-class research, there needs to be resources, both human and fiscal. David added,

We are trying to convince, we need to show them [university administration] that research means the injection of money. Each paper that you publish means 15-20 thousand dollars. You work within your budget. The budget of the university. But that means that you need, if you have extra work, you need extra workers. But the moment that you need to contract somebody, the university says, no, we don't have money. We don't want more people. And, then, it becomes also the problem of government, public funds, university bureaucracy everywhere. So, then, you start to fight against a big, big, big, endemic monster.

The lack of a research infrastructure and culture challenges faculty to meet the objectives of increasing research and publication.

Publication outlets. The push for research publication has become an essential ingredient to university accreditation and an increased expectation of faculty work. Faculty participants find that the avenue for publication has narrowed to what is considered acceptable by authorities. Discouraged from publishing in regional journals, professors are pushed to publish in indexed SCOPUS journals to receive recognition for their work. Luis, an expert in Ecuadorian literature and creative writer, finds expectations surrounding where to publish illogical and inflexible, particularly in his field. He observed,

So, right now, I'm working, I've been working for the last 8 years on critical editions of Ecuador's most important poetry of the 20th century. There's never been a critical edition of any important literature here in Ecuador of anything. I've been doing this for 10 years, almost, I mean, this is probably the equivalent of Whitman in the U.S. and Neruda in Chile. I mean, all the other countries they have their national poets and their critical editions in which 10, 20, 30 people work for years. I mean, I've been doing this on my own, it's going to come out in October and I'm not getting any credit for it, because it's not in SCOPUS, it's not in this, it's not in that. Can you imagine this?

Forms of research that fall outside of publication venues with impact factors are not recognized. Emilia, at Case E, described the stress faculty feel in ensuring they meet the research expectations of the institution and to publish in SCOPUS journals. She stated that at her institution, faculty are required to publish up to four journal articles a year in either SCOPUS or Latindex journals. She noted that this expectation is improbable for faculty, especially those new to research and publication. Emilia is concerned that authorities have little understanding of what effort goes in to research and publication and that her lack of autonomy in decision-making about research is stifling. She remarked that she considers returning to her graduate university abroad to work, though at the moment she is committed to seeing higher education strengthen in her country.

Language of publication. At many of the case universities, faculty participants discussed policies around where and how they should publish their research results. All of the faculty participants were expected to publish in indexed SCOPUS journals as noted above. They were also expected to publish in English and publish at least two to four

articles a year. Sara, at Case A, described the dissonance between serving her community and meeting the expectations of her university. The university policy is to publish in English, but her research stakeholders are native Spanish speakers and will not have access to her results.

It's ethical, as well. It's something ethical. I should make my results available. So, what I decided to do with this project, because I think this is going to be important for some local authorities and communities, because these are three communities... So, I'm doing something for the world and I'm doing something for a very accessible publication for Ecuador. But that's because I think that's my duty, but nobody's telling us to do this. So, it's ethics. So, next thing I'm going to do is community research. And, could you imagine if I publish something in English? Which, if this works out, we will do, with my friend, the anthropologist, I would publish in English only. Which we could do, but nobody's talking about this. The new guidelines for the university is English only.

Sara expressed concern that faculty in her institution and at other institutions do not have these conversations regarding the ethics of publishing in English when this is not the language of the stakeholders:

Now, that [colleague] got his PhD, there are two of us here [in Tourism], so we can talk about this. But these are not conversations we are having, for example, in the department. No, there's no talk about this. And sometimes, when we have the research meeting, which is once a year, we raise these things, but that doesn't mean there are other researchers concerned with this, as well. I think it's because we are from social backgrounds. For example, the oceanographers I don't think

they are concerned with publishing in Ecuador. Or, for example, if I'm doing the Galapagos Islands, we should be communicating these results somehow to the people who live there. It's not in English.

The lack of a research infrastructure, including Institutional Review Board, leaves uncontested the requirement to publish in English when the research participants and stakeholders are non-English speakers. Emilia, a food science and public health researcher at Case E University expressed similar concerns regarding publishing in English:

Do they think that just consulting Latin American research is not going to be enough? What do they think? I have no idea. If we want to do world-class research, which we are asked to, because they say, don't publish in Spanish anymore. Something like that. And I like to publish in the Spanish because I think I have a commitment with Latin America, anyway. How are we going to make something better if we don't even publish in the right language?

Although many of the faculty felt their academic freedom was being restricted, some faculty believed that pushing for publication in English was the only way that Ecuador and its researchers would be recognized as knowledge producers. Lenin (Case D), Bruno (Case C), and Pablo (Case B) all understood the policies around language of publication important to increasing the recognition of Ecuador. Lenin, who teaches one of his courses in English, noted that publishing in English is difficult for older faculty.

In the beginning it was not easy. One of the difficulties...is related to the professor. The old professors who say, no, that is illegal. You need to do

something to, not fight back, to try to maintain the status quo. But if we want to reach more people in the world, we have to do it [publish in English].

Pablo added that to reach an international level, researchers must publish in English. He believed there is still a lot of work to be done for Ecuadorians to reach the global knowledge community. He noted that his university, Case B, doesn't require any specific language, only that research is published in SCOPUS journals.

In [European university], I was working, and everyone was working in English. That's another thing, my impression was that, even living in a Spanish-speaking country like Spain, that if you wanted to belong to that international level, science or scientific world, you had to speak and publish in English. And that doesn't happen here. It doesn't happen in [graduate universities in Ecuador], the people that are publishing there are mainly publishing in Spanish for the Ecuadorian or for the Latin-American public, at best. Ok? So, there's still a lot to be done here.

The ability to publish in English always assumes faculty members are fluent in English. As in adaptation and resistance, a divide emerged regarding newer faculty and seasoned faculty members.

Embodying Transition

The notion of preparing the way for future academics and students dominates the outlooks of faculty participants interviewed for this study. All faculty participants see themselves as a generation of academics navigating a complex and oft-changing higher education landscape in hopes of developing an educational system that is viable, stable, and sustainable. Moreover, they see themselves as experts on what it means to be an academic today in Ecuador and believe they should have more of a say in the future of

higher education. As one faculty participant suggested, “We are the experts and the government has not been asking the experts.” Overall, faculty recognized that it will be a long time before the system stabilizes, but they are making efforts to help their respective universities establish policies and procedures that are sustainable.

The transitional generation. The sense that their efforts might not see fruit during their time is exemplified by David’s thoughts on his professional functioning in a changing environment, he reflected, “We really need to realize that maybe we are not even able to see the difference. We are putting our effort to the next generation.” However, many others also see their roles as preparing faculty and students to work successfully in the system through the transition.

In response to the augmented role expectations for faculty, participants have innovated practices to help better prepare faculty to weather the transition period higher education is experiencing. Sara, at Case A, remarked that though the reform policies enacted have been incredibly fast, she found the reform one that enables faculty to be better, an opinion held by the majority of participants. A positive outcome of the reform efforts was evident at Case B. Here, both Camila and Martin have created a cross-disciplinary faculty institute for professors at the institution in reaction to the multiple forms of evaluation of faculty work that have come out of the national reform policies. Martin was specifically involved due to a graduate certificate on college teaching and learning he completed at an institution in the United States.

Of the five institutions I visited, participants at Case B were the only ones to explicitly highlight how they are using the evaluation process to inform their practice and provide substantive feedback to instructors. Camila remarked,

We did this 21st century faculty institute, the purpose actually was to create some sort of faculty resource center, we don't have such a thing here [in Ecuador] and we're going to start now. We have different roles, one is training, one is support, and the other is more of an administrative role and the purpose is actually to create a physical space and go and talk in a manner faculty haven't before. The purpose of that institute is to create an opportunity to reflect, to share, to create. What has happened all the time that I am here is that nothing happens; we have this system [of faculty evaluation], we input evidence; however, we don't get any type of incentive or consequence...feedback, so what is going to happen now with the committee is that they have identified some faculty that we could say are 'at risk' based on their evaluations. I'm actually going to be one of the mentors and I'm going to work with one or two faculty in this 'at risk' population with the idea that you have to do follow-ups, you have to do observations and you have to go for trainings and it's more like it's reporting back and that's something that has never happened before.

The faculty at Case B were using the demands of evaluation that emerged from reform to actively improve their own practice, and in this process building an infrastructure to support faculty development.

Paula, at Case D, described the importance of being creative to help students weather the transition, as well. She described the symbiotic relationship faculty and students have and how relying on each other will help them overcome barriers, such as a lack of classroom and lab space. When asked what it means to be a professor in Ecuador today, Paula remarked,

Flexibility is definitely one of the requirements and then you have to be creative to overcome those situations and try to plan the class in a way that the students can get the best of learning, the best experience in learning and the other resource, well the other resource that you have at your disposal is the students, something that I really enjoy is teaching here because the students are very engaging, they are very motivated and since I'm teaching the last year, they [students] are already thinking, what am I going to do for my next step, my thesis research. So they really make me work, yeah they really have good questions and they really try to take advantages of the class and that makes me really happy.

Faculty were motivated to improve their practice to help student learning and the student experience. Victoria at Case D described their approach to inclusivity in research and teaching and the role they have in developing recognition of gender policies in new role expectations.

So, if you see the formats of the research, there is one part, and you apply for a grant, there is one part that says how you're considering gender in your research and then you have to write and the answers are always very funny like, yes I will listen to women, they will have the right to have an opinion. That's when I go ahead and talk to them and say this is not the way to address gender and this is the way they have been learning. Do you have a research assistant, a female research assistant that can be members of the group, they say, maybe, I didn't think about that. So yeah, the teachers need to learn how to address those issues.

During the period of transition, building good research practices is critical and some of the participants were at the forefront of these efforts to assure ethics and inclusivity of research participant perspectives and research group members.

However, it is important to note that some faculty participants see the transition as detrimental to their roles in the institution. Luis at Case B noted his fear for the place of the liberal arts in Ecuador's brave new world of higher education. With increased efficiency and focus on science and technology, small classrooms and low student to faculty ratio is seen as anathema in the institution. He believed that the humanities are threatened by notions surrounding efficiency. Luis remarked,

In one sense, it's good [reform], but in the other sense, the oldest course of the humanities, the liberal arts, and this idea of having small classrooms, making a better education experience, exploring different areas of humanities...are losing their place.

In times of transitions, there are perceived winners and losers as reform priorities favor some areas of university work over others.

Sustainability of reform efforts. Participants placed importance on creating sustainable practices to help their institutions improve, especially in response to the characterization of universities into teaching and research-teaching institutions. Many of the participants described the loyalty they have to their universities, as many of them are alumnae, and the drive they feel to see their institutions thrive. They viewed themselves as building capacity for future academics. Paula from Case D noted,

There is also a sense of institutional loyalty and because you end up working more than your duties, more than the normal agreement because this is your

institution, you studied here, you already know the system, you know what to be changed, so you will see impact or results. And, of course, because it's your former institution, you're alumni, so you do things with moral commitment. It's more than a job, you got a better sense of commitment because of your loyalty for the institution.

The connection among faculty members is strong in their institutions given the size of the country and the numbers of universities.

Faculty participants perceived the lack of PhD programs as an issue in supporting the sustainability of faculty reforms. Currently, Ecuador has only a few PhD programs available, thus forcing students and faculty alike to leave the country for doctoral studies. Many of the faculty participants see this as a good thing—meaning Ecuadorians return with a better understanding of what it takes to have and create a functioning doctoral program. Nevertheless, several faculty participants were involved in the development of PhD programs at their institutions. Participants at Case D discussed the importance of this process on the future of higher education. Many faculty also described the importance of having faculty with doctoral degrees to help support the sustainability of reforms and to inform the trajectory of the modern university in Ecuador.

Luis noted that for efforts to be sustainable, higher education in Ecuador must reflect its context, not mimic institutions and systems abroad.

You know, I think a lot of this stuff [reform policies] is interesting and valid, but there's also this issue that, you know, higher learning in Ecuador is different than higher learning in other places, third world knowledge is different. You have to take this into account, you have to think about Ecuador, you have to develop

notions of what being Ecuadorian is like, not in a chauvinistic manner but as part of learning your place in the world.

As education reform is sought in Ecuador, a period of transition is still ongoing 10 years after the start of the change efforts. The lack of stability is stressful on the one hand, but the transition also provides faculty members with an opportunity to put a stamp on the emerging structures and processes, and to be involved in the building of change in the country.

Summary of Findings

Faculty participants of this study regarded themselves as living within a complex matrix of institutional and governmental expectations of their roles in raising the profile of Ecuadorian higher education. Increased bureaucratic processes around the evaluation of work, the requirements for increased research and publication, and the involvement in *vinculación* (community outreach) received the most criticism from participants, often denoting differences between faculty members in the hard sciences and those in the social sciences. As student-centered educators, they perceived many of these new expectations of their roles as burdensome and taking away valuable time from their focus on the students. Further, they understand government and institutional expectations of research and publication as constraining their academic freedom. Nevertheless, they viewed reform efforts as essential to improving higher education but believed that they are crucial constituents to ensuring the sustainability of reform efforts. Table 21 provides a summary of findings, explanations of meaning, and ties to evidence from the data.

Table 21

Findings at a Glance

Theme	Meaning	Evidence from data
Managing uncertainty	Faculty sensemaking of stability of reform and governmental/organizational practices/policies	<ul style="list-style-type: none"> • Adapt to change by developing practices that help them manage a complex landscape • Resist change because of the burden it places on their conception of their jobs
Building networks	Relationships faculty form to respond to role expectations: International, national, and institutional	<ul style="list-style-type: none"> • Connect with US and European universities, often because alumni, access to funding, and opportunities • Connect with other universities in country to, because alumni and/or build research, publication, and support • Develop networks to create policies and procedures due to expectations of work
Legitimizing work	Faculty sensemaking of bureaucratic processes and procedures to establish legitimacy of faculty work	<ul style="list-style-type: none"> • Criticize new onerous processes of faculty evaluation that is only used as evidence, not as a tool to inform practice • Criticize institutional decision-making and propose a lack of trust in faculty ability to do work
Confounding autonomy	Faculty's ability to research and publish without restrictions	<ul style="list-style-type: none"> • Perceive requirements around research and publication as unwieldy, illogical, and constraining academic freedom • Regard demand for publications in English as not serving the needs of research stakeholders
Embodying transition	Faculty sensemaking of reform and their role in higher education and the future of higher education	<ul style="list-style-type: none"> • Recognize their importance in the transition process • Create sustainable practices to build capacity, both human and institutional

The findings from this study showcase the complexity of faculty roles emerging as a result of reform in Ecuador. Adaptation and resistance to new faculty requirements resulted in a number of strategies to meet expectations. A benefit of networking institutionally, within Ecuador, and across borders, provided faculty members with allies and support. At this point in time in the transition process, faculty members are still attempting to make sense of how to balance the needs of their students and institutions with the requirements for increased research productivity and community presence. New institutional policies and practices are beginning to form that help in this transition process. Through the creation of new organizational practices, faculty are supporting the sustainability of the educational reform efforts.

CHAPTER 6: DISCUSSION AND IMPLICATIONS

La universidad es del pueblo, no del gobierno.

The university belongs to the people, not the government.

Student protest chant in response to LOES (Mena Erazo, 2010b)

The drive for change in higher education in Ecuador was designed to impel the transformation of universities in the country and impact the nature of academic work. The objective of this qualitative cross-case comparative study was to provide an account of faculty sensemaking of reform efforts of higher education in Ecuador on professorial work and role definition. Faculty work in Ecuador, historically the milieu of the part-time instructor with few duties outside of teaching, has expanded to include research, administration, and full-time dedications to the university. The purpose of this research study was to investigate how national policy reforms since 2007 have altered the daily lives of professors. This research sheds light on how faculty have made sense and navigated these reforms to their roles. Research was conducted via interviews with 15 faculty participants across three public universities and two private universities in the country. Additional data included field notes of the faculty interviews and campus environments and the analysis of relevant documents to the reform, comprising legislative, university, and media documents.

The analyses of faculty perceptions of these reforms unveiled the ways professors have navigated a variety of changes to their work since 2007 across types, control, and

geographical location of institutions. Additionally, the analysis demonstrated the implementation gap of organizational policies and practices since reform efforts began. This final chapter begins with the research questions that were used to guide the study. Next, the chapter summarizes the findings and analyzes them by situating them in the literature and applying the theoretical framework used as a lens for the study. Lastly, it provides recommendations for policy, practice, and future research.

Research Questions

Due to the rapid and major changes to faculty role and work in Ecuador, this study aspired to determine how faculty were reacting to and enacting reform. Two research questions were designed to learn specific, detailed knowledge of faculty members' perceptions of higher education reform and how universities have responded to reform efforts around faculty roles.

1. How do faculty members in Ecuador make sense of their roles and work experiences after the 2007 national policy reforms?
 - a. How do these roles and work experiences compare across institutional types?
 - b. How do these roles and work experiences compare across control of institutions?
 - c. How do these roles and work experiences compare across location of institutions?
2. What institutional policies, practices, and organizational structures have emerged since the inception of national policies related to faculty work?

Summary of Findings

Qualitative interviews, field notes, and document analysis revealed the pervasiveness of role ambiguity and conflict (Katz & Kahn, 1978; Rizzo et al., 1970) as faculty made sense of national and institutional higher education reform policies. Faculty management of uncertainty, either through adaptation or resistance, their interpretation of increased research expectations through the building of networks, their perception of the legitimization of their work, their understanding of academic freedom in their institutions, and their conception of transition and sustainability, paint the picture of a higher education system experiencing growing pains.

Clearly, faculty are in the process of understanding the new context of working in institutions of higher education during Ecuador's transition in policy regarding the role of post-secondary in the country and the expectations of faculty contributions. The overall sentiment is one that remains hopeful about the future. The faculty participants viewed the reform as necessary, but are critical of its implementation, specifically highlighting the implementation gap between policy rhetoric and reality. They perceived themselves as becoming public servants—meaning they viewed their new roles as government administrators burdened by bureaucratic paperwork, working 40-hour workweeks. Moreover, participants censured government authorities, such as CEAACES and SENESCYT, and university administration due to the increase in evaluation, which faculty members interpreted as a sign of lacking trust in the decision-making and effectiveness of faculty members as educators.

Faculty participants also felt left out of the policy-making process, but generally viewed themselves as agents of change in their respective institutions despite their lack of

involvement the policy creation process. As on campus implementers of the policies, they often felt constrained in their access to resources and their ability to pursue research but understood their position as one preparing the way for future academics.

Discussion of Findings

The findings for this study add to and extend several theories and literature in the field of higher education, particularly related to concepts linked to change, agency, striving, and policy implementation. This section is composed of three parts in relation to the research questions. The first section details findings and literature pertinent to the main question of faculty sensemaking of their roles after 2007 policy reforms. The second section breaks down faculty sensemaking depending on the type, control, and location of the university cases, connecting relevant literature and findings. The final section describes the findings related to university policy implementation associated with faculty roles since 2007 and connects to the relevant literature.

Faculty sensemaking. The first research question asked how faculty have made sense of their work and role after the 2007 national policy reforms. The focus of this research on faculty members' perceptions provided an opportunity to understand better how faculty were making sense of the new higher education policy and implementation on campus and to their practice. Study participants acknowledged that their experiences of new role expectations of administration, research, and community engagement greatly impacted their decision-making. With the passage of the new policies in 2007 (Johnson, 2017), faculty are now expected to expand upon their traditional roles of teaching and working with students. Now, now they must also conduct and disseminate research, obtain research funding, engage in community service, and participate in the running of

the university in Ecuador. These expanded roles shifted expectations of faculty work. Several of these expectations are particularly new to the full-time professor and are indicators of reform in developing countries (World Bank, 2000). Thus, the findings of this research relate to broader themes in higher education literature, namely change theory (Lewin, 1951; Weick, 2000; Weick & Quinn, 1999), faculty agency (Austin, 2002; Gonzales, 2014; Kezar, 2014; Kezar & Lester, 2009), bureaucratization (Bray, 2013; Bozeman, 1993; Ordorika, 1996, 2003), and academic capitalism (Gonzales, 2014; Rhoades, Maldonado-Maldonado, Ordorika, & Velazquez, 2004; Saavedra, 2012).

Change. Since 2007, universities in Ecuador have undergone significant and rapid change due to top-down policy making that resulted in universities moving from decentralized and loosely-coupled to a highly centralized system (Johnson, 2017; Saavedra, 2012). This change resulted in a series of directives from the government with little, if any, faculty participation in the policy development stage (Fowler, 2013); however, faculty are organizing to create new initiatives with the intention to improve their practice and respond to change initiatives. This has come in the shape of the creation of faculty development institutes to respond to increased faculty evaluation of work. For example, Martin at Case B remarked, “We decided to take charge of evaluation, we decided to take the 360 degrees to have a broader sense of what’s happening with professors, students, and administration.” Moreover, faculty participants have recognized and organized around the need for research review policies to respond to the mandate of augmented research requirements from the government. With increased expectations of the faculty role and work, faculty members are initiating grassroots efforts to respond to government change interventions.

Literature on change in higher education has focused mainly on global North countries and regions, such as the United States and Europe (Boyce, 2003; Clark, 2003; Gumpert, 2000; Henkel, 2005; Kezar, 2013; Kezar & Eckel, 2002). However, due to the planned nature of change of the higher education sector in Ecuador, the research findings in this study expand the discussion around planned and emergent change and suggest that a synthesis of the two models has taken place in response to reform efforts.

Planned change, as defined by Lewin (1951), includes a set of pre-prescribed group-based steps aimed at a particular goal, whereas emergent change is constant and ongoing, often informal, and self-organizing (Weick & Quinn, 1999). Weick (2000) noted that planned change efforts are often lauded for their rhetoric, but rarely change the organization's nature and, thus, problems reoccur. Researchers agree that planned change is useful for structural changes in contexts that are stable, yet this type of change does not guarantee the sustainability of change efforts (Burns, 2005; Kotter, 2012; Weick, 2000). Kotter (2012) identified several reasons why planned change can fail, chiefly among them that constituents are not empowered to lead change or innovate. This means that planned change is initiated and enacted by top-down leadership, excluding other stakeholders of the organization. In planned change, stakeholders are expected to implement change, not develop and initiate it (Kotter, 2012). Jian (2007) contended that unintended consequences typically result due to this macro, managerial approach to change. In the case of Ecuador, planned change of higher education began with the efforts of the president Rafael Correa; yet, this change was initiated due to public sector criticism of the previous system. Correa authorized change of higher education by creating new mandates in the new constitution of the country, developing a new law, and

establishing new government bodies to direct his change efforts. Universities and faculty were not involved in the policy-development phase of the planned change process.

Emergent change, although at times unpredictable and unintentional, may start from anywhere in an organization and is in response to local conditions (Bess & Dee, 2008; Weick & Quinn, 1999). Leslie (1996) argued that organizational change typically emerges from decisions made by university faculty and staff at “street level” (p. 110) “The emergent perspective on change suggests that higher education leaders need to examine the ongoing grassroots efforts of faculty and staff to adapt locally to changes they detect in the microenvironments in which they operate” (Bess & Dee, 2008, p. 810). However, based on public sector criticism of higher education in Ecuador before 2007, sole focus on emergent change would only further disarticulate the system in the country because higher education suffered from a lack of coordination between institutions and a lack of oversight by the government. Thus, the findings from this study highlight the occurrence of a synthesis of planned and emergent change, albeit unconsciously, took place. On the one hand, a greater vision for higher education transpired in the form of a state-run model of planned change in which government authorities required the implementation of change policies. On the other hand, faculty members have responded to increased role expectations through grassroots efforts.

The findings for this study show that by building national and international networks and leading the development of new policies and practices, faculty are introducing emergent change at their institutions. In summary, despite the enforced planned change from the government of Ecuador of the higher education system, emergent change has also taken place, creating a synergy of the two models.

Faculty agency. This study revealed that faculty live in a potential state of uncertainty, but that they are navigating and leading change in their institutions to respond to governmental policies. Driving the development of committees, new policies, and new ways of thinking and being educators and leaders at their institutions illustrated a commitment to adapting to and innovating emergent change in their institutions. In contrast to the assumption that faculty members are empty vessels expected to implement planned change, they are innovating the process of change, instead. However, not all faculty felt this level of empowerment. Some faculty members felt disenfranchised by change in their institutions, particularly in relation to the faculty evaluation process and the expectation of involvement with community engagement. Faculty members in Ecuador have displayed a range of reactions to planned change, demonstrating a continuum from faculty who are change agents to faculty members who resist change. These findings extend the literature on faculty agency in changing universities (Austin, 2002; Gonzales, 2014; Kezar, 2013; Kezar & Lester, 2009).

Gonzales (2014), in her work on faculty agency in striving universities in the United States, represents three distinct categories for faculty agency: 1) operationalizing, 2) negotiating, and 3) resisting. The findings of this study extend Gonzales's (2014) discussion on faculty agency by identifying these categories in faculty agency in a university system undergoing change in a developing country. As Ecuador is a striving nation, intent on contributing to the global knowledge economy, all universities in the nation are striving to improve and support this initiative. In line with this, Paula, at Case D, remarked, "Even though it [change] makes my work difficult sometimes and relationships more challenging, there is now a level of respect for me and we have to just

keep working to make it better.” Thus, faculty members recognize that in a striving system, they have agency to improve change efforts.

Faculty within this striving context are operationalizing agency by complying with new role expectations surrounding research and publication, and the competition for grant money (Gonzales, 2014; Rhoades, Márquez Kiyama, McCormick, & Quiroz, 2008). Lucia at Case A can be seen to operationalize agency when she asserted, “We just follow the forms and rules, even though we know there is a way to do it better, shorter, faster.” Moreover, faculty members are negotiating by navigating the scripts of the government and their institutions while also trying to preserve teaching and student-centered work that have been historically linked to faculty work in Ecuador. And lastly, they have assumed agency by resisting certain role expectations. This has come in the form of pushing back on publication in English or top-tier journals and remaining vested in their main stakeholders, the students. As Luis at Case B disclosed, not all the new role expectations fit all of the disciplines. He remarked that the new role expectations were created for those in the STEM fields and not relevant to his field of literature. Thus, he felt role conflict and chose to embody agency through resistance to certain expectations.

Findings also extend the discussion on faculty leadership of institutional change. Researchers have devoted increasing attention to grassroots leadership styles (Kezar, 2013; Kezar & Lester, 2009; J. Thomas & Willcoxson, 1998), noting that the potential for leading change extends beyond typical positions of authority (Fullan, 2001; Kotter, 2012). Leading change can be done by anyone in an organization who is facilitating, creating, or contributing to change efforts. Although the findings conclude that faculty have had little involvement in policy development and are often constrained in their

decision-making, they are grassroots agents facilitating and sustaining reform efforts in the country and building capacity for future stakeholders.

Bureaucratization. The 2000 World Bank Report on higher education in developing countries noted that bureaucracy runs rampant in the higher education systems in developing countries, which affects the activities and treatment of faculty members. Ordorika's (1996, 2003) research into reform at Mexico's National Autonomous University (UNAM) found similar outcomes. Similar to this research in Mexico, bureaucratization in the system is a major limitation to change in the higher education sector in Ecuador. Bureaucratic policies and practices are viewed as onerous and demonstrating a lack of trust leading many faculty members to believe they have become public servants over educators. Faculty members see filling out multiple types of evaluation or going through lengthy processes in order to gain approval for their academic activities as the activities of public administrators and fear they are becoming mere cogs in a machine.

Ordorika (1996) pointed to bureaucracy as a way for governments to maintain control of higher education and found that bureaucracy prevents faculty from putting into practice reform policies and ultimately obscures the critical issues of the modern university. In Ecuador, faculty members feel constrained by bureaucratic measures that obscure the importance of teaching and learning. Like Ordorika, Saavedra (2012) expressed concern that Ecuador's centralized, state-control model of governance of higher education would create an environment of intense bureaucracy. The findings from this study echo Saavedra's fear and confirm that policy implementation has grown, in

part, into bureaucratization over quality control, to the detriment of institutional and faculty effectiveness.

Moreover, bureaucratization, in response to a state-control model, decreases the efficiency of universities (Bray, 2013; Clark, 2003; Coccia, 2009; Morey, 2003; Ordorika, 1996, 2003; Saavedra, 2012). The increased attention on accountability and quality control and the development of managerial structures has slowed faculty ability to be responsive and innovate proactively (Ordorika, 1996). The result of state-control is an increase in administration and administrative processes that limit or constrict faculty activities (Bray, 2013). In Ecuador, since new activities have been added to the expectation of faculty work, the increase in administrative processes to control those activities have slowed institutional decision-making and efficiency. Lucia and David's experiences with university bureaucracy and laborious administrative processes resulted in an inability to secure private sector funding and much needed research resources.

The findings of this study on faculty sensemaking of higher education reform in Ecuador illustrate how red tape and bureaucratic processes limited the university's ability to make expedient decisions. Decisions concerning the allocation of resources, faculty involvement in administration, and the processes around faculty evaluation, research, and community engagement activities have demonstrated the negative aspects of bureaucratization. Red tape, a term used in public administration, refers to the negative effects bureaucratic processes and procedures have on organizational activities and the findings extend the literature on this topic to the Latin American higher education context (Bozeman, 1993; Bozeman & Scott, 1996; Rainey & Bozeman, 2000).

Networks. Findings for this study demonstrated the importance of network building for faculty in response to increased role expectations—particularly around research collaboration. Research capacity was a critical issue for faculty and they have driven initiatives to develop capacity in the country by making connections globally and locally. Consistent with the existing literature on international collaboration, research capacity, and network building, faculty participants in this study specifically mentioned the value and need for building networks for human and institutional capacity-building (Barrett, Crossley, & Dachi, 2011; Cantwell & Maldonado-Maldonado, 2009; Giuliani & Rabellotti, 2012; Jacob & Meek, 2013; Kezar, 2005; Kezar & Lester, 2009; Nchinda, 2002).

Due to the scarcity of resources and the limited research capacity in Ecuador, faculty created international and national networks to support research collaboration, develop research opportunities, and gain access to research resources and funding. These findings support Jacob and Meek's (2013) research on scientific mobility and international research networks for capacity building. The authors argued that South-North collaborations help leverage scientific contributions and address South development issues which is consistent with faculty participants' experiences with working with universities in the US and Europe. David, at Case C, remarked that his relationship with Flemish universities helped his institution meet national research development goals. Moreover, the legitimacy gained by cross-border collaborations and networking was recognized by faculty, conforming to the research on network building between developed countries and Latin America (Cantwell & Maldonado-Maldonado, 2009; Giuliani & Rabellotti, 2012; Nchinda, 2002).

The campus and virtual networks built by faculty expand the literature on the importance of creating and sustaining collaboration. Kezar and Lester (2009) argued for both planned and organic network formation on campuses and suggested discipline diversity in campus networks in order to sustain efforts. Interdisciplinary collaboration has grown between faculty members in Ecuador as a strategy to meet the demands of reform. Paula at Case D explained, “To innovate, I need to collaborate with many different disciplines and with colleagues at good levels that can tell me active views, I invite colleagues to guest speak and teach and they invite me.” Through interdisciplinary collaboration, faculty members see the opportunity to introduce new ways of teaching and research.

Likewise, findings support Kezar’s (2005) research on campus collaboration development. This study documented the formal process of relationship building around shared values, learning, and as a response to external pressures due to reform efforts. Sara’s experiences at Case A University with developing more formalized faculty committees to respond to research ethics align with the concept of formal network building. This initiative was due to her own values of research, her experiences studying in the UK, and in response to the external demand for more research. Martin and Camila at Case B shared similar values of faculty evaluation and developed a formal faculty institution to make increased evaluation formative versus summative. By creating formal networks on their campuses, faculty members are reimagining their roles and revisiting reform initiatives.

Moreover, social networking has connected faculty stakeholders throughout the country. Literature on faculty use of social media pointed to the gains faculty have

experienced connecting with colleagues through social networking sites and the findings for this study supported the importance of the connections made through this medium (Moran, Seaman, & Tinti-Kane, 2011; Veletsianos, 2012; Veletsianos & Kimmons, 2012, 2013). These gains are evident in Victoria and Lucia's involvement in creating a Facebook group for women scientists in Ecuador. Through this medium, they have connected women in order to support collaboration for research and help mentor students and young academics. It is this type of network building that has helped women scientists in the country respond to increased role expectations like research.

Academic capitalism. The compilation the findings from this study point to a cultural shift towards academic capitalism in higher education in Ecuador, though this does not necessarily equate to the neoliberal idea of higher education marketization. For example, Rhoades and Slaughter (2004) have characterized academic capitalism in higher education as top-down management and decision-making with a focus on corporate and market-like behaviors. Saavedra (2012) noted that academic capitalism is a “shift from the public good to the private good which in turn has led colleges and universities to focus on fields of study closer to the market and on fields related to science, technology, engineering and math (STEM)” (p. 163). Findings from this study support that the nature of higher education in Ecuador has turned toward academic capitalism given the increased demand for research and the demand to publish in indexed SCOPUS journals. Faculty members perceive these role expectations as one-size-fits-all and often not relevant to the nature of their research and work, but more suited for those in the STEM fields.

Academic capitalism at the micro, or faculty level, belies the fluidity of the faculty member workweek and puts time pressures on faculty work (Walker, 2009). Changes in faculty role expectations have caused levels of role ambiguity and conflict in faculty members. For example, Victoria and Sara noted that with reform, they are expected to be in the office 40 hours a week. Sara viewed this expectation as representing the desire to turn faculty members into public servants. Additionally, the findings from this study align with existing literature regarding academic capitalism in the lives of faculty that manifest via increased work expectations with little infrastructure or support to meet these expectations, and increased evaluation of work (Gardner, 2013; Rusch & Wilbur, 2007). “They have one form for this, and another form for that, and where these forms go and what they do, I don’t know,” Emilia at Case E disclosed. Reform efforts in Ecuador have manifested in tighter quality control of faculty work, but with little meaning attributed to the faculty evaluation process.

Moreover, due to scarce resources for research, but a legislative mandate devoted to its necessity, faculty found themselves as entrepreneurs for research dollars and opportunities and lacking research autonomy (Gonzales, 2014; Rhoades & Slaughter, 2004; Rhoades et al., 2004; Saavedra, 2012). The competition for resources, a characteristic of resource dependency theory (Pfeffer & Salancik, 2003), pushed faculty members to build research networks in order to meet the legislative demand.

Most research on academic capitalism has focused on trends in the global North, with scant research focused on its role in higher education in developing countries. The findings of this research in Ecuador related to academic autonomy, centering on access to resources, university governance, and a hyper-focus on STEM research add to the

concept of academic capitalism and its development in Latin America (Bernasconi, 2006; Cantwell & Maldonado-Maldonado, 2009; Rhoades et al., 2004; Saavedra, 2012).

Faculty sensemaking across contexts. The research sub questions asked how faculty sensemaking compared across institutional types, control of institutions, and location of institutions. Faculty roles and work experiences across institutional types, control of institutions, and location of institutions were similar in the sites studied. Despite the fact that faculty perceptions of reform did not vary significantly across cases, several concepts in the literature were extended by focusing on sensemaking across institutional type and control of institutions. The first subsection describes the concept of university striving related to the institutional types, a feature used to help differentiate cases. The second subsection discusses resource dependency theory and findings related to the control of institutions.

University striving. Institutional types, referring the *Reglamento Transitorio para la Tipología de Universidades y Escuelas Politécnicas*, or the regulation for the typology of universities and polytechnics, influenced faculty understanding of their roles across all cases, however the terminology was aspirational. These types are characterized by the nomenclature of *teaching* and *teaching-research* universities. I found in the field that this typology is more rhetoric than reality and does not currently exist. Albeit some of the case institutions were referring to themselves as a teaching-research university, faculty participants admitted that it was not a real designation, but one towards which they are striving. Faculty at each case institution spoke of the typology and their collective work towards becoming a teaching-research university, specifically through the development

of PhD programs at their universities, preparing future faculty, and building networks with international universities.

University striving is characterized by how universities work towards increasing their prestige and rankings (O'Meara, 2007). O'Meara pointed to universities in the United States pursuing prestige by paying close attention to performance indicators like the *U.S. News and World Report* (Gonzales, Martinez, & Ordu, 2014; O'Meara, 2007). When Cantwell and Maldonado-Maldonado (2009) applied this concept to Mexican higher education policy, they found evidence of university striving in terms of English-language use in the classrooms, in research publications, and hiring faculty with PhDs from the United States. In the current study in Ecuador, faculty members described English language use in teaching and publication. Pablo at Case B asserted that if the institution and the researchers wanted to be considered world-class, faculty members must publish in English. Furthermore, the majority of the faculty members interviewed for this study were educated in the US or Europe. This evidence points to the striving of universities to build their prestige by hiring faculty educated abroad. Moreover, with new research requirements, global North characteristics and international norms concerning research are the standards by which Ecuadorian faculty are now evaluated.

In striving universities, the pressures faculty due to a heightened sense of surveillance related particularly to faculty evaluation (Gonzales et al., 2014). "For instance, faculty described the constant sense that they were being monitored, often with measures they did not fully understand or that they did not fully agree with (number of publication, impact rates, or grant funding)" (Gonzales et al., 2014, p. 1109). This sense of surveillance and the feelings of lack of trust it engendered were present in the findings

in Ecuador as well, with faculty members experiencing conflicting priorities that they felt led to the detriment of teaching and students. Institutional striving can make it difficult for faculty to prioritize and commit to different parts of their work due to conflicting messages from leaders about what is important (O'Meara & Bloomgarden, 2011). Findings for this study point to the array of faculty agency within the striving universities of Ecuador. With the focus on research production and faculty evaluation, faculty members are navigating the complex matrix of work expectations by leading or resisting change efforts.

Resource dependency. The control of institutions was used as a discriminator to determine differences in faculty sensemaking of higher education reform in Ecuador. Across three public institutions and two private institutions, faculty members had similar understandings of their role. Resource dependency argues that universities change in order to increase their chances to survive within an environment where resources are scarce (Pfeffer & Salancik, 2003). In light of this, the relationship between public and private universities, especially in relation to access to resources, was minimal across all five cases. All faculty participants spoke of the competition for resources no matter their institutional context. This finding adds a new dimension to the research on resource dependency in higher education in Ecuador

In prior research (see Johnson, 2017), I posited that private universities had better access to financial resources, thus giving them a more competitive edge in hiring and retention of faculty due to better research facilities. The findings from this current study, however, contend that both public and private university faculty are constrained by access to financial resources, particularly in relation to research resources, and thus

privates have little competitive advantage over public institutions. David at Case C, a public university, noted that if he is expected to do more research, he would need to hire more help. He found that the university was unwilling to hire the workers he needed to be successful. In line with this, Martin at Case B, a private university, did not have access to the research facilities or the funding he needed to pursue his research agenda in materials science. Further, the constraint of research resources culminated in institutional decision-making about who received resources. For example, Sara, a faculty member in Tourism, expressed that her research on gender identity in tourism does not receive funding from her institution, only the work she does that is quantitative in focus. Faculty members at all of the universities experienced constraints concerning access to resources, particularly around institutional decision-making related to securing research funding and providing resources to researchers.

University policy implementation. The final research question asked what policies, structures, and practices related to faculty work have been implemented since the start of the reform. In investigating policy changes post-reform, several instances of differences emerged during implementation at the university level. Although university practices have become more centralized and top-down, mapping government directives to departments and faculty to implement the policies at the local level have been disconnected. As Austin and Chapman (2002) pointed out, this disconnect is due to reform policies being better aligned with larger national initiatives than to the cultural and contextual factors of discrete institutions. This gulf between policy rhetoric and reality is a contested space for faculty members and this disconnection creates an implementation gap (Trowler & Knight, 2012).

Findings of this study suggest that faculty are involved in a negotiation of the meaning of the new top-down planned change policies emerging post-reform. Spillane, Reiser, and Reimer (2002) argued that disarticulation in policy development and implementation is common due to top-down policy making. Due to the lack of formalized policies at their institutions related to their new role expectations, faculty have responded by pushing for the development of policies and committees to bridge the institutional implementation gap at the grassroots level. For example, at Case B University, faculty were making sense of increased evaluation by establishing a faculty development institute. Whereas at other institutions, this aspect of evaluation of work has been perceived as bureaucratic paper shuffling, Case B has used faculty evaluation to inform practice and improve the quality of teaching and learning.

Tee (2008) described several challenges with policy implementation: policy rhetoric, implementation, and examination of reality. Often policy rhetoric is more symbolic than actionable, and implementation is affected by the interaction between the government and individual, systems level institutions, and how systems levels understand and view policy (Tee, 2008). Further, the grander and more large-scale the policies, the less successful the implementation (Spillane et al., 2002). Cuban (1998) argued for policies that press for incremental changes, which are more likely to engender positive responses and be implemented. Related to the findings of planned and emergent change discussed previously, faculty members are attempting to bridge the policy implementation gap.

Summary. In summary, the findings have contributed to several key areas in higher education literature. The discussion on planned and emergent change described an

unconscious synthesis that should become more formalized in order to support the sustainability of reform efforts. Within this context, faculty have experienced varying levels of agency to inform policy implementation and bridge the implementation gap. Often agency has been operationalized in response to the increased bureaucratization of faculty work expectations within a striving university system that has few resources and structures to support those expectations. In order to support university striving and the demands for increased research and publication, faculty have had agency in building networks to connect with colleagues internationally and nationally and supporting development of policy at the grassroots level.

However, the intense focus on research and publication has led to the emergence of academic capitalism in Ecuador. Ecuadorian leaders have acknowledged that the hard sciences will support the development of the country and policies developed have been recognized as more suitable for researchers in those fields. Likewise, faculty are constrained by their resources at every institution in the country, thus furthering the conversation around resourced dependency. The focus on publication language and outlets, particularly in English, extended the discussion on university striving. As Ecuadorian institutions race to improve their rankings in the CEAACES categorization framework, policies focused on improving international attention on research are being implemented without engaging faculty members in the discussion.

The Model of Policy Reaction

This study employed the model of policy reaction as a method to view the behavior of organizations and faculty as they respond and react to higher education reform in Ecuador. In Chapter 2, I explored in detail the model of policy reaction that

neests the frameworks of neo-institutionalism, role theory, and sensemaking. To summarize the theory, neo-institutionalism (DiMaggio & Powell, 1983) described the environment of higher education and provided an overarching framework to analyze contemporary reform in Ecuador. Role theory (Biddle, 1986; Katz & Kahn, 1978; E. Thomas & Biddle, 1966) further focused the study and describes the perceptions of faculty members to new role expectations within the neo-institutional environment of Ecuador. At the core of the policy reaction framework used for this study is sensemaking (Kezar, 2013; Kezar & Eckel, 2002; Weick, 1995; Weick et al., 2005), which frames how faculty members are understanding, navigating, and reacting to role expectations. By nesting these theories to create one overall theory, I have devised a new way in which to view institutional sector and discrete organizational reform and how every level—macro, meso, and micro—respond and react to reform. Figure 4 illustrates the connection between the three theories and describes the interaction of the institutional environment to the individual faculty member in reaction to higher education reform. Moreover, the conceptual model also point to the connection between the supranational phenomenon of the knowledge economy and national policy reform (Dale, 2005).

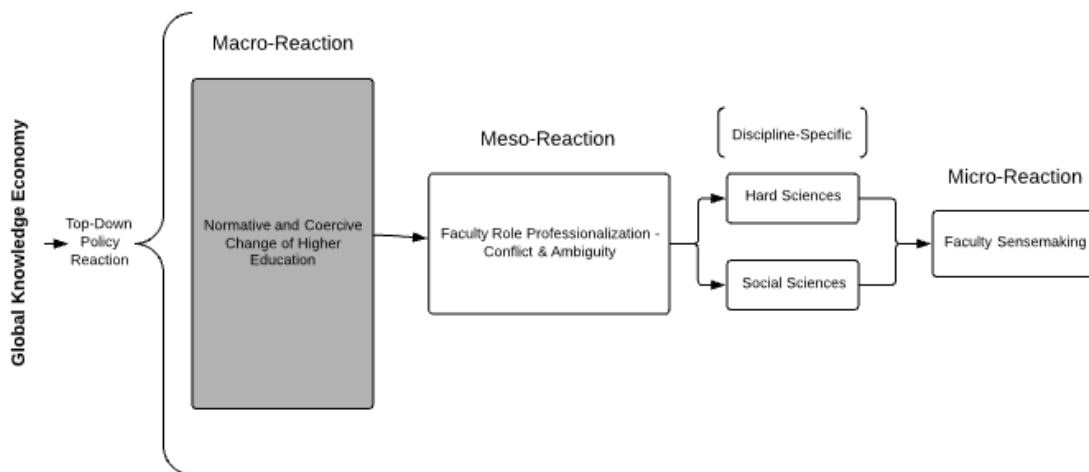


Figure 4. A conceptual model to describe how the macro, meso, and micro elements of higher education in Ecuador react to top-down policy reform.

Macro. Before I can begin discussion on the higher education sector and faculty reactions to national policy reform, it is important to point out that in conjunction with public sector criticism, reform was also impelled by the government’s desire to participate in the global knowledge economy. Ecuador has recognized that improvements and change to the higher education sector will lead to the increased social, technological, and economic development of the country. Through augmented research expectations, publication, and quality assurance mechanisms, the government is responding to a new supranational economy focused on the production of knowledge.

At the macro level of policy reaction, the findings confirm and extend the literature on neo-institutionalism, particularly when considering the institutionalization, legitimization, and isomorphism of the higher education sector in Ecuador. The study revealed the omnipresence of neo-institutionalism in reform efforts, university reactions,

and faculty reactions. Much like Bernasconi's (2006) discussion on the development of higher education in Chile, contemporary Ecuadorian higher education demonstrates components of neo-institutional theory. The findings for this study demonstrate the institutionalization and legitimization of the sector. Suchman (1995) defined legitimacy as "a generalized perception or assumption that the actions of an entity are desirable, proper, or appropriate within some socially constructed system of norms, values, beliefs, and definitions" (p. 574). Legitimization of the sector is demonstrated by the top-down policy making at both the government and institutional levels with increased scrutiny of faculty work and the implementation of new managerial practices.

Moreover, neo-institutionalism focuses on the effects of a set of institutional pressures (laws, rules, procedures, values, beliefs), which may inhibit change and push towards conformity (DiMaggio & Powell 1983). Findings suggest that due to policies and institutional reactions to policies such as accreditation expectations, university typology, and university striving, there are indications of coercive and normative isomorphic change in the higher education sector. Accreditation expectations, as evidenced by CEAACES framework and ranking, have coerced universities and their constituents, like faculty, to perform or be penalized, consistent with the findings of previous research (Johnson, 2017).

Further, normative isomorphism drove the professionalization of academic staff in Ecuador. Moving away from "taxi teachers"—adjunct faculty with little institutional decision-making or involvement—to full-time faculty who are expected to serve on organizational and national committees, publish research, provide institutional leadership, and serve the community, is indicative of the standardization of the faculty role

(DiMaggio & Powell, 1983; Rowan & Miskel, 1999). The professionalization and standardization of faculty role demonstrates characteristics of international convergence, policy reform, organizational expectations, and membership expectations (Fowler, 2013).

Meso. The findings on new role expectations of faculty in higher education in Ecuador add to the literature on role theory. Role ambiguity and conflict were prevalent in the findings of this study. For example, faculty members perceived new role expectations such as research and community engagement as detracting from what they considered the real work, educating students. Insight into the uncertainties felt by faculty participants concerning their role expectations indicates a greater need for increased faculty agency in governmental and institutional policy-making. Faculty members have expressed a range of agency at their institutions—from operationalized agency to resistance agency (Gonzales, 2014). Katz and Kahn (1978) determined that ambiguity in role expectations leads to low job satisfaction, increased tension, and low self-confidence in role. Likewise, role conflict, evidenced by the unwillingness to comply with certain role functions, was found in faculty behavior, such as conflict around community engagement, research publication, and evaluation. Conflicting organizational demands and expectations can lead to role conflict, as can the tension between one's own values and organizational demands (Rizzo et al., 1970).

Likewise, Blackmore and Blackwell (2003) pointed to the varying degrees faculty are able and willing to comply with role expectations. I posited that depending on the case university, the degrees to which a faculty member is able or willing to comply would influence role behavior. Yet, the findings of this study found little to no effect of typology, control, or location of institutions on role behavior of faculty. However, a

faculty member's discipline did affect how much they were willing to comply with role expectations.

Overwhelmingly, faculty in the social sciences resisted or led change in their roles more than those in the hard sciences. Perhaps this is due to more international norms in the hard sciences or the greater scientific research network available to faculty members in the hard sciences. Nevertheless, findings support the role theory perspective that an individual's behavior in a specific role is largely shaped by "the demands and rules of others, by their sanctions for his [*sic*] conforming or nonconforming behavior and by the individual's own understanding and conceptions of what his behavior should be" (E. Thomas & Biddle, 1966, p. 4). Faculty members in Ecuador have been shaped by policy reforms that did not include faculty insight in the development phase. Ecuadorian faculty members have been expected to implement policy reforms but have been left to interpret implementation with little guidance.

Micro. Lastly, findings support the micro-level of policy reaction and extend the literature on sensemaking in the university context. Sensemaking manifested itself in how faculty perceived themselves as a transitional generation, preparing the way for future academics in a, hopefully, stable and improved system. In line with Weick's (1995) description of organizations in flux, faculty have created this meaning of their work lives that is fluid. In essence, faculty members are *becoming* the role as their organizations evolve to a greater research focus (Simpson & Carroll, 2008). Faculty members are doing this by defining how they go about their work, as evidenced by the building of ethical research policies. Moreover, women faculty members in the hard

sciences are working to embody science in the country, thus changing the typically male-dominated face of the profession.

Further, and most interestingly, faculty sensemaking of reform to their roles can be said to be heavily informed by their doctoral studies in Europe and the United States. Most faculty participants completed their doctoral degrees in global North countries and referred to ‘how things are done’ in those countries. They found themselves enacting and reenacting past beliefs and patters from those abroad experiences in order to impose order on new experiences (Weick, 1995). Without clear guidelines and processes for their new role expectations, faculty participants have moved from merely playing the role to actively comprehending the role (Maitlis & Christianson, 2014). This role transition has come in the form of faculty devising new strategies and parameters in order to perform new role expectations—building research networks, creating ethical guidelines to perform research, and developing ways for evaluation to inform practice.

Summary. The model of policy reaction describes how Ecuadorian higher education, universities, and faculty members have enacted and reacted to policy reforms, while also recognizing the importance the knowledge economy has played in inciting policy reforms. The sector and discrete organizations have conformed to policy expectation through normative and coercive isomorphism by adhering to normative expectations of how the system should behave. Further, policy changes have re-defined the role of faculty within the institutional sector. New expectations such as increased research and publication and community engagement have caused faculty members to question their roles in Ecuadorian higher education. This questioning has led to increased faculty agency and grassroots efforts to reimagine policy implementation.

Fundamentally, faculty have made sense of themselves and their role as a transitional generation of academics helping to improve a system that has received considerable public sector criticism as a *torre de marfil* (ivory tower).

Implications for Policy, Practice, and Research

The implications of this study's findings are important for higher education policy-makers and future researchers in the developing world. The rapid rate of enforced change of the higher education sector in Ecuador, in addition to little stakeholder engagement in the changes to policy, calls into question the sustainability of reform efforts. Both Cuban (1998) and Spillane et al. (2002) noted that top-down, large-scale policy making engenders negative responses at the "street level" of universities that lessens the success of implementation (Leslie, 1996). Furthermore, the bureaucratization of faculty activities along with increased surveillance has led to faculty fatigue and distrust of the government and university administration, further minimizing the effectiveness and sustainability of the reform. The following subsections describe the implications of this research on future policy, practice, and research.

Policy. Ecuadorian universities and university faculty operate under many government regulations. Regulations related to faculty activities and the evaluation of those activities control how most faculty experience their work. However, without those grand-scale policies and regulations, public sector criticism of the disarticulation of the university sector and faculty work would continue to be called into question. Under previous circumstances, reform policies that continued to deregulate and decentralize higher education would have had undesirable consequences.

To become most effective, however, centralized policy-making should garner faculty buy-in in the reform process. This buy-in translates to building a more cogent synthesis of planned and emergent change. By removing the expert in higher education, specifically the faculty member, the government policy actors have blinded one of their eyes to the effectiveness of reform. This means that national policy makers have not used all the resources and expertise available to them. Faculty are the vehicles for change in the university. Faculty members who feel a sense of helplessness around enforced change and who have had little buy-in in the policy-making process will affect the sustainability of reform efforts. Resistance to change happens at the policy implementation level, and faculty members can ultimately make or break reform efforts (Fowler, 2013). As it stands, government policy makers are under the mistaken impression that faculty are empty vessels that simply consume and conform to policies (Gonzales & Rincones, 2011). By ensuring that faculty members are on national committees and universities develop institutional faculty committees for policy-making, the gap between policy rhetoric and reality will decrease.

Practice. At the institutional level, faculty members and institutional leaders have been given a great responsibility to ensure the survival of policy reforms. However, due to the speed of reform and the controlled-nature of policy delivery, both leaders and faculty members are experiencing various levels of agency in the implementation process. Too often, faculty and university administration have been looking up at the government for policy and not to each other. The implications of the findings of this study have informed the following recommendations for both faculty members and university administrative leaders:

- Faculty members and institutional leaders meet regularly with one another and have open, honest, and formal communication. Town hall meetings and faculty senates would help support policy-making at the systems level
- Minutes of meetings are kept and made available to university stakeholders on the university website
- Transparent policy-making at the systems level takes place between faculty and administration
- Faculty members and university leaders analyze complex processes and work to lessen the bureaucratic load on faculty members
- Faculty members and administration set reasonable goals and timeframes together for institutional policy development and implementation

The concept of shared governance, like in the US (Kezar, 2004), does not exist in Ecuadorian higher education; however, for reform initiatives to continue, faculty do need to be more heavily involved in the decision-making. This could take the shape of greater faculty involvement in governance or larger institutional committees established to represent faculty interests. Faculty participants in this study used the word ‘authorities’ too often in a pejorative sense, indicating that there exists a great divide between administration and faculty. By implementing these recommendations, the feelings of disenfranchisement by faculty toward policy development will lessen and increase faculty stakeholder engagement in the university. As faculty members become empowered by their institutions, the sustainability of the much-needed reform efforts will enhance.

Research. The purpose of this study was to contribute to an understanding of how faculty make sense of top-down reform efforts in Ecuador. During the process of fieldwork and data analysis, several other areas for research emerged. Due to the focus on participants having a doctoral degree, research on faculty with master's degrees may further elucidate the effect of the reform on faculty work. There is no literature on this population of Ecuadorian faculty and due to the overwhelming focus on faculty with doctorates in higher education policy, thus the impact of reforms on these faculty members is an important aspect in the discussion of reform. Moreover, research on those faculty members who are *tiempo parcial*, or adjunct, would further expose faculty sensemaking of higher education reform. Little is known about either of these populations of faculty and would contribute to research that exists in the field in Latin American higher education.

Further, this research study selected cases that were highly ranked in the CEAACES categorization. Research on institutions ranked below a B might also illustrate a different type of faculty sensemaking. Because I was unable to penetrate universities located in the Amazon region of the country, future research on higher education located outside of the more populous regions of the Sierra and Costa would be beneficial. Lastly, research on government officials involved with higher education reform is recommended. Shedding light on where their policy initiatives came from and history on who influenced reform efforts beyond Correa would elucidate the field of reform in the country. Likewise, this type of research will provide a better understanding of international convergence and global North influence on reform to the sector and faculty roles.

Conclusion

This study strove to contribute to the literature on higher education reform in Latin American by describing reform in Ecuador and filling the gap in the literature on the transformation of the professoriate in the region. Fundamentally, higher education reform efforts in Ecuador since 2007 have created a contested space for faculty members. Uncertainty around work expectations and university policies and fatigue from over-evaluation has shed light on the utility of faculty voice in policy-making which in turn impacts the sustainability of university system reform. Historical hindrances to education reform become stronger and more persistent when stakeholder interests are not taken into consideration.

The findings of this study reveal that educators understand that even though reform efforts impacting their roles have their drawbacks, the gains outweigh the shortcomings. Overall, faculty supported the reform efforts, especially those that professionalized their role and put them more within international industry standard. The participants built international and national networks to respond to expectations around research, they led grassroots efforts to improve their practice, and maintained loyalty to their universities while these institutions strove to rise in national rankings. Further, the participants embraced the understanding that they might not see the fruits of their efforts, yet continued in their efforts in the hope that faculty of future Ecuadorian higher education would have a stable and improved system within to work

In conclusion, Villavicencio (2013), a professor in Ecuador, stated the following about reform efforts in the country:

Este sentido de urgencia está conduciendo a ignorar los ritmos de procesos orgánicos, de evolución, que emergen y que por consiguiente, no siempre pueden ser impuestos y controlados desde arriba.

This sense of urgency is leading to ignoring the rhythms of organic processes, of evolution, that emerge and that consequently, cannot always be imposed and controlled from above. (p. 2)

It is with this in mind that this study shone a light on the disarticulation between policy development and policy implementation, calling for a greater synergy between top-down and bottom-up reform in Ecuador. The findings of this research contribute to the discussion around faculty roles in a developing system. Moreover, the findings provided evidence of the intense bureaucratization of faculty role and added a new dimension to previous research (Johnson, 2017) on resource dependency in public and private universities in the country. This study is the basis for future analyses and explanations for the success or failure of higher education reform in the country and the important role faculty must have in the development of the system.

Appendix A

List of Universities by Institutional Type, Control of Institutions, Location of Institution, and Geographical Location

No.	University	Institutional type	Control of institution	Location of institution	Geographical region
1	Escuela Politécnica Nacional (EPN)	Teaching- research	Public	Urban	Quito, Sierra
2	Escuela Superior Politécnica del Litoral (ESPOL)	Teaching- research	Public	Urban	Guayaquil, Costa
3	Universidad San Francisco de Quito (USFQ)	Teaching- research	Private	Urban	Cumbaya, Quito, Sierra
4	Universidad de Cuenca	Teaching	Public	Urban	Cuenca, Sierra
5	Universidad de las Fuerzas Armadas (ESPE)	Teaching	Public	Rural	Sangolquí, Sierra
6	Universidad de Especialidades Espíritu Santo (UEES)	Teaching	Private	Urban	Samborondon, Guayaquil, Costa
7	Escuela Superior Politécnica de Chimborazo (ESPOCH)	Teaching	Public	Urban	Riobamba, Sierra
8	Pontificia Universidad Católica del Ecuador (PUCE)	Teaching	Private- cofinanced	Urban	Quito, Sierra
9	Universidad Casa Grande	Teaching	Private	Urban	Guayaquil, Costa

10	Universidad Católica del Ecuador	Teaching	Public	Urban	Guayaquil, Costa
11	Universidad Central del Ecuador	Teaching	Public	Urban	Quito, Sierra
12	Universidad del Azuay (UDA)	Teaching	Private-cofinanced	Urban	Cuenca, Sierra
13	Universidad Estatal de Milagro (UNEMI)	Teaching	Public	Rural	Milagro, Costa
14	Universidad Nacional de Loja	Teaching	Public	Urban	Loja, Costa
15	Universidad Particular Internacional SEK (UISEK)	Teaching	Private	Urban	Quito, Sierra
16	Universidad Politécnica Salesiana (UPS)	Teaching	Private-cofinanced	Urban	Quito, Sierra
17	Universidad Técnica de Ambato (UTA)	Teaching	Public	Urban	Ambato, Sierra
18	Universidad Técnica del Norte (UTN)	Teaching	Public	Urban	Ibarra, Sierra
19	Universidad Técnica Estatal de Quevedo	Teaching	Public	Urban	Quevedo, Sierra
20	Universidad Técnica Particular de Loja	Teaching	Private-cofinanced	Urban	Loja, Costa

21	Universidad Tecnológica Empresarial de Guayaquil (UTEG)	Teaching	Private	Urban	Guayaquil, Costa
22	Universidad Tecnológica Equinoccial (UTE)	Teaching	Private-cofinanced	Urban	Quito, Sierra
23	Universidad Indoamérica	Teaching	Private	Urban	Quito, Sierra
24	Universidad de los Hemisferios	Teaching	Private	Urban	Quito, Sierra
25	Universidad Estatal Amazónica	Teaching	Public	Rural	Puyo, Oriente
26	Universidad Politécnica Estatal del Carchi (UPEC)	Teaching	Public	Rural	Tulcán, Sierra
27	Universidad Iberoamericana del Ecuador (UNIBE)	Teaching	Private	Urban	Quito, Sierra
28	Universidad Técnica de Manabí (UTM)	Teaching	Public	Urban	Portoviejo, Costa
29	Universidad de las Américas (UDLA)	Teaching	Private	Urban	Quito, Sierra
30	Universidad Internacional del Ecuador (UIDE)	Teaching	Private	Urban	Quito, Sierra
31	Universidad de Guayaquil	Teaching	Public	Urban	Guayaquil, Costa
32	Universidad Técnica de	Teaching	Public	Urban	Machala, Costa

	Machala (UTMACH)				
33	Escuela Superior Politécnica Agropecuaria de Manabí (ESPAM)	Teaching	Public	Rural	Calceta, Costa
34	Universidad de Especialidades Turísticas (UDET)	Teaching	Private	Urban	Quito, Sierra
35	Universidad del Pacífico	Teaching	Private	Urban	Guayaquil, Costa
36	Universidad Estatal de Bolívar (UEB)	Teaching	Public	Rural	Guaranda, Sierra
37	Universidad Laica Vicente Rocafuerte de Guayaquil (ULVR)	Teaching	Private- cofinanced	Urban	Guayaquil, Costa
38	Universidad Metropolitana (UMET)	Teaching	Private	Urban	Guayaquil, Costa
39	Universidad Nacional del Chimborazo (UNACH)	Teaching	Public	Urban	Chimborazo, Sierra
40	Universidad Regional Autónoma de los Andes (UNIANDES)	Teaching	Private	Urban	Eight campuses in the Sierra, Costa, and Oriente
41	Universidad Técnica de Babahoyo (UTB)	Teaching	Private	Rural	Babahoyo, Costa
42	Universidad Tecnológica Israel (UTI)	Teaching	Private	Urban	Quito, Sierra

43	Universidad Estatal Peninsula de Santa Elena (UPSE)	Teaching	Public	Rural	Santa Elena, Costa
44	Universidad Particular San Gregoria de Portoviejo	Teaching	Private	Urban	Portoviejo, Costa
45	Universidad Tecnológica ECOTEC (ECOTEC)	Teaching	Private	Urban	Guayaquil, Costa
	Universidad Tecnológica de Cotopaxi (UTC)	Teaching	Private	Rural	Latacunga, Sierra
46	Universidad Estatal del Sur de Manabí (UNESUM)	Teaching	Public	Rural	Jipijapa, Costa
47	Universidad de Otavalo	Teaching	Private	Urban	Otavalo, Sierra
48	Universidad Agraria del Ecuador (UAE)	Teaching	Public	Urban	Guayaquil, Costa
49	Universidad Laica Eloy Alfaro de Manabí (LEAM)	Teaching	Public	Urban	Manta, Costa
50	Universidad Técnica Luis Vargas Torres de Esmeraldas (UTE)	Teaching	Public	Urban	Esmeraldas, Costa
51	Universidad Católica de Cuenca	Teaching	Private	Urban	Cuenca, Sierra
52	Universidad Católica Santiago de Guayaquil (UCSG)	Teaching	Private	Urban	Guayaquil, Costa

Note. Not included in this list are post-graduate universities, *universidades emblemáticas* (new national universities), or foreign universities with campuses in Ecuador.

Appendix B

Email Request for Participation

Email: Interview Request

Dear Professor _____:

I am a doctoral candidate at The College of William & Mary and I would like to request the opportunity to interview you for my dissertation research. I am researching your experiences and perceptions of your role as a faculty member under higher education reform policies since 2007. If you have a doctorate, have worked at your current institution for three years or more, and are Ecuadorian, please consider contacting me to participate in this timely and important research.

This research study is qualitative in nature and the methodology employed is case study. The unit of analysis will be your perceptions of your work and role in today's university in Ecuador. The interview should take no more than 30-60 minutes and will be audio recorded. This research has been exempted from IRB oversight (EDIRC xxxxx-majohnson06). Your participation in this research is completely voluntary and all information will be anonymous and confidential.

Questions or concerns regarding participation in this research should be directed to: Amanda Johnson, PI of the research, at (001-540-520-1538) or majohnson06@email.wm.edu.

I hope to hear from you and hope you will be willing to lend your voice to the academic literature.

Sincerely,

Amanda Johnson
PhD candidate
The College of William & Mary
Majohnson06@email.wm.edu

Spanish Version

Email Request for Participation

Estimado Profesor/a _____:

Soy un candidato doctoral en la Universidad de William y Mary y me gustaría solicitar la oportunidad de entrevistarla para mi investigación de tesis doctoral. Estoy investigando sus experiencias y percepciones de su papel como miembro de la facultad bajo las políticas de reforma de la educación superior desde 2007. Si tiene un doctorado, ha trabajado en su institución actual por tres años o más y es ecuatoriano, por favor considere ponerse en contacto conmigo para participar en esta oportuna e importante investigación.

Este estudio de investigación es de naturaleza cualitativa y la metodología empleada es un estudio de caso. La unidad de análisis será su percepción de su trabajo y rol en la universidad de hoy en Ecuador. La entrevista no debe tomar más de 30-60 minutos y se grabará audio. Esta investigación ha sido eximida de la supervisión del IRB (EDIRC xxxxx-majohnson06). Su participación en esta investigación es totalmente voluntaria y toda la información será anónima y confidencial.

Las preguntas o preocupaciones relacionadas con la participación en esta investigación deben dirigirse a: Amanda Johnson, IP de la investigación, al (001-540-520-1538) o majohnson06@email.wm.edu.

Espero oír de usted y espero que usted esté dispuesto a prestar su voz a la literatura académica.

Atentamente,

Amanda Johnson
Candidato de PhD
La Universidad de William y Mary
Majohnson06@email.wm.edu

Appendix C

Interview Protocol for Faculty

Interview Protocol: The Influence of Higher Education Reform in Ecuador on the Role of Faculty: A Cross-Case Comparison

Date of Interview

Place of Interview:

Institutional Type	Control of Institution	Location of Institution

Name of Interviewee:

Position of Interviewee:

Discipline of Interviewee:

Each participant will be asked to furnish his/her *hoja de vida* (CV) for this interview.

Project: This study seeks to understand the ways faculty at universities in Ecuador define their roles and work as well as how they experience their careers over time. Specifically, I am interested in understanding how the contemporary reform of higher education under Correa has influenced faculty work. Further, I am interested in how your institution has responded to the reforms as they relate to faculty work.

Interview Questions:

Faculty Role

1. Please tell me about your background and your path to becoming a faculty member.

Probe a. What motivated you to become a professor?

Probe b. Why did you choose your current institution?

2. Describe a typical week at work.

Probe a. Teaching: in terms of time, content, students, preparation, class size

Probe b. Advising: in terms of time, content, students, preparation, projects

Probe c. Research: in terms of time, focus, commitment, publications, pressure, funding, facilities

Probe d. Administration: in terms of time, focus, commitment, reporting structure

Probe c. Engagement: in terms of time, focus, commitment, and approval

3. Tell me how you prioritize your work?

Probe a. What are some strategies you use to find balance?

Probe b. What do you see others using or doing?

4. What does it mean to be a professor in Ecuador today?

Institutional Roles

5. Describe your interactions with colleagues?

Probe a. Have they changed over time?

Probe b. How do you see/understand competition?

Probe c. How are you evaluated? By whom?

6. Are you clear about what's expected of you at your institution?

Probe a. If not, why do you think this is?

Probe b. Can you give me some examples of areas where you are unclear?

Probe c. What about the expectations of research, teaching, and administration?

Probe d. What about attitudinal, behavioral, and interpersonal expectations?

Probe e. Do you receive regular evaluations of your work from superiors?

Reform

7. Can you describe for me the key changes to your work that you have seen since Correa's reform efforts have been put in place in 2007?

Probe a. How have these changes affected your interaction with your work?

Probe b. How have these changes affected your interactions with students, colleagues, and administration?

Probe c. In terms of interactions with faculty at other institutions?

Probe d. In terms of governmental agencies who govern or hold accountable higher education (SENESCYT, CEAACES, CES)?

8. What advice would you give university administration, other faculty, and Ecuadorian higher education policy makers in an effort to improve your ability to do your work and to improve higher education as a whole?

9. This interview is an opportunity for you to share your insight into how the reforms in Ecuador have impacted your work. Is there something I missed?

Probe a. What are some of the challenges of reform?

Probe b. What has been some benefits due to the reform?

Appendix D

Protocolo de la Entrevista de Profesor/Profesora

Tema de Protocolo: La Influencia de la Reforma de la Educación Superior en Ecuador sobre el Papel de la Facultad: Una Comparación entre Casos

Cada entrevistado completara su propia hoja de vida (CV) para esta entrevista.

Proyecto: Este estudio busca entender la manera en que el profesorado universitario en Ecuador define su rol y trabajo, y como ellos perciben sus carreras a través del tiempo. Específicamente, estoy interesada en entender como la reforma contemporánea de educación superior bajo Correa ha influenciado el trabajo del profesorado. Además, estoy interesada en como su institución ha respondido a las reformas y como han influenciado el trabajo del profesorado.

Preguntas de la Entrevista:

1. Por favor, infórmese sobre su experiencia y cómo llegó a ser miembro del profesorado
 - a. ¿Qué lo motivó a convertirse en profesor?
 - b. ¿Por qué escogió la presente institución?
2. Describa una semana típica en su trabajo.
 - a. Enseñanza: en términos de tiempo, contenido, estudiantes, preparación, tamaño de la clase.
 - b. Consejería: en términos de tiempo, contenido, preparación y proyectos.
 - c. Investigación: en términos de tiempo, enfoque, compromiso, publicaciones, presión, financiamiento, instalaciones.
 - d. Administración: en términos de tiempo, enfoque, compromiso, estructura organizacional.

e. Vinculación: en términos de tiempo, enfoque, compromiso, aprobación.

3. Dígame ¿cómo prioriza su trabajo?

a. ¿Cuáles son algunas de las estrategias que usa para encontrar balance?

b. ¿Qué observa que otros hacen o usan?

4. ¿Qué significa hoy ser un profesor en Ecuador?

Roles institucionales

5. Describa sus interacciones con sus colegas.

a. ¿Han cambiado con el tiempo?

b. ¿Cómo usted ve o entiende a la competencia

c. ¿Cómo es usted evaluado? ¿Por quién?

6. ¿Tiene en claro que se espera de usted en su institución?

a. Si no, ¿Por qué piensa esto?

b. ¿Puede darme algunos ejemplos en áreas donde esto no sea claro?

c. ¿Qué tal acerca de las expectativas en investigación, enseñanza y administración?

d. ¿Qué tal acerca de las expectativas en cuanto a relaciones interpersonales, actitud y comportamiento?

e. ¿Recibe evaluaciones regulares de su trabajo de los superiores?

Reforma

7. ¿Cómo describiría los cambios claves en su trabajo que ha encontrado desde que se pusieron en práctica las reformas de Correa?

a. ¿Cómo estos cambios han afectado su interacción con su trabajo?

- b. ¿Cómo estos cambios han afectado sus interacciones con estudiantes, colegas, y administración?
 - c. ¿En términos de interacciones con profesores de otras instituciones?
 - d. ¿En términos de agencias de gobierno que rigen la educación superior (SENESCYT, CEAACES, CES)?
8. ¿Qué consejo le daría a la administración de la universidad, a otros profesores, y a los creadores de la normas de educación superior de Ecuador en un esfuerzo para mejorar su trabajo y la educación superior en general?
9. Esta entrevista es una oportunidad para que usted comparta su punto de vista en como las reformas en Ecuador han impactado su trabajo. ¿Hay algo más que usted quisiera añadir?
- a. ¿Cuáles son algunos de los desafíos de la reforma?
 - b. ¿Cuáles son algunos de los beneficios de la reforma?

Appendix E

Participant Informed Consent

Protocol # EDIRC-2017-xxxxx-majohnson06

Title: The Influence of Higher Education Reform in Ecuador on the Role of Faculty: A Cross-Case Comparison

Principal Investigator: M. Amanda Johnson

This is to certify that I, _____ have been given the following information with respect to my participation in this study:

1. Purpose of the research: To explore faculty perceptions and sensemaking of their roles under national higher education reform policies over the last decade.
2. Procedure to be followed: As a participant in this study, Ms. Johnson will be interviewing you to explore how you navigate the expectations of your role under Correa's reform of higher education. The interview will be voice recorded.
3. Discomforts and risks: There are no known risks associated with this research.
4. Duration of participation: Participation in this study will take approximately 1 hour.
5. Statement of confidentiality: Your data will be anonymous. Your data will not be associated with your name or any code so that your responses can not be linked to your name in any way.
6. Voluntary participation: Participation is voluntary. You are free to withdraw at any time without penalty or loss of benefits. You may choose to skip any question or activity.
7. Incentive for participation: Participants will not be compensated for their participation.

8. Potential benefits: There are no known benefits of participating in the study. However, your participation in this research will contribute to the development of our understanding about the nature of the study.

9. Termination of participation: Participation may be terminated by the researcher if it is deemed that the participant is unable to perform the tasks presented.

10. Questions or concerns regarding participation in this research should be directed to: Dr. Tom Ward, chair of the Education Internal Review Committee (EDIRC), at 001-757-221-2358 (EDIRC-L@wm.edu).

I am aware that I must be at least 18 years of age to participate in this project.

I am aware that I may report dissatisfactions with any aspect of this study to Dr. Ray McCoy, Ph.D., the Chair of the Protection of Human Subjects Committee by telephone (001-757-221-2783) or email (rwmcco@wm.edu).

I agree to participate in this study and have read all the information provided on this form. My signature below confirms that my participation in this project is voluntary, and that I have received a copy of this consent form.

_____ date _____

Signature

_____ date _____

Witness

THIS PROJECT WAS APPROVED BY THE COLLEGE OF WILLIAM AND MARY
PROTECTION OF HUMAN SUBJECTS COMMITTEE (Phone: 757-221-3966) ON
[2017-XXXX] AND EXPIRES ON [2017-XXXX]

Spanish Version

Consentimiento Informado del Participante

Protocolo # EDIRC-2017-xxxxx-majohnson06

Título: La Influencia de la Reforma de la Educación Superior en Ecuador sobre el Papel de la Facultad: Una Comparación entre Casos

Investigador principal: M. Amanda Johnson

Esto es para certificar que, _____ se me ha dado la siguiente información con respecto a mi participación en este estudio:

1. Propósito de la investigación: Explorar las percepciones de los profesores y la creación de sentido de sus papeles en las políticas nacionales de reforma de la educación superior durante la última década.
2. Procedimiento a seguir: Como participante en este estudio, la Sra. Johnson Ser entrevistado para explorar cómo navega las expectativas de su papel en virtud de la reforma de Correa de la educación superior. La entrevista será grabada por voz.
3. Molestias y riesgos: No hay riesgos conocidos asociados con esta investigación.
4. Duración de la participación: La participación en este estudio tomará aproximadamente 1 hora.
5. Declaración de confidencialidad: Sus datos serán anónimos. Sus datos no se asociarán con su nombre ni con ningún código para que sus respuestas no puedan estar vinculadas a su nombre de ninguna manera.
6. Participación voluntaria: La participación es voluntaria. Usted es libre de retirarse en cualquier momento sin penalización o pérdida de beneficios. Puede omitir cualquier pregunta o actividad.

7. Incentivo a la participación: Los participantes no serán compensados por su participación.
8. Beneficios potenciales: No hay beneficios conocidos de participar en el estudio. Sin embargo, su participación en esta investigación contribuirá al desarrollo de nuestra comprensión sobre la naturaleza del estudio.
9. Terminación de la participación: La participación puede ser terminada por la investigadora si se considera que el participante no puede realizar las tareas presentadas.
10. Las preguntas o preocupaciones relacionadas con la participación en esta investigación deben dirigirse a: Dr. Tom Ward, presidente del Comité de Revisión Interna de Educación (EDIRC), al 001-757-221-2358 (EDIRC-L@wm.edu).

Soy consciente de que debo tener por lo menos 18 años de edad para participar en este proyecto.

Soy consciente de que puedo reportar insatisfacciones con cualquier aspecto de este estudio al Dr. Ray McCoy, Ph.D., el Director del Comité de Protección de Temas Humanos por teléfono (001-757-221-2783) o por correo electrónico (rwmcco@wm.edu).

Acepto participar en este estudio y he leído toda la información proporcionada en este formulario. Mi firma abajo confirma que mi participación en este proyecto es voluntaria, y que he recibido una copia de este formulario de consentimiento.

_____ fecha _____

Firma

_____ fecha _____

Testigo

ESTE PROYECTO ES APROBADO POR LA UNIVERSIDAD DE WILLIAM Y
MARÍA COMITÉ DE PROTECCIÓN DE LOS SUJETOS HUMANOS (Teléfono: 757-
221-3966) ON [2017-XXXX] AND EXPIRES ON [2017-XXXX]

Appendix F

Auditor Informed Consent

Protocol # EDIRC-2017-xxxxx-majohnson06

Title: The Influence of Higher Education Reform in Ecuador on the Role of Faculty: A Cross-Case Comparison

Principal Investigator: M. Amanda Johnson

This is to certify that I, _____ have been given the following information with respect to my participation in this study:

1. Purpose of the research: To explore faculty perceptions and sensemaking of their roles under national higher education reform policies over the last decade.
2. Procedure to be followed: As the auditor of the researcher's audit trail for this study, Ms. Johnson request that you keep all documents and conversations for her study confidential.
3. Discomforts and risks: There are no known risks associated with this research.
4. Duration of participation: As the auditor, your participation in this study will take no more than one month.
5. Statement of confidentiality: You will keep all data generated from this study confidential.
6. Voluntary participation: Participation is voluntary. You are free to withdraw at any time without penalty or loss of benefits. You may choose to skip any activity.
7. Incentive for participation: Participants will not be compensated for their participation.
8. Potential benefits: There are no known benefits of participating in the study.

9. Termination of participation: Participation may be terminated by the researcher if it is deemed that the auditor is unable to perform the tasks presented.

10. Questions or concerns regarding participation in this research should be directed to: Dr. Tom Ward, chair of the Education Internal Review Committee (EDIRC), at 001-757-221-2358 (EDIRC-L@wm.edu).

I am aware that I must be at least 18 years of age to participate in this project.

I am aware that I may report dissatisfactions with any aspect of this study to Dr. Ray McCoy, Ph.D., the Chair of the Protection of Human Subjects Committee by telephone (001-757-221-2783) or email (rwmcco@wm.edu).

I agree to act as the auditor for this study and have read all the information provided on this form. My signature below confirms that my participation in this project is voluntary, and that I have received a copy of this consent form.

_____ date _____

Signature

_____ date _____

Witness

THIS PROJECT WAS APPROVED BY THE COLLEGE OF WILLIAM AND MARY
PROTECTION OF HUMAN SUBJECTS COMMITTEE (Phone: 757-221-3966) ON
[2017-XXXX] AND EXPIRES ON [2017-XXXX]

Appendix G

Translator Informed Consent

Protocol # EDIRC-2017-xxxxx-majohnson06

Title: The Influence of Higher Education Reform in Ecuador on the Role of Faculty: A Cross-Case Comparison

Principal Investigator: M. Amanda Johnson

This is to certify that I, _____ have been given the following information with respect to my participation in this study:

1. Purpose of the research: To explore faculty perceptions and sensemaking of their roles under national higher education reform policies over the last decade.
2. Procedure to be followed: As the translator of data generated for this study, Ms. Johnson requests you keep all documents and conversations for her study confidential.
3. Discomforts and risks: There are no known risks associated with this research.
4. Duration of participation: As the translator, your participation in this study will take no more than one month.
5. Statement of confidentiality: You will keep all data generated from this study confidential.
6. Voluntary participation: Participation is voluntary. You are free to withdraw at any time without penalty or loss of benefits. You may choose to skip any activity.
7. Incentive for participation: The translator will be compensated for his/her translation of interviews.
8. Potential benefits: There are no known benefits of participating in the study.

9. Termination of participation: Participation may be terminated by the researcher if it is deemed that the translator is unable to perform the tasks presented.

10. Questions or concerns regarding participation in this research should be directed to: Dr. Tom Ward, chair of the Education Internal Review Committee (EDIRC), at 001-757-221-2358 (EDIRC-L@wm.edu).

I am aware that I must be at least 18 years of age to participate in this project.

I am aware that I may report dissatisfactions with any aspect of this study to Dr. Ray McCoy, Ph.D., the Chair of the Protection of Human Subjects Committee by telephone (001-757-221-2783) or email (rwmcco@wm.edu).

I agree to act as the translator for this study and have read all the information provided on this form. My signature below confirms that my participation in this project is voluntary, and that I have received a copy of this consent form.

_____ date _____

Signature

_____ date _____

Witness

THIS PROJECT WAS APPROVED BY THE COLLEGE OF WILLIAM AND MARY
PROTECTION OF HUMAN SUBJECTS COMMITTEE (Phone: 757-221-3966) ON
[2017-XXXX] AND EXPIRES ON [2017-XXXX]

Appendix H

Matrix of Research Questions, Interview Questions, and Field Notes with Literature

		Research Questions					Literature
		R1	R1A	R1B	R1C	R2	
Interview Questions	Q1	X	X	X	X	X	Neo-institutionalism (NI) – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) Role Theory (RT) – Biddle (1986), Katz & Kahn (1978)
	Q2	X	X	X	X	X	RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966)
	Q3	X				X	RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Rizzo, House, & Lirtzman, (1970), Thomas & Biddle (1966) Sensemaking (SM) – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick, Sutcliffe, and Obstfeld (2005)
	Q4	X				X	RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Q5	X	X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001), Tolbert & Zucker (1983) RT – Blackmore & Blackwell (2003), Katz & Kahn (1978) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Q6					X	RT - Blackmore & Blackwell (2003), Katz & Kahn (1978), Rizzo, House, & Lirtzman, (1970)

							SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Q7	X	X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) Role Theory (RT) – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978)
	Q8	X	X	X	X	X	RT - Blackmore & Blackwell (2003), Katz & Kahn (1978), Rizzo, House, & Lirtzman, (1970)
	Q9	X					NI – DiMaggio & Powell (1983) RT – Blackmore & Blackwell (2003), Katz & Kahn (1978), Rizzo, House, & Lirtzman, (1970) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
Field Notes	Engaging	X	X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Teaching	X	X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)

	Researching	X	X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Advising	X	X	X	X	X	RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)
	Managing		X	X	X	X	NI – DiMaggio & Powell (1983), Jepperson (1991), Scott (2001, 2008) RT – Biddle (1986), Blackmore & Blackwell (2003), Katz & Kahn (1978), Thomas & Biddle (1966) SM – Kezar (2013), Kezar & Eckel (2002), Weick (1995), Weick et al. (2005)

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