AUTONOMY AND ADAPTATION AMONG SENIOR UNIT-LEVEL LEADERS IN

PUBLIC BUSINESS SCHOOLS

by

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(Under the Direction of JAMES C. HEARN)

ABSTRACT

Organizational work roles and structures of public universities are increasingly being studied for their effectiveness and support of the overall organization mission. This thesis examines senior unit-level leaders, and their associated levels of autonomy, within schools of business in public universities. Two school settings were studied through a review of their available marketing materials and industry association data, leading MBA media surveys and in-depth interviews with the senior unit-level leaders. This investigation of factors that affect decision-making, work control, reporting structures, and personal motivation suggests that an understanding of the context and internal and external environments is paramount to determining effectiveness. The study also finds that there are unique differences in autonomy between three work statuses of senior unit-level leaders: faculty, administrators and faculty administrators. These work roles are not necessarily assigned discrete levels of autonomy, rather their incumbents adapt and shape

their influence and work control through and because of their work status. Academic

freedom and shared academic governance, in terms of autonomy, are also examined.

INDEX WORDS: Adaptation, Autonomy, Authority, Business school, Decision-making, Loose coupling, Middle management, Senior leader, Unit-level leader

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DEDICATION

To Mom and Dad. This is because of you and for you. I miss you.

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CHAPTER 1

INTRODUCTION

As the higher education industry has continued on its path of 'massification'

(Weisbrod, et al., 2008) and global extension, the traditional United States (US) public

research university has had to keep pace with record intensity. The global

competitiveness meter rests at high and all institutions are chasing the university dream

of limitless resources, high rankings, research greatness and community embracement.

As Clark Kerr stated, '"a really international world of learning, highly competitive, is

emerging" (as cited in Clark, 2001, pg. 11). This gradual emergence has lead to varied

university reactions and, in tandem, a new set of organizational structures and models of

reference ranging from maintenance of the status quo to isomorphism to

entrepreneurialism.

Of course, these reactions are not a new set of phenomena. They are gradual and

cumulative, representing the nature of a higher education institution's existing

complexities and norms, coined as the "multiversity" by Clark Kerr (1963). As Kerr's

theoretical consideration is described, a multiversity is "an outward-expanding institution

that touches the lives of all citizens and is far removed from the cloistered community of

scholars" (Schevitz, 2003, p. A-1). What once was a collection of unified scholars and

teachers, is now a reflection of the varied and diverse schools and programs, all acting in

their best interest and for their own purposes. As if in a pendulum-like swing,

universities are now looking forward leveraging their historic holistic perspectives.   The

current, advanced competitive circumstances have lead public universities to focus on traditionally corporate strategic management issues such as analyzing the external market, economic forecasting and resource planning.

In the emerging "Postsecondary Knowledge Industry" since 1995, Peterson (2007) posits that environmental pressures such as diversity, telematics and resource constraints lead to more entrepreneurial models of structural organization. It is not so much that there is a set of planned entrepreneurial activities laid out and followed, but more that there is an evolved mindset towards those ends. In other words, the entrepreneurial mindset is one that may evolve when an institution is faced with constraints, financial or otherwise, resulting in new organizational models to accommodate the new entrepreneurial activities. Burton Clark's (2001) label for this phenomenon is "the entrepreneurial response". He stated that this capability has become a growing necessity for universities who want to remain a viable, competitive part of the rapidly emerging international world of learning (Clark, 2001). This activity has even been labeled as the "strategy to position for greater prestige" (Toma, 2008, p. 1). Regardless of the naming convention, these emerging strategies highlight the overall sense of continued change and the imperative to navigate through that change throughout the higher education industry.

The frenetic speed of change and uncertain economic climate also affects how these educational institutions forecast and manage their available resources. As Slaughter and Rhoades (2004) explain in their updated rationale of the theory of academic capitalism, the embodiment of the profit orientation has given rise to a reorganization of higher education institutions such that they can develop, market and commercialize their

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own products, even outside of the traditional bounds of the academe. Again, and in

connection with Kerr's multiversity perspective, there is recognition that as university

missions change and expand, so must their organizational structures and, thereby, their

leaders' abilities to navigate such unchartered waters. The economic vulnerability that

exists, especially as of the "Great Recession of 2008" (Havemann, 2011), further

exacerbates the need for clarity of purpose and the scripting of resource needs. Access

to both public and private funds, flexible and competent human resources and technology

that support the overall institution are top of mind for institutional leaders. Barbara

Kehm (2006) summed it up in this way:

> The need for higher education institutions to develop their individual profile and
> to position themselves in the face of increasing competitiveness as well as the
> increasing power of the institutional departmental leadership level to provide
> structure and shape has lead to a growing acceptance of professional support. (p.
> 2)

The additional growth in staff resources is noteworthy and is a currently discussed

topic in higher education. Not everyone sees the issue in a positive light, however.

Benjamin Ginsberg (2011) recently examined in "The Fall of the Faculty: the Rise of the

All-administrative University and Why It Matters", how the average academic institution

has participated in a documented trend that has reduced academic inputs, such as faculty,

and increased administrative support. He argues that the "general public…has a stake in

the quality of America's colleges and universities, and the question of who controls the

university has a direct and immediate impact on institutional quality" (Ginsberg, 2011,

pg. 3). The reasons for such growth in academic administration, detailed by Ginsberg

(2011), are an increase in demand for administrative services, an increase in compliance

requirements such as legislative mandates and accreditation polices, and an allowance by

the faculty at-large to allow such growth given their preference for non-administrative duties. This contested issue will no doubt remain in the forefront of debate on the accountability and effectiveness of higher education institutions for some time.

The hyper-competitive marketplace within higher education in general provides the background for a more focused discussion on competitiveness in the management education sector, in particular. This study will examine management practices in schools of business in public institutions, with particular attention to market responsiveness. Business schools face intense and growing competition, not only from programs offered by other universities but from research, teaching and executive education offered by an expanding set of providers (Pfeffer & Fong, 2004). Schools of business and commerce have likely been working through the competitive process longer than other sectors of higher education. Pfeffer and Fong explained this perspective in the following way, "the presence of a market-based, economic orientation coupled with conflicting pressures and no strong professional ideology leaves business schools relying on ideas such as competition, growth, and return on investment as they think about their role and strategy" (2004, p. 1510). As Friga, Bettis & Sullivan discuss, "In assessing strategic options for the future, business school leaders must take into account their institutions' existing structure and ability to change" (2003, p. 247). They continue with this line of thinking and put an emphasis on adaptability and making "proper adjustments" in order for the business school, and more importantly, the university to remain relevant (Friga, et al., 2003, p. 247).

Within higher education, business schools seem to see the greatest possibility and pace of dedicating additional organizational resources in many strategic areas. A primary

example of this is reflected in the breakdown of human resources dedicated to the business school and its functions. AACSB data (Appendix A) show, in line with Ginsberg's (2011) assertions, that faculty and staff full time equivalency (FTE) growth from 2005 to 2011 increased by 11.6% and 18%, respectively. Comparing these data to the growth in undergraduate and MBA enrollments of 10.2% and 32.5%, respectively, it is obvious that there is a need to teach and service the growth in student population. Business schools also have the most to lose if they do not respond with speed and relevancy. They are more focused on management techniques and outcomes than other sectors of higher education. As Starkey, et al. posit, "The challenge to business school deans and to the senior managers of universities is one of re-legitimation" (2004, p. 1527). They persist that; "The business school stands at the fault line where the future of the university and the future of society intersect" (Starkey, et al., 2004, p. 1527).

This familiarity of speed in growth and complexity within management education does not automatically equate to management prowess of the institution itself. While the search for the most rigorous operations, maximum efficiencies and desired outcomes never ends, many in the general public and established academic critics hold that business schools should be doing more with their educational products. Recently, business schools have been derided for their seemingly close involvement with the corporate and financial scandals of the 21st century and their failure to design and deliver relevant management education based on practice and teaching of sound business fundamentals (Schiller, 2011; Haynes, 2010; Noer, 2010; Polodny, 2009; Mintzberg, 2004). Some criticism bores deeper into the concern and highlights that the industry measures for business school success actually create the problem. Those measures may "over-

emphasize academic rigor over relevance to practice" (Schiller, 2011, p. 11). As Schiller further explains, "many believe the structures of the business school world feed [that] tendency" (2011, p. 11).

Business school leaders and their institutions have responded to the criticism in varied ways and with mixed success to date. In *Rethinking the MBA: Business Education at a Crossroads*, Datar, Garvin & Cullen (2010) examine the prolific Master of Business Administration (MBA) degree and discuss, positively, how and why many leading business schools are doing more to improve their programs and lead the way in higher education. They state, "our evidence suggests that may of the necessary adaptations, innovations, and reforms have already been pioneered by one or more schools" (Datar, et al., 2010, p. 339). They also readily note that these changes are with limited impact and by only those schools who have the brand reputation to make the hard changes in both curriculum and pedagogy (Datar et al., 2010). They acknowledge, as the aforementioned critics do, that robust change and progress must continue for management education to maintain relevance, but "believe that business schools have already begun to reassert their relevance" (Datar, et al., 2010, p. 11).

Toma (2010) argues in his theory of "Building Organizational Capacity", that higher education leaders typically de-emphasize the administrative foundation required to support their ever-expanding institutional aspirations and accompanying growth. With growth comes added complexity in managing the entire system and its parts. Many leaders have embraced the foundational concepts of entrepreneurialism and injected them into their management constructs in order to deal with such complexity. Ideally, these constructs display a readiness for action and help create a management style that

promotes swift action and decision-making by team members. The amount of discretion allowed and under what circumstances it is yielded to individuals is at the heart of this research. An analysis focused on such probing within management education will lend insights and best practice to the management of higher education in general, as well as to other non-profit sector managers and leaders.

Specifically, this study will focus on the management control and coordination of senior unit-level leaders, with both faculty and non-faculty statuses, within schools of business at large, public research universities. Public universities and their sub-units are more easily compared and contrasted in terms of their accountability and structure. More specifically, they are similar in their state and regional accreditation requirements and funding models and can, therefore, be assumed to have fairly equivalent macro-level controls and operating boundaries. The school or college of business that sits within the larger university is defined as the unit of analysis in this study as it allows for an in-depth look at the positions within the administrative structure of the unit. The term senior unit-level leaders, therefore, refers to the senior leadership of the school of business. For the purposes of this study, the traditional work titles that fall within this definition of leader are Dean, Senior/Associate Dean, Assistant Dean, Department Chair and center or program Director. The term "middle manager" is also referenced within the study, as it is the most common literature reference to this working group of professionals. The term middle manager, however, does not denote the unit focus within this study and is referenced sparingly.

There is currently a lack of literature in higher education on senior unit-level leaders and their behaviors and practices. There is much written and detailed about the

most senior level of management of the entire system or institution, traditionally defined as the president or president's cabinet and, occasionally, the board of directors of the organization. However, it is argued here that the unit-level of management could be argued to be the true ascent of excellence and efficiency within a large, multi-unit university. The unit-level of management is not typically identified, nor labeled, as the main symbols of the institution or college, concerned with the overall reputation and viability of the whole organization. As Mercer articulated in 1997, "Academic leaders have the authority to chart where a college and its programs are headed" (as cited in Rosser, Johnsrud & Heck, 2003, p. 1). In 1992, Towmbly had provided more detail, "By selecting which goals they choose to pursue (and which to forego) deans and directors have the potential to exert a tremendous influence on the direction of the unit (as cited in Rosser, et al., 2003, p. 2).

But how much freedom do these leaders have? Do they truly serve central roles in adaptation? What factors drive them to make decisions, at their department, college or university level? A study of this level of leadership allows for an interesting set of questions around the topic of management autonomy and control. The following research question, and more specific sub-questions, therefore merit research analysis:

What are the critical factors affecting the levels of autonomy of senior unit-level leaders within schools of business in publicly controlled universities?

- *What are the work roles of senior unit-level leaders in these schools (e.g., Deans, Associate or Assistant Deans and Department Chairs) and how are they defined and managed?*

- *Is there a purposeful approach to the allowing (or disallowing) of autonomy by senior unit-level leaders?*

- *How do the natures of the tasks assigned to senior unit-level leaders and the organizational structures chosen influence one another?*

- *Do senior academic and non-academic unit-level leaders differ in their attitudes towards managerial control?*

The broader purpose of this study is to examine the management practices of a business school and expose the extent to which those practices inform other units of higher education institutions for the success of the entire university.

CHAPTER 2

LITERATURE REVIEW

The critical literature informing the thesis includes contributions from analysts on topics such as leadership, organizational theory, strategy, entrepreneurship and innovation. These broad contexts are helpful in framing a larger management schematic within which higher education institutions and their leaders must operate. However, each of these expansive areas of knowledge fill volumes of texts and do not lead to the review of the many factors of the human management dynamic in higher education. Some synthesis for these topics is provided where relevant, but the intent of this research, and the more specific focus of this study, is on senior level management's (as defined above) involvement in the management control and coordination of business schools today.

There are numerous critiqued management themes available for review and inclusion that fit within this study, such as managing human capital, change management, work roles and/or decision modeling. Many of these themes are well researched and are beyond the scope of this study. This study focuses the literature review on autonomy, loose coupling, professional and administrative authority, distributed leadership, and professionalization, as they pertain to management control and coordination. The literature hones in on the structures of management at the operating level, where the leadership strategy is, in theory, implemented. All three constructs also highlight the natural tensions that exist in management control and provide a context for the inherent

push/pull effects. These contextual themes lend background to the study and provide a set of building blocks on which to analyze the findings.

In addition, this paper discusses the small body of literature on middle managers within higher education as a means to further analyze the focus on the unit-level leadership, which is, again, referred to here as senior unit-level leaders. The highest complexity and, therefore, most important coordination occurs at the unit-management levels within organizations of higher education. Middle-management level in this study is defined as the college or school level within a large, research-based university. There are obvious gaps in the literature on mid or unit-level management within higher education as the majority of research focuses on the presidential role or symbolic leader and his cabinet or board. The lack of research means that much is to be learned from better understanding the management successes and challenges of senior unit-level managers, especially in today's constrained resource environment.

This chapter begins with a discussion of a broad theoretical assumption underlying this study. This is the basic premise that organizations can be and are influenced by the decisions and actions of managers, as posited by organizational adaptation models of managerial influence (Cameron, 1984). In this line of thinking, organizations are able to act and influence their environment; they are not at the "mercy of an immutable environment" (Cameron, 1984, p. 127). Logically, then, it follows that individual actors within organizations play an important role in the organization's outcomes, whether those outcomes are successfully defined or not. The actors within this study are the senior managers, those individuals who have unit and team responsibility and/or functional responsibility. Many of these identified managers have ownership and

responsibility for multiple functions, which adds to their management complexity and ideally make the case study outcomes that much more rich.

Loose coupling

The core focus of this study is on the variables of the dependent relationship between individuals of influence within an organization. The concept of loose coupling will be used for this set of descriptions and analysis. In this way, the understanding of the connections between and among managerial elements becomes a key area of concentration. Some of the earliest literature in this area began with a perspective from Glassman (1973) that loose coupling is present when systems have either few variables in common or the variables in common are weak (as cited in Orton & Weick, 1990). However, Glassman's ideas are centered on systems in general, which make them difficult to interpret for organizational descriptions. Karl Weick's (1976) ideas on loosely coupled elements within systems, especially those within higher education, support the organizational literature, even today. His concepts are drawn from a systems perspective in that they rely on definitions and explanations of open and closed systems. The systems are described as having loose or tight linkages, respectively. The linkages are described with a frequency characteristic, such that more frequency leads to a closed system and a less frequent linkage leads to a more open system (Weick, 1976). These constructs, even though focused at the organization level in Weick's work, can be readily applied to operating systems and structures at the unit and sub-unit levels. Using this stream of thought, the ideals of open and closed, or looseness and tightness, organizational structures can be used as tools to further analyze the management structure in place as they relate to effectiveness and appropriateness of managerial control.

In his follow up article "Management of Organizational Change Among Loosely Coupled Elements", Weick (1982) furthers his own ideas on open systems management. He posits that a loosely coupled system is comprised of complexity and variability among component parts and loose interdependencies that create the need for constant adaptability (Weick, 1982). He uses five adverbs to describe the relationship between any two components in a system, or "loose coupling exists if A affects B 1) suddenly, 2) occasionally, 3) negligibly, 4) indirectly, or 5) eventually" (Weick, 1982, p. 380). This framework gives rise to the ability to determine the reliability with which 'B' can be predicted given the behavior of 'A'. Of course, this construct depicts how difficult it is to determine outcomes within a loosely coupled system, but it does provide a framework for consideration.

This framework is applied to the empirical data resulting from this study to describe the factors that lead to senior management's level of work control in organizational situations. In relation to decision-making, this construct can be used to explain how and why certain individuals will own responsibilities and actions and why others do not. It can also frame how tightly a unit is bound together for purpose and, therefore, action. Lastly, it may explain some of the nuances in academic leadership versus more formalized or traditional structures of leadership in for-profit and/or less mission-driven organizations.

Weick (1982) reflects upon his past work on the psychology of organizational design in addition to non-empirical works on cognition, management of systems, psychology and a host of varied related topics to explain the construct of loose coupling. One of the most interesting associated threads he details is that of bounded rationality and

the existence of multiple realities. His articulation of how multiple realities cause loosely coupled systems, which, in turn, create a bounded set of realities is fascinating from the psychological perspective. Translating this to the more commonly referenced ideas of perceptions and experiences, one finds that his theory results in an explanation of the human factor impact of organizations. It describes how individuals, in order to make sense of their world or setting, must continually rationalize the context of what they experience. An individual's perceptions count, or are legitimate, in her own recalling of her experiences, independent of others.

If a leader is able to employ this contextual sensitivity within the higher education arena, she will likely be able to better manage and facilitate change and shared goals. In addition, it is plausible that given the severity of constrained resources (financial and otherwise) within higher education today, individuals within the system may not understand their current reality, as they have never experienced such constraints before. There is no context for them to make sense of their current operating environment. Logically, then, it would be difficult for units within the constrained system to "find their way out" given that they can not explain the how and why of where they are. This has relevancy to the amount of impact a senior leaders' ability has to move their units forward in terms of action, understanding, and even personal willingness to get the job done.

Another outcome of viewing systems as both loosely and tightly coupled, according to Weick (1982), is that in order to change loosely coupled systems, one must keep variation alive in existing variables. Stagnation results if this is not done and accountability and action diminish. Weick's (1982) conclusions also center on the

inability to direct change in a loosely coupled system. He acknowledges that an

advantage of understanding the loosely coupled system is that a leader can influence

through descriptions of alternate realities and re-labeling of described outcomes (Weick,

1982). The system member is able to then re-look at the outcome and create a new path –

another reality that may lead to more effective performance. Examples such as this show

that Weick's (1982) set of thoughts are directly relevant to leadership within higher

education governance and management. This framework allows for broader thinking

about how people are tied to their organization, how they relate to it and, therefore, how a

leader might go about trying to affect change.

In an effort to realign the loose coupling concept, Frank Lutz (1982) produced

research that suggested alternative models and uses for the idea. Lutz (1982) posits that

four conceptual models of organization frequently applied to higher education, loose

coupling among them, are similar in that they suggest that organizations that permit

considerable flexibility in the behavior of their subsystems are better able to adapt and

survive. He suggests that the main fallacy in the four theories is that they assume that

other theories and models do not account for a large amount of the observed

organizational behavior (Lutz, 1982). Lutz' (1982) main objection is that no single

theory accounts for the entire range of behaviors in an organization and should not be

assumed to do so. He goes on to state that, therefore, no force fitting of models should be

applied in research instances (Lutz, 1982). In his comments on loosely coupled systems,

Lutz takes issue with Weick's unconvincing statement that the concept "need not be used

normatively"; rather Weick should have stated that it must not be used normatively

(1982, p. 656). This distinction seems a bit over-analyzed given the intent of Weick's

(1982) work as an introduction to a new concept and a model that may have relevance to higher education. However, Lutz (1982) convincingly points out that the context in which any theory is applied should be of prime concern to the researcher.

In Orton and Weick's (1990) reconceptualization piece on the loose coupling construct, they acknowledged that the concept was difficult to interpret and, therefore, had drifted in its research forms. In their review of the literature since initial conceptualization in the 1970's, they find that the research had strayed from a dialectical toward a unidimensional interpretation of the concept (Orton & Weick, 1990). They also assert that this has watered down the literature and confused the value of the concept as the singular focus of a unidimensional approach leaves many variables unaddressed. They then lead into a full review of the literature in five voices to explain their findings: causation, typology, direct effects, compensations, and organizational outcomes (Orton & Weick, 1990). It is beyond the scope of this study to focus on the weaknesses of loose coupling to such a detailed extent. The mere fact that the concept explains relational structures and provides a frame for possibly measuring behaviors is the focus of this study. In addition, the concept is aimed at explaining large system organizational behavior and this study proposes taking the concept and applying it to individual behaviors.

However, the Orton & Weick (1990) piece does highlight findings that may support this study. Most notably, they share, "to state that an organization is a loosely coupled system is the beginning of a discussion, not the end" (Orton & Weick, 1990, p. 219). They caution other researchers who invoke the concept to avoid simplifying it by precisely stating their assumptions (Orton & Weick, 1990). They also put forth a new

visual figure of the evolved concept detailing five latent-variable-like constructs derived

from their five-voice analysis (Appendix B). This model promotes the application of the

construct as it is in one form and each variable carries the same weight of import (Orton

& Weick, 1990). It also depicts how the inter-relatedness of the variables creates a cause

and effect relationship that can be used to better describe organizational outcomes. Even

more importantly, Orton & Weick's (1990) model highlights what variables or levers

might be best altered for enhanced performance.

<u>Authority</u>

With a framework established for thinking about the structures and potential

variables within the management construct, the focus of this literature review shifts to the

concept of authority – discussed both in terms of professional and administrative in

nature. The term "professional", here, represents the use of knowledge, either in an

individual's role or in the sense of an organization having control over its knowledge and

outputs. Given this definition, responsibility for that knowledge is a key element of

authority or management control. As Etzioni stated, "The ultimate justification for a

professional act is that it is, to the best of the professional's knowledge, the right act"

(1964, p. 77). In contrast, "An administrative act is in line with the organization's rules,

that it has been approved – directly or indirectly – by superior rank" (Etzioni, 1964, p.

77). Others have defined a professional as someone who has developed herself

thoroughly in an area, to the limits of her capacities so that she has the richness of the

experience and self-confidence upon which creativity thrives (Thompson, 1965). The

definition of professional versus administrative has direct application to the academy, but

can become difficult in its application as the actual words become intertwined with the

roles an individual performs. It is not intended to strictly mean a faculty, or professional, team member versus an administrative team member. The use of professional and administrative are meant to describe and refer to the type of activity one is pursuing, resolving, and operating – the type of work.

In Etzioni's (1964) influential article, "Administrative and Professional Authority", the organization and authority of knowledge is seen as one of the most important structural dilemmas of an organization. Etzioni takes the position that Weber's 1947 original treatise on bureaucracy falls short on the assumption that "the bureaucracy [is] a hierarchy in which the more rational rule the less rational" (as cited in Etzioni, 1964, p. 76). The creation, use and ownership of knowledge by members of an organization is at the heart of this article, which explains a precarious balance between the two types of authority as they relate to higher education: administrative (equivalent today to operational) and professional (equivalent today to academic). Birnbaum clarifies the tension within these two levels of authority in stating that "administrative authority is predicated on the control and coordination of activities by superiors; professional authority is predicated on autonomy and individual knowledge" (1988, p. 10).

Etzioni's reference of literature is based significantly on works from the 1950's that focus on both for profit and not for profit industries. Higher education models were not yet developed in full. His application of these theories shines light on the additional complexities of higher education organizations such that the typical professional models of authority do not apply in logic to the knowledge-based organization (Etzioni, 1964). This is due to the individualized nature of knowledge creation – it cannot be controlled or harnessed by pre-described process, as an administrative authority would create. In fact,

Etzioni (1964) suggests that an over influence of either of these models of authority undermines the goals of each perspective in terms of the knowledge creation process. It is here that one can see the beginnings of the call for an academic leader (or leadership team) that can manage and facilitate versus strictly control. As Etzioni states, the "university administrator functions often as an arbitrator among different professional groups" (1964, p. 92).

Etzioni's (1964) article suggests direct and influential ideas around the governance of higher education organizations. With the main goal of producing and disseminating knowledge, an academic institution has owners of operational and administrative capacity (often professionals themselves) that are key to the delivery of the set of knowledge created by the professionals. They are intimately dependent upon one another. Higher education organizations contain both types of authority and must balance the benefits of both. This research is applicable to the further study of senior managers and their control spectrum. Etzioni's (1964) conception of balances has shaped the data analysis and inferences in this study.

Additional research regarding the professional organization and its structure comes from Henry Mintzberg (1979) in his article on "The Professional Bureaucracy". He defines a bureaucratic organization as one in which operating work is stable and predictable; thus creating a set of standardized skills, and, at the same time, permitting a decentralization of control (Mintzberg, 1979). This definition furthers Weber's 1947 definitions of bureaucracy, in which there is a wholly industrial and mechanistic feel, and allows a less constricted viewpoint to emerge (as cited in Etzioni, 1964). One of Mintzberg's main points in this piece is that the professional - again, defined generally as

a knowledge owner – has control over her work (Mintzberg, 1979). She may work independently, but will remain tied to the central purpose of the organization (Mintzberg, 1979). This authority, of a professional nature, can be seen as the "power of expertise" (Mintzberg, 1979, p. 351). The expertise owned builds power as the professional earns work mobility, which also leads to great autonomy, or discretion (Mintzberg, 1979). The constraints of the professional worker in a professional bureaucracy are limited then only by the established standards of her profession (Mintzberg, 1979).

Mintzberg (1979) does point out a few potential traps of the professional bureaucracy that are worth noting here. He acknowledges that leveraging a standardization of skills is a "loose coordinating mechanism" (Mintzberg, 1979, p. 372). Coordination issues could arise with no other influences of control. He also points out that his description of the professional bureaucracy assumes a logical and competent incumbent in the role of the professional (Mintzberg, 1979). No one model can account for this human capability factor, but managers need to be alert to the available human skills and capacity. Lastly, he notes that innovation activities may be missed as the structure is "ill-suited to adapting to the production of new [outputs]" given the necessity that all professionals would have to coordinate in order to innovate (Mintzberg, 1979, p. 375). Regardless of these concerns, Mintzberg's (1979) framework continues the theories of professional structures and the control mechanisms inherent in them that inform this study.

Jeffrey Pfeffer (1981) also adds to the discussion on authority in his book *Power in Organizations*. His definition of authority is that "power which has become legitimated and is expected and desired in the social context" (Pfeffer, 1981, p. 4). He

continues that power is a structural occurrence, created by a division of labor and departmentalization specific to that organization (Pfeffer, 1981). Power, then, is constrained to the interpersonal interactions between individuals and their responses over time. It is built and created and, therefore, assumed to be manageable. Interestingly, Pfeffer states that the "transformation of power into authority can be seen most clearly in the relationship between supervisors and subordinates in work organizations" (1981, p. 5). It is rational to think that power structures are already in place in a work setting, most notably owing to work titles and structural hierarchies. However, Pfeffer's (1981) perspectives show just how tenuous these work relationships are and how they are built in the midst of action. This perspective of thought has implication to this research in that the work roles and title of the individuals in higher education are often inherited, not necessarily due to merit, but circumstance.

Pfeffer (1981) also suggests that norms are created on a continual basis through the work relationships and, with them, expected modes of behavior. This places an emphasis on the social pressures that then maintain and sanction the power produced, or the authority held (Pfeffer, 1981). Pfeffer's (1981) set of conclusions around power and authority are helpful to this analysis as authority structures and the genesis of the power structures within the schools studied may impact the findings. Additional perspectives on power structures, although available, will not be reviewed, as the discussions of authority and autonomy will cover much the same perspectives. The is especially true when power is considered as based on the divisions of labor and task assigned, or structural frame, versus a political and personal agenda framework. This study considers the political

sensitivities within the organizations of study, but is also focused on the tangible assignments and structures put into place.

Autonomy

The study of autonomy has been a focal concept in research domains such as leadership, organizational climate, professionalism, work role transitions, and job design/job characteristics (Breaugh, 1985). Breaugh (1985) goes into some depth about the historical set of literature on autonomy, but is also focused on the production of a new model in which to pose further research about autonomy and its measurement. The literature is full of companion words to autonomy, but discretion is frequently used. He also spends the most time in his writing focused on the two most commonly used instruments of measuring autonomy: Hackman and Oldham's 1975 Job Diagnostic Survey and Sims, Szilagyi & Keller's 1976 Job Characteristic Inventory (as cited in Breaugh, 1985). He finds through the research, though, that these two instruments have questionable or unacceptable validity evidence (Breaugh, 1985). Upon further reflection, Breaugh (1985) also determines that both instruments falter as they measure job autonomy with a definition that includes both the concept of discretion and the concept of working independently. He concludes that the use of both concepts in this conflated manner reduces the ability to measure the discretion element in that independence does not comport automatically to autonomy.

Before moving forward with Breaugh's version of autonomy, it is worthwhile to take note of the concept of professionalization, which is prevalent in the literature surrounding authority and autonomy. Its reference is aimed at describing the "increasing specialization and transferability of skill, the proliferation of objective standards of work,

the spread of tenure arrangements, licensing, or certification, and the growth of services occupations" (Wilensky, 1964, p. 137). Through this definition, Wilensky (1964) posits that autonomy is an outcome of professionalization; that it is a by-product of the standards, arrangements and the structures that surround the profession. While there is much written about "the profession" and professionalization, it has less relevance for this study as the focus here is on the academic profession within the functional area of management education. The concept in general, though, has direct relevance towards the attitudes and outcomes of much of the collected data.

Breaugh concludes, after a review of the available literature, that the definition of autonomy encompasses the "degree of control or discretion a worker is able to exercise with respect to work methods, work scheduling, and work criteria" (1985, p. 556). Again, it is noted by Breaugh (1985), that the concept has been hindered by research that likens job autonomy with the job characteristic of interdependence. He argues that autonomy and independence are two separate constructs and, in order to further the concepts of work autonomy that these must remain separate (Breaugh, 1985). He also feels that the study of autonomy should be broken down into discrete facets whenever possible as the global construct leaves practitioners little practical and meaningful information to apply to their work (Breaugh, 1985).

Breaugh (1985) also refined his definition of autonomy to include work method autonomy, defined as the degree of discretion individuals have regarding the procedures or methods they utilize in going about their work. Work scheduling autonomy is defined as the extent to which workers feel they can control the scheduling, sequencing, and timing of their own work (Breaugh, 1985). Lastly, he defines criteria autonomy as the

degree to which workers have the ability to modify or choose the criteria used for evaluating their performance (Breaugh, 1985). Moreover, Breaugh highlights the role of subjectivity in the assessment of autonomy. An individual's subjective perception of their job requirements is what is perceived as real (Breaugh, 1985). This certainly makes it difficult to assess levels of autonomy and to compare those levels across organizations or within any single organization or sub-unit. However, the different facets of autonomy do have weight in analyzing the work structures and roles within the two studies presented here and play out within the analysis.

Other studies of autonomy and discretion describe how issues of personal control affect an organization. One line of thinking is that "having discretion over the parameters of work enables one to adapt those parameters to one's needs and creates a sense of responsibility and ownership" (Ashforth & Saks, 2000, p. 312). It follows from this line of thinking that "personal control facilitates psychological involvement in the work and satisfaction with the workplace" (Ashforth & Saks, 2000, p. 312). The personal control definition used by Ashforth and Saks in their work is defined as a "combination of job autonomy and participation in decision-making that affects one's job" (2000, p. 313). This definition clearly stems from Breaugh's (1985) work, but does reflect a global and more general perspective versus the more refined definition as Breaugh had recommended.

Further research on personal control reveals that, as Ganster and Fusilier determined in 1989, "control is important to the extent that it is perceived by the actor" (as cited in Ashforth & Saks, 2000, pg. 314). This personal reference to how control is perceived also relates to how much confidence an individual holds. Self-efficacy has two

main effects per Ashforth and Saks (2000). First, highly confident individuals seek jobs that provide latitude such that they can impact their work (Ashforth & Saks, 2000). Secondly, as Wood and Bandura suggested in 1989, individuals with high confidence, "through ingenuity and perseverance, figure out ways of exercising some measure of control in environments that contain limited opportunities and many constraints" (as cited in Ashforth & Saks, 2000, p. 314). These are interesting ideas as they relate to the matrices and complex work environments within higher education organizations. Although subtle, there are differences in perspectives when describing autonomy, personal control and authority. Taken together, these create a richer analysis of work freedoms and discretions.

Ashforth and Saks (2000) also outline several implications and limitations of their study on organizational newcomers and incumbents, as follows. First, the data may ignore the impact of social or group influences (Ashforth & Saks, 2000). These can be quite strong, certainly in the case of newcomers or even with individuals employed at the same organization for a long duration (Ashforth & Saks, 2000). The new model presented also implies that control is positively related to adjustment, meaning it may or may not be desired (Ashforth & Saks, 2000). This dependency on the individual incumbent's context creates a set of "boundary conditions" that need to be further defined for the model outcomes to apply to specific work settings (Ashforth & Saks, 2000, p. 330). Thirdly, there could be a "ride it out" mentality in conditions of low personal control indicating motivation as a factor of control (Ashforth & Saks, 2000, p. 330). Fourth, the study is focused on low-experience individuals and the outcomes may not generalize to high-experience individuals (Ashforth & Saks, 2000). Lastly, they suggest

that the model created based on the study should undergo further research and validation

(Ashforth & Saks, 2000). There is potential for the newcomer focus to hinder the

application of Ashforth and Saks' (2000) findings to a broader organizational review, but

elements of it frame many of the study outcomes herein.

More recently, autonomy is often discussed in conjunction with the construct of

innovation. Innovation has relevance to this study in that business schools are often on

the leading of edge of entrepreneurial behavior within higher education. Feldman

describes it this way, "Innovation in an organization requires the simultaneous regulation

of autonomy and control in order to promote creativity and experimentation but still

produce results that can be manufactured and marketed or institutionalized" (1989, p. 83).

This definition relates best to a product-oriented company as opposed to a service-

oriented organization such as in higher education, but there are logical applications

regardless. First, Feldman (1989) finds that context is important because autonomy and

innovation are not ends in and of themselves. Secondly, under conditions where

innovation is required and autonomy is important, management control acts as a

"switching station" to regulate, set, and enforce priorities (Feldman, 1989, p. 83).

Thirdly, when control and autonomy are not in balance, a vicious cycle can develop

which undermines commitment to an organization's goals (Feldman, 1989). Lastly,

innovation requires participants to have a highly developed sense of the legitimate

possibilities of autonomy in the organization (Feldman, 1989).

The conclusion from the four applications of interplay between autonomy and

innovation is that autonomy and control are necessary to describing each other (Feldman,

1989). Feldman suggests, though, "control must inform autonomy so the likely produced

results are beneficial to the organization's ongoing goals and development" (1989, p. 98). Again, context is important in these outcomes, as are issues of legitimacy in the sense that leaders and teams must be acutely aware of the possibilities of autonomy (Feldman, 1989). Too much or too little flexing of the autonomy muscle (i.e., how much legitimacy is realized) can cause misalignment with organization goals. Accordingly, these issues relate to the potential impact that innovation and entrepreneurial mindsets have on business school goals and initiatives and the achievement of those goals.

Burton Clark, the sociologist, helped create the conversation on the "entrepreneurial university" in his 1998 book, *Creating Entrepreneurial Universities*. Speaking to the international audience of the International Management of Higher Education Program in 2000, he prescribed seven organizing thoughts to more clearly articulate the needs of the modern university (Clark, 2001). Embedded within his points was the idea that the "entrepreneurial university becomes an organizational version of civic society, one that mediates between state and market rather than be dominated by either" (Clark, 2001, p. 23). This idea of mediation, of a "switching station", repeats itself in the literature on higher education management in general. It also presents a continuum on which universities and their leaders must operate. Clark further explains that the description of the entrepreneurial university concept should include "professional coordination by faculty and administrators who operate with their own norms of responsibility and accountability" (Clark, 2001, p. 23). This concept is relevant to how senior leaders in higher education have an imperative to regulate and adjust their actions, and the coordination of their actions, in order to flourish in a competitive market.

<u>Middle managers</u>

There is little research completed on the senior and middle management levels within higher education. The focus has been largely on the top leader or president, with some attention paid to the governing board of directors and other university-level and political structures. However, the growth of higher education enrollments and increased federal regulations has also brought with it a growth in the middle-level administration (Ginsberg, 2011; Scott, 1980). Scott defines middle-level management as "the deans and directors of support services to whom their assistants and first-line…supervisors report and who themselves report to, are an officer at the vice-presidential level" (1980, p. 386). This group of working professionals holds many roles, but typically fulfill three functions per Scott (1980):

- serve as liaison with external suppliers of resources;
- implement process for the internal allocation of resources and control of activities, such as audit functions;
- and coordinate student's curricular and co-curricular activities. (p. 387)

Through these functions, the middle manager affects the institutional tone and style of their organization with both internal and external constituents (Scott, 1978; Rosser, 2000; Rosser, 2004). Their impact to the organization is far reaching and should be utilized for organizational growth, yet, as Scott identifies, they are often the "anonymous leaders" (1980, p. 387).

The literature also references the professional standing of these middle managers. They have been seen to increase the professionalization of their institution, but rarely add to their professional standing (Scott, 1980). A tension exists between two general sets of feelings: 1) the confidence in their ability to get their work done, the dedication to follow through, and loyalty to institution and 2) the lack of recognition and few career

advancement opportunities available to them (Scott, 1978). It is just this tension coupled

with the increasing organizational pressures to grow services and support structures that

this study seeks to better understand. The management structures and procedures in

place, such as autonomy, are key to better defining middle management's most effective

role(s).

Rosser (2004) and Kehm (2006) continue the study of middle managers and argue

that there is growing legitimization of the role. Rosser states that these professionals in

higher education are the "unsung professionals of the academy" (Rosser, 2004, p. 317).

There is recognition that they perform a function beyond that of Scott's (1980)

description in that they have "bridging functions between core tasks of the educational

institution and the central level management and leadership" (Kehm, 2006, p. 1). Kehm

(2006) also suggests that middle management roles should not be restricted to

administrative duties only, but also to strategic tasks and decision-making.

Kallenberg, in 2005, further refines the enhancements to the middle manager role

as having "synthesizing, facilitating, championing, and implementing" responsibilities (as

cited in Kehm, 2006, p. 10). The research is showing evidence of the enhanced middle

management impact in a higher education organization. The effects on organizational

performance are still not quantifiable like those of a president (Pfeffer, 1977). However,

the roles are changing and becoming more integral to the operations of an educational

institution. As Baldridge, Curtis, Ecker, and Riley conferred in 1978, "middle managers

work in a complex setting that is part bureaucratic, part collegial, and part political" (as

cited in Scott, 1980, p. 397).

The concept of complexity in the middle management role and its impact on

innovation and organizational effectiveness is also of import to this study. The work on

innovation has largely been focused on corporate structures, but it has meaning and

applicability to higher education as well. In describing the "new politics" of middle

management, Rosabeth Moss Kanter details a power struggle that she identifies as

coming from, in part, the "ownership of new ideas" (1983, p. 53). Her point of view was

that the new ideas do not fit into existing organizational functional structures and,

therefore, require a renegotiation of their meaning. The outcomes of this state of

imbalance "burden the middle managers to operate by persuasion and bargaining rather

than by formal authority" (Kanter, 1983, p. 54). The discussion of an individual's vague

work authority displays how decision-making and control are difficult to anticipate and

manage. Kanter (2004) later shares her perspectives about what characteristics are

typically displayed by managers who foster innovative and growth-oriented

accomplishments. Broadly, they are individuals who work through their networks, build

coalitions and are comfortable with change (Kanter, 2004). These personal qualities also

translate to other organizational types, such as institutions of higher education.

Distributed leadership

No analysis of leadership within education today would be complete without

reference to the growing literature on distributed leadership. Distributed leadership is

defined as "leadership practice that is distributed among both positional and

informational leaders" (Spillane, Halverson & Diamond, 2001, p. 24). Elmore (2000)

describes it further:

> The job of administrative leaders is primarily about enhancing the skills and
> knowledge of people in the organization, creating a common culture of

expectations around the use of those skills and knowledge, holding the various pieces of the organization together in a productive relationship with each other, and holding individuals accountable for their contributions to the collective result. (p. 15)

Under this cognitive perspective, Elmore (2000), Spillane, et al. (2001), and other researchers view leadership in schools at all levels of education as more effectively analyzed through a lens focused on the school level versus the individual (Gronn, 2002; Harris, 2002; Timperley, 2005). Properties such as interdependence, coordination, collaboration, and division of labor are the building blocks of enacting such a leadership perspective in schools (Gronn, 2002).

Elmore (2000) ties loose coupling into his analysis and explains that this construct is the likely cause of much of the lack of goal-oriented and connected actions with schools today. He postulates that, at times, the only mechanism for a leader to focus on instruction, the main product of schools, versus administration is the concept of volunteerism. If a leader is able to focus on instruction it is at the cost of other tasks and comes only from the individual's innate abilities or personal drive to accomplish the passion, presumably instructional excellence in this case. In other words, the fact that the senior leaders of the organization do not manage the core, the instruction, creates the situation where volunteerism is the only way to improve practice (Elmore, 2000). Noting that this is not ideal, Elmore (2000) suggests that distributed leadership, in its new frame of analysis of the unit, not the individual, can support the imperatives for large-scale improvements on the horizon and move away from the standards-based reforms currently in practice.

There are criticisms of the distributed leadership theory that focus on the difficulty in managing distributed ownership in large, complex organizations. What many

do acknowledge, though, is that this new frame does "recognize the limitations of an approach to organizational change and development premised upon the effects of just one person" (Harris, 2002, p. 6). In keeping with the literature described above, the effects of authority, autonomy and work control are all quite intertwined. The value in this research is in applying these constructs to management education today. There is recognition and awareness that a single leader, be it the Dean, President, or Chancellor, of a complex higher education institution, simply can not produce expected results and participate in accountability measures without the full acknowledgement of what is structurally below her. As Gronn stated, "when distributed leadership becomes the unit of analysis, productive outcomes of research…are likely to include a revised discourse which accurately reflects the evolving division of labor in the workplace and analyses which are realistically aligned with practice" (2002, p. 447).

In summary, the literature reviewed shows the many factors involved in the management of educational institutions. The knowledge-based organization requires different structures and authorities in order to function effectively. Management practices may not carry over from the corporate organization as the nature of the work is deemed as "professional" and, therefore, requiring different latitudes of control. The literature also depicts that the impact of senior managers or leaders on their organization is based more heavily on influence and coordination versus control and power. The research shows that, at times, there is an under-appreciation for the work of the middle layers of the organization. There remains an open question as to how best to lead educational organizations in order to maximize effectiveness and impact. Recent focus

on distributed leadership calls for less focus on the system and more focus on the individual. There is more to be learned.

CHAPTER 3

RESEARCH STUDY AND DESIGN

Arguably, the most elegant way to pursue a research topic based on organizational structures and leadership is to employ an applied qualitative approach. A qualitative analysis is a process of examining and interpreting data in order to elicit meaning, gain understanding, and develop empirical knowledge (Corbin & Strauss, 2008). This methodological approach is appropriate in examining topics for which adequate quantitative data do not exist and may be difficult or impossible to obtain. As Yin (2009) contends, this research method satisfies three important conditions: research is in the form of questions such as how and why, the researcher has little control over behavioral events, and the topic focuses on contemporary events. Some researchers, such as Toma (2005) and Yin (2009), argue that this method, although sometimes considered "soft" in its form, is both scientific and rigorous and appropriate for qualitative and applied research.

This study is designed to seek answers and trends to contemporary topics that affect public business schools and their leaders. The "how" and "why" of what the leaders think and expect is paramount to this study. The general themes and constructs of the study will be emergent, as is the case in qualitative research, in that each successive data point received leads the researcher to pursue new or previously unnoticed themes (Marshall & Rossman, 2011). Suggested protocol leads the researcher to use her intuitive and interpretive abilities to find meaning in the data captured and ensuring analysis

(Marshall & Rossman, 2011). This is an attractive outcome for the research as the main thrust of the study is what is "top of mind" of business school leaders. The qualitative research method is deemed the most appropriate method for gathering such subjective and contextual data.

<u>Industry setting</u>

The setting of this study is in management education units of public research universities. Public universities and their sub-units are easily compared, as mentioned in Chapter One, because their main organizational structures and accountability measures are comparable. They also face similar economic impacts as states and federal governing bodies allocate public funding resources across their many constituents. Business schools within these state institutions may even be bear more financial burden than peer college units as they are seen by many to have more enrollment growth than other university programs.

As Starkey, Hatchuel, and Tempest (2004) confirm, business schools have grown at a rate faster than any other part of the university. This is not difficult to understand as bachelor's degrees in business are the most popular major in undergraduate programs today (Light, 2011). Again, Appendix A summarizes the growth in both undergraduate and MBA student enrollments from 2005 to 2011. Growth in undergraduate business enrollments and MBA enrollments increased 10.2% and 32.5%, respectively, during this time period. Interestingly, the number of MBA programs grew 28.2% in that same time frame. The intensity to recruit and admit students interested in business is a high stakes strategy. Schools of business not only build and deliver programs and services for their own undergraduate majors, but also for many of the non-business majors within their

university. Business courses are not only key to the general education curriculum, but are also core elements for other degree programs. In addition, basic business courses are often popular elective choices outside of a student's main program of study. Business schools have large demand for introductory, intermediate and advanced course offerings for many types of non-business programs. This reality leads to the construction of larger faculties and more complex infrastructure support, including contemporary buildings, smart classrooms, customized student career support, alumni engagement, and domestic and international field studies and practicums. These many intricacies make business schools prime targets for study.

The complexity with business schools increases when adding graduate education to the program portfolio. One of the most prolific and profitable degree programs, the Master of Business Administration (MBA), is typically a large component of a business school's brand equity and tuition revenues. It is also frequently a measure of the health of a business school, in that it is leading market indicator. It is precisely this external, or market, focus on winning brand awareness and market share that creates a unique urgency within a school of business versus other collegial units. The urgency tends to center on strategic management elements such as operational effectiveness and market differentiation strategies in order to distinguish practices and programs from those of its competitors.

School selection

The sampling plan used to determine the study settings and participants included multiple sampling strategies.   First, J. D. Toma (2005) articulated purposeful sampling in his written appeal to consider applied qualitative research just as rigorous and valid as

other forms of both qualitative and quantitative research. Purposeful sampling was used throughout the study and, as Toma (2005) articulated, cases or settings are chosen for level of interest, convenience, and representation instead of drawing on samples from a general population of study. This approach has many benefits for the researcher in terms of access and planning, but also has the benefit of tying the study outcomes to a specific context. The argument for study transferability, then, becomes easier to make for the designated context type (Toma, 2005).

In addition, Miles and Huberman's work in 1994 on the typologies of project sampling in qualitative research design was also incorporated into this study (Marshall & Rossman, 2011, p. 111). Initially, this study incorporated the "criterion" type in that the selection of schools and individuals within the schools include specific criteria for comparative purposes. These criteria are detailed below. The "convenience" typology was used as well in order for the research to be completed in a condensed project timeframe and with consideration of the researcher's time and travel schedule. The selection of schools considered certain geographic and structural elements to facilitate comparative strength. Although the outcome of this approach can limit the data captured, it is justified given the known constraints of the project timeline and of the type of applied research being conducted.

In order to more effectively gather data about the research topic, two public business school settings were chosen. This allowed the data conclusions to reflect outcomes beyond any discrete issues or circumstances within a single institution. The two school settings are relatively similar and, therefore, allow for easier grouping of participant characteristics and work roles. Also, given the subjective nature of the study

topics, a single institutional study would not have provided enough data or the ability to compare data. Lastly, consideration was given to the researcher's available time to complete the in-depth interviews at the selected schools.

The two schools were selected, first, based on institutional comparative characteristics. One of these was their relative media ranking within the "tiers" of schools as defined by the most recently available *BusinessWeek* (2010) and *Financial Times* (2011) MBA rankings. The reason for the focus on graduate level versus undergraduate level rankings is due to the availability of multiple sets of rankings within the MBA degree space in contrast to rankings in the undergraduate space. This allows for the inclusion of the *Financial Times* survey input which is considered, among MBA industry experts, as the most diverse and, therefore, representative ranking currently available. In addition, the *US News & World Report* rankings are dismissed from this selection criteria based on its heavy reliance of perception-oriented rankings input.

In regard to relative ranking, only those schools that sit within the ranking range of 25 to 100 of either ranking were selected. This ranking qualification is important due to the relative nature of the historically large resources and strong reputation that create halo effects on the top 25 schools. The halo effects may slant the findings in that abundant resources are not the norm in the public higher education industry, and, in fact, are declining. Access to larger sets of resources, both in quantity and type, in the current economic climate may have a tendency to permit more flexible management actions than that of the other over 550 accredited business schools (AACSB, 2011c).

Similarly, the effects of significantly reduced operating budgets on public institutions create the reverse outcome. Schools "below 100" have less flexible revenue

management and, in this economic environment, are not as agile in the marketplace. This selection approach attempts to reduce the classic effects of "the rich get richer and the poor get poorer" phenomenon. However, the overall available resources were not analyzed in depth for this study. The focus of this study is on the "below 25" set of schools as they are currently under-researched in the business school literature and in media and rankings outlets. Most often, industry articles and media outreach focus on the highest placed schools. As in the non-business areas of study within higher education, it is commonly held that many strong and creative educational "products" are produced, although they not in the public eye. This study intends to help fill that gap in available and documented knowledge. Including two schools with like characteristics supports the comparative strength of the captured data.

Other important comparative criteria used were geography and school structure. Only United States (US)-based schools were considered for the study, as the inclusion of international institutions would not permit like comparisons in terms of financial status, work titles and other organizational structures. Within the US geography, only schools in the mid-Atlantic, southeast and south were considered for selection. These boundaries exist as the researcher's primary professional network and familiarity of context exist within these regions of the US. With regard to organizational structure, multiple approaches were used to ensure comparative strength between the two schools selected.

First, the schools had to be accredited by the Association to Advance Collegiate Schools of Business (AACSB International), the premier accrediting association for business schools worldwide. Aggregate and comparative data from AACSB was used to select, describe and compare the schools. These data are not shown in detail, as it would

reveal the identity of the two schools. The data used were from the most recent 2011 AACSB Business School Questionnaire responses, a comprehensive annual survey of every accredited school. The data show that Schools A and B have similar overall values in terms of total number of faculty, total number of undergraduate degrees conferred, and total state appropriations plus endowment.

Secondly, the schools were chosen for having reasonable accessibility for the main researcher of this study. Consideration of proximity and ease of travel from the researchers main locale were of import, as the methodology includes in-person interviews of some depth. Accessibility also denotes the approval to conduct the research in so far as a school permits the research. One other comparatively equivalent school was approached as a possible study setting, but declined the invitation. In this tight economic environment, it is conceivable that this school felt it was a burden on faculty and staff time. In addition, the topic of study may have caused concern as issues of management and organizational structure can be seen as intrusionary in nature.

From this selection analysis, two public university schools of business, Schools A and B, were chosen for this study. Each school has degree-granting programs at the undergraduate, masters and PhD levels and non-degree programs in executive education and in functional centers of excellence. These are a part of their portfolio of services, thus defining them as comprehensive. This is an important criterion in that schools with all three types of students and programs tend to encounter a more complex set of managerial issues and challenges. Moreover, in their quest to serve multiple education "markets", the senior leaders and professional staff have more intimate interaction with the university at large, also increasing the complexity of their operations. This

complexity is expected to make the data collected more rich and meaningful. They are both AACSB accredited, a criteria as discussed above, and both adhere to their regional university-level accrediting bodies, such as Middle States Commission on Higher Education (MSCHE) and Southern Association of Colleges and Schools (SACS).

The schools, although separated by hundreds of miles, are both located in an area of the United States that covers the mid-Atlantic and southeastern regions. Both schools are situated on suburban campuses, but School B has a significantly larger metro area than School A. Also, they are both consistently ranked in media rankings surveys outside of the top 25 in a number of different MBA rankings. Each school has specialties areas of focus that perform well in subjective, functional rankings. However, School B has significantly outperformed School A when it comes to the measure of intellectual capital as *Financial Times* reports.

<u>Participant selection</u>

The interview participants within the selected schools were chosen based on a "stratified purposeful" sampling approach as defined by Miles and Huberman (as cited in Marshall & Rossman, 2011). This approach pays close attention to the possible subgroups that exist within the data set for the purpose of data comparison within the final analysis. The initial outreach to the school was to the senior-most unit-level leader, the Dean. The Dean was asked to identify his senior-level team, including all senior-level deans (for e.g. vice, senior associate dean), associate and assistant deans, center or program directors and academic department heads. He was also asked to include any other key faculty or staff who were designated, internally, as a member of senior leadership within the school.

The definition of 'senior' was not pre-defined for this study, but at the time of the participation request, the Dean was asked to consider the inclusion of individuals with the titles mentioned above and to include those individuals who had management responsibility for many, if not all, of the managers and director level personnel within their departments. These senior leaders' academic status within the school was identified through the data collection process, as described below. Ideally, the leaders selected were also asked to have operational responsibilities for academic programs, regardless of any personnel responsibility. These key informants were interviewed and asked to share organizational structure information about their organization. A straightforward conception of the approach is in Figure 1 below.

Dean ➔ Associate/Assistant Deans & Directors & Department Heads/Chairs

Figure 1: Depiction of Dean participant selection

Methodology

The formal methodology employed has a tiered structure and followed a logical and iterative process in order to gain the most comprehensive data and analysis as possible. The main method of data collection was face-to-face interviews. The interviews were supported by both an external review of the school's marketing materials and web presence and by a short questionnaire submitted to the interview participants. These three approaches, known as data triangulation, present a broad and comparative description of the schools. Marshall and Rossman describe triangulation as, "Designing a study in which multiple cases, multiple informants, or more than one data-gathering

method are used can greatly strengthen the study's usefulness for other settings" (as cited in Toma, 2005, p. 415.). The three approaches also provide context for the participant selection in that much of the structural components of the two schools became evident only after reviewing web-based information. This approach informed the initial request to the Dean, as highlighted above, about what individuals might be part of the school's leadership team.

In addition, the researcher has intimate knowledge of the business school industry and of the range of organizational roles and tasks completed in a business school. As Toma, Hartley, and Montoto posit, "[A researcher's] lived experience and understanding if the filter through which a phenomenon is examined" (unpublished, p. 2). Therefore, there were natural assumptions made about management education as an industry and what overarching trends may be of interest to those within the industry. The researcher did not stage, nor predispose, the participants to materials or circumstances that might affect their responses. In this way, there was no control over the participants. More is described in the researcher role section within this chapter.

Data collection process

A three-stage process was developed for this study. Stage one was a comprehensive review of the available institutional data of the two schools. This included a review of the following, if available: main school website(s), printed marketing materials and collateral, organizational structures via organizational charts, CVs or resumes of interviewees, general school information available from AACSB, and rankings summaries. These materials provide not only facts and information, but also the look and feel of the school. They were also informative in that what was covered,

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topically, in them told as much as what was not covered. These data were used to inform the similarity and differences between the two schools.

Stage Two was an online survey instrument developed and distributed to all selected interviewees via the SurveyMonkey online application (Appendix C). It was embedded within an email request for participation in the in-person interview. This ten-question instrument requested basic demographic information, past and current work roles, educational attainment, current working title, and basic organizational structure reporting line. The questionnaire responses were collected and viewed within the SurveyMonkey application and reported in an Excel format for ease of data analysis. The data collected were used to inform the interview process and to allow for more personal time focused on the interviewee's responses to the probing interview questions and general discussion rather than on basic demographic information.

Stage Three was a semi-structured, open-ended interview with the senior unit-level leaders. An interview protocol was developed to use during the in-person interviews that included both organizing and probing questions (Appendix D). The questions were derived from building on the concepts of authority, work control and distributed leadership as discussed in the literature review. The learning from these three areas of work, allowed the interview sessions to extend beyond the main questions and to explore other areas of concern for the interviewee. The protocol begins with a set of three organizing questions that re-introduced the project to the interviewee due to any time lapsed from the initial request for participation. The second set of five questions was probing in nature and is where much of the content of the analysis will focus.

Twenty-three interviews with the school leaders were conducted in person or via telephone. Eleven interviews were conducted at School A – eight of the eleven were in person. Twelve interviews were conducted at School B – seven of the twelve were in person. The interviews were scheduled for one hour in duration and the actual time used was based on the interviewee's willingness to participate. These were conducted on site at the interviewee's place of work, whenever possible. If not possible, phone interviews were conducted. The responses were collected via a digital recording device and downloaded as MP3 audio files to a secure, private data drive for transcription post interview. Notes were taken during the interview in a standard format for ease of coding. Immediately post the interview, and in order to capture interpretive thoughts and additional sources of inquiry, additional notes and information were jotted down on the same set of standard interview notes. The interviews were transcribed by a reputable, paid transcription service. Each transcription file was backed up in two locations. The data were stored on the researcher's own computer and on a back up drive housed in a separate, secure location.

Confidentiality

School and participant confidentiality was addressed during the initial planning stages of this research. As described above, the intense competition among business schools today leads to the need for discretion in all things deemed strategic – organizational structures certainly one. School confidentiality (name, location and ranking specificity) was addressed with the Deans upon initial outreach and during the initial discussion and/or interview and determined to be necessary and prudent with both schools. All data collected were offered to be and will remain non-attributed by name to

the individuals interviewed. The research study consent form (Appendix E) shows the

language used to inform the participants of the confidentiality approach in this study.

The school names are designated as School A and School B and referenced as public

universities within a region of the US. In every instance, transcripts of the interviews

were offered to the participants once completed and the full study will be offered to all

participants as a final product. In order to protect against political and influence concerns

of all persons interviewed, no data or commentary were or will be shared with any other

person of the same or different schools.

Data analysis

    "The process of data collection and analysis is recursive and dynamic" (Merriam,

2009, p. 169). The data analysis began with analyzing the interview transcripts and

interviewer notes and interpreting them using the constant comparative approach.

Following best practice from Glaser & Strauss' 1967 work on qualitative study, the data

analysis was inductive and attempted to identify common themes and emerging patterns

leveraging the similarities and differences among the data (as cited in Merriam,

2009). As Glazer and Strauss recommended, the first step was to take the collected data

and code or chunk it into as many categories as possible, each representing a different

broad concept (as cited in Miriam, 2009). Coding, as defined by Merriam is "assigning

some sort of shorthand designation to various aspects of your data so that you can easily

retrieve specific pieces of data" (2009, p. 173). The dimensions of each concept, the

relationships with other concepts, and the conditions under which the concepts were

pronounced or minimized then became evident and deemed categories.

The categories used were first derived from the interview questions themselves. Each question had a single focus as follows: motivation, work role, reporting structure, decision-making and contentment. Within each of these categories, the response similarities and differences were pulled out and sub-categories made for each of the three, defined work roles (faculty, staff, faculty-staff). For example, the category of motivation for staff breaks down to: energizing, impact, and creativity. Then, the categories and the relationships were further analyzed and refined to gradually develop "theory" by reducing these to higher-level concepts. LeCompte, Preissle, & Tesch define theorizing as "the cognitive process of discovering or manipulating abstract categories and the relationships among those categories" (as cited in Merriam, 2009, p. 188). Lastly, these concepts were refined into propositions. Through the constant comparative method, the analysis moved from empirical to conceptual and theoretical. The analysis phase also included an "immersion strategy" that allowed the researcher to leverage her intuition, interpretation and knowledge of the industry (Marshall & Rossman, 2011). This use of personal experience was not intended to pre-determine outcomes, but to allow the researcher to categorize and make sense of the data in a more organized and relevant manner to current practice.

All appropriate measures were taken to ensure that the derived categories are internally consistent or contain internal convergence, but distinct from one another, or with external divergence (Marshall & Rossman, 2011). This is important to the overall analysis as the framing constructs put forth, and as discussed, have many subtleties and nuances. Two additional internal checks on decisions were to search throughout the analysis process for negative instances and for rival structures (Glazer & Strauss,

1967). Finally, the data search was terminated in order to generate and substantiate any

theories. In analyzing the data, a review of each data set was completed and a

comparative review of the two schools' data sets were used to compare work roles, titles

and organizational structures. Each school was the basis of a separate analysis, including

a description of the institution for historical purposes. In the cross-set analysis, focus was

on what is common among the institutions in the study, such as organizational

structure. The cross-set data also provided the basis for understanding the critical factors

and influences involved in the managerial control and coordination of business schools.

Trustworthiness

In order to produce an analysis that has integrity and rigor, the data were reviewed

for four key elements: validity, reliability, generalizability and objectivity, as described

in detail by Toma (2005). These elements are one way in which qualitative researchers

can define their protocol standards and explain their methods logically. In terms of

credibility, the data are presented and retained with a full audit posture. The interviews

and reviewed materials are qualified in terms of accuracy and in relation to the manner in

which they were obtained. Also, all documents, transcripts, process flows and materials

are stored for future review of interested parties. At the point of conclusion, the study

comports with the data presented and the theories and frameworks in which it was

embedded. This study maps to this definition of credibility as the interviews and data

from them have maintained their integrity and have been allowed to stand-alone as well

as be compared to different theories. As the study implications will show, the data

collected leads to the realization that more should be done on this topic within business

schools, as the data are rich and full of meaning. There is more to be learned.

With respect to the transferability of the study, an appropriately "thick"

description of the study and its components is used to show the possible applicability of

the data to future studies within higher education (Toma, 2005). As Miles and Huberman

in 1994 note:

> Accordingly, it is necessary to include a) a complete description of the setting,
> including its boundaries, to facilitate comparisons; b) an explanation of how the
> cases selected might be transferable to similar settings and across common
> theoretical frameworks (and a discussion of what might limit relating the case to
> other situations); c) sufficiently "thick" description of the findings such that the
> reader can assess the transferability of the case and the case resonates with him or
> her; d) findings that are congruent with, connected to, or confirmatory of prior
> theory; e) description of processes and outcomes if the conclusions are generic
> enough to apply to other settings; and f) a statement of how the findings could be
> explored further and whether similar cases have yielded similar results (as cited in
> Toma, 2005, p. 416).

The intent of this qualitative study is to be able to share its conclusions with other

educational operating units, for the betterment of the educational product.

In describing the dependability of a study, the literature emphasizes that the

typical qualitative research design will change as it unfolds (Toma, 2005). Therefore,

steps should be taken to explain the original intent of the research and any alterations to

the research questions, design or methods that ensue. In this study, the data are reviewed

and triangulated for alternative themes and constructs that may not have initially been

detected. The research questions and methodology of the study reflect the dynamic

nature of a topic focused on management practices. The iterative process of interpreting

the data and the analysis of the cross-case and inter-case connections supported this

assertion.

"Confirmability is the concept that the data can be confirmed by someone other

than the researcher" (Toma, 2005, p. 417). It is akin to using common standards of

qualitative research and design and keeping biases out of the research outcomes, or, at minimum, stating where they exist. The methods and processes are articulated clearly and comport to the most current methods of research available. An example is that the recently updated findings and recommendations on qualitative research from Marshall and Rossman (2011) are used. Even though the researcher is identified as a member of the industry in which this study is set, there were steps taken to minimize assumptions and biases by using some of Lincoln and Guba's strategies (as cited in Marshall and Rossman, 2011). One such strategy is developing a second set of "judgment-free" notes before developing coding categories (as cited in Toma, 2005, p. 418). Another strategy includes a well-developed audit trail which would allow scrutiny post study by external reviewers to ensure that the same outcomes would be drawn by them as by the original researcher (as cited in Toma, 2005).

Limitations

Even with the many techniques for solid research methodology, there are many details and outcomes that this study did not address in full. For instance, the political environment of the two organizations studied may have impacted the actual assessment of management structure and control in that there may be hidden "agendas" that conflate with actual happenings. Also, the perceptive reality and the actual reality of the given management structures in place may be difficult to discern even with data from multiple levels within the organizational hierarchy. The effects of trust and forthrightness within the interviews may have created less transparent or more guarded responses by some individuals. Every effort was made to minimize these possible effects, but the outcomes may have varied in nature in this regard.

The study also did not address many elements of individual capacity or abilities, in terms of a true skills assessment. The variance of skills and experience across the two organizations is fairly similar, in that academic roles are defined by tenure policies within the larger institution. Therefore, it is assumed that the department chairs have minimally similar academic expertise in order for the individuals to hold a tenured status. In relation to the identified staff roles, there is assumed experience in the assigned area of responsibility. However, there may be large, unidentified effects based on leadership and general management abilities. For example, an entire organizational structure may be viewed as deficient if the Dean is seen as weak in his managerial capacity. The effects of this on the entire structure could limit the effectiveness of individuals or teams, no matter their formal role or title. This is an expected and normal interpersonal and managerial nuance, but is beyond the scope of this study.   This possible limitation may also have benefit for further study in that an objective skills assessment may prove to be supportive of assigning levels of management control.

The study discussed many areas of external influence and control on the public business school's methods of management control and assignment of autonomy, but it did not cover all of them. The severity of the environment for state institutions of higher education has reached a tipping point where standard methods of operation are being questioned or even eliminated with little regard for consequence and downstream implication. A ready example is the impact of finance and budget models of operation, as comes through in the following chapter. The impact to decision-making and resource allocation is quite large when a model of this type and size is changed suddenly. This study will bear the consequences of and will highlight these types of external (state level)

and internal (university and college level) constraints and opportunities, but the study does not delve into each one.

Lastly, at the outset of the design of this study, there were a few themes that were a planned part of the investigation that have been dropped. The alignment or misalignment of control structures and the development or lack of development of an entrepreneurial mindset were thought to be possible outcomes. However, after the interviews were completed, these topics did not emerge nor was their time to investigate further. The research questions changed slightly from the original proposal because of this.

<u>Researcher role</u>

As the lead researcher of this study, I have a current work role of a senior unit-level leader, as Assistant Dean, within a 2nd and, at times, 3rd tier business school at a public institution. Therefore, I am readily aware of many of the issues at hand in the industry. It is precisely this awareness that allows me to ask probing and pertinent questions within the interviews. As Corbin and Strauss explain, researcher experience allows for analysis at a deeper level in which other meanings can be exposed or the "negative case" can surface (2008, p. 80). This may create biases in some critics' perspectives, but is eased if the researcher explains, in detail, her potential biases.

Accordingly, I strove to avoid letting experience in my current position weigh on the outcomes of this research. Notably, I did not study my current institution, as the political and human resources factors, among others, would have disproportionately challenged the validity of the study. I am confident of transparency in my study in that I have direct interest in contributing to the literature on this topic of future review and

research. I also have a passion for the industry and what it represents to the operational

effectiveness of business schools and other academic units in the future. I would like to

be a part of this future and its potential improvements. My credibility and the validity of

the data collected and conclusions drawn within this study are of high importance to me.

CHAPTER 4

FINDINGS

The following discussion is based on the school reviews, online questionnaire and interviews with the senior unit-level leaders of Schools A and B. The school data are presented first, followed by a review of the online questionnaire results. Participant interviews are then reported and analyzed.   The analysis of the collected data relates to the guiding research questions of this study, repeated below:

What are the critical factors affecting the levels of autonomy of senior unit-level leaders within schools of business in publicly controlled universities?

- *What are the work roles of senior unit-level leaders in these schools (e.g., Deans, Associate or Assistant Deans and Department Chairs) and how are they defined and managed?*

- *Is there a purposeful approach to the allowing (or disallowing) of autonomy by senior unit-level leaders?*

- *How do the natures of the tasks assigned to senior unit-level leaders and the organizational structures chosen influence one another?*

- *Do senior academic and non-academic unit-level leaders differ in their attitudes towards managerial control?*

School findings

The universities of Schools A and B both began a department of business or commerce in the early twentieth century. Both Schools also include a School of Accounting, accredited by AACSB, among their main capabilities. As the century

progressed, so did the size and scope of each school's offerings and connections to their communities. School A was endowed with a large naming gift a few years earlier than School B, and both now maintain those names and use them readily in their outreach efforts. The complexity of each school's mission and operation continued to increase as both instituted off-campus programs in growing metropolitan areas. School A enacted their extension presence with success earlier than School B. School A's off-campus success over many years lead to a mandatory restructuring of the campus which created a new entity of the state's university system. School A re-engaged in their off-campus presence years later and maintains it to this day. Both Schools run successful, executive education divisions, which deliver degree and non-degree programming and short courses.

In terms of human resources, School A reduced its overall faculty FTE by approximately 4% between 2002 and 2011 (AASCB, 2011c). During that same period, it increased its professional staff by 13% (AASCB, 2011c). School B increased its overall faculty FTE by 13% and its professional staff by 24% in the same period (AASCB, 2011c). Schools A and B began employing more professional staff in late 1990's to build their marketing communications and alumni outreach programs. School B embarked upon large investments in its career services department, outside of university support, in the early 2000's and continues that today. School A is beginning to build this capability as part of its outreach and student service goals. Clearly, though, both Schools are spending more on their professional staff support in general as their strategies and complexities grow.

Schools A and B are relatively similar in their financial size and instructional support breadth, but are funded through different mechanisms of public and private support. AACSB (AACSB, 2011a) data show that School A and B have total operating budgets plus endowments that are approximately $15M apart. School A's endowment is about $35M higher than School B and School B receives approximately $20M more in state funding (AACSB, 2011a). Both schools, as is the case with most professional schools and, in particular, business schools, have their own school-managed foundations. These foundations are where endowed funds, such as fellowships and scholarships, and non-degree revenues are housed and controlled. This is an important financial tool in the public education arena as it gives the individual colleges additional flexibility in managing their overall budgets as they can spend monies not received through their public allocation. It also allows them additional freedoms, such as the ability to procure goods and services from vendors of their choice, free from the constraints of state procurement policies. Administrative freedoms such as these are key to the schools' ability to manage their operations, marketing and human resources. If planned strategically, their efforts in managing the private monies can yield them market effects that help them compete with their peer and aspirant competitors.

In relation to their external market exposure, both schools actively market their services and products in stand alone websites, both somewhat distinct from their university-imposed branding and markings. Their marketing collateral - brochures, webpages, social media, public relations and messaging, is quite similar. Both rely on social media, such as Facebook, LinkedIn, and Twitter. However, School B has a set of current student blogs that provide immediate feedback and streams of thought geared

towards applicants and prospective students. School A has more static information on its homepage and, while supportive of the school's image, does not show as much real-time, relevant information at the speed in which audiences have grown accustom. School B also has a more complete and clearly articulated school vision on its homepage. The verbiage is clear, visible and relates the vision elements to specific international or faculty activities. This creates an impression to the reader that School B's goals and actions are well calibrated.

Schools A and B's use of students, testimonials and depictions of people is striking, in that they are highlighted prominently throughout their webpages and print materials. This phenomenon is not unexpected in their marketing as many business schools, and other educational organizations, rely on emotional, personal marketing campaigns to increase their brand awareness and, thereby, targeted enrollments. Interestingly enough, both schools also use similar colors and layouts on their webpages that elicit an air of professionalism. The colors are sophisticated and use black as a backdrop to offset photography and prominent text. Web and brochure images are mostly focused people and interactions. Students are pictured in professional attire, faculty in their traditional academic role as they instruct from podiums and lecture to filled classrooms, and highlighted student experience stories that promote the importance of career connections and local community and world impact.

In terms of their academic size and structure, Appendices F and G depict the current, basic organizational structures of both schools. School A has a lead male Dean, nine academic departments, an undergraduate program, multiple master programs, three types of MBA programs, a PhD program, two centers of excellence, executive education,

and limited career services. School B also has a male Dean, six academic departments, an undergraduate program, multiple masters programs, four types of MBA programs, a PhD program, varied centers of excellence, executive education, and comprehensive career services. School B has a greater number of faculty, counted as both tenure-track and non tenure-track/supporting faculty (AACSB, 2011a). School B employs more tenure track faculty than School A by approximately 20 FTE (full time equivalent) and approximately 20 FTE more non-tenure-track faculty (AACSB, 2011a). They each have academic department leaders, or chairs, who are nominated and appointed to multi-year terms of service in such roles. The department leader is a tenured faculty member and typically receives a one or two course load reduction for each year of service in this role. The administrative leaders of each school are a mix of both tenured, adjunct and professional staff. In terms of degrees conferred, School A confers about 500 more undergraduate degrees than School B and School B confers approximately 325 more graduate degrees than School A (AACSB, 2011a). Both schools confer an equal number of doctoral degrees each year (AACSB, 2011a).

With regard to school mission, AACSB data provided for all member institutions in 2010 shows that school priorities focus on faculty research and teaching above service (Appendix H). The data reveal that approximately 50% of schools list "teaching" as their number one priority over "intellectual contributions" and "service" (AACSB, 2011b). In addition to the 50% with priority one as teaching, 33% of schools list "teaching and intellectual contributions" equally as their number one priority (AACSB, 2011b). With 83% of the schools pursuing goals geared towards the faculty in-classroom experience of teaching and the independent activity of research, there is evidence of how important

faculty are to a business school's achievement of goals. This validation of expertise

likely also has a direct effect on how individual faculty feel about the importance of the

faculty role.

Online questionnaire results

The interview participants' responses to the questionnaire provide insights into

the labeling of their academic history and work roles. The results shown in Appendix I,

the full data set, and Figure 2, shown as a subset of the full data, are "cleansed" for

confidential and identifying information per the confidentiality agreement of this study.

School	Working title	Years in Role	Status	Directly reports to	Tenure track?
A	Professor & Department Chair	3	Faculty	Associate Dean for Academic Programs	Y
A	Director of Undergraduate Student Services & Corporate Relations	1	Administration (staff)	Dean	N
A	Director, Undergraduate Certificate Program	1	Both	Associate Dean for Academic Programs	N
A	Professor & Department Chair	3	Both	Dean	Y
A	Associate Dean for Academic Programs	3	Both	Dean	Y
A	Professor & Department Chair	6	Both	Dean	Y
A	Professor & Department Chair	1	Both	Associate Deans	Y
A	Dean	4	Both	Provost and Senior VP for Academic Affairs	Y
A	Professor & Director of MBA Programs	2	Both	Associate Dean for Academic Programs	Y
A	Director of Executive Programs	7	Administration (staff)	Dean	N
A	Sr Director for Finance & Administration	3	Administration (staff)	Dean	N
B	Assistant Dean, Office of Executive Programs	1	Administration (staff)	Vice Dean of Programs	N
B	Professor & Department Chair	3	Faculty	Dean	Y
B	Professor & Department Chair	2	Both	Dean	Y
B	Assistant Dean for Finance and Administration	12	Administration (staff)	Dean	N
B	Professor & Department Chair	2	Faculty	Dean	Y
B	Professor & Department Chair	1	Faculty	Associate Dean for Research	Y
B	Professor & Department Chair	6	Faculty	Dean	Y
B	Director of Career Services & Adjunct Professor	2	Both	Dean	N
B	Associate Professor & Assoc Dean, MBA/MS Pgms	3	Both	Vice Dean of Programs	Y
B	Dean	3	Both	Provost and Senior VP for Academic Affairs	Y
B	Vice Dean	1	Both	Dean	N
B	Associate Dean, Undergraduate Pgms	13	Administration (staff)	Dean	N

Figure 2: Questionnaire results focused on work role

With regard to description of work status in the survey, participants were asked if they considered themselves members of the "faculty, administration (staff), or both". The question did not define the difference between faculty and administration, therefore, participants made their own conclusions as to their status. Based on the individuals' academic records, only three of the participants who selected "both" as their status are not tenure-track faculty. According to generally accepted academic standards, a non tenure-track faculty member is not eligible for tenure status and is not expected to produce original research, nor publish to the standards of a tenure-track faculty member. Non tenure-track faculty, whether part-time or full-time, are considered contingent faculty. Schools employ these contingent faculty flexibly and adaptively as they meet emerging realities such as, course enrollment needs and accreditation assessment goals for faculty to student ratios. A natural conclusion from the responses to this self-identifying question is that the participants defined "faculty" status as any individual who teaches, regardless of tenure status.

Appendix I shows that 26% of the participants do not hold a doctorate degree, and all but one of those 26% have an administrative work status. This particular individual is a member of School A with a "both" work status and has a functional area of expertise not typically seen in business schools. Hence, this individual is the only individual labeled as "faculty" with an educational level below a doctorate and is considered an outlier.

Another conclusion from the work status question surrounds the participants' selection of work status as just "faculty" vs. "both". All participants were identified by their respective Dean as senior leaders in their school and hold various senior positions.

The interesting outcome is that those faculty whose work roles are labeled as "department chair" had varied responses as to their status. Five of the nine, or 55%, department chairs labeled themselves as "faculty" only while the others labeled themselves "both". Breaking this down further, of School A's department chairs, 25% labeled themselves as "faculty" only while 80% of School B's department chairs did the same. One plausible explanation for this difference is that School B, as noted in the above section, has been highly ranked in its intellectual capital capacity over the past few years compared to School A. This academic measure of research success is one of the credible, comparable means for academic validation within management education today. Faculty members who are hired into relatively strong business schools are sought out for their research prowess. As seen here, they may first identify themselves with their faculty role before an administrative role, even if they hold both roles. This finding comports with the AACSB data showing that the two, major priorities in business schools are both faculty-related: teaching and research.

Findings from the last question in the questionnaire "How much of your weekly work routine is focused on programmatic decision-making (i.e., items of the following nature: strategy, structure, resource allocation, process, policy, marketing, and accreditation)?" are shown in Figure 3.
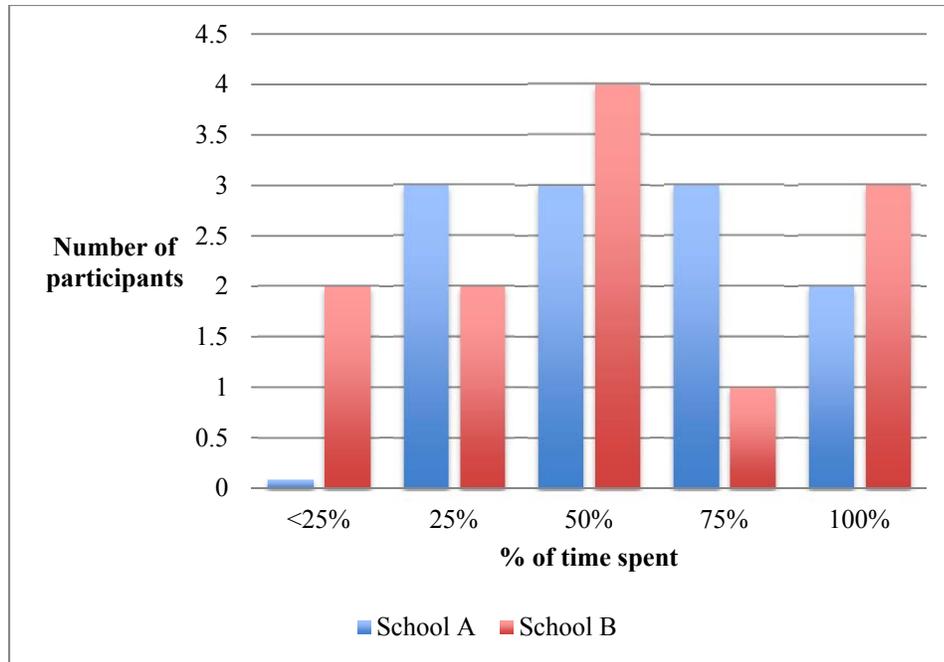
Figure 3: Percentage of time spent by participants in programmatic decision-making

The results on this question vary by work title and status. A notable response was that all participants of School B felt they had at least some time dedicated to programmatic decision-making, unlike School A. In addition, the two highest-level deans in School A both felt they dedicated 100% of their time to decision-making.

Participant interviews – organizing question responses

The interviews provide a rich set of data surrounding senior unit-level leaders perceptions of their work roles and structures. Each interview began with a reference to the original email communication with the participant. Given the detail included within the email and consent form, the participants required little to no additional description of the project during the interview. A simple reminder of it sufficed. Next, the participant's background information was confirmed. Typically, this topic was not discussed for more

than a minute as the questionnaire replaced this need. The interview duration was kept at

or under an hour given the level of seniority of those being interviewed.

The primary organizing question delved into the participant's work experience

progression. This question provided a gradual, comfortable starting point for the

interviewee as it focused solely on his personal experience. The conversation usually

moved more quickly at this point as the participant began to outline in detail his career

steps and roles. Often, these initial discussions lasted longer than anticipated, but played

an important role in building rapport between the participant and interviewer. The

aggregate data from this question yielded similar results for both schools. The majority

of responses focused on a chronological description of the participant's career

progression. A personal timeline, of sorts, was produced from easy recall. A typical

example of a department chair response was,

> I graduated in 1997, so 14 years ago with my PhD. and then I went to the
> University of [X]. Not in the [business] school, but in the engineering school
> there. I worked there for four years, from 1997 to 2001, as an assistant professor.
> And then I moved to the [School B] in 2001 so, you know, I . . . so nearly . . . I
> have been with [School B] for ten years.

Another account from one of the Deans contains more details, yet unravels in a time

sequence,

> Well, after graduate school, I started as an assistant professor at [university A]. I
> worked my way up to being a full professor, and then I got a chance to be an
> associate dean for graduate and international programs, which also made me the
> director of the MBA program. And, I did that for, I guess, it was about four years,
> and we made a lot of progress with the MBA program in terms of processes, in
> terms of rankings, made a lot of progress with increasing the number of
> international programs, and the number of students going abroad, and I created an
> executive MBA program for the school in [a city]. So, there were some things that
> were going really well, and then I got a chance to go to [university B] on the basis
> of some of the things that I did at [university A]. At [university B], you know, it
> was a real learning experience. But, again, we were able to make some big
> changes in programs, improve rankings. [University B] was my first chance to do

a lot of fundraising and have a, you know, a great deal of interaction with the business community. And, you know, I guess, based on the successes there, I got the opportunity to come to the… [School A]. So, I was at [university B] for about four years, and now I've been at [School A] for four years.

At times, participants explained their rationale for taking the next role in their career progression, such as the Dean above, but other times they did not elaborate. A typical "administrative" leader response was,

So, when I first got out of undergrad here at [School B] in accounting—(mine is) public accounting—then went from public accounting after a couple of years into bank consulting. And I guess one of the things that attracted me to bank consulting was the variety of clients and the travel. And so it was similar to public accounting because you had a variety of clients, but there was a little travel involved. So I did that for 17 years and then decided to do something on my own. So, I did general consulting in the accounting business process arena for maybe two years and then accidentally fell on this. Because what I would do to look for clients, I'd look in the paper for people who had projects that they needed to have somebody work on—project managers. So, I would offer my services for interim, while they were finding full-time people. So, it was kind of just how I . . . So, I found the ad in the paper for this—for [department]. They needed somebody to put in processes—business processes. You know, invoicing, accounting system stuff, and it was a . . . what they called—a soft position. Of course, I had no idea what that meant at the time. It just meant it was not a full-time permanent position. But I didn't care, because that's all that I wanted. And so I started doing that.

The most significant responses to this question revolved around replies the department chairs gave as to why they were in the department chair role. Of the nine department chair responses from both schools, six, or 67%, discussed how the role was really just a next step in what they have to do as faculty, and often not a desired one. This type of answer was unexpected in that it showed the role as one of circumstance, more than a role as part of a planned career path. In fact, one department chair of School A stated, "Unless you want to be the dean or associate dean, it doesn't help your career. It hurts your career." Another department chair at School B said, "Progression to department chair is sort of… predisposed. I had been told that your turn comes after [the

current chair]. I was told for years that my turn would be next." A more recently appointed department chair from School B even said that he was not interested in the department chair role, but that he believed he was, "always sort of an engaged citizen and found a way to balance [his] research with that." In comparison, none of the participants classified as "both" - a faculty and administrative staff member - or just "administrative" ever mentioned their role as a matter of convenience or even as a next "turn". The administrator articulated more of a focus on building a career and on being part of something larger than himself. This comparative set of responses lends insight into the career objectives and motivations of the leaders within a business school, and perhaps other colleges and units in higher education.

Participant interviews – probing question responses

The probing questions were designed as topical areas, or themes, of exploration. Therefore, the reporting and analysis of the data are best organized by these themes and by the categories discovered during the data coding process. The responses will be examined by work role within each school and between each school, comparatively. The analysis begins with a further investigation of motivation.

Motivation

In general, participants had the following descriptions of their motivations for working in higher education, as seen in Figure 4 by self-identified work role.

Administrative/staff	Both – faculty & administrative	Faculty
• ability to use creativity and knowledge* • making an impact • energizing • rewarding • making connections • adding industry perspective • adding value	• teaching/tutoring* • challenge* • stimulation • research • passionate/mission • recognition • lifestyle/fit • family history • policy making	• research* • family history in higher education* • teaching • flexibility • independence* • freedom/control of work life/fit* • reinvent oneself • making an impact • meritocracy • like learning
* denotes response documented more than once		

Figure 4: Reasons for working in higher education, by work role

The responses show a myriad of reasons for working in higher education. One of the

most frequent is the faculty response is a history of family involvement, most often the

individual's father. As one department chair put it, "My parents were both educators.

My grandfather was an educator, my sister. So, obviously, I grew up in a house where

education was valued." Another stated that, "My father was a professor and he pushed

my brother and me in going straight through school and getting a doctorate; seemed like a

natural progression to try a faculty position right after that". Another frequent response

theme was the desire for independence, flexibility and the ability to control one's work

life. One department chair at School A summed it up,

> I don't like being told what to do. Learned that early on in my career. More than
> anything else what irks me is being told what to do, especially when the rule that
> I'm being told or the edict that I'm given doesn't make good sense to me. So I
> actually sat and thought long and hard one evening with my wife not long after
> the birth of our first child about … what would be the best gig in the world for
> somebody who just really deep down doesn't like to be told what to do, wants to
> be able to call their own shots? I had thought for a while I wanted to run my own

business. Did that and came to realize that you are told what to do then, by your customers most often and just by circumstances. I wanted a job where if I was good enough at it I could truly be left alone to do what I thought was the right thing at most any time. This is the only job that I could imagine that truly did that, where you had that level of autonomy.

Some of the desire for independence was presented in terms of work tasks. A department chair in School A said, "I never wanted to be in a position to manage anybody. I wanted to do my own thing and academics seemed to be a pretty good area for that."

The other frequent faculty-oriented response was the focus on research and knowledge creation. This response complements the traditional faculty role in that productivity in research and original thought is at a high premium. A department chair in School A described, "As I have gotten older, I have become more deeply attracted to and energized by [my function] for its own sake. I enjoy the profession and the disciplinary focus that I have." Another faculty chair of School B explained his motivation slightly differently,

> I like doing research, writing, teaching so . . . and, you know, it's a very familiar environment going from one school to another, you know, almost the same environment. So there is really very little change, right. So, if you go to industry, I guess, you know, there will be some change. You will have to do something practical in industry. But in academia, you know, we just continue from your kind of doctoral study and…you do pretty much doing the same thing—research and teaching. I really like science and research and I really like what I do as an academic.

A department chair from School B added, "My motivation is first and foremost research and knowledge generation. But I also very much enjoy the knowledge sharing part of it."

In comparison, the administrative leaders mentioned motivation reasons with more emotion and reflection on their own strengths or impacts. One senior administrator claimed that, "Given the needs of the school…I knew what I could provide. I knew...an

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absolute need for good financial management and business processes and some

discipline." The same individual shared that the following about the role of an

administrator, "I am not here to win a popularity contest." Likewise, other administrators

focused on the non-production side of working in management education as they

described their impact to the field of business education. A leader who supports

undergraduates said that she "develops diamonds in the rough" and a leader who

spearheads executive education programming at School A explained his motivations as

helping to "develop better professionals."

Individuals identified as both faculty and administrators showed a wider range of

responses – taking a page from both the administrator and faculty perspectives.

However, there is a noteworthy difference in that they alone described deep personal

perspectives such as by one of the Deans,

> I'd already sort of seen the teaching and research side of things and felt like I was
> successful with that, so the new challenge was exciting. And that . . .[is the] sort
> of the thing that continues to motivate me. I mean, I feel like we can improve
> dramatically the quality, the education that our students get. And I . . . you know,
> I really like the idea of being able to push that agenda. …It's really that
> opportunity to make improvements and…there's sort of the personal recognition
> that I get for some of the changes, some of the improvements we've been able to
> make. I mean, that's a motivator.

The other Dean stated his motivation in a similar way,

> You know, because I really like this whole . . . the challenge of building
> institutions, right. And that is the . . . really the challenge you know. So, I like to
> build things. You know, I like to make things better and since I'm in higher
> education, you know, that's what I'm doing. And if I were, you know, a doctor in
> a hospital, I probably would be running a hospital because I like to make things
> better rather than just do my own thing and go home.

Another good example of the personal nature of motivation for the faculty administrative

leaders is the following reply, "It's always a blend. I mean, you get into it, initially,

largely out of personal motivation and sense of fit." These faculty/administrator

responses, notably those from the two deans, depict a more advanced level of

management and leadership desire and a greater focus on the challenge of their role than

the responses from the faculty and administrators. Of course, none of these responses

demonstrate quality performance in the participants' respective work roles, nor were

these assessments part of the study. Rather, they denote what is top of mind when the

senior unit-level leaders were asked about why they do what they do.

Work role

The next set of probing questions focused on the participant's work role within

their school. First, the participants typically articulated the definition of their work role.

In general, the participants, in all roles, felt comfortable with their overall role and

macro-level responsibilities. They seemed to all have clarity in this regard. However,

the rub presented itself when they discussed the direct control over their work. Many of

the administrators commented on having fairly good control over the larger duties

assigned to them, but were frustrated with the seemingly micro-management of

seemingly small details. An example of this is from School A's leader of executive

education programming. Through his comments, he made it clear that he was

comfortable with the latitude, or control, he had over the many and varied programs he

delivered. However, he was frustrated at the lack of control he had over smaller details

such as marketing material details. As he stated,

> What is clearly defined is that I am expect to run Executive Programs that deliver
> a profit and provide quality educational experiences for our participants…And
> that is about as clear as it gets. Where we run into the rub are issues of control
> over things like [marketing] guides. I am given tremendous latitude to be
> profitable…our rub still comes back to the little decision-making things that you
> wouldn't think [would].

Other participants commented in a similar vein that they felt good about their

scope of control, but that they were going with the existing momentum and building

along the way. One of the Deans stated,

> I'm sure people try to write handbooks, and for various reasons, I don't think
> people who become deans start reading those handbooks. Part of the reason is
> there's really no time. Because you're thrown into the deep end, and you have to
> swim, and if you sit down and say I want to read a handbook, then it becomes
> difficult.

Another administrator detailed that her role was new to School A and it had never been

fully scripted other than a main, overarching goal of better support. She was given much

autonomy and had daily and weekly control without discrete tasks. Further, one of the

administrators at School B stated emphatically that "no one knew what she did". The

data presents a picture that much of what these leaders do is learned on the job or created

as needs arise. Therefore, control may not always be a factor in a work role definition

when growth is part of the role mandate. It is as if the changes and expectations change

so quickly that formal guidelines and processes cannot keep pace. Additional feedback

on work roles is that work processes are simply not in place to be followed. This may

have implications for meeting organization goals and keeping the team focused on the

overarching strategies.

How did these participants say they worked? The administrators tended to focus

on their sphere of influence as they recognized that, at times, they did have little control

over their outcomes. One administrator at School B stated it this way, "I don't always

play it a certain way, I present options." Another administrator at School A said, "I think

of myself as a rebel. I think that I have developed very strong relationships with peers…I

have track record of getting things done." Many of the participants designated as

"faculty" describe their role with significant time and effort placed on actions of buffering colleagues or staff from negative interactions or tasks. One department chair from School A stated clearly, "I clear a path for simplicity; I buffer my faculty so that they can focus on research." Another from School A used the phrase, "I shield my faculty from administrative work." A department chair from School B plays a more harmonizing role, as he states it he, "is a hired hand and tries to please the faculty." Other faculty were much more pragmatic and explained that they have bureaucratic and mundane tasks to perform. These faculty are, at times, critical of the amount of routine tasks they need to perform because their time dedicated to research is the most valuable. One department chair explained a change over time, "The chair role became more and more beaurocratic. There are big strategic issues not being dealt with." In fact, one department chair in School B stated that time is a faculty's main "currency", and, hence, time away from knowledge generation is costly.

On a different dimension, a few of the participants designated with both administrative and faculty work roles, described the way they worked in two forms. First, their role is strategic and has a longer time horizon, but is also a shared responsibility. For example, a Dean stated,

> I feel like it's my role to provide some leadership to that faculty role and to provide some broad suggestions of things we should do differently or things we should change. So, it's a real shared governance issue in terms of curriculum and degrees to be offered and even, you know, methods of delivery. You know, I think that the academics of the college are something that is my responsibility shared with the faculty.

The other dean focused more on his leadership with support of a team,

> But it's very important, I think, to do your job as a dean to know that you cannot do everything. You really need a very good team, and then you also need to trust

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the team, and you build the right kind of responsibilities…Now how do you learn that?...you start with that philosophy. Some of it is a little bit of trial and error.

Secondly, their role is management and coordination of a group of people. This description is not necessarily something new to leaders of organizations, but what it may present is added complexity in that the same individuals noted that they did not have full control of their outcomes. This is explained, in part, by the fact that the university hierarchy continues to be a layer of management to individual colleges in their system. As one senior administrator from School A sees it, "The University is very, very conservative. There is a very conservative culture." The university still maintains control over much of what is produced at the college level. A senior leader with faculty and administrative responsibility explained, "There is an interesting governance model when you are a net exporter to an institution that has so much governance control. The disconnect between operating and governance control can be quite frustrating." Arguably, this trend of university-level control has increased in intensity given the economic constraints of the past few years.

Another critical element of the work role question was the issue of whether the participant's work status as faculty or administrative staff affected their ability to do their job. The responses from the administrative participants were predictable in that they showed awareness and, at times, frustration with their non-academic status. One administrator from School A stated it in this way, "I am not respected as much, although it could be personality differences". She went on to say that, "[Some] faculty are not so receptive to working outside of their department. There is arrogance within the faculty." She said that she is able to cope with this circumstance as she has support from the Dean and he encourages her role, even with the faculty. On the other hand, an administrator

from School B said that, "I have to work smarter and sometimes harder to be able to gain the trust of tenure track faculty that what I am presenting to them is an opportunity for a win-win." He also acknowledged that since all are working within the same framework, he accepts this reality and it does not bother him. Yet another administrator looks at this dilemma in the vein of adding value to the organization. She stated,

> As I said, it's a class system, and if you don't have a Ph.D. from the appropriate place, then you are not considered credible. And anything you say, it's, "You don't understand." Ah, okay. And so it's . . . it's an interesting mix, you know…Department chairs are not taught to be administrators and they do not want to do it.

Faculty with administrative roles, or designated as 'both', had an array of responses to the topic of faculty vs. non-faculty role effectiveness. One of the Deans was clear in his perspective that he is the lead faculty member in the school, serving as a leader in shared governance – the ideal that the collective faculty have rights to lead the direction and strategy of any of the academic elements of operating a degree-granting educational institution. He stated, "One of the things that has surprised me about [the university] structure here is the relatively large role that's played on campus by non-academics." In discussing a standing, but unused committee structure, he stated,

> It's just too big, and the kind of interests that are represented are just too varied to really got much done. . . it's also composed of non-academic directors, department heads, associate deans. … and I would say in the typical university, there is a . . . there can be a resentment of tenured faculty members for having non-academic people in decision-making roles or at the same table as them and perhaps expressing opinions that they disagree with.

The other Dean, through an account by a department chair, had stated many times to all of his department chairs, "You are not administrators, you are leaders." Two senior faculty administrators had the general viewpoints that they hold a great deal of freedom

in their roles. One noted that his perspectives were keenly shaped by his faculty view, "Everything that I say, and all of my sort of view of things, is very strongly shaped by the faculty perspective." The other faculty member highlighted that he "does not abuse the freedoms given to him".

One of the most positively influential perspectives from a faculty member with administrative duties revolved around his ability to both teach in his program and partner with faculty in a symbiotic manner. He stated, "Now you have somebody here that can speak curricular [speak]. I can do things on a partner level, it is not a staff/faculty thing. I can speak their language." This is a role that he described as not having been possible many years prior to his tenure in that the incumbents had been non-faculty. In this same vein, another faculty member acting as an administrator said, "And this is where I now was able to, at least a little bit more easily, do something that senior staff would have a harder time doing. As a faculty member, I could reach out to my colleagues."

The implications of the faculty/non-faculty senior role issue brought to life here are interesting as well as confounding. The roles that senior administrators hold are quite bureaucratic in nature, filled with tasks and budgets and details. These also are the tasks that the faculty admittedly like the least. Yet, there is tension when non-faculty hold those roles. It may be the sense of professionalization of the academic work roles that furthers this tension. There also exists a desire for governance and coordination of all academic details, regardless of how germane the tasks are, simply in the name of academic freedom and governance. The tensions may exist, however, without this identified role ownership concern due to other factors such as strength of capabilities or mandated criteria for hiring. It seems that there is also, at minimum, the likelihood that

the relationship between faculty and non-faculty in the senior level could co-exist more effectively and with mutual satisfaction.

Reporting structure

Leading from the review of work role, the probing questions turned to the reporting structure within which the participant works and operates. Large, complex institutions such as universities have many forms of reporting relationships, some strong and some weak. However, the added complexity of the academic profession's many and varied stakeholders and the public mission of publically-controlled institutions requires an enhanced sensitivity to the working environment. The majority of the faculty, 67%, felt that they reported directly to the Dean of the school. The other 33% felt they reported directly to one of the senior Deans, Vice or Associate, of each school. This is not a significant finding at first glance, however, if one considers the nature of the academic profession, there are implications.

A primary finding of this study is that the freedoms associated with academic thought and scholarship, tend to bleed into assumed freedoms of the managerial type. As an example, one department chair at School B, when asked about the clarity of his reporting relationship, responded, "It is not important; I don't care." His lack of concern with the overall management and control of the school is likely passed on to his entire department. Another department chair at the same school was more concerned with how the Dean was able to appoint new roles to the faculty without first consulting with the faculty community. The operating plan, typically used as a guiding set of policies to run and manage the school, was described as outdated and had not been re-addressed by the Dean as planned. The department chair commented in recalling the posting of a new,

senior dean role, "There is no new [dean] role in the operating plan so where did this come from?" He also stated that many other faculty members in what seemed to be a question of authority and ultimate accountability shared his concern.

Another obvious issue with the lack of clarity in reporting relationship is that policies and procedures may not work as intended. As one of the faculty serving as an administrator stated, "There is a presumption…that the faculty have a right to speak with the Dean". He further described this right as a need for access, in a face-to-face capacity, to communicate and air concerns. This may create a situation where standard channels of communication are by-passed, possibly an unintended consequence of this shared, internal governance model. Similarly, senior administrators may have difficulty working effectively within a model where there is lack of clarity in reporting structure. Schools A and B have a structure of two senior-level deans that take on duties in two main areas – program and faculty issues. One senior administrator of School A stated,

> It's fairly well defined on paper, but then try to put it into practice. Because [name of Associate Dean] is more of the faculty research side; [name of Associate Dean] is more the administrative faculty side. But even that rolls over into some of the stuff I do. And, you know, so anyway, it's confusing at best.

A department chair of School B stated, "This works well; there is a fairly clear split between research and other details such as logistics and policy". However, when an answer is needed, the senior or associate deans seem, again, to get by-passed as the leaders seek the support of the Dean himself. In essence, the two "second in command" leaders spend time working to ensure that they are in synch. As one department chair in School B said, "[The Dean] is the ultimate decision maker so people just go straight to him." The study found that this lack of clarity in work roles was not unique to either

school and that the senor unit-level leaders found ways to work around the ambiguity, but not necessarily in a coordinated, effective manner.

The responses from the two Deans were strikingly similar. They both report directly to the provost of their university and convey that they are comfortable and clear with the reporting relationship. They did highlight the varying effects that the relationship has with their overall management of their operating unit. Mostly, this came in the form of budget implications. One Dean commented,

> And so…the relationship with the provost is very important for a dean. I mean, at the end of the day, the deans'…direct boss is the provost. Now. . . the strength of the relationship varies depending on how…decentralized the budget is.

The same Dean explained about a recent, negative change in the school's internal taxation of degree programs, "[The Provost] set up a committee, and he got the committee to work on this, and the committee came back with a recommendation. And he said, "Hey, you know, I'm not against the business school." While this internal negotiation may happen frequently, it is the change in the process, decided via committee, which seems to have the greatest impact to a dean. Few organizations have the internal agility to make changes to long-standing budget models in short order, especially those in a public organization where a large percent of the budget is fixed, human resources (i.e., faculty). Another comment from a Dean referenced the negative impacts from the point of state control in saying,

> The economic problems and the inability of the state to support the University System the way it used to has given us a more compelling case to people that they need to step up, and they need to give…the state is reducing funding to higher education and, you know, we have a problem here. If we want to continue to be one of the best colleges in the country, one of the best universities in the country, we need your support.

The Dean used the decline in state funding in a positive way to solicit donations and adapted with a new case for support.

With regard to committee structures, the responses show that much of these formal working groups are effective, but there is some lack of coordination and strategy focus and membership on the committee may under-represent the program delivery functions of the school. The department chairs acknowledged and agreed that a part of their role was to create and support committees and participate in school-wide committees or task forces. A department chair of School B stated, "There are many, many committees…small and big and sometimes…the School level has committees, so I nominate faculty to participate in the School level." Another department chair explained, "The faculty should go to committees and debate things. We have a committee structure in place that is part of the operating plan, but we tend not to always follow them." Yet another department chair commented that the Executive Committee meetings had increasingly taken on more mundane matters and that "there are big strategic issues not being dealt with. It makes it interesting to be a part of that."

A senior administrator mentioned that he was not part of the Executive Committee where large-scale program discussions and strategy occur, yet his programs interface with faculty governance and he had to find a work around to that. He stated, "The way I deal with that is just meet with the department chairs individually." These data seems to indicate that there is opportunity for a review of committee structures and how they interact and overlay onto the strategic planning process of the school. Committees and reporting structures are intended to create mechanisms of accountability and control, but they are not easy to manage. This leaves the senior unit-level leaders to

uncover and create new coordinating tasks and decision-making processes to keep information flowing throughout the school.

Decision-making

Next, the interview focus shifted to probing the decision-making processes within the participant's work environment. For the most part, department chairs felt they were comfortable with their decision-making constructs in that they know where to go if they are unclear with a particular decision or they employed their own process. For instance, many of them seek counsel internally within their department. As a department chair from School B said, "Existing processes [help] with straight forward [decisions] and committees are in place [to assist]." If a committee does not agree, he has to discuss and socialize the issue in many iterations in order to work through it. This iterative process displays some concern for equity in the decision-making process and an acknowledgement that in order to gain that equity, one may have to use influence and negotiation skills. Another department chair from School A explained his thought process in more detail,

> I don't really have a process. I always do what seems right. If I'm not sure what seems right or if I'm not sure whether or not it will make trouble for somebody else I'll go ask that somebody else. But my default is always just to do what seems right without a great deal of consultation. My faculty have learned to trust me so they don't object to that. The dean is learning to trust me and even he doesn't object to it. I occasionally get my hand slapped for overreaching, for doing something I shouldn't have done, for taking the liberty where I shouldn't have taken it. I'm the first to say I'm sorry and admit I'm wrong but I'm not changing my style because most of the times I'm not wrong. So it's easier to get pardon than permission. As long as you're always trying to do the right thing, and if most of the time it does work out correctly, everybody's better off as a result. It seems to me that's my job. If I'm not doing that then I'm making people worse off rather than better off.

This response displays the complexity with some of the decisions and provides greater insight into how a decision maker and senior unit-level leader may balance decisions between equity and ethical perspectives and those of efficiency and speed.

Some of the department chairs, however, are not sure that they really have many decisions to make. As a department chair from School B said, "I don't find that there are a lot of big decisions. [I make] a bunch of small decisions. I don't think it is a very strategic role." He continued, "Deans have more of a role in [decision-making] and program directors [as well]". Another from School B stated, also a bit negatively, "Ideally, faculty are in control of program issues to the extent possible." He then went on to explain that the faculty committee structures intended through implementation of the school's operating plan, were not always followed. He also defined the school culture as "doing your own thing". In School A, a department chair represented the decision-making process as "more centralized" than it had been under the previous Dean. But, he cautioned,

> So I think if I have a criticism of the centralization at all, it's not centralization, per se. I just think in some cases we have the wrong thing centralized and the principles to operate under to determine which should be centralized and which shouldn't be.

He gave the example of working with the university-level Graduate School in the admissions process. He explained that frustration has increased with the lack of effectiveness, but the Dean's office had not moved on this issue. He therefore assumed that he might not be in synch with the Dean's office on this matter. Yet, as he explained, "But the bottom line is we live in a world where, I think, most department heads would rather be safe than sorry and wind up seeking approval."

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Yet another element of the decision-making process entails the level of controversy of the issue. One department chair from School B stated,

> If it's a small thing, then I just make my own decision, right. But if it's something major..then normally the school should have a process. So, normally, I would check with the dean's office and ask if there's an existing process that I can follow. And, if not, then… they have to create one because if… this kind of thing is happening in other departments as well.

A department chair from School B put it simply in stating, "You need to work through the system". There was a general feeling of power and control from School A that was not as evident in School B. For example, a department chair from School A stated, "Departments have a lot of power in [School A]". But, at the same time, he mentioned frustration when any dean over-ruled a department chair decision in regard to student issues. Interestingly, another department chair from School B said, "Not everyone can be happy". Typically, it is assumed that not all parties will be pleased with any particular decision. This expectation for harmonization, that all will or should be happy, is unexpected, perhaps owing to different perspectives in academia than in other types of institutions. In relation to the level of issue, an administrative leader of School A commented on tenure-track hiring decisions, arguably, one of the most important and expensive faculty governance decisions made within a school of business. She said, "There is no risk….No hard decisions are made". These comments were made with discontent about how the financial management of the school is controlled by the Dean who may or may not have the experience or skills to make such decisions and commit the school to a set of long term fixed costs.

With regard to budget issues, the responses were mixed. A department chair shared a situation where a program once owned by his department "shifted into

something else because the Dean's office saw money." He contends that because funding

has become so critical to the college unit, the revenue potential of a program now is the

"most important" as compared to educational intent and quality. As discussed

previously, the current economic situation creates a situation of both "mandated cuts and

lower program revenues", as stated by a department chair in School B. Some of the

leaders see the university as a part of this problem. As one department chair in School B

stated, "The university has been a big roadblock regarding workload issues". A senior

administrator in the same school substantiated this when he commented on staff and

faculty retention, a function now owned by the university:

> It is micromanagement…inflexibility …and counterproductive. I do find the
> disconnect between who is really responsible, ultimately, for running the
> business…and the governance control…especially on HR issues, becomes really,
> really difficult, [especially] on our ability to be flexible.

The accountability often lies within the operating unit, the business school, but that unit

does not always have the control and ability to make a case that presents a full picture to

the ultimate university-level decision maker.

The Dean responses differed a bit on the point of decision-making. One Dean

was succinct in his process management and explained that he had three main avenues to

pursue assistance with larger decisions. He discussed seeking the counsel of the provost,

consulting the faculty by-laws, and seeking the counsel of senior faculty to gain

perspective on precedents. The other Dean, mostly in relation to alumni management,

discussed his thoughts,

> I think the university . . . the university does get in the way sometimes partly
> because they feel they're a representative of the state. I want it to be on the record
> that this is crazy micro-management. . . I am a believer in this thing called
> dialectics. . It's about conflict—that good things happen when there is conflict. I
> mean, conflict can be destructive, but it can also be very, very constructive. I

think it's very important to kind of make sure that you are able to reconcile the conflict and also get to a better place because of it.

Contentment

The last probing question examines the participant's feeling of contentment with their general control and decision-making. The themes that emerge are positive and negative, forward-looking and reflective. There were as many, varied responses as the number of participants. Ten of the eleven participants of School A responded with positive comments. School B's comments were mixed with seven of the twelve responding more positively. The general replies, regardless of role, promoted opportunity for business schools and their leaders. Within School B, a faculty administrative leader commented,

> I think one of the important considerations in this particular job—and maybe more broadly in any sort of standard administrative job—is, you absolutely positively have to be forward looking, and you absolutely have got to place a very high value on satisfaction of all parties concerned.

Another faculty administrative leader stated, "My comfort with ambiguity allows me to create and make an impact. [My] influence is greater than my decision-making ability." This response shows a reflectiveness and adaptiveness that the individual holds and its impact on his level of autonomy. If he is not given direct autonomy or work control, he suggests that he is able to work around that situation and create his own outcome.

Another department chair reasoned, "At the end of the day, it is about knowledge creation." His comment shows his perception of his level of autonomy compared to the overall mission of his role within the school. Within School A, a senior staff leader said, "I've learned that there is more opportunity on campus than any person could ever take advantage of in their entire life." A department chair declared, "I actually think the

decision-making authority is…fine." A senior staff leader paused before her response, but then commented, "I think this next year is really going to be a better, settling in year and really understanding what we are doing and the payoff."

Constructive comments from the schools stem from concern about the future. As an administrative leader stated, "Next year, we'll probably be in an accelerated decline." Her comment was based on her belief that admissions and university relationships are no longer promoting the same high standards they had been recently. Another administrative leader is concerned about the misdirected focus by the school and university towards the faculty and their productivity, at the expense of the student experience. In relation to mandatory faculty retirement, she commented,

> Yes, and [faculty] can afford to retire. But they choose not to. Why would you - you have a nice job, you have a wonderful salary, you have benefits. So, there is no incentive to retire. And I think that is a huge disadvantage; number one, to your financials but [also] to the students. I mean, you know, come on, let's put some new blood in here.

Similarly, department chairs had responses that focused on the overall management of the schools. One department chair directed his comments towards the culture of the school. He said, "We need to change the culture - get more faculty involvement in all aspects of the college." He believes this would lead to better rankings. Other faculty responses were directed more towards the focus of the Dean. As one commented, "The Dean worries about the rankings; maybe he needs more help with administration." This comment was in reference to his concern over rankings and shows that he feels no obligation to determine overall health of the school as ranking might show. He was removing himself from the rankings as indicators of success and, instead, focused on the importance of research. A faculty administrative leader replied at length

about the innovations and opportunities lost and how those losses do not move the school

towards success. He stated,

> There's one set of problems going up and there's one set of problems going down.
> Going up is communicating better to the provost and to the president. You have
> to ask them what kind of business school do you want? Are you okay with us
> being in the top 40-ish, 50-ish and saying that for a public institution we do okay?
> Then that means one set of resource issues and then we have to position ourselves
> with our constituents and with our customers that that's where we are. Going
> down is in terms of faculty participation we're very – it may not be unusual. I
> know when I was at [University] and [University] I was much more interested in
> the welfare of the college as a whole and I was actually willing to do things that
> weren't necessarily 100 percent in my own self-interest in order to advance the
> interests of the bigger institution…. Here there's almost this notion that, "Why are
> you asking me this? Clearly, the only way that we're rewarded is for our research
> so don't ask me to do things that take away from that time.

This reflective response seems to indicate confusion among the unit-level leaders with the

strategy of the school, insomuch that there is a dissonance with acting on behalf of the

school versus on behalf of their personal research agenda. Another department chair in a

forward-looking frame of mind, stated, "I am trying to play to my strengths." This

response does indicate a lack of connection between what impact his role as department

chair might have on the school contrasted with the impact of his personal achievements

on his own career.

The interview responses show a wide range of perceptions of the participants'

levels of authority and autonomy. The macro factors that are prevalent in discussions of

the health of the management education industry do not seem to translate into the micro

factors that constitute these individual's more routine and expected decisions on a daily

basis. What is clear, is that there is no one way in which autonomy is given or awarded,

rather a leader exploits his relationships and personal strengths to get to a place where

decisions can be made without overly concerning the parties involved. There is a level of

adaptation that occurs within these leadership roles, based on the situational and

personality factors that may not be prescribed nor previously undertaken. This study

finds that autonomy is not necessarily planned nor articulated well in advance of

establishing work roles, but may stem from historical assumptions and assumed

privileges of those roles.

CHAPTER 5

CONCLUSIONS

This chapter concludes the research and summarizes the following topics: summary of results, study limitations, implications for practice, implications for further research, and conclusions.

Summary

This study shows that the motivation for working in higher education for administrative senior unit-level leaders contains more external and applied reasons than for the faculty. The non-faculty administrative leaders and the faculty-administrators tended to weigh factors of personal contribution and overall organizational support more heavily than factors of fit, independence and flexibility. The majority of faculty focused on their ability to individually contribute and to work flexibly as motivation for working in academia. These motivations link to decision-making processes as well. Administrators seemed to operate comfortably within established boundaries for leaders with a non-faculty status. They used their sphere of influence, however, to operate more aggressively outside of their non-faculty status. Accordingly, the administrators tended to compliment school decisions and processes that promoted the entire system and contest those that yielded few organizational benefits, from their perspective.

The work roles within a business school are fairly typical and comparable across schools. Interestingly, it was found that these roles are defined and managed less than expected. A sense of duty and history seem to replace expected, traditional management

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techniques within the academic field. The concept of loose coupling was displayed in the interview data, for example, as the department chairs explained their work role definitions and decision-making processes. The chairs' sense of obligation often stemmed from their position in the organization, their "professional standing" rather than any personal obligation to the college or institution. They tend to hold loosely coupled ties to the broader academic mission and much closer ties to their research agenda and department or function affiliation.

The study shows that the application of autonomy in decision-making and work control created tensions between equitable and ethical decisions and those decisions that were based on expediency. In a setting where academic freedoms, at times, translate to administrative freedoms, this tension can be detrimental to strategic planning efforts – both in terms of expediency and change. The organizational structures that had the most impact on levels of autonomy were of two types. First, the number and type of committees that were appointed and, secondly, the faculty status of senior-level leaders appointed decision-making authority. The data present that the shared governance model of academia can create natural gaps in ownership of outcomes as committees, department chairs, and other administrative leaders make sense of their situation. In other words, there exists a tension between the professional authority that is the hallmark of the academe and the economic realities of serving stakeholders with effective programs, quality learning and appropriate accountability.

In relation to the current public debate about the growth of administrative management within higher education, these findings do not necessarily match when reviewed within the management education arena. As the popularity of both

undergraduate and graduate degrees has increased, so has the need for administrative

support of those programs. One reason for this is the nature of the increase in graduate

programs, such as the MBA degree. Graduate level programming in management

education inherently consists of greater, individual student services to meet the demands

of the competitive landscape. This is especially true of professional and executive level

business programs. Accordingly, there seemed to be acceptance among the senior unit-

level leaders about the need for more robust student experience costs, but with an

acknowledged equal need for continued growth of support for research and intellectual

capital gains.

The study also reflects the relative similar situation that both schools are in within

their industry. Constraints from university and state level governing bodies and an

overall economic recession have caused both schools to adapt quickly, but not necessarily

strategically. The Deans responses show varied levels of concern over university-level

engagement in their operations. There is a clear difference in their styles and approaches

at times, but both are advocates for as much academic autonomy as feasible within their

current financial and administrative constraints. At minimum, they both did not concur

with a one-size fits-all approach to university mandates like internal taxes and hiring

processes.

Finally, the study provides insights into the three main senior work statuses

studied – administrative faculty, faculty and staff. In general, the faculty are motivated

and work towards legitimacy. This is in regard to both their colleagues in their discipline

and those within the school. Non-faculty administrators are typically driven by a need

for validation. They use their influence and adaptability to work towards their goals and

find ways to get information if it is not directly presented to them. The faculty in senior administrative roles and the Deans tend to be motivated by a combination of control, legitimacy, validation and praise. They seek challenges and work towards meeting them for their own benefit, but also for the benefit of their school.

Study limitations

This study has inherent limitations. Mainly, it is a case study of only two public business schools. These schools, while similar in many ways, have cultures and history of their own that undoubtedly shape its leaders' perspectives. There are also political and power issues that likely come to bear on the results. Even with confidentiality clearly articulated, participants still held back from full disclosures in many instances. One interviewee stated that his responses would be positive, as he did not wish to pass on negative comments about the school or other leaders. Some of this caution is also attributed to the researcher role. As a current leader in a competing school to Schools A and B, the participants may not have felt comfortable in being completely transparent in their comments. This is understandable and an effort was made to compare data such that even small inferences were explored in detail.

In addition, an objective measure of a leader's capability was not used in this study. The effects of poor leadership qualities and individual skill constraints are mostly unknown in this study, but could have large impacts on the organizational climate and the structures and controls implemented. Another limitation is that the topics of entrepreneurship and innovation, although closely linked with autonomy and work freedoms of senior leaders, did not materialize as robustly as originally thought. These topics require further literature review and research time. Lastly, the differentiation

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between the Dean role and all other unit-level leaders did not emerge as anticipated. Although the Dean's interviews were helpful to this study, neither resulted in feedback, on most topics, that allowed for detailed analysis of their reactions to topics versus the team's reactions. This is likely due to their desire for collegiality and protection of their leadership style.

<u>Implications for practice</u>

In many business schools, unchecked internal work autonomy has created a situation where no one really knows what is happening throughout the sub-unit. Senior unit-level leaders, all demanding freedom to implement and control their decisions, end up in a non-coordinated system. This has implications to school strategy and its processes. Institutionalized processes affect managerial coordination and information flows. If senior leaders cannot predict the timing of inputs or depend on the relevancy of those data, then their coordination is limited. If individual actors within the system act of their own accord, citing autonomy or control, which is outside of the established coordination, then outcomes will be un-predictable and, likely, unmanageable. The issue is best described as a misalignment of autonomy and work control. Senior leaders, especially tenured faculty, who perceive and expect that their decisions will hold due to their academic freedoms, are applying those freedoms inappropriately to managerial outcomes. The result of this is lack of managerial coordination and, typically, frustration within the system that managerial actions are not in accordance with planning.

In terms of financial impacts, the internal school process of budget modeling is an integral part of the management of the school. Leaders who are able to forecast revenues against planned expenses are in a better position to handle changes in their fiscal

environment. A senior unit-level leader must be ready to make hard decisions about the allocation of resources given the many defined and unknown needs of the school. As a leader, interpretation of those needs and the ability to forgo egotistical decisions is a necessity. For example, one school in this study is in current financial stress due to faculty hiring undertaken during decreasing enrollments. This, coupled with university-mandated revenue "tax" changes, has caused severe operational constraints. A tension exists that vacillates between poor management of resources to university level blame for mid-year allocation changes. The answer may lie somewhere in between, however, the internal processes to forecast enrollments should lead to timely information for budget corrections. The coordination of critical financial information within the schools is a key element in the effective management of the school's financial resources.

In order for relevant and timely information to flow between decision makers within a business school, all parties should be in constant communication with one another. One of the outcomes of this study indicates that the committee structures in place do not necessarily support the information flow needed. For example, academic or executive committees often meet without program and functional administrative leaders. Their information is, then, not considered within discussions that may lead to decisions. It is possible that some of the authority and control afforded to the senior unit-level leaders may cause decisions that are not based on realistic information. The loose coupling of departments and functions within this decision-making context is detrimental to the health of the organization.

Organizational structures should be reviewed in context, not isolated from current political, legal, financial and industry contexts. Although tempting to believe,

organizations are not static structures. They are adaptive to their emerging contexts and can only be seen as valuable if analyzed within those contexts. Many of the constraints within School A and B come from the financial burden of the faculty costs. This burden is unavoidable in the current higher education industry context of the academic tenure system. It is also apparent that there are university-level imposed constraints that affect the sub-unit college from responding in a self-supporting manner. This is played out in Schools A and B in terms of the enrollment of undergraduate business majors and non-majors in business courses. The year-over-year increase in undergraduate enrollments imposed on each school has created the need to staff more courses. This leads to additional hiring of faculty, in many statuses, which increases the fixed costs of the schools. That burden is enhanced with the addition of a self-imposed constraint of small business faculty course loads compared to other sub-unit colleges. Tension is created to retain faculty with industry-standard teaching loads and appropriate academically qualified credentials and internal financial needs to increase course loads to maintain new student enrollments.

Public calls for accountability and increased market competition within management education have created an elevated tension between available resources and realistic performance. The increased scrutiny of the use of public funds has publically controlled universities and their sub-units scrambling to meet newly enacted accountability measures. Although few inside higher education institutions would argue that this need exists, most leaders realize the burden placed on their institutions to comply with such measures. Resources within business schools have been most recently directed towards research and teaching, but are now increasingly directed to student progression,

student retention and outcomes-based activities, namely career placement and assessment. This realignment is difficult to operationalize when the majority of expenses lie in human resource and infrastructure costs, such as buildings and technology.

In terms of external market competition, business schools face the scrutiny of the new educational consumer through media surveys and rankings. Those schools with traditionally large endowments continue to reap the benefits of flexible operating monies to buoy their faculty hiring, increase their student support funds, and compete for students across the globe. With public support decreasing, the importance of these private endowments continues to grow. Those schools with historically large endowments continue to outpace schools that lack alumni engagement and donor giving. This cycle of compounding wealth leaves schools with smaller resources facing a growing gap between them and the top schools. This phenomenon is not new and not directed only at financial resources, however, it does seem to have increasing importance in overall school management.

The most sweeping conclusion within this study of business schools is the implication of inward looking management to most of higher education. There is a lack of awareness of the impact of this internal viewpoint. In fact, the impact may even be stronger in that there is an active push by the academic system to maintain its structure. This can be seen, broadly, in the resistance to alter the tenure system. It can also be seen more discretely in everyday actions of senior unit-level leaders to sustain the status quo. Committee structures and calls for faculty governance of issues not immediately pertinent to academic matters, lead to delayed implementation of ideas and, most importantly, to the misdirected and misinformed communications to senior unit-level leaders with non-

faculty status. The current financial crisis, however, does create opportunities to right size many processes and structures within a business school.

Lastly, higher education institutions, especially prolific units like business schools, may have too many stakeholders to manage. The complexity of this management, at times, is beyond the abilities of the entire system to assess and act upon. As contexts change and organizational structures try and adapt, the gap between effective and ineffective adaptation grows. Current criticism of higher education outcomes are not always fair and provided within an appropriate context. Nevertheless, change does need to come more quickly. There is an imperative within the higher education industry for shifting the perspective of business schools and universities to an external viewpoint. Senior unit-level leaders have an opportunity to react and plan for these changes. With increased awareness of the impacts of their actions, changes are possible.

<u>Implications for further research</u>

There is opportunity for further analysis into a few areas tied to this study. First, the entrepreneurial nature of institutions with validated autonomous unit-level leaders would yield data that may assist other schools in their structural innovations. A study designed to link the types and numbers of innovative programs and degrees with the organizational leadership structure might yield supportive results to those higher education institutions aimed at these innovative practices. Secondly, a study designed to compare and contrast the leadership behavior and capability of a business school's top leadership, using standardized and leading edge personality and behavior assessments, would inform the process of appointing or electing Deans and unit-level leaders. The process of implementing a leadership succession plan, based on assessed leadership

potential, may prove to be a beneficial process to the overall governance of business schools as they navigate uncertain times.

A study designed to measure the effects of contingent faculty resources on a school's flexibility may also prove to be useful industry information. The study might isolate several variables of school performance – financial, research productivity, student career placement, student retention – and compare schools' levels of contingent faculty to its performance. This would begin to probe more deeply into the effects of having contingent faculty on school outcomes. In relation to a study more discretely focused on the effects of contingent faculty, there is growing need to study faculty incentive structures. As discussed, the seemingly increasing tension between institutional spending on administrative functions and faculty governance or academic ownership levels is ripe for further analysis of how faculty are compensated for their work. The study would center on any changes in effectiveness of an institution's goals when that institution implemented a reward system for faculty participation in institution-specific goal attainment. The study may use corporate-like incentive structures for ease of comparison to other types of institutions.

Lastly, a comprehensive study assessing the accountability and performance of schools with leadership teams comprised of mostly faculty and those with mostly non-faculty unit-level leaders, may prove to be more indicative of the true effects of faculty governance and leadership of a business school. The intent of this study would be to further pursue the effects of professional administrators on the health of a business school or other higher education institution as compared to those lead by academically trained scholars.

<u>Conclusions</u>

In general, this study determined that the factors that affect senior unit-level leader autonomy and work control are both internal and external to the individual and school. From the viewpoint of the leaders in a business school, the amount of control and autonomy they have is directly related to their success. The study data show that much of the work control and autonomy levels recognized are limited by their context. This means, as shown in both Schools A and B, that a Dean may not have as much control as he or she expects or may have been promised in the face of a continually declining economy. That lack of control trickles down to the leaders organizationally "below" the Dean. Therefore, the effects of the economy on the university system and its adaptability may, at times, outweigh the abilities of any particular school or its leadership. A school that is able to plan for the many possible, uncontrollable external impacts has a better opportunity to remain relevant in the education arena.

In terms of the work practices and organizational structures of senior faculty and administrative roles in public business schools, this study points out some of the inconsistencies within the current, typical business school academic structure. Business school priorities built around research, teaching and service without clear and compelling connections to their university colleagues, economic partners and other stakeholders such as state legislatures, are too vague and internally-focused to create acceptable accountability measures. Those measures will likely grow to include individual performance outcomes that connect to rewards and incentives. It is this new set of measures that will lead to a renewed discussion of the academic tenure process and its viability in current times. Even with continued support, mostly from faculty themselves,

for the traditional academe governance structures, economic constraints, new global educational market entrants, technology advances and customer services demands will make it difficult to maintain the status quo. This is not to suggest that tenure is not reasonable and logical in many of its outcomes, but the application of it in its purest sense, without regard for context and applicability, is likely soon over.

Individually and institutionally, then, the key to success is to be adaptable and aware of one's level of autonomy. This contextual intelligence can amount to the ability to meet goals, plan appropriately and remain cognizant and relevant in the education marketplace. With challenge, comes unique and powerful opportunity for success. If business schools can lead by example in their ability to navigate the economic crisis through intelligent and thoughtful organizational structures and accountability, then all of higher education can win.

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Appendix A

AACSB US Undergraduate and MBA Enrollments & Faculty and Staff FTEs
For Academic Years 2005 – 2011 (AACSB, 2011d)

Academic Year	UG Enrol	MBA Enrol	MBA Programs	Total Faculty FTE	Faculty - FT	Faculty - PT	Facutly - Grad Asst	Staff FTE
2005 - 2006	751,030	113,706	313	31,682	25,936	5,074	672	23,773
2006 - 2007	776,109	116,597	343	32,138	26,962	4,271	905	28,514
2007 - 2008	805,962	141,303	422	32,996	27,669	4,541	786	26,254
2008 - 2009	832,938	151,215	434	34,389	28,680	4,985	724	26,784
2009 - 2010	855,675	157,249	427	35,055	28,989	5,332	734	27,404
2010 - 2011	836,493	168,415	436	35,836	29,355	5,780	701	29,002
2005 - 2011 growith	85,463	54,709	123	4,154	3,419	706	29	5,229
Growth %	10.2%	32.5%	28.2%	11.6%	11.6%	12.2%	4.1%	18.0%

Note (AACSB, 2011d):
Definitions of Faculty FTE and Staff FTE:

Full-time equivalent faculty (FTE) is defined by the Business School Questionnaire as the sum of the full-time faculty, full-time equivalent of part-time faculty, and full-time equivalent of graduate teaching assistants who are teachers of record. Schools were asked to calculate the full-time equivalent figures by dividing the total number of credit hours taught by each group of instructors by the 12 semester hours or 18 quarter hours, regardless of the institution's normal or standard teaching load.

Full-time business school staff excludes administrators with faculty appointments. Total full-time equivalent (FTE) staff sums the full-time time staff, FTE of part-time staff, FTE of faculty with administrative assignments, and FTE of graduate student staff. Full-time equivalents for part-time and graduate student staff were calculated by dividing the total hours worked by 40. The full-time equivalent of faculty with administrative assignments represents the fractional parts that each spends with administration using 12 semester hours or 18 quarter hours as the standard teaching load.

Appendix B

Orton and Weick Loose Coupling Concept
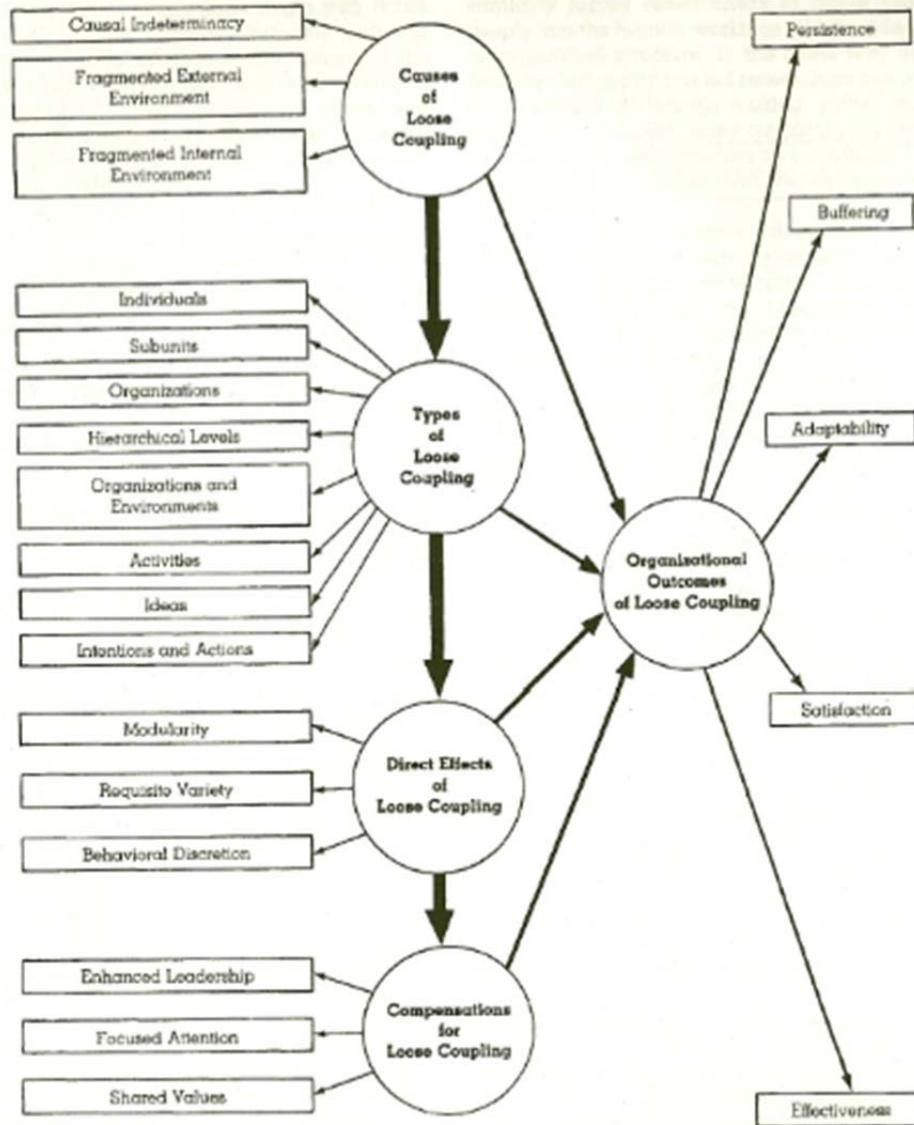
Figure 1. Loose coupling theory.

Appendix C

Pre-interview online questionnaire

LaCola pre-interview questionaire

1.

*1. Please complete the below demographic information.

Name:

School:

Work Address:

Address 2:

City/Town:

State:

ZIP:

Email Address:

*2. Highest level of education achieved:

○ Doctorate

○ Masters

○ Bachelors

*3. Date of award of highest degree?

Year of award

*4. What is your working title (what title is on your business card)?

*5. How long have you had this title or been in this particular role (in years, for eg. 2.5 or 8.3)?

Years

*6. Do you have an HR related title or an internal title that is different from your working title?

○ Yes

○ No

If yes, what is this title?

LaCola pre-interview questionaire

*7. Are you considered a member of the Faculty or Administrative Staff or both?

☐ Faculty

☐ Administration (staff)

☐ Both

*8. Who do you report to in the organization? Please list name and title of this individual or individuals.

Name1   [   ]

Title1   [   ]

Name2   [   ]

Title2   [   ]

*9. As part of your professional career, have you ever been employed by a non-academic organization?

○ Yes

○ No

*10. How much of your weekly work routine is focused on programatic decision making (ie, items of the following nature: strategy, structure, resource allocation, process, policy, marketing, accreditation)?

○ 100%

○ 75%

○ 50%

○ 25%

○ less than 25%

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Appendix D

Interview Protocol Guide

Transcript?   Y   N

Interview Guide ------ _____

Name   Date

Organizing questions:

1. Introduce Project - Provide opportunity for questions about the study, interview process; Request permission to record

2. Background Information - Confirm demographics; Faculty or staff status; Career preparation; Total years in higher education or other industries

3. Work Experience Progression - Tell me about your past work experiences in summary?

Probing questions:

4. Motivation - Why do you work in higher education?

5. Work Role - Tell me about your current work role – the tasks and responsibilities as you define them.
   a. Are all of your duties clearly defined?
   b. If not, which duties are not?
   c. Do you consider yourself a leader within your unit?
   d. Does your staff/faculty status affect your ability to do your job?

6. Reporting structure – What is the reporting structure or hierarchy of decision-making within your unit? Within the school?
   a. Does this structure work well?
   b. Are there improvements to be made? If so, what are they?

7. Decision-making – Are there clear lines of decision-making?
   a. Do you know when you are able to use a different decision-making path?
   b. What happens if you embark on your own process or approach?
   c. What if there is no precedent set for the decision? Do you make one on your own or do you need to seek approval or guidance?

8. Contentment – you are pleased with your level of control and decision-making?
   a. If yes, why?
   b. If not, what do you want to change?

Appendix E

Participant Consent Form

Dear Participant,

You are invited to participate in a research study project conducted as part of the requirements for the Executive Doctorate in Education (Ed.D.) at the University of Georgia.

For this project, I will be issuing a short demographic introductory questionnaire and conducting interviews to learn more about the current work roles and individual levels of autonomy within a public school of business. I am focusing this study on the senior level leaders within business schools. This research is intended to inform current and future leaders of the business schools in the levers of work control and autonomy that may be used to operate more effectively. The intention is to be able to add to the existing leadership and management literature on the topics of autonomy and control within the academic workplace. It is the researcher's hope that this will facilitate additional discussion and further research into such topics.

My dissertation advisor, Dr. James C. Hearn, Professor of Higher Education at UGA's Institute of Higher Education, will supervise the research. He will have access to the interviews, as recorded, as well as transcripts and the final report. We will protect your privacy throughout the study through the use of a pseudonym and you will have the right to review and correct the transcripts of your interview. Therefore, we are confident that there are no risks to you as a participant in this research study.

For this project, you will be asked to:
- Provide basic information regarding your professional background and current role via a secure online questionnaire, WHICH WILL TAKE APPROXIMATELY 15 MINUTES OF YOUR TIME.
- Participate in a digitally recorded interview. The interview will be approximately 60-minutes in duration.
- Share your current work role, the relationship between your role and others' roles within the organization and your opinions of the organizational structures within which you work.
- Reply to follow up questioning.

For this project, I will:
- Provide information and answer any questions you may have regarding the project, including the consent form.
- Schedule and conduct an interview of approximately 60 minutes.

- Possibly request follow-up information after the interview, either by phone, e-mail, or in person. Internet communications are insecure and there is a limit to the confidentiality that can be guaranteed due to the technology itself. However, once the researcher receives the materials, standard confidentiality procedures will be employed.
- Assign you a pseudonym to ensure confidentiality both in the transcript and the research paper.
- Allow you to review the interview transcript to check for accuracy.
- Erase any interview recordings and destroy any master list(s) linking pseudonyms to participant identities within 90 days from the completion of the research project.

Your participation is voluntary. You can refuse to participate or withdraw your participation at any time, without penalty or loss of benefits to which you are otherwise entitled. If you have any questions or concerns, feel free to contact me at (301) 520-6170 or the dissertation advisor, Dr. Jim Hearn at (706) 542-8729.

I hope you will enjoy this opportunity to share your experiences and viewpoints regarding your senior leadership role. Thank you in advance for your help and time.

Sincerely,

Christine Lomer LaCola
Dissertation Co-Investigator &
Doctoral candidate

Dr. James C. Hearn
Professor, University of Georgia/Institute of Higher Education

Please sign both copies, keep one copy and return one to the researcher.

_____   _____
Signature of Researcher   Date

_____   _____
Signature of Participant   Date

For questions or problems about your rights please call or write: Chairperson, Institutional Review Board, the University of Georgia, 612 Boyd Graduate Studies Research Center, Athens, Georgia 30602-7411; Telephone (706) 542-3199; E-Mail Address IRB@uga.edu.

Appendix F

School A Organizational Structure

An organizational chart for School A. At the top is "Dean." Reporting to the Dean are: "Associate Dean, Research"; "Associate Dean, Academic Pgms"; "Director, Executive Ed Pgms"; "Director, Undergraduate Svcs"; "Sr. Director, Finance & Admin"; "Sr. Director, Alumni Relations & Development"; and "Director, Marketing Communications." Reporting to the "Associate Dean, Research" is "Director, Functional Center of Excellence." Reporting to the "Associate Dean, Academic Pgms" are: "Department Chairs (9)"; "Director, MBA Pgms"; and "Director, Functional Center of Excellence."

Appendix G

School B Organizational Structure
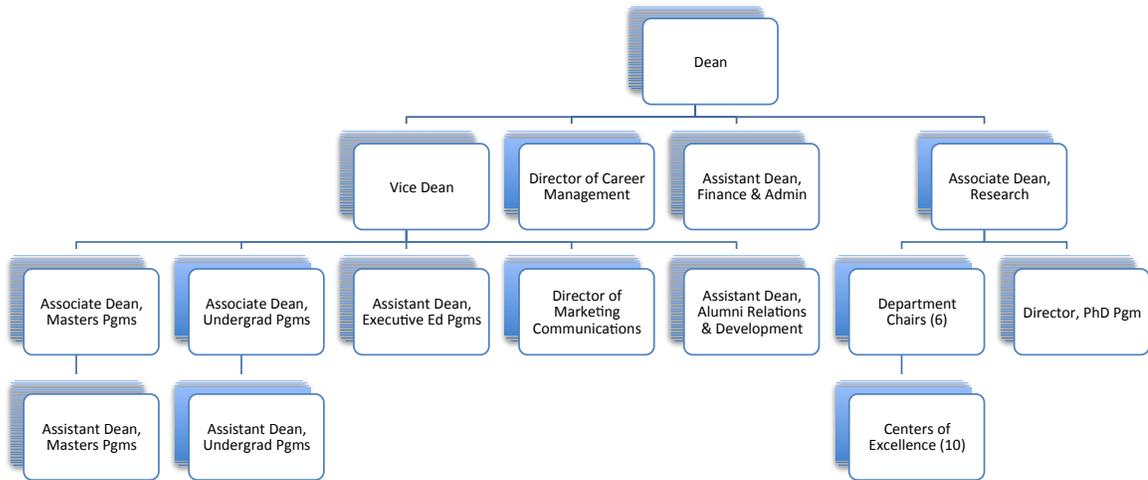
Appendix H

AACSB – Business School Priorities

Business School Priorities for All AACSB Member Institutions 2010
Represented by Order of Importance (AACSB, 2011b)

School Priorities (listed in order of priority)	Percentage of Schools
Teaching Intellectual Contributions Service	39.5%
Intellectual Contributions Teaching Service	10.6%
Teaching Service Intellectual Contributions	1.8%
Teaching and Intellectual Contributions (Equal) Service	33.7%
Teaching Intellectual Contributions and Service (Equal)	9.1%
Equal for All	1.3%

Appendix I

Full Data Set of Interview Participants from School A and B

School	Education level	Working title	Years in Role	Gender	Status	Directly reports to	Ever employed by non-academic inst?	Weekly % of programatic decision making	Tenure track?
A	Doctorate	Professor & Department Chair	3	M	Faculty	Associate Dean for Academic Programs	No	75%	Y
A	Masters	Director of Undergraduate Student Services & Employer Relations	1	F	Administration (staff)	Dean	No	25%	N
A	Bachelors	Director, Undergraduate Certificate Program	1	M	Both	Associate Dean for Academic Programs	Yes	50%	N
A	Doctorate	Professor & Department Chair	3	M	Both	Dean	Yes	50%	Y
A	Doctorate	Associate Dean for Academic Programs	3	M	Both	Dean	Yes	75%	Y
A	Doctorate	Professor & Department Chair	6	M	Both	Dean	Yes	50%	Y
A	Doctorate	Professor & Department Chair	1	M	Both	Associate Deans	Yes	25%	Y
A	Doctorate	Dean	4	M	Both	Provost and Senior VP for Academic Affairs	No	75%	Y
A	Doctorate	Professor & Director of MBA Programs	2	M	Both	Associate Dean for Academic Programs	Yes	100%	Y
A	Masters	Director of Executive Programs	7	M	Administration (staff)	Dean	Yes	100%	N
A	Masters	Sr Director for Finance & Administration	3	M	Administration (staff)	Dean	Yes	25%	N
B	Masters	Assistant Dean, Office of Executive Programs	1	M	Administration (staff)	Vice Dean of Programs	Yes	25%	N
B	Doctorate	Professor & Department Chair	3	M	Faculty	Dean	No	less than 25%	Y
B	Doctorate	Professor & Department Chair	2	M	Both	Dean	No	50%	Y
B	Masters	Assistant Dean for Finance and Administration	12	F	Administration (staff)	Dean	Yes	50%	N
B	Doctorate	Professor & Department Chair	2	M	Faculty	Dean	Yes	75%	Y
B	Doctorate	Professor & Department Chair	1	M	Faculty	Associate Dean for Research	No	25%	Y
B	Doctorate	Professor & Department Chair	6	M	Faculty	Dean	Yes	less than 25%	Y
B	Doctorate	Director of Career Services & Adjunct Professor	2	M	Both	Dean	Yes	50%	N
B	Doctorate	Associate Professor & Assoc Dean, MBA/MS Pgms	3	M	Both	Vice Dean of Programs	Yes	50%	Y
B	Doctorate	Dean	3	M	Both	Provost and Senior VP for Academic Affairs	Yes	100%	Y
B	Doctorate	Vice Dean	1	M	Both	Dean	Yes	100%	N
B	Doctorate	Associate Dean, Undergraduate Pgms	13	F	Administration (staff)	Dean	No	100%	N