

## **ABSTRACT**

Title of Document: THE POLITICS OF SECURING CAMPUS BUDGET RESOURCES: A CASE STUDY OF THREE REPUTEDLY EXEMPLARY CHAIRPERSONS AT A PUBLIC UNIVERSITY

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This exploratory, qualitative case study examines the budget strategies, or influence efforts, of three reputedly exemplary Chairpersons who sought campus budget resources to support their departments and academic priorities. A political perspective of academic organizations anchors the analytic framework for this study. The Chairpersons in this study are from the Departments of Sociology-Anthropology, Biology, and Communications in a College of Arts & Sciences in a public, comprehensive university.

A cross-case analysis answers five central research questions that guided this inquiry. The evidence in this research reveals that the Chairpersons' reputation for being successful at securing campus resources is supported by evidence of favorable budget decision outcomes, by attributional data indicating that knowledgeable individuals view the Chairs as a major reason for the departments getting resources, and by behavioral data suggesting that the Chairs use power bases and political skill and will to influence resource allocation decisions.

The key findings reveal that the Chairs: (1) broadened their targets of influence in an effort to shape allocation decisions for their departments; (2) sought reasonable budget resources which may have reduced difficulties in securing resources; (3) were successful, in part, because their requests were aligned with university priorities and the priorities of the Dean and campus leaders; (4) possessed relevant power resources that were viewed by some to be a factor in their success; and (5) employed a common set of strategies. This study extends current literature on general budgeting practices in higher education settings, budget strategies chosen by department Chairs, and the power and influence of academic department Chairs. Where some studies focus only on listing strategies or limiting analysis to strategies on preparing the budget itself, this study analyzes contextual issues and the dynamics that affect the *choice* of strategies for *securing* budget resources. Three conclusions and three recommendations for future research are included in the study.

THE POLITICS OF SECURING CAMPUS BUDGET RESOURCES: A CASE  
STUDY OF THREE REPUTEDLY EXEMPLARY CHAIRPERSONS AT A  
PUBLIC UNIVERSITY

By

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## Dedication

This research is dedicated in loving memory to those who were living at the beginning but not at the end...

*My mother, Jacqueline  
My father, Wallace  
My grandfather, Wallace*

*I wish you were here.*

...and to my daughter, Kia Isabelle Renée Southerland, who will surpass me.



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## CHAPTER I

### INTRODUCTION

Whatever else they may be, budgets are manifestly political documents. They engage the intense concern of administrators, politicians, leaders of interest groups and citizens interested in 'who gets what' and 'how much' of . . . allocations.

- Wildavsky and Hammann (1970, p. 140)

This qualitative, exploratory case study focused on the budgetary strategies used by three reputedly exemplary academic department Chairpersons to secure campus financial resources for their departments. Despite considerable research on budgeting concepts and how budgets are developed in higher education, few studies exist on academic department Chairpersons' influence efforts for securing campus resources to operate their departments. In fact, the researcher found few empirical studies that explored and explained the strategies academic department Chairpersons developed and employed to obtain campus funding for their priorities.

For purposes of this study, the researcher adopted a broad view of operating budgets at both the institutional and department levels. For example, the departments' operating budgets included revenues that enabled the departments to meet the full complement of research, teaching, and service functions. Support for this broad view exists in the literature on budgeting in higher education. Meisinger (1994) acknowledged that the operating budget was interconnected with other budgets; but he also recognized that the operating budget "[was] usually viewed as the core budget" (p. 7). Specifically, Meisinger (1994) defined the operating budget as:

generally including all of the regular unrestricted income available to the institution plus those restricted funds (e.g., endowed professorships and sponsored programs) that are earmarked for instructional activities *and department support*. Activities included in the operating budget are the *basic expenses of departments*, schools, and colleges.... (p. 6, emphasis added)

The absence of a solid body of research on the strategies academic Chairpersons use to secure campus resources poses at least two analytic problems. The first problem is the absence of an empirically-based understanding of what Chairpersons *actually do* to increase their chances of securing campus resources beyond the preparation of their budget proposals. The second problem is the absence of an analytic framework designed to study the factors and circumstances that shape Chairs' choice of strategies for getting budgetary resources. Consequently, students of budgeting, academicians, and practitioners may not fully understand *how* Chairpersons "strategize" or *why* they choose certain strategies to obtain resources for their departments.

Securing resources is a major indicator of being a successful and effective Chairperson. One of the most significant aspects of a Chairperson's duties is seeking and acquiring financial resources, internal or external dollars, to sustain department initiatives. The tenure of some Chairpersons often depends on an ability to get the necessary funding that enables them to perform academic tasks with minimal interruption. Research that illustrates and illuminates what Chairpersons do to secure campus dollars may help current and new Chairpersons frame their budget requests more persuasively. Additionally, the same research may help Chairs to become more successful at getting campus

dollars *after* they have prepared their requests in accordance with campus requirements for developing budget proposals.

### **Purpose of the Research and Research Questions**

The purpose of this case study was to explore the strategies used by three reputedly exemplary academic department Chairpersons in a public university setting to secure campus fiscal resources for their departments. To understand the choice of strategies developed and employed by the three exemplary Chairpersons, this study also explored the broad factors within the state institution and/or department that may have shaped and influenced the Chairpersons' choice of strategies. This study *is not* about how the three Chairpersons apply budgeting concepts or techniques to their proposals, how they obtain external financial resources, or how they distribute the dollars they receive from the Dean.

Each exemplary Chairperson constituted a “case” in this study. A case narrative of each Chairperson and a cross-case analysis of the three cases were designed to determine:

1. Whom did the three exemplary Chairpersons seek to influence to secure campus resources and why were these individuals the targets of influence?
2. What types of resources did the three exemplary Chairpersons seek to secure from the campus and why were these resources sought?
3. What sources of power and what strategies did the three exemplary Chairpersons use to influence campus decision-makers to support their budget requests and why were those strategies chosen?
4. What were the outcomes of the three exemplary Chairpersons' influence efforts?

5. What factors may account for the choice of strategies the three exemplary Chairpersons used to secure campus resources and their impact on decision outcomes?

Taken together, answers to the above research questions will contribute to current knowledge on what Chairpersons do, or may do, to secure campus budget resources for their departments.

### **Need for the Study**

As mentioned previously, securing campus resources is a major indicator of success and effectiveness for academic Chairpersons. But few empirical studies on what academic department Chairpersons actually do (i.e., their tactics) to secure campus resources have been carried out. Further, theoretical frameworks designed specifically for studying Chairpersons' budget strategies are limited in the literature on budgeting in higher education. The limited availability of solid research on budget strategies and the limited conceptual models for studying this topic make the focus of this case study salient. The findings from an exploration of the strategies Chairpersons develop to secure campus budgetary resources, as well as the factors that may account for those strategies, may help scholars and practitioners to: (1) better understand the influence of institutional politics on strategy formulation at the academic department level, (2) appreciate requests for resources that maintain department stability or to foster improvements, (3) close the empirical gaps in the literature, and (4) value an alternative analytic perspective different from the traditional perspectives that commonly examine budgeting from a technical perspective.

### ***The Influence of Institutional Politics***

Considerable literature depicts organizations as political systems (Allison & Zelikow, 1999; Bolman & Deal, 1984; Morgan, 1986; Pfeffer, 1981; Wildavsky, 1979). Similarly, a political systems view of organizations has been applied to colleges and universities (Baldrige 1971; Baldrige, Curtis, Ecker, & Riley, 1991; Birnbaum, 1988; Bensimon, Neumann & Birnbaum, 1989; Seagren, Creswell, & Wheeler, 1993). Typically, colleges and universities, particularly state institutions, must survive with scarce resources. A limited supply of financial resources often means institutions are unable to pursue all of their desired objectives.

To ease the persistent tension between needing more financial resources for its purposes and the demand for more campus dollars by academic and non-academic departments, institutions must make judgments about “who gets what, when, and how” (Lasswell, 1936, 1950). Deciding who gets what campus dollars and how much of those campus dollars may give rise to internal politics on the campus. In a budgeting environment with scarce resources, political activity may increase and may result in individuals and groups of individuals with divergent interests competing for limited campus resources.

The scarcity of financial resources makes it difficult, and often impossible, for colleges and universities to acquire the resources needed to meet their programmatic goals. A Chairperson’s strategies may become more political than collegial when pursuing campus dollars for department initiatives. Scholarship focused on the strategies used by Chairpersons to secure campus dollars, the internal politics surrounding budgeting, and the factors accounting for the

strategies may build a foundation that integrates and extends past research on budgeting in colleges and universities and may set the stage for future scholarship on this aspect of budgeting. Such scholarship also may offer guidance to new or inexperienced veteran academic Chairpersons by sensitizing them to the nuances and dynamics associated with budgeting and by providing insight on how to compete effectively for scarce resources based on insights gleaned from studying exemplar peers.

Finally, institutional politics may result from a lack of agreement on the different choices institutions may pursue depending on institutional priorities. According to Pfeffer (1981), "Organizational politics involves those activities taken within organizations to acquire, develop, and use power and other resources to obtain one's preferred outcomes in a situation where there is dissensus about choices" (p. 7). In academic organizations, especially state institutions, Chairpersons may need to be active by employing appropriate and relevant strategies and skills that improve their chances for securing campus resources.

### ***The Need for Resources***

Although some department Chairpersons may have limited roles in budgeting, acquiring financial resources is one of the most significant aspects of an academic Chairperson's duties (Lucas, 1994, 2000; Meisinger, 1994; Tucker 1984, 1992). The critical task of acquiring resources makes the Chairperson's role in securing campus resources and the strategies chosen particularly important to explore. As earlier noted, the tenure of Chairpersons often depends,

in part, on their ability to obtain sufficient funding for the department (Tucker, 1992). A Chair's success in the realm of securing campus resources may enable the individual to perform other non-financial functions more effectively. As Tucker (1992) observed, "Since the majority of the faculty tend to believe that departments are under funded, [the] ability to compete successfully for institutional funds is often seen as an important indicator of a Chairperson's leadership quality" (p. 353). One may even caution individuals interested in becoming a Chair to be prepared to compete for funding or to forego seeking the position.

Departments need a stable and adequate share of campus resources to function and to achieve their aims (Tucker, 1992). This stability, argued Tucker, "permit[s] the department to perform its mission in a predictable way" (p. 5). At the research site, for example, the researcher learned that a department's share of campus general funds varies. A knowledgeable university administrator indicated that, depending on the specific department, some departments may receive 100% funding from the campus' general fund budget while others may receive smaller percentages. The literature suggests a critical need for departments to have a favorable share of campus resources (Caruthers & Orwig, 1979; Meisinger, 1994; Tucker, 1992) and that the resources received from the campus are consequential since they support the basic expenses of departments (Meisinger, 1994).

### ***The Gaps in the Literature***

Classic and highly regarded studies and case reports related to budgeting in higher education are often state-level analyses of budget practices and the participants involved in making state-level budget decisions (Albright, 1985; Bowen & Glenny, 1976; Bowen, Ruyle, & Glenny, 1976; Douglas, 1976; Glenny et al., 1975; Gross, 1979; Layzell & Lyddon, 1990; Ruyle & Glenny, 1976; Schmidlein & Glenny, 1977; Serban, 1997). The studies and case reports focus primarily on state governments with higher education institutions as the major actors involved in decisions related to budgeting. Lower level actors (i.e., academic Chairpersons) are not given significant attention, hence the importance of developing a study focused on Chairpersons.

Historical studies related to budgeting focus on the various budgeting concepts and techniques employed at the state level. To avoid repetition, the budgeting concepts from historical studies will be discussed more fully in chapter two (literature review), but they include, for example: Program-Planning-Budgeting-Systems (PPBS), Incremental Budgeting (IB), Zero-Based Budgeting (ZBB), Formula Budgeting (Formulas), and Performance Budgeting (PB). Furthermore, the state-level studies and case reports primarily describe, classify, and interpret *how* budgets are developed as a statewide practice. As earlier noted, the units of analysis in the state-level research are typically state government officials, senior officers of academic institutions, the larger academic multi-campus systems, and their budget officers and/or planning officers. Minimal attention, if any, is given to the actions of department Chairpersons and

the specific strategies they may use to obtain campus resources, let alone the circumstances that surround their choice of strategies.

In sum, classic and historical studies provide insights into how budget requests are *formulated* and *how resources are allocated* at the state level. But the studies do not address how academic department Chairpersons attempt to acquire campus resources; therefore, the studies may not sensitize department Chairs and other institutional actors either to new ways of thinking about the budgeting process or to specific strategies used to achieve budgetary objectives.

Further, much of the scholarship on budgeting issues in higher education is analyzed from the rational and technical perspectives (Bowen & Glenny, 1976; Purves & Glenny, 1976; Ruyle & Glenny, 1976). Select scholars, however, apply a political perspective to aspects of formula budgeting (Meisinger, 1976) or use political perspectives to examine higher education budgeting at the institutional level (Glenny, 1976; Layzell & Lyddon, 1990; Meisinger, 1976, 1994; Schmidlein & Glenny, 1977). The studies tend to emphasize the political and incremental nature of institutional budget processes or they focus on system-wide relationships with state budgeting offices. Although those works advance our understanding of the broad forces that shape budgeting in the higher education arena, they give minimal attention to the internal institutional- or department-level politics that surround the choice of strategies Chairs use to secure campus resources.

In sum, although several authors in the fields of higher education and public administration document the political nature of the budget process from

the acquisition and the distribution of resources points of view (Caruthers & Orwig 1979; Cope, 1989; Layzell & Lyddon, 1990; LeLoup, 1977; Meisinger, 1994), little empirical research examines internal institutional budget strategies from a political perspective, particularly at the micro level of the academic department. This exploratory case study attempts to fill empirical gaps in the literature by using empirically-grounded research to uncover the more micro-, department-level politics and to sensitize current, new, or inexperienced academic Chairpersons to the “politics” of pursuing scarce campus resources.

### **Definitions**

When investigating any phenomena, it is important to define explicitly the terms being used. Certain terms may have a particular meaning to people who study budgeting and academic organizations in general. The terms below are typically associated with the topics in this study. Traditional definitions of terms are embraced and/or expanded; but alternative terms and meanings in the context of this study are offered.

*Academic departments.* Academic departments are defined as the “basic administrative unit[s] of the college...responsible for instruction and research within a specialized field of knowledge” (Andersen, 1977, p.2).

*Budget documents.* Budget documents are defined as documents that show the financial condition of the organization, including information on revenues, expenditures, activities, and purposes or goals (Lee & Johnson, 1989).

*Chairpersons.* Chairpersons are defined as the official heads of academic departments in colleges and universities (Andersen, 1977; Bennett & Figuli, 1990; Lucas, 1994, 2000; Seagren, Creswell & Wheeler, 1993; Tucker, 1992).

*Campus resources.* Campus resources are defined as the financial commitments or campus general funds Chairpersons seek to support their budget requests, proposals, or priorities. In this study, campus resources may be negotiated through the annual budget process or other processes that make financial support available to Chairs for their initiatives.

*Defending the budget base.* This concept is defined as a broad purpose or goal of budget strategies or influence efforts. It also is a means for classifying strategies designed to “guard against cuts in the old programs” (Wildavsky, 1979, p. 102).

*Exemplary.* This term is defined as (1) having a reputation for successfully securing campus budgetary resources based on nominations of senior campus officials and other individuals; (2) demonstrating evidence of securing budgetary increases; and (3) meeting other selection criteria set forth in this study. Meeting all three conditions qualified the Chairs as exemplary.

*Expanding the budget base.* This concept is defined as a broad purpose or goal of an individual’s budget strategies or influence efforts. Similar to defending the budget base, this concept also is a means for classifying strategies designed to “inch ahead with existing programs” (Wildavsky, 1979, p. 108).

*Increasing the budget base.* This concept is yet another broad purpose or goal of one's budget strategies or influence efforts. Like defending the budget base and expanding the budget base, this concept also is a means for classifying strategies designed to "add new programs" (Wildavsky, 1979, p. 111).

*Operating budgets.* As earlier noted, operating budgets "generally include all of the regular unrestricted income available to the institution plus those restricted funds (e.g., endowed professorships and sponsored programs) that are earmarked for instructional activities and department support. Activities included in the operating budget are the basic expenses of departments, schools, and colleges...." (Meisinger, 1994, p. 6).

*Organizational politics.* This concept shall be defined as "those activities taken within organizations to acquire, develop, and use power and other resources to obtain one's preferred outcomes in a situation in which there is uncertainty or dissensus about choices" (Pfeffer, 1981, p. 7).

*Power.* Power is a difficult concept to define (Pfeffer, 1981). But for purposes of this study, power is defined as "the ability of those who possess power to bring about the outcomes they desire" (Pfeffer, 1981, p. 3). This study examined the relative power that exemplary Chairpersons possessed to bring about the budget decision outcomes they desired.

*State/public institutions.* Such agencies are defined as academic institutions established and either partially or wholly supported in accordance with the provisions of a state constitution or statute (Birnbaum, 1988; Kaplin & Lee, 1995).

*Strategies (or influence efforts or budgetary strategies)*. This term is defined as “actions...intended to maintain or increase the amount of money available...[and]...the links between intentions and perceptions of budget officials and the political system that imposes restraints and creates opportunities” (Wildavsky, 1979, p. 63). In this study, strategies are the efforts Chairs use to influence favorable budget decisions.

### **Organization of the Remaining Sections of the Study**

This chapter discussed the purpose of and need for the study. Chapter II includes a review of the literature on budgeting definitions, approaches, strategies, and theoretical perspectives of the study; the chapter also includes the analytic framework for the study. Chapter III describes the research design and methodology. Chapter IV includes a brief, descriptive section on the research site and its environment to provide the context for understanding the strategies department Chairs used to secure campus resources. Findings regarding the individual cases are presented in Chapters V, VI, and VII, respectively. The final chapter, Chapter VIII, includes a cross-case analysis of the three case narratives, answers the research questions, and highlights the study’s conclusions and recommendations for future research.

## **CHAPTER II**

### **REVIEW OF THE LITERATURE AND PRESENTATION OF THE ANALYTIC FRAMEWORK**

This literature review provides context for this research on three reputedly exemplary Chairpersons' strategies for securing campus budget resources, identifies the current gaps in the literature on this subject, and analyzes existing bodies of literature on the topic. Three broad assumptions shape this chapter.

First, the researcher assumes that the issue of securing campus resources is an important element of the broader topic of budgeting; therefore, this chapter includes a section on budgeting concepts and definitions. Second, the heart of this study is the exploration of what reputedly exemplary academic Chairpersons actually do to secure campus resources; therefore, this chapter includes a review of literature on strategies designed to secure financial resources. Third, although different organizational perspectives are used to classify academic organizations (e.g., collegial, bureaucratic, political, symbolic and cybernetic), this study applies a political perspective that anchors this study's analytic framework. Summarily, this chapter includes brief descriptions of organizational models for classifying academic organizations, a rationale for selecting a political perspective to guide this study, and a description of the analytic framework used to guide this study.

#### **Literature on Budgeting: A Foundational Perspective**

Developing strategies for securing campus resources is linked to preparing the actual budget for which academic Chairpersons seek funding.

Understanding the institution's preferred methods for preparing budgets is perhaps the very first strategy for securing campus resources. The literature is rich with discussions and examples of budgeting definitions, purposes, or approaches to budgeting. Below is a summary of the relevant literature.

### ***Definitions, Purposes, and Approaches***

Multiple definitions and purposes of budgeting are found in the literature and are likely to be helpful to academic Chairpersons, especially new Chairs, as they seek to understand not *how* but *why* their campus does budgeting. Purtill (1993), for example, stresses management control and accountability purposes where the main benefits of budgeting are control, motivation, evaluation, monitoring of organizational progress, communication of financial goals and improvement of decision-making. In the type of environment described by Purtill (1993), academic Chairpersons may need to shape their strategies in a way that clearly demonstrates efficient use of past and present dollars to generate support for requests. Requests that do not address issues of accountability or how dollars will be tracked and monitored may be rejected before consideration.

Sufficient accountability as a purpose of budgeting is but one perspective of budgeting. Budgeting is also linked to, and may be defined as, an important element of planning activities. Scholars from the budgeting-as-a-planning-activity tradition characterize budgeting as a process related to planning, to coordinating, and to management control (Bacon, 1970; Heckert & Willson, 1955; Heiser, 1959; Jones & Trentin, 1966; Schmidlein, 1990; Welsch, Hilton, & Gordon, 1988). The scholars from the planning tradition of budgeting describe a world

view of budgeting that, in part, rests on the notion that budgeting can and should be predictive as much as possible. From a planning perspective, then, budgeting might be a largely technical method designed to control activities, processes, and policies. In an environment where budgeting is viewed as a mechanism of control, academic Chairpersons may need to develop their strategies in a way that demonstrates that their budget proposals are reflective of and clearly aligned with overall planning activities within their department and the larger institution.

A third school of thought related to budgeting views the process as translating plans into action. Some scholars tend to de-emphasize planning as a central purpose of budgeting. Instead, the scholars view budgeting not as a means to control or to predict but as a way to translate plans into actions (Caruthers & Orwig, 1979; Gross & Jablonsky, 1979). In this third school of thought, budgeting becomes a vehicle by which organizational plans are moved from the planning stage to an action stage. In other words, budgeting becomes a means to fulfilling an organization's objectives. In this kind of an environment, academic Chairpersons may need to develop strategies that clearly demonstrate to campus leaders that requests are not only evidence of accountability, but that requests are aligned with departmental and institutional plans and are the means by which academic goals and objectives can be achieved in the department.

The above three perspectives on the definitions and purposes of budgeting are neither conclusive nor exhaustive; but the perspectives are instructive. The perspectives provide academic Chairpersons with philosophical and practical options for preparing requests and developing strategies for

securing campus resources. The three perspectives are important because they enable the researcher to recognize different budgeting purposes, as well as to identify orientations that may be used by the three exemplary Chairpersons or the persons they seek to influence.

Just as competing definitions and purposes of budgeting are varied so are the approaches to developing budgets. Many of the approaches originated in governmental agencies but now are used in higher education by mostly state institutions as guidelines for preparing budgets for legislative consideration. Under this model, department Chairs would be expected to conform to prescribed budgeting approaches on their campuses. Before developing strategies for securing campus resources, it may be prudent for Chairpersons to first understand what is expected of them regarding how their budgets should be developed.

According to Schmidlein (1999), the various approaches to budgeting “focus attention on different organizational concerns” (p. 160). Below are summaries of the various concepts and techniques to budgeting. The approaches are described briefly for foundational purposes; the merits of the approaches are not discussed. However, consistent with Schmidlein’s (1999) assessment of budgeting approaches, academic Chairpersons’ budget requests and strategies that reflect the prevailing concerns of their department and/or the larger institution are more likely to be effective.

Incremental budgeting is a technique that involves examining the “base” budget from the preceding year, or biennium, and then determining additions to or deletions from that base. However, particular issues affecting the budget base may be examined during consideration of the

budget when an issue is perceived by reviewers...Budgets most commonly are presented for each organizational unit by 'line item' or major objects of expenditure.

Formula budgeting is a concept that involves designing and employing a mathematical model or models, typically based on costs and workload or performance factors, to calculate some portion of an institution's budget. Budgets calculated by this method typically contain fund allocations both for each area covered by the formula, such as instruction or libraries, and for functions not included in the formula. When formula budget requests exceed available revenues, reductions commonly are made by reducing the amounts generated by each formula by some percentage.

Zero-based budgeting is a concept that involves developing budget "decision packages" at the lowest levels of the organization, rank ordering the priority of these decision packages and reviewing and making further decisions on priorities at successive organizational levels. In theory, an assumption is made that every programme [sic], or decision package, will be reviewed each year, eliminating low priority functions from the 'budget base'.

Programme [sic] budgeting is a concept that involves grouping institutional activities that have similar goals into "programmes" [sic] and, through systems analysis and cost/benefit studies, estimating the resources required to produce the outputs sought from each programme [sic]. Programme [sic] categories frequently cut across organizational lines. Budget presentations focus on the results of programmes [sic] rather than on items to be purchased.

Performance budgeting is a concept that involves developing indicators of institutional performance and estimating the resources required to maintain or achieve selected levels of performance. Decisions on funding levels may be intended either to reward high achievement or to penalize inadequate achievement.

Incentive funding is a concept that requires institutions, or groups within institutions, such as faculty or departments, to develop requests for funding according to guidelines that specify the objective desired but leave specifics to each eligible applicant. Types of funding include initiative funding, competitive funding, categorical funding, and block grants. (Schmidtlein, 1999, p. 160)

Another approach to budgeting is presented by Meisinger (1994):

Responsibility-Center budgeting, also known as cost-center budgeting or more formally as 'every tub on its own bottom' budgeting, is intended to focus primary responsibility for the management of resources on schools and colleges within the university. In doing so, the emphasis is shifted from budgetary control to program performance. In this model, schools and colleges become revenue and cost centers. Revenues are attributed to each school or college, including tuition and fees, research funds, indirect costs from research gifts, and endowment income....

Responsibility-center budgeting also requires the taxing of schools and colleges to create a central 'subvention' pool to support academic units without sufficient revenues of their own. (p. 186)

### ***A General View of the Formal Budget Cycle***

The formal budget cycle is the process by which campuses develop their budgets on an annual or bi-annual basis. Although the budget cycle may vary by institution, research suggests that colleges and universities tend to develop their campus budgets based on routine cycles (Caruthers & Orwig, 1979; Dickmeyer, 1993; Meisinger, 1994; NACUBO, 1992). A summary view of the budget cycle is discussed below. Because this study was not an exploration of the phases of the budget cycle, the characteristics of the phases are not discussed. Since understanding of the campus' budget cycle may influence the timing and manner in which academic Chairpersons develop and employ their strategies for securing campus resources, below is a broad overview of budget cycles in the higher education arena.

*Data collection.* This activity is normally the beginning of the budget cycle (Shattock & Rigby, 1983). During this phase, institutions request, collect and analyze financial, statistical, descriptive and other evidentiary data from the colleges and non-academic departments. Senior Officers, and some lower-level

individuals as well, examine factors that include past successes, enrollment trends, and external demographic and market data. Based on assessment of these factors, budgeting guidelines are established and communicated to administrators (Dickmeyer, 1993).

*Preparation and submission of requests.* The different units on the campus prepare and submit requests to their appropriate unit heads unless the process is different for various sources of revenues. For example, academic Chairpersons would submit their budgets directly to the Dean of the College or the Dean's designee. In some institutions, department Chairs may not submit requests formally, but they may react and respond to the allocations given by the administration.

*Review of the budget request.* Budget requests normally are reviewed and analyzed each time they are consolidated for presentation to a higher level of decision-making until an institutional budget is ultimately presented to its governing body for consideration and approval. The institutional review level "occurs about nine to five months before the fiscal year begins" (Meisinger, 1994, p. 73). The major participants at the institutional-review level are the President, the Chief Financial Officer, the Chief Academic Officer, the budget office, and staff members concerned directly with budgeting. Participation beyond this circle of reviewers varies from campus to campus (Meisinger, 1994).

*Exchange of information.* During this phase of the budget cycle, senior administrators (the President, Vice Presidents, and Deans) and lower-level administrators (Department Chairs, Program Directors, et al.) exchange

information to better understand individual budget requests and the data supporting those requests. The content of this exchange of information is often focused on budget policies and priorities, salary guidelines, workload projections, and cost factors. Based on the available data and budget guidance “the people responsible for developing budgets produce estimates, develop proposals, list wishes, enumerate concerns, and try to develop budgets that will allow them to meet their goals, stated or unstated” (Dickmeyer, 1993, p. 540).

*Negotiations.* Before budgets are finalized by the campus and sent to the system or other statewide budget officials, those submitting requests may have a time period in which they make a case for their requests. Based on consultations with campus colleagues and administrators, unit heads may modify requests to ensure success of their proposal. But this phase may be the result of a lack of clear-cut communication on the campus regarding *what* and *how* requests should be submitted. Dickmeyer (1993) states that “in the negotiation stage, the need to make all the pieces fit in a manner consistent with the [overall] budget process requires upward as well as downward communication” (p. 541). He suggests that much of the negotiation can be eliminated with the articulation of clear and precise language, such as “the institution will not accept requests for new positions this year” (p. 541).

*Preparation of the detailed budget.* Larger institutions may consolidate their department budget requests by college or by school (Meisinger, 1994). The President makes formal budget recommendations to the governing body nine to 12 months before the fiscal year begins. The governing board acts on the

proposed budget and on specific recommendations for tuition and fees, room and board increases, salary increases, proportion of endowment income to be applied to the operating budget, and student aid. After conflicting and competing issues have been reconciled, the board approves the budget (Meisinger, 1994, p. 75). For academic departments, the Deans will approve budgets before forwarding them to the appropriate Vice President, i.e., academic affairs and/or the university's Chief Finance/Budget Officer.

*Approval of the budget.* After the above phases have taken place, institutional budget requests typically are forwarded to appropriate state higher education agencies nine months before the fiscal year begins. If the state higher education coordinating agency has very strong budget review powers, it may be the sole recipient of institutional requests. In this event, the governor's office may receive copies of the institutional budget request and await the agency's recommendation. In states where the coordinating agency is weak, the opposite occurs; the governor's office would get the request and send informational copies to the appropriate state higher education agency. This practice varies by state, however. In the state of Maryland, for example, state institutions' budgets are submitted simultaneously to the state's higher education agency, the governor's office, and the legislature.

*Implementation of the budget.* The budget represents an expenditure plan for the institution's programs and activities. Within that plan, however, unit heads must expend their resources according to the institution's policies and legal requirements (Meisinger, 1994).

*Closing out the fiscal year.* This phase involves an “orderly closing of expenditures for a fiscal year...Procedures are intended to allow sufficient time to process paperwork and to discourage last-minute spending” (Meisinger, 1994, p. 77). Institutional audits occur after the fiscal year has closed out and “ensure that funds are accounted for and used properly” (Meisinger, 1994, p.77).

### ***Summary and Implications***

The *Literature on Budgeting* section provides a broad foundation for examining budgeting. Having a foundation on budgeting perspectives and approaches provides a broader context for and sheds some light on the choice of strategies the three exemplary academic department Chairpersons used to secure campus resources. Three schools of thought on the purposes of budgeting were presented: budgeting as a form of accountability and control; budgeting as a form of planning; and budgeting as evidence of moving from planning to action. The three approaches overlap to some extent and offer Chairpersons options for developing their budgets and shaping their strategies. A major implication here is that the perspectives on budgeting purposes, and approaches to constructing budgets, sensitize the researcher to alternative views of budgeting processes and to how participants in this study may describe budgeting.

Additionally, this section presents a general view of the institutional budget cycle. Presentation of the budget cycle suggests that academic Chairpersons may have several opportunities for implementing their strategies for securing campus resources. Another major implication is that if a similar

budget process is present at the research site, each phase of the budget cycle, then, may be what Kingdon (2003) terms a “window of opportunity” (p. 165) for Chairs to exert influence over decision-makers regarding their requests.

Though salient, the literature on budgeting purposes, approaches to constructing budgets, and the general budget cycle falls short of providing insight into strategies for securing campus resources. The primary shortcoming of the literature reviewed is the emphasis on the technical aspects of budgeting, such as how to develop budgets and when to submit budget requests. Technical aspects of budgeting are important and compliance with the technical aspects helps departments get funded. But the technical aspects of budgeting may not fully illuminate the political and social realities on campuses that often influence what academic Chairpersons need to do, or think they need to do, to secure campus resources in an environment where financial resources are not bountiful.

### **Literature on Factors that Shape the Budget Process**

Campus-level budgets are not developed in a vacuum. Departments exist in multi-dimensional political environments. In their study of academic departments, Seagren, Creswell and Wheeler (1993) observes that the “academic department operates within a two-layer political environment” (p. 31): an external environment and the environment of the host institution. The purpose of this section is to explore the literature that examines the broad factors in this two-layer environment that may influence a Chairperson’s choice of strategies for securing campus dollars during the annual budget cycle or outside the parameters of an annual budget cycle. A third broad factor, the influence of the

institutional budget cycle, is discussed to show how Chairs' behavior may be influenced, if at all, by the various phases of the campus' budget cycle.

***External Environment: State Factors – A Macro-Political Perspective***

A large study containing several case reports that provides insights into state budgetary processes exists in the literature (Bowen & Glenny, 1976; Purves & Glenny, 1976; Ruyle & Glenny, 1976; Meisinger, 1976; Schmidlein & Glenny, 1976). The statewide budget is not only the primary instrument through which the state implements its public policy, but the budget also reflects larger societal movements and public values (Albright, 1985). Public budgeting, especially for higher education, has become a complicated labyrinth of negotiations, “politicking”, and other push-and-pull processes. This assertion is supported by examinations of state budgeting in higher education. For example, Layzell and Lyddon (1990) demonstrate through their research that state budgeting “is a complex set of activities involving various competing interests and issues” (p. iii).

More pointedly, as Caiden (1985) asserts, such decisions are often made “intuitively or are negotiated,” particularly since “budgeters are viewed as politicians” intent on “maximizing resources for their own programs, constituencies, and organizations” and “resolv[ing] conflicts about the use of scarce and possibly uncertain resources” (p. 498). She adds:

[Budgeters] work in a large arena, concerned not only with the hierarchies but the committees, other levels of government, participative bodies, interest groups,...contractors, beneficiaries, taxpayers and legislatures. The advice of the expert on costs, forecasts, needs, and trends is only one element in decision-making and is often challenged. Budgeting in [a

public] environment is a matter of *negotiation, persuasion, bargaining, bluff, and counter-bluff*. (p. 498, emphasis added)

Layzell and Lyddon (1990) identify four broad environmental factors that may frame and influence the budget process in a state-run, public environment: historical, political, economic, and demographic. Historical factors are rooted in the state population's traditional values and preferences for higher education programs and services. The factors also include patterns of involvement by the state in higher education governance. The most important historical factor, however, is the consideration of previous budgets. Political factors include the organization and governance structure of higher education institutions, legislative influence, gubernatorial influence, and the influence exercised by interest groups and citizens of the state. Economic factors include the state's economic outlook, tax base, and the availability of revenues to invest in new initiatives. Finally, demographic factors include the composition of state citizenry, the number of people enrolled in state institutions, and overall student participation rates.

Further, Layzell and Lyddon (1990) note that the aforementioned factors account, to some extent, for the wide variance in providing support to academic institutions, but they "by no means explain all the variance" (p. iii). Caruthers and Orwig (1979), for example, suggest that participants, centralization of authority, equity, information burdens as well as cost, outcomes, and performance information converge to create points of contention during budgeting processes. One could make the argument that these points of contention give rise to organizational politics. Similarly, Wildavsky (1974) contends that budgeting cannot be disassociated from participants since it deals with "the purposes of

[people]...” (p. xxii). Historical traditions and the political climate and culture within a state provide the ground rules and overall framework for state higher education budgeting, while demographics and the economy serve as immediate indicators of supply and demand for state services (Layzell & Lyddon, 1990).

### ***Internal Environment: The Institution – A Micro-Political Perspective***

Because limited empirical research clearly describes and explains the institutional factors that might specifically influence academic department Chairpersons’ budget strategies for securing resources, the researcher drew upon complementary research that discussed broad institutional factors and their relationship to campus-level budgeting. Below are examples of institutional factors that may shape the budget process.

*Funding sources.* Colleges and universities rely on a variety of sources for financial support (Meisinger, 1994; Waggaman, 1991). The different sources of institutional funds may include tuition and fees, federal student aid programs, state student aid programs, government sources of funding, private sources of funding, and income from the investment of endowment and fund balances, income from sales of services and agency funds (Meisinger, 1994). When developing budget requests and strategies, academic Chairpersons may explore potential funding sources that might be tapped to fund their initiatives; this approach may not secure funding, but it may point campus leaders in a particular direction to find support for proposals.

*Institutional character.* According to Meisinger (1994, p.52), “the character of an institution shapes the budgeting process.” Institutional character, he

continues, “is composed of factors such as history, mission, array of academic programs, size, geographic location, public or independent charter, profile of faculty and staff, quality of leadership, financial condition, composition of the student body, degree of faculty participation in governance, alumni support, and reputation of athletic teams” (p. 52).

*Actors and participants.* Participation by different institutional actors with different interests complicates the budget process (Caruthers & Orwig, 1979).

Meisinger (1994) asserts:

The role of administrators, faculty and students in the decision-making process in colleges and universities and the quantity and quality of that participation are ongoing governance issues that color the budget process at individual institutions. As active participants in the design and implementation of instructional, research, and service programs, faculty often demand a role in allocating resources among programs and activities. As consumers of educational programs, students are concerned about the financial support of their programs. (pp. 53-54)

In short, varied participants bring different views to the budgeting process that often result in conflicting purposes and motivations (Balderston, 1974) which create conditions that are ripe for institutional politics.

*Openness of the process.* According to Meisinger (1994):

The degree to which the budget process is open to casual review by those not actively involved in deliberations shapes the amount of flexibility decision-makers have in their negotiations over the allocation of resources. The openness of the process is determined by the institution’s character and participatory structure of decision-making. (p. 56)

In general, the greater the numbers of participants in the budget process, the more open the process. At some institutions, however, the degree of openness is carefully controlled to prevent unintended actions that might otherwise flow

from budget decisions (Meisinger, 1994). For example, Deans and Vice Presidents may purposely select very specific individuals and fora to discuss and to produce desired outcomes. Such actions by Deans and Vice Presidents could be perceived as “openness” by observers of the budgeting process (e.g., faculty) when, in fact, they are not.

*Centralization of decision-making authority.* Meisinger (1994) argues that “the nature of the campus decision-making process had implications for the budget process” (p. 53). He points out that “a continual source of tension between decision-makers in any organizational setting...was determining the level of authority at which decisions should be made, particularly when dealing with the issue of allocating resources throughout the campus from a limited campus budget” (p. 57). He adds, “A frequent complaint of decision-makers at any level is that the range of issues over which they have final responsibility is limited by higher levels of authority” (p. 57). Individuals making decisions about the allocation of scarce resources vary greatly by campus and by source of revenue. This reality requires Chairpersons to target senior administrators involved in making decisions about “who gets what” and “who gets how much” of the campus’ financial resources.

*Demand for information.* Meisinger (1994) writes that:

The budget cycle is structured to transmit information concerning program activities, the utilization of resources, the anticipated resource requirements of programs, or criteria for performance evaluation. When changes in the budget process are introduced (e.g., new formats for the presentation of budget materials or new budget techniques), the process will not be smooth until the participants become familiar with the changes. [Problems] arise when familiar information is missing and when the relevance of information is not clearly understood. (p. 58)

Demands for excessive or different budget-related information “can be costly in terms of time and emotional involvement because participants must adjust their expectations about the kinds of information transmitted and the kinds of analyses and decisions they must contribute to the process” (p. 58).

### **Literature on Budget Strategies**

The literature on the development and implementation of strategies often is related to institutional strategies and is limited to descriptive lists of tips, techniques, rules, or recommendations. Like much of the classic literature, recent literature tends to present lists of strategies that promote budgetary oversight for new department Chairs (Fant & Stump, 2003), strategies for navigating the institutional budget (Hecht, 2003), strategies for preparing the budget document (Enneking, 2003), and strategies for managing the department budget (Denny, 2003). Allen (2003) discusses a strategy termed *cultivating relationships*. Allen’s strategy is not associated with broader strategies for securing resources; instead, the strategy is focused on managing the budget resources that have been allocated.

This next section is a review of the literature on institution-based and department-based budget strategies. Institutional strategies are included because they may be modified to serve the purposes of Chairs to improve their chances of securing campus resources. Given the political orientation of this study, strategies from a micro-political construct and counter strategies are presented.

### ***Institutional-Based Budget Strategies***

*Skimming.* This strategy involves taking a contingency reserve off the top of a resource pool before allocating the resources to lower units in the organization. Lower unit levels in the institution may “skim” as well from their pool of resources before distributing to even lower levels of the organization. This strategy is also referred to as creating a central reserve (Meisinger, 1994).

*Assigning faculty time for extra work.* This strategy is a credit in the form of weighted teaching units. A credit is given to faculty members for assuming extra duties in the department, the institution, or other approved areas of service. Extra duties, for example, may include teaching or advising excess students, engaging in research, serving on campus committees, preparing courses that were never taught before, providing special services to students, or participating in team teaching efforts. This institutional strategy is considered the most important source of intra-institutional flexibility (Meisinger, 1994).

*Using temporary faculty positions.* This strategy involves the use of full-time and part-time temporary faculty positions and is considered an important source of flexibility and slack for academic Deans (Meisinger, 1994; Mingle, 1982). Often, departments can employ part-time or temporary faculty to replace permanent faculty who are on sabbatical leave or leave of absence without pay (Meisinger, 1994). These actions allow greater flexibility in staffing certain programs.

*Reverting positions.* This strategy involves seeking fiscal flexibility through a policy of requiring that all vacant faculty and staff positions in subordinate units

revert to the control of a Dean or central administrator (Meisinger, 1994). This strategy allows Deans to recoup and to redistribute savings from vacant lines to support other line positions or particular requests from Chairpersons.

*Reducing the grade or rank of vacant positions.* This strategy involves saving resources by downgrading the grade or rank of a faculty or staff position when it becomes vacant. Salaries would be shifted to other priority areas in the organization (Meisinger, 1994).

*Withholding salary adjustment funds.* This strategy involves the allocation of salary adjustment funds to subordinate units only for those lines currently filled. Any salary adjustment funds provided by the state for vacant lines would be retained by campus level administrators as slack resources (Meisinger, 1994).

*Carrying over balances.* This strategy involves carrying over balances from one fiscal year to the next if permitted by state or campus policies (Meisinger, 1994).

*Using overhead reimbursement.* This strategy involves using a portion of indirect cost reimbursement funds from grants and contracts for discretionary purposes. These reimbursement funds may be used as seed funding to encourage additional sponsored activities, to faculty release time, to equipment purchases, or to the establishment of new facilities (Meisinger, 1994).

*Creating research foundations and institutes.* This strategy involves creating private research foundations and institutes that may not come under the scrutiny of state agencies. The flexibility obtained by creating these structures is

defined by the organization's legal status (Ginsburg, 1982; Meisinger, 1994), which may prohibit certain activities and initiatives.

*Modifying sabbatical leave policies.* This strategy involves deviating from traditional policies that may offer sabbaticals at full pay after certain years of service to non-traditional policies that might offer sabbaticals for a full year at half pay. This strategy guarantees that the institution will have one-half of the faculty member's salary to use for temporary replacements or for other purposes (Meisinger, 1994).

*Terminating personnel.* This strategy might be the least preferred strategy, especially in unionized environments. Studies by Mingle (1982) and Ginsburg (1982) found that terminating personnel was a major budget strategy for institutions experiencing financial difficulties. The studies reported that this strategy often began with temporary faculty and staff, then support staff, followed by non-tenured faculty, and ending with tenured faculty.

*Engaging in entrepreneurial enterprises.* This strategy refers to institutions developing or participating in off-campus business initiatives, special programs, and consulting contracts.

### ***Department-Based Strategies***

Several authors (Anton, 1975; Caruthers & Orwig, 1979; Dickmeyer, 1993; Tucker, 1992; Turrisi, 1978; et al.) discuss departments' strategies for preparing budget requests. In these studies, the role of the department Chair is not clear. One cannot be sure that the authors actually mean Chairpersons' strategies when they refer to departmental strategies, but the general descriptions of such

strategies include isolated tips for making actual budget requests and following institutional rules and guidelines. For example, in a discussion of “budgetary strategies,” Anton (1975) suggests “four rules for preparing and submitting budgets”:

- (1) Avoid requests for sums smaller than the current appropriation.
- (2) Put as much as possible of the new request (particularly items with top priority) into the basic budget.
- (3) Increases that are desired should be made to appear small and should grow out of existing operations (the appearance of fundamental change should be avoided) [*sic*].
- (4) Give the Budgetary Commission something to cut. (pp. 208-209)

Other, more specific department-based strategies include, but are not limited to, the following:

*Developing clear and effective documentation.* Academic departments compete for funds not only with each other, but also with other administrative units within the university. In central administration, the Vice President for academic affairs represents academic departments just as the Vice Presidents for other units represent their various departments. If the Vice President for academic affairs does not have adequate and clear documentation of budget requests, he or she may be placed in an inferior negotiating position.

*Developing a schedule of critical events.* The Chairperson might construct a schedule of critical events for which plans must be developed and budget needs identified (Tucker, 1992). According to Tucker (1992), the following questions may serve as a guide for making such a schedule:

- a) what is the probable retirement date of each faculty and staff member?;
- b) when will any faculty members be eligible for an “up-or-out” tenure evaluation?;
- c) which faculty members will become eligible for sabbaticals in the next five years and which are likely to apply for them?;
- d) which

faculty members are likely to obtain external support and to seek release time from teaching and other regular assignments?; e) which faculty members will develop sufficient visibility to be recruited by another institution during the next five years?; f) which faculty are likely to leave voluntarily in the next five years?; g) is it possible, given the available data, that the department will have a surplus or shortage of faculty members in the next five years?; and h) will competition with other education institutions prove detrimental? If so, when will these events occur? (p. 358)

*Using the transferability of funds.* The degree of flexibility may influence the presentation of a budget request (Tucker, 1992) through the shifting of budget lines to support expenditures that may be viewed as more aligned with institutional priorities.

*Taking advantage of unanticipated availability of reserve funds.* When institutions are informed that they have a certain amount of dollars for a given fiscal year, central administration usually sets aside dollars to support continued commitments and expenses.

*Capitalizing on the department's mission.* Tucker (1992) writes that "all departments should have a firm idea of the institutional purposes and goals they are expected to meet" (p. 359). Additionally, the *type* and *condition* of the department will influence the nature of the budget request if one is submitted to the Dean. According to Tucker (1992), Chairpersons should be able to associate their budgets with department, college, and institutional goals and identify those strengths that specifically align with the institution's priorities. Since different departments meet different institutional priorities and commitments, it may be important for department Chairs to be clear about how their budget priorities are aligned with institutional priorities.

*Maintaining open lines of communication with the Dean.* “Much is to be gained and nothing lost by frequent discussions with the Dean concerning resources needed and the problems faced by the department,” writes Tucker (1992, p. 363). Tucker adds that Chairpersons should not wait until annual budget meetings to begin reviewing issues related to the budget; they should take the initiative to call the Dean’s attention to problems as they occur.

### ***Strategies from a Micro-Political Construct***

The above discussions on budget strategies are useful in that they add to the researcher’s knowledge of the range of strategies that Chairs may use. But Birdsall’s (1995) discussion of budget strategies used by senior administrators is more on point and aligned with the purposes of this study. In 1995, Birdsall used a micropolitical perspective to explore the budgeting process within large universities. His work includes the “identification of specific budget strategies” to enhance “understanding of the role of power and influence in academic life” (p. 427). The study reports six propositions relating to budget strategies around the following themes: (1) on-going communication with key administrators, (2) building a reputation for fiscal credibility, (3) the oral and written presentation of the budget, (4) the budget document, (5) an end-run strategy, and (6) coalition-building. The last two propositions, according to Birdsall, were micropolitical strategies used to a lesser degree than the first four propositions. Budget Directors were interviewed in the study and offered the following perspective on fiscal strategies:

...[S]upport unit administrators routinely link budget requests to priorities established in their colleges and units...Funding success is often

determined by justifications that are based on data analysis, as well as an administrator's track record for honesty. Central administrators rely heavily on data generated by offices of institutional research and strategic planning...[U]nit administrators are usually most successful when there is a perception that their budget requests are just enough to cover their needs. Conversely, the strategy of making large, unrealistic budget requests, with the hopes of getting a percentage of it funded, is usually unsuccessful and harms the image of the college or unit. Negative impressions are also generated by an administrator's lack of preparation, use of statistics that don't fall out correctly, inconsistencies with the previous year's requests, and asking for operating increases when portions of last year's allocations are left unspent. (p. 434)

Further, the study cites the following factors which are often given high priority in establishing an allocation level:

increased enrollments in courses meeting general education requirements; deterioration in current levels of instruction, performance, or upkeep of physical plant; risks to personal safety; accreditation concerns; comparisons to peer institutions; growth in student credit hours; quality of faculty; and success in attracting external funds. (p. 434)

Birdsall's (1995) work identifies lessons derived from a study of College Deans, Associate Deans, and an Associate Vice President. While useful as a sensitizing device, the study does not address strategies of department Chairs.

### ***Counter-Strategies***

Jordell's (1987) work offers additional sensitizing ideas. He discusses a set of counterstrategies that he learned from a conference he attended in Paris, France in 1985. The counterstrategies, he explains, were efforts "by those whose resources are being looked into to defend their interests" (p. 13). The counterstrategies are presented below.

*Constructing a time bomb.* This strategy involves the creation and use of a powerful resource committee that is charged to take on overwhelming tasks and convince opponents that change is *not* necessary in the department. The

resource committee, in effect, acts as a time bomb that prevents excessive change in the organization.

*Sterilizing documents.* This strategy involves influencing the language of important budget documents so they do not pose a danger to department funding. This strategy for defending resources does not mean changing or misrepresenting facts. Instead, it implies that budget documents should contain neutral language and/or language that creates neither rosy situations where funding may not be needed or gloom-and-doom situations that falsely imply that the absence of funds would create a catastrophe in the department.

*Using an expert guerilla for attacks.* This strategy involves placing the most knowledgeable individuals from outside the department into negotiating positions on behalf of the department. These “outsiders” usually have no vested interest in department allocation processes, so they appear more neutral than those inside the department or institution. The sense here is that the “experts” may offer needed or additional credibility to a Chairperson’s efforts to preserve a base level of campus funding while the experts also advocate for the Chair to receive resources.

*Glorifying the anarchy.* This strategy is an attempt by academicians to resist all types and forms of interference in the scholarly domain by administrators. Here, department Chairpersons may argue academic freedom issues when requesting resources to support their resource priorities. The denial of resources may prevent department faculty from fully exercising their academic freedom of teaching, researching, and publishing.

*Demanding reorganization.* This strategy entails calling for organizational restructuring prior to resource allocation decisions in hopes that the department will not be slighted financially in the reorganization effort.

*Engaging in passive resistance.* This strategy is designed to redirect attention from the department to other issues within, outside, or around the department (e.g., a new report, a department proposal, a recent study) long enough so the Chairperson can regroup to develop new strategies for defending his or her base resources.

Further, tactics used to obtain funding are offered by Asbury (1973), Hanson (1991), and Houbeck (1991) who suggest that individuals seeking budget resources should be prepared to:

*Make sacrifices.* This strategy proposes the elimination of a program or initiative from the next year's budget or cuts certain dollar amounts from other line items, i.e., salary, services, materials, equipment, rent, etc.

*Tell their story.* This strategy establishes and explains assumptions or guidelines for budgeting to the internal organizational community and sometimes the external community as well.

*Propose programs, not dollars.* Hanson (1991) states that he learned the following expression from early budgeting processes: "Don't let them cut dollars, make them cut programs" (p. 5). Instead of proposing dollar amounts to be cut, "put explanations in terms of services and programs to be eliminated or reduced" (pp. 5-6).

*Make your priority their priority.* If a department Chair or other leader

believes that his or her budget priorities are important enough to save, then it is incumbent upon that person to persuade those in control of the budget that the same priorities should be or really are their priorities as well.

*Stand and fight.* Houbeck (1991) states that this means finding the right levers and the right language to protect the budget base.

### ***Summary and Implications***

The above sections represent a broad review of higher education and public administration literature on budget strategies. An examination of the literature revealed a litany of budget strategies institutions may use to increase financial flexibility and yet another litany of strategies departments may use to prepare budget requests or to defend their resource base. The litanies of strategies sensitized the researcher to potential strategies that may emerge in this study. However, the lists were not empirically grounded or theoretically derived. As a result, little is still known about academic Chairpersons' strategies, *how* the strategies are selected, *why* certain strategies are selected, and *how* the strategies are targeted or whether they are effective.

The lists of strategies are *not* situated in larger, institutional or environmental contexts. Instead, they are presented as a menu of options. Therefore, students and scholars of budgeting, and Chairpersons themselves, are left, presumably, with a neat and tidy "to do list" with little regard for the utility of various strategies in different environments even though authors frequently acknowledge the importance of understanding one's particular budgeting environment. Unfortunately, a discussion of budget strategies apart from context

leaves students of budgeting, scholars who examine budgeting issues, and Chairpersons seeking strategies with a host of unexamined and unsubstantiated recommendations.

### **Literature on Theoretical Perspectives of Organizations**

This section begins to build a case for choosing an analytic framework for this study. It provides an overview of three major perspectives that typically dominate the literature on higher education organizations.

#### ***Prominent Perspectives on Higher Education Organizations***

Although many different organizational perspectives (see, for example, Birnbaum, 1988; Morgan, 1986) may be used to study behavior and decisions in higher education, the common perspectives are bureaucratic, collegial, and political. Each of the three broad perspectives is described.

*A bureaucratic view of academic organizations.* This perspective is rooted in the classic work of Max Weber (1947). Weber views organizations as mechanistic bureaucracies and argued that bureaucracies were “networks of social groups dedicated to limited goals and organized for efficiency” (as cited in Baldrige, Curtis, Ecker, & Riley, 1991, p. 35). From studies on higher education, Birnbaum (1988) notes that bureaucratic organizations are “established to efficiently relate organizational programs to the achievement of specific goals” (p. 107). In this model, the leader may have final authority in decision-making processes (Bensimon, Neumann, & Birnbaum, 1998). Such decisions may be reached based on a cycle that ultimately includes defining problems, searching for alternatives, evaluating options, making calculations, choosing from a set of

options, and implementing the leader's decision (Baldrige, Curtis, Ecker, & Riley, 1991).

*A collegial view of academic organizations.* Not all scholars of organizational theory embrace the notion of academic bureaucracies. The concept of a "collegium" or "community of scholars" (Goodman, 1962; Millet, 1962) is one alternative view of academic organizations. From this perspective, academicians do not always acquiesce to higher authorities. Instead, "differences in status are de-emphasized, people interact as equals in a system that stresses consensus, shared power and participation in governance" (Bensimon, Neumann & Birnbaum, 1989, p. 54). Under this model, decision-making activities "stress the involvement of professional peers in the process" (Baldrige, Curtis, Riley & Ecker, 1991, p. 42).

*A political view of academic organizations.* A political view of academic organizations offers yet another perspective on decision-making in higher education (Baldrige, 1971). The political model "grapples with power plays, conflicts, and rough-and-tumble politics" (Baldrige, Curtis, Ecker, & Riley, 1991, p. 38) between institutional actors who interact by "forming coalitions, bargaining, compromising, and reaching agreements that they believe to be to their advantage" (Birnbaum, 1988, p. 130). Bolman and Deal (1991) argue that a political perspective characterizes organizations as political arenas with the following attributes: *coalitions* composed of varied individuals and interest groups; an environment where *enduring differences* exist among the individuals and groups; and most of the decisions involve the *allocation of scarce resources*;

*conflict* is central to organizational dynamics because of the scarcity of resources and power is the most important resource. This perspective posits that organizational goals and decisions emerge from bargaining, negotiating, and jockeying for position among members of the different coalitions. These characterizations may be found in colleges and universities as well (Baldrige, 1971).

Because Harold Lasswell's (1936) classic definition of politics, that is, "who gets what," "when," and "how," is embraced for this study, a political perspective is well suited to examining strategies used by academic department Chairpersons to secure campus resources more so than other perspectives. Indeed, this investigation is about who (Chairpersons) gets what (campus resources), when (during fiscal years), and how (by converting power resources into strategies). A political view of academic organizations leads authors to assert that "scarce resources and dissensus...[in] the university environment [help] to ensure that, for department Chairs, politics is an inescapable fact of life" (Seagren, Creswell, & Wheeler, 1993, p. 29). That such an orientation is well-suited to the analysis of budgetary processes in organizations, including colleges and universities, is broadly recognized by Baldrige (1971), Baldrige, et al (1991) and Pfeffer (1981) and clearly captured by Wildavsky (1986):

If organizations are seen as political coalitions, budgets are mechanisms through which subunits bargain over conflicting goals, make side payments, and try to motivate one another to accomplish their objectives....When a budget is used to keep spending within set bounds and to fix purposes, it becomes *a device through which some actors try to control the behavior of others. Budgets are forms of power....Little can be done without money....* (pp.8-9; emphasis added)

### ***Rationale for Selecting Political Perspectives for this Study***

Each aforementioned perspective offers some useful applications to higher education organizations. Where one perspective falls short, another may address other important elements. Baldrige, Curtis, Ecker and Riley (1991) offer an appraisal of the three perspectives and, like the researcher, have a preference for political perspectives. The authors point out, for example, that the bureaucratic perspective emphasizes formal authority and power, but it does not address notions of informal types of power and influence. The *bureaucratic perspective* also focuses on formalized institutional structures but fails to give attention to the dynamic organizational processes that shape decisions and choices. The *collegial perspective* espouses the virtues of decision-making by consensus, the professional authority of faculty members, and humanistic educational practices while ignoring or downplaying competing and conflicting realities. Institutional realities may include confusing visions and missions of the organization, demanding environmental influences on internal processes, and other conflicts derived from limited resources. The collegial model may focus on consensus, but it ignores conflict in the organization and does not explain how consensus is secured or preserved. In sum, both the bureaucratic and collegial models ignore the political issues that arise in academic organizations (Baldrige, Curtis, Ecker, & Riley, 1991).

Because of the inclusiveness and validity as an organizational perspective for understanding how allocative decisions are made, the researcher adopts a political perspective to examine the strategies chosen by the three department

Chairs in this study. A political perspective is consistent with the fluid and dynamic nature of budgeting which involves the distribution of scarce resources through negotiations, bargaining, political brokering, and external influence. In essence, a political perspective is aligned with the phenomenon of interest and the purposes of this study.

### **Analytic Framework for this Study**

The section below is a discussion of the elements that comprise the analytic framework for this study. Specifically, the section includes: (1) an explanation and a conceptual illustration of the analytic framework; (2) a discussion of the analytic categories comprising the framework; and (3) a summary and implications.

#### ***Explanation of the Analytic Framework***

An analytic framework is composed of related concepts, assumptions, and questions that appear to be fruitful in analyzing the research questions (Allison & Zelikow, 1999; Campbell & Mazzoni, 1976). This purpose of an analytic framework is to serve as a “researcher’s map” to assist the researcher with searching for significant data and not to predict what the data will be found to disclose (Lasswell & Kaplan, 1950). The framework provides a perspective from which to “view the subject, [set] criteria for judging what information is relevant to [this] study, and [create] a device for organizing the data that are gathered” (Campbell & Mazzoni, 1976, p. 5).

An analytic framework that focuses on systemizing the search for relevant data is considered appropriate for this exploratory case study. As stated

previously in this chapter, the literature offers little information about how Chairpersons seek campus resources or the factors that affect their choice and deployment of strategies. In the absence of sufficient empirical research, it is not prudent to develop hypothesis testing designs. Rather, an approach that allows for a comprehensive description of events, incidents, factors, and forces that shape and influence actions is an essential first step (Patton, 1980). When an investigator has no basis from which to derive predictions of which variables or factors should be examined, a design that is probing and exploratory in nature “is likely to be the most reasonable and the most productive approach” (Malen, 1983, p. 16; see also Campbell & Mazzone, 1976). An exploratory type of design “allows for a systematic but open-ended search for the factors of significance....” (Malen, 1983, p. 16).

The analytic model used to guide this investigation is based on a cardinal assumption that budgeting is a political process which is a view shared by scholars who have explored budgeting in organizations (Caiden, 1985; Cope, 1989; Kettl, 1989; LeLoup, 1977; LeLoup & Moreland, 1978; Wildavsky, 1979, 1984, 1986; Wildavsky and Caiden, 1997). The budgeting process involves multiple individuals and groups (Caiden, 1985; Caruthers & Orwig, 1979; Meisinger, 1994) who are competing for the allocation of scarce resources. The scarcity of resources contributes to the intensity of political behavior among members of the organization (Bolman & Deal, 1984, 1991). Given this view and the reasons presented for applying an exploratory design, this study adopts a political perspective of budgeting and the strategies deployed to secure campus

resources. The political perspectives used in this study are inspired by Allison and Zelikow's (1999) seminal analysis of the Cuban missile crisis, Gamson's (1968) work on the assessment of influence, Meisinger's (1994) examination of budgeting in colleges and universities, and Wildavsky's (1979) widely-respected book on the politics of budgetary processes in government agencies. Taken together, the combined perspectives lead to the creation of an analytic framework which is chosen for three reasons.

First, the framework provides a conceptual basis for exploring primary and proximate actors and the skills and resources the actors command to achieve their purposes. A model that provides for the exploration of multiple individuals and groups allows the researcher and others to understand the role individuals, groups of people, organizations, or various committees might play in the allocation of campus dollars at the research site. A political perspective frame of analysis also helps the researcher to uncover whether and how various actors shape the strategies developed by the three reputedly exemplary Chairpersons in this study.

Second, the framework provides a basis for examining diverse and, sometimes, conflicting interests. In an environment where financial resources are scarce but financial demands are abundant, such as in colleges and universities, competition, exchange, and accommodation foster an organizational climate in which "the power to get one's way comes neither from norms nor rules but is negotiated" (Birnbaum, 1988, p. 130) through the action channels of the organization. Formal action channels in academic organizations may include, for

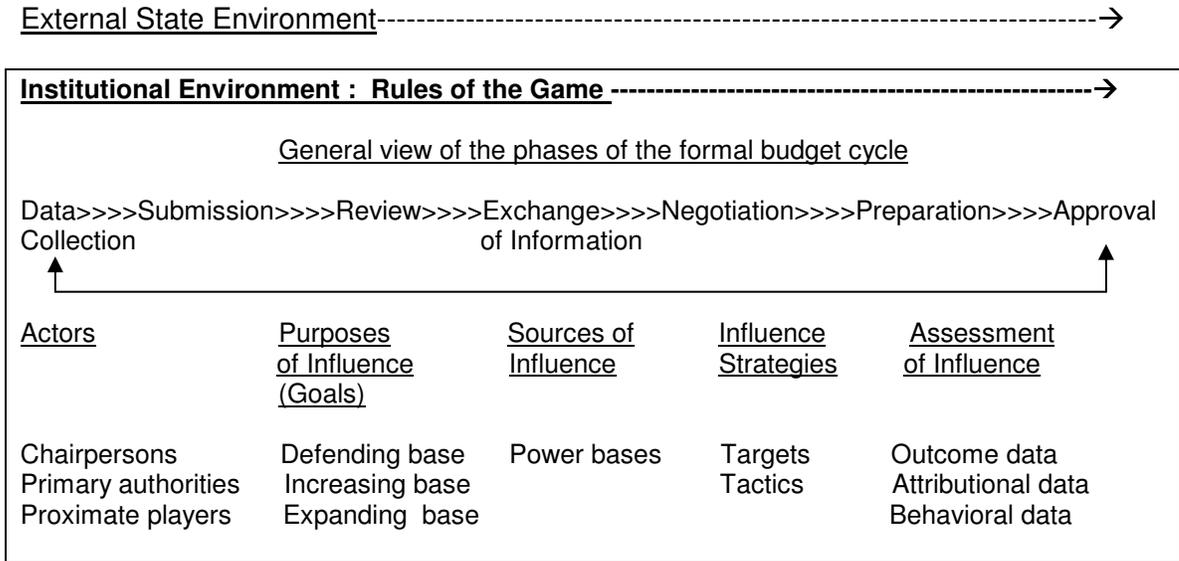
example, budget committees or councils or other campus entities that filter budget proposals before final decisions are made. A model that allows consideration and exploration of interests and potential conflicts and their influence on the three reputedly exemplary Chairpersons in this study enables the researcher to understand the varied and competing interests that may shape the manner in which strategies are developed and employed.

Third, the framework focuses on the role of players in decision-making activities where influence is a process and power is a means for accomplishing one's objectives. Allison and Zelikow's (1999) political bargaining model directs attention to the actors' goals, their power resources, and strategies and tactics in a given context, all of which are consistent with the purpose of this research. Consequently, this study includes key concepts from Allison and Zelikow's (1999) political bargaining model of organizational behavior. The concepts enable the researcher to systematically explore and explain how academic Chairpersons in this study develop and employ strategies to secure campus resources for their departments.

Key "organizing concepts" (Allison & Zelikow, 1999, p. 296) in the model include: actors, influence efforts, sources of power individuals may have at their disposal and the processes (i.e., rules and action channels) that structure behavior. An illustration of the analytic framework for this study and an explanation of key concepts, assumptions, and limitations of this framework follow.

Figure 1

The Analytic Framework for this Study: A Model for Assessing  
Chairs' Influence Efforts for Securing Campus Budget Resources



Perspectives inspired by Allison and Zelikow (1999), Gamson (1968), Meisinger (1994), and Wildavsky (1979).

***Analytic Categories of the Framework***

Political perspectives direct attention to actors, influence efforts, sources of influence, influence strategies, and the assessment of influence, and the rules and processes that structure their activity. A summary of each of the broad analytic categories is discussed below:

*Actors.* Pfeffer (1981) observes that “the first problem confronted by an analyst of organizational politics is to identify the relevant units of analysis” (p. 36). In this study, the notion of actors refers to individuals who comprise the “subunits of a large organization” with “distinctive norms and routines of their own” (Allison & Zelikow, 1999, p. 166). Actors are the players “whose interests and actions have an important effect...on decisions and actions” (Allison & Zelikow, 1999, p. 296); they are the primary officials who possess formal

authority to make decisions in the organization (Easton, 1965); and they are the proximate actors who may be involved in or close to decision-making activities but do not possess the formal authority to actually make decisions for the organization. In Allison and Zelikow's (1999) model and other political models, real people determine the answer to Lasswell's (1936) political question, *who gets what, when, and how much*. To determine who was involved with making budget decisions at the research site, this study identifies and explores the role of actors in the budget process.

Meltsner (1972) writes that "an actor can be an individual, a role, a group, a committee, a bureaucracy, a coalition, or even a state" (p. 861). Although difficult to clearly identify at times, the *primary* actors in this study are the individuals perceived to have the authority to make decisions that are binding on the organization. These actors include the College Deans who supervise and receive the budget requests from Chairpersons, the Vice Chancellor for Academic Affairs, the college or university budget officer, the Chancellor, and other actors with clearly defined decision-making responsibilities over the department Chairpersons' budget requests.

While primary actors can be key, proximate actors may be influential or contribute to Chairpersons' success as well. *Proximate* actors are those individuals who are centrally involved with but lack the legitimate authority to make budget decisions. These individuals include, but are not limited to, department Vice- or Co- Chairs, other Chairpersons in the College, administrative assistants, faculty members or representatives from outside the

organization (Lindblom, 1968) who have special interests in the department's budget (i.e., alumni/ae and legislators).

Meltsner (1972) identifies several ways in which actors differ. For example, actors are differentiated by the positions they take on issues. They are either "friends, enemies, [or] fence-sitters" (p. 861). Actors are differentiated by their activity. Some actors tend to be more concerned than others because they may have more to gain or lose than other actors. Actors also may be differentiated by their goals.

Goals are the ends desired or the outcomes sought by the actors. Goals may be explicitly stated or inferred from prior or current action (Campbell & Mazzoni, 1972). Analysis of goals "provides a basis for understanding the stakes of political contests as well as a basis for assessing the importance of issues, the points of contention, and the extent of compromises" (Malen, 1983, p. 23). For the purposes of this study, Chairpersons' goals may include, but are not limited to, defending the budget allocation from the previous year, increasing the budget allocation incrementally to support current department activities, or expanding the budget allocation to pursue new activities (Wildavsky, 1979, 1988).

*Purposes of influence efforts.* Given the limitations of the literature noted earlier, the researcher turned to Wildavsky's (1979) classic work, *The Politics of the Budgetary Process*. Wildavsky classifies a series of budget strategies into three broad categories or purposes: (1) defending the budget base; (2) increasing the budget base; and (3) expanding the budget base. Strategies classified as *defending the base* are designed to guard against cuts in old

department programs. Strategies classified as *increasing the base* are designed to move forward with incremental increases for existing programs. Under the category of “increasing the base” influence efforts are not focused on securing *new* resources to support *new* expenditures but to achieve small budgetary increases to maintain current level of operations or to respond to inflation-related expenditures. The literature on budgeting in higher education supports the notion that most academic departments receive incremental increases to their budget base to support inflation-related expenditures. In contrast to the first two broad purposes of influence efforts or goals, strategies classified as *expanding the base* are designed to secure *new* funding for the expressed purpose of *adding* new programs and expenditures.

The aforementioned three broad purposes of budgeting overlap to some extent. Under the classifications, influence efforts for one purpose may be useful for another purpose. Wildavsky’s purposes of budget strategies are used as a framework for classifying the influence efforts of the three exemplary academic department Chairpersons in this study.

*Sources of influence (power bases).* Political perspectives assume that for actors to achieve their goals in organizational settings, they must use *something of value* to exercise influence over others. Meltsner (1972) asserts that every important actor has something that another actor wants, values, finds worthwhile, [or fears]. “That something,” he states, “is called a resource” (p. 862). Similarly, to get at the power of actors, other authors use terms such as bases of power

(Ledyae, 1997), power resources (Baldwin, 1989; Dahl, 1991; Morgan, 1986), or the raw materials of power (Aufderheide, 1976, p. 178).

For purposes of this study, the terms “power bases” and “power resources” are used interchangeably and to characterize the Chairpersons’ capacity to exert influence over actors; that is, the power bases in this study represent the Chairpersons’ “something of value” that they used to influence others. Higher education and public administration bodies of literature are rich with examples of the different typologies of “power bases” that may be used to exert influence over others (see, for example, Dahl, 1961; Etzioni, 1961; French & Raven, 1959; Lasswell & Kaplan, 1950; Morgan, 1986; Pfeffer, 1981; Seagren, Creswell, & Wheeler, 1993; et al.). This “thicket of typologies” (Geary, 1992, p. 20) sensitizes the researcher to power resources the three exemplary Chairpersons may use to influence budget decisions in their favor. In their work on academic Chairpersons, Seagren, Creswell and Wheeler (1993) discuss “sources of power *in* the department” (p. 31, emphasis added), but they do not link those sources of power to budgetary issues. Specifically, Seagren, Creswell and Wheeler (1993) discuss four broad sources of power in particular: (1) office power, (2) personal characteristics, (3) expertise, and (4) opportunity.

*Office power* “is power conferred on the Chair through capacities arising from the position of the office of the Chair in the institutional structure” (Seagren, Creswell, & Wheeler, 1993, p. 31). Office power is a power base that allows a Chairperson “the opportunity to apply coercion or offer rewards, to acquire detailed information about the operation of the institution and its environment,

and to manipulate the symbols of academe” (Seagren, Creswell, & Wheeler, 1993, p. 31).

*Personal characteristics* refer to personal qualities or attributes “that will lead to the assumption of leadership of a subgroup” (Seagren, Creswell & Wheeler, 1993, p. 33) such as a department’s faculty and staff. Personal characteristics may include, for example, age, educational experience, intellectual acumen, or communication style. Similarly, Duke (1986) observes that personal characteristics trigger “acts of leading” that “constitute a form of artistry and may involve a variety of creative endeavors, including dramatics, design, and orchestration” (p. 14). One such way to earn personal power is to earn the respect of the faculty and other members in the institution (Tucker, 1984). Pfeffer (1981) offers additional perspectives on personal characteristics as a determinant of power. He notes that “there are clearly individual differences in the ability, political skill, and in the willingness to use those skills and abilities in contexts within the organization” (p. 131). He adds, “Individual resources and abilities can affect the power exercised by the occupant of a given structural position” (p. 131). That is, the skills-set and particular abilities possessed by Chairs effects the exercise of power as they attempt to influence budget decisions.

*Expertise*, as a power base, may be characterized by acquiring and using “specialized knowledge about issues and the workings of the institution” (Seagren, Creswell, & Wheeler, 1993, p. 32). This specialized knowledge may be obtained by “membership on committees and senates and from external

authorities, including accrediting teams and professional associations” (Seagren, Creswell, & Wheeler, 1993, p. 33).

*Opportunity*, as a power base, “is derived from the informal structure [or] separate network of uncharted interrelationships or from the informal aspect of formally established positions” in the institution (Seagren, Creswell, & Wheeler, 1993, p. 33). Relationships produce knowledge of different campus issues for Chairpersons and provide the Chairs with opportunities to “exert influence through coercion and possession of knowledge that could disrupt or delay decisions or activities in the department” (Seagren, Creswell, & Wheeler, 1993, p. 33). Seagren, Creswell and Wheeler (1993) note that “[o]ppportunity is a source of power that exists in almost all organizations, but it is particularly potent in an academic department where the outcomes of decisions are ambiguous and opinions and possible directions [are] widely disparate” (p. 33).

As earlier noted, the literature is rich with power bases that academic department Chairpersons may use as sources of influence. Several examples illustrate the range of typologies available to researchers. French and Raven (1959) are the most frequently cited because they describe five broad bases of power such as *reward power*, where an actor uses rewards to exert influence; *coercive power*, where an actor uses the threat of sanctions to exert influence; *legitimate power*, which stems from one’s official position or other form of authority; and *expert power*, which is based on one’s knowledge.

Other examples of typologies are offered as well. For example, Etzioni (1961) and Pfeffer (1981) emphasize normative power bases that enable an

actor to use symbolic rewards instead of substantive rewards to exert influence. Lasswell and Kaplan (1950) offer eight basic resources referred to as “base values” of power. Dahl’s (1961) comprehensive list of resources for exercising influence includes an individual’s own time, access to financial resources, control over jobs and information, charisma and popularity, solidarity with others. Morgan’s (1986) model for examining sources of influence include control of scarce resources; the use of organizational rules and regulations; control over decision processes; the ability to cope with uncertainty; control over technology; control over counter-organizations; symbolism and the management of meaning; one’s gender; and the management of gender relations.

*Influence strategies.* Strategies are the means of influence (Gamson, 1968). In broad terms, strategies may be the planned means by which the actors’ resources are deployed (Geary, 1992); the manner in which resources are activated; the calculated moves of individuals or groups (Allison & Zelikow, 1999); and the tactics used to accomplish goals. Related to the purposes of this research, Wildavsky (1979) defines budget strategies as “actions... intended to maintain or increase the amount of money available” (p. 63) to those who seek it and, in this case, department Chairs.

Seagren, Creswell and Wheeler (1993) identify several types of strategies that Chairs may use to accomplish their objectives. But the limitation of their work is that the strategies are not associated with budget requests; instead, the strategies are associated with managing the department. The strategies are broadly classified as *push strategies* (subjecting targeted individuals to some

form of pressure), *pull strategies* (using incentives to motivate favorable action), *persuasion strategies* (using effective communication skills to secure favorable action), *preventative strategies* (developing strategies that are likely to prevent unfavorable action), and *preparatory strategies* (designing strategies to neutralize resistance). Although these broad categories of strategies are not linked to budget requests, the categories provide a mechanism for characterizing strategies and a reminder that whatever strategies surface, some classification of strategies is a key component of analyses.

As stated in chapter I, empirical research that explores and explains the budget strategies academic Chairpersons use to secure campus resources is limited. However, a review of the literature has produced some discussions of budget strategies used by state institutions to secure resources from legislative agencies (Ginsburg, 1982; Meisinger, 1976, 1994; Mingle, 1982), by departments to prepare budget requests (Anton 1975; Caruthers & Orwig, 1979; Dickmeyer, 1993; Tucker, 1992; et al.), by university departments to defend acquired resources (Jordell, 1982); and by department heads in the federal government (Wildavsky, 1979, 1988). This literature sensitizes the researcher to various strategies that may be used by department Chairs in higher education institutions in general and public university settings in particular.

The studies presented in this section have a common shortcoming in that they do not provide empirically-grounded or theoretically-tested evidence that enhance our understanding of why certain strategies are chosen and why some

strategies may be more successful than others. Nor are the studies explicit about the sources of influence that are used to support the strategies. This case study is designed to fill gaps in the literature by focusing on targets of influence, tactics used to influence, why tactics were selected and whether they were effective.

Additional perspectives on resource allocation strategies are offered by Hackman (1991) who proposes a research-based theory about “how power influences decision-making in colleges and universities, especially critical decisions about resource allocations to academic departments and nonacademic offices” (p. 269). Her theory is based on five concepts: centrality, resource allocations, environmental power, institutional power, and resource allocation strategies. Centrality is defined as “how closely the purposes of a unit match the central mission of its institution” (p. 268). That is, budget decisions are made, in part, based on the extent to which units are aligned with institutional mission. Resource allocations are the “relative share[s] of internal institutional resources acquired by a unit, especially money, space, campus location” (p. 268). Environmental power “is the relative ability of a unit to bring in outside resources that are critically needed by the institution” (p. 270). Institutional power is defined as “the unit’s relative influence within the institution, independent of its environmental power” (p. 269). Finally, resource negotiation strategies “are strategies used by unit heads to acquire resource allocations, particularly in negotiating budgets” (p. 271).

Hackman’s (1991) research focuses on six institutions with budgetary

problems that resulted in varied levels of financial stress. She examines academic and administrative units that are either core (mostly academic units that are central to institutional mission) or peripheral (mostly administrative units that are not as central to institutional mission) and reached conclusions regarding their ability to secure resources. Her conclusions include, for example, that:

[A] unit's centrality interacts with its environmental power and resource negotiation strategies to affect the internal resource allocations that it acquires from the organization. In addition, a unit's institutional power separately influences its internal resource allocations. (p. 278)

The study also concludes that:

Core units...will increase when they attract external academic resources, such as students and academic prestige, to their particular departments. Core units gain when they help themselves; peripheral units gain when they help the total institution. And, the administrators of all these units gain when they better understand the complexity of the resource allocation process. (p. 281)

Furthermore, Hackman's study identifies eight resource negotiation strategies for securing resources. Chairpersons may use the strategies as part of their broader efforts to influence favorable budget decisions. The strategies are:

(1) focusing on needs of total institution; (2) focusing on needs of division; (3) focusing on needs of unit; (4) focusing on needs of unit members; (5) presenting lowest feasible budget; (6) overstating budget needs; (7) omitting important items; and (8) including budget request for innovative programs. (p. 270)

Although Hackman's work is quite insightful and useful to this study, a limitation is that no additional discussion or explanation is provided on the choice of strategies, so one is left with a prescriptive list of strategies for consideration rather than a full, contextual understanding of strategy formulation. Still,

Hackman's research provides an additional lens through which to view and characterize the departments in this study. Departments may be either core or peripheral. The study also provides a means for identifying and classifying power (i.e., environmental or institutional) and for identifying the types of strategies Chairs may use.

Although the Hackman (1991) study does not link specific strategies with specific Chairpersons or their purposes and sources of power or explain the factors shaping the choice of certain strategies, the research offers insight into general notions of power and resource negotiation strategies by unpacking the strategies and the factors that may account for strategy formation.

Pfeffer (1981) also addresses the issue of resource allocations in universities in his seminal work, *Power in Organizations*. A 13-year study of the effects of power on resource allocation in multiple universities concludes, in part, that: (1) committee representation is one of two power measures that significantly affects budget allocations (the other is a bureaucratic measure); (2) additional resources were acquired by those departments in the study that demonstrated increased student demand for courses; (3) both power and enrollments "affected the change in budget and faculty resources over time, as well as the absolute levels of those allocations" (p. 236); and (4) power did, in fact, have an effect on allocation outcomes, "particularly during periods of increased resource scarcity" (p. 237).

*Assessing influence.* This study rests on the assumption that the three academic Chairpersons are exemplary because they are deemed successful in

influencing key actors in the institution to support and/or approve their budget requests for campus resources. In this study, three types of data provide the primary evidence for assessing the Chairs' influence: budget decision outcome data, attributional data, and behavioral data.

Decision outcome data were gleaned from the university's operating budget manuals and from the semi-structured and in-depth interviews with campus officials, the Chairpersons, and other informants (e.g., faculty members). At a first glance, decision outcome data may be the simplest way to assess influence because one can look primarily at what budget resources Chairpersons receive and compare allocations with their requests. But focusing solely on decision outcome data to assess influence could lead to erroneous conclusions. By itself, decision outcome data are only an initial indicator of success and influence. In this study, decision outcome data focus on the extent to which the content of budget decisions reflects Chairpersons' preferences and requests. The decision outcome data may provide clues to the difference between original and final [budget] proposal (Allison & Zelikow, 1999); the trades negotiated, and the exchanges made (Lindblom, 1968). But, favorable decision outcomes could have occurred for reasons other than a single actor's influence. Conversely, as Gamson (1968) cautions, "One cannot conclude that no influence has occurred simply by a failure to achieve a preferred outcome" (p. 66). Gamson suggests that if one starts from the position that a particular outcome will definitely not be achieved and progresses to a position where an outcome might *possibly* be

achieved then influence has occurred even though all goals have not been accomplished.

Attributional data assume that individuals know who has exerted influence and that their perceptions of who is influential are accurate. What is important in this study is the extent to which primary and proximate actors attribute budget decision outcomes to the relative power and influence of the exemplary Chairpersons.

Finally, the behavioral approach to assessing influence is different from the first two approaches in that it examines the efforts or strategies of the Chairpersons in relation to their capacity to exert influence given their actual or perceived power bases. This approach explores the specific influence efforts of individuals and the perceived effects of those efforts on decision outcomes (Geary, 1992). This approach is consistent with Gamson's (1968) concept of operationalizing influence. He argues that, rather than examining influence, one should examine "influence attempts" (strategies) and one's "capability of influence" (resources). As Gamson (1968) explains, "If we can understand the process of influence attempts and can then combine it with some measure of capability, we may move toward inferring influence without measuring [influence]" (p. 67).

### ***Summary and Implications***

The study embraces political perspectives and budgeting characteristics drawn from and inspired by Allison and Zelikow (1999), Meisinger (1994), Gamson (1968), and Wildavsky (1979). The political perspectives in the authors'

work are rich with analytic concepts and features derived from studies of politics and of budgeting. The analytic features of the framework for this case study (i.e., actors, purposes of influence efforts, sources of influences, influence strategies, and assessment of influence), when viewed in their totality, provide the researcher with an investigative tool for exploring both issues and concepts that provide greater insight into the strategies developed and deployed by reputedly exemplary Chairpersons as they sought campus resources for their departments. The analytic framework results in the following set of research questions.

### **Research Questions**

1. Whom did the three exemplary Chairpersons seek to influence to secure campus resources and why were these individuals the targets of influence?
2. What types of resources did the three exemplary Chairpersons seek to secure from the campus and why were these resources sought?
3. What sources of power and what strategies did the three exemplary Chairpersons use to influence campus decision-makers to support their budget requests and why were those strategies chosen?
4. What were the outcomes of the three exemplary Chairpersons' influence efforts?
5. What factors may account for the choice of strategies the three exemplary Chairpersons used to secure campus resources and their impact on decision outcomes?

## **CHAPTER III**

### **RESEARCH DESIGN AND METHODOLOGY**

This chapter describes and defends the choice of a case research design for this study. The first section provides a rationale for the study's design. The second section describes the data sources and explains the procedures for data collection and analysis. The third section explains the steps taken to minimize bias and error in the study. The final section is a discussion of the researcher's role in this study.

#### **Rationale for Qualitative Case Study Research Design**

Case study research is often classified as part of a collection of qualitative research traditions (see, for example, Creswell, 1998) and can take a variety of forms. Case study research may be explanatory, exploratory, descriptive, historical, evaluative, qualitative or quantitative. Each type of case study serves different purposes (Stake, 1995; Merriam, 1988; Yin, 1998).

This study employs an exploratory, qualitative case study design. The exploratory case method is preferred because the nature of this study is to uncover the strategies that three reputedly exemplary academic department Chairpersons use to secure campus resources to support their departments' priorities. Because little is known about the topic, this study is designed to identify strategies and to discover the factors that shape the choice of those strategies. Each of the three exemplary department Chairpersons constitutes a case. Studying the three Chairpersons provide the researcher with an

opportunity to enhance our understanding of the budget strategies that department Chairs may develop and deploy to secure campus resources.

Four reasons drive the decision to use an exploratory, qualitative case study tradition. First and foremost is the fact that little is known about the budget strategies used by academic department Chairpersons to secure campus resources and the factors that shape their strategies. Previous research on Chairpersons (Bennett & Figuli, 1990; Lucas, 1994, 2000; McHenry & Associates, 1977; Seagren, Creswell, & Wheeler, 1993; Tucker, 1992) does not address the selection and deployment of budget strategies or the factors that shape them. Under these conditions, qualitative research is useful “because the topic needs to be *explored*” (Creswell, 1998, p. 17). The exploratory qualitative case study tradition has the potential to provide a grounded understanding of the phenomenon and a valid point of departure for future empirical and conceptual work (Malen, 1983).

Second, case studies are particularly appropriate when the research is conducted in natural settings (Creswell, 1998; Merriam, 1988) and focuses on real-life phenomenon (Yin, 1998). Situated in the home institution and home departments of the three exemplary Chairpersons, this study required the researcher to enter the world of the Chairpersons to gather evidence about their experiences with developing and carrying out budget strategies. Therefore, a qualitative case study design is being used to better understand Chairpersons’ strategies and the factors that shape them.

Third, this research acknowledges the role of the researcher. As a student of budgeting, the researcher views himself as an active learner. At the time of this study, the researcher was a director of an administrative department and sought greater understanding of budget strategies used by reputedly exemplary academic department Chairpersons and the factors that shape their selection. Creswell (1998) notes that “a qualitative approach...emphasize[s] the researcher’s role as an *active learner* [sic] who can tell a story from the participants’ view rather than as an ‘expert’ who passes judgment on participants” (p. 18). Creswell’s viewpoint is consistent with this study.

Finally, the case study method for this study is appropriate because the findings and conclusions set the stage for future inquiry. It is not possible to use this study to fill all the empirical voids in the literature, especially when using only three Chairpersons in a single institution as the primary focus. Instead, the goal of this study is to provide some insights on budget strategies to begin developing pertinent hypotheses and propositions for further inquiry by the researcher and others (Yin, 1998).

### **Selection of the Research Site**

Below are discussions of the research site and the choice of an academic College at the site.

#### ***The Institution: University of Mt. Brilliance***

A large, comprehensive public higher education institution was chosen as the research site for this case study. To preserve and protect anonymity, the institution shall be referred to as the University of Mt. Brilliance (UMB). The

research site is considered a *typical* comprehensive public institution for its size because it offers “a wide range of baccalaureate programs, and [it is] committed to graduate education through the masters’ degree.”<sup>1</sup> Because a single setting is being used, the ability to make analytic generalizations that apply to institutions in diverse settings is limited. As noted, the intent is to develop analytic insights that can be corrected or corroborated by future research. However, this study allows for some transferability to similar settings. According to Murphy (1980), typical sites for research “help ensure that the results cannot be dismissed as peculiar to [certain institutions]” (p. 39). Chapter IV develops this line of argument by describing the site and specifying why it may be viewed as a fairly typical case within a broader classification of universities.

The University of Mt. Brilliance was chosen because the researcher established access and established a rapport with a gatekeeper at the site. A gatekeeper is “an individual who is a member of or has insider status...is the initial contact for the researcher and leads the researcher to other informants” (Hammersley & Atkinson, 1995 as cited in Yin, 1998 p. 117). Relationships were established with the Chancellor, the Vice Chancellor for Academic Affairs, and the former Dean of the Graduate School who, at the time of this study, was the Dean of the College of Arts and Sciences at the site. Since this level of institutional access and the established rapport with officials are important to case study research (Stake, 1995; Yin, 1998) the researcher capitalized on these connections to carry out a study of exemplary department Chairs.

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<sup>1</sup> Visit [www.carnegiefoundation.org](http://www.carnegiefoundation.org) for more detailed information on the different classifications of institutions.

### ***Choice of the Academic College***

A College of Arts and Sciences was chosen as the College from which to select the three exemplary academic department Chairpersons. The College of Arts & Sciences was chosen because it is the most diverse College in terms of its academic degree programs and offerings. At the time of this research, the College housed a little more than 10 academic departments. To protect the identity of the institution, the exact number is not being disclosed. By contrast, other Colleges at the research site housed a much smaller number of academic departments. The academic variety in the College provided a greater opportunity for selecting Chairpersons from different disciplines. This kind of identification process “protects against the argument that the findings apply to only a few sites with the same basic character, facing the same kinds of problems” (Murphy, 1980, p. 39).

Second, the money was followed. A review of four years of budget allocations revealed that most resources and increases were traced to the College of Arts & Sciences. That pattern suggests a greater likelihood that reputedly exemplary Chairpersons who are considered successful in securing resources for their departments would be identified.

Third, reputational data was relied on heavily to select Chairpersons for the study. These data were secured by speaking with senior administrators who were in a position to know of successful Chairpersons across the campus. Of the pool of nominated Chairpersons, most nominees were from the College of Arts & Sciences. Relying on respected sources who are in a position to possess

information of nominees' characteristics, styles, approaches, and record of success, or lack thereof, is considered an appropriate strategy for selecting individuals to study (Murphy, 1980).

Finally, other factors contributed to selecting the College of Arts and Sciences, or, more precisely, eliminating other colleges. One College had no traditional academic departments; therefore, no budget allocations could be traced to specific departments. Another College was too new; two departments had been in place for less than one year; and another College had three Chairs who were essentially new to their positions having less than three years experience.

### **Selection of Cases**

This section explains the process by which the three exemplar academic department Chairpersons were chosen for this study. The section includes explanations of (1) the selection criteria, (2) the data sources used for selecting the three Chairs, and (3) the instrumentation used to collect data.

#### ***Selection Criteria***

Academic department Chairpersons are the general subject of study because they hold critical positions in higher education institutions. A significant amount of all university decisions are made typically at the academic department level. The important roles played by Chairs are captured in the following characterization by Seagren, Creswell and Wheeler (1993):

As administrators responsible for evaluating and rewarding staff, Chairs promote or inhibit the advancement of individual careers. As advocates for faculty, they serve as important communication links between academic units and the administrative hierarchy of colleges and universities. As

colleagues of faculty and staff in the department, they understand the daily frustrations and concerns of individuals employed in higher education institutions.... (p.1)

This research focuses on the influence attempts of three reputedly exemplary academic department Chairpersons in the College of Arts and Sciences at the University of Mt. Brilliance. The three Chairpersons selected for this study are from the Departments of Sociology-Anthropology, Biology and Communications. All three Chairs were selected primarily because they were judged by the Dean of the College to be the most successful Chairpersons in the College in terms of their ability to secure resources from him for their departments. In the analytic framework in chapter II, three elements for assessing influence were presented: decision outcome data, attributional data, and behavioral data (Gamson, 1968; Geary, 1992). Budget documents and semi-structured interviews with knowledgeable administrators were used to discover decision outcomes and to obtain nominations for exemplary Chairpersons. Taken together, the three sources of data allowed the researcher to examine outcomes and attributions for selecting the Chairs for a study designed to generate detailed descriptions of their influence efforts and the factors that shaped their choice of strategies.

Documentary and interview data suggest that the Chairpersons selected are successful at securing campus resources for their departments. The three Chairpersons received budget increases for at least three of the five years being examined (1997-2002). However, annual increases for the three departments in this study range from a little more than three percent to just over eight percent. In

fact, two of the Chairpersons received budget increases 100% of the time during the 1997-2002 time periods. Table 1 is an illustration of the three exemplary Chairpersons and the selection criteria used for this study.

Table 1

Profile of Selected Cases: The Three Exemplary Chairpersons

<b>SELECTION CRITERIA</b>	<b>CASE 1: CHAIR, SOCIOLOGY-ANTHROPOLOGY</b>	<b>CASE 2: CHAIR, BIOLOGY</b>	<b>CASE 3: CHAIR, COMMUNICAIONS</b>
Chairperson in Arts & Sciences	X	X	X
Nominated by current and/or former Dean	X	X	X
Nominated by current and/or former Vice Chancellor for Academic Affairs	X	X	X
Reputational data based on nominations received	3/10 times (30%)	5/10 times (50%)	8/10 times (80%)
Served as Chair under Dean during the 1997-2002 period	X	X	X
Received annual budget increases (outcomes) during the 1997-2002 period	X (AVG=8.18%)	X (AVG=3.93%)	X (AVG=3.32%)

Second, reputational data suggest that the Chairpersons are exemplary.

Reputational data allow the researcher to capitalize on the insights of “informed [and] respected sources” (Murphy, 1980, 42). Collectively, the three Chairpersons were nominated an average of 64% of the time during interviews conducted with the past Dean of the College, the Dean of the College at the time, senior campus administrators, the Dean of another College, faculty members in two of the three departments, former Chairs, and staff members in the College. Of the three exemplary Chairpersons, two (biology and sociology-

anthropology) were originally presumed to be exemplary by the researcher based on budget data alone and their size. Reputational data confirmed this assumption. The third exemplary Chairperson (communications) was not presumed to be exemplary based on budget data alone, but the reputational data overwhelmingly suggested that this Chairperson was an important person to study. The communications Chair was nominated as a successful Chairperson by 80% of the people with whom the researcher spoke.

In sum, all Chairpersons meet the following criteria for exemplar status: (1) a sitting Chair in the College of Arts and Sciences; (2) nominated by the Dean (who had been in the position less than a year at the time of the interview) and/or the past Dean who was in that position for six years; (3) nominated by the Vice Chancellor for Academic Affairs; (4) service as Chair under the past Dean or the Dean during the 1997-2000 time period; and (5) evidence of increases in department budget over four years. Two white males and one white female are in the study and the average tenure as Chair is 16 years. Demographic characteristics are not germane to this type of study so they were not considered in the selection process or the analysis of the data.

### ***Data Sources for Selecting the Three Exemplary Chairs***

The data sources described below provide information about the exemplary Chairpersons' budget strategies and the factors that shape them.

*Documentary data.* Annual institutional operating budget documents were relied upon to help determine which Chairpersons were successful at securing

campus resources. The documents are maintained at the university library. The budget documents include the following elements: allocations for faculty and non-faculty, full-time equivalencies (FTEs) for students and faculty, allocations for employee benefits, and totals for operating expenses. The documents provide evidence of resource allocations which is an important criterion for selecting exemplary Chairpersons. Other documents reviewed for this study were materials from the individual departments and the institution's audit reports which provided campus data that all three Chairs integrated into their budget proposals to make a case for requests.

*Semi-structured interview data.* Semi-structured interviews, or informal conversations, were conducted in person with 12 individuals. Individuals interviewed were senior campus administrators, Deans, budget administrators, current or former Chairs, and faculty members. Profiles of the interviewees are in Table 2. The interviews were conducted between June 2001 and May 2002. Of the individuals interviewed, nine gave their permission to be tape-recorded. The interviews lasted from 15 to 45 minutes, but most interviews were 30-minute sessions.

Table 2  
Positions of Informants for Semi-Structured Interviews  
N=12

<b>POSITION</b>	<b>N</b>
Administrators	4
College Deans	3
Faculty Members (includes any who were former Chairs)	3
Senior Administrators (Vice Chancellor for Academic Affairs and Chancellor)	2
<b>Total</b>	<b>12</b>

The interviews were designed to be “exploratory conversations” with the informants (Malen, 1983, p. 37), to secure nominations for exemplary Chairpersons, and to obtain reputational data for selecting the Chairpersons for this study. One of the goals of the interviews was “learning enough about a situation to formulate questions for subsequent interviews” (Merriam, 1988, p. 75). Besides securing information for selecting Chairs to study, the semi-structured interviews were used to “corroborate the information acquired from in-depth interviews and to test the interpretation of actors’ roles” (Malen, 1983, p. 37).

Although all persons recommended by the informants and suggested documentary sources were pursued, several potential informants declined to participate. Two potential informants (a faculty member and staff person) never returned phone calls; one potential informant (a former Dean of another College at the time) indicated that he could not participate in the study given his time constraints; one potential informant could not be reached (a current Dean of another College at the time); two potential informants (an administrator and staff person) indicated that they did not have any pertinent information to contribute to the study because they were not close to Chairpersons or their budget issues; and one potential informant (a secretary) indicated during an introductory telephone conversation that she had not been close to Chairpersons in general or their budget decisions in the College for many years.

Although all potential informants were not included in the semi-interviews for reasons noted above, many of the 12 individuals made the following types of

comments regarding the study: “interesting topic,” “the topic sounds intriguing,” “Chairs could really use this kind of information,” and “[the interview] really got me thinking about effective Chairs on this campus.” One administrative informant referenced the importance of getting reputational data as he was being interviewed. For example, he commented:

I think this is good stuff. I really do. It’s good that you are looking at their reputation for being successful. You gotta get that. That kind of thing will be helpful. It sounds like a good study.

The above comments suggest that the informants were interested in the topic and were willing to provide accurate and useful information.

### ***Instrumentation for the Semi-Structured Interviews***

Two instruments were used for the semi-structured interviews, one of which was created by the researcher: *Interview Guide* and *Interview Assessment Guide*. Each is explained below.

*Interview guide.* This instrument (see Appendix D) was developed to collect reputational and behavioral data from informants. Data from the interviews were used to identify exemplary academic department Chairpersons. The *Interview Guide* was structured to give informants an opportunity to explain their rationale for nominating Chairpersons and to provide reasons for their nominations.

*Interview assessment guide.* This instrument (see Appendix F) was used to assess the quality and experience of the overall interview. The instrument provided insights about the interviews that potentially could inform judgments about credibility of the source and plausibility of the answers provided during the

interview. For example, the instrument allowed the researcher to gauge the extent to which the informant was knowledgeable about effective Chairpersons, the extent to which the informant appeared interested in the subject matter, the extent to which the informant revealed his or her proximity to the general institutional allocation process or the Chairpersons' budget decisions, the extent to which the interview was interrupted by external distractions (e.g., telephones or people entering the room), and the extent to which the informant was willing to answer questions and volunteer additional information. This *Interview Assessment Guide* was completed at the close of each interview.

Similar instruments were used for the in-depth interviews which will be discussed in the next section. However, because in-depth interviews were designed to better understand the Chairs' strategies, modifications were made, such as adding more extensive questions and adding questions targeted to a specific participant.

### **Data Sources and Methods for Developing Individual Cases**

Case studies involve a wide range of data collection strategies to create a picture of a case [or cases] (Creswell, 1998). To develop the individual case narratives, this case study relied on written records, semi-structured interviews, and in-depth interviews.

#### ***Written Records***

Official documents were used to "corroborate and augment evidence from other sources" (Yin, 1994, p. 81) and to "ground [this research] in the context of

the problem being investigated” (Merriam, 1998, p. 109). The researcher collected and reviewed the following types of written records:

1. the University Catalog;
2. institutional auditing documents to obtain an understanding of the institutional context in which the Chairpersons operated;
3. institutional and departmental policy or planning documents that described academic priorities;
4. annual operating budget documents to identify resources allocated and other academic highlights from the institution or the state legislature;
5. archival records that describe the history of the institution;
6. website reports; and
7. personal communications from informants.

The aforementioned written records were collected for the purposes of discovering, exploring, and conveying institutional and departmental contextual factors that may have influenced the three exemplary Chairpersons’ budget strategies. Documentary data also identified the major official actors who may have had insight into the three Chairs’ strategies.

### ***In-depth Interviews***

The in-depth interviews were different from the semi-structured interviews discussed earlier in this section. The semi-structured interviews were more informal and were conducted to identify the three reputedly exemplary Chairpersons to be studied. By contrast, the in-depth interviews were more

formal and were conducted to develop a greater understanding of the three Chairs' strategies. Taken together, the semi-structured and in-depth interviews were used to develop the individual case narratives.

In-depth interviews were conducted with 13 individuals during summer 2002 (June, July, and August) and early fall 2002 (September and October). By comparison, semi-structured interviews were conducted with 12 individuals. A senior campus administrator, Deans, the Chairs identified for this study, a sitting Chair, and faculty members, some of whom were past or present members of budget or other advisory committees in their departments or former Chairpersons were interviewed. The following table 3 is a description of the data sources for each of the three cases. Twelve interviews were conducted in person and ranged from 15 minutes to a little more than one hour. One interview was conducted over the telephone. Of the 13 interviews, 10 participants gave their permission to be tape-recorded. To "protect against lost data due to mechanical failure" (Malen, 1983, p. 49), written notes of each session were taken.

Table 3

## Participants for the In-Depth Interviews for Each Case

N=13

<b>POSITION OF INFORMANT</b>	<b>CASE 1 (SOCIOLOGY- ANTHROPOLOGY CHAIR)</b>	<b>CASE 2 (BIOLOGY CHAIR)</b>	<b>CASE 3 (COMMUNI- CATIONS CHAIR)</b>
Exemplary Chairperson	1	1	1
Primary Actor: Senior Administrator	1	1	1
Primary Actor: Dean	1	1	1
Primary Actor: Former Dean	1	1	1
Proximate Actor: Another Campus Dean (who was also a former Chair)	1	1	1
Proximate Actors: Faculty Members	0	2	3
Proximate Actor: Sitting Chairperson	1	1	1
<b>Number of people interviewed for each case</b>	<b>7</b>	<b>8</b>	<b>9</b>

The effects of a small pool of informants for each case will be discussed in the limitations section later in this chapter.

The use of in-depth interviews as a strategy for collecting data during case study research is endorsed by methodologists. Yin (1994), for example, argues that interviews are “one of the most important sources of case study information” (p. 84). According to Malen (1983), guided interviews “are conducted from a uniform set of questions which are asked of each informant” (p. 38). During interviews, “the subjects are encouraged to answer in their own terms, rather than choosing between the limited alternatives preset by the researcher” (Lofland, 1971, as cited in Malen, 1983, p. 38). Documentary data could not fully explain why the three exemplary Chairpersons chose certain

strategies because documentary data cannot capture the dynamics of the resource allocation process. Allison and Zelikow (1999) offer a supporting perspective. They write:

Accurate accounts of the bargaining that [produces] resolution[s]...are rar[e]...Documents often do not capture this kind of information, since they themselves are often resultants. Much information must be gleaned from the participants themselves. (p. 312)

In-depth interviews were used because they typically can yield rich, thick description and detail (Creswell, 1998; Merriam, 1988; Patton, 1980; Yin, 1994, 1998) that researchers must have to fully understand the phenomena being studied. Because this study is an exploratory case study, in-depth interviews were used and designed to be open-ended to allow for open, detailed responses, flexibility, appropriate probes and follow-up questions. Follow-up conversations with the informants and the three Chairs were conducted as needed to correct, corroborate, or clarify statements, and to “test out” the researcher’s preliminary findings and interpretations. As noted in the semi-structured interviews, all leads were followed for the in-depth interviews as well. Table 4 provides data for individuals who did not reply or replied but noted that they believed they could not offer assistance with the study because of limited to no knowledge of the Chairpersons’ budget requests or strategies.

Table 4

Individuals Who Did Not Reply or Stated They Could Not Assist

<b>CATEGORY</b>	<b>CASE 1 (SOCIOLOGY- ANTHROPOLOGY CHAIR)</b>	<b>CASE 2 (BIOLOGY CHAIR)</b>	<b>CASE 3 (COMMUNICATIONS CHAIR)</b>
Informants <sup>2</sup> who did not reply	2	3	1
Informants <sup>3</sup> who replied but said they could not offer assistance	2	6	3
<b>Total number who did not reply and believed they could not assist with this study</b>	<b>4</b>	<b>9</b>	<b>4</b>

***Criteria for Selecting Participants for In-depth Interviews***

The target population for this study was defined as the official and proximate actors identified with, knowledgeable of, or involved in the three exemplary Chairs' deployment of budget strategies, and the Chairs themselves. Informants and respondents were selected based on five criteria established and implemented by scholars and practitioners (Malen, 1983; Murphy, 1980; Patton, 1980; Bogdan & Taylor, 1975; Allison & Zelikow, 1999). The criteria were: (1) proximity to the phenomenon of study (i.e., development of budget strategies for securing campus resources); (2) potential for diverse perspectives; (3) reputation for knowledge and candor; (4) accessibility; and (5) a willingness to participate in the research. Based on these criteria, the 13 aforementioned individuals were selected for in-depth interviews.

<sup>2</sup> Some informants were applicable to one or more of the cases.

<sup>3</sup> Some informants were applicable to one or more of the cases.

### ***Instrumentation for In-depth Interviews***

As with the semi-structured interviews, an *Interview Guide* was used specifically for the three Chairpersons (Appendix B); a modified *Interview Guide* was used for other informants (Appendix C); an *Interview Assessment Guide* was completed by the researcher after each interview (Appendix F); and an *Interview Tracking Log* was used to track relevant data (Appendix E).

*Interview guides.* Like most people doing exploratory studies, the researcher constructed “appropriate instruments to implement the study design” (Mayer & Greenwood, 1980, p. 233). Written interview guides were used as a framework and allowed participants to express their understandings of their experiences (Patton, 1980). The *Interview Guides* allowed participants to provide the researcher with comparable information across informants in each case and across informants in all three cases (Bogdan & Biklen, 1992; Patton, 1980). The *Interview Guides* included questions that were designed to elicit detailed descriptions of the actors associated with the budgetary process; their goals and resources; the strategies used by the three exemplary Chairpersons; and the perceived outcomes of the Chairs’ strategies for securing budgetary resources.

Equally important, the *Interview Guides* were designed to satisfy the analytic thrust of the study and answer the research questions. The *Guides* were open-ended and flexible to allow for the discovery of important issues that the analytic framework might not reveal (Herriott & Firestone, 1983; Patton, 1980). Following the open-ended questions on the *Guides*, appropriate probes and follow-up questions that encouraged elaboration, clarification, and corroboration

with other data sources were included on the instruments (Murphy, 1980; Patton, 1980; Stainback & Stainback, 1984). During the interviews, questions were reordered and rephrased “as necessary to convey meaning and to accommodate the [participants’] particular way of remembering events” (Denzin, 1970 as cited in Geary, 1992, p. 93).

*Interview assessment guide.* A description of this instrument was discussed earlier under the section on instrumentation for semi-structured interviews so the information will not be repeated here.

*Interview log.* As stated earlier, most interviews were taped with the permission of Chairpersons and other informants. The taped interview data were transferred to an interview log (Merriam, 1998, p. 82) (see Appendix E). Merriam (1998) created the interview log method as a viable alternative to verbatim transcriptions. She writes:

The interviewer/researcher...plays the tape and takes notes on important statements or ideas expressed by the informant. Words or phrases or entire sentences are quoted exactly. These notes are coded to the tape counter so the exact location of such words can be accessed quickly at a later time...The data on the interview log can be later coded according to emerging themes or categories from the data analysis phase of the study. (p. 84)

### ***Field Test***

To assess the usefulness of the *Interview Guide*, a field test of the instrument was conducted by interviewing an academic department Chairperson in the College of Arts and Sciences at the University of Mt. Brilliance (UMB). Another purpose of the field test was to assess the extent to which the questions were appropriate, clear, consistent, and likely to be understood by the three

exemplary Chairpersons. No sampling method was used. The researcher first attempted to test the questions on a Chairperson in the same College who had 12 years of service as a department Chair. After two weeks of “phone tag,” the researcher learned that the Chairperson had left the position. A second attempt resulted in an interview with a Chairperson with the second most extensive service in the same College.

The field test was conducted in late August 2002 and lasted for 75 minutes. The interview was audio-taped. The interview log was used to analyze the interview data. Based on verbal feedback from the field test informant, the items were clear, appropriate, and consistent. After the interview, the researcher asked the informant to provide feedback on the quality of the questions and to offer any suggestions. Regarding the questions, the informant indicated that, overall, he had “no qualms” with the questions and that they were “understandable” and “answerable.” The informant did note that, for him, the questions were “difficult to answer” because of his particular circumstances as Chairperson. The Chair’s circumstances were that (1) he “did not physically prepare the budget” in his department; (2) “almost all” the department’s resources came from the campus general funds; (3) the department had limited availability of external funds (e.g., \$500 from Foundation resources); and (4) he sought resources that were “normally not hard to get.”

The informant made one suggestion and expressed one concern. The suggestion was to consider altering the first question from how Chairpersons prepared their department budgets to asking the Chairpersons to describe the

budget process. The researcher deemed this to be a reasonable suggestion and the *Interview Guide* was modified accordingly. The informant expressed a concern that two questions were the same regarding external conditions that affect budget strategies. It was explained to the informant that the questions were, in fact, quite similar but not the same since the questions were concerned with different circumstances. The informant understood and no change was made to the *Interview Guide*.

The informant added that budgeting at UMB was “classic public administration incrementalism.” This characterization of the budget process was helpful to better understanding budgeting at UMB later in the study. In sum, no major changes were made to the *Interview Guide* after the field test. The informant answered all the questions and appeared to be very candid about budgeting at UMB and his ability to secure resources for his department.

### **Data Analysis Procedures**

Data analysis “is the process of making sense out of one’s data” (Merriam, 1988, p. 127). Data analysis began during and continued throughout the collection of data, the development of the written individual case narratives, and the cross-case analyses. Data analysis for this study involved: 1) the validation of the data, 2) an aggregation of the data based on features of the analytic framework, 3) the development of individual case narratives, and 4) the development of a cross-case narrative.

### ***Validation of the Data***

Data analysis began with systematic efforts to validate the data. The criteria used to evaluate the validity of the data included (a) *position, certainty and reputation* of the source (Becker & Geer, 1970; Murphy, 1980); (b) *plausibility* of the information provided (Miles & Huberman, 1984; Whyte, 1984); (c) *clarity, detail, and consistency* of information offered (Mayer & Greenwood, 1980; Murphy, 1980; Whyte, 1984); and the ability to (d) *corroborate* with information gathered from other sources using the same or different methods (Murphy, 1980). These criteria allowed the researcher to gauge the “individual and relative strength of datum” (Malen, 1983, p. 54).

### ***Aggregation of the Data***

The analytic framework guided the aggregation of data from documents and interviews so that observations regarding the roles of actors, budget strategies developed and deployed, and the patterns of influence were discovered, systematically described, and interpreted. The data for each of the three exemplar cases were arranged according to categories of the framework selected for this research (Miles & Huberman, 1984). These categories included the major actors, the three exemplary Chairpersons’ influence efforts (including purposes, sources of influence, influence strategies, and assessment of influence).

### ***Development of Case Narratives***

A narrative was developed for each Chair to represent the findings related to that particular case. Each narrative was described and interpreted based on

the analytic categories in the framework for this study. To accurately depict the influence efforts of the Chairpersons; the factors associated with their choice of strategies; and the data that support, question, or contradict the interpretation of influence efforts, Chairpersons' and others' statements were quoted throughout the case studies and the documents collected during the research were referenced where appropriate. The development of the three individual case narratives set the stage for a cross-case analysis in the last chapter.

### ***Development of a Cross-Case Analysis***

The cross-case analysis is an integration of the findings from the three individual case narratives and it answers the research questions for this study. The purposes of this case study are to develop broad categories of actors associated with the Chairs' influence efforts, to identify broad relevant sources of power the Chairs had at their disposal, to explain broad strategies, and to identify, where possible, analytic generalizations. The purposes are achieved through a cross-case analysis of the data and by building "a general explanation that fits each of the individual cases, even though the cases will vary in their details" (Yin, 1984, p. 108).

### **Strategies to Minimize Bias and Error**

The following strategies minimize bias and error in this study: (1) honoring anonymity and building rapport; (2) using open-ended interview guides; (3) using collegial-informant review; and (4) using an interview assessment guide. Each strategy is discussed below.

### ***Honoring Anonymity and Building Rapport***

Prior to interviews, informants were guaranteed anonymity and confidentiality through verbal discussions and an *Informed Consent Form* (Appendix A). The identity of the institution was protected as well. An effort was made to establish a rapport with the informants “through pre-interview conversation that might draw attention to mutual interests and commonalities” (Geary, 1992, p. 96). The researcher held positions that required preparing and submitting budget requests and competing for campus resources. This common experience served as a basis for pre-interview conversation and connections throughout the interviews. The researcher, however, was not employed by UMB at the time, so he was not a competitor for institutional resources at the site. The promise of confidentiality and anonymity, and establishing rapport with the informants, contributed getting what he believed to be credible data and reliable responses.

### ***Using Open-Ended Interview Guides***

Bias and error were minimized, in part, because *Interview Guides* were used to allow informants an opportunity to express their thoughts without being “boxed in” by rigid questions. The questions were designed to be non-threatening. Probing questions were used to allow the researcher to move beyond responses that were vague or abrupt. Examples of probes included asking for clarification, seeking elaboration, providing encouragement, and respecting silence (Murphy, 1980).

### ***Using Collegial-Informant Review***

Another strategy for minimizing bias and error in the study was the use of a collegial and informant review of the study. The three exemplary Chairpersons had an opportunity to review the individual case narratives to ensure that information was accurate; analyses were valid and appropriate; and anonymity was protected. A former department Chairperson at another large public university, the dissertation advisor, and members of the dissertation committee reviewed the study and offered invaluable advice.

### ***Using an Interview Assessment Guide***

As earlier noted, the researcher used an *Interview Assessment Guide*. The *Guide* documented the researcher's observations and perceptions about the interview. The *Guide* enabled the researcher to document perceptions and observations at close of each interview. Completing the *Guide* was particularly helpful when the researcher conducted multiple interviews in a single day.

### **Ethical Considerations**

To ensure the integrity of this study, the researcher was attentive to ethical considerations and observed several protocols. First, a consent form (see Appendix A) was developed and given to participants, which gave them the right to refuse participation at any time. The consent form addressed (1) the nature of the study; (2) the objectives of the research; (3) the manner in which results would be reported; (4) the distribution of the written report; (5) the individuals who will have access to the raw data (i.e., the researcher and members of his

dissertation committee); and (5) the information about whom to contact if participants had questions or concerns about the researcher's conduct.

Second, the institution was kept anonymous and efforts were made to protect the individual anonymity of the informants. Good faith efforts were made to preserve and to protect the identity of the institution and the anonymity of individuals when sensitive quotes and other sources of data were used.

Third, the researcher maintained a commitment of "doing no harm" to participants (Bogdan & Biklen, 1982; Leedy & Ormrod, 2001; Whyte, 1984). Efforts were made to present findings in a manner that did not threaten the credibility, reputation, or privacy of any participant or the institution.

Finally, the researcher protected the raw data and case reports. The raw data were maintained by the researcher and stored in a secure location. Data were available for inspection only by members of the researcher's dissertation committee upon their request.

In sum, the researcher adopted Wax's (1971) commandment for researchers. Wax urged researchers to do "an honest and thorough job [that] omits no important aspect of a situation, and writ[e] an honest, coherent, and fair report" (p. 364).

### **Limitations of the Research Design and Methodology**

This case study has several limitations. Each limitation is discussed below.

### ***Size and Focus***

This study is limited by the small number of Chairs, the type of Chairpersons being studied, the choice of a single College (Arts & Sciences), and the choice of a single institution. Only three Chairs were studied; in addition, Chairs perceived to be exemplary were studied rather than a cross-section of Chairs that may have included less successful Chairs. Budget activities and strategies by Chairpersons who were not recommended as exemplary were not examined. Consequently, the researcher cannot be sure that the strategies uncovered in this research were used only by the successful Chairs.

While no magical number of subjects must be studied to understand a phenomenon, small numbers of subjects and limited types of subjects in single-site settings make it difficult to generalize to other Chairs at the site or in other academic settings. The inclusion of Chairs deemed less successful as those Chairs selected for this study might have added to the strength, utility, and applicability of this study by providing more points of comparison. Nonetheless, studying exemplar Chairs, while limited, is instructive because it allows for more detailed accounts of the political behavior of individuals perceived as influential.

### ***Reliance on Self-Report Data***

Because Chairpersons were the focus of this study, the researcher relied heavily on the self-report data provided by the three reputedly exemplary Chairpersons. Self-report data may emphasize positive behaviors, may inflate the influence of Chairs on allocation decisions, and may be filtered by the memories, predispositions, and biases of the informants chosen to participate in

this study. While this study took steps to alleviate these and other sources of error, the study relied heavily, albeit not exclusively, on self-report data.

### ***Modest Descriptions***

This study is limited by its modest descriptions of influence processes. The Chairs and other informants in this study had some difficulty recalling and explaining why choices were made. Because of the difficulty in eliciting the detailed, descriptive data to understand the factors influencing the Chairs' choice of strategies and the detailed content of the strategies themselves, the cases are not as "thick" and the quotations are not as extensive as the researcher had expected.

### ***Utility of the Analytic Framework***

Research is both aided by and limited by the lenses we choose to investigate a phenomenon. Therefore, a third limitation of this study is the nature of the analytic framework. The framework for this study is based on political perspectives of organizations in general and higher education organizations in particular. Political perspectives are helpful in explaining behavior in organizations because they emphasize how people influence decisions. However, certain aspects of the internal and external environments that may shape allocation decisions are not explored in this study. Because this perspective emphasizes behaviors and other qualities associated with actors, the importance of institutional and environmental forces may be understated in this study. Generally, political perspectives direct attention to "a standard list of political categories" (Meltsner, 1972, p. 861) typically associated with examining

politics in organizations. The “political categories” helped the researcher collect, sort, and analyze the data, but the categories were only *one way* of looking at a complex, organizational process.

## CHAPTER IV

### CONTEXT OF THE RESEARCH SITE

This chapter provides the environmental and institutional contexts for the study and sets the stage for describing, exploring, and analyzing the budget strategies of the three exemplary academic department Chairpersons. The data for this chapter were drawn largely from public documents, archival records, and electronic data sources. To ensure anonymity of the research site, direct references to the institution, whose fictitious name is the University of Mt. Brilliance (UMB), its specific geographical location, or references to the names of individuals who provided additional supporting data will not be made.

#### **The Environmental Context**

This section describes the larger academic environment in which the research site exists. In different ways, the data illustrate the environmental factors (e.g., historical, political, economic, and demographic) that may have framed budget processes within statewide institutions (Layzell & Lyddon, 1990) and shaped the strategies chosen by the Chairs in this study. The areas broadly explored in this section are the governance structure of post-secondary education in the state, the academic profile of post-secondary education in the state, the financial profile of post-secondary education in the state, and the budget process associated with post-secondary education in the state.

#### ***The Governance Structure of Post-Secondary Education in the State***

Post-secondary education institutions in the state include university-level institutions (one of which is the University of Mt. Brilliance), state colleges,

community colleges, independent colleges and universities, and private career schools. A “Coordinating Body” (CB) with functions quite similar to regulatory agencies plays a major role in the life of the state’s academic institutions and coordinates higher education policy issues with independent institutions. The CB, among other functions, has the authority to (1) administer aid programs, (2) conduct research and publish reports, (3) authorize academic programs; (5) approve proposals for facilities; (6) promote compliance and consistency with the comprehensive statewide plan for education to prevent unnecessary duplication; and (7) review institutional budgets and make recommendations to the State Legislature.

### ***The Academic Profile of Post-Secondary Education in the State***

A review was conducted of the electronic data on the state’s enrollment profile of post-secondary education (Integrated Postsecondary Education System – IPEDS, <http://nces.ed.gov/ipeds/>). The data were included in a report which was a compilation of enrollment information pertinent to post-secondary education planning. The report compared the state’s enrollment profile data with national enrollment data.

Enrollment data illustrated steady headcount enrollment in the state’s public and private colleges and universities. Although the overall university system enrollment environment was unchanged during the period for this study, the University of Mt. Brilliance experienced enrollment decreases that contributed, in part, to limited resources for the campus. The state enjoyed high participation in post-secondary education with more than 50% of the state’s high

school graduates entering college within 12 months of high school graduation. Although the state struggled in general with its enrollment of minority students, it made slow but consistent progress in the area of minority enrollment. According to the IPEDS data for the time period of this study, minority participation in higher education was comparable to the state's percentages for its ethnic population. The Asian/Pacific Islanders were far more engaged in higher education than other minority groups. Their participation rate was three times higher than their population percentage in the state. The most significant change in the enrollment profiles was that more traditional-aged students in the state were choosing to enroll in community colleges as their first higher education institution.

Prior to this study, the state experienced noticeable changes among the faculty at the public and independent colleges and universities. For example, from 1989 through 1998, the total number of full-time instructional faculty increased by more than 10%. Faculty members at the associate professor rank declined substantially and faculty members at the lecturer rank increased substantially.

### ***Operating Budget Highlights***

Three volumes of the institution's *General Operating Budget* reports were reviewed and contained operating budget highlights. The budget highlights represent the legislature's funding priorities for the university system for each of the three years which were the focus of this study. As summarized in table 5, the budget highlights provided an indication of the budget priorities for a three-year period. Depending on the budget highlights for a given year, the specific campus

that benefited from a budgetary increase or investment was sometimes noted in the volumes. For example, in year one UMB received appropriations for University-wide initiatives and in years two and three the institution received appropriations for a variety of broad expenditure categories noted in the table.

Table 5

Operating Budget Highlights: A Summary

<b>Operating Budget Highlight</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>University of Mt. Brilliance</b>
Salaries, wages, and benefits	X	X	X	
University-wide Initiatives	X			Year 1
Student Contracts	X			
Other Grouped Priorities (research initiatives, special salaries, utilities, library acquisitions, purchased goods, scholarships, faculty recruitment, etc.)	X	X	X	Years 2 and 3
Revenues	X	X		

Source: *General Operating Budget Volumes*

The budget highlights were significant to this study for at least two reasons. First, the budget highlights provided insight into what types of budget requests the three exemplary Chairpersons might submit if they aligned their requests with the state’s operating budget highlights. Second, the budget highlights were a glimpse into the priorities of the state legislature. Responding to legislative priorities in budget requests might result in receiving additional funding from the institution once appropriations were allocated to campus.

According to the budget data in the three volumes (see previous table), the research site received funding for the following priorities: (1) university-wide initiatives in year one and (2) and a series of activities that were grouped together in years two and three (e.g., research initiatives, minority and female faculty recruitment, library acquisitions, utilities, and purchased goods and

services). The appropriated funds to UMB provided some context for the types of monetary campus resources that were available.

### ***The Budget Request Process for Postsecondary Education in the State***

To create a valid characterization of the state's budget process for post-secondary education, the researcher visited the web-page for the university system as well as met with a Budget Coordinator at the institution. The Budget Coordinator had been in the position for a short period of time and reported directly to the Division Head for Finance. Prior to the appointment, the Budget Coordinator was Budget Assistant at the institution for more than 10 years. The website and Budget Coordinator provided an informative description of a complex budget process for UMB. The researcher was successful in gleaning information that described the system's overall budgetary process, understanding the internal campus budget process, and tracing the approval process from the academic department level to the legislative level. The researcher cross-checked information provided by the Budget Coordinator and the website for accuracy and consistency by reviewing and matching the timelines and required activities from both sources.

The budget request was the first phase of the system-wide budget process. The request process represented the state's portion of the State Budget. Budgets for capital construction were handled separately. Institutions' governing boards were required to submit outlines of their budget requests, and major deficit budget requests, along with any supporting information deemed necessary by the institutions or requested by the "Coordinating Body (CB)."

Budget requests “should be consistent with and driven by the Strategic Planning Process” (University System Budget Process Document, personal communication, June 26, 2001, p. 1).

This budget request phase had three major activities: (1) origination; (2) internal preparation, review, and approval; and (3) external preparation, review, and approval. *Origination* meant that each campus was expected to identify initial budget request needs and parameters for discussion at the System President’s Council meeting. According to a senior academic affairs officer at UMB, “the Chairs are generally ‘invited’ by the Dean to make their requests for additional funding for new and/or existing programs.” After which, the Deans made their cases to the Vice Chancellor. At the President’s Council, three activities took place: an initial discussion of campus priorities; a determination of *Budget Request Guidelines* which addressed the funding amounts for enhancements and continuation funding criteria; and the selection of specific program enhancements (or initiatives) that were supported by the strategic planning process.

In the *Internal Preparation, Review, and Approval* phase, the different campuses, central administration, and the Board of Regents were major actors. Campuses were responsible for developing specific enhancement proposals that were consistent with the President’s Council’s priorities. The campuses forwarded proposals to the System’s Provost for review and a recommendation to the President. Central Administration, led by the Provost and the President, approved each campus’ initiatives and/or continuation budget items. After these

processes were completed, the approvals were communicated to campuses and consolidated into the university-wide Budget Request (i.e., the system-wide request).

*External Preparation, Review, and Approval* meant that during even numbered years, central administration submitted the Budget Request to the “Coordinating Body (CB)” by an August deadline. The CB reviewed the data based on priorities inherent in the context of institutional role and mission and the prevention of duplication. After its analysis, the CB submitted independent budget recommendations to the Governor and state legislature for approval or modification of each governing board’s budget priority request together with a rationale for each recommendation. The CB’s modifications, approvals, and/or recommendations had to be submitted by an established deadline in October each year. The CB could recommend creating incentive funds to achieve consistency with the goals for post-secondary education to the Governor and the state legislature. Similarly, in even numbered years, central administration submitted the Budget Request to the Department of Administrative Services (DAS) by an established date in September of that year. The DAS Budget Director submitted a copy of the University Budget Request to the appropriate legislative office. The Governor reviewed the University Budget Request and any recommendations from the Coordinating Body (CB), made an independent recommendation on the University Budget Request (system-wide), and introduced a Budget Bill to the legislature for appropriations committee review.

In the Appropriations Committee, the University's Budget Request, CB recommendations, and the Governor's recommendations were reviewed, and then the Committee developed preliminary recommendations. The Committee held Budget Hearings so university officials could testify on its Budget Request and could react to the Committee's preliminary proposals. After hearings, the Committee developed a final decision on the University Budget Request and submitted the decision to the full Legislature as either an amendment to the Governor's Budget Bill or as a new Committee Bill. Eventually, the approved budget was sent to central administration and the Department of Administrative Services (DAS) and became effective on a specified date. The DAS Budget Office set up the university (system-wide) budget in a state accounting system and monitored expenditures and made quarterly allotments over a two year cycle.

### **The Institutional Context**

The purpose of this section is to describe the University of Mt. Brilliance (UMB) to better understand the institutional context for this study. To collect the data for this section, the researcher (1) interviewed a senior campus administrator; (2) visited the archives section of UMB's library to explore different data sources such as the electronic university catalogs, file folders containing information on the head of the institution, and a book on the history of the university; and, as earlier noted, (3) examined three volumes of the *General Operating Budget*. The broader literature on budgeting at the campus level was reviewed (Matkin, 1985; Meisinger, 1994; Tucker, 1992; Waggaman, 1991). Two

important institutional features emerged from the data and literature and provided the overall institutional context: institutional character and the broad campus budget development process.

### ***Institutional Character***

*Historical perspective.* The College of Arts and Sciences at the University of Mt. Brilliance was created originally to meet the growing demand for graduates of engineering and business programs. The institution soon experienced major growth by adding different academic colleges and schools. Enrollment continued to increase as well. Eventually, growth made it difficult for the city's residents to continue their support through taxes. Consequently, the university looked to the state for funding and the municipal university became part of the state's university system.

The infusion of state funding made it possible for UMB to continue with expansion of the physical plant while also increasing the number of faculty to staff its growing academic programs. UMB continued its tremendous growth and expansion for more than two decades. During this period, academic, social, arts, and other facilities were constructed; new academic programs were created in business, public affairs, science, and technology; and another College was added.

*Role, mission, and priorities.* At the time of this study, UMB offered a full range of academic programs and was committed to graduate education. Like most major institutions with a liberal arts foundation, UMB was committed to

excellent teaching; to research and creativity; and to providing service (University Catalog, 2001). The priorities of the institution were described in the institution's strategic planning and other documents. The priorities included, for example, (1) being student-centered, (2) being a model of academic excellence among higher education institutions, and (3) developing strong ties with the community (Name Omitted, personal communication, December 16, 2002).

*Enrollment.* At the time of this study, the research site had a diverse group of students. While the majority of the students came from within a 100-mile radius of the city, one-third of the student population represented each state and more than 50 countries. The age distribution of the students reflected national trends. The research site had an even representation of students who enrolled directly after high school and adults who were beginning or returning to college. With the exception of one division, which experienced steady growth, all Colleges at the site had experienced enrollment fluctuations during the time period for this study: 1997-2002.

*Collective bargaining.* The research site engages in collective bargaining and is a chapter of the American Association of University Professors. The process for selecting department Chairpersons and faculty members is described in the Collective Bargaining Agreement (1999) for the institution. The Agreement states that Chairpersons "shall be appointed by the Board upon recommendation of the Dean of the College, after appropriate consultation with the faculty of the Department [sic], and with concurrence of the Chancellor and the President" (p. 12).

According to the Vice Chancellor for Academic Affairs, a resignation, retirement, or a decision by the Dean to not renew an appointment as chair may trigger the process. The Vice Chancellor noted that departmental faculty evaluated academic Chairpersons every year. In addition, the Dean was required to “ascertain whether the chairperson continues to be acceptable to a majority” of the departmental faculty. In the end, however, the decision to not reappoint a Chairperson was the Dean’s, indicating the power and importance of the Deans at UMB. There was no evidence in the data that indicated that the bargaining environment, selection process of the chairs, or the role of faculty in the evaluation of chairpersons contributed to the Chairs’ choice of strategies. Further, the researcher did not pursue the influence of bargaining issues on the Chairs’ strategies.

### ***Campus Budget Development Process***

This section illustrates the formal annual budget process at the University of Mt. Brilliance (University System Budget Process Document, personal communication, June 26, 2001, p. 4). According to the Vice Chancellor, budgets were, “in almost all cases” developed “incrementally.” The Vice Chancellor noted that the institution was concerned more with “the allocation of ‘new money’ [perhaps 5% of the budget] than with the use of the existing money [the other 95%].” The Vice Chancellor’s assertion regarding the incremental nature of budgets at UMB was essentially consistent with the literature (Meisinger, 1994; Tucker, 1992; Wildavsky, 1979, 1988).

Interviews with the Budget Coordinator revealed that “there was no separate budget process” for UMB. All institutions within the university system adhered to the system’s framework for developing campus budgets. According to the Budget Coordinator, the budget process data reviewed by the researcher represented “a broad reflection of all [the] campuses.” The researcher asked if UMB had planned to adopt its own internal institutional development procedures. Interestingly, the Budget Coordinator responded by noting that UMB did have its own internal procedures but the procedures “are not necessarily written policies.” The Budget Coordinator added that although no manual explained how the budget development process was developed, UMB did “follow a process each and every fiscal year.” This individual explained that UMB followed “the same routine” and “same procedures” each year for the budget process and request.

The researcher inquired about the availability of charts or graphs that illustrated UMB’s budget development process, but the Budget Coordinator stated that none existed. Instead, this individual produced documents that explained the budget process (Name Omitted, personal communication, April 18, 2001). At the campus level, the role of the Budget Coordinator was characterized as “very restrictive” because development of the budget was “handled at divisional levels.” The Budget Coordinator revealed that “behind-the-scene activities” might have occurred. When asked for some examples, the individual reported that the Budget Coordinator had no involvement in budget decisions or issues related to budget allocations. The Budget Coordinator added that the primary concern for this office was whether or not the Vice Chancellors

“approved transactions that are consistent with policies, procedures, and guidelines.”

The literature on budget processes in higher education suggests that the different phases of system-wide budget cycles and the campus’ budget process provide decision points and multiple opportunities for Chairs to influence the budget process (Meisinger, 1994; Pfeffer, 1981; Tucker, 1992). The processes and the phases below sensitized the researcher to those different decision points and opportunities the Chairs in this study had to develop and deploy their strategies.

*Annual operating budget process for the state university system.* The documentary data collected from the Budget Coordinator at UMB were complex and detailed. The following is a descriptive summary of the annual operating budget process for the state university system. The process had two major periods of budget activity: February through March and April through October.

Figure 2

A Summary of the Annual Operating Budget Process  
for the University of Mt. Brilliance State University System

<b>Timeline</b>	<b>Activities</b>
February - March	Central administration put together a working schedule for the Budget Development Process and distributed the schedule to each campus.
April	President's Council reviewed Operating Budget Requests that were submitted by the central administration. These requests were discussed earlier in this chapter.
May	<p>Revised Revenue Estimates were due to central administration. These estimates were based on the state-aided budget. The state aided budget included the following categories:</p> <p>President's Council discussed funding initiatives. These initiatives became operating expenditures for the research site after consideration of revenue projections. Lists were compiled, consolidated, and prioritized then distributed to the system President and Provost who, in turn, selected items to be funded.</p> <p>The budget base was finalized.</p> <p>Salary requests were reviewed and approved by the President.</p> <p>President's Council approved tentative Operating Budget Guidelines. These Guidelines were prepared by central administration and based on the approved budget from the Legislature. The budget was received by the Council in May during even years and June during odd years.</p>
July	General Operating Budget documents were prepared. These documents included dollar and Full-time equivalent (FTE) schedules, departmental budget listing, salary listing, and personnel roster.
August	No budget activity was listed.
October	Department of Administrative Services' supplemental forms were due to central administration for submission to the statehouse.

Source: University Budgeting Process, personal communication, April 18, 2001.

The researcher believes that embedded in the above state university budget process are 12 budget development phases that are consistent with descriptions of budgeting formulation for public institutions in the literature (see, for example,

Meisinger, 1994). Figure 3 below identifies the phases of the budget cycle that are unique to the university system for the state.

Figure 3

A Summary of the Phases of the System-wide Budget Cycle

<b>Phases</b>	<b>Summary Explanation</b>
Phase 1: Information dissemination	This phase occurred between February and March. The information on budget schedules and requirements were prepared by central administration for the state university system and distributed to each campus.
Phases 2 and 3: Training	Phases two and three involved training that was related to the budget process. The training occurred between February and March and again in April. Training focused on ensuring that new and veteran personnel were aware of any new procedures or requirements associated with the budget development process.
Phase 4: Executive Review	This phase involved an executive level review where the President's Council reviewed the operating budget requests submitted by UMB's Chancellor. This phase occurred in April.
Phase 5: Data Collection	Phase five involved the collection of non-salary data where the state university system office collected and reviewed revised revenue estimates based on the state-aided budget. This phase occurred in May.
Phase 6: Prioritization	Phase six was prioritization of the budget requests by the President's Council before the requests were submitted to the system President and Provost for final funding decisions. This phase occurred in May.
Phase 7: Budget Finalization	The budget request was finalized during this phase which occurred in May.

## Figure 3 Continued

### A Summary of the Phases of the System-wide Budget Cycle

<b>Phases</b>	<b>Summary Explanation</b>
Phase 8: Salary Decisions	Salary data were submitted, reviewed and acted upon. This phase involved the consideration of salary data for administrators at the Deans' level and above. Data were submitted to and approved by the President and Board of Regents. This phase occurred in May.
Phase 9: Tentative Approval of Budget Guidelines	Phase nine involved the tentative approval of operating budget guidelines which were prepared by the state university system office and was based on the approved Budget from the Legislative Body.
Phase 10: Data Entry	Phase ten involved data entry. Salary and other data were entered into the budgeting system. This phase occurred in June and July.
Phase 11: No Activity	This phase occurred during August when there was no budget activity identified in the timeline data.
Phase 12: Internal Processing	Internal processing involved releasing faculty data to be entered into a larger budget database. This phase also involved submitting administrative forms to the system office, which, in turn, submitted the forms to the Statehouse.

Source: University Budgeting Process, personal communication, April 18, 2001.

*A "bottom up" process for requesting resources.* This is the final segment of the discussion on the campus' budget development process. The budget documentation data provided by the Budget Coordinator illustrated a "bottom up" approval process for the institution's operating budget. The approval process seemed to be related to the development of the operating budget *after* resources were allocated to the campus. That is, after the campus received its budget appropriation from the state, the approval process began at the campus level and provided opportunities for the Chairs in this study to request resources for

their budget priorities. The following represents how the different units requested campus resources. The “bottom up” process also represented decision points and opportunities for the Chairs to influence allocation decisions.

The first broad phase of the campus level budget process called for the Chairs to submit their budget requests. Although the Budget Coordinator explained earlier that the budget process documentation given to the researcher “[was] not really clear that the Chairs [were] involved” in the budget development process, the budget request process at UMB began with the Chairs approving their departmental priorities. It is during this part of the process where the Chairs were expected to apply their skills and knowledge of departmental strengths, College priorities, and institutional goals to build a strong case for their requests.

The second broad phase of the campus budget process was the deliberation phase. It is during this phase of the process where, because of their authority and responsibility for their areas, the Deans of the Colleges received, considered, and acted on the Chairs’ budget requests in accordance with priorities for their Colleges. According to the Vice Chancellor, budget discussions and decisions “are made in the Deans Forum, or possibly in the Academic Deans Council.” The Deans Forum was composed of the academic Deans, the administrative Deans, and the Associate or Assistant Vice Chancellors in Academic Affairs. By contrast, the Academic Deans Council was smaller since it was a subset of the Deans Forum. In this phase, the Chairs had conferences with the Dean to make their case for resources.

Regarding the decision-making power of the Deans' Council and the Deans' Forum, the Vice Chancellor noted that "all aspects of the proposed budget changes [e.g., allocation, reallocation, use of special funds such as technology fees] and applications for central funds [e.g., from University Foundation grants] were discussed and decided at these meetings." Additionally, the Vice Chancellor authorized the Deans to target opportunity hires. Noting that the Deans "are much more powerful" at UMB than at his previous institutions, the Vice Chancellor commented that, at UMB, "the Dean has great latitude in moving money from one category or department to another [category or department]."

The third broad phase of the campus level budget process was consideration of the Deans' budget requests at the Vice Chancellor's level. The Vice Chancellor of Academic Affairs received, considered, and acted upon budget requests submitted by the Deans based on institutional and system-wide budget priorities.

The fourth and final phase of the campus level budget process was the review of aggregated budget requests from the Vice Chancellor. The Chancellor provided the final level of authority at the campus level before submitting the institution's budget to the President of the system.

Finally, the university system's President and his/her Council provided the highest level of approval on all budgets. During the interview with the Budget Coordinator, the researcher learned that the budget for UMB largely depended on how the system President allocated resources to the different institutions. At the time of the interview, the UMB was "anxiously waiting" for the President's

allocation. In the past, the President allocated resources for specific activities on the different campuses, e.g., “salaries, health insurance, new building renovation.” But now, each campus received a lump sum of dollars to expend in accordance with institutional priorities. According to the Vice Chancellor for Academic Affairs, “Upon receiving the dollars, UMB examined its priorities and made allocations accordingly.”

### ***Summary and Implications***

This chapter discussed environmental and institutional contexts that could potentially influence the strategies the three exemplary academic department Chairpersons might choose to secure campus resources for their departments. Awareness of environmental and institutional context is important because awareness enhances one’s understanding of why the exemplary Chairpersons may develop certain strategies, exert certain political resources, and target particular individuals to influence to secure campus resources. Knowledge of legislative and institutional priorities can be a power base expended when necessary to increase the chances of successfully garnering resources. The data collected for this section suggests that while annual budget increases may be incremental in nature, opportunities to secure alternative campus resources through campus-based grants (e.g., technology fees) are present.

## CHAPTER V

### CASE 1: SOCIOLOGY-ANTHROPOLOGY CHAIRPERSON

[This Chair's] success has been in building up [the] department through the use of minority opportunity lines...So much of our budget is tied up in personnel. Any Chairperson who can add lines to [the] department is certainly a great success in terms of getting internal funds that way.

- Excerpt from faculty informant

This case is a description and analysis of this Chair's efforts to secure favorable allocations from the Dean of the College to support the department's academic priorities. The case narrative that follows explains how the Chair developed and advanced proposals.

#### **Actors**

Three broad categories of actors emerged from the interview data: Chairpersons, primary authorities, proximate players. The actors are described in terms of their positions in the organization.

#### ***Other Chairpersons***

This Chairperson valued the opinions of other Chairs in the College. The individual appreciated the other Chairs' limited resources as well since the entire university suffered from reduced appropriations from the legislature. As the Chair developed requests for additional faculty lines, efforts were made to reach across departmental boundaries to get ideas from, and to forge relationships with, other Chairpersons, especially those who wanted faculty lines but did not have resources for securing the positions. Working with Chairpersons in similar circumstances was both a priority and a key to achieving the goal of additional

faculty lines. This Chair valued and leveraged cooperative relationships with other Chairs because similar relationships contributed to past successes at securing resources. “You gotta be on board with other Chairs if you plan to cooperate with one another,” the Chair stated during the interview. The individual did just that. This Chair got “on board” with other Chairs and began developing joint academic appointments with other departments.

The joint academic appointments were developed with other departments that shared similar academic interests and an authentic commitment to hiring more minority faculty in response to the institution’s commitment to diversity. The Chairperson reported believing that success at securing resources was based, in part, on having “strong support from the Dean” and other Chairs with whom the joint appointment was being made.

### ***Primary Authorities***

*The Dean of the College.* This campus official was a key player in this Chairperson’s success. Informants in the budget office, the Vice Chancellor, the former Dean, and the Chairperson indicated that the Dean controlled the money in the College and had full authority to decide how the resources were allocated throughout the College. The Dean explained, however, that consultations often occurred with advisory councils in the College prior to making academic and budget decisions. The Dean possessed detailed knowledge of institutional budget priorities and authority over the College’s purse strings. Therefore, the Dean became the primary target of this Chairperson’s influence.

The Dean was a major influence on this Chairperson's budget strategies. The Dean's office received, processed, considered, and made decisions regarding "who got what" and "how much" of the campus resources through the annual budget process; that is, the Dean determined which Chairpersons received resources to fund their specific requests. The Dean was the gateway to and the guardian of the resources this Chairperson needed to achieve faculty hires. Where campus allocations were concerned, the proverbial buck stopped with the Dean. As this Chairperson prepared budget requests, consultations with the Dean occurred regularly. The Chair's behavior was driven by the common knowledge that the Dean "had the money and the purse strings."

To ensure that chances for getting resources were protected, this Chairperson confessed to making sure that tension with the Dean was not created because tension with the Dean might have an adverse effect on getting initiatives funded. For example, this Chairperson observed, "[I] had to work with the Dean...[because]...I won't get far if [I'm] in conflict [with him]." The Dean was the key. Maintaining a positive, strong relationship with the Dean could lead to additional resources for the department. Developing proposals that would appeal to the Dean was important for this Chair's success.

The Dean was the primary target of influence for another reason. As the former Dean of the College noted, the Dean, as a campus official, was in a position to know what institutional budget priorities existed and how those priorities affected campus decision-making. One budget priority was hiring more minority faculty as part of an institutional commitment to diversity. Armed with

this knowledge of institutional budget priorities and a reputation for having one of “the most diverse faculty” in the university, this Chairperson focused budget requests on an institutional commitment that the Dean was eager and able to support: diversity hires. During interviews, this Chair reported having “very strong support from the Dean.” Interviews with informants did not produce any evidence that contradicted this Chair’s impression of the Dean’s support.

*The Vice Chancellor for Academic Affairs (VCAA).* This campus official was the Dean’s boss. The VCAA indicated that, in part, his role was to “support or reject decisions made by [the Dean]”. Although the formal institutional authority and decision-making powers of the VCAA to allocate resources and to act on requests from the Deans made him a primary authority for this study, he was not involved in this Chairperson’s budget requests. However, the VCAA agreed to meet with the Chairperson to talk about department-wide issues and initiatives. While the VCAA did not have direct decision-making authority over allocations for academic departments, the Chairperson reached out to the VCAA so he could “know what’s happening in the department.” The Chair added, “You never know, [what we do in the department] might come up when he meets with my Dean.” As a courtesy and out of respect for institutional protocols, the Chairs did not meet with the VCAA without first letting the Dean know. The Dean indicated that he knew of the meetings with the Vice Chancellor so he did not view the meetings as an end-run around him. According to the Dean, “I know [the Chair] meets with the Vice Chancellor. It doesn’t bother me. [The individual] talked to me first. And I don’t see it as going around me. It’s fine.”

Interview data from this Chairperson and the VCAA confirmed that the VCAA was not privy to this Chairperson's budget requests or influence efforts to secure resources. The VCAA could neither identify nor verify the Chairperson's targets of influence. Any effort to influence the VCAA was indirect and based on the VCAA's relationship with the Dean and the Chairperson's knowledge that "Deans compete to get funds from the Vice Chancellor." The VCAA could support or reject the Dean's budget for the College, which might affect the Chairperson's proposals. If the Dean had not secured the funds to support the faculty hires from the VCAA, the Chairperson might not have been able to secure new faculty hires for the department.

*The University Chancellor.* Although this actor was not involved with the Chairperson's budget requests or development of strategies, the Chair was deliberate in efforts to influence the Dean indirectly by meeting with the Chancellor to inform the individual of department activities and initiatives. The Chancellor had a widely known reputation for meeting informally with anyone on the campus who wanted to talk about campus issues. However, the Chancellor made it clear that "decisions would not be made during the meetings." This Chairperson interacted with the Chancellor but asked for nothing, just as the Chancellor had requested. The Chairperson reported that meetings with the Chancellor were not designed to get decisions made; instead, the Chair wanted the Chancellor "to know what was going on in the department." The meetings, the Chair thought, made the Chancellor familiar with the department's work.

Knowledge of the department's accomplishment would be useful when the Chancellor met with the VCAA and/or Dean to discuss budget matters.

This Chairperson tried to create with the Chancellor and VCAA, a favorable, receptive climate for budget requests. The Chair kept the Chancellor informed by sharing information about the department when they met and using other face-to-face encounters, such as formal meetings, receptions, and community events, to promote the department. The individual gave the Chancellor copies of promotional materials about the department that were disseminated throughout the campus to keep the work of the department visible.

In addition, this Chairperson tried to influence budget decisions through "visibility" around the campus. Being seen was important. Participation in campus or community activities and service on committees by faculty and students were examples of being visible. This Chairperson believed that by keeping the department visible at the highest levels of the institution might translate into favorable support for the department's budget priorities. According to the Chair:

Look, you gotta be visible. You gotta be seen. I don't think there is anyway around it. I wanna make sure our people serve on as many big committees as possible.

In short, the Chair invested in broad department promotional strategies that could have future rewards for the department. As with the VCAA, the Chairs did not meet with the Chancellor without first informing the Dean. As noted in the quote above, the Dean knew of the meetings and did not view the Chair's meetings with the VCAA as going over his head.

### ***Proximate Players***

*Department faculty members.* Interview data from this Chairperson, the former Dean, the Dean, and the Vice Chancellor for Academic Affairs indicated that this Chairperson respected the opinions of department faculty members. Sentiments from the informants indicated that the Chair consulted with department faculty regularly on both programmatic and budget priorities. Involving faculty in creating budget initiatives for the department was critical since faculty support, perceived or real, was one indicator of a successful Chairperson according to the former Dean and Dean at the time of this study. The following statement by the past Dean is reflective of the Deans' sentiment: "[Chairs] won't be too successful if they don't have the support of the faculty. I know I looked at faculty support when I got budget requests."

Since the new faculty hires would be peers to the faculty at the time, getting the faculty members' support for pursuing the new diversity hires was important to the Chairperson. The Chairperson's perception of the faculty members' support of requests for faculty lines was based on being true to the department's tradition of being "very democratic." During an interview, the Chairperson noted that keeping the faculty "on board" during efforts to get new faculty hires was "most important." The Chair stated:

It is extremely important to know what faculty think...Don't get isolated from your faculty. You gotta walk the halls [and] work with faculty...If I can't be effective with my faculty, nothing is going to happen...You have to have the confidence of your faculty...I don't do secret negotiations [with faculty]. I don't cut deals [with faculty]. Everything is above board [with faculty].

The Chairperson believed that not securing faculty support could result in faculty resistance and faculty resistance could result in no new hires for the department. “Look,” the Chair stated, “I need their support. I gotta have it if I want some new faculty to come in here and be part of the team.” The Dean was not likely to invest new faculty resources in a department where faculty did not back the new appointments. According to the Dean:

I may not support a request for new faculty if there is a sense that faculty are not behind it. It just depends, but I do look at that kind of thing.

Getting faculty support prior to submitting the request for new faculty hires did not mean that disagreement or conflict would not occur.

This Chairperson surmised that given the different academic concentrations in the department, conflict would arise from time to time, particularly since faculty may have legitimate objections to some appointments. When conflict arose, the Chairperson addressed it. As the Chair explained in a written statement:

[The] Chair must take all views into account. Everyone must be listened to [and] heard. [It is] not necessary to agree with all points of view. Conflict cannot be resolved at department meetings alone. Talk to those who disagree with you as well as those who agree. Develop consensus. Be gracious. Thank faculty for their contributions to the department. In [this department] the Chair is not a department head, but first among equals.<sup>4</sup>

The department did not have a reputation for infighting. No informants identified any major sources of resistance, tension, conflict or other problems that jeopardized the Chairperson’s chances of securing resources for new faculty hires.

*Graduate students.* Interview data from the Chairperson indicated that getting student opinions on certain budget proposals was important. Since graduate students were the potential beneficiaries of any new faculty in the department, the Chairperson considered their opinions on the priority of hiring new faculty. According to the Chair, the extent to which graduate students provided input on budget priorities “was limited because the student cohort changed frequently.” The Chair added that “the student turnover rate was almost 100%” which resulted in the department serving new groups of students “every two years.” So while the Chairperson valued input from graduate students, it was difficult to organize graduate students to sustain consistent participation in the Chair’s development of budget initiatives.

In spite of graduate students’ turnover rate and fluid participation in decision-making, the Chair made efforts to consult with them. The Chairperson wanted to “get their feedback on program activities” so meetings with graduate students took place periodically to “hear what they had to say.” As the Chair saw it, any type of feedback from graduate students “added to the strength of the budget request” because the justifications reflected both faculty and student perspectives and highlighted the potential benefits to students if requests were approved. The Chair’s assertions and impressions could not be corroborated because graduate students did not participate in the study.

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<sup>4</sup> Source: The statement was made by the Chairperson at a “Chairs/Directors Workshop” in September 2002 at the University.

## **Purposes of Influence Efforts**

This exemplary Chairperson's influence efforts were examined based on the extent to which they were designed to defend the department's budget base, to increase the department's budget based by adding additional resources without expanding program offerings, or to expand the budget base by adding *new* academic initiatives and programs that, if approved, may require new and continuous financial support from the institution.

### ***Defending the Budget Base***

This Chairperson did not need to exert influence to defend the department's budget base. As earlier reported, academic departments at the institution received incremental increases each year to support operations. Interviews with the VCAA and the Dean of the College and the documentary budget data from the university archives revealed that the departments typically received an "incremental increase" in their budget base from year to year. According to a former campus official, influence efforts to defend the base were necessary only when faculty positions became vacant and Chairpersons needed "to defend budget lines." The official added that influence efforts "related mostly to plugging holes" that existed in the curriculum or other operating areas of the department. If the Chairperson had to defend the department's budget base against possible cuts, those efforts were not evident in the data, so it appears that, in this case, a tradition of incremental budget increases made defending against cuts unnecessary.

### ***Increasing the Budget Base***

This Chairperson sought and received budget increases for two purposes. The individual received campus resources through the annual budget process for diverse faculty hires. Also, the Chair received campus resources from allocation processes outside the formal budget process for upgrading the technology in the department. Because the technology fees were not appropriated through the annual budget process, these funds might not be available in the future.

Regarding the diverse faculty hires, the Chairperson explained “that there were ten tenure track lines in the department when I became Chair [ten years ago] and we now have 13.” Increasing the budget base to include more faculty lines was an attempt to obtain a major financial windfall for instructional purposes. Regarding the faculty lines and technology funds, the Chair explained:

The major way we’re gonna get money brought into the department is faculty lines. Other things are gonna be quantitatively or even qualitatively quite a bit less consequential...If we can bring a new line in the department that’s a huge resource so I guess that’s got my number one attention...Because of the diversity we have in our department, we are in a stronger position to be able to [secure lines] more successfully. It’s not difficult for us to be able to put a proposal together and succeed. I think it is the biggest single piece of resource I can bring in...and we have been successful doing it.

Those tech funds are nice, real nice. That’s just another way for us to try to do something with the technology in the department and those tech funds helped.

### ***Expanding the Budget Base***

Data from this study indicated that this Chairperson did not develop strategies to secure campus resources for the purpose of expanding the department’s budget base. However, interview data with the former Dean and

Dean at the time of this study revealed that there was “not a lot of expansion” for the departments given “limited legislative appropriations.” Consequently, this Chairperson focused efforts on increasing the budget base. The absence of sufficient campus resources for expansion priorities shaped and focused the Chairperson’s development and deployment of strategies to increase the budget base.

### **Sources of Influence – Power Bases**

The sources of influence in this study refer to the power bases that this Chairperson may have possessed and used to influence individuals to secure campus resources for his department through the normal budget process or through alternative processes such as the process to request funds for technology purposes. The Chair’s perceived power bases were discovered through interviews with the Chairperson and campus administrators. The power bases were:

1. A reputation for securing resources in the past;
2. Relationships with community networks; and
3. Effective interpersonal skills.

#### ***Reputation for Securing Resources in the Past***

One source of influence this Chairperson seemed to have had at his disposal was a reputation for having a history of securing campus resources successfully for the department. This Chair has held the post for a number of

years and has had time to learn the internal budget terrain and develop external connections that might help obtain campus resources. Years of experience with developing budget proposals that were likely to get funded and building relationships inside and outside the institution appeared to have enabled the Chairperson to use expertise to make a strong case for new faculty and to prepare convincing proposals for technology grants. According to the Chair, “At least one reason I may be considered successful is my ability to get the resources that I go after and I have done that in the past few years.”

Campus informants interviewed agreed that the Chair did, in fact, have a history of success at securing resources for department priorities. A reputation for success is evident in the following statements:

Dean of another College and former Chair: It’s sometimes hard to distinguish because you don’t see their budgets [or] how much of those dollars are internal and how much of those dollars are external. Clearly..., [this Chair] is successful because [of the ability] to leverage particularly minority faculty positions and personnel dollars in the budget.

Faculty member of another department and a former Chair: [The Chair’s] success has been building up the department through the use of minority opportunity lines. My understanding is that [the size of the department] has increased. [The Chair] has been very aggressive in using those lines to increase the size of [the department’s] budget.

Emboldened by a reputation for getting resources, this Chairperson set out to use, in part, that reputation, which was earned over time, as a means for securing support for new faculty lines.

### ***Relationship with Community Networks***

Another power resource at this Chair’s disposal was positive relationship with community organizations, particularly minority-based organizations. This

Chairperson's relationships with community entities provided a source of influence, especially when seeking resources that not only benefited the community, but also helped the institution fulfill its commitment to reaching out to and serving external minority-based community agencies such as the Latino Association and the National Association for the Advancement of Colored People.

This Chairperson networked inside and outside the institution. Community outreach efforts, particularly in the minority community, were considered important factors for success. The Chairperson's commitment to outreach was evidenced in the department's planning document:

The department has a long commitment to community service, with many faculty engaged in applied research and community involvement. Our service role is three-fold: 1) educational outreach; 2) development and delivery of relevant programs and curriculum to enhance recruitment and retention of students of color; and 3) direct provision of technical assistance to address stated community needs. (*Academic Plan, March 2001, p. 7*)

The Chairperson and department faculty reached out and engaged minority-based organizations in research initiatives to assess minorities' attitudes toward public safety, health care, employment, and other quality of life issues in their communities. Yet another example was the department's participation in developing academic programs that focused on the experiences of minority populations. The activities were aligned with university planning documents that referenced working with minority populations, especially the growing Latino population, as one of its strategic priorities.

The above relationships with the broader minority communities suggested that the Chairperson was sensitive to the institution's priority of improving relations with minority-based groups in the community. This sensitivity to an institutional priority shaped and influenced how the Chair developed his budget requests for more diverse faculty hires. When asked why this Chairperson was considered successful, one indicator of his success was his work outside the university with minority organizations. The former Dean noted that this Chairperson was "heavily involved in the community" and added:

There's lots of outreach by the department. He has been able to keep the department involved in community outreach and working on sociology and anthropology problems in the community. [This Chairperson] works with minority programs on campus and populations in the community.

Further, the researcher viewed this Chairperson's relationship with community associations, especially minority associations, as a source of influence because, according to the Chair and the Dean of another College, the Chair's budget requests included arguments that pointed to his relationship with minority and other community agencies and the university's commitment to diversity to justify his priority for diversity hires.

The Dean of another College: He's got a real strong commitment to diversity. I think a sense of social equity – that's what sets [the Chair] apart.

According to the department's planning document: The department has a long commitment to community service, with many faculty engaged in applied research and community involvement. Our service role is threefold: 1) educational outreach; 2) development and delivery of relevant programs and curriculum to enhance recruitment and retention of students of color; and 3) direct provision of technical assistance to address stated community needs... With additional resources we could expand our current efforts and provide additional leadership...(Executive Summary, 2002, pp. 6-7)

### ***Effective Interpersonal Skills***

This Chairperson had a reputation for getting along with and relating well with people, including the department's faculty members, the Dean, other Chairpersons, and other campus individuals. The ability to capture people's attention, to talk to people in ways that were not disrespectful or disingenuous, and to make a good argument for positions with faculty members and the Dean were corroborated by virtually all informants. Representative comments to support this view of the Chairperson are reported below:

Campus official: He is a people person for sure. He knows how to deal with faculty members, especially those having problems. He is able to get the faculty fired up and enthusiastic about what they are doing...He is able to tap into the best resources of the faculty.

Dean of the College: He is an extraordinarily good persuader of people. He works very well with people and colleagues.

This Chairperson, it seems, converted interpersonal skills into a form of social capital that was used to secure additional campus resources to support budget priorities, e.g., new faculty hires and the pursuit of technology funds. The Chair was asked to offer a self-assessment of the ability to garner resources. The individual stated:

For whatever reason I seem to have evolved a style that works well in the department...that people respect and that I am comfortable doing...Human activity does matter. For whatever reason in this time and place I seem to have a style and a personality that works pretty well with most of the faculty in the department, certainly not everybody all the time and a few people not too often, but most of the people most of the time.

## **Influence Strategies**

### ***Targets of Influence***

Interview data from this exemplary Chairperson, the current and former Deans of the College, the Vice Chancellor for Academic Affairs, and other informants indicated that the purpose of this Chair's strategies was to influence the Dean to approve budget requests because the Dean had formal decision-making authority over the College's financial resources. According to the Chair, "The Dean had the money" so several strategies were developed and deployed to influence the Dean. The Chairperson also stated that the Dean was targeted because he "had knowledge of institutional priorities" and was in a position "to know what requests were likely to get funded over other requests." Interview data from the former Dean of the College affirmed the Chair's rationale and revealed that, in addition to the Dean having the money to allocate "as he wished," the Dean, by virtue of his official campus role, "was in a position to know what types of budget requests would likely enjoy support at higher levels of campus administration" with the Vice Chancellor for Academic affairs and/or the Chancellor.

### ***Tactics***

This section of the chapter focuses on what the Chairperson did to influence the Dean. Analyses were based on interview data from the Chairperson and other campus informants mentioned in the beginning of this case. The Chairperson reported not being "consciously aware" of any differences in strategies across the different targets. However, subtle adaptations to strategies based on the different targets of influence were discussed.

Specifically, the Chair “elect[ed] to be discreet with one group over the other” by “sharing different types of information regarding department goals and intentions with different groups.” For example, faculty expected more information and discussion around justifications for new faculty hires before requests were supported. By contrast, the Dean required more technical data about enrollment trends and how budget requests were aligned with institutional strategic plans and priorities. These adaptations were included in the analysis of strategies.

The following interpretive strategies emerged from the interview data from the Chairperson and other informants. The Chair:

1. Maintained a state of readiness to seek increases prior to the availability of resources;
2. Cultivated faculty support;
3. Aligned the department with other academic units and with institutional priorities;
4. Established and maintained a positive relationship with the Dean; and
5. Created a receptive environment with campus leadership.

*The Chair maintained a state of readiness to seek increases prior to the availability of resources.* Although UMB experienced tight budget constraints and devoted few resources to hiring personnel, this Chairperson wanted to be ready to seek funds when hiring faculty was possible. Although the data did not include corroborations from faculty members, the Chair indicated that building a consensus among faculty members on hiring priorities was important. But building a consensus on hiring priorities *before* hiring opportunities presented

themselves was equally important. According to the Chairperson, this attitude toward preparing for hiring opportunities put the department in a position to act more swiftly and proactively when opportunities for hiring became available. The alternative was to wait for a hiring opportunity to present itself then organize the faculty to build the consensus. This Chairperson acknowledged the option to wait and elected, instead, to be ready ahead of time. The individual remarked:

It's nice to kinda have that consensus already there so that if and when these unusual or unexpected opportunities open up as in the past, it's not like "what are we gonna do people?" [or] "why didn't we talk about it?"

Communication was important to building consensus and support from faculty. Talking to faculty in advance of hiring opportunities was critical to this Chair and allowed the department to strategize around the hiring process, to explore the details of joint academic appointments with other departments and programs if necessary, and to discuss the qualifications and responsibilities of the new hires. Conversations with faculty during and outside regular department meetings became a routine attempt to build consensus. This strategy was used to generate faculty support for a joint academic appointment with another unit focused on gender issues. According to the Chairperson:

...We had already had conversations in the faculty about the fact that one of our senior faculty...who taught gender and family had retired and we only have one faculty member whose area of expertise is gender and family. So we had already had conversations about if we get a chance to hire, how important is [a women's study hire] compared to somebody...in environmental sociology...and so forth. We had already kinda talked and kinda had a consensus that that was surely pretty important.

This strategy not only positioned the department to act more swiftly when hiring opportunities presented themselves, but also increased the likelihood of

securing resources for those hires. The extent to which Chairpersons could demonstrate faculty support for department budget requests had some degree of influence over the Dean's decision to allocate campus resources for department proposals. Indeed, requests were assessed not only on their being aligned with institutional priorities but also on the extent to which they enjoyed faculty support in the event that resources were provided. As senior campus officials and a former Dean noted: "Faculty support is important. You don't want to allocate money to a department if the faculty doesn't support something."

*The Chair cultivated faculty support.* When the Chair met with the Dean to negotiate resources for department initiatives, speaking with the support of the department faculty was important. From the Chair's perspective, getting resources for the department was as an indicator of effectiveness. The individual believed that having "the confidence of the faculty" was necessary "to be a successful Chair." The researcher interpreted the Chair's decision to target faculty as an indication that resources would not be pursued if the faculty were not on board.

The Chairperson valued faculty members' confidence. The individual viewed the faculty's confidence as another contributing factor to success as a Chair. The Chairperson affectionately viewed faculty as a "third leg" of influence efforts and noted that the other two "legs" were the Dean and Chairpersons with whom joint academic appointments were being developed. According to the Chairperson, a big part of the strategy to gain faculty support, which could later

be used as a source of influence with the Dean, was to “walk the halls [and] listen [to the faculty].” The Chair added:

I think that everybody has to be heard. I don't always agree with everyone all the time but they certainly have a right to be heard and I have to make sure I understand what they are saying. One of the important things, if you are going to be a successful Chair, you don't wanna get separated from your faculty. You've got to be seen as a member of the department. The Chair in this department is first among equals.

The Chair was visible among the faculty and engaged them on programmatic and budget initiatives for the department. One way the Chair reporting listening to faculty members was in the approach to decision-making. The practice in the department was that, on most occasions, “majority rules” according to the Chairperson. The Chair added that when budget requests or other issues were put before the faculty, people made their arguments, then issues got an “up or down vote.”

In addition to being visible around the department and engaging the faculty by walking the halls to get feedback from individual faculty members, the Chairperson created and used alternative settings to gather faculty input on proposals. The Chair noted that one strategy for cultivating faculty support was to have a department retreat to talk about the state of the department and to address “areas of interests” by examining the “needs of the program.” The individual stated:

Having a retreat...is a nice way for us to get away from the hassle of the daily schedule and sit down and think long term. We have three standing committees in the department: Committee on Undergraduate Education, Committee on Graduate Education, and Committee on Professional Development. Everybody serves on one of three committees and one of their responsibilities is to talk about ‘okay, where are we in our undergraduate curriculum development, what do we need, and what are

professional needs?’ So part of [committee work] is to get us to talk among ourselves and create opportunities to do that.

The retreats were an arena for strategizing around different possibilities and opportunities for seeking campus resources and for cultivating faculty support for the priorities that emerged. Although no faculty informants were identified for this case, the Chair’s reputation for cultivating faculty support for proposals was confirmed by other administrators who believed that the Chair had a “supportive faculty.” For example:

According to the Vice Chancellor: [The Chair] has demonstrated leadership and consequently [the department] is moving forward. [The Chair’s] leadership...clearly works well in general.

According to the Dean of another College and former Chair: [The Chair has] a fairly high level of trust from the faculty, which is what I like to call social capital.

*The Chair aligned the department with other academic units and institutional priorities.* By all interview accounts, resources were scarce at UMB. New initiatives were not being funded unless they were a high priority for the campus. As stated previously, a senior campus official reported that it would be difficult for departments to secure new resources to support all their requests. According to this Chairperson, one way to make budget requests appealing might be “to work with other academic programs with similar educational interests.” This Chairperson recognized that the chances for securing campus resources for faculty lines might be increased if a partnership existed with

another academic program with shared interests and similar budget constraints. This approach, observed the College Dean, bolstered the Chair's case when resources were requested.

The sentiment of the Dean, the Chairperson was that joint appointments with programs with a minority emphasis "were appropriate and necessary" to ease budget pressures in the department. Moreover, as this Chairperson noted, "It was a good political move because it reduced the need for 100% funding and promoted collaboration during difficult fiscal times." Special funding for minority-based initiatives from the state legislature coupled with the institution's commitment to minority hires created a ripe opportunity for partnering with academic programs such as Women's Studies, Black Studies, and Native American Studies. As a faculty informant who was also a former Chair explained:

Every department on campus was aware of these minority hiring funds. For whatever reason, [some departments] never went after those funds aggressively, whereas [this Chair] did and he got several [faculty]. And he also worked with [another diversity-related department] to fund a shared line.

This Chairperson seized the opportunity to make budget requests for a joint academic appointment. According to the department's academic plan, the Chair capitalized on the department's reputation for working with minority groups in the community. The academic plan stated:

The department has joint faculty lines with [four other diversity-related departments], leadership positions in two of these programs and multiple courtesy appointments with many programs and departments, as well as multiple other regional institutions. (*Academic Plan, March 2001*)

The Chair aligned the department's academic plan for becoming a priority department on campus with the university's Strategic Plan, which included an

emphasis on more diversity hires. This Chairperson promoted and used institutional data that concluded that the department had one of the most diverse faculties on the campus.

Because resources were tight on the campus, having readily available data on the department's faculty diversity and having data on activities with minority-based community organizations bolstered this Chairperson's case for resources to fund part of joint academic appointments. Faculty diversity in the department, associations with minority communities, collaboration and alignment with the college's and institution's strategic planning priorities contributed to submitting proposals that might be viewed favorably by the College Dean and senior administration. In explaining why this Chair, and the other Chairs in this case study, has been successful in securing resources, the Vice Chancellor reported that "adherence to the Strategic Plan" was an example of proven success.

*The Chair established and maintained a positive relationship with the Dean.* As mentioned earlier in this section, the College Dean was the primary target of influence. Although the above strategies were targeted at individuals besides the Dean, the strategies were still part of a broader effort on the Chair's part to influence the Dean. The Dean was the "keeper of the resources" for the College and he made the budget decisions regarding which Chairpersons would get some of the College's resources for their initiatives. According to this Chairperson, to get initiatives funded, "cooperating with the Dean was a priority." The Chairperson believed that conflict and tension with the Dean over

department and institutional priorities could jeopardize chances for securing resources. So, to maximize chances for the success, the Chair developed a cooperative relationship with the Dean and avoided conflict and tension with the Dean. The Chair stated, "The effective Chair is one who works well with the Dean." The strategy for securing resources from the Dean, then, was one of cooperation. The Chair added:

In my view you cooperate with your Dean. You don't try to take on the Dean and make war with the Dean and prove him wrong...In my time as Chair we have had Deans I have respected and been able to work with...The ten years I've been Chair, I've worked with four different Deans... [The Dean] was easy because we have known each other for 30 years and have great respect for each other.

When the Dean requested information about the department's research activities and relationships with minority groups in the local community, or when he asked for memoranda on how the Chair would spend additional resources that were made available, the individual complied quickly to demonstrate cooperation and seriousness with the Dean. In a discussion of why this Chair might be considered successful, one of the reasons the Dean referenced was the importance of "prompt responses to opportunities." Compliance with the Dean's requests for additional information on budget initiatives did not guarantee additional resources, however. The Chair also believed that assisting the Dean with advancing his priorities for the College by aligning department initiatives with the Dean's initiatives might give him an advantage. Current and former administrative informants with first-hand knowledge of what the Dean considered when he made budget decisions reported that it was "common knowledge" that the Dean tended to support requests that "clearly reflected" college and

institutional priorities so the Chairperson made efforts to advance departmental priorities and the Dean's priorities as budget requests were advanced.

Cooperation was the byproduct of mutual respect and friendship with the Dean. The Chairperson reported that the two had known each other for 30 years. This longevity, along with the Chair's willingness to align budget requests with the institutional mission and the Dean's priorities, gave this Chairperson advantages that other Chairs did not have. This 30-year friendship with the Dean did not necessarily guarantee resources for this department. Rather, the long relationship with the Dean meant this Chair was better equipped to predict the kinds of information the Dean would require before approving budget requests. In his interview, the Dean stated that he made budget decisions based on, among other items, the requests' alignment with the university's priorities and his priorities for enhancing diversity, increasing research productivity, and improving student success. According to the Dean:

We've known each other for a lot of years so we kind of know what the other thinks sort of. But one of the things we have to do, and some have to learn to do it pretty rapidly, is to address the Strategic Plan of the University when seeking resources...It's what I'm looking for.

The data suggested that this Chairperson valued relationships, especially relationships with department faculty and the Dean. Therefore, developing a positive relationship with the Dean was a natural approach as well as a necessary step in trying to secure resources for the department. After all, the Dean had the resources and the quality of the Chair's relationship with the Dean could affect the extent to which the Chair received resources for hiring and other academic priorities. According to the Chairperson:

Part of [my strategy], I think, is having a working relationship with the Dean -- one where you are above board with each other. [The Dean] knows what I think. I communicate my concerns and departmental goals to him and keep him apprised. Deans don't like to be caught by unpleasant surprises. No one does, but you don't want to put your Dean in an embarrassing position.

*The Chair created a receptive environment with campus leadership.* This strategy was targeted at the Chancellor and Vice Chancellor for Academic Affairs (VCAA) who, besides the Dean, possessed formal decision-making authority over budget matters in the institution. The Chair targeted the senior officials informally by meeting with them to share what was happening in the department. Meetings with the senior officials were part of an effort to create a receptive environment for budget requests. According to the Dean, VCAA, and other informants interviewed for this case, the Chancellor was far removed from allocation decisions at the department level so the Chair did not lobby the Chancellor for resources. The Chair worked to establish and maintain a positive view of the department with hopes that the Chancellor and VCAA might favor initiatives *if* the Dean chose to present the department's requests to the senior officials for their input.

The Chairperson sought to cultivate a positive image of the department by sharing with campus leaders how diverse the faculty was in the department and the extent to which the department enjoyed a positive relationship with minority community organizations. While the Chairperson did not have regular interaction with the campus leaders or have occasion to present proposals directly to them, the individual indicated that a strategy was to "just let [them] know what's happening" in the department each time a meeting occurred.

The Chairperson arranged appointments with the Chancellor every six to eight months and used the appointments “to kinda apprise her of what’s going on in the department, about what we are trying to do.” The individual added that nothing was requested of the Chancellor, which, as earlier noted, was a condition imposed by the Chancellor. The Chair viewed the appointments with the Chancellor and VCAA as “a chance just to get a little more visibility at the top of the hierarchy about who we are...what we are trying to do...a chance to wave the flag a little bit.” The Chair waved the flag regularly but did not share everything that was happening in the department during these visits. The Chairperson reported making choices about what to share and what not to share. The Chancellor was a big supporter of diversity hires, serving the city’s minority populations and decision-making based on strategic planning. Thus the Chair focused on the department’s historical successes with diversity, its positive relations with the minority community, and its commitment to campus priorities.

In sum, frequent visits with senior campus leaders allowed the Chairperson an opportunity to engage in “impression management of his department” (Seagren, Creswell, & Wheeler, 1993, p. 39) by characterizing the work of the department in a way that demonstrated that it was aligned with institutional priorities, as well as the academic priorities of the Dean. In talking about meetings with the Chancellor in particular, the Chair remarked:

[The appointments] buil[t] awareness and good will, and I do have good relations with her. I think [the strategy] works to the benefit of our department.

## **Assessment of Influence**

This section is an assessment of the sociology-anthropology Chairperson's influence. Three lines of evidence were explored: budget decision outcomes, attributions, and behavioral data. Neither line of evidence by itself established this Chairperson as influential. However, when combined, the three lines of evidence provided a basis for concluding that the Chairperson influenced favorable resource allocation decisions.

### ***Budget Decision Outcomes***

University budget data (*General Operating Budgets, 1997, 1998, 1999, 2000*) confirmed this Chair's reputation for securing campus budgetary resources. A combination of routine incremental increases to support department operations (e.g., salaries, supplies, and travel) were documented in the institution's annual operating budgets. In fiscal the year 1997-1998, this department received more than a half-a-million dollars. Increases were allocated each year thereafter up to the fiscal year 2001-2002 when the allocation was closer to one million dollars. In all, the department received an average eight percent (8%) in budget increases in the four year period covered in this study.

This Chairperson's budget priorities included securing campus-based resources to support faculty hires and upgrade technology in the department. According to interviews with the Chairperson and the Dean, to achieve his budget priorities, the Chair submitted budget requests for faculty hires as part of the annual institutional budget process and submitted requests for funds outside the formal budget process to support technology enhancements. Receiving

resources for faculty hires coupled with being awarded technology fees, in effect, increased the Chairperson's budget base. But the technology funds were not guaranteed in future allocations so strategies would have to begin anew to secure technology funds in future years.

To begin understanding the extent to which this Chairperson was influential with budget decision-makers and successful at securing campus resources for budget priorities, budget decision outcomes were explored through interviews with the Chairperson, the Dean, and other informants. Interview data with the Chairperson, corroborations from the Dean, and a review of institutional budget data indicated that this Chairperson was successful at securing campus resources for academic priorities. Budgetary outcomes included securing additional faculty lines for the department. According to the Chairperson, "There were ten tenure track lines in the department when I became Chair ten years ago, and we now have thirteen [tenure track lines]." Another "win" for this Chairperson was being allocated technology funds to make upgrades to computer equipment in the department. Because this Chair received budget resources when some Chairs did not and because this Chair received technology resources when some Chairs did not, the data appear to support the perception that this exemplary Chair was able to influence allocation decisions more favorably than, perhaps, other Chairs.

The outcomes or "wins" achieved by this Chair provided one line of evidence that suggests the individual was influential with the Dean. But the

outcomes could have occurred apart from the Chair's influence; therefore, additional lines of evidence must be examined.

### ***Attributional Data***

Exploring attributional data provided another means for assessing this Chair's influence. This section is concerned with the extent to which campus decision-makers attributed budget decision outcomes to the relative power and influence of this Chairperson. Campus decision-makers viewed the Chairperson as a major reason for the department getting additional resources for faculty hires and technology upgrades. Interview data from the current and former Dean and the Vice Chancellor for Academic affairs pointed to the Chairperson's ability to build and sustain faculty support for budget priorities. Also, interview data pointed to the Chair's ability to prepare compelling budget requests and technology proposals that included institutional goals and priorities and to the Chair's overall persistence in keeping campus leaders informed of the department's accomplishments, especially in the area of diversity outreach with minority-based populations in the community. The aforementioned factors contributed to the Chair's reputation for success and to the Dean's willingness to support the individual's budget requests.

Because of this Chairperson's reputation for being able to influence people in general, campus decision-makers viewed the individual as a key factor in the department's capacity to secure campus resources. The Dean and the Vice Chancellor for Academic Affairs emphasized the Chair's ability to influence people as a reason "why he is so successful" at getting resources. According to

the Vice Chancellor:

[The Chairperson] is clearly an extraordinarily good persuader of people and works extremely well with people and works well with his colleagues too.

To achieve budget priorities, this Chair used knowledge of institutional priorities, experience and skill with preparing proposals, positive relationships with faculty in the department, a reputation for working well with campus colleagues, and a cooperative relationship with the Dean as sources of influence to secure favorable budget decisions.

### ***Behavioral Data***

Exploring behavioral data to assess this Chairperson's influence was the third line of evidence used in this case study. During the institution's tight budget situation between 1997 and 2001, securing resources was difficult. Simply being a Chairperson with legitimate requests did not automatically yield success in obtaining those resources. According to the former Dean and Dean at the time of this study, "a case had to be made" for resources. To secure campus resources, this Chairperson engaged in specific behaviors, which, said the Dean, "made [the Chair] successful."

As earlier noted, when the Dean made budget decisions he considered the extent to which Chairpersons enjoyed faculty support and had partnerships with others on the campus. This Chairperson covered both bases and was able to show internal faculty support and external partnerships during the individual's efforts to persuade the Dean to support the budget requests put forth. In general, faculty lines were not approved without compelling reasons because, as the

current and former Deans and Vice Chancellor for Academic Affairs all agreed, the resources “were simply not available for new hires.”

This Chairperson’s relationship with community networks such as minority groups provided another source of influence since one of the campus’ priorities was to engage in more outreach to minority organizations. The Chairperson promoted the department’s relationships with minority organizations.

Documentary evidence provided by the Chair suggested encouragement of and support of faculty conducting research or performing service functions with external minority groups. According to the department’s planning document:

Faculty are engaged in numerous innovative research activities as a consequence of the ethnic, racial, and gender diversity and interests of our faculty, including research on gender, ethnic, racial, and global issues, and community experientially-based methodologies and theoretical perspectives. Increased [budgetary] support will extend this work and enhance the retention of minority and women faculty particularly...Several faculty have conducted research on student learning in urban settings and a current service learning project involves research collaboration with the [city’s] multi-ethnic [agency].

By the Dean’s admission and consistent with documentary data, this Chairperson’s record of engagement with local minority communities, alliances with the Chairs of minority-focused academic departments on joint appointments, positive relations with department faculty, and efforts to gain access to the senior campus leaders to keep them informed of department’s accomplishments and activities were behavior-based sources of influence that allowed the Chair to influence and achieve favorable budget allocation decisions.

This Chairperson’s reputed influence was not earned overnight. Earning a reputation for being influential and successful at securing campus resources took

time. This Chairperson had been leading the department for at least 10 years at the time of this study. The longevity in the position resulted in 10 years of building social capital with department faculty, campus Deans, senior administrators, other Chairpersons, and the local minority community. This Chairperson used the social capital to secure campus resources in an environment that was marked by tight budgets but also an environment that contained possibilities and opportunities for astute Chairs to secure additional resources.

The assessment of behavioral data, then, included the examination of this Chair's power resources and how those resources were converted into tactics for securing campus budget resources. Assessing this Chair's tactics without linking those tactics to power resources would have resulted in an incomplete analysis and premature assumption of influence. In the context of this study, this Chair enjoyed a reputation for being influential, in part, because relevant power resources were activated *and used* to: (1) maintain a state of readiness to seek budget resources; (2) cultivate faculty support; (3) align the department with other academic units and institutional priorities; (4) establish and maintain a positive relationship with the Dean; and (5) create a receptive environment for budget requests with campus leadership.

The interview and documentary evidence suggested that this Chair explored possibilities, seized opportunities, and was able to secure favorable budget decisions and outcomes for his department. According to the Dean of another College who was also a former Chair, one of the reasons this Chair was

successful, along with the other two Chairs in this study, is because this Chair was “very good at scanning the environment for opportunities” and, according to other informants, very skilled at capitalizing on those opportunities.

## CHAPTER VI

### CASE 2: BIOLOGY CHAIRPERSON

I would agree with that assessment. I think [the individual is] an outstanding Chairperson, and I think [the Chair] has been very good at securing resources for our department.

- Excerpt from an interview with a faculty informant.

This case is a description and analysis of this Chair's efforts to secure favorable allocations from the Dean of the College to support the department's academic priorities. The case narrative that follows explains how the Chair developed and advanced budget proposals and sought to influence budget allocation decisions.

#### **Actors**

The Chairperson did not secure campus resources on his own. The interview data from the Chairperson, college officials, and faculty informants identified two broad categories of actors: a primary authority, who was the Dean, and proximate players, which included the department's budget committee and the department's faculty as a whole, some of whom had served on the budget committee previously or were serving on that committee at the time of this study.

#### ***Primary Authority***

Interview data from the Chairperson, the Dean, faculty informants, and other campus individuals indicated that the College Dean was the primary authority in this case. As noted previously in this research, although the Dean's authority was not absolute, all the informants reported that the Dean controlled the resources for the College unless resources were restricted for specific

funding initiatives. By virtue of his authority as the formal decision-maker, the Dean was a major player in the budget process. As indicated by these representative statements, several informants consistently identified the Dean as a primary authority:

The Dean [was a target of influence because] he is in a position to make decisions about proposals or is connected to the Vice Chancellor of Academic Affairs to secure funding. (A faculty informant)

The Dean [was a target of influence because], a lot of the times, he makes unilateral decisions. (The Dean<sup>5</sup>)

The Dean [was a target of influence because] he has the money and an idea of whether or not proposals will be successful or not. (Former Dean of the College)

### ***Proximate Players***

*Faculty and staff.* The Chair reported that the faculty in general played a role in decisions to advance certain budget initiatives. This individual reported that input from faculty members was sought generally during regular department or private meetings. A faculty informant confirmed this observation and stated that the Chair was “good at organizing groups of faculty who will benefit the most and be most helpful with preparing proposal.” Although the faculty as a whole did not make decisions on budget priorities for the department or decide which budget requests for additional campus resources would get advanced, faculty informants indicated that they “offered feedback” on proposals when asked by the Chair and other faculty “would help prepare specific sections of the budget proposals.” The Dean and faculty informants noted that this Chair worked well with the faculty in the department and consulted with them as budget requests

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<sup>5</sup> The Dean had not been in the position long so this quote refers to the previous Dean.

were developed. Regular faculty meetings provided an opportunity for all faculty to offer input on both the Chairperson's and the department's budget committee's ideas.

The Chair reported that staff members were helpful because they provided the "logistical support" that was needed to develop and justify proposals. Support included, for example, assistance with collecting institutional and other types of data (i.e., costs associated with budget items). According to the Chair, the information provided by staff members enabled the stakeholders to engage in more informed discussions over budget proposals, to examine why costs were projected a particular way, and to see how the costs might effect future opportunities for securing campus resources.

*The department's budget committee.* The Chairperson and a faculty informant identified the department's budget committee as a major player in budget matters in the department. The faculty informant was a member of the budget committee. The Chair reported that the department had a small budget committee comprised of "three to four faculty members." The individual explained that the committee "met on a regular basis and discussed budget priorities as positions became vacant" and as any resource development opportunities presented themselves. Also, the Chair reported and faculty informants agreed that the committee primarily focused on "advising the Chair on budget matters in the department." The Chair explained that committee members offered feedback regarding budget proposals before they were submitted to the Dean. The Chair and faculty informants on and off the

committee reported that consultation with the budget committee was “a great way to get support” for budget and academic program proposals. The Chair’s reliance on the budget committee for feedback on budget proposals made the committee a major actor.

### **Purposes of Influence Efforts**

This exemplary Chairperson’s broad purposes of influence efforts were examined based on the extent to which they were designed to defend the department’s budget base, to increase the department’s budget base by adding additional resources without expanding program offerings, or to expand the budget base by adding *new* academic initiatives and programs that, if approved, would require new and continuous financial support from the institution. The aim of this section of the study is to explain the purposes behind this Chairperson’s influence efforts.

#### ***Defending the Budget Base***

Interviews indicated that the Chair did not develop budget requests for the purpose of defending the department’s budget base. In fact, the Dean and the VCAA indicated that the department received routine annual incremental increases to the base budget as part of the institution’s effort to keep up with cost of living and inflation. For example, from 1997 to 2001, the department’s annual incremental increases to the budget base were an average of almost four percent. The incremental increases allowed the department to support non-salary expenses, such as supplies, travel, phone service, and related operational expenses in the department. Although documentary budget data from the

institution indicated that some departments' budgets declined, a common statement made by the Chair, campus officials, and a knowledgeable budget officer was that "departments usually get little increments from year to year" and that "this hasn't changed in the past few years".

### ***Increasing the Budget Base***

Although data revealed that Chairs in general at this institution did not have to defend their budget base, they did have to work to increase their budget base. This Chair desired campus resources for technology to support research and instructional operations in the department. During an interview, the Chair stated that proposals were developed to increase department resources so the department could "maintain the existing technology infrastructure [in the department], keep current with research productivity, and support lab instruction." A faculty informant commented that renovating the lab space was essential because the Chair wanted to "maintain satisfactory performance of [the] lab instruments" and to achieve this purpose "[the Chair] needed to get the resources to support lab [renovations]." The Chair wanted additional budget resources for technology upgrades because the existing technology in the department was outdated, insufficient, or inadequate. Upgrades and other infrastructure enhancements were required to keep the department and faculty competitive with other science departments in the College as well as with science departments in the other institutions within the state university system.

The Chair also sought additional campus resources to hire more graduate assistants. According to the Chair, more resources for graduate assistants were

required so that faculty could have assistance with their research, coverage for classes during their absence to pursue scholarly work, and assistance with lab instruction as enrollments increased. Because campus resources were limited and could not support all requests for faculty hires in spite of enrollment increases in the department, the Chair presented the alternative of hiring graduate assistants to staff the labs. Hiring graduate teaching assistants filled gaps created because demand for courses exceeded the supply of faculty to teach them, provided existing faculty with support, and enabled the department to fulfill instructional requirements. Securing campus resources for the aforementioned priorities was necessary because the Chair did not envision being able to secure outside funding for these essential services. The Chair noted that securing external funding for graduate assistants “was not encouraging” since the activities “were not something easily funded through outside agencies.”

In sum, interview data from the Chairperson suggested that the above budget proposals were related to and fueled by a broader vision for the department. Keeping technology updated so faculty could produce research and putting more graduate teaching assistants in classrooms and instructional laboratories were important, but building a foundation for securing external resources was equally important. The researcher viewed the Chair’s budget priorities as part of a larger priority, which was to position the department to identify and to pursue external funding sources. The Chairperson wanted to improve the department’s chances of securing research dollars from funding

agencies. Interview data with the Chair indicated that the individual wanted “to improve [the] research capacity of the department, which results in more external money, which results in free overhead money for the institution to attract good faculty.”

### ***Expanding the Budget Base***

As noted in the previous case, the idea of expanding the budget base is different from the notion of increasing the budget base. Expansion represents securing ongoing increases in resources to create and to maintain new academic programs that do not currently exist in the department. The researcher did not find evidence that this Chairperson developed requests to expand the department’s budget base. The institutional context simply did not allow for expansion.

### **Sources of Influence – Power Bases**

In this study, the sources of influence refer to the power bases that the Chair may have possessed and used to influence individuals to secure campus resources for budget priorities. Interview data from this Chairperson, senior administrators, and other informants suggested that this Chair had power bases that were used to influence the Dean to support budget requests. The primary power bases perceived to be at the Chair’s disposal were:

1. A cooperative relationship with the Dean;
2. A reputation for writing and explaining persuasive budget proposals;
3. A knowledge of institutional priorities, faculty preferences, and budgetary requirements for the department; and

4. A positive relationship with the faculty in the department.

#### ***Cooperative Relationship with the Dean***

The Chairperson was perceived to be influential with the Dean because a cooperative relationship was developed with both the former Dean and the Dean at the time of this study. Both Deans and faculty informants identified the Chair's "good natured relationship with the Dean" as contributing to the ability to influence the Dean and to get resources for the department. According to the Chairperson, the relationship with the Dean "was one of mutual respect and admiration." The Chairperson met with the Dean routinely to keep the Dean abreast of accomplishments, challenges, and opportunities in the department. The Chair "did not make frivolous requests" of the Dean and, according to the Dean, the Chair "always responded to requests for information in a timely manner," which the Dean believed to be critical given the tight deadlines for receiving, processing, and acting on budget requests and supporting materials. A cooperative relationship with the Dean was a resource the Chair counted on when budget requests were submitted.

#### ***Reputation for Writing and Explaining Persuasive Budget Proposals***

This Chairperson believed that written justifications and face-to-face presentations of the department's budget requirements contributed an ability to influence the Dean to support requests. A faculty informant and the Dean supported this Chair's view when they noted that proposals "clearly articulated the needs of the department and its students in a manner that could be understood by everybody." Faculty members' assistance with preparing written

justifications for budget requests bolstered the use and effect of this power base. Interview data from faculty informants revealed that the Chairperson encouraged faculty members to submit programmatic, enrollment, and other data that related to specific areas of the proposal. For example, a faculty member reported that the Chair “organizes groups of faculty” and “relies on their expertise to gather extensive background work on things like how the programs are doing and our enrollments for the department.”

The Chair’s engagement of faculty and call for useful information generated qualitative and quantitative data about the department, its programs, and its students, all of which were used to develop a compelling argument for budget resources. In the end, though, the Chairperson was responsible for “scaling down” the information submitted by faculty to make requests “concise while keeping [the] essence of [the] argument” for resources clear and convincing.

In addition to capitalizing on a reputation for writing persuasive budget proposals, this Chairperson had a reputation for presenting oral justifications for resources succinctly and convincingly. The Chairperson and a faculty informant noted that the ability to “respond to questions posed” by the Dean, Vice Chancellor for Academic Affairs, and others on the campus contributed to the Chair’s ability to convince the Dean to approve budget requests. A faculty informant reported, “He makes [the] case very accurately and effectively.” Informants explained that this Chairperson made a case for resources by aligning the department’s budget requests with the university’s Strategic Plan,

which, according to a senior campus official, was the driving force behind institutional decisions. One informant reported that this Chair could “make plain” the department’s priorities and the data that were used to support budget requests. Another informant reported that the Chairperson did not succumb to the use of excessive technical jargon to explain budget priorities. Instead, budget requests were communicated, in writing and orally, in a way that could be understood by the faculty, Dean, Vice Chancellor or others reviewing the requests. As a faculty informant reported: “The Chair has the ability to translate ideas of the team into language that will be successful.”

### ***Knowledge of Institutional Priorities, Faculty Preferences and Department Budgetary Requirements***

The language in this department’s draft *Academic Strategic Plan* confirms that priorities were aligned with the goals in the university’s Strategic Plan.

According to the Plan:

The Department of Biology addresses the needs of students, community, and region...Teaching, research, and service each contribute to the department’s mission, reflecting the missions of the College of Arts and Sciences and the [University].

The department’s primary mission is to provide quality instruction...The department’s research mission is to expand knowledge in each of the biological specialties represented by the interests of its faculty...[In reference to the department’s service mission], faculty and students participate in professional societies at the local, regional, national, and international levels. Faculty provide free consulting to the general public, private organizations, and government agencies. (Administrative informant, personal communication, April 4, 2000, p. 1)<sup>6</sup>

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<sup>6</sup> Similar statements were made in the department’s “Academic Review Self-Study” document (personal communication, October 16, 2002).

Similarly, interviews with the Dean, faculty informants, and the budget officer in the College indicated that this Chairperson's ability to influence the Dean was, in part, because of knowledge of campus priorities and campus directions, faculty preferences for budgetary priorities such as upgraded technology, and the overall budgetary requirements for the department. For example, a faculty informant explained that this Chairperson was familiar with the institutional priorities in the university's Strategic Plan. The Vice Chancellor, for example, reported that this Chair was considered a "successful Chair" because of "talent" and "adherence to the Strategic Plan." A faculty informant reported that this Chair "largely consults with institutional research databases so that [the individual] understands patterns and trends for different programs to see what students are interested in."

The sentiments of the aforementioned informants suggested that this Chairperson was fully knowledgeable of what was being requested, why it was being requested, and what the potential impact of receiving requested resources would be for the department and the university. The Chairperson believed that detailed knowledge of all the requests in proposals enhanced the ability to persuade the Dean to support requests. For example, the Chair explained that, when resources were requested, a commitment to "knowing enough about each [item] to respond appropriately" existed. Further, the former Dean and Dean at the time of this study shared a view that this Chair "knew what was happening" when it came to the department's budget requirements. One official reported,

“[The Chair] was organized, consistent, made sense and [the individual] just made good cases for the department...and had faculty support to back it up.”

Maintaining awareness of what was happening in the department and among the faculty may have contributed to this Chairperson’s success at securing resources. The former Dean of the College commented that this Chairperson was successful at securing resources because “[the individual] manages to keep [a] finger on the pulse of the department.” The Dean concurred with this view and added that this Chairperson was successful because “[the individual] regularly made a strong case for [the] program.” Further, a faculty informant noted, “[The Chair’s] understanding of the [university] system, where to go to obtain resources, [and] how to justify [the] need for resources” contributed to success in getting resources. The evidence for this case suggested that this Chairperson used knowledge of institutional priorities and funding possibilities, knowledge of faculty preferences, and an astute knowledge of the department’s budget requirements to, in the words of the Dean, “build a strong case for [the] department.” Further, the following statements were characterizations of the Chairperson’s knowledge and skills:

A campus Chairperson: [The Chair] always committed...to knowing enough about each project to respond appropriately.

Former and current campus official: [The Chair was knowledgeable] when it came to the department budget.

A campus official: [The Chair] was organized, consistent, made sense, and just made good cases for the department...and had faculty support.

### ***Positive Relationship with the Faculty in the Department***

The Chair viewed the department as a team. During an interview, the individual referred to the faculty as the “whole team,” and reported that the “whole team” contributed to securing campus resources. Faculty assistance, according to the Chair, included “contributing good ideas, solid arguments, [and] helping to explain why something [was] important.” For example, faculty and staff offered ideas and arguments on linking budget requests with the department’s enrollment growth, the age of technology infrastructure, the quality of faculty and their research, and the manner in which the department requests were aligned with institutional goals articulated in the campus’ strategic planning document.

Although faculty members contributed to the preparation of budget requests, the Chair reported “occasional resistance” from some faculty to budget ideas. The Chair did not identify names of specific faculty members or recommend individuals to be contacted for follow-up. The Chair explained that the resistance revealed itself through certain faculty “thinking of all the possible objections for not [making changes]” to the *status quo*. According to the individual and a faculty informant with whom the researcher raised the issue of resistance, the Chair’s response to the resistance was not to give up on budget ideas but to keep pressing for beliefs and priorities. The Chair responded to the resistance by addressing faculty concerns and by providing additional data to faculty members if necessary. A faculty informant reported:

Yes, there is resistance because gain means someone else’s loss. It was friendly resistance and not a lot of petty resistance or jealousy, not a common foe. Proposals were adjusted to communicate in a new way that changed [the] overall plan [but] not [the] ideas.

## **Influence Strategies**

### ***Targets of Influence***

Interview data from this exemplary Chairperson, the current and former Deans of the College, the Vice Chancellor for Academic Affairs, faculty informants, a knowledgeable budget officer, and other informants with some knowledge of the Chair's influence efforts indicated that the purpose of this Chair's strategies was to influence the Dean to approve budget requests. The aforementioned informants and the Chair concurred that the primary target of influence was the Dean of the College because the Dean "controlled the purse strings" by virtue of his formal position in the institution and his formal decision-making authority over the College's campus-based financial resources.

### ***Tactics***

The Chair developed and deployed several strategies to influence the Dean. The following strategies were evident in the data for this case:

1. Demonstrate faculty support for budget requests;
2. Address and accommodate faculty resistance;
3. Pursue financial resources available outside the budget process;
4. Create a sense of urgency; and
5. Demonstrate relationship between resources and student success.

*The Chair demonstrated faculty support for budget requests.* This strategy relates to informants' discussion of the Chairperson working with faculty members to garner their support for budget priorities for the department. This Chair was known for positive and supportive relations with faculty members in

the department. Because of the positive relations with faculty members, this Chair was able to use faculty support as leverage for securing resources. Faculty members' support for budget priorities was a factor that influenced allocation decisions in the College. The former Dean reported:

[The Chair] is a very quiet but effective person...[the individual] has the respect of faculty. [The Chair] runs department meetings well and *garners faculty consensus* in terms of what they ought to be looking for in terms of funding. (*emphasis added*)

With the knowledge of how important faculty support was to getting requests funded by the Dean, the Chair engaged the faculty in discussions on budget priorities prior to submitting requests for resources.

To develop this strategy, the Chairperson explained, and the faculty interviewed for this study confirmed, that the individual “worked and communicated with faculty” regularly on broad budget priorities before going to the Dean with final budget requests. To secure faculty support and benefit from their expertise and experience in their academic disciplines, the Chairperson researched possible resource opportunities *before* taking issues to the faculty. As one faculty informant observed and as earlier reported, “[The Chair] gathers extensive background work first.” Extensive background work meant that the Chairperson obtained and used historical budget data and the department’s profile and characteristics published by the Office of Institutional Research to help build a case for additional resources.

Although enrollment data between the 1997-1998 and the 2000-2001 academic years show three years of consistent decline in enrollment and one year of an increase (*Audit Indicators, 2001-2002*), the Chair cited steady

enrollment trends in the department as a justification to convince faculty to support requests for additional resources. Institutional documentary data revealed, however, that this Chair oversaw one of the largest academic departments in the College which, according to the Dean of another College, “gets considered when resources are allocated.”

In addition to gathering background information for budget requests, a faculty informant reported that the Chair organized groups of faculty “who would benefit the most from and be most helpful with preparing successful proposals.” Through faculty work groups, the Chairperson focused energies on multiple budget requests. For example, one faculty group helped with developing ideas around securing resources for acquiring new computers; another group focused on lab renovations; and yet another group worked on securing additional faculty lines.

*The Chair addressed and accommodated faculty resistance.* As noted earlier, although interview data indicated that this Chairperson consistently enjoyed faculty support for budget proposals, some faculty resisted some of the Chairperson’s initiatives. The Chairperson reported that those faculty members who resisted a proposal or a change in the department would “think of all possible objections for not changing.” From the Chair’s viewpoint, focusing on reasons why an initiative may not be successful was, at times, perceived as a form of resistance. Additionally, objections to which program area in the department would benefit from any new faculty lines was perceived by the Chair as an example of resistance from some faculty. According to a faculty informant

in the department, faculty agreed that the department had to have additional faculty lines to remain competitive with other science-based departments in the College or at comparable institutions. However, resistance ensued over which specific discipline in the department would get those lines. The Chair reported that each program area within the department believed it deserved faculty lines. This delicate issue of which program area received faculty lines had to be managed well if the Chairperson wanted to develop a consensus around which budget requests to advance.

Faculty resistance revealed itself through direct or indirect expressions of dissent. For example, a college official stated that, although he had no direct knowledge of faculty resistance, he believed that resistance came “probably at faculty meetings via venting displeasure” over the Chairperson’s decision to advance certain budget proposals and probably with the Chair during private meetings. Faculty informants who attended faculty meetings concurred with the official’s perception. The informants confirmed that faculty resistance came “during discussion of proposals in faculty meetings [and was] guised as philosophical discussions about [the] direction of [the] department or [a] program within the department.”

Examples of perceived faculty resistance suggested that the resistance was neither bitter nor the result of rivalries between the different academic programs in the department. To summarize an earlier quote, a faculty informant characterized the resistance as “friendly resistance” that often resulted in

“positive criticism for those [who were] not successful” at getting what they want in the budget.”

The Chairperson responded to the resistance. The individual admitted to getting frustrated at times over what was perceived as resistance but responded by continuing efforts to persuade faculty. The Chair provided more data on any outstanding or unclear issues related to initiatives and continued efforts to build faculty support for proposals through group or individual conversations to address objections. The Chair’s use of persuasive approaches to address faculty resistance was noted by the Dean who reported:

[The Chair] tried to persuade people that [budget] proposals were good for the department...[and]...probably encouraged other faculty [to get] involved [and] to help with the defense of budget proposals.

Similarly, a faculty informant for this case also reported that this Chair responded positively to the “friendly resistance.” According to the informant, this Chair used faculty resistance “to feed into justifications for the next round [of requests] if a proposal was unsuccessful.”

*The Chair pursued financial resources available outside the budget process.*

This Chairperson was known for having success in getting financial resources from outside the annual budget process which reduced the Chair’s dependence on financial support allocated from the campus budget. The Dean and a knowledgeable budget officer both reported that this Chair was considered successful because of an ability to get resources outside the formal budget process. The Dean stated that this Chair “hire[d] people who can get external funds” which were “used to leverage internal funds to some extent.” Similarly,

the Budget Officer stated:

[This Chair] was the first to come to mind. I would put him at the top of finding funds or coming up with creative ways of finding funds, including ways to get more money on the campus.

Because budgets were tight and resources from the annual budget process were limited, the Chairperson was not able to influence the Dean to support all initiatives. The Chair tapped into external sources of funding and internal sources of funding by seeking special technology funds. External funds and the internal technology funds provided the Chair with some leverage during budget conferences with the Dean. The Chair's possession of other financial resources meant that the Dean would have some decision-making flexibility that he might not otherwise have had if the Chairperson did not have additional resources to bring to the bargaining table.

In addition to seeking technology fees, this Chair was able to use overhead resources the department received when new faculty members won external grants. As earlier noted, the Chair had a reputation for hiring faculty members who were successful at getting external funds from grant agencies such as the government and foundations. Securing external grants resulted in resources for overhead expenses in the department and university. Along with the campus' technology funds, the Chair used overhead resources from external grants to help make a case for additional resources from the institution.

According to the Dean of the College, the Chair's ability to "make [a] strong case

for the program and hire people who can get external money [to] leverage internal funds” accounted for success even as enrollment in the department declined slightly.

*The Chair created a sense of urgency.* According to this Chair, this strategy was targeted at both the Dean and the department faculty. To create a sense of urgency for budget priorities, the Chair used inflation and other quantifiable data to make a case for additional resources. The Chair reported:

I would lay out the justification for additional [resources]...An example would be showing [the Dean] a history of inflation on a particular sample set of supplies and point out that our budget hasn't changed at all to give him some history and *convince him that we are desperate.* (*emphasis added*)

Given the comments made by this Chair and the faculty informant, the use of inflation and “quantifiable” institutional data added credibility to requests for additional resources during tight fiscal times. Moreover, the Chair’s comfort level with numerical data made integration of inflation, institutional, and other quantifiable data into budget requests relatively easy. It seems that the use of the data bolstered the case for increased resources. For this Chairperson, the reality of not being able to keep pace with inflation or provide the necessary support for the instructional activities of the department created a sense of urgency. According to the Chair:

I tend to think in numbers I guess, so I would want to show him why we are hurting in a quantitative way...I don't think my strategy would be different [and] I am in my fifth year now [as Chair].

This urgency was articulated to the Dean to influence his decision over the department's budget requests and to the faculty to influence their support of budget proposals.

*The Chair demonstrated a relationship between requests and student success.* This strategy was targeted toward the faculty but mostly toward the Dean. A common statement from interviews with the Vice Chancellor for Academic Affairs, the Dean, and the former Dean was the notion that, at this institution, "resources followed students." So if Chairs linked budget requests to meeting students' needs or aligned requests with the institutional priority of student excellence (Name Omitted, personal communication, December 16, 2002 ) then they could possibly increase their chances for success. According to senior campus officials and the Dean, the doctrine of "resources follow students" meant that departments that demonstrated steady enrollment (i.e., no significant losses in student majors) or departments that linked budget requests to improved student performance were likely to receive additional campus resources above and beyond annual incremental increases.

This Chairperson considered students' interests and examined enrollment data for the department as budget proposals were developed. In explaining why proposals for faculty lines, graduate assistants, and upgrades to technology were submitted, the Chair stated: "Our enrollment has grown pretty dramatically...I do not remember the enrollment numbers, but it's really been a dramatic shift." Enrollment data from documents from the Office of Institutional Research indicated that from 2000-2001, the department experienced a one-

year increase by 50 “student majors” (*Audit Indicators*, 2001-2002). In addition, in three years prior, the same report indicated that the department experienced only minor decreases in enrollment (e.g., less than 30 students in a two year period).

The Chairperson used institutional data to gauge student interest and develop requests that attempted to respond to student priorities. A faculty informant reported:

[The Chair] largely consults institutional research databases so that he understands patterns and trends for different programs to see what [the] students are interested in [to] ensure that resources will be used effectively for the benefit of students.

In making a case for campus resources, the Chairperson emphasized themes that resonated with the Dean, Vice Chancellor and other university officials. The Chairperson emphasized improving teaching and research in the department through new faculty lines. Hiring new faculty, the Chairperson argued, could bolster the university’s presence in the science community. These emphases did not go unnoticed. In fact, a senior official noted that this Chairperson’s success was, in part, attributed to a commitment to students in the department. The informant stated that the Chairperson’s “most powerful argument will be to serve students.”

### **Assessment of Influence**

This section is an assessment of the biology Chairperson’s influence as he sought campus resources through the annual budget process. Three lines of evidence were explored: budget decision outcomes, attributional data, and behavioral data. Neither line of evidence by itself established this Chairperson as

influential. However, when combined, the three lines of evidence provided a basis for concluding that the Chairperson was, in fact, influential.

### ***Budget Decision Outcomes***

University budget data (*General Operating Budgets, 1997, 1998, 1999, 2000*) confirmed this Chair's reputation for securing campus budgetary resources for the department. A combination of routine incremental increases to support department operations (e.g., salaries, supplies, and travel) and a pattern of additional resources were noted in the institution's annual budget documents. In the 1997-1998 fiscal year, this department received more than a million dollars. Increases were received each year thereafter up to the 2001-2002 fiscal year when the allocation was significantly more. In all, the department received an average of almost four percent in increases in a four year period as compared to some departments that received little to no sustained increases in their budgets during the same four year period covered in this study. As noted in the first case, because this Chair received budget resources when other Chairs in the College did not and because this Chair received technology resources when other Chairs did not, the data appear to support the perception that this exemplary Chair was able to influence allocation decisions more favorably than, perhaps, other Chairs.

This Chairperson's budget priorities included securing campus-based resources for renovations to the research lab in the department, faculty lines to maintain research and instruction, and technology fees from special campus funds to upgrade or replace computer technology in the research lab once it was

renovated. In the Chairperson's view, and in the view of faculty informants in the department, the budget priorities were necessary for the department to "remain current in the field" and "on the cutting edge" of issues nationally.

To begin understanding the extent to which this Chairperson was influential with the Dean and successful in securing resources for budget priorities, budget decision outcomes were explored through interviews with the Chair, the Dean, faculty, and senior campus officials. This Chairperson achieved budget priorities. Interview data indicated that the Chair secured the resources sought through the formal budget process and outside the formal process.

The budgetary decision outcomes suggested that this Chairperson's budget priorities and preferences were affirmed by the allocations received from the Dean and through the campus process that allocated technology fees. The outcomes or "wins" achieved by this Chair provided one line of evidence of being influential. But the outcomes could have occurred apart from the Chair's influence; therefore, additional lines of evidence must be examined.

### ***Attributional Data***

Exploring attributional data provided another means for assessing this Chairperson's influence. This section is concerned with the extent to which campus decision-makers attributed budget decision outcomes to the relative power and influence of this Chairperson. Campus decision-makers viewed this Chairperson as a major reason for the department getting the additional resources it needed for faculty hires, lab renovations, and campus technology funds. Interview data from the current and former Dean and the Vice Chancellor

for Academic affairs pointed to this Chair's ability to build and to sustain faculty support for budget priorities, an ability to prepare convincing budget requests and proposals that created a sense of urgency for the department, and persistence to make sure that the department's priorities remained on the Dean's radar screen.

The ability to influence the Dean was attributed to this Chairperson for a few reasons. The Chair was reputed to have faculty support for initiatives. "[The Chair] worked well with faculty," an informant stated. Also, the Chair did not shy away from faculty resistance. Instead, the Chair dealt with the resistance by giving the faculty additional information they needed to better understand the budget initiatives being advanced. Given the limited data available from faculty informants, it was difficult to fully assess the impact of the Chair's actions in response to what has been called "friendly resistance." However, given that senior administrators were not aware of intense faculty resistance, given that no other informants were in a position to address any faculty resistance first-hand, and given that the faculty informant on record confirmed that the Chairperson used insights gleaned from faculty resistance to modify future proposals, it was plausible that the Chair's actions overcame the resistance.

In addition, the Chair was successful in creating a sense of urgency by making building strong arguments for additional resources by using institutional, inflation, and technology assessment data to support hiring faculty, renovating labs, and upgrading technology. The individual brought resources to the table during budget negotiations with the Dean for additional resources. Further, the

Chair was able to show how obtaining new resources would enable the department to respond to student demands for instructional programs that enhanced their success. In sum, the Chairperson was viewed as a key factor in the department getting resources because the Chair seemed to align requests with institutional commitments to teaching, research, and student success while demonstrating faculty support and bringing external funds to the table.

### ***Behavioral Data***

Exploring behavioral data to assess this Chairperson's influence was another line of evidence used by the researcher. The purpose of this section is to link the Chair's power bases to the formulation of strategies to determine if attributions of influence were credible and plausible. This Chairperson's capacity to influence the Dean to approve budget requests was related to the power bases discussed earlier in this case. One may argue that without the power bases, the Chairperson would not have been in a position to negotiate with the Dean for resources for his department. The power bases presented earlier indicate that, overall, this Chairperson's key sources of influence were a cooperative relationship with the Dean, an ability to build a strong case for resources through compelling proposals and integration of institutional priorities, and a positive relationship with department faculty. The Chair's power bases, once converted to strategies noted above, contributed to favorable budget decisions.

Finally, as earlier noted, the assessment of behavioral data for this case also included the examination of this Chair's power resources and how those

resources were converted into tactics for securing campus budget resources. In the context of this study, this Chair enjoyed a reputation for being influential, in part, because relevant power resources were activated *and used* to: (1) demonstrate faculty support for budget requests; (2) address and accommodate faculty resistance; (3) pursue financial resources available outside the formal campus budget process; (4) create a sense of urgency for requests; and (5) demonstrate a relationship between budget allocations and student success.

## CHAPTER VII

### CASE 3: COMMUNICATIONS CHAIRPERSON

[This Chair] is excellent at getting point[s] across to committees and the Dean who makes the [budget] decisions. [The individual] is an extremely effective spokesperson.

- Excerpt from faculty informant outside this Chair's department

This case is a description and analysis of this Chair's efforts to secure favorable allocations from the Dean of the College to support the department's academic priorities. The case narrative that follows explains how the Chair developed and advanced proposals.

#### **Actors**

Like the Chairs in the previous cases, this Chair did not secure campus resources solely because of individual efforts. The interview data from the Chairperson, college officials, and faculty informants identified three broad categories of actors: other department Chairpersons, primary campus officials, and proximate actors.

#### ***Other Chairpersons***

This Chairperson used other Chairs as a sounding-board to float budget and programmatic ideas. The individual viewed peers in the College as "resource persons." This Chair bounced ideas for budget strategies off Chairpersons who had experience with developing and proposing budgets. In addition to talking to individual Chairs for whom the individual had a great deal of respect, this exemplary Chairperson took advantage of the existence of an informal professional network of campus Chairpersons. As this Chair developed

ideas related to potential budget requests, the individual reported that the network of Chairs “was really very helpful to me.” When asked for clarification on the importance of the network of Chairs, the Chair explained that this group gave Chairs an opportunity to discuss their experiences with budgeting, teaching, research, diversity issues, faculty dissent, and other sensitive issues with little inhibition or fear of reprisal. This Chairperson used the sessions with the group to float ideas for possible budget proposals and to seek the group’s feedback based on their experiences with issues or their relationships with the Dean. The Chair reported:

Being a new Chair was a challenge for me, especially since I have not gone up for tenure yet. Hey, I was new, I needed help, and this group was there for me. Those guys were great. Depending on the issues at hand, I might bring up a particular proposal and I would ask them what they thought or how they thought the Dean would react or whatever. They were honest. What can I say? That group helped me a lot and still does ‘til this day.

According to the Chair, the group of Chairs met over lunch three or four times during the semester. The Chairs were from different Colleges on the campus and had different levels of experience, ranging from “very new to about 20 years.” This Chairperson found in the group of Chairs a “safe place” where the political waters of the campus could be tested to see what ideas might fly.

### ***Primary Authorities***

This section describes those individuals on the campus who were in a position to determine if this exemplary Chairperson would get the resources desired for the department. Individuals with the power of approval or veto over budget requests submitted by the exemplary Chairperson were referred to as the

primary authorities. Interviews for this study revealed three primary authorities: the Chancellor of the University, the Vice Chancellor for Academic Affairs, and the Dean of the College. Each has different but critical levels of authority and responsibility for budget decisions on the campus.

*The Chancellor of the University.* The Chancellor at this campus approved the final budget for the institution before it was submitted to the central administration of the state university system for final approval. The former Dean of the College reported that this Chairperson “had more access” to the Chancellor, and that this unusual access was a contributing factor to the individual’s success as a Chairperson. When asked for clarification on why the former Dean believed that this Chairperson had more access than other Chairs, the informant indicated that access to the Chancellor was a reflection of the Chair’s “energy,” “tenacious personality,” and a “willingness to take initiative.”

The Dean at the time of this study also acknowledged this Chairperson’s zest for promoting the department whenever an audience with the Chancellor occurred. Neither of the Deans considered this Chairperson’s constant promoting of the department as a problem or as a means for circumventing their authority. Interview data revealed no evidence that the Chancellor played any direct role in this Chair’s successful efforts to secure resources. But faculty informants and the Dean agreed that, when the Chancellor made final decisions on the budget, this Chairperson’s constant promoting of the department and the individual’s initiatives were an impact on the department getting some of its proposals funded.

However, another association with the Chancellor may have been much more relevant to this exemplary Chairperson's success in securing campus resources. The Chancellor appointed this Chairperson to lead a high profile campus committee which helped set campus priorities. This appointment put this Chair in a position to develop relationships with campus decision-makers, especially the Chancellor. Service as a committee leader enabled this Chair to build potential allies with senior administrators who made decisions on initiatives coming from the departments through the different Colleges.

This Chairperson's leadership role on the aforementioned committee did not jeopardize the relationship with the primary authority figure, the Dean of the College, who was both defender and approver of budget proposals. In fact, the Dean noted that he was never pressured into funding any of the Chair's proposals. While he admitted that he considered the Chairperson's relationship with the Chancellor and other campus officials when he made decisions regarding budget requests, the Dean reported that this individual deserved the funding received because solid proposals that warranted funding were developed. According to the Dean:

No, I wasn't worried about [her] relationship with the Chancellor, but I made sure that every proposal received careful consideration. Those proposals that were really linked to the [high profile campus committee]... obviously got a second or third look, and some proposals were funded. But they were really good proposals as well and deserved to get funded. [The individual] is a great Chair.

*The Vice Chancellor for Academic Affairs (VCAA).* Although this Chairperson downplayed the impact a relationship with the Vice Chancellor had on budget proposals and strategies, the former Dean of the College noted

specifically that, of the three exemplary Chairs in this study, this Chairperson spent a lot of time meeting with the Vice Chancellor. “[This Chair],” he said, “had more access” to the Vice Chancellor than other Chairpersons.

By contrast, the Vice Chancellor did not reveal that this Chairperson “had more access” when he was asked *whom did the Chairpersons seek to influence?* However, the Vice Chancellor reported:

[The Chair] met with me sometimes [and] wanted to make [a] case and wanted to make sure I understood [the] case so [the Chair] was pretty persistent. That’s the way [the individual] is, but in a good way.

The Vice Chancellor pointed out several times during his interviews that he left budget allocation decisions up to the Deans of the Colleges unless he had a reason to intervene in deliberations on particular budget proposals. He noted that he had no recollection of intervening on behalf of this Chairperson in any way that gave an edge over other Chairs.

*The Dean of the College.* The Dean at this campus decided which budget proposals progressed to the Chancellor’s decision-making level for inclusion in the final budget. The Dean of the College was a major target of this Chairperson’s influence efforts because the money flowed through the campus system to the Dean’s coffers. The Dean reported that the Dean’s position was a target of influence “a lot of the time since [the person in the position] makes unilateral decisions” regarding the budget.

According to this exemplary Chairperson, the individuals above were major “decision-makers” on the campus. The individual added that the administrators (i.e., Dean, Vice Chancellor, and Chancellor) were the ones

making decisions about the budget. A strategy, then, was either to get to the administrators making the decisions or to get to those close to them to explain budget proposals and why the proposals were important. As the Chair reported:

I try to identify who are the ones [who are] going to be the decision-makers about something. I will talk to people who are close to them to try to explain something...[A] lot of times it's helpful if somebody's assistant something or another knows what something is about so [the decision-maker] will understand it.

This Chairperson was not apprehensive about seeking access to the Chancellor and Vice Chancellor to promote the department and to explain budget priorities, but the statement above indicated that the individual also sought access to gatekeepers of the Chancellor's Office and the VCAA's Office if campus leaders could not be reached directly. A reputation for being tenacious and persistent, a position on a major campus committee, and visibility around the campus helped this Chairperson get high on the Dean's list of people whose requests were likely to get funded.

### ***Proximate Players***

Primary authorities on the campus were not the only actors that shaped and influenced this exemplary Chairperson's strategies for securing campus resources. This section explores the "proximate players" who were department faculty members, a colleague on an important campus committee, and an advisory group.

*The department faculty.* Interview data from this Chairperson, senior officials, department faculty and administrators in the College revealed that faculty members in the department played an important role in this Chairperson's

development of budget proposals and choice of budget strategies. While the Chair did most of the work in terms of preparing the proposals, the individual reported that the department faculty provided feedback on budget proposals. According to the Chair, faculty members were engaged selectively. Consultations with certain faculty members occurred depending on the type of initiative being advanced to the Dean and the particular expertise of a faculty member. Faculty input aside, the final budget proposal was shaped by the Chair. According to the Chairperson:

It's really the faculty in this department who are the main ones, the main people that I work with though. Sometimes we do some things across departments so that I got some interdisciplinary types of proposals. But even with a lot of those, the main people that I really talk with are the people here [in the department] and it kind of depends on which project we're working on that'll determine who I work with the most....I do a lot of writing of it, the final draft. I do most of that myself...[Y]ou need to have some technical stuff in there – so I get the folks who know the technical parts of it and I do more of the rationale, the justification part of it.

To improve the quality of budget proposals and perhaps increase the chances for funding, the Chairperson acknowledged that, at times, extra efforts were made to get input from “opinionated faculty” in the department. The Chairperson considered “opinionated” faculty as “key faculty who definitely expressed their views on all kinds of issues.” The Chair stated:

We got [sic] so many people in the department and they all influence me in different ways. There are key faculty members in the department. I try to listen to most of the faculty, but there are some faculty [members] with very definite opinions and they're going to give them on a regular basis and they are really important. A lot of times I will try to seek them out just to say, 'okay, where's your head about this' so I'll know what they are thinking. That's really important to have that kind of sounding board. If you lose touch with that, that's a problem.

Losing touch with faculty sentiment could be costly. Lack of faculty input or support might result in proposals not getting funded since the Dean assessed the extent to which a budget proposal received faculty support at the department level. The Chair believed that getting all faculty members on board, including the “opinionated” or “key faculty” was important.

*An ally on a major campus committee.* In addition to seeking feedback on proposals from department faculty and other colleagues, this Chairperson identified a trusted and respected individual from whom advice was sought. The trusted colleague was a former Chair, now a Dean at the institution. The Chair had worked with this individual on the aforementioned high profile campus committee. At times the Chair talked with the ally to get a sense of “where the university is” or to get “a read on what’s going on” from a Dean’s perspective.

*The College Council.* A pseudonym is used to protect institutional identity. This council consisted of elected department Chairs. The role of this body was to hear college-wide issues on academic programs, curriculum policies, diversity issues, planning issues, and budget issues. The council’s role was to advise and to report directly to the Dean on College matters. This Chairperson held a valued position on the council. Membership on the council was another opportunity to get feedback on budget ideas from respected colleagues. The individual used the position on the council to gauge the potential competition for resources the department planned to seek. The Chair reported:

This is a very key group. How they are thinking and what they are thinking about is important for how things are done in the College. This year I’m on it. We have to send things up for approval and I don’t want to send things up without kind of having a sense of where they are. I want to keep a kind

of sense of where [the proposals] are [compared to other Chairs' proposals].

The importance of this council was echoed by the Dean who stated that “95% of the time the Dean will go with the [council]” on its recommendations on academic or budget issues. The Chair had a history with the council and felt comfortable floating ideas to see what budget proposals might get supported. In short, this Chair was well-positioned in the institution. The individual had direct access to high ranking authorities with decision-making power over budget issues, had participated in setting institutional priorities, and had used connections with a trusted ally and others to understand the institutional politics that might shape the fate of budget requests.

### **Purposes of Influence Efforts**

This Chairperson’s influence efforts were examined based on the extent to which they were designed to defend the department’s budget base, to increase the department’s budget based by adding additional resources without expanding program offerings, or to expand the budget base by adding *new* academic initiatives and programs that, if approved, may require new and continuous financial support from the institution.

### ***Defending the Budget Base***

Similar to the Chairs described in the preceding cases, this Chairperson did not need to exert influence to defend the department’s budget base. At this institution, departments typically received an “incremental increase” in their budget base from year to year. According to a former campus official, influence efforts to defend the base were necessary only when faculty positions became

vacant and Chairpersons needed “to defend budget lines.” The official added that influence efforts “related mostly to plugging holes” that existed in the curriculum or other operating areas of the department. If the Chairperson had to defend the department’s budget base against possible cuts, those efforts were not evident in the data so it appears that, in this case as well as the preceding cases, incremental increases made defending against cuts unnecessary.

### ***Increasing the Budget Base***

The Chairperson put forth proposals for the purpose of increasing budget resources to support department initiatives. The individual submitted proposals for campus technology funds ranging from \$10,000 to \$100,000. Proposals for technology funds were submitted to support faculty and student retention efforts in the department, to purchase technology equipment for instructional purposes, to hire staff to manage the internship program, and to pay for office and classroom renovations.

Taken together, the Chairperson sought resources to respond to growing demands for courses students were required to complete for their degrees, and to improve the overall quality of instructional activities in the department, particularly with the use of technology. To build a case for resources, this Chair sent to the Dean a memorandum providing a justification for funding. The Chair maintained:

As we have discussed, the operating budget for the Department of Communication is woefully inadequate. While that has been true for some time, it has become increasingly problematic with the expansion [of several courses<sup>7</sup>], more full-time and part-time faculty to meet the increased demand without any corresponding increase in the budget, and

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<sup>7</sup> The specific names of courses have been omitted.

the necessity of purchasing and maintaining technology resources in order to adequately and appropriately teach courses...in an era with expectations for [using technology in information delivery<sup>8</sup>]. (Personal communication from the Chair to the Dean, February 12, 2002).

### ***Expanding the Budget Base***

As earlier noted, this purpose is not the same as increasing the budget base. Expanding the budget base refers to securing new, permanent dollars to implement new programs, thereby expanding the department's offerings or services. This Chairperson developed a proposal for the purpose of expanding the department's budget base by seeking funding to support a new research initiative<sup>9</sup> in the department. The research initiative was not supported during the time of this study but was approved recently. Because of statewide financial difficulties, top-level administrators and other Chairs in this study indicated that "no new initiatives" were being considered by the campus. As one senior official reported, "Not a lot of expansion [was occurring]." The same official added, "Not a lot of opportunity to make big requests [existed] due to legislative appropriations." Yet this Chair proposed a new initiative that ultimately was funded.

### **Sources of Influence – Power Bases**

In this study, the sources of influence refer to the power bases that the Chair possessed and used to secure campus resources. Interview data from this Chairperson and other campus informants revealed that the individual had several critical power resources that contributed to an ability to obtain resources

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<sup>8</sup> Specificity omitted.

<sup>9</sup> This label is a pseudonym. The actual name is being omitted to protect the identity of the institution.

for the department. The power bases perceived to be available to this Chairperson included:

1. High status designation;
2. Strong relationships with faculty;
3. Relevant personal qualities;
4. Campus connections and credibility;
5. Access to external funds; and
6. Favorable enrollment trends and high demands for courses.

### ***High Status Designation***<sup>10</sup>

This source of influence refers to the Chair's success in obtaining a high profile, special status designation for the department. At the institution, departments were given an opportunity to seek the special recognition based on the extent to which they were able to show their alignment with institutional priorities and contributions to student success. As the VCAA explained:

...As you know, the university undertook an academic prioritization process and the College was perhaps not very well represented in the results of that process, but [this Chair's] department was specified as a [special designation] program in the university.

The Dean and the Dean of another College explained that securing this special recognition meant that more resources would flow to the department.

Departments had to apply for the recognition. This Chair and a few other Chairs in the College applied, but this Chair was the only Chair in the College to receive special recognition. This elevated status was mentioned by the Chairperson as a

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<sup>10</sup> The official name of the status is being omitted to protect anonymity.

contributing factor to success. Other informants agreed that getting this status was a major coup for the department. The following illustrative but representative statement made by a professor outside the department points to the impact of that status on being able to secure campus resources:

I think [the Chair] is effective and I'll tell you why. Recently, we've gone through an exercise in [identifying special status]<sup>11</sup> programs. And getting your program on that...list was a tremendous coup in terms of two things: one, getting extra campus dollars and two, avoiding cuts, which is the other side of the coin. And [this Chair] got the department on that [special status] list. But Arts and Sciences as a whole did not fair particularly well... And I think that it was a major coup in terms of positioning [the] department in a good position for avoiding cuts and getting more money. I think in many ways, overall, [this is] a very effective Chair.

The Chairperson used the status to make a case for resources. The following statements illustrate that multiple informants attributed the Chair's success at getting new resources, in part, to the special status designation granted to the department:

A campus official: When [the Chair] got that [special designation] status, it was clear that resources would follow...

A faculty informant: We knew that if we got that status, chances are we would get some resources we needed, maybe not a lot, but something.

Another Dean: [The Chair] got the coveted designation status, the only one in the whole College. How could [the department] not get some additional resources? [The Chair] got the [status] because...a strong argument [was made] and [the individual] made connections to the Strategic Plan....

The new status emboldened the Chair. When the individual met with the Dean to discuss resources, the Chair knew the department was highly regarded across

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<sup>11</sup> The actual process is omitted to protect anonymity.

the campus. So, the department's reputation for its centrality to the mission of the university gave this Chair "institutional power" (Hackman, 1991, p. 269) that other Chairs in the College did not have.

### ***Strong Relationships with Faculty***

This source of influence refers to the impact this Chairperson's relationship with the department faculty had on the individual's ability to influence the Dean to approve budget requests. The Chair and campus officials attributed the individual's success in securing resources to a strong relationship with faculty members in the department. For example, administrators made the following statements:

[The individual] is a very active Chair [who] gets involved in every aspect of [the] department. [The Chair's] not pushy [but] just takes an interest in faculty and students. I just think [the Chair] does a very good job down there [and] keeps in touch with people.

...[The Chair's] getting the kind of support where people are offering to sit down and help write the proposal...[The Chair's] a leader but there's a team behind [the individual].

The Chairperson consulted faculty members for different reasons during the preparation of budget requests. In the individual's view, the faculty possessed knowledge and information that was helpful as proposals were developed. They provided technical assistance if they had particular expertise in an area and helped with revising proposals. The Chair noted reported:

There are lots of reasons actually to involve [the faculty]. One of them is that they have information; I couldn't write it without them. But the other thing is that most of the stuff that I am asking for I'll never use. I mean we're doing this for the students, and the faculty are the ones with the information so if I go off on some wild tangent and it's not what they need then that's wasting everybody's time and resources and if I get funded and nobody uses it what a crock, you know. So they have gotta be

behind it. I have to be in touch with what faculty needs and we have to all be together on that or the department wouldn't work...Part of [working with the faculty on budget proposals] is for the expertise. Part of it is because we all should be pursuing things that fit what the department members think we should be pursuing. Part of it is that's how we should operate.

### ***Relevant Personal Qualities***

Informants within and outside the department also attributed this Chair's success to several personal qualities. Informants described the Chair as a "hard worker" and as an "organized," "assertive," "resilient," "energetic," "creative," "talented" and "convincing" individual. The Chairperson added that experience with teaching debate helped prepare for budget justifications by anticipating what questions or challenges might be posed. The Chair also was characterized as "persistent." As one person put it, "[The Chair] will not give up easily on an issue if [it is] believed [to be]...best for the department." The Chair's persistence was evident in efforts to meet with the Chancellor, the VCAA, or, as reported, with people "close to the decision-makers...or anyone who would listen." A campus administrator summed up the Chair's persistence with the following statement:

[The Chair], I think, is one of those people who sorta figures, "If I don't ask, I won't get it." So [the Chair] asks for a lot, is quite a champion for the department, [and] can be just a little brassy. [The Chair] is eager, quick, and has increasing departmental support....

### ***Campus Connections and Credibility***

Other sources of influence for this Chairperson were campus connections and credibility. This Chairperson's reputation for establishing connections with campus leaders and other institutional actors was noted by informants who explained:

An Associate Dean: I think [the Chair] had the kind of savvy it took to work with the Dean and the administration [and] the Vice Chancellor for Academic Affairs. My sense is that [the Chair] probably gets into the Chancellor's office a fair bit too...I think [the Chair] and [the] Chancellor are good buddies.

A Faculty Member: First of all, [the Chair's] a very hard worker, very organized, [and] is well-connected on [the] campus. [The Chair] is involved in a lot of high profile committees and commissions and this and that so [the individual is] just well-connected and knows what's going on around campus. [The individual] uses those connections, I think, to [an] advantage, not in a bad way, but in a good way.

Evidence of the Chairperson's *connections* and *credibility* was captured by the Dean when he characterized this Chair as "a campus citizen" because of involvement in strategic planning activities and service on college-wide and institutional committees. This Chair was perceived as one who was working for the good of the university and for collective progress rather than individual gain. As noted previously, the Chair was well-positioned in the institution. The Chair served as the head of a major campus-wide committee that set institutional priorities; served on advisory councils in the College; served on the council of Chairpersons; and served on other campus committees.

The Chair's appointments to important campus committees suggested that the individual was a respected with some degree of influence. The Chair's connections to the Chancellor, to a trusted colleague who remained on the university's Strategic Planning Committee, and to a former Chair who was also a College Dean enabled the individual to get advice and information that could be used to shape budget initiatives and to prepare for negotiations with the Dean. The Chair used campus networks to learn and to navigate the rules of the budget process at the campus.

### ***Access to External Funds***

This Chair's ability to garner external resources and general support from constituents outside the institution to leverage internal resources did not go unnoticed. As a campus administrator explained:

The department is also good at getting some external support from the community. I can't say too much about grants...but [the department has] a strong alumni base and [it] keep[s] track of that group. [The department] kinda keep[s] tabs on a lot of the broadcasters in the area. [The department has] a pretty strong support system from outside the university too...A lot of that community support goes back to [the Chair's] predecessor also...[The Chair] has continued that, maybe strengthened it, certainly not weakened it.

Access to external funds contributed to this Chair's ability to secure internal campus support for initiatives. The Chair was successful in securing external resources to support department operations and instructional activities. Interview data from the Chairperson, senior campus officials, and an administrator close to the department's financial profile revealed that the Chairperson secured external funding to help support renovations to classrooms and to purchase technology for a lab in the department. The Chair was able to use external resources from grants and gifts from alumni/ae to secure campus support for initiatives during negotiations with the Dean. "The external funds," reported one campus official, "may have helped [the Chair] leverage institutional dollars" to support projects in the department.

### ***Favorable Enrollment Trends & High Demands for Courses***

This source of influence refers to the impact that student enrollment had on this Chairperson's efforts to secure resources. Several informants referred to the department's steady enrollment trends as justifications for additional

resources. Institutional data showed that between the 1997-1998 and 2001-2002 academic years, this department enjoyed an enrollment increase of approximately 70 student majors including graduate students (*Audit Indicators, 2001-2002*).

The Chair acknowledged having “a big department” and that “almost all students needed to take a course in my department” at some point while they were enrolled in the university. These facts about the department meant that the Chair was in a position to negotiate with the Dean because a demand for courses offered by the department could be used as a justification for resources. But insights offered by two senior level administrators clarified the importance of enrollment trends and their impact on getting resources. One official, for example, reported that acting on this Chair’s requests for resources was made “somewhat easy [given] enrollment increases” in the department. The other campus official was more pointed when he said, “Resources follow students.”

In sum, the Chair’s power bases enabled the individual to generate excitement in the department, get noticed by campus administrators, and ultimately secure resources. As stated previously, this Chair’s power bases may be summed up by a faculty informant who believed that the aforementioned sources of influence contributed to the individual’s success:

First of all, [the Chair] is a very hard worker; very organized; well-connected on campus; involved in a lot of high profile committees and commissions... [The Chair] knows what’s going on around campus [and] uses those connections, I think, to [an] advantage, not in a bad way but a good way...[The Chair] has not given up [and] has had some good fortune along the way. [The department] got a huge donation from a donor and those are things, I think, you know, nothing succeeds like success...That

allows them to be even more high profile, to do more things...There is a lot of momentum there.

## **Influence Strategies**

### ***Targets of Influence***

The Chairperson made the following statement regarding influence efforts to secure resources.

I am sure that people will tell you [I try to influence] everybody. It depends on what I am doing...I try to identify who are going to be the decision makers about something, and if they'll let me and are open to [my proposals], I talk about [them]. And I will talk to people [who] are close to them, you know, trying to explain something to them. A lot of times it is helpful if somebody's assistant something or another knows what something is about.

Interview data from this Chairperson, the current and former Deans of the College, the Vice Chancellor for Academic Affairs, and the other informants described in the beginning of this case indicated that, like the preceding cases, the Dean of the College was the primary target of this Chair's influence efforts. The Chair tried to get to the Dean of the College because he had the money, the Vice Chancellor because he had the ear of the Chancellor, and department faculty members because they offered expertise and support.

### ***Tactics***

This Chairperson developed and deployed multiple strategies in an attempt to influence the Dean. Like the previous Chairs in this study, influence efforts toward other individuals were part of a broader effort to influence the Dean. The strategies are the researcher's interpretation of the descriptions and examples of activities that emerged from the data. The following strategies were evident in this case:

1. Develop compelling justifications for budget initiatives;
2. Develop connections with influential persons;
3. Wait for the right time to submit requests; and
4. Be persistent with requests.

*The Chair developed compelling justifications for budget initiatives.* This strategy was targeted at the Dean and faculty members in the department and related to the Chair paying careful attention to developing a strong, convincing rationale for requesting campus resources. Campus administrators, including the Dean, reported that this Chairperson developed “solid proposals” and “paid attention to details in a way that made justifications for funding difficult to second guess.” The Chair related the ability to build compelling arguments to professional experience as a skilled debater. The Chair was a college debater as an undergraduate student and coached debate for a while between graduate and doctoral programs. The Chair often stated that it was best to be “straightforward” with people and to “trust the process when writing the [budget] proposal.” To this Chair, laying out the reasons for requests meant preparing a solid argument that “makes sense to people.” The following statement represents the Chair’s thinking on this strategy:

What I try to do is to lay out the reasons. Those are my strategies. They are straightforward. I think argument is a good thing, a good arena for decision-making. If I can just make people aware of the reasons *why* we are wanting [sic] to do the things that we do -- that’s my goal.

Using individual talent and skills as a debater, the Chairperson seemed to have developed arguments for budget requests by first “planting seeds” with

trusted individuals through conversations with them to “get a feel” for how proposals might be received. Gathering facts for a proposal was an important element to this strategy as well. The Chair gathered facts for the department’s requests, in part, through the campus networks discussed earlier and from faculty members in the department who had relevant experience. Knowledge gained from campus networks and connections to people enabled the Chair to align budget proposals with the direction of the institution and to develop substantive justifications for requests.

This Chairperson did not use the same argument with all audiences. The individual and the informants recognized that the approach with the Dean and Vice Chancellor was quite different from interactions with the department faculty. With administrators, the Chair relied heavily on “official institutional data.” Official institutional data reports contained, for example, full-time equivalent data for students and faculty, descriptive data on academic programs, and information on institutional planning priorities. “I read those documents religiously,” the Chair reported, which facilitated a strong case for budget initiatives. As a faculty informant commented, the Chair is knowledgeable and “pays attention to reports that [that] might be helpful.” The Chair was less technical with faculty. According to the Chair, the faculty members were not too interested in data that applied to other Colleges, for example. With the faculty, the Chairperson focused more on student issues, on student and faculty retention efforts, and on how budget proposals, if funded, helped the department’s reputation internally and externally.

*The Chair developed connections with influential persons.* As earlier noted, this Chairperson was well connected on the campus. The campus connections were the result of the Chair's persistence in developing relationships, in promoting the department, and in appointments to key committees that worked on campus-wide policies and priorities. This Chairperson invested considerable time and energy into cultivating relationships with influential actors such as the Dean, the Vice Chancellor Academic Affairs, the Chancellor, an ally on the Strategic Planning Committee, and a former Chair who became a Dean. To cultivate relationships with campus leaders, the Chair shared ideas on potential initiatives with top officials or their staff and then integrated their feedback into proposals. This strategy, to borrow Kingdon's term (2003), in effect, "softened-up" (p. 127) campus officials and garnered support for the Chair's proposals. To cultivate relationships with the ally and confidant on the Strategic Planning Committee and other Chairpersons, as mentioned previously, the Chair used the individuals as "sounding boards" for sharing preliminary ideas on possible initiatives and their likely success.

Nurturing relationships with key actors allowed the Chair to keep ideas and desires on the proverbial "campus radar screen" so that when requests finally came forward for review, the key decision-makers understood what the priorities and justifications were. This strategy gave the Chair an advantage over other Chairpersons who may not have invested in developing and cultivating relationships with key players on the campus or invested in introducing ideas into the campus' decision-making apparatus in ways that allowed officials to be

familiar with a proposal before it arrived in their offices.

*The Chair waited for the right time to submit requests.* Once the Chairperson prepared arguments for requests, “windows of opportunity” (Kingdon, 2003, p. 165) for presenting the proposals were sought. According to budget officials, the institution usually provided two opportunities to submit proposals for resources. The first “window of opportunity” was during the formal request for proposals which included deadlines for submitting requests. The second opportunity was less formal, less structured, and less direct; it occurred when additional resources were available aside from the annual budget process. The Chairperson was entrepreneurial and prepared both opportunities by meeting all the deadlines and waiting for the best time to submit requests for funding. According to the Dean of the College, meeting the deadlines “was an indication that people [were] serious about asking for resources.” This Chair confessed that waiting for the right time to submit proposals was not easy because it often was difficult to read the environment. However, the Chair reported that “when people are ready and it makes sense [to submit the proposals] I move and sometimes it’s fast.”

*The Chair was persistent with budget requests.* From the Dean who stated that this Chair “hounded” him after submitting budget requests to the faculty member who observed that this Chair “has not given up,” being persistent was identified as a factor in this Chair’s ability to secure resources. The Chair was persistent with the Dean; persistent in promoting the department with the Chancellor and Vice Chancellor; and persistent in getting department faculty

buy-in for initiatives. An informant reported that the Chairperson used this strategy to influence the Dean's allocation decisions for the department. When asked for specifics, the informant stated that the Chair "hounded" the Dean by "calling him frequently" to follow-up on requests put forth, by voluntarily submitting additional information to the Dean, or checking to see if the Dean required any clarification or supplemental materials for proposals. The informant added, "Every time they met, [the Chair] explained the needs of the department repeatedly and [made] comparisons with what other Chairs may have."

This Chairperson recognized that other Chairs in the College were advancing their proposals to the Dean as well and did not want the department's proposals "to get lost in the mix" with other proposals. To ensure that the department's proposals did not get overlooked, the Chair used every session with the Dean to discuss proposals and to identify concerns that needed to be addressed. The Chairperson did not always wait to be asked for clarification or for more information on proposals. If the Chair thought that extra information or new information not known at the time of submitting the proposal would be persuasive, that information was forwarded quickly "via email" or hand-delivered so the additional contact became another opportunity to advocate for the department and budget requests.

### **Assessment of Influence**

This section is a general assessment of this Chairperson's influence. As with the previous cases, three lines of evidence were explored: budget decision outcomes, attributional data, and behavioral data.

### ***Budget Decision Outcomes***

This Chairperson's budget priority was to secure funding to support faculty and student retention efforts in the department, to purchase integrative media technology equipment for instructional purposes, to hire staff to manage the internship program, and to pay for office and classroom renovations. The Chairperson also sought campus funds to support a new research initiative. According to the Chairperson, resources were sought to respond to growing student demands for and to improve the quality of instruction by upgrading and expanding the use of technology.

After developing and targeting influence efforts primarily toward the Dean, who was the formal decision-maker regarding resource allocations in the College, the Chairperson experienced both "wins" and "losses." The "wins" were securing resources to support retention, to purchase technology for the computer lab, to hire staff to manage the internship program, and to pay for classroom renovations. The "wins" ranged from \$10,000 to \$100,000. The Chairperson's "loss" was the denial of resources to support the proposed research initiative. The Dean and the Chairperson indicated that the initiative was not funded because the institution had "no new dollars available for expansion." As stated earlier in this case, the previous sentiment was corroborated by the former Dean of the College and the Vice Chancellor.

Although the initial request to support a new research initiative was not successful, subsequent efforts by this Chair moved the proposal into a "win" column. Because the Chair was ultimately successful at securing resources for

all initiatives, the initial lack of funding for the new research initiative was not considered a loss. According to the Chairperson, securing partial funding for proposals “allowed for something in the department to happen even if you can’t do everything you want because every little bit helps.” Some success with funding was better than no success. As a faculty informant put it, the partial funding was also seen as “getting closer to what you really want.” Building up “wins” does not necessarily mean that this Chair was influential. The victories could be due to other factors; therefore, additional lines of evidence have to be considered.

Finally, as in the previous two cases, because this Chair also received budget resources for requests that were discussed earlier in this chapter when some Chairs did not and because this Chair received technology resources when some Chairs did not, the data, as in the earlier cases, appear to support the perception that this exemplary Chair was able to influence allocation decisions more favorably than, perhaps, other Chairs.

### ***Attributional Data***

Exploring attributional data provided another means for assessing this Chairperson’s influence. This section is concerned with the extent to which campus decision-makers attributed budget decision outcomes to the relative power and influence of this Chairperson. Campus officials, including the Dean, and faculty informants knowledgeable of the Chair’s influence efforts viewed the individual as a major reason the department received additional resources for the purposes mentioned previously.

The knowledgeable actors identified reasons why they attributed favorable budget decision outcomes to the Chair's influence. Interview data from the current and former Dean and the Vice Chancellor for Academic Affairs pointed, for example, to the relevant power bases discussed earlier in this case. Because of this Chairperson's reputation for preparing compelling proposals, because of this department's centrality to the institution's planning processes, and other relevant power bases, and because of the strategies explained previously, informants viewed the individual as a key factor in the department's ability to get resources. According to the Dean:

One of the things we have to do...is address the Strategic Plan of the university when seeking resources. [This Chair] has been very effective at doing that, drawing on that to justify resources.

Faculty informants and campus officials attributed this Chairperson's influence and success, in part, to strong relationships with department faculty and the Dean. A campus official, for example, commented that "the faculty values [the Chair]," and other campus officials characterized the relationship with the Dean as "positive" and "cooperative." The Chairperson worked well with the department faculty and encouraged open dialogue in staff meetings. The individual was an engaging Chair who "gets involved in every aspect of the department; is not pushy; and just takes an interest in the faculty and students." The relationship with the Dean was described similarly. By both accounts, the Dean and the Chairperson got along well and respected each other.

### ***Behavioral Data***

Exploring behavioral data to assess this Chairperson's influence was another line of evidence used by the researcher. During the institution's tight budget situation between 1997 and 2001, securing resources was difficult. According to the former Dean and Dean, "a case had to be made" for resources. University budget data (*General Operating Budgets, 1997, 1998, 1999, 2000*) confirmed this Chair's reputation for securing campus budget resources. A routine incremental increase to support department operations (e.g., salaries, supplies, and travel) and additional resources were noted in the institution's annual budgets. In the fiscal year 1997-1998, this department received more than one million dollars. Thereafter and up to fiscal year 2001-2002, increases were received each and averaged more than three percent in increases over the four year period covered in this study.

The examination of behavioral data for this case was similar to the analysis in the first two cases. The assessment of behavioral data was included to explore this individual's power resources and how those resources were converted into tactics for securing campus budget resources. In the context of this case study, this Chair enjoyed a reputation for being influential, in part, because relevant power resources were activated *and used* to: (1) develop compelling justifications for budget initiatives; (2) develop connections with influential persons; (3) wait for the right time to submit requests; and (4) persist with budget requests.

To secure campus resources, this Chairperson engaged in specific behaviors that enabled her to influence the Dean to support her requests. Building on the above budget decision and attributional data for this case, this section presents examples of behavioral data that assess the extent to which the Chairperson's attributions and influence were warranted given the individual's power bases and strategies.

The informants for this case agreed that this Chair was a "talented" and "successful" Chair who, among other qualities and skills, built credible relationships with campus decision-makers and the department faculty, prepared strong justifications for proposals, and leveraged external resources to secure internal resources. In addition, this Chairperson reported that being a "skilled debater" aided with preparing arguments for budget requests. The data suggested that this Chair understood how to get support for proposals from both the department faculty and the Dean. In short, this Chairperson converted the relevant power resources discussed earlier in this chapter into strategies, such as *strategy of persistence*, to influence the Dean and achieve favorable allocation decisions. From a behavioral perspective, then, this Chair, much like the Chairs in the preceding cases, exercised what Allison and Zelikow (1999) refer to as political skill and will to achieve budget objectives.

## CHAPTER VIII

### CROSS-CASE ANALYSIS, CONCLUSIONS AND RECOMMENDATIONS

#### FOR FUTURE RESEARCH

They have proven to be successful Chairs. [All three departments] are certainly departments that are moving forward at this university. [All three Chairs] are really very dedicated to their departments, their College, their university, their colleagues, their students. They clearly all sing from the same hymnal that we would want to have all the singing from. *The hymnal is the adherence to the university's Strategic Plan.*

- Excerpt from Vice Chancellor for Academic Affairs (emphasis added)

The exemplary status of the Chairpersons was derived from their reputation for success at securing resources and evidence of budgetary increases. After gathering reputational data during the semi-structured interviews, the researcher conducted in-depth interviews with all three Chairs and others to understand how these exemplary Chairs influenced resource allocation decisions. This chapter draws on a cross-case analysis to answer the research questions for this study, offers a set of conclusions, and highlights recommendations for future research.

#### **Cross-Case Analysis: The Findings**

***Research Question 1: Whom did the three exemplary Chairpersons seek to influence to secure campus resources and why were these individuals the targets of influence?***

To secure campus financial resources for their departments, all three Chairpersons targeted various individuals at multiple levels of the campus system. Although the Chairpersons did not always target the same individuals, an examination of the three individual cases revealed that, in general, each

Chairperson targeted actors who may be classified as either campus decision-makers (primary authorities) or potential supporters (proximate players). More specifically, the campus decision-makers targeted were the Dean of the College (targeted by all three Chairs), the University Chancellor (targeted by the sociology-anthropology and communications Chairs), and the Vice Chancellor for Academic Affairs (targeted by the sociology-anthropology and communications Chairs). The potential supporters targeted were departmental faculty members (targeted by all three Chairs), other Chairpersons (targeted by sociology-anthropology and communications Chairs), a department budget committee (targeted by biology Chair), an ally on a high-profile university committee (targeted by communications Chair), members of the College Council (targeted by communications Chair), and graduate students (targeted by biology Chairperson).

The individuals above were targeted because the Chairpersons believed that their support improved their chances of securing resources. While not all the individuals targeted had decision-making authority over campus allocation decisions, indeed most had no authority, having the support of certain individuals and groups, such as department faculty members, was helpful in the pursuit of financial resources.

The most important target was the Dean of the College. The Dean was the primary target of influence across the three cases because he had the authority to allocate resources to Chairpersons and the authority to decide which budget requests in the College would be supported. The Dean also was a target

of influence because he was the College's representative in the broader budget process for the campus. He was responsible for explaining any budget parameters and procedures for submitting requests, reviewing all budget requests, and soliciting feedback from his confidants and advisors on programmatic and budgetary matters. An illustrative but representative comment frequently made during interviews with the three Chairpersons and faculty informants was that the Dean "has the money and the purse strings" for the College. Consequently, the Chairpersons' strategies were focused primarily on influencing the Dean's allocative decisions and preparing the Dean to defend their requests at higher levels of the campus.

The sociology-anthropology and communications Chairpersons met with and targeted the University Chancellor (UC) and Vice Chancellor for Academic Affairs (VCAA). It seems that the two Chairs recognized the inherent authority and potential influence of the UC and VCAA over the Dean's allocative decision-making. The UC and VCAA were potentially influential over the Dean because they were in a position to accept or reject the Dean's request for resources to support budget proposals submitted by the Chairs. As one Chairperson observed, the VCAA "had more money than the Dean." Although informants in the budget office and senior campus administrators agreed that the "Chancellor [did] not get involved with budget decisions at the department level," two Chairs in this study viewed the Chancellor as an important target of influence because "she approved the whole budget" before it went to the legislature.

Further, the two Chairs met with and targeted the UC and VCAA because they wanted the senior officers to have some familiarity with their budget initiatives should the Dean discuss their initiatives with them. The meetings were part of a larger effort to create and foster positive images of the Chairs' departments in hopes that the positive images would improve their chances of securing resources from the Dean. Anyone who wanted to spend time with the UC could do so very easily because she scheduled time for informal exchanges with those who wanted to meet with her. Two Chairpersons in this study took advantage of the informal exchanges and used other campus occasions (e.g., receptions and meetings) with the UC and VCAA to promote their departments' accomplishments, such as their work on the campus, their research activities, and, in one instance, the department's community outreach efforts which were considered important by the UC and VCAA and aligned with the institution's broader goals and priorities.

Meeting with the UC or VCAA did not create problems between the Dean and the Chairs since the Dean reported that he did not view the meetings as circumventing his authority. However, the Chairs' access to potentially influential decision-makers, such as the Chancellor and VCAA, did not go unnoticed by the Dean. Although the Chancellor or VCAA intervened with the Dean on behalf of Chairs' budget requests, the Dean indicated that he considered the sociology- anthropology and the communications Chairs' access to and relationship with the Chancellor and VCAA as he made his allocation decisions. In contrast, the biology Chairperson did not target the UC or VCAA because the individual

viewed such efforts as “a waste of time” since “the Dean had the money.” The Chair’s approach was to limit influence efforts to the immediate supervisor rather than to pursue the Dean’s supervisor.

As part of a broader strategy for influencing the Dean, all three Chairs targeted potential allies (e.g., faculty, other Chairs, graduate students, etc.) to get support for their budget proposals. Because resources were limited, the Dean considered the extent to which the Chairpersons had faculty support for proposals, consulted with students in the department, or developed partnerships, such as joint academic appointments, with other departments. Of the different potential allies targeted, faculty members emerged as a common target of influence across the individual cases. At a very basic level, faculty involvement in resource allocation decisions is rooted in principles of shared governance which argue for “faculty participation in the preparation of the total institutional budget” (Caruthers & Orwig, 1979, p. 69). Faculty participation in budgeting begins at the department level, which is “the smallest applicable unit of faculty government” (Caruthers & Orwig, 1979, p. 69). But these root justifications did not surface in this study. The Chairs involved faculty for more instrumental reasons, such as assisting with preparing proposals or with building a case for requests.

The Chairs valued their faculty members’ expertise and used their expertise to develop budget requests and strategies. Faculty members were not a target of influence because they possessed decision-making authority over budget matters or had a right to be involved; instead, they were a target of influence because their expertise was useful and their support of their Chairs’

budget initiatives was a factor in the Dean's decision-making. If the Chairs wanted to increase their chances of securing resources for their initiatives, they needed to demonstrate faculty support. So, as the Chairs developed their budget priorities, they attempted to influence their faculty to support their priorities in a broader effort to influence the Dean to approve requests when they were submitted.

Although other department Chairpersons were not a direct target of influence, in all three cases the exemplary Chairpersons reached out to their peers for advice on their budget ideas and, at times, for alliances to support their initiatives. All three Chairs sought some counsel from their peers from time to time. However, the sociology-anthropology and communications Chairs consulted with other department Chairpersons on a regular basis to get advice from peers whom they believed were successful at securing campus or external resources for their departments. The Chairs' purposes for consulting with their peers (i.e., other department Chairs) differed. The biology and sociology-anthropology Chairpersons viewed consultations with other Chairpersons as a way to build cooperation and to establish alignments to secure joint faculty appointments. The sociology-anthropology and communications Chairpersons indicated that, in principle, they may have "better chances of being funded if [they worked] together." The communications Chairperson consulted with other department Chairs to solicit their thoughts on what was referred to as "concept issues" for interdisciplinary proposals. To secure sound advice from respected people and to tap the knowledge and experience of other Chairpersons, the

individual believed it was important to bounce ideas off colleagues as requests and strategies were prepared.

In contrast, the biology Chairperson's reason for not consulting with peers in the College more frequently on budget proposal matters was similar to the individual's reason for not targeting the Chancellor and VCAA. The Chair went straight to the Dean to "avoid wasting time." This Chair's limited targeting of individuals other than the Dean suggests that the campus' budget process was viewed as an insular, fairly straight forward process that did not require trying to influence too many people beyond the Dean's level. Yet because of the Chair's reputed exemplary status, the individual's view of the budget process should not be discounted. Like the other Chairs in this study, this Chair was successful in bids for a favorable share of the institution's resources.

In sum, while the Chairs did not target the same types of actors in every instance, they targeted common actors. This pattern suggests that the Dean and departmental faculty are key actors that Chairs consider as they develop and advance their budget proposals. Since two Chairs broadened their targets of influence to include other institutional authorities and students, this study suggests that these actors also may warrant consideration as Chairs think through their budget proposals and influence strategies. Further, because the Chairs did not target the same actors in every instance, it is not possible to conclude which Chairpersons were "correct" in their targeting or lack of targeting certain actors. But, in one respect, all three Chairs may be "correct" because the literature suggests that institutional authority figures (i.e., UC and VCAA) and

figures with less or no budget authority, such as faculty and students, can be potentially influential actors and, therefore, should be considered as targets of influence.

The patterns in the previous findings are consistent with the broader literature. Caruthers and Orwig (1979), Meisinger (1994), and Seagren, Creswell and Wheeler (1993) all discuss the importance of linking with various participants who may be able to influence outcomes of the budget process in higher education settings. Caruthers and Orwig (1979), for example, point out that “the more visible players are faculty, department Chairpersons, Deans, vice presidents, [and] chief executive officers...” (p. 61). These actors were all targeted, either collectively or individually, by the Chairs. While the broader literature documents the importance of targeting the Dean (Meisinger, 1994; Tucker, 1992) and those who have the authority to make binding budget decisions (Caruthers & Orwig, 1979; Hyatt, Shulman, & Santiago, 1984; Meisinger, 1994), the broader literature also describes faculty members as important “actors” and “players” in the budget process (Caruthers & Orwig, 1979, pp. 60-61):

The most practical role for faculty and students is to help establish program and activity priorities and recommend general levels of expenditure. Faculty participation is appropriate and useful in evaluating proposals from Deans or program heads for the allocation of faculty positions. (p. 55)

Similarly, in a study conducted by Hyatt, Shulman and Santiago (1984) at five public institutions, faculty members were active participants in a reallocation process. They observe that:

To be successful, the reallocation process should have the active involvement of faculty...Most institutions visited found that level and quality of communication among all staff improved during the reallocation process. Once the need and rationale for reallocation were explained, faculty...cooperated to make the process work. (pp. 5-6)

Since faculty, students, and other potential supporters can be crucial resources that academic Chairpersons may use to develop credible budget proposals, this case study underscores that, when trying to influence the formal authorities, Chairs may work with faculty, and perhaps other potential allies, to present a unified stance and to convey broad department support for the Chairs' budget proposals.

***Research Question 2: What types of resources did the three exemplary Chairpersons seek to secure from the campus and why were these resources sought?***

Although evidence from the individual cases revealed that the Chairs individually sought resources to acquire additional personnel, to upgrade technology, to renovate classrooms and labs, to support faculty and student retention, and to create a research center, these varied requests suggest that the three Chairs sought four *common* types of resources<sup>12</sup>: (1) *personnel* (faculty lines, non-faculty staff, and graduate assistants), (2) *equipment* (technology equipment), (3) *general operational expenditures* (for the creation of a research center and for retention activities for students and faculty), and (4) *capital resources* (for renovating classroom and lab facilities).

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<sup>12</sup> The types of resources in parentheses are the actual resources the Chairpersons sought.

The types of resources sought by the Chairs in this study are consistent with the broader literature on budgeting in higher education (Layzell & Lyddon, 1990; Meisinger, 1994; Waggaman, 1991) and academic departments (Meisinger, 1994; Tucker, 1992; Turrisi, 1978). Several authors (Enneking, 2003; Hyatt, Shulman, & Santiago, 1984; Tucker, 1992; Meisinger, 1994) identify similar types of resources that Chairs may seek as part of their budget requests. The types of resources in the study are also consistent with the general expenditures of academic institutions (Meisinger, 1994; Tucker, 1992). As Tucker (1992) explains, “Resources may be allocated to institutions *and* departments in expenditure categories” (p. 347, emphasis added). So, the Chairs in this study sought the types of resources that were consistent with the language and terms of the institutions’ expenditure categories. Such behavior seems to be common practice since institutional authorities may allocate and track funds by these categories. The categories also were consistent with the broad expenditure categories used by the National Center for Education Statistics (NCES) for accounting requirements.

A second finding for this research question is that the Chairs in the study, like other academic Chairs in higher education, advanced budget proposals for specified reasons. Individually, the Chairs’ justifications for their budget requests included wanting to improve their departments’ capacity to engage in scholarly research, to offer more courses to students, to improve their technological infrastructure, and to position themselves to secure external funding. While variations across the three individual cases surfaced, in general the data from

this study revealed that the Chairpersons sought the aforementioned budgetary resources for a common set of broad justifications: (1) to achieve academic excellence; (2) to become more student-focused; and (3) to position their departments to receive additional internal and some external resources.

Upon deeper analysis of the three common broad justifications, an even broader justification emerged. That is, ultimately, all three Chairs sought resources to better align themselves with the institution's Strategic Plan. According to the three Chairs, the Dean, and other informants in this study, the alignment of department plans and activities with the overall university Strategic Plan increases a department's ability to secure financial resources from campus funds. The university's Strategic Plan contained three major goals: academic excellence, student-centeredness, and community engagement (Name Omitted, personal communication, December 16, 2002). The findings in this study regarding what resources the Chairs sought were consistent with two of the three broad goals of the institution's Strategic Plan (academic excellence and student-centeredness) and the ever-present pressure at any institution to seek external funding.

The broad justifications the Chairs used to make a case for budgetary resources are also consistent with those justifications referenced in the literature on budgeting in higher education (Caruthers & Orwig, 1979; Layzell & Lyddon, 1990; Meisinger, 1994; Tucker, 1992). Tucker (1992) and Bowen (1980) recommend that, when meeting with the Dean to request resources, Chairs should emphasize that resources are needed to pursue and to achieve

department goals which, in this study, are academic excellence, student-centeredness, the capacity to pursue additional and external resources, and, more broadly, alignment with the institution's Strategic Plan. All three Chairs in this study justified their requests for the different types of resources through arguments that were based on an analysis of the state and condition of their departments at the time in tandem with an analysis of institutional priorities and parameters. Their justifications were aligned with the institution's broader priorities and programmatic plans for their departments and with the institution's financial circumstances.

The importance of aligning budget requests with institutional priorities is documented in the literature. In a case study, Chaffee (1991) found that departments were likely to get funding if departmental goals were consistent with academic priorities established by the provost. In her study, the provost established four criteria for establishing a program. The criteria were "academic importance, student interest, the possibility of excellence in the program, and funding" (p. 257). Chaffee (1991) explained that the four criteria were used to not only eliminate a department, but also were used to guide allocation decisions. In other words, the criteria were "explicitly applied...to annual budget decisions..." (p. 257). Similarly, other research suggests that securing budgetary resources is contingent upon the extent to which a department's instructional activities and academic purposes match the central mission and purposes of the institution (Hackman, 1991) or the extent to which budget requests are linked to institutional priorities (Birdsall, 1995; Fant, 2003; Meisinger, 1994; Tucker, 1992).

***Research Question 3: What sources of power and what strategies did the three exemplary Chairpersons use to influence campus decision-makers to support their budget requests and why were those strategies chosen?***

According to Tucker (1992), “To be an effective Chairperson, one must start with some power and authority” (p. 44). The individual case studies revealed that all three Chairs possessed multiple sources of power. The sources of power included, for example, (1) a reputation for securing resources in the past; (2) strong relations with community networks and department faculty; (3) effective interpersonal skills and personal qualities; (4) a reputation for writing and explaining persuasive budget proposals; (5) a knowledge of institutional priorities, faculty preferences, and budgetary requirements for the department; and (6) a high status designation.

A deeper analysis of the individual power bases documented in the three cases suggests some commonality across the three cases. A cross-case analysis revealed that the Chairpersons relied heavily on power sources that can be categorized into six common and primary sources of power: (1) positional power; (2) personal power; (3) reputational power; (4) knowledge power; (5) relational power; and (6) relevant skills. Additionally, one particular Chair, the communications Chair, possessed a unique source of power: status power. A brief explanation of the sources of power and their relationship to the literature are presented below.

*Positional or office power.* All three Chairs relied on their positional assets. As a source of power, positional assets refer to power that is inherent in the position of the Chair itself. Because the individuals held the Chair’s position, they

were automatically in a position to meet with the Dean to discuss budget matters; to take full advantage of meetings with the University Chancellor and Vice Chancellor for Academic Affairs to promote their departments; to identify key faculty to assist with budget proposals; and to conduct meetings with students, other Chairs, and allies to get feedback on their potential proposals. All three Chairs had office power (Bolman & Deal, 1991; Tucker, 1992) by virtue of their position.

Positional assets, as a source of power, are consistent with the literature that examines the academic life and work of Chairpersons (Gmelch & Miskin, 1993, 1995; Lucas, 1989, 1990, 1994, 2000; Seagren, Creswell, & Wheeler, 1993). Specifically, the literature asserts that Chairpersons do, in fact, possess position or office power (Seagren, Creswell, & Wheeler, 1993; Tucker, 1992). As earlier noted, position or office power is power that is inherent in the office of the Chair itself (Seagren, Creswell, & Wheeler, 1993) or “it comes from having an appropriate title” (Tucker, 1992, p. 45). All three Chairs in this study had positional assets (i.e., the office and title) that were embodied in their posts as department heads. Such power gave the Chairs the responsibility for budget preparation, explanation, and reconciliation. Their positions also enabled them to have access to the Dean to make their case for requests, to have, if necessary, frequent access to campus leaders such as the Chancellor and Vice Chancellor, and to have opportunities to serve on important campus committees that positioned them further to compete for resources.

*Personal power.* All three Chairs relied on their personal power. This source of power is quite broad but it also was quite relevant to the Chairs' ability to secure budget resources for their departments. The Chairs in this study were considered successful at securing resources because of what informants perceived to be personal traits. Informants referred to the Chairs as "honest," "straightforward," "mature," "knowledgeable," "capable," "aggressive," and "persuasive." The Chairs were perceived to be effective at explaining their budget requests and maintaining cooperative relationships with the Dean. Further, the Dean stated that he believed that all three Chairs enjoyed positive relations with their department faculty and that those relationships and the mutual respect between the Chairs and their faculty factored into his allocation decisions.

So, although personal power is a very broad category, it encompasses the personal characteristics and qualities found in this study and attributed to the Chairs' success by the Dean and other informants. As a source of power, personal power is consistent with the literature that describes and explains the importance of personal characteristics (Pfeffer, 1981) and the general power sources possessed by academic Chairpersons (Seagren, Creswell, & Wheeler, 1993; Tucker, 1992). As Tucker (1992) explains:

Personal power derives from peers' respect for and commitment to the Chairperson. It is formally granted to the Chairperson by the faculty members and depends on how they perceive him or her as an individual and professional. A Chairperson with a great amount of personal power is usually perceived by the faculty as possessing some of the following characteristics: fairness and evenhandedness in dealing with people; good interpersonal skills;...expertise in some area of knowledge; *influence with the Dean*;...*ability to obtain resources for the*

*department;...knowledge about how the college operates; privy to the aspirations, plans, and hidden agendas of the institution's decision makers; and ability to manage the department efficiently. (p. 46, emphasis added)*

*Reputational power.* All three Chairs enjoyed a reputation for developing clear, organized, and compelling proposals. The Dean and faculty informants indicated that they believed that the Chairs' success at securing resources was attributed to the fact that they had a history of garnering campus resources because of their ability to write and to defend strong proposals. The Dean and faculty informants for the Chairs all agreed that Chairpersons were good at putting together sound, convincing proposals that were relatively easy to understand. According to the Chairs' self-report data and corroborating statements from the Dean, some faculty, and other informants, the three Chairs used campus planning documents and historical budget materials<sup>13</sup> to make a case for their budget initiatives. The official institutional data documents included information on personnel trends, enrollment data, department productivity, course load data, and other information that they could use to build a case for budget requests.

Using reputation as an indicator of organizational power is noted in the literature by several scholars (Perrow, 1970; Pfeffer, 1981; Pfeffer & Salancik, 1974) who examined the perceived power of academic departments in general and Chairpersons in particular across different institutions, none of which were included in this study. Reputational power has been associated with a Chair's

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<sup>13</sup> To protect the identity of the institution, the specific names of some documents are omitted.

credibility in terms of preparing budgets. Several authors (Birdsall, 1995; Fant & Stump, 2003; Tucker, 1992) link the importance of developing convincing budget proposals with an individual's credibility. To some extent, then, the literature suggests that reputational power is akin to *a reputation for being credible*. In this case study, the Chairs' reputation for having a history of developing strong and compelling budget proposals is consistent with Tucker's (1992) view that:

The chairperson must maintain credibility with the dean. Overstatements and inaccuracies in budget requests may rapidly erode the chairperson's credibility. Annual budget requests that contain well-developed, accurate documentation and that reinforce department objectives and priorities will have a cumulative beneficial effect over the years in shaping the dean's perception of the department. (p. 361)

*Knowledge power.* This source of power also is related to personal power because the Chairs' power and influence were, in part, attributed to their knowledge of institutional priorities, the academic and hiring preferences of their faculty, their departmental strengths, and the potential revenue streams in the institution. Evidence from the individual cases suggests that the Chairs were savvy players in the budget process, in part, because of the various forms of knowledge they possessed. The Chairs' knowledge of campus priorities; their knowledge about the initiatives that may or may not get funded based on discussions with the Dean, other Chairs, confidants in the institution, or colleagues on high-profile campus committees; and their knowledge about additional potential sources of revenue on the campus (i.e., special technology funds) contributed to the three Chairs' influence and success. All three Chairs were knowledgeable of faculty members' preferences for budget priorities that included, for example, new personnel and upgraded or new technology. The

Chairs reported that such knowledge was gleaned through regular faculty meetings, individual meetings with faculty, or at faculty retreats where budget initiatives were discussed. In the case of the biology Chair, he gleaned knowledge of faculty members' preferences, for example, through meetings with his department's budget committee.

Knowledge, as a source of power, is consistent with the broad literature on power in organizations (Baldwin, 1989; Barnes, 1993; French & Raven, 1959; Morgan, 1986). Knowledge power in this study also may be categorized as a type of expert power typically found in organizations in general (French & Raven, 1959) and higher education settings in particular (Birnbaum, 1988; Seagren, Creswell, & Wheeler, 1993). The Dean allowed his allocative decisions to be influenced by the Chairs because of their positional assets, their personal power, their reputation for developing solid proposals in the past, their knowledge of institutional priorities and revenue streams, and their overall competence as Chairs. In this study, then, knowledge power is wholly consistent with the notion that power can be "exercised when one person accepts influence from another because of a belief that the other person has some special knowledge or competence in a specific area" (Birnbaum, 1988, p. 13).

*Relational power.* All three Chairs possessed relational power because they had credible connections and relationships with key groups of people. All three Chairs had credible, positive, and cooperative relations with the Dean and other experienced Chairs. The sociology-anthropology and communications

Chairs developed credible relations and connections with the Chancellor and Vice Chancellor by meeting with them to foster positive images of their departments.

Two of three Chairs maintained relationships with key external constituencies. The sociology-anthropology Chairperson reported that having a strong relationship with minority-based communities, such as Hispanic, African-American, and Native American organizations. According to the sociology-anthropology Chairperson, the department's relationship with minority organizations was particularly useful as diverse faculty members were recruited to the department. The communications Chairperson had connections with campus alumni/ae from the department. Department alumni/ae donated resources which enabled the Chair to demonstrate alumni support and to take the additional resources to the bargaining table when negotiating budget requests with the Dean.

All three Chairs' positive relationships with their department faculty contributed to their relational power and those strong relationships served as an important determinant of their success at securing campus resources. Although one Chairperson experienced what a faculty informant referred to as non-threatening resistance to the Chair's priorities, all three Chairs enjoyed faculty support. Interview data from the former Dean and Dean of the College at the time of this study indicated that they took into account the extent to which faculty supported proposals coming from the Chairs. Perceptions of the Chairs' positive relations with faculty and perceptions of the degree and intensity of faculty

endorsement sometimes made the difference in deciding which proposals were funded and which proposals were dead on arrival. Having a supportive faculty allowed the Chairs to tap their expertise on proposals and to portray their departments as competent and cohesive units that were in a position to administer resources effectively.

This source of power is consistent with the broader literature in higher education and non-higher education settings. The notion of building relationships and support for one's priorities is documented by Seagren, Creswell and Wheeler (1993) who identify internal and external relationship targets. Internal relationship targets include opinion leaders and groups, committee members, councils, senior executives and advisers. Although Seagren, Creswell and Wheeler (1993) do not identify minority groups or alumni as external relationship targets, their suggestions to target legislators and professional associations, for example, are conceptually consistent with relational power. Hackman (1991), however, does identify "alumni support" (p. 270) as an external relationship that may contribute to an organizational unit's power base.

The concept of relational power is also explored in non-higher education literature. Hesselbein, Goldsmith and Beckhard (1996), for example, discuss the concept of power and assert that leaders' power "lies in their ability to foster relationships, both between themselves and others and among others" (p. 117). Finally, the literature is also instructive on how Chairs may develop such relationships whether internal or external:

The chair needs to focus energy on the individuals or groups involved using means such as luncheons, meetings, telephone calls, office visits,

or social occasions as media through which ideas are sold, bargains struck, rewards promised, and supported solicited—all in terms of the opinions and ideas of the target to be networked. (Seagren, Creswell, & Wheeler, 1993, p. 41).

*Relevant skills.* All three Chairs possessed relevant skills that contributed to their success at securing campus resources from the Dean. The Chairs had a reputation for being skillful in the development and articulation of their budget requests and being skillful at creating a positive climate so their requests would receive a fair hearing. Several relevant skills surfaced in this study and were linked to the Chairs' ability to influence the Dean and his allocative decisions. The Chairs used cognitive skills to analyze and use institutional data to help them build a strong case for their proposals; they used their written and oral communication skills to prepare and to explain their requests and to develop sound arguments for their priorities; they used their interpersonal skills to build support for their proposals by engaging their department faculty; and, in one instance, a Chair used lobbying skills to persuade another department to develop joint academic appointments.

This source of power is prominent, either conceptually or empirically, in the literature that examines the roles, responsibilities, and character traits of academic department Chairpersons (Gmelch & Miskin, 1993, 1995; Lucas, 1989, 1990, 1994, 2000; Tucker, 1992). More relevant to this study, however, is the following statement:

Situations and individual differences among chairs prevent the development of a comprehensive inventory of skills. Chairs cannot, however, avoid being political strategists, and they must be equipped with the skills that enable them to execute their strategies. Although chairs may bring to bear a vast array of skills, they should seriously explore four

basic areas: (1) impression management, (2) agenda setting, (3) networking and support gathering; and (4) negotiation and bargaining. These areas are not mutually exclusive; in fact, they overlap considerably, and impression management in particular pervades all areas. (Seagren, Creswell, & Wheeler, 1993, p. 39)

To varying degrees, the Chairs in this study brought to bear all four skill-sets mentioned in the statement. The Chairs used impression management skills by cultivating positive images of their department and promoting their department's accomplishments and contributions to the mission of the College and institution. Their efforts resembled what Kingdon (2003) characterizes as attempts to "soften up the system" (p. 127) and pave the way for proposals to be *perceived* favorably. Agenda setting skills were used when the Chairs met with their faculty to address budget priorities and strategies. Networking and support gathering skills were used to forge alignments with their peers on joint faculty appointments and to communicate their ideas and priorities in clear and compelling terms to the Dean. Negotiation and bargaining skills were used to leverage and negotiate resources from the Dean. In short, the Chairs were equipped with a variety of useful skills that enabled them to develop and to execute their strategies effectively.

*Status power.* This source of power was unique to the communications Chair. It stands out as a critical source of power because almost all informants referenced the department's special designation status as a main determinant of the Chair's ability to leverage campus resources and influence the Dean's allocation decisions. All three Chairs, as well as other Chairs in the College, sought the status but the communications department received the designation.

The designation is a symbolic indication that the department demonstrated in compelling terms that it is important to the institution and that its instructional activities are clearly aligned with the College's and institution's overall priorities.

The literature suggests that status symbols in organizational settings can be quite powerful (Birnbaum, 1988; Pfeffer, 1981; Tucker, 1992). Pfeffer (1981), for example, states that "the provision of social actors with symbols of power both ratifies their power position within the organization and provides them with power because of the symbols" (p. 54). The communication department's status as a special designated department is not only a symbol of power for the department and its Chair, but the status is also, perhaps, symbolic of the Chair's power and ability to influence broader decision-making in the institution. More relevant to this study, however, is Hackman's (1991) research on power and centrality in the allocation of resources in colleges and universities is consistent with Pfeffer's (1981) observations. Hackman writes that "institutional power is the unit's relative influence within the institution, independent of its environmental power" (p. 270). Several examples of how institutional power is accumulated are listed, but the broader example of institutional power was a unit's centrality to the institution's mission and, as a result, its status in the system. Hackman (1991) found that "a unit's centrality critically affects the internal resources allocated to it by the institution" and that "a unit's institutional power also affects the internal resources it is allocated" (p. 273).

The identification of budget strategies was a major purpose of this case study research, in part, because "Chairs need to formulate and execute

strategies to achieve their goals, using the tools available to them—their authority and their capacity to exert influence in the institution and in its environment” (Seagren, Creswell, & Wheeler, p. 37). In this study, the Chairs converted their sources of power into strategies to secure budgetary resources. An analysis of the Chairs’ individual strategies revealed that there were similarities, or common themes, across the three cases. The following common strategies were found across the three cases and will be explained below: (1) cultivating a positive image; (2) cultivating key relationships; (3) aligning budget proposals with priorities; and (4) persisting.

*The Chairs cultivated a positive image of their departments.* In different ways, all three Chairs cultivated positive images of their departments through ongoing communication with the Dean. Two of the three Chairs extended their ongoing communication to the University Chancellor and the Vice Chancellor for Academic Affairs. The Chairs promoted their departments in conferences with the Dean and in print materials (e.g., newsletters and planning documents). Two of the three Chairs took advantage of open meetings with the Chancellor to promote their departments. As the Chairs promoted their departments, they emphasized common aspects of their departments. That is, the Chairs shared with the Dean and other senior administrators their accomplishments; their successes with serving students; their relationships with external groups valued by the institution, such as minority groups and alumni/ae; and how their instructional activities were aligned with institutional priorities.

This strategy is not fully explored in the literature. The literature, however does, allude to the cultivation of positive images as part of broader discussions of the responsibilities of Chairs (Tucker, 1992). As part of a long list of responsibilities of Chairpersons, Tucker (1992) notes that Chairs' roles are to "serve as an advocate for the department" and to "improve and maintain the department's image and reputation" (pp. 28-29). The roles of Chairs in budgeting are important, but connections are not made between those roles and the task of securing financial resources.

More relevant to this case study are findings from Birdsall (1995) and Wildavsky (1979). Birdsall's work discusses the importance of on-going communication with key administrators and documents "the importance of keeping university officials informed about programs within the college or support unit" (p. 429). Birdsall (1995) adds that "targeted players" included the provost and other senior campus administrators. But the following quote from an interview speaks directly to this strategy:

If I don't get their ear in the vice president's office, I've lost. I hate to call it lobbying, but in a sense that's what's happening. I take people to lunch, I talk to them, I tell them what it's about, I send them extra information, I keep them posted, I send them newsletters, and whatever else it takes to keep them aware of what's happening here.... (Birdsall, 1995, p. 429)

Wildavsky's (1979) guidance to unit heads is generally consistent with this strategy. He asserts that "hearings are an excellent opportunity to paint a self-portrait that not only reflects credit upon [the unit] but also helps create a favorable mood" (p. 87). In this case study, conferences with the Dean and meetings with the University Chancellor and Vice Chancellor for Academic

Affairs may be viewed as “hearings” that gave all three Chairs an opportunity to paint a positive “portrait” of their departments. Wildavsky (1979) also explains the importance of advertising one’s unit to secure resources. For example, he “stress[es] the need for advertising and salesmanship to garner the necessary support” (p. 120) for one’s initiatives.

*The Chairs cultivated key relationships.* Earlier in this section, the importance of key relationships was discussed as part of the Chairs’ relational power. A finding in this study is that key relationships are an important source of power so developing those relationships is a critical, foundational strategy for department Chairs who seek to influence resource allocation decisions. As earlier noted, the Chairs in this study developed and maintained cooperative relationships with the Dean. Two Chairs in particular maintained relations with the Chancellor’s and Vice Chancellor’s offices. The same two Chairs cultivated relationships with external constituents, such as minority groups and alumni.

Building relationships with a variety of players inside and outside the institution is noted in the literature on academic Chairpersons (Allen, 2003; Gmelch & Miskin, 1993, 1995; Lucas, 1989, 1990, 1994, 2000; Seagren, Creswell, & Wheeler, 1993). However, the literature falls short on linking the cultivation of relationships with securing budgetary resources. Allen (2003), however, makes a link between key relationships and budget management. His words are instructive. He says, “It seems to me that a chair’s success in budget management hinges on three relationships: with your secretary or administrative assistant, with the dean and the dean’s budgetary

office, and with the institution's budget office staff" (p. 1). Allen's comments are partially consistent with findings in this study which include, for example, the importance of cooperative relationships with the Dean. But Allen's (2003) remarks are related to managing the budget and not securing the budget resources. This case study suggests that these relationships are important in securing resources as well as in managing budgets.

Wildavsky's (1979) advice may be more on point than the literature in higher education. In his discussion of budget strategies developed by government department heads, he clearly encourages unit heads to "make friends" (p. 79). According to Wildavsky, "Parallel in importance to the need for maintaining integrity is developing close personal relationships with members of the agency's appropriations subcommittee, particularly the Chairman" (p. 79). In this study, the Chairs developed close personal relationships with those responsible for "appropriations": the Dean and in two instances, the Chancellor and Vice Chancellor for Academic Affairs.

*The Chairs aligned their budget proposals with institutional priorities and fiscal circumstances.* A review of the Chairs' planning documents for their departments indicated that their budget requests were aligned with the institution's priorities which were academic excellence, student-centeredness, and community engagement. The Dean and faculty informants stated that the Chairs in this study were successful at securing resources for their department because their proposals were consistent with the institution's Strategic Plan. The Dean added that he made allocation decisions based on the extent to which

Chairs in the College aligned their requests with the Strategic Plan for the campus.

The researcher acknowledges that the Chairs' proposals were fairly modest and they did not create controversies that jeopardized the requests. The proposals reflected the Chairs' effort to build on small wins over time which may, in fact, have been their most dominant and enduring strategy. Such an approach is prevalent in the broader literature regarding the incremental nature of the budget process (Caruthers & Orwig, 1979; Meisinger, 1994; Wildavsky, 1979, 1988).

This alignment strategy is consistent with and discussed in the higher education literature. Specifically, this strategy is linked to discussions of resource negotiation strategies (Hackman, 1991), to discussions of rationality in budgeting processes (Chaffee, 1991), and to broad discussions of preparing budget requests (Enneking, 2003; Meisinger, 1994; Tucker, 1992). Aligning budget requests with institutional goals is regarded as a top priority if one wishes to secure institutional resources. Enneking (2003) considers this strategy a major responsibility of a Chair. "The Chair," he writes, "is a member of the administration who must ensure that goals and objectives of the department support and further the goals and objectives of the institution" (p. 1). Similarly, Hackman's (1991) research on power and centrality in the allocation of resources in colleges and universities revealed that unit heads, some of whom were not Chairpersons, developed eight resource negotiation strategies. Of those eight strategies, three included the importance of focusing on the needs of

the total institution; (2) the needs of the division; and (3) the needs of the unit itself. Both Hackman (1991) and Chaffee (1991) found that units with the greatest centrality to the institution's mission benefited from increased allocations. Tucker (1992, p. 359) provides a crisp summary of this notion:

The department chairperson should be able to associate his or her budget request with department, college, and institutional goals and identify those strengths that specifically fit in with the institution's priorities.

*The Chairs persisted.* The Chairs in this study had a reputation for not giving up on their budget requests. They made sure the Dean had all the information needed to make a potentially favorable allocation decision by responding to requests for additional information in a timely manner. The Chairs developed substantive proposals. They met deadlines and monitored their proposals. In short, the Chairs stuck with the resource allocation processes, navigated through the different phases of the resource allocation processes, and achieved positive outcomes when the Chairs made their requests, or in one case, when the Chair reiterated the request over time until it was ultimately funded.

Persistence is an important strategy for achieving most any objective. Indeed, "effective leadership requires perseverance" (Hesselbein, Goldsmith, & Beckhard, 1996, p. 300). Persistence prevails is an adage of politics and a "given" in writings that demonstrate academic department Chairs must be committed to their work and exercise persistence if they hope to be successful (Lucas, 1989, 1990, 1994, 2000; Seagren, Creswell, & Wheeler, 1993; Tucker, 1992).

Although the broader literature in higher education did not provide explicit linkages between persistence and securing resources, the Chairs' behavior in this study was consistent with the general behavior of university presidents. Referring to presidents, Birnbaum (1988) writes that "persisting requires focused attention and follow-up on a limited agenda" (p. 169). To be sure, the Chairs in this study focused their attention on getting as many budgetary resources as possible for their priorities. The Chairs also had a limited agenda. The evidence indicated that they sought resources for a relatively small number of priorities, such as hiring personnel, upgrading technology, and renovating classrooms.

***Research Question 4: What were the outcomes of the three exemplary Chairpersons' influence efforts?***

The Chairs were successful at securing budgetary resources to support their initiatives and operations in their departments. In one instance, however, budgetary outcomes were not immediately positive. The communications Chair sought resources for a new research center that was not funded initially given the limited availability of financial resources. But, as noted earlier in this study, the center has since been funded.

The Chairs secured financial "wins" for their requests in an environment where resources were limited. Collectively, the Chairs received resources to hire new faculty, to purchase and upgrade technology equipment, to hire additional graduate assistants to work with faculty, to hire staff to manage an internship program, and to renovate classrooms and laboratories. Because the Chairs argued in their budget proposals that the above requests were necessary to ensure that departments could realize campus priorities, an important outcome is

that the departments may now have more capacity to pursue their goals and the institution's priorities.

Given the purpose and parameters of this study's analytic framework, budgetary outcomes beyond "wins," "losses," and "compromises" that were related to the specific proposals that the Chairs advanced to the Dean were not explored. Because analysis was focused more broadly on "wins," "losses," and "compromises" as budgetary outcomes and initial evidence of influence, these outcome measurements reveal that all three Chairs were influential actors who scored initial and consequential "wins." In the case of the communications Chair, she enjoyed initial *and* eventual wins with budget requests put forth. As earlier noted in the previous chapter, because the Chairs in this study received budget resources when some Chairs did not and because these Chairs received technology resources when some Chairs did not, the data appear to support the perception that these exemplar Chairs were able to influence allocation decisions more favorably than other Chairs.

***Research Question 5: What factors may account for the choice of strategies the three exemplary Chairpersons used to secure campus resources and their impact on decision outcomes?***

Evidence from this case study revealed that four broad factors may account for the Chairs' choice of strategies for securing campus resources and the decision by the College Dean to fund their requests: (1) the availability of revenue for the Chairs to pursue; (2) the "rules of the game" that govern the budget process and behaviors of those actors involved with the process; (3) the locus of power and authority over resource allocation issues; and (4) the Chairs'

relevant power resources. An explanation of each factor is presented below and is followed by a discussion of how the findings are related to the broader literature.

*The availability of revenue streams.* An important factor that shaped the Chairs' choice of strategies was the availability of revenue. Because of declining state appropriations, resources were tight in the institution. Campus officials explained that the institution had "no new money" to expand programs. It only had funds for modest, incremental adjustments in operating budgets. In effect, it was tough to get requests approved and it was particularly difficult to get big items, such as personnel additions and facility renovations, funded. But declining appropriations did not mean that Chairs should not submit requests for resources. The limited availability of revenue meant that the Chairs would need to be more strategic and creative in their efforts to secure resources and, perhaps, more modest in their requests.

Revenue was available from at least two sources at the institution. One source of revenue was through the annual, mainstream budget process, which provided incremental increases to departments to support operational and cost of living expenses. Another source of revenue was technology fees which were provided outside the regular budget process. The Chairs developed strategies to secure resources from both revenue sources. However, the revenue streams were helpful and useful to the Chairs but they were constrained. Neither revenue stream had a particularly large pool of discretionary funds. So, given the limited availability of funds in the revenue streams, the Chairs in this study advanced

modest requests so they could be viewed as reasonable and realistic. In effect, then, the limited revenue streams set the parameters for what could be asked for and the data in this study suggest that the Chairs acted accordingly.

*The rules of the game.* All three Chairs were perceived to be successful at getting campus resources, in part, because they understood, complied with, and used the institutional “rules of the game” (Allison & Zelikow, 1999, p. 302) and the institutional “action channels” (Allison & Zelikow, 1999, p. 300) that governed the budget decision-making process. Because the Chairs were knowledgeable of the rules and action channels (i.e., institutional processes that were used to collect, review, and act on budget requests), they were in a position to respond to calls for budget proposals in a timely manner and able to frame appropriate proposals that were viewed as credible, reasonable, and compelling in this institutional context. Understanding the “rules of the game” in decision-making is an important element when exercising power and influence (Morgan, 1986; Pfeffer, 1981). Given that “budgets are decision-forcing mechanisms” and given that “budget processes incorporate rules by which conflicts are resolved” (Caiden, 1985, p. 500), it is essential to know the “rules of the game” to “play the game” (Wildavsky, 1979, p. 88) effectively.

In its Strategic Plan, the University of Mt. Brilliance (UMB) articulated broad institutional priorities, such as improving campus research activities, developing a stronger presence in the area of technology-based initiatives, hiring more faculty members to ease teaching loads, and providing services to community organizations with an emphasis on minority populations. Legislative

and system-wide priorities were included in the annual operating budget documents for the system. Those priorities, coupled with the formal procedures in the budget process, shaped the official “rules of the game.”

Interview data from the Dean and the three Chairpersons suggest that other, less formal but important rules of the game included submitting requests on time, responding to requests for more information in a timely manner, cooperating with and keeping the Dean informed, and refraining from requests for new programs that significantly expanded current operations. A particularly critical “rule of the game” was that resources followed students so requests that demonstrated a relationship to serving students were more favorable to the Dean than requests that had no apparent or explicit connection to serving students or to enhancing student success in the department. In short, the extent to which Chairs adhered to the formal and informal *rules of the game* affected their ability to secure resources for their initiatives.

*The locus of power and authority over resource allocation decisions.* The locus of power and authority over resource allocation issues in the College was yet another important factor accounting for the Chairs’ choice of strategies. Power and authority over budget matters were centralized in the Dean’s office. The Dean possessed the formal authority to make unilateral budget allocation decisions in the College so the three exemplary Chairpersons fashioned their appeals for resources accordingly. The Chairs were all in agreement that their strategies were targeted at the Dean because the Dean was the one with the resources and he had the formal, if not always final, authority to decide which

Chairs got their requests funded. But the Chairs did not restrict their strategies to the Dean. They sought to influence others who could influence the Dean. For example, as already discussed, two Chairs promoted their department to the Chancellor and VCAA and all three Chairs sought to garner faculty support because they believed those efforts might influence the Dean's decision.

*Chairs' relevant power resources.* All three Chairs had longevity at the institution. Over time, the Chairs cultivated key internal relationships and, in two instances, external relationships. The Chairs in this study possessed credible connections and linkages with their Dean, their faculty, and other Chairs. Two of three Chairs possessed dependable linkages with key authority figures in the institution (i.e., University Chancellor and the Vice Chancellor for Academic Affairs) as well as external constituents such as minority organizations and department alumni/ae.

The aforementioned linkages and other relevant power resources (i.e., positional; personal; reputational; knowledge; relational; and relevant skills) were cited by the major decision-maker on allocation issues, the Dean of the College, and other informants as reasons for the Chairs' success at being able to influence the Dean and secure budgetary resources. The evidence in this study, especially the budgetary outcomes, suggests that the Chairs, like influential actors in other organizations, had "multiple, stable, and convincing power resources" (Malen, 1983, p. 331).

Since the broader literature does not discuss how organizational and broader contextual factors may account for the development and deployment of

department Chairs' strategies for securing financial resources, it is difficult to gauge with the extent to which the findings in this study are aligned with broader literatures. However, several fairly general observations appear warranted.

For example, Meisinger (1994), in a seminal text on budgeting in colleges and universities, "outlines the most important factors that *shape the budget process at any college or university*" (p. 51, emphasis added): institutional character, participants and their roles, openness of participation and communication, centralization of decision-making authority, and demand for information. Of these four factors, the latter, centralization of decision-making authority, is related to the findings in this study. The *locus of power and authority over resource allocation issues* was a common factor across the three cases. All three Chairs recognized the formal power and authority of the Dean to make resource decisions in the College so they developed and deployed strategies accordingly.

The findings in this study are more consistent with several of factors discussed by Birdsall (1995) in his article titled, "The Micropolitics of Budgeting in Universities." Birdsall presents eight "factors that are often given high priority in establishing an allocation level" (p. 434). Although his work was directed toward library administrators, his identification of factors provided the researcher with a comparative model for understanding and classifying the factors in this case study.

Birdsall's factors, which are similar to factors in this study, include: (1) increased enrollments in courses meeting general education requirements, a

source of power Chairs in this study possessed; (2) comparisons to peer institutions, which the Chairs in this study considered as they developed their budget requests; (3) growth in student credit hours, a trend which the Chairs in this study included in their budget proposals to support hiring more faculty; (4) quality of faculty, a point Chairs emphasized in their request for additional resources; (5) deterioration in current levels of instruction; and (6) the performance or upkeep of physical plant (another argument Chairs used in this study to upgrade laboratories and classrooms). Authors (Meisinger, 1994; Tucker, 1992) also discuss the importance of making budget requests that are consistent with the institutional norms (or rules of the game) for developing and submitting budget requests, and the priorities of the institution's budget authorities (Chaffee, 1991; Meisinger, 1994). Thus, the factors uncovered in this study have some basis in the limited but related research on the politics of university budgeting processes.

### **Conclusions**

The purpose of this case study was to identify and analyze the strategies three reputedly exemplary academic department Chairpersons developed and deployed to secure campus financial resources for their departments. Drawing on the findings in the cross-case analysis and insights gleaned from the literature, the following conclusions and recommendations for future research are presented.

***Conclusion 1: An analytic framework based on a political perspective of decision-making and resource allocation processes was valid for examining the budget strategies three reputedly exemplary Chairpersons developed and deployed to secure campus budgetary resources.***

Because resource allocation processes involve deciding who gets what and how much of scarce resources, it is, in part, a political process (see, for example, Birdsall, 1995; Bolman & Deal, 1984; Lasswell, 1936; Lasswell & Kaplan, 1950; Wildavsky, 1979). Using political perspectives to explore and understand how decisions are made in higher education institutions is not new. Similarly, using political perspectives to explain “the politicization of the budget process” (Caiden, 1985, p. 495) is not new. Therefore, a political perspective of decision-making in general (Allison & Zelikow, 1999; Bolman & Deal, 1991; Pfeffer, 1981); of decision-making in higher education institutions (Baldrige, 1971; Birnbaum, 1988); of budget strategies (Leloup, 1977; Wildavsky, 1979); of strategy formulation (Narayanan & Fahey, 1982); and of resource allocation processes in colleges and universities (Birdsall, 1995; Hackman, 1991; Houbeck, 1991; Meisinger, 1994) was a promising orientation that served as the analytic framework for this study.

This perspective was valid because it sensitized the researcher to complex dynamics that are routinely associated with the allocation of resources. It also provided a wide organizational frame through which the researcher could view, describe, and analyze concepts associated with political bargaining behavior which include, for example: actors and their goals, power resources and their usefulness, factors shaping strategy selection, and a means for assessing influence.

The findings in this study suggest that a political orientation was valid. That is, the findings of the case “fit” the analytic categories of the framework. The political perspectives used to construct the analytic framework for this case study gave rise to five analytic categories (i.e., actors; purposes of influence efforts; sources of influence; influence strategies; and assessment of influence) that were used to understand the Chairs’ budgetary strategies. Further, as the cases demonstrate, data from documents and interviews “fit” these categories very well. For example, the political perspective was useful for exploring budget strategies because strategies were shaped and influenced by influential actors in the institution (e.g., the Dean of the College). This study identified the Dean of the College and other actors (e.g., department faculty) who were targets of influence. When studying politics, actors are important units of analysis (Allison & Zelikow, 1999). As Meltsner (1972) observes, “...[A]ctors are differentiated by their policy positions. At first, there are friends, enemies, and fence-sitters. Soon, the dynamics of politics pushes the actors to take sides” (p. 861). In this study, the actors could be viewed not necessarily as “friends, enemies, and fence-sitters” but, in the language of the Chairs, as “supporters,” “allies,” “decision-makers,” and “colleagues.”

The political perspective was useful for exploring budget strategies because it allowed for the examination of relevant power bases. Several sources of power were identified in this study. Birdsall (1995), who shares a similar finding, explains that the micro-political perspective “is particularly useful for investigating the budget process because it encompasses formal power” (p.

434). He adds that the interviewees in his study “focus on the formal uses of power because budgeting is inherently an activity derived from authority and is directly linked to the continued operation of each unit in the organization” (p. 434). But, informal sources of power were also important. The evidence in this case revealed that the Chairs’ success in influencing their faculty and the Dean was, in part, because of their effective interpersonal skills and personal qualities. Birdsall (1995) discusses using the micro-political perspective to understand the importance of personal characteristics. He writes:

Many organizational theorists limit political activity to intentional acts of influence; however, interviewee data support the proposition that personal characteristics have strategic importance in allocation decisions... Interviewees note the importance of character traits such as willingness to listen, a respect for the views of others, empathy, and trust as factors in allocation decisions. (p. 435)

In these and other ways, this study joins a body of literature that reinforces that political perspectives are valid, fruitful ways of examining the role actors may play in budget processes in higher education institutions.

***Conclusion 2: The Chairpersons’ strategies, while critical to success, were not the only factors shaping the decision to allocate resources to their departments.***

Evidence in this study indicated that the strategies chosen by all three Chairs played a part in their success in garnering resources for the departments. As presented in the cross-case analysis above, several broad strategies emerged. But the strategies themselves were not the only factor that led to success. The data suggest that other factors were at play. Other factors that surfaced in this study were (1) the availability of different revenue streams, (2) the institutional “rules of the game” that regulated and shaped how requests

were made and how the budget process operated, (3) the Chairs' recognition of and response to the formal authority and power of the Dean to make unilateral allocation decisions, and (4) the Chairs' relevant power resources. Essentially, the Chairs' strategies mattered but aforementioned factors, some of which lie beyond their control, were also at play.

For example, all three Chairs' developed strong budget requests that were consistent with the understanding that, because no new resources were available, requests for significant increases for new programs could not be advanced. Requests to fund new programs were likely to be dead on arrival in the Dean's office. Regarding the "rules of the game" as a constraint, the Chairs' strategies were influenced by the institution's and the Dean's guidelines for developing and submitting budget requests. The Chairs followed procedures and protocols as the annual budget process unfolded. Regarding the Dean's formal authority and power in the institution, the Chairs strategically and routinely focused their efforts primarily on targeting the Dean to secure resources. Others, such as faculty and the Chancellor, were targeted as well, but the Dean was identified by the Chairs as the person they wanted to influence because they knew the Dean would be the one making allocation decisions in the College.

In sum, understanding the context in which the Chairs developed their strategies enabled the researcher to better understand the strategies themselves and why the previously discussed strategies were chosen over other, more aggressive strategies. Indeed, contextual forces at UMB shaped budget decisions in this case study. Such findings are not necessarily unusual given the

political nature of budgeting; but they are still important and expand our understanding of how Chairpersons' strategies may be chosen and how they may be conditioned and constrained by the institutional context.

***Conclusion 3: Chairs can be successful and can influence allocation decisions by converting their relevant power resources into strategies and using their political skills.***

Much of the literature on budgeting in higher education focuses on broader institutional strategies or the strategies of state university system office's for securing resources. This research adds to that body of literature by focusing on department Chairs. Academic department Chairs, much like the more senior institutional leaders and system-wide budget executives, can be successful at securing budget resources. This case study demonstrates that the Chairs in this study were successful in securing budget resources because they had relevant power resources, because they converted their power resources into persuasive strategies, and because they had impressive political skills. The following table illustrates the commonalities found across the three cases which add to the strength of the data that surfaced in this study. But in sum, in varying degrees each Chair identified actors and targets of influence, had relevant power resources, and converted the relevant power resources into strategies for securing campus budget resources. Indeed, without the relevant power resources at the Chairs' disposal, their strategies for securing resources would not have been possible. Without effective strategic choices, their resources could have been ignored.

Table 6

Common Themes Across the Three Cases

Chair	Actors and Targets of Influence Were Identified	Relevant Power Resources Were Available and....	... Converted Into Strategies For Securing Campus Budget Resources
<b>Sociology-Anthropology</b>	<ul style="list-style-type: none"> <li>• Other Chairs</li> <li>• Dean</li> <li>• Vice Chancellor for Academic Affairs</li> <li>• University Chancellor</li> <li>• Department Faculty</li> <li>• Graduate Students</li> </ul>	<ul style="list-style-type: none"> <li>• A reputation for securing resources in the past</li> <li>• Relationships with community networks</li> <li>• Effective interpersonal skills</li> </ul>	<ul style="list-style-type: none"> <li>• Maintained a state of readiness to seek increases prior to the availability of resources</li> <li>• Cultivated faculty support</li> <li>• Aligned the department with other academic units and institutional priorities</li> <li>• Established and maintained a positive relationship with the Dean</li> <li>• Created a receptive environment with campus leadership</li> </ul>
<b>Biology</b>	<ul style="list-style-type: none"> <li>• Dean</li> <li>• Department Faculty and Staff</li> <li>• Department Budget Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperative relationship with the Dean</li> <li>• A reputation for writing and explaining persuasive budget proposals</li> <li>• A knowledge of institutional priorities, faculty preferences, and budgetary requirements for the department</li> <li>• A positive relationship with department faculty</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrated faculty support for budget requests</li> <li>• Addressed and accommodated faculty resistance</li> <li>• Pursued financial resources available outside the budget process</li> <li>• Created a sense of urgency</li> <li>• Demonstrated relationship between resources and student success</li> </ul>

Table 6 Continued

Common Themes Across the Three Cases

Chair	Actors and Targets of Influence Were Identified	Relevant Power Resources Were Available and....	... Converted Into Strategies For Securing Campus Budget Resources
<b>Communications</b>	<ul style="list-style-type: none"> <li>• Other Chairs</li> <li>• University Chancellor</li> <li>• Vice Chancellor for Academic Affairs</li> <li>• Dean</li> <li>• Department Faculty</li> <li>• A campus ally</li> <li>• College Council</li> </ul>	<ul style="list-style-type: none"> <li>• High designation status</li> <li>• Strong relationships with faculty</li> <li>• Relevant personal qualities</li> <li>• Campus connections and credibility</li> <li>• Access to external funds</li> <li>• Favorable enrollment trends and high demands for courses</li> </ul>	<ul style="list-style-type: none"> <li>• Developed compelling justifications for budget initiatives</li> <li>• Developed connections with influential persons</li> <li>• Waited for the right time to submit requests</li> <li>• Persisted with requests</li> </ul>

The broader literature suggests the conclusion that influence can be attained by converting relevant power resources into strategies and using one's political skills (Hackman, 1991; Seagren, Creswell, & Wheeler, 1993). As Seagren, Creswell and Wheeler (1993) explain:

Chairs need to formulate and execute strategies to achieve their goals, using the tools available to them—their authority and their capacity to exert influence in the institution and its environment... They must understand the political nature and the circumstances of the situation to construct a strategy that will meet the demands of each situation. The range of strategies available is enormous, and their selection varies according to the chair's timetable, the degree of resistance expected, and the power of the person or group that is the target of the strategy. (p. 37)

**Recommendations for Future Research**

The following examples of future research would extend the lines of inquiry begun in this case study. The recommendations share common broad purposes which are (1) to enhance our current understanding of budget

strategies and the factors that shape them and (2) to understand why, under similar conditions, some Chairpersons are perceived to be successful at securing resources and others are not.

***Recommendation 1: Study additional exemplary Chairs as well as less successful Chairs at the same research site and at different types of institutions to deepen our understanding of Chairs' strategy selection and the factors that shape Chairs' strategic choices.***

This study focused on three exemplary Chairpersons within the same academic college. Examining the strategies and circumstances of different types of Chairpersons would provide points of comparison required to determine whether the strategies identified in this study are unique to exemplar Chairs. Further research on this topic could provide opportunities to “test” whether the factors noted here have broad explanatory value. A larger and more diverse sample of Chairs from the institution could deepen our understanding of the factors and circumstances that shape the choice of strategies of exemplary and less successful Chairs. Similarly, knowledge of how and why Chairs at different types of institutions develop and deploy their strategies would be helpful as a way to unpack how institutional features and contextual forces shape the Chairs' choice of strategies.

Consistent with similar recommendations in other single-site case studies, the findings in this study “should be subject to insights generated by more extensive, comparative case studies at a range of institutions” (McCarthy, 2005, p. 226). Research from additional studies on strategies used by Chairpersons to secure campus resources could prove fruitful by confirming the findings in this study or by offering additional or rival findings.

Finally, as discussed in chapter IV, the research site is a collective bargaining environment. Being a collective bargaining institution can have some degree of influence over a Chair's flexibility in personnel decisions which may affect a Chair's budget requests and strategy formulation. The data did not indicate that the bargaining environment contributed to the Chairs' choice of strategies. However, since the influence of collective bargaining arrangements on the Chairs' strategies was not pursued, future studies could explore the extent to which a bargaining environment may shape strategy choices or constrain a Chair's relevant power resources.

***Recommendation 2: Examine the utility of the budget strategies by assessing their applicability to purposes other than increasing the budget base.***

This case study was limited by its emphasis on developing strategies for the purpose of increasing the budget base. However, the strategies explored in this case study may be applicable to purposes other than increasing the budget base. Wildavsky's (1979) research on the politics of the budgetary process in the governmental arena, for example, presents three broad purposes of budget strategies: increasing the budget base, defending the budget base, and expanding the budget base.

This study could examine only one purpose: increasing the budget base because the data indicated that increasing the budget base was the dominant aim the study participants pursued. So, by default, rather than by design, this study focused on strategies related to one of three broad purposes identified by Wildavsky (1979). Studies that focused on defending and/or expanding the

budget base might provide academic department Chairpersons with (1) a broader perspective on the politics associated with strategy formulation, (2) a broader range of strategies to consider, and (3) a clearer understanding of the relevant power resources required to deploy various strategies.

***Recommendation 3: Examine budgetary strategies that were developed to achieve specific academic priorities.***

A major challenge in conducting this study was gathering evidence that explicitly linked budgetary strategies, the factors that shaped the choice of strategies, and the secured resources more clearly to the types of budget requests or priorities for which funding was sought. For example, the findings in this study suggest that, generally, Chairpersons developed budget requests for priorities such as hiring more personnel (e.g., faculty, staff, and graduate assistants), upgrading or purchasing new technologies for their departments, or renovating classroom space or laboratories. But the strategies may have been far more initiative-specific than the data suggest. So, although this study enhances our understanding of the strategies that may be developed to secure campus resources for different priorities, the study does not address the linkages between strategy selection and specific priorities. Evidence in this study did not provide the detailed descriptive data required for this more fine-grained analysis. Such research might be useful to Chairpersons struggling with ways to approach their campus leaders as they seek funding for different types of initiatives.

## **APPENDICES**

**Appendix A**  
**Informed Consent Form**

<b>Identification of Project</b>	Case Study of Budget Strategies Used by Exemplary Department Chairpersons
<b>Statement of Age Subject</b>	I state that I am over 18 years of age and wish to participate in a <b>of</b> program of research being conducted by <u>Wallace Southerland</u> in the Department of Education Policy and Leadership at the University of Maryland, College Park, MD.
<b>Purpose</b>	The purpose of this research is to explore the budget strategies used by three exemplary academic department chairpersons. Information gathered from this study will be used for research purposes only.
<b>Procedures</b>	The procedures include interviews with the possibility of follow-up sessions to ensure accuracy of responses. Campus and department documents will provide additional data.
<b>Confidentiality</b>	All information collected in the study is confidential. The real names of individuals, colleges, or departments will not be used. Tapes will be kept in a secure location and erased at the conclusion of this research project.
<b>Risks</b>	I understand that there are no risks associated with my participation in this research.
<b>Benefits, Freedom to withdraw and to ask questions</b>	I understand that the study is not designed to help me personally, but that the investigator hopes to learn more about the politics associated with the choice and deployment of budget strategies used by department chairpersons. I understand that I am free to ask questions or to withdraw from participation at any time without penalty.
<b>Name, address, phone number of Principal Investigator</b>	Wallace Southerland <sup>14</sup> Email: <a href="mailto:hiachiever@cox.net">hiachiever@cox.net</a> .
<b>Project Advisor</b>	Professor Betty Malen, University of Maryland, Department of Education Policy and Leadership, 2110 College of Education, College Park, MD 20742
<b>Complaint Protocol</b>	Any requests for information or complaints about the ethical conduct of this project may be addressed to the University of Maryland Institutional Review Board for Human Subjects by calling 301-405-4212.
<b>Participant Information</b>	Printed Name:  Signature:  Date:

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<sup>14</sup> Address omitted to protect anonymity of the institution.

**Researcher's  
Signature**

Signature:

Date:

Please sign and return during the interview. Thank you for your participation.

## Appendix B

### POLITICS OF SECURING CAMPUS RESOURCES: A CASE STUDY OF THREE REPUTEDLY EXEMPLARY CHAIRPERSONS

#### IN DEPTH INTERVIEW GUIDE FOR EXEMPLARY CHAIRPERSONS

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1. Describe how you prepare your department's budget?
2. Recognizing that you try to secure financial support from a variety of places, what percent of your budget comes from campus allocations?
3. What types of requests or priorities do you try to get funded through campus allocations?
  - 3.1 For what purposes do you seek campus allocations?
  - 3.2 Why do you seek campus allocations for these purposes?
4. Please describe how you develop proposals to secure campus allocations for your department?
  - 4.1 What information, including documents, is important to you as you develop your proposals, requests or priorities?
  - 1.2 Do you consult with others as you prepare your budget proposals? If so:
    - 4.2.1 Whom?
    - 4.2.2 Why these individuals?
5. How do you try to secure support for the proposals you have described?
  - 5.1 Whom do you seek to influence?
  - 5.2 Why these individuals?
  - 5.3 What strategies do you choose to influence these individuals?
  - 5.4 Why do you choose these strategies?
  - 5.5 How, if at all, do you adapt your choice of strategies to different individuals?
  - 5.6 How, if at all, do you adapt your choice of strategies as you move through the various stages of the budget process?
  - 5.7 As you reflect, are there other groups/individuals that are important in influencing your choice of strategies? If so:
    - 5.7.1 Who are they?
    - 5.7.2 How do they influence you?
    - 5.7.3 Why are they influential?
  - 5.8 Are there institutional or external conditions that influence your choice of strategies? If so:
    - 5.8.1 What are they?
    - 5.8.2 How do they influence your choice of strategies?
6. Getting budget proposals funded with campus allocations involves responding to resistance as well as building support. When advancing your proposals, do you face resistance? If yes:
  - 6.1 From whom?
  - 6.2 How do these individuals resist your proposals?
  - 6.3 How do you respond to the resistance?
  - 6.4 Why do you respond to the resistance in this manner?

7. How do you assess the effectiveness or lack of effectiveness of your choice of strategies to secure campus allocations for your department?
  - 7.1 Do you see yourself as generally successful at securing campus allocations for your department? If so:
  - 7.2 Please describe specific situations when you were particularly successful and/or unsuccessful at securing campus allocations for your department?
8. How do you account (i.e., the factors) for your success or lack of success in getting budget proposals funded with campus allocations?
  - 8.1 Are there groups/individuals who contribute to your success or lack of success? If so:
    - 8.1.1 Who are they?
    - 8.1.2 How do they affect your success or lack of success?
    - 8.1.3 If not, why not?
9. Are there institutional or external conditions that affect your success or lack of success? If so:
  - 9.1 What are they?
  - 9.2 How do they affect your success or lack of success?
  - 9.3 If not, why not?
10. Is there anything else you wish to add that would help me understand your choice of strategies?
11. Are there other persons who could provide additional insight into your choice of strategies to secure campus allocations for your department?
12. Are there internal department documents that could provide additional insight into your department's budget priorities and your choice of strategies that you would feel comfortable sharing with me?

## Appendix C

### POLITICS OF SECURING CAMPUS RESOURCES: A CASE STUDY OF THREE REPUTEDLY EXEMPLARY CHAIRPERSONS

#### IN DEPTH INTERVIEW GUIDE FOR INFORMANTS

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1. [Chairpersons' names here] have been identified as an exemplary chairperson because of their effectiveness at securing campus allocations for their department during the past four to five years (1997, 1998, 1999, 2000, 2001)?
  - a. Do you agree with this assessment?
  - b. If yes, from your perspective, what do you think accounts for his/her success?
  - c. If no, why not?
2. What were some budget proposals each of the three chairs put forth to receive funding through campus allocations during the past four to five years (1997, 1998, 1999, 2000, 2001)?
  - a. Why were those budget proposals put forth for funding?
  - b. What were the outcomes of those budget proposals?
3. Please describe how each chairperson developed the proposals, requests, or priorities for securing campus allocations?
  - a. What information, including documents, was used or consulted as the chairs developed their proposals?
  - b. Did the chairs consult with others as they developed their budget proposals? If so:
    - i. Whom?
    - ii. Why these individuals?
4. How did each chairperson try to secure support for proposals, requests, or priorities?
  - a. Whom did the chairpersons seek to influence?
  - b. Why these individuals?
  - c. What strategies did each chairperson choose to influence these individuals?
  - d. Why did the chairpersons choose these strategies?
  - e. How, if at all, did each chair adapt his/her choice of strategies to different individuals?
  - f. How, if at all, did each chair adapt his/her choice of strategies as s/he moved through the various stages of the budget process?
  - g. As you reflect, are there other groups/individuals that were important in influencing each chair's choice of strategies? If so:
    - i. Who are they?
    - ii. How did they influence the chairs?
    - iii. Why are they influential?
  - h. Were there institutional or external conditions that influenced each chair's choice of strategies? If so:
    - i. What were they?
    - ii. How did they influence the chairs' choice of strategies?

5. Getting budget proposals funded with campus allocations involves responding to resistance as well as building support. When advancing their proposals, did the chairs face resistance? If yes:
  - a. From whom?
  - b. How did these individuals resist the chairs' proposals?
  - c. How did each chair respond to the resistance?
  - d. Why did the chair respond to the resistance in this manner?
  
6. How do you assess the effectiveness or lack of effectiveness of each of the chair's choice of strategies to secure campus allocations?
  - a. Do you see each chair as generally successful at securing campus allocations?
  - b. If yes, please describe specific situations when each chair was particularly successful or unsuccessful at securing campus allocations for their department?
  - c. If no, why not?
  
7. How do you account (i.e., the factors) for each chair's success or lack of success in getting budget proposals funded with campus allocations?
  - a. Are there groups/individuals who contribute to their success or lack of success?
  - b. If so, who are they?
  - c. How do they affect the chairs' success or lack of success?
  - d. Are there institutional or external conditions that affect each chair's success or lack of success?
  - e. If yes:
    - i. What are they?
    - ii. How do they affect each chair's success or lack of success?
  
8. Is there anything else you wish to add that would help me understand each chair's choice of strategies?
  
9. Are there other persons who could provide additional insight into each chair's choice of strategies to secure campus allocations?
  - a. Campus administrators, faculty, or staff
  - b. Faculty Advisory Councils that the chair must or elects to review budget proposals
  
10. Are there documents (e.g., correspondence, planning documents, minutes, manuals, mission statements, etc.) that you could provide that would offer additional insight into each chair's proposals, requests, or priorities and/or his/her choice of strategies that you would feel comfortable sharing with me?

## Appendix D

### Semi-Structured Interview Guide to Gather Reputational Data

1. Which chairpersons in the College of Arts & Sciences were particularly effective at securing campus resources for their department over the past four to five years?
  - 1.1. Have any other chairpersons outside of Arts and Sciences stood out as particularly effective at securing campus resources for their department?
2. Why do you think these individual chairpersons were particularly effective?
  - 2.1. What else, if anything, contributed to their effectiveness?
3. Are there other individuals in the College who would have insight into which chairpersons were particularly effective at securing campus resources for their departments during the past four to five years?
  - 3.1. Other Administrators?
  - 3.2. Faculty or staff?
  - 3.3. Budget committee members?
  - 3.4. Any others?

**Appendix E**  
**Interview Log<sup>15</sup>**

**Interviewee:**                      **Dept./Area:**                      **Position:**                      **Date:**

<b>Tape Index</b>	<b>Respondent's Comments</b>	<b>Researcher's Notes</b>

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<sup>15</sup> The interview log is based on Merriam (1988, p. 84).

**Appendix F**  
**Interview Assessment Guide**

Informant and Position: \_\_\_\_\_ Yrs: \_\_\_\_\_ Taped:  Yes  No  
 Department: \_\_\_\_\_ Date: \_\_\_\_\_ Time started: \_\_\_\_\_ Ended: \_\_\_\_\_ Length: \_\_\_\_\_

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1. Informant seemed:
 

Uninterested	____, ____	____, ____	____, ____	____, ____	____, ____	Interested
Reluctant	____, ____	____, ____	____, ____	____, ____	____, ____	Straightforward
Uninformed	____, ____	____, ____	____, ____	____, ____	____, ____	Knowledgeable
  
2. Informant distinguished between:
 

information remembered clearly and information not remembered  Yes  No

decisions s/he was close to and decisions s/he was not close to  Yes  No
  
3. Interviewed seemed:
 

Hurried	____, ____	____, ____	____, ____	____, ____	____, ____	Comfortably paced
Formal	____, ____	____, ____	____, ____	____, ____	____, ____	Casual (conversational)
Tense	____, ____	____, ____	____, ____	____, ____	____, ____	Relaxed (conversational)
  
4. Were there any interruptions?  Yes  No      If so, specify:
  
5. Were there questions the informant was unable to answer?  Yes  No      If so, specify:
  
6. Were there questions the informant was unwilling to answer?  Yes  No      If so, specify:
  
7. Did the informant volunteer additional information beyond the questions?  Yes  No
  
8. Comments/observations:

Source: Items 1-6 are drawn from the Educational Governance Project (1974) as cited in Malen (1983, p. 426). Items 7 and 8 were created by the researcher.

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<sup>16</sup> This source includes budget data beginning with 1997-1998.

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