UNIVERSITY OF ALBERTA

THE DECISION MAKING AND VALUES OF PRESIDENTS IN PUBLIC COLLEGES

BY

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To my son, Michael, and my parents, Bill and Jean Keast

ABSTRACT

The main purpose of this study was to examine relations between administrative decision making and the values which underpin those decisions. Inquiry into the nature of decision making and values is a form of inquiry central to understanding administrative behavior in almost any context. Since the context of education demands numerous important judgments, and since education itself is a value-laden enterprise, this becomes particularly true for educational administration. What is more, the importance of the study of decisions and values is now being generally acknowledged in contemporary educational administration circles, although it is also accurate to suggest that systematic research on this subject and its far-reaching implications is just beginning. The need for such studies is urgent, given the state of contemporary education in all sectors, and the socio-economic constraints which impinge upon educational progress.

This study used a three-tiered conceptual framework consisting of decision types, decision process, and values, to investigate the decision making and value choices of presidents in public colleges in the province of Alberta. A qualitative design, with emphasis on multiple case study analysis and comparison was used to explore the critical decision incidents of respondents. Towards this end, two phases of interviews, data collection, and analysis were used. One important aspect of the study was analysis of data across the two phases of interviews.

In total, 24 critical decision cases were received from respondents and divided into seven different types of cases. Interpretation of findings in the study are oriented toward examining similarities and differences between case types, and between the two phases of data collection. Findings include the identification of recurring patterns which appear to be highly consistent or specific to one type of case. This is true for aspects of decision process, and also for values identified.

Implications of this study for administrative theory touch on factors such as varying levels of participation in different types of decisions, and how this affects notions of shared governance. What might be needed in administrative preparation programs to raise sensitivity to ethical issues is also discussed. Implications for research point to further studies on many variables of decision process, and most importantly, further study and comparison of the values and value conflicts of different stakeholders in educational organizations. Recommendations for administrative practice include discussions on the possible advantages of taking a more strategic view of the role of personnel in organizational functioning.

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CHAPTER 1

INTRODUCTION AND OVERVIEW

The issue of values has, in the last few decades in the field of educational administration, become a central topic of debate among scholars, researchers, and practitioners. Yet, until very recently, there has been a lack of systematic research directed towards questions of values or ethics in administration (Jeffery, 1990, p. 8). In addition, although there is a fairly rich history of research on decision making in administration, research on the relation between decisions and values also seems to be scarce. There are many questions yet to be answered. As an introduction to the study which follows, it may be worthwhile to take a slightly closer view of the development of research on decision making and values.

The contemporary research in this area has been affected by a number of important historical forces, not the least of which is the work of Herbert Simon (1976). One of Simon's main influences has been the advance of "rationalistic" models in the study of decision making. This approach emphasized the factual/scientific side of decision research, and although the role of values was acknowledged, there was a need to exempt values from analysis of the administrative decision making process. The initial position taken up by researchers was based upon the classical "is/ought" dichotomy, that is, that facts and values are distinct, that one cannot derive an "is" from an "ought," and thus, that values are not amenable to criteria of true or false. The impulse by researchers after Simon seemed to be to attempt to ignore or remove value considerations from decision research (Beach, Mitchell and Drake, 1978; Mintzberg, Raisinghani, and Theoret, 1976; Struefert,1978; Suedfeld, 1978). Although Barnard (1938), even before Simon, had recognized and emphasized the importance of the moral element in an understanding of administration, there continued to be an emphasis on rationalistic approaches to and descriptions of decision processes in organizations.

However, more recent research in the last decade has focused attention on the important role of values in decision making (Ashbaugh and Kasten, 1984; Begley, 1988; Campbell-Evans, 1988). This research focus has, in turn, been inspired by the emergence in administrative theory of philosophical inquiry of the type exemplified by writers such as Hodgkinson (1978, 1983) and Greenfield (1980, 1982, 1986). These writers have advocated a shift in viewpoint in administrative theory toward the importance of values, and have emphasized that administration is essentially a value-laden activity. Hodgkinson (1986) even advocates the dawn of a "new paradigm," indeed, a possible paradigm shift, with a view towards new directions in research, theory, and practice. These more recent trends have had a marked influence on the conduct of inquiry in educational administration and in the field of education in general.

Since interest in values in administration is relatively new, the question arises as to how exactly to study such phenomena. It seems to be the case that contemporary philosophers of administration and administrative researchers who are interested in questions of ethics and values continue to be plagued with the ambiguities of the is/ought dichotomy, and the inevitable fact that values do not seem to be discernable in terms of factual criteria. So far, response has mainly been to either acknowledge the distinction between facts and values by adopting a positivist approach to research where values are ignored or extracted from any analysis of administrative decision making, or to acknowledge the distinction by resorting to subjectivism as an alternative approach to the study of values. Both for traditionalists, and for those who advocate new approaches and paradigms for studying this problem, the dilemma continues to be understood in terms similar to those originally expressed by logical positivists (Lakomski, 1985).

In the most recent research, however, new trends seem to be emerging (Campbell, 1992; Walker, 1991). One notes a shift away from strict subjectivism towards alternative philosophical views on what forms a basis for inquiry on ethics and values. These new views represent a healthy addition to the knowledge base on research in this area, however, difficulties continue to persist when it comes to the matter of developing systematic forms of justification for one position over another. These important problems continue to inspire new ideas and approaches in theory and research in this area.

The importance of understanding the nature of administrative decision making cannot be overstated, especially given the fact that this decision making takes place in, and is partially shaped by, a social and organizational context. The complexity and significance of administrative decisions lies simply in the fact that such judgment occurs in social contexts where the most important judgments directly affect the lives of significant numbers of others who live and work in organizations. If it is true that such judgments are value-laden, then the importance of studying and understanding the nature of decisions and the values which underlie decisions is undeniable. And this surely applies in almost any organizational and administrative context. It is, without doubt, particularly relevant for education. The essence of leadership rests on a basis of sound moral judgment and the ability to communicate such judgment throughout all aspects of organizational functioning. From this position of influence, administrators become guardians of, and even creators of, dominant organizational values which profoundly influence the lives of others. Thus, the study of such processes is, indeed, central to an understanding of administrative behavior.

The design and method of the present study focused on the decision making and values of one respondent group. In this sense, it is typical of other contemporary studies in this area. In an attempt to establish a more precise form of organizational and educational contextual framework for the study of values, it is somewhat atypical. As with any research, what is included for study conspicuously defines what is not included. Many questions will be left unanswered. It is hoped, however, that those questions which are addressed make some small contribution to the understanding of decisions and values in educational administration.

Statement of Purpose

In the most general sense, the main purpose of this study was to examine relations between administrative decision making and the values which underlie decisions. Having said this, the question of just how to approach research on decisions and values in administration was addressed through the application of a conceptual framework consisting of three dimensions. Thus, more specifically, the study examined relations, within one sector of postsecondary education, between the type of decisions made by administrators, their decision processes, and the values influencing decisions. The study afforded an opportunity to examine various dimensions of critical decision cases and to relate these to the values which underlie decision making processes. There was also the opportunity to examine whether or not patterns in decision process and in value choices emerged in relation to types of decisions.

Research Questions

The study design, method, analysis, and interpretation, was guided by five research questions, which can be stated as follows:

1.0 What types of critical decisions are administrators faced with? Can a typology of decision incidents be adapted for postsecondary education?

2.0 Are there patterns in decision process and in values that relate to types of decisions?

2.1 What patterns in decision process are evident within different decision types?

2.2 What value patterns are evident within different decision types?

3.0 Do respondents make the same or similar value choices when confronted with the same or similar problems?

4.0 Given the research setting and respondent group for the study, what constitutes the basic nature of the decision making process?

5.0 What relations exist among decision types, process and values?

Practical Significance of the Study

Studies which attempt to examine relations between administrative decisions and values are, in effect, attempting to expose the foundations of decision making. The need for such a study may be urgent given the present state of education in general and postsecondary education in particular.

One practical purpose for the study was to begin to establish a typology of critical incidents in a sector of education in which little research of this kind exists so far. It is hoped that practicing administrators will gain greater knowledge of the types of problems which they face in their professional environment. There was also an attempt to illuminate the process of decision making adhered to by respondents. Given certain types of critical incidents, additional answers may be provided to what we claim to mean by "rational" decision procedures. Finally, the major purpose of the study was to illuminate the nature of value choices in relation to decision type and process. Based on what is learned through analysis of data, useful steps may be taken towards explicating a systematic method of values analysis appropriate for this form of research. Hopefully, these contributions will have significance for research approaches to decisions and values in the future. Overall, any contribution to the clarification of the basis of ethical judgments in administration will have significance for future research and practice in this area, and ultimately for the preparation of educational leaders.

Assumptions

It will be worthwhile at the outset to extract one or two fundamental premises which form a basis for the design of the study which follows. The first can be expressed very simply: It is taken as a basic premise that administration is, in essence, largely based in rational forms of decision making. Having said this, one is faced with a number of difficult questions which will need to be addressed in order to become clear on the nature of the research problem and its relevance for administration. To state that administration is based in decision making tells us little about types of decisions made by administrators, about the process of decision making, or about what underlies important educational decisions. Concerning this last point, a second premise can be stated as follows: Important administrative decision making will be value-based. Simply put, where there are administrative decisions, there will be an appeal to certain values or a value system as a basis for decision making.

Given these premises, a number of problems arose in establishing the validity of major constructs in this study. One problem related to the methodology adopted here is the assumption that decisions can be described and understood based on identification of various characteristics or attributes. In other words, it was assumed that defining the contextual relations within which decisions are immersed constitutes an adequate definition of the decision itself. Likewise, it must be assumed that there are in fact values to be found in administrative decisions, and that describing the context within which values are found constitutes an adequate definition.

A final assumption has to do with the ultimate ground of value judgments. Much about education is already implicitly laden with value. It is in fact the case that by picking out various activities as educational, as opposed to those which are not, value judgments have already been made. We also seem to recognize, collectively, what constitutes proper educational activity. The design of the study was, to some degree, predicated on the assumption that public knowledge of the criteria constituting educational activity suggests a possible objective ground for ethical decisions in education. At the same time, this objective ground throws into question the appropriateness of subjectivism as a philosophical foundation for administrative decision making.

Delimitations

The study was conducted within one sector of postsecondary education in Alberta. The respondent group consisted of presidents of 10 public colleges in the province. It was intended that various attributes of critical decisions and aspects of decision making process be examined in relation to values. Thus, the conceptual framework included identification of decision type (defined in terms of administrative tasks), aspects of decision process (defined in terms of components of decision making), and underlying values. The methodology adopted for the study was drawn from reviews of literature and contemporary research on decisions and values in educational administration. The study attempts to address a rather general question concerning basic values inherent in critical decisions in educational contexts.

Limitations

The study was limited in four specific areas. First, the small respondent group and focus on one sector of postsecondary education was not intended to be representative of the total population of postsecondary administrators. Nor was the choice of institutions representative of the total population of postsecondary institutions in the province. Thus, any comparability will be limited by these factors. Second, only a limited number of attributes of cases, and only limited aspects of decision making process were examined. This may be ignoring many other variables which could influence, or be influenced by, values. Third, the study was further limited by the "reconstructed" nature of accounts given of decision events. Portraying an accurate and comprehensive picture of the dynamics of cases depended on respondents' abilities to accurately and comprehensively recall events. Finally, the study relied on accounts of decisions and values given by one homogeneous respondent group in an interview setting. No data were collected through direct observation of decision making or from other informants or sources.

Definitions of Terms

Little specialized language which is foreign to educational administration was used in this study. Of those terms defined in this section, none are more troublesome than those associated with ethical thought. A look at definitions provided by different authors reveals a good deal of diversity and ambiguity in meaning. Precise boundaries for and accurate use of such key terms as ethics, morality, and values made the task of empirical research in this area all the more difficult. Therefore it will be worthwhile to offer some explanation of how such terms were used in this study. Furthermore, the definitions provided are not intended to be exhaustive, but rather indications of the most prevalent use, or a use which was most relevant to the purposes of the research. As well, a small number of other terms take on a rather specific meaning, therefore, explanations of these terms will be provided in turn.

Ethics

For the purposes of this study, the term "ethics" is primarily meant to denote that branch of philosophical inquiry concerned with principles of human moral conduct, and the modes of justification which are given for such principles. There are, however, variations in the use of the term. Another common use of ethics, as in the code of ethics of a professional organization or association, is not of particular interest here, although it would be correct to say that much of the content of professional codes of ethics can be subsumed under or understood and clarified by virtue of ethics proper. Ethics can be used to refer more specially to an individual's system or code of morals. Among the definitions of ethics, Webster's Dictionary (1986) includes " a group of moral principles or set of values", and "a particular theory or system of moral values."

Overall, however, the prevalent use seems to be in regard to philosophical practice. The Oxford Dictionary (1989) includes the following definition of ethics: "The science of morals; the department of study concerned with the principles of human duty." Webster's (1986) offers a similar meaning: "the discipline dealing with what is good and bad or right and wrong, or with moral duty and obligation." Frankena (1963) offers additional distinctions. He suggests, in common with other definitions, that "Ethics is a branch of philosophy; it is *moral philosophy* or philosophical thinking about morality, moral problems, and moral judgements" (p. 3). He adds,

> Moral philosophy arises when, . . . we pass beyond the stage in which we are directed by traditional rules and even beyond the stage in which these rules are so internalized that we can be said to be inner-directed, to the stage in which we think for ourselves in critical and general terms . . . and achieve a kind of autonomy as moral agents. (p. 4)

Walker's (1991) definition, drawn from relevant literature, is also generally consistent with the use of the term in this study. He states that ethics "refers to the branch of philosophy that is concerned with morality and its problems and judgements" (p. 11).

Moral

Webster's Dictionary (1986) suggests the following among its definitions of moral: "of or relating to principles or consideration of right and wrong action or good and bad character." Also suggested is "resulting from or belonging to human character, conduct, or intentions." The Oxford Dictionary (1989) roughly concurs: "of or pertaining to the distinction between right and wrong, or good and evil, in relation to the actions, volitions, or character of responsible beings; ethical." It seems clear, first, that emphasis in use of the term moral is placed on the actions or conduct of human beings, that is, moral refers primarily to the rightness or wrongness of human conduct. Second, for the purposes of this study, moral can be roughly regarded as interchangeable with ethical. Variations in the use of moral and ethical may help to clarify this point. One may, for example, speak of moral judgements, and this can be taken as roughly synonymous with ethical judgements. The term morals carries personal connotations, as when one might refer to "personal morals." This can be regarded as similar to the sense of ethics mentioned earlier which refers to particular systems of values. Thus one might as easily refer to "personal ethics."

Jeffery (1990) offers the following definition of what is meant by use of the term moral judgement: "Judgements which tell individuals what they ought to do and what they ought not to do. They tell individuals what their duties are" (p. 10). In a similar vein, Strike, Haller & Soltis (1988) offer some additional insight: "Moral principles involve concepts such as right and wrong and express duties and obligations. Unlike facts, they are not refuted if they do not describe the real world . . . .'we should always tell the truth' is not refuted if people lie" (p. 37).

Another variation on the concept of moral is use of the term "morality." Frankena (1963) makes useful distinctions here. He suggests that "we also use the word 'morality' to refer to something which is coordinate with but different from art, science, law, convention, or religion, though it may be related to them" (p. 5). Of morality, Frankena further suggests: "Morality is a social institution of life, but it is one which promotes rational self-guidance or self-determination in its members" (p. 7). And further that "morality in the sense indicated is, . . . a social enterprise, not just a discovery or invention of the individual for his own guidance" (p. 5).

These variations show the range of diversity in meaning on the question of morals or ethics. In sum, suffice it to say that the concept of moral can be roughly equated with that of ethical, particularly in the use of such phrases as moral judgment and ethical judgment, or moral problems and ethical problems. Thus, terms such as moral, moral judgment, and morality, can be taken in this study to refer to that domain of human intercourse which is concerned with the rightness or wrongness of intention and actions.

Values

Of all terms relating to morality, values may be the most troublesome. It is necessary, first, to discern three somewhat different varieties of meaning in the use of the term values. The first use distinguishes value as a term used to prescribe or invest a quality or property to something else. The Oxford Dictionary (1989) provides this meaning among its variations in definition: "The relative status of a thing, or the estimate in which it is held, according to its real or supposed worth, usefulness or importance." This distinguishes value as a property or characteristic of some other entity, as when one might refer to "the value of x," or claim that "x" has a certain worth. The second distinction is one drawn by moral philosophers such as Frankena and Strike, Haller and Soltis. Frankena (1963) distinguishes what he calls "judgements of nonmoral value," or simply, value judgements. He suggests that, "In these we evaluate, not so much actions, persons, motives, and the like, but all sorts of other things: . . ." (p. 9). Strike, Haller and Soltis (1988) make a simple and clear distinction between what they regard as statements of moral principle, such as, "always tell the truth" which involve concepts of right and wrong and express duties and obligations, and statements of value preference, such as "pickles are better than olives." Such definitions clearly reflect value as restricted to the domain of personal preference or taste. Unlike moral principles, it does not seem possible to provide criteria for either the truth or falsity of, or to provide objective justification for the acceptance or rejection of, such statements. In Frankena's terms, such statements may be value statements, but they are value statements of a "nonmoral" nature, that is, they do not express sentiments on the moral rightness or wrongness of something. We may, in fact, state that something is good, bad, or desirable, but we do not mean morally good, bad or desirable (p. 9).

This limited definition of "value as preference" presents somewhat of a problem for administrative research on decisions and values. If such definitions are in fact accurate, then concepts such as truth, knowledge, happiness, responsibility, fairness, participation, sharing, respect for others, and so on (see any major contemporary study on values in administration such as Ashbaugh and Kasten, 1984; Begley and Leithwood, 1990; Campbell-Evans, 1991; or, for that matter, value schemes which serve as sources for those studies such as Rokeach, 1973; Hodgkinson, 1978; Beck, 1991), and statements in research findings which reflect such concepts, are matters of mere preference or personal taste. Either this, or a broader definition of values is assumed in educational administration research where value findings are regarded as roughly synonymous with what Strike, Haller and Soltis (1988) refer to as moral principles.

This second alternative seems more likely. For example, accepted and often quoted definitions by Kluckholn (1951) and Hodgkinson (1978) allow somewhat wider parameters for what counts as a value. Kluckholn's definition states: "A value is a conception, explicit or implicit, distinctive of an individual or characteristic of a group, of the desirable which influences the selection from available modes, means, and ends of action." (p. 395).

Hodgkinson (1978), drawing from Kluckholn, also provides somewhat more latitude in what is believed to be a value. He suggests that values are " 'concepts of the desirable with motivating force' " (p. 105), and that "A value can exist only in the mind of the value-holder and it refers to some notion of the desirable, or preferred state of affairs, or to a condition which *ought* to be" (p. 105). Other recent studies which struggle with definitions of values also require some latitude of meaning. Campbell (1992), in studying conflicts of personal morals and organizational ethics, makes this basic claim: "In simple terms values are 'core beliefs which motivate our actions'. . . . They may or may not relate to fundamental issues of right and wrong, morality and ethics" (p. 10).

As a working definition for the purpose of this study, values can be taken in this somewhat broader sense. However, it should be pointed out that little interest is taken in this study in statements which may reflect mere personal preference. Since moral concepts identified in organizational contexts and having to do with organizational problems are not likely to express simply personal preference (although no certain proof can be provided for this), the interest here is in statements which appear to have moral or ethical import beyond individualistic levels; in other words, those statements which express moral principles in relation to complex decisions and provide indications of the rightness or wrongness of action ensuing from such decisions. For purposes of this study, a value judgement or choice may be taken to have moral content, and to be roughly synonymous with an ethical or moral judgement or choice. This study examines the ethical or moral judgements of CEOs in educational organizations, and therefore the concepts which are identified as basic in these judgement processes are, for lack of a more accurate description, values in organizational contexts.

Type-Specific

A few more specialized terms will be used in subsequent chapters. Since interest was taken in both the frequency of occurrence and in the content of aspects of decision process and values coded in transcripts, and since the decision typology played an important role in the conceptual framework, a term was required to denote findings which frequently occurred within one specific decision type. Type-specific thus refers to potential patterns which are shown to be predominant in or highly characteristic to one case type.

Case-Specific

This term, like type-specific, refers to the predominance of a given pattern or characteristic within a particular case, and is used mainly in reference to analysis of phase II interviews, where only two cases were used. The importance of the relation between case-specific and type-specific will be examined in more detail in subsequent chapters.

Exclusiveness

A clear distinction needed to be drawn between "specific," referring to dominate occurrence within types, and exclusive. Exclusiveness is used for those instances in which patterns were found in one case, and only in that case, and again, is reserved mainly for phase II analysis in which a small number of exclusive patterns were discerned. No instances of exclusiveness in types were found. The significance of exclusiveness findings will be examined in more detail in final chapters.

Occurrence and Recurrence

For purposes of this study, terms needed to be chosen to distinguish coding instances or references found across case types generally, and instances found predominantly within case-types, that is, potential type-specific patterns. Thus the term occurrence will be mainly used to refer to findings across all cases generally, as when, for example, values are examined across all cases. This term will be distinguished from recurrence, which will refer, roughly, to occurrences which appear or are shown to be dominant in one type of decision case.

Organization of the Study

The present chapter has been devoted to providing an overview of the study which will be described in more detail in the following chapters. Chapter 2 will provide a review of literature considered relevant to research on decisions and values in educational administration. The historic periods covered by the literature review include, roughly, research from the post-World War II period to the present day, although studies touched on in no way represent an exhaustive list, but rather serve merely as examples in different periods. In addition, the conceptual framework, and literature related to the conceptual framework will be explicated in this chapter. Chapter 3 will define in more detail various aspects and dimensions of the methodology used in the study, and also examine various steps and procedures to enhance credibility of the research.

Chapter 4 presents data on the professional background of respondents, their institutions, and most importantly, the characteristics of decision cases received from respondents. The intent in this chapter is to contribute to an overall "picture" of decision making and values by providing a profile of respondents, institutions, and the cases on which interviews were based.

Chapter 5 presents a description of the organization and analysis of phase I interview data. A first round of interviews with all respondents resulted in data on cases collected. These data are analyzed for both components of decision process and values.

Chapter 6 provides an explanation of the data collection and analysis procedures for phase II. A second round of interviews with a sub-sample of the original respondent group, using a set of cases from those originally collected, resulted in additional data. These data were subjected to analysis procedures similar to those used in chapter 5. Likewise, findings for this phase are analyzed based on the decision process and values of respondents.

Chapter 7 presents an analysis and comparison of findings from both phase I and phase II. This cross-phase analysis examines decision process and findings for values from both phases. Some reference is made to additional analysis procedures and methods for establishing credibility which become necessary at this point in the study.

Finally, chapter 8 provides a summary of overall findings in both phases, addresses the main research questions, and discusses implications for further theory, research, and practice.

CHAPTER 2

REVIEW OF LITERATURE AND CONCEPTUAL FRAMEWORK

It is, realistically speaking, beyond the scope of one research project to provide a comprehensive review of all literature that could be related to the specialized topic under investigation. In the case of decisions and values, large volumes of literature exist within organizational theory, education in general, philosophy of education, philosophy in general, and in other areas, which would shed light on this relationship. For the purposes of this study, it will be fruitful to provide a review of literature on decisions and values which is indicative of types of research engaged in over the decades, and which is, at the same time, relevant or meaningful to this research project. Of necessity, some research and other theoretical works will be excluded or mentioned only in passing.

Foundations of Research on Decision Making and Values in Administrative Behavior

It seems most appropriate to take as our starting point the period after World War II, which marks the advent of modern administrative theory. Two classic works stand out in administrative literature as deserving attention; *Administrative Behavior* by H. Simon (1976) and *The Functions of the Executive* by C. I. Barnard (1938). These works represent landmarks in the progress of modern administrative theory, and in addition speak directly to fundamental premises contained in this research. That is, both authors regarded decision making as a basic and central activity in administration and both acknowledged a role for values in the process of decision making. Although the role of values was acknowledged, significant changes have occurred from then until now in exactly how values are viewed and in the importance of values in decision making.

Barnard (1938) explicated what is, in essence, both a complex theory of decision, and a theory of the role of morals in organizations. He distinguished two main elements as being indispensable to the proper functioning of organizations: the opportunistic element and the moral element. The opportunistic element is described as those present conditions and means for achieving larger purposes; in short, decision making occasions, environment, and context. In turn, he saw decisions in cooperative systems as being personal or organizational, and felt that there existed an organizational process of decision, or process of thought, which was not analogous to the decisions of individuals, that is, a technique of organizational decisions. General and central organizational decisions, according to Barnard, are best linked to systems of communication, and are in fact operationalized through such systems. Since the executive is at the centre of the communication system he or she is best placed to execute central decisions. Barnard saw the process of making organizational decisions as one essential specialized function of the executive. He also recognized the abstractness of executive decisions. Often, no evidence of larger decisions being made is present. Executive decisions are more often comprised of a number of smaller, discrete, or individually complete directives which, unapparent to the collectivity, are directed to some larger end.

Further, two classes of decisions are suggested: positive decisions--the choice to do something, engage in something, including the choice of ceasing action, and, negative decisions--deciding not to decide. He seemed to regard the enactment of these forms of decision as an artistic process. He states:

> The fine art of executive decision consists in not deciding questions that are not now pertinent, in not deciding prematurely, in not making decision that cannot be made effective, and in not making decisions that others should make [italics removed]. (p. 194)

In explicating his theory of decision Barnard placed emphasis on the identification and analysis of the "strategic factor." This is described as the factor "whose control, in the right form, at the right place and time, will establish a new system or set of conditions which meets the purpose" (p. 203). This, according to Barnard, is the meaning of effective decision. The identification of and response to the strategic factor, and the general decision which this is based upon, leads to further refinement of purpose and identification of additional strategic factors. In this incremental process of refinement, the larger purpose is achieved. All organizational decision will consist of the definition of purpose, and the discrimination of environment and determination of strategic factors. The main executive function is focused on definition of purpose, while the executive's direct environment is the internal environment of the organization.

However, for Barnard, it is the moral element which is the most crucial in the successful functioning of organizations. Organizational action is ultimately driven by what is regarded as the "good" of the organization, and this is reflected in the norms of what is desirable or ideal, and concepts which reference some future state of affairs. This is, for Barnard, the moral element.

He further distinguished two aspects of leadership. The technical aspect refers to the particular, the immediate; individual traits which are variable through time and in place, and subject to development through conditioning, training and education. Those aspects of decision previously discussed are an example. The moral aspect is, in turn, elucidated in the definition of "morals," and in the concept of responsibility. Barnard says of morals:

> Morals are personal forces or propensities of a general and stable character in individuals which tend to inhibit, control, or modify inconsistent immediate specific desires, impulses, or interests, and to intensify those which are consistent with such propensities. . . . When the tendency is strong and stable there exists a condition of responsibility. (p.261)

Contained within the definition of morals is also a definition of responsibility. Barnard further suggests that responsibility "is the power of a particular private code of morals to control the conduct of the individual in the presence of strong contrary desires or impulses" (p.263). Responsibility thus refers to a consistency between one's moral code and one's action, a state where internal morality becomes effective in action. Conformity to moral codes due to sanctions or negative inducements is not, says Barnard, responsibility. It is, instead, a matter of right and wrong in the moral sense, a deep conviction, and not intellectual in character (pp.265-266).

Barnard further suggested that executive positions are characterized by a number of factors and that these factors paint a portrait of executive duties and the crucial dimensions of executive responsibility. They are: a) necessary adoption, by virtue of the nature of the position, of a more complex morality, including personal moral codes and those of the organization; b) a high capacity for responsibility in order to deal with moral complexity; c) executive positions entail high levels of activity; d) the higher the rank, the greater the moral complexity, and the greater the need for the capacity of responsibility; and e) moral creativeness. It is this last factor which Barnard viewed as the essence of executive responsibility.

Moral creativeness involves creating moral codes for other organizational members. In its most commonsense form, it is establishing morale, or, adjusting attitudes, values, and loyalties such that the result is subordination of individual interest in favor of the good of the organization. An additional aspect of moral creativeness is what Barnard refered to as "handling the exceptional case," that is, the morally complex and seemingly unresolvable situation. The approach suggested as a solution is either one of substituting an action which avoids the moral conflict, or providing a moral justification for exceptions or compromise, what Barnard refered to as "inventing a moral basis" (p. 279).

Barnard clearly regarded the moral element as fundamental to executive functioning and moral creativeness as key in understanding the dimensions of organizational morals. On responsibility and moral creativeness Barnard states, "The creative aspect of executive responsibility is the highest exemplification of responsibility" (p. 281). On moral creativeness and leadership he suggests, "The creative function as whole is the essence of leadership" (p. 281). And again, "the endurance of organization depends upon the quality of leadership; and that quality derives from the breadth of the morality upon which it rests" (p. 282). Barnard clearly saw the creation of organizational morality as the spirit, the cohesive and integrating factor, which binds organizational members and overcomes the forces of individual interest.

In *Administrative Behavior*, it is clear that Simon (1976) regarded decision making as central in the theory of administration. He states, "The task of 'deciding' pervades the entire administrative organization quite as much as does the task of 'doing' . . . " (p.1). Indeed, the work is a study of administrative decision processes. It is also clear that he regarded value judgments as playing a significant role in administrative decisions. For example, he states, "Decisions are something more than factual propositions . . . they possess, in addition, an imperative quality--they select one future state of affairs in preference to another . . . . In short, they have an ethical as well as a factual content" (p. 46). Although Simon acknowledged the importance of value judgments, he also adhered to a strict separation of fact and value, that is, a separation of 'is' statements and 'ought' statements. Decisions according to Simon, were composed of factual elements and value elements. Statements of fact could be tested or verified empirically against experience; they could be discerned true or false. Value statements, on the other hand, were not amenable to the same criteria of truth or falsity, and further, factual statements were not derivable from value statements, thus there was no basis for objectively describing value statements as true or false, correct or incorrect. The following statement captures Simon's view on the 'is/ought' question: "The process of validating a factual proposition is quite distinct from the process of validating a value judgment. The former is validated by its agreement with the facts, the latter by human fiat" (p. 56).

This split between fact and value also formed the basis for distinctions between other aspects of administration such as policy and administrative decisions. Simon seemed to regard policy (and he spoke primarily of public policy) as containing a value dimension, while the problems of administration were primarily factual problems distinguished on the basis of reason. His explication of decision making ultimately emphasized rational approaches to administrative decisions, and rational-sequential analyses of the stages, processes, and variables associated with decision making. Simon, along with the logical positivists, ultimately assumed that there was no objective ground for understanding value statements.

Other related views held by Simon may be useful for the present discussion. Simon reasoned that a decision must start from an ethical premise that is taken as given, and "The ethical premise describes the objective of the organization in question" (p.50). The idea here seems to be that by virtue of the fact that decision, in effect, means a choice, and indeed a choice between two or more possible alternatives, some foundation of value must be necessary in order for the decision to occur. The factual components of various alternatives can be defined and analyzed at length, but it seems that no further or more fundamental empirical evidence provides the necessary ground for the actual choice made. Even if factual evidence shows a given alternative to be false or incorrect in some way, choices must still be made regarding implementation of the "best" or "most correct" alternative. One is required to "step back" from facts into a non-empirical realm of choice. Simon equated fundamental ethical premises at the basis of decisions with the objectives of the organization. This, of course, is a distinct question from the ones being examined in this study. However, Simon seemed to be reasonably clear, and indeed acknowledged the logical intricacies of the fact-value dichotomy.

Simon's undeniable emphasis on rational aspects of decision making also included the supposition that because of the "means-ends" nature of decisions, that is, because administrative decisions involve the selection of appropriate means for achieving certain ends, and these ends are themselves intermediate to other more distant ends, the goals or ultimate organizational ends are hierarchically arranged (pp. 63-64). He further claimed that such a hierarchy of means and ends was as characteristic of organizations as it is of individuals. But hierarchical arrangements inevitably carry connotations of a static structure, one in which certain values and value judgments always precede others. The difficulties with this view will be examined in greater detail later.

Most important, the studies in this era, and particularly Simon's work, set the tone and flavour for systematic research on decision making for the next few decades. Regardless of whether Simon was right or wrong, these points of view persist up to the present day and are evident in contemporary administrative research on values and decisions.

Decision Research and Rationalistic Models

It is important to keep in mind that research on decisions in education is a fairly recent phenomenon. That is, the decision research discussed in this chapter which emerged during the 1960s and 1970s took place within administrative circles in general and not so much within the field of educational administration. The conceptual frameworks which characterize this research are marked by a rationalistic perception of decision making, usually combined with linear-sequential analyses of decision situations. An example would be work by Meeker, Shure, and Rogers (1963) which is, essentially, a commentary on the state of decision research at that time. These authors distinguish two types of research program, pure and applied. One type, pure, takes theory as a point of departure and tests the postulates of theory in a created laboratory setting. On the other hand, applied research takes the practical field setting as its point of departure. Although these authors favor the latter approach, there is emphasis on defining the formal structure of decisions rather than content, so that results can be generalized to other similar settings. There is, therefore, an emphasis on simulations, similar to clinical settings, for purposes of creating controlled decision situations. In addition, there is focus on sequentially structured decision flow charts and decision trees, which in great detail, break down each single step in the decision making process.

Meeker, Shure and Rogers (1963) suggest a research approach to decisions using a "procedural analysis," consisting first of a distinction between rule-following situations, those cases where rules define the choice of one solution for one problem, and decision situations, where procedures and solutions are indeterminate. Decision situations are further broken down into multiple paths, each path consisting of prerequisite, alternative, and consequences stages (Meeker, Shure, & Rogers, p. 182).

Other research by Heller and Yukl (1969), and Heller (1973) focused on level of subordinate influence on decisions chosen by managers, and different categories of situational variables. The main objective of the research of Heller and Yukl was to devise a scale or classification system for measuring levels of subordinate influence in decisions chosen by managers at different levels of the organization, and to identify the influence of a number of situational variables on choice of decision procedure or style (level of subordinate influence), in effect, a three-way comparison of participation, type of leader, and situational variable. The situational variables defined were authority level, span of control, job function, staff-line position, length of time in position, and type of decision. Results of this research showed that all but one of the situational variables affected the choice of subordinate involvement.

Other results of interest include findings related to level of authority and subordinate involvement. The higher the leader in the authority structure, the more that leader utilized subordinates in decisions. Differences in decision styles were also found to be related to the nature of the task, personnel having the highest level of involvement, production the lowest. In addition, researchers found that the longer first and second line supervisors had been on their job, the greater was the tendency to shift from high to low levels of subordinate involvement. The inverse was true for senior managers.

In a subsequent study, Heller (1973) expanded the 1969 research. He added a third type of decision, departmental decisions, to the previous two types; those decisions affecting one subordinate, or, those affecting the workers of subordinates. He also categorized groups of situational variables into personal characteristics, situational variables, micro and macro structural variables and ecological variables. Heller also investigated the importance of each procedure (in terms of percent of time decision was used) in relation to the subordinate influence continuum. In summary, managers were found to vary their decision style according to decision situations and type of decision.

Overall, Heller's main contribution could be said to be the expansion of the parameters available for the study of decisions. Heller developed what he called the Influence-Power Continuum (IPC), that is, a measurement scale, ranging from individual decisions to delegation, for subordinate involvement and used this in relation to sets of situational variables. On the basis of his research findings he postulated a contingency theory of leader decision making, where decision styles varied according to different situations and types of decisions.

Other research conducted in the mid to late 1970s follows some of the same lines. Included here are Castore (1978), Beach, Mitchell and Drake (1978), Streufert (1978), and Suedfeld (1978).

In a synopsis of research on aspects of decision making, Castore (1978) discussed a four-cell matrix representative of judgment contexts. The judgment context matrix used two basic factors, the presence or absence of criteria for the judgment, and the judgmental response in terms of either a statement of preference or description of alternatives. Castore's summary claimed that most research to date took place in Cells II and III, that is, descriptive criterion-present judgments and preference criterion-absent judgments. Very little research, according to Castore, has been conducted in the other cells. Given stages of decision such as definition of alternatives, information search, evaluation, choice and implementation, the author also claimed that little research has investigated the initial stage of alternative definition. What research has been done indicates that this initial stage is a major determinant of subsequent stages. Overall, according to Castore, little attention has been given to decision making in a criteria-free context.

Suedfeld (1978) reviewed studies which examined the characteristics of decision making as a function of the environment. Particularly, the primary focus was on situations of unusually low and high information load. Information load is roughly described by Suedfeld as including such other variables as relevance to particular decisions studied, clarity, complexity, consistency, reinforcement value, source, perceived credibility, and so on. Among other findings, of interest here is an indication that decision making under high information load tends to become stereotyped and patterned, characterized by reduction in information search, stimulus-bound reactions, and unless care is taken, restricted to smaller ranges of possibilities.

Streufert (1978), in what essentially amounts to a study based on complexity theory, examined the relationship between the frequency of two types of decisions in relation to dimensions of information processing. According to this author, complexity theorists have attempted to explain decision making as an interaction between personality variables and environmental variables. Two types of decisions were postulated. Respondent decisions are considered similar to one to one problem solving cases where one solution clearly exists for one problem. Integrated strategic decisions are those that involve several related information items and multiple purposes. No single obvious solution exists for this type of decision. Streufert compared these two types with levels of externally provided information. Further, he tended to equate the two types of decisions with two different types of cognitive orientation in relation to decision making, that is, unidimensional (respondent) and multi-dimensional (integrated) problem solving capabilities.

Results of Streufert's work showed optimum levels for both decision types, optimum being the maximum number of decisions per unit of time. It had been predicted, and was found that the optimum level is considerably lower for integrated decisions. Also of interest is the finding that any information, relevant or irrelevant, seems to affect decision making. In Streufert's words, " information seems to have 'value' in our societies" (p. 218). Based on research and complexity theory, Streufert generated a number of propositions with regard to managerial decision making (See Streufert in King, Streufert and Feidler, pp. 215-230).

Beach, Mitchell, and Drake (1978) report three laboratory experiments on the effects of information characteristics on subjective judgments. The first test compared the effects of information relevance and credibility of source on judgments of the probability of success. Results of this study showed that as the relevance of information decreased, so did its impact on judgments of success probability. Also, as source credibility decreases, information tends to be discounted more. The purpose of the second experiment was to examine confidence in judgment in relation to orderliness of information and rate of information flow. Roughly, it was found that confidence and orderliness was a function of control of the flow of information. The third experiment investigated satisfaction in a simulated work situation of group members. More specifically, the study was designed to compare the influence of members within groups, and the influence of different groups when numbers of groups contribute to decisions, on levels of satisfaction. This was referred to respectively as "vertical and horizontal" power. Overall, both forms of influence showed positive correlations with satisfaction.

A number of points can be raised regarding this set of studies. First, it should be noted that all follow roughly similar lines in examining the parameters and constructs of rational decision models. Indeed, the conceptual frameworks developed by Simon (1976) and Heller (1973) have strong influence here, in that all studies focus on situational or environmental variables in relation to decisions. There is a distinct emphasis on decision as information processing, and in these studies, various aspects of information processing are studied. Further, there is the tendency to strive for generalized results through the use of mostly quantitative methods. Some studies were simulations, carried out in a clinical setting. It seemed to be believed by some researchers that this setting was still the most valuable given the type of problem under consideration. (Beach, Mitchell, and Drake, 1978).

A major study by Mintzberg, Raisinghani and Theoret (1976) examined the structure of "unstructured" strategic decision processes in organizations. Through collection and analysis of 25 case study decision processes, 12 basic elements of decision process in organizations were illuminated. These researchers began by identifying three major phases through which organizational decision processes pass; identification, development, and selection. Within each phase are a number of standard routines, for example, within identification are found recognition and diagnosis routines, and within development are found the search and design routines. In addition to the standard routines, three supporting routines were identified; decision control routines, communication routines and political routines. Additional dynamic factors such as various forms of interrupts, scheduling and feedback delays, and other forms of recycling were also identified. Through this form of analysis and comparison a generic model of the strategic decision process was developed which could be used, with variations, to illustrate the structure of all 25 cases. The model and its seven variations are displayed in flow chart or "schematic" form (1976, p.266).

The researchers also classified the 25 cases by stimulus, solution, and process. Interestingly, one finding of this research shows a tendency for the same or similar decision type to generate the same process. For example, decisions having to do with any development of new programs or products all seemed to manifest the same decision processes within the organization.

Overall, the phases and routines of decision process, according to the authors, are not meant to imply a "step-like" sequential decision procedure. Rather, decision processes were found to be immensely complex and dynamic, yet, amenable to conceptual structuring.

Studies such as that conducted by Mintzberg, Raisinghani, and Theoret (1976), although adhering quite closely to the premise of a "rational" decision process, also represent a break from traditional quantitative approaches to explaining decision processes. Researchers quickly became cognizant of the fact that quantitative comparisons were somewhat inadequate in providing the comprehensive understanding of decision processes that seemed to be needed. Thus, research in the 1980s reflected a move toward more qualitative methodologies, and case study or critical incident approaches to the study of decisions and problem solving. The group of studies that will now be reported represent these recent changes and also constitute the methodological foundation for the research presented here.

Decisions and Values: Contemporary Research

Louden (1980), in a dissertation study, collected data from 33 principals and some 385 teachers on principal decision making. The main purpose of the study was to test the validity and utility of the Vroom-Yetton (1973) decision making model, however, examination of a number of other attributes and their relations was included in the study. Data were collected from principals in two rounds of interviews separated by a period of four to five months, thus the study included a longitudinal dimension. After the first round, case summaries were prepared by the researcher and used in the second round to elicit data on the decisions which had been implemented. The researcher used the decision situations combined with a questionnaire to elicit data from a sample of teachers most closely effected by the decision. Thus, principals' perceptions of their decisions were compared to those of subordinates involved. Statistical data were also collected on characteristics of principals and teachers such as age, sex, years of experience, and so on.

It is interesting to note the contrast in use of terms associated with decision making research. Compared with the meaning of "process" in later studies, which often implies developmental stages or sequence, process in the Vroom-Yetton model refers to the level of participation of subordinates in decision making. When principals recorded the decision process used, they were indicating their choice of levels of subordinate involvement, ranging on a continuum from autocratic to full participation.

Results of the study could not confirm the validity or utility of the Vroom-Yetton model in a school setting. Therefore, the researcher suggested and tested modifications to the model in order to achieve more relevance for school decision making. Other findings included differences in perception between principals and teachers on administrative decision making processes. Teachers' perceptions of success were significantly related to degree of participation in decisions.

Between the period 1984 and 1991 Ashbaugh and Kasten have shown sustained interest in, and have conducted a number of studies on the decision making and values of principals and superintendents. Their first study has particular relevance for the conceptual framework used in the research conducted here.

Ashbaugh and Kasten (1984) examined the influence of values on decisions and developed typologies for both decisions and the values which underpin principal decision making. Nineteen principals were interviewed and asked to relate some of their most difficult decisions. Respondents were asked to comment on conflict, decision options, stakeholders and constraints, and personal convictions which were salient at the time of the decision. Principals were also asked about sources of influence on their personal convictions.

Forty-nine decision cases were generated and clustered into groups according to administrative task. The categorizations included staff personnel decisions, pupil personnel decisions, school-community relations, and curriculum and instruction. Only one decision was of this last type. The majority of decisions fell within the staff personnel domain.

Questions about principals' personal convictions led to a classification of responses for the purpose of identifying tacit values. The three general categories were identified as follows: (a) personalistic values, characterized by statements such as, "I use common sense," and "I prefer informal tradeoffs," (b) organizational values, some examples being, "Everyone should win a little bit" and "Our business is kids," and (c) transcendent values, examples being, "A strong work ethic," and the Golden Rule.

Results of data analysis showed that personalistic and organizational values were predominant in the responses of principals. In addition, a large number of responses related to the interests of children and were of the type, "What's good for kids."

A number of interesting points concerning this research can be noted. There is, for instance, a conspicuous similarity to Hodgkinson's hierarchical value paradigm. In fact, the authors acknowledge a debt to Hodgkinson. However, it should be noted that "student needs" are classified by Ashbaugh and Kasten as organizational values, whereas in Begley's (1990) study, which used Hodgkinson's paradigm as a model, student needs were classified as Type I values, that is, transrational and based on principle. This discrepancy could be further investigated. Although there is resemblance to Hodgkinson's model, the typology and methodology used by the researchers generated a substantive classification of values, or at least the beginnings of such a classification. This point is particularly important for the methodological approach taken in the present study.

A quite comprehensive study by Nutt (1984) focused on the classification of decision processes. The researcher adopted a qualitative, multi-case study approach in which 78 cases were profiled. Data were collected through interviews on critical events and the sequence of these events. Data were analyzed using a conceptual framework consisting of five stages and three steps. Briefly, the stages used were: (a) formulation, (b) concept development, (c) detailing, (d) evaluation, and (e) implementation. The three cognitive steps used were search, synthesis, and analysis. Through the design, five major decision process types were identified including historical model processes, off-the-shelf, appraisal, search, and nova processes.

Results showed that historical processes, that is, where solutions to problems were drawn mainly from past experience, the practices of others, and available expertise, occurred in 41% of the cases. Off-the-shelf processes, which consisted mainly of ready-made solutions by consultants, occurred in 30% of cases. Innovative approaches, which stress idea generation, were observed in only 15% of cases. The researcher also stressed the fact that normative decision approaches found in literature are virtually non-existent in actual practice.

Ashbaugh and Kasten (1986) extended interest in administrative values to the study of superintendents. Ten school superintendents were asked to respond to four hypothetical situations created by the researchers. Two situations involved relations with external communities, and two were internal to the organization. The notion of examining internal and external conflicts as a vehicle for identifying values and beliefs formed a premise on which the design was based. An interview schedule was constructed around five organizational areas in which it was believed that organizations could be found to differ. These five areas were: 1) relationships between organization and environment, 2) nature of reality and truth, 3) nature of human nature, 4) nature of human activity, and 5) nature of human relations.

Among findings were that superintendents adopted a proactive approach toward external groups. They considered themselves as organizational gatekeepers, selecting and controlling the flow of information to the board and external communities. Respondents were seen to be concerned over individuals' rights in a personnel situation, and to uphold the value of education to external communities. Often, appeal was made to legal principles and process as a rationale for decisions and judgments of truth.

Face-to-face contact as a problem solving method featured significantly in the repertoire of many respondents as a preferred course of action. Superintendents tended to opt for dealing with the situations personally as opposed to delegating. Respondents exhibited a tendency towards action, and an aggressive response towards conflict. They also espoused a participatory model of organizational relations.

In further research on values, Kasten and Ashbaugh (1988) constructed factor-based value scales from respondent statements in the 1984 study. The purpose of this study was to test the utility of the three different value types for describing values in educational administration. Responses from the previous research were factored into six categories of value scales. Items in each scale reflected different value types. A difficult personnel decision was used as a frame of reference for respondents in rating the importance of items in the value scale. Several groups were surveyed using the value scale constructed including superintendents, primary and secondary school principals, university professors, and graduate students in and outside the field of educational administration.

The researchers found that among the six factor-based value scales used, respondents favored two which reflected organizational values and one which reflected transcendent values. In short, prudence, consideration of all reasonable options, precedence, and consistency with past practice were the most highly favored organizational values scales, while honesty, integrity, and human worth were values associated with the transcendent scale. Lowest ratings were obtained for the scale reflecting the importance respondents placed on decision outcomes.

Overall, results suggest a cautious approach taken by respondents to decisions; one in which decision makers would be least exposed or vulnerable. Organizational values were most favored over personal convictions. In addition, differences in responses by the distinct groups surveyed in the study did not appear significant.

Kasten and Ashbaugh (1991) extended the study of values once again in an attempt to investigate values which superintendents rely on in their work. Fifteen school superintendents were asked to respond to an interview schedule in two parts. Data from the first part were reported elsewhere. The second part investigated superintendents' perceptions on valuable qualities of subordinates, factors limiting professional success, and criteria used to determine successful resolution of a problem. Respondents were also asked to identify the most serious problems faced, and their greatest achievements.

The most frequently listed subordinate quality was honesty. Other responses were empathy, loyalty, and willingness to compromise. Other categories of responses dealt with technical competence and academic prowess, but these categories were outweighed by personal moral codes. Respondents had less difficulty identifying achievements than most serious problems. Six respondents could not identify a specific serious problem, and six respondents identified improvement of instruction as a major accomplishment. Limitations to achieving effectiveness mentioned included lack of resources, time, labour-management relations, administering large geographic areas, and working with a board. Two respondents emphasized personal limitations such as skills and capabilities. Questions encouraging retrospective analysis, that is, questions regarding criteria used to determine successful problem resolution, elicited what the researchers referred to as outcome indicators and process indicators. Most responses, such as lack of opposition, approval, credibility, and satisfaction, were outcome indicators.

A dissertation study by Campbell-Evans (1988) attempted to investigate the nature and influence of values in the decision making of principals. The research was conducted with elementary and elementary-junior high school principals in a small urban school district in Alberta. Eight principals formed the respondent group. Data were collected in three phases, and each phase included an interview. The first phase asked respondents to recall influences and conditions associated with important educational decisions they had made. These data were analyzed before the second phase. The second phase consisted of five simulated decision tasks. The decision tasks were followed by interviews on the considerations and processes used to solve the problems. The third phase consisted of a further and more structured interview based on Leithwood and Montgomery's (1986) Principal Profile. The intent of the researcher was to gain insight into the nature of principals' decisions, the values and beliefs they considered important, and the professional role orientation of each principal, based on the Principal Profile interview and analysis. A fourth data set was obtained through a "play-back" of the interviewer's summary and description of the principal as a professional decision maker. Analysis of this set was used to help confirm the reliability of data from other phases.

Analysis of data corresponded to the three phases of data collection. Transcripts were subjected to repeated passes using as a basis of analysis Beck's (1984) five-type value classification system. Data analyzed from each phase were considered independently, and in relation to data from the other two phases. Particularly, data from phases I and II were related to data from phase III based on role orientation.

Three out of five categories of values emerged as being most often referred to. The three dominant categories were basic human values, moral values, and social and political values. From within these value categories, a primary set of fifteen identified values emerged as dominant. Importance and emphasis placed on values by principals was determined, by this researcher, on the basis of frequency of occurrence. Across all phases of data, principals referred to "participation" more than any other value. The value of sharing and the basic human value of knowledge also played dominant roles.

Research by Leithwood and Stager (1989) investigated and compared the problem solving processes of expert and non-expert principals. A sample of 22 elementary school principals from three school boards was used. Six out of the 22 principals were designated as experts. Respondents were asked to perform problem sorting and ranking tasks, and were asked to analyze and discuss solutions to two problem situations. Two rounds of interviews were conducted, and in the second round, principals were asked to rank problems based on structural clarity, and to provide solutions for the most structured and least structured problems. The focus of the research was on comparisons of structured and unstructured problems, and expert and non-expert principals.

A number of results of this study are relevant here. Five components of problem solving emerged from analysis of data; interpretation, goals, principles, constraints, and solution components. These components were used to classify responses of expert and non-expert principals. Data were subjected to both quantitative and qualitative analysis. Overall, findings showed that experts focused less effort on problem interpretation, clarified problems more easily, expended more effort on determining goals, identified more principles, identified fewer and were less hindered by constraints, and made fewer irrelevant statements than non-experts. Further, experts showed a greater coherence in least structured problems, and sources of this coherence seemed to be the principles which guided problem solving.

An information processing conception of problem solving was used by Leithwood and Steinbach (1990) as a general conceptual framework for a study of the problem solving characteristics of secondary school principals. Results of this study were placed within the context of a larger research program examining the broad problem solving strategies and influences on problem solving of school administrators. Thus, finding were compared with findings of studies of elementary school principals and CEOs. A grounded coding and classification system developed for previous research was used again in this study.

Eleven secondary school principals from three school systems participated. These respondents were identified as highly effective through a three-stage process which included ratings by central office administrators and use of the Principal Profile (Leithwood & Montgomery, 1986). Interviews consisted of two sets of questions focused on the reflections of respondents on problem solving, factors which influenced problem solving, and how respondents prioritized and assigned time to problems. Findings for this study were organized according to three broad categories; classification and management of problems, strategies used including style, nature, and sources of knowledge, and influences on problem solving.

In turn, the researchers identified a number of criteria within these broad categories. Data related to classification and management were further sub-divided into setting priority, establishing the level of difficulty of a problem, and determining level of involvement. A number of criteria were identified as a basis for setting priority such as the number and nature of people involved, and the timeframe of the problem. Likewise, criteria were identified for level of difficulty, such as impact on staff, existence of clear procedures, and potential for value conflicts, as well as for determining level of involvement, such as, time available, problem difficulty, importance of the best solution, and amount of relevant knowledge possessed by others.

Data related to broad strategies included data on style, specific strategies, and the role of knowledge. Overall styles identified suggested that these principals were collaborative, front-end risk takers, and self-reflective about problem solving. Frequently used strategies included use of deliberate models and processes, participation, and developing structures in the organization to aid in problem solving. Types of knowledge and skill identified as crucial in the problem solving process included understanding context, shared characteristics of schools, and skill in acquiring new information. A wide range of stakeholders and other factors were identified as sources of knowledge.

Finally, four main influences on problem solving were described. Increased experience was suggested as contributing to greater reflection and a more collaborative approach to problem solving. Personal values were seen to play a crucial role, although findings in this study appeared somewhat sketchy. Values often functioned as long-term goals and as fundamental guides for vision and purpose (p.40). A third influence, school system context, included board policies and procedures, the balance of autonomy and performance expectations, and board resources. Attitudes of respondents toward problem solving included a distinct awareness of the process, and confidence.

In conclusion, the authors suggest four elements of organizational context which tend to shape administrative problem solving: the level in the organization at which the administrator works; the size of the institution, which relates directly to concern over control; the responsibilities of the role; and problem solving resources or support available.

A study by Begley (1990) examined influences of values on decision making in relation to the introduction of computers in schools. Interviews were conducted with fifteen principals using Hodgkinson's (1978) value framework as a conceptual model. Briefly, Hodgkinson's model consists of three general and formal levels of subjective value orientation. Type III values are considered "personal preference" values. Type II values are subdivided into values based on consensus (Type 2B) and values based on consequences (Type 2A). The highest value category, Type I, consists of values which are "transrational," based on ethical codes or principles. The actual data-coding process was based not only on the content or substance of statements but also on verbs and adjectives used such as "I enjoy, we're required to, I have observed, effective, and we should." Seventy percent of responses were categorized as Type II values, 45% as consequence, and 25% as consensus. When variations in expressions were tabulated, giving more specific indications of reasons, of the consequence values "instructional use" scored highest, and of the consensus values, "teachers' attitudes towards" scored highest. Results also indicated that when the decision situation is more unstructured and complex, and when available knowledge and expertise is lacking, principals tend to rely more heavily on Type I values, that is, transrational ethical principles. Over time, as principals became more knowledgeable and comfortable on the subject of computers, value orientations seemed to shift to the Type II level.

In general, this research seems to reinforce Hodgkinson's formal value typology. Of particular interest and relevance to the study proposed here, and indeed, to other studies of a similar nature, is the coding process used to identify implicit values. What may be most important are potential problems of reliability in the method. In other words, can we assume a match between a respondent's intended meaning and the formal or substantive classification of values based on occurrences of action verbs and adjectives? Further investigation may be required on methods of coding for value analysis.

Jeffery (1990), in a dissertation study, attempted to identify ethical considerations which influence the decision making behavior of school principals. A questionnaire was administered to a sample of 129 principals in Newfoundland and Labrador. The questionnaire included the use of two scenarios containing ethical dilemmas. Respondents were asked to choose different solutions to the scenarios, or provide their own solution, and to specify one ethical consideration which prompted their particular response on the scenario. In addition, the questionnaires contained both fixed responses (Likert-type) and open-ended questions.

It was also Jeffery's intent to answer a number of research sub-questions concerning factors influencing the ethical behavior of principals. Situational characteristics were examined to determine if factors varied depending upon the influence of those characteristics. Specifically, data were collected on school characteristics such as size and setting, personnel characteristics such as gender and age, and organizational characteristics such as written and unwritten ethical guidelines.

Roughly, a wide variety of factors were found to influence ethical behavior. The researcher concluded that all characteristics examined--school, personnel, and organizational--impacted on the variance of ethical influence factors, and this was also the case in decision situations for which no policies or guidelines existed. Among statements concerning general ethical decisions, highest means were achieved by statements such as, "Everyone matters," and "My concern is for fair treatment for everyone." Among specific factors influencing ethical behavior, influence statements with the highest means included, "My commitment to integrity," and "My religious upbringing."

Moorhead and Nediger (1991) examined the impact of values on the activities of secondary school principals. Four principals, regarded as effective leaders, were chosen for the study based on peer and superordinate recommendations and personal knowledge of researchers. This research utilized multiple methods of data collection. Principals were shadowed for a number of days over a two year period and this method was combined with reflective interviews at various intervals during observation. Principals and colleagues were also administered an instrument to assess leadership style and personality traits. Finally a school survey used to determine attitudes and school climate was administered to principals, department heads, teachers, and a sample of students and parents. Analysis of values was based on concepts taken from Hodgkinson (1983) and Frankena (1963). On this basis ,value statements were sorted into categories, which differed, but overlapped somewhat, for each principal. Finally, for each value category and for each principal a diagram was constructed depicting traits, principals' values, goals, tasks undertaken to achieve goals, constraints, and outcomes. Again, in effect, a depiction of the problem solving process.

This research essentially presented a detailed and comprehensive description of the value-based activities of four principals whose styles differed considerably. Two principals, whose traits and approaches contrasted, were both rated highly by respondents on the school inventory. One principal, who considered himself not an initiator, methodical, and concerned with managerial tasks, was nevertheless rated highly effective on the inventory because of his prompt handling of problems and his accessibility. The researchers postulate that since each principal demonstrated contrasting approaches and since each was regarded as effective, it may not be as important which particular values are emphasized, as it is that there is a 'fit' between the principal's value system and that of the school and community. Detailed examples of gathered data, value statements, and diagrams of decision processes are included in the Appendix of the article.

Walker (1991), in a dissertation study, investigated the nature of ethical decisions of educational leaders in the province of Saskatchewan. The research examined leaders' definitions of ethical, types of ethical problems encountered, forces which impinged on ethical decisions, and philosophical grounds upon which judgments were made. The research design was characterized by three methods or data collection strategies which were, according to the researcher, "independent of each other and progressed at the same time" (p.113). Data were collected through administration of a survey to the total population of educational leaders, semi-structured interviews with a stratified random sample of that population, and through review of archival documents related to the population of educational leaders. One component of the conceptual framework, and therefore, a basis for part of the survey included four distinct ethical doctrines including deontologism, relativism, utilitarianism, and reflectivism. Items in one part of the survey were developed on the basis of these doctrines to explicate the ethical orientation of respondents in everyday decision making. Both quantitative and qualitative approaches were used in the collection and analysis of data.

The researcher found considerable diversity in the meaning of the term ethical. Forty-two percent of respondents viewed ethics as objective, or originating independently of the respondent, and 32% regarded ethics as having subjective meaning or as being dependent on personal apprehension. Other findings pointed to the assumptions of respondents on the synonymy of terms such as honesty, fair, morally correct, and so on, and to other criteria including community values, core ethical values, organizational codes of ethics, and rational altruism as a basis for definition.

Two main types of ethical problems emerged; misdeeds and quandaries. Misdeeds were clearly understood as transgressions against "black and white" core ethical values. Quandaries represented more difficult and complex ethical dilemmas for which solutions were much less clear.

Forces which were found to influence ethical decision making divided into personal, internal, and external influences. Personal influences included families, professional associates, and professional convictions. Internal influences included professional role expectations, stakeholder pressures, and work-setting pressures, and external influences included economic constraints, increasing diversity of mandate, and community politics.

Most study respondents were seen to ground their ethical decisions on sets of rules or principles including honesty, respect for others, the golden rule, religious convictions, professional responsibilities, and stakeholder sensitivity. Further, respondents tended to favor a deontological orientation the most and a relativistic orientation the least. Respondents appeared to be neutral with respect to utilitarianism and generally agreed with reflectivist orientation statements.

Finally, Walker suggests implications for theory, practice, and research. Among suggestions, the researcher calls for closer ties and more extensive study and use of moral philosophy in administration, and particularly encourages moral philosophers to rise to the challenge. Findings on core ethical values suggest the possibility of theory providing a justificatory framework for core values for the profession, defining such values, and developing implementation processes for values in conflict situations. A move to a more interdisciplinary approach is encouraged where ethics may provide the vehicle for a new appreciation of visions, world-views, and overarching frameworks.

Among the most recent studies in the area of decisions and values, Raun (1992) investigated values in relation to the problem solving of Directors of Education in Ontario. This study used two forms of data collection. First, all Directors in Ontario were surveyed using a questionnaire. Second, CEOs were audiotaped in collaborative problem solving environments. Audiotaped date were then used in a stimulated recall format to encourage respondents to discuss their thoughts and decision processes. The sample for this second data collection method consisted of seven out of ten original CEOs identified as "reputationally effective." Four approaches were used to answer questions about values. Within the survey, respondents were asked to rank order what they considered as their three most important values. They were then asked to identify values that they considered most important for staff and students. No context was provided for responses in these first two approaches. Respondents were then asked to describe a specific value conflict situation and the chosen solution for that situation. A fourth approach examined the frequency of occurrence of four different types of value conflicts, two external value conflicts and two internal. The conceptual framework used for the study was adopted from Leithwood and Steinbach (1989, 1990) and consists of a four-category system of values; basic human values, general moral values, professional values, and social and political values (Raun, 1992, p.li).

Results from the survey indicated a high emphasis on basic human and general moral values in response to context-free questions. However, this emphasis shifted to professional and social and political values when specific problem solving contexts were provided. Results of data analysis from stimulated recall interviews revealed yet another slightly different pattern. Analysis of statements indicated an emphasis on professional and basic human values. 'Role responsibility' was the value identified most often in problem solving meetings and in interviews afterwards.

Two points stand out regarding this study that merit brief mention. First, the stimulated recall situations were in fact collaborative decision situations, and as such, one could argue, present a different type of problem when compared to autonomous decision making by administrators. In other words, secure methods need to be available and used to determine the extent of influence of the values of others on the respondent for any given decision. This did not seem to be the case in this study. Second, differences in patterns in the emergence of values for context-free and context specific problems points to a possible discrepancy between espoused theory and theory in use, and yet in this study, little mention is made of this problem.

Finally, Campbell (1992), in a recent dissertation study, examined ethical or moral conflicts of teachers and principals in 10 school districts. The study combined a theoretical or "philosophical" component with an empirical component in order to examine value conflicts. The overall purpose of the study was to examine the personal morals of teachers and principals, and potential conflict with the cultural and organizational ethics of their schools. Emphasis was placed on ways of coping with potential value conflicts.

Thirty participants, including principals and teachers from 10 urban school boards, were asked to respond to interview questions in two stages. The first stage included general and specific open-ended questions based on interview protocol on value conflicts. The second stage involved special questions on moral and ethical vignettes, prepared beforehand, and presented to each respondent for analysis. Each respondent reviewed four vignettes, and individuals in the same organizational position viewed the same set of vignettes. In addition, one vignette was common across all respondents. Data were coded based on broad situational categories includung who the conflict was between, and whether responses were based on personal experiences or the hypothetical moral dilemmas presented. This form of analysis generated 26 data codes.

Among research findings, it was concluded: that teachers were somewhat more willing or able to identify and express personal moral conflicts within the organization than were principals, in that teachers often "suspended morality" and conformed to organizational norms when handling ethical dilemmas; that teachers often expressed feelings of powerlessness in relation to moral convictions; that principals focused on and used positional power to resolve moral conflict, and thus experienced less conflict by using authority to do what they perceived as right; that most respondents would be unwilling to take action against colleagues; that respondents favored "covert subversion" to personally avoid conforming to organizational ethics that conflicted with personal convictions; and that respondents at least desired not to repeat past behaviors which conflicted with institutional norms, that is, they would take a stand, but that age and professional position or status bears on decisions to repeat behaviors.

Differences between teachers and principals' perceptions of moral problems included: resolving conflict so as to avoid official sanctions or informal disapproval; principals, particularly, seemed to lack a "clear moral framework" for decision making;

teachers saw principals as over-bureaucratized and dissociated from teaching, and principals saw teachers as not thinking on a large enough scale; teachers, particularly, were unwilling to challenge colleagues on important moral issues; principals reflected a bureaucratic, technocratic, and consequentialist decision approach to conflict, and tended to see moral conflicts as other people's problems which they were required to mediate.

Campbell concludes with an appeal for increased clarity and awareness by educators on value issues and moral conflicts, and suggests further research on this topic in other areas of education, and in other types of schools. The researcher also calls for a rejection of contemporary ethical relativism in education in favor of a traditionalist, objective, and non-consequentialist ethics of right and wrong, based on truth, courage, and justice.

Conceptual Framework

The approach taken in this study could more properly be described as using conceptual frameworks, and not one single scheme. It will be worthwhile at this point to explicate the three distinct components--the decision typology, the decision process, and the values analysis--which comprise the total conceptual framework for the study. First, however, it will also be valuable to provide a brief explanation of the philosophical basis for the general approach taken, and in so doing I shall review additional literature which will be invaluable to understanding the thrust of the study and implications for future research and practice.

Philosophical Basis

It is important to be clear on the general scope of the concepts which are being discussed, and the relevant questions that need to be raised in relation to these concepts. It has been argued that administrative literature which focuses on decision making tends to provide rational analyses of processes of decisions. The decision process is understood by classifying types of decisions made by administrators, or by providing "step-like" analysis of actual decision procedures. This type of analysis provides us with a sequential breakdown of types of decisions, variables influencing decisions, or the "cognitive mechanics" of decision making. One might assume from the accumulation of this knowledge that administrative decision making is a purely rational process. For example, decisions about how many new computers to buy, or what color to paint offices, how to make bus routes more efficient, or who should pay the costs of a field trip, can be reached by assessing the problem environment, considering all relevant knowledge and information, and on this basis choosing an appropriate course of action. Indeed, it would not be argued that some decisions in an educational context can and should be made in this manner.

Valuable as this approach surely is, it is, I would suggest, not the "whole picture." It could be argued that many educational decisions are not subject to this straightforward analysis. Some decisions in education are much more difficult to make. What seems to make them difficult is that no matter how we assess the environment, and regardless of the extent of access to knowledge and information, we nevertheless find ourselves unclear on what ought to be guiding our actions, uncertain of how to proceed. Campbell-Evans (1991) has labelled this a case of "internal conflict." Although given only cursory treatment by this author, these cases, it seems to me, provide examples of the most difficult decisions in education. The internal conflict is in fact a conflict of values. Administrators find themselves required to choose between alternative courses of action on the basis of fundamentally held, but often poorly understood values.

Once the importance of values in administration is acknowledged, a number of other problems arise. One is inclined to ask "What is the nature and function of values in administration?" and "Whose values do we espouse?" It appears at first glance that writers such as Hodgkinson and Greenfield have attempted to address such questions. Although perhaps not a thorough-going epistemological subjectivist, Hodgkinson's position on the fact/value dichotomy and on the essential nature of values is quite clear. Concerning the fact/value debate, Hodgkinson (1978) suggests, "To confuse value with fact or to presume that the former can somehow be derived from the latter is to commit . . . the naturalistic fallacy" (p.106). In marking further distinctions between facts and values, and thus revealing his subjective position on values, Hodgkinson states,

> the world of fact, is *given* and the other, the world of value, is *made*. The former is objective; we had little or no hand in it. The latter is subjective; we can have as much of a hand in it as we wish. (p.104)

Elsewhere, Hodgkinson (1983) says of values: "They are utterly phenomenological, subjective, facts of the inner and personal experience, . . . " (p.31).

From this philosophical vantage point, Hodgkinson (1978, 1983) proposes a value paradigm to be used by administrators in doing a value audit. The value paradigm, essentially a formal, analytical model, consists of a three-tiered hierarchy, and thus results in three different types of values. Type III values, the lowest level, express personal preferences or tastes, and are grounded in individual affect. Type II values are sub-divided into values of consensus and values of consequence. Both sub-types enlist the use of reason, and the ground of justification for such choices is ultimately the social context of the collectivity. Type I values are grounded in principle, and, according to Hodgkinson (1983), are "transrational; they go beyond reason" (p.39). These values are based on will, and reflect a kind of faith, belief, or commitment (1978, p.113).

The practical purpose of this model seems to be to help us decide on value conflicts in organizations. One problem, among others, is that Hodgkinson's paradigm provides little help in determining which values fit where. One can easily see how this creates a dilemma for practicing administrators. Hodgkinson tells us that any value may appear at any level. Since neither Type III nor Type I values are amenable to rational justification, nothing that resembles standards is available for distinguishing Type III from Type I values, or, more importantly, for judging the merits of different values within Type I. Thus, there is no basis for assessing the different value choices or value systems of leaders and subordinates in organizations. This resigns us to some potentially undesirable states of affairs. There is little justification for hiring a Gandhi over a Hitler. Evers (1985), in making a similar criticism, puts the matter this way:

> Because the whole basis of Hodgkinson's distinction between Type I and Type III values is epistemic, having to do with the way they are justified, an epistemic indeterminacy here will not only cause the distinction to collapse, it will not even permit it to be drawn. (p.41)

Greenfield ultimately rejected the canons of positivistic science as being able to provide an adequate foundation for a science of administration and a true understanding of the role of values in administrative behavior. In specifying concerns over our views on the reality of organizations, he proposed a rather extreme form of epistemological relativism which, it is fair to say, implies a purely subjectivist point of view on values in administration. In offering one of the clearest stances on subjectivist views of behavior, Greenfield (1982) claims that "we live in separate realities. What is true for one person is not for another" (p.5). His views on ethics are similar. Elsewhere, he goes on to suggest,

> The moral order lies within us. It is built into us by our experiences and by the actions of others. In the subjectivist's perspective, the moral order is not an "order of nature" to which the individual must adapt . . . . The moral order is not out there in the same sense that nature is out there . . . . (1980, p.94)

The general notion seems to be that we each perceive reality differently, or better put, the abstraction of an organizational reality is constructed as a function of individual experience and intention. It is also inferred from this that what is rational for one individual, may not be for another (Foster, 1986, p. 6). This is, in essence, the expression of a subjectivist philosophical stance which in the end will provide very little ground for the practice of administrative decision-making. There are, it seems to me, definite limits to the extent to which we can reinterpret events in the external world and still share a common understanding. One is inclined to ask the question, "If there are as many realities as there are individual perceptions, how in fact do we manage to discern the truth of statements? How do we make mutual sense out of organizational contexts?" or simply, "How do we manage to communicate successfully with one another?" This question needs detailed philosophical investigation in order to clarify whether or not it is sensible to make claims concerning "separate realities."

One final point needs to be made which is intended simply to raise an additional basic question on subjectivism and research on decisions and values. The philosophic points of view proposed by writers such as Hodgkinson and Greenfield have excluded a further important component, one that, it could be argued, is somehow necessary to a philosophy of administration--that is, a philosophy of education. What would be the logical nature of such a philosophy? One might start by saying that a philosophy of education is in some sense like one's vision of education. An administrator's vision, it could be suggested, ought to be expressed in terms of the learning experience of students, that is, those who are the recipients of processes of complex decision making. This is, after all, what education is about. This, in turn, implies that the vision, when it is expressed, will not, logically cannot, be expressed in purely formal terms. When we state that "such and such" is our vision for education we will be stating general conditions and purposes for education in its most desired form. In other words, "aims" in education are being expressed. It could be suggested that aims comprise the *content* of our vision of education. Not only will these aims be non-formal, they will also be value-laden. This is simply because we are deciding what we want education to be, and this cannot be just anything at all. In other words, it is not the case that simply any activities at all will do in education. When we set aims in education we are in fact making a choice, and the choice is far from arbitrary. When we stipulate aims, implicitly or explicitly we indicate what we believe is most valuable in education--what education *ought* to be. But such an approach would make no sense without also understanding that to specify choices in such a manner implies that aims *can* be specified in public language, otherwise we are thrown back into subjectivism. This is to say that the values implicit in educational aims are not just private; the process of exposing values and setting aims will be a public process, one of dialogue and collective agreement.

At present, it is not clear how subjectivism can provide the much needed basis for direction in educational affairs. Or, stated in different words, it appears that so far these points of view have not provided an adequate and coherent *logic of value*. There is not the time nor the space in a study of this type to present a detailed explication of an alternative philosophical view which would in fact provide a coherent logic of value. Suffice it to say that the philosophical position taken here on the role of decisions and values in administration is non-subjectivist in nature. This view permeates the design of the study and subsequent data analyses. The question of just how this philosophical view "cashes out" in administrative theory and practice will be discussed again in the final chapter of the thesis.

The Classification of Decisions

A study of values in principal decision making conducted by Ashbaugh and Kasten (1984) was referred to earlier. This study provided the initial inspiration for the decision typology which follows, however, the theoretical framework originates in the writings of Kimbrough and Nunnery (1983, 1988). (The third edition, 1988, slightly refined from the second, was used in the present study.)

Kimbrough and Nunnery (1988) described different types of administrative responsibility and decision according to administrative task. This, in turn, amounts to different aspects or areas of organizational operation over which an administrator is likely to have decision making responsibility. With only minor modifications, this theoretical framework provided the basis for the classification of decision cases received from respondents. Kimbrough and Nunnery proposed eight different categories.

Organizational Structure. These decisions or incidents relate to establishing or redesigning orga[illegible]tional structure to meet various operational or strategic needs. Structural decisions could be made to enhance realization of organizational goals or mission statements, for example, moving from a bureaucratic to a more collegial organizational model. Committees or other units could be set up to facilitate a more participative decision process, or to enhance plannin[illegible]uctures could be initiated or redesigned to strengthen communication, both internal [illegible]nstitution, or for external relations.

Curriculum and Instruction. Such decisions could involve translating educational goals into teaching and learning plans, as, for example, deciding what philosophy of learning--humanist, reconstructionist, or technological--one adheres to. Decisions on the organization of instruction such as grading, team teaching, ability grouping, and so on, and on evaluation of programs could also be included, as might issues related to support systems for curriculum and instruction.

Finance. These decisions involve choices about scarce resources. Included here could be cases concerning budgeting and financial planning for institutional needs. Preparing a budget document and justifying the inclusion and exclusion of aspects of a program might be an example. Other decisions could relate more closely to actual funding, such as use of taxes, new fund raising approaches, establishing foundations, marketing questions, education-business relations, and so on.

Management of Support Services. Such decisions as the management of accounting or finance departments, which handle salaries, various expenditures, insurance, and benefits could be included here. Also included might be the management of transportation, food services, equipment purchases, storage and distribution, and the supervision of non-instructional personnel.

Staff Personnel Administration. Examples in this class might include cases concerning personnel policies or collective bargaining. Also included would be issues of recruitment, screening, selection, promotion and dismissal, and questions concerning staff evaluation and professional development.

Student Personnel Decisions. These incidents are directly related to students, but not directly related to curriculum or instruction. Examples of such decisions might be questions related to admission, registration, and enrollment. Also included would be issues concerning counselling services, student discipline, health services and student recreation.

Buildings and Facilities. These decisions might be related, for example, to planning and construction of new facilities, to maintaining plant operations, or scheduling the use of facilities by the community.

School-Community Relations. Questions here concern liaison with the tax paying public. Examples could be a public relations program, or a system of communication with parents or community groups. Decisions could also involve the participation of administrators in community activities, or cases of institute-community conflict.

A number of points are worth noting with regard to the above classification system. First, there are, of course, cases where decisions overlap areas of the classification system, such that, a decision may be related to organizational structure and finance simultaneously. In fact, it is unlikely that an administrative decision falls purely within one category. Therefore, in this study, the criterion which stood out as primary or dominant was used for classification, allowing for administrative decision incidents to be classified in one particular category. (More detail will be given on methods used for the typology in chapter 4.) Second, it must be kept in mind that the classification scheme was not firmly set. Ashbaugh and Kasten (1984) applied the typology in the principalship setting. In the present study it was applied in the postsecondary setting, and although many categories were applicable, it was expected that adjustments would need to be made, and this did not rule out the possibility of adding or deleting categories. Figure 2.1 provides a diagrammatic representation of the constellation of administrative tasks within an organizational context.

The Decision Process

The second component of the conceptual framework used for this study consists of a rational model of decision making. Essentially, the choice of this type of model has been influenced by reviews of the literature and by conceptual analysis of the relations between administrative action, decisions, and values. A comment is warranted on why this choice of a model was made. This will be followed by a brief description of the components of the decision process.

First, it is undeniable that the model used in this study has been strongly influenced by the body of research which precedes it. From the work of Simon (1976) onwards, decision studies have stressed a rational view of decision making, one where the decision process is explained by being broken down into identifiable steps or stages. Three fairly contemporary examples will illustrate. Mintzberg, Raisinghani, and Theoret (1976), in their study of organizational decision processes, identified three basic decision stages, identification, development, and selection, in which could be found further stages or sub-routines, for example, recognition and diagnosis within the identification stage. The result of this analysis was a general model, or decision flow chart, represented by a schematic diagram, which formed the basis for seven different variations on this general model.

Leithwood and Stager (1989), in a study examining differences in problem solving skills of expert and non-expert principals, identified five problem solving components; interpretation, goals, principles, constraints, and solutions. Similarly, Moorhead and Nediger (1990) constructed, for each category and principal who participated in the study, a diagram representing the impact of values on principals' activities. The general model

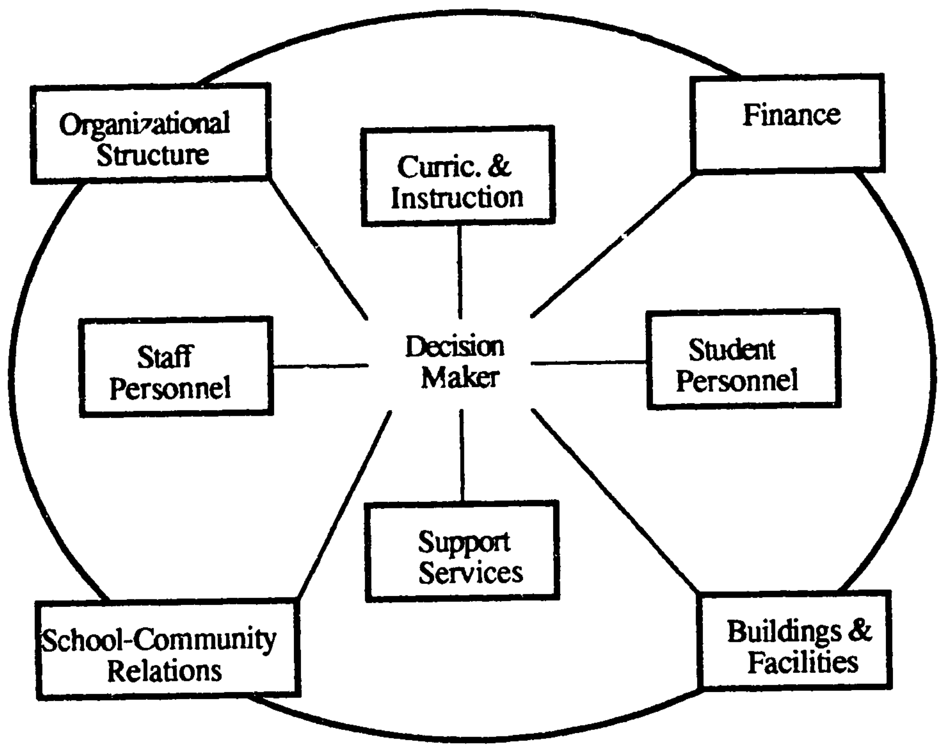

Figure 2.1. Decision types by administrative task (Kimbrough and Nunnery, 1988.)

represented consisted of values, goals, activities, constraints, and outcomes. These are three examples of the studies which have influenced the choice of the model presented here.

There are, in addition, a number of assumptions concerning the validity of rational decision models and their prevalence in practice which are worth mentioning. First, although we cannot, of course, have direct knowledge or insight into mental operations of decision makers, it can be inferred, on the basis of experience, observations of others, and common sense, that most important administrative decisions are rational in nature. In other words, when administrators are faced with complex dilemmas they are most likely to develop reasoned strategies and solutions to those dilemmas. Another way of stating this is to ask whether or not administrators can afford not to make adequately reasoned decisions on important issues. This inference is born out not only in previous research, but also in analysis of data in the pilot study conducted. Decision makers (particularly superintendents who participated in the pilot) tended not to rely on alternate modes of decision making when asked about such things as "hunches" or "gut feelings." Although these were present, administrators tended to distance themselves from these feelings and strive for an objective view of the given situation.

Second, justification of an interest in decision models in administration other than those which are "rational" seems problematic. A serious problem arises in not only the testing of such a model, but even in its description or explication. In other words, could there be such things as models, necessarily logically constructed, which are non-rational or a-rational? How would such models be described and tested, or, on what grounds could we discern that such a model, if constructed, had any degree of validity? Further, perhaps adherence to "transrational" models and decisions which transcend rational procedures is possible? However, as was suggested in discussing Hodgkinson's (1978, 1983) theory, similar problems of validity confront paradigms and models for which no form of justification distinguishes findings in different categories or at different heirarchical levels. Then, perhaps, intuitive models are possible (assuming for the moment that intuition is non-rational)? This possibility is, to a certain degree, accounted for in phase I interviews, as will be discussed in more detail in subsequent chapters. Or, perhaps, a creative model is applicable? Again, the problem here is one of justification of claims for validity, or, in the case of a creative model, could we be certain that what we identify as creative is not really rational instead?

This discussion is not intended to discourage new and alternative views on decision making, but rather, merely to offer a word of caution on just how far, given the present state of research on decisions and values, such views can be taken in practical terms. Rather, it is suggested here that an effective way to identify values is by looking through the rational decision process into the value dimension. Once this is accomplished, we shall discover that values are not entities distinct from decision making, but simply another important and fundamental aspect of decision process itself. To say that a judgment is rational is simply to suggest that a choice has been made between alternatives, or between consequences, or goals, or based on non-consequentialist principles or convictions, and this choice, in turn, supposes that basic reasons can be given for choosing A over B. And the giving of reasons for decision constitutes something akin to implicit or explicit value statements; in other words, such statements constitute an answer to the question "Why A over B?"

A diagrammatic representation of a model for decision process is displayed in Figure 2.2. This model reflects the general framework used for development of major categories of decision process in analysis of data.

The decision process, as depicted, is composed of three general stages and a number of major components or categories. First, prerequisite to most administrative decisions, rational or not, is identification and definition of a problem or dilemma--in effect, a conflict--between real states of affairs and those that are ultimately desired. (Notice that even at this initial stage, expression of "ultimately desired" end states would amount to expression of important values. More important in this research however, is the

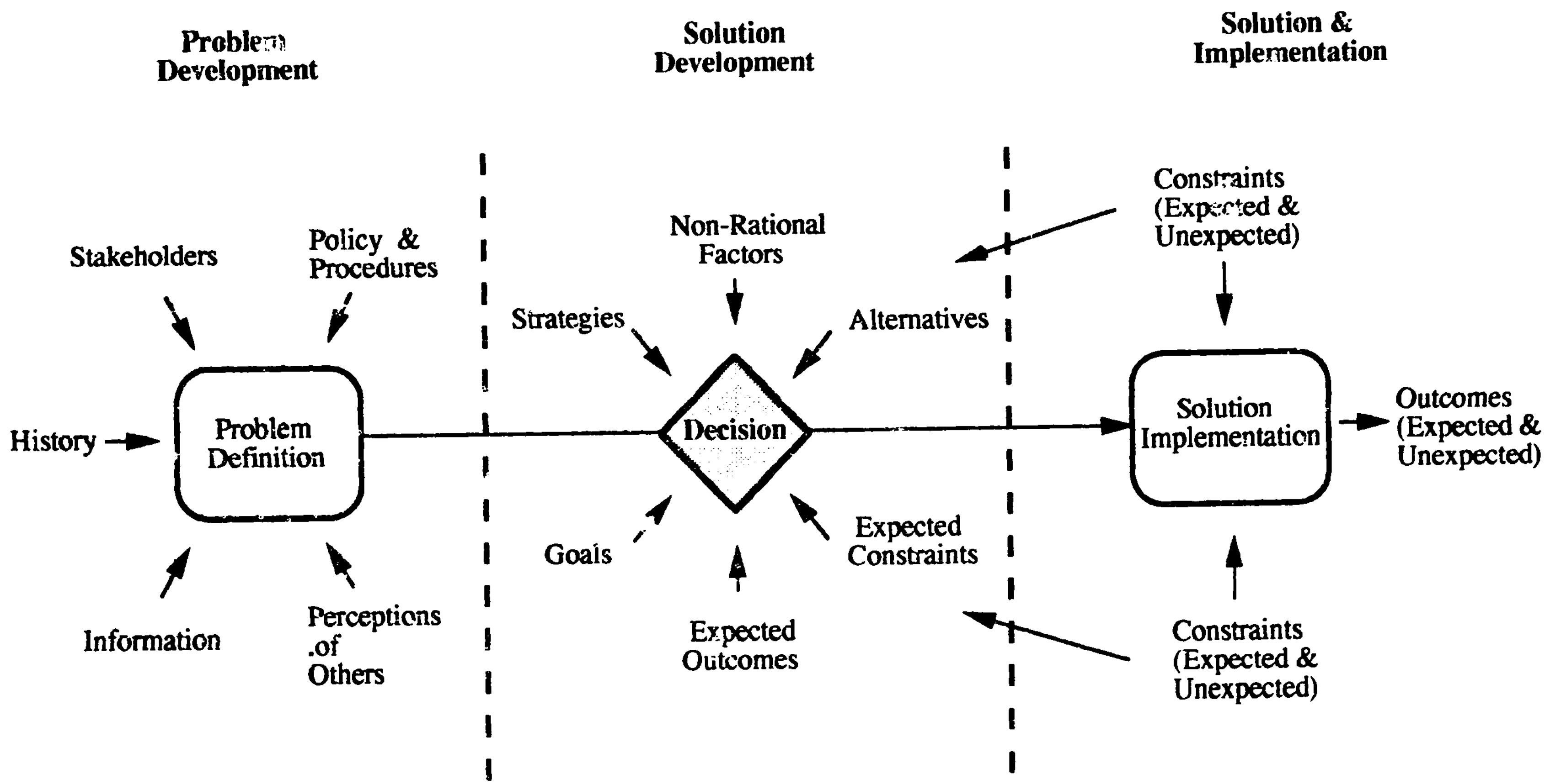

Figure 2.2. The decision process.

value-basis of choice for solutions, since it is this judgment which has impact through to administrative action.) Variations for this stage exist among different researchers. The representation provided in Figure 2.2 depicts the problem development stage as being comprised of problem definition, perceptions of others, and a number of other sub-categories. Aside from the category of perceptions of others, which is somewhat distinct, and which will be explained in more detail in subsequent chapters, this stage corresponds to much research, and was roughly confirmed in the pilot study.

The next stage, solution development, consists of a number of categories including alternatives, non-rational factors, constraints to decision making, identification of possible strategies, and predicted outcomes. A given decision process may or may not include all components, and their depiction in Figure 2.2 is not intended to indicate a particular rational or sequential order.

The implementation stage essentially represents the point at which a final choice is made to commit to action. The decision is finally borne out in action through implementation, however, it should be noted that implementation is not the focus of this study. Expected and unexpected outcomes emerge in response to implementation, and actual constraints impinge at all points in the decision process. The nature of the decision process model depicted in Figure 2.2 will be discussed again in more detail in the final chapter.

Values

The remaining task is to elucidate the third important aspect of the conceptual framework used in this study, that is, the identification of values. In order to achieve this, one will need to focus primarily on two specific types of literature.

First, a word must be said about what is commonly known as values clarification. In the province of Alberta, our most popular understanding of this concept probably stems from implementation of the technique in the 1970s in the Social Studies curriculum (Alberta Department of Education, 1970). The issue was re-visited in the 1980's. What is most important for us here are perhaps the theoretical underpinnings of the values clarification movement. In explicating these, I will refer mainly to two works, Simon, Howe and Kirschenbaum's (1978) *Values Clarification*, and Smith's (1977) *A Practical Guide to Value Clarification.*

Values clarification is, by virtue of its title, self-explanatory. It is a process whereby, through the use of a wide variety of practical techniques, learners confront and become clear on their values and value systems. It is important to note that, as Smith (1977) states, "value clarification does not tell a person what his values should be. . . ; it simply provides the means . . . to discover what values he does live by" (p. 5). Both texts include descriptions of numerous techniques for this purpose which include such things as retrospection--recalling the circumstances of your choices through "I learned . . . " statements, force-field analysis--listing pros and cons of taking action on a decision (Simon, Howe and Kirschenbaum pp. 163, 189), to voting on or ranking values, and role playing and fantasy exploration (Smith pp. 31, 36, 131,139). Both works list seven criteria or processes that are characteristic of fully holding a given value. Simon, Howe and Kirschenbaum refer to these as sub-processes, while Smith refers to seven criteria. In both works, however, the criteria are virtually identical. They are: (a) a value must be chosen freely, (b) a value must be chosen from alternatives, and (c) chosen after considering consequences, (d) a value must be cherished or prized, one must be happy with the choice, (e) one must be willing to affirm the value publically, (f) choices are acted upon, and (g) acted upon with consistency, with a pattern (Smith, p. 7).

Overall, the theory of values clarification was useful in this study not so much for processes of data analysis, but moreso as a rough guide for designing interview formats. That is, values clarification sheds light on what types of questions are likely to elicit value statements. Examination of the interview guide for both phases I and II of this study will reveal emphasis on alternatives and consequences, two of the seven criteria of values clarification. In addition, certain questions in phase I interviews were adapted from practical strategies, such as the question, "If you had this decision to make over again, . . . " (see Simon, Howe, and Kirschenbaum, strategy #15, p. 163).

Both the theoretical and empirical work of Rokeach (1973) on values and value systems has been extensive. He defined a value as "an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence" (p. 5). He further defined a value system as an enduring organization of beliefs. Rokeach distinguished two kinds of values, each, in turn, divided into two types. Terminal values are those beliefs which concern end-states of existence, and they may be either of the self-centered or society-centered type. One may be concerned with peace of mind as a personal end-state, or with world peace or brotherhood as an interpersonal end-state. Instrumental values, those concerning modes of conduct rather than end-states, may be moral or competence-oriented. Moral values refer to those values with an interpersonal focus such that violation of a moral value would produce guilt over wrong-doing in relations with others. Competence values have an intrapersonal character and focus on the adequacy or inadequacy of certain achievements or behaviors. Thus, being honest or responsible is moral, while acting intelligently or imaginatively is concerned with competence values.

Rokeach also suggested that the actual number of values human beings hold is assumed to be relatively small. He estimated that the total number of terminal values that a grown person possesses is about "a dozen and a half," and the total number of instrumental values is somewhat larger, "perhaps five or six dozen" (p. 11). The assumption seems to be that there are just so many end-states to strive for, and only so many modes of conduct for achieving ends. Rokeach believed that human values are finite in number and therefore measurable.

Rokeach's analysis and research extends to the study of values, value systems, the functions of values, comparison of values with other concepts such as attitudes, norms, needs, traits, and interests, and to the study of changes in values and value systems. Based on research, he suggested a list of 18 terminal and 18 instrumental values.

Beck (cited in Campbell-Evans, 1988) seemed to believe (along with others such as Rokeach, 1973) that values were based in human need, and since individuals and groups have similar basic needs and are faced with similar types of problems, a fairly common set of universal values exists. Emphasis and priorities may shift over time and in relation to specific circumstances, but a set of basic human values can be identified reflecting the commonality of the human condition. Beck identified five sets or types of values: (a) basic human values including, for example, survival, happiness, self-respect, knowledge, and freedom, (b) moral values including such concepts as responsibility, courage, and self-control, (c) social and political values including justice, due process and participation, (d) intermediate-range values including food, shelter, entertainment and fitness, and (e) specific values including such things as a car, a good television, a particular friendship, or a particular sport. Beck further suggested that the categorization of values should be regarded as fluid and open. Values should not be viewed in isolation but rather as part of an interacting system. Also, values are both means and ends. Regarding value as merely a means is to deny its intrinsic worth, while viewing values strictly as ends is to treat them as absolutes (Campbell-Evans,1988, p. 12). In a later work, Beck (1991) extended his classification by suggesting an additional category of spiritual values in which he included awareness, integration, hope, humility, and so on. A composite view of both Rokeach's and Beck's value categorizations is presented in Appendix E.

These theories of value and value systems served merely as a rough background for the coding of values and in some cases, the transposition of value statements into more generalized values. Value schemes served their primary purpose, then, as reference lists in the reporting of data. Two points need to be made in order to clarify the reasons for this approach. First, value categorizations such as the ones discussed here, or, it seems to me, any generalized categorization, do not solve the problem of the identification of value statements in raw data. Furthermore, based on a fairly thorough review of the relevant literature, it appears that no established procedures exist for identifying and analyzing values in data. Details of data analysis will be discussed further in chapter 3. Suffice it to say at this point that the approach to value analysis taken here will be similar to what can be discerned in other recent studies in the same area (Begley, 1988; Campbell-Evans, 1988). Words and phrases which indicate a respondent's sense or feeling of what is desirable, given a particular educational setting, will provide clues to value statements. Such words and phrases might include ought, should, would, could have, like to, important, good, have to, and so on. Of course, value statements may occur anywhere in an interview. However, it will, in addition, be critical to identify value statements at the point at which reasons are given for the most fundamental choices. This, essentially, reflects the question, "Why A over B?"

Second, there appear to be discrepancies in the classification of values by different researchers. For example, values reflected in statements like "What's good for kids" were classified as a type of organizational value by Ashbaugh and Kasten (1984). Similar findings were classified as transcendent values by Begley (1988). The statement "I have a strong work ethic" was regarded as a transcendent value by Ashbaugh and Kasten, however, it could as easily be argued within an educational setting, that such statements represent organizational values. The statement "Violation of the rights of others cannot be permitted" was again classified as transcendent by Ashbaugh and Kasten, yet, the classification of such statements as reflecting political values does not seem inappropriate. These types of discrepancies raise a larger question concerning the validity of classification systems such as those mentioned here, and their use in further research. That is, there seems to be very little logical grounding for classifications where specific values are placed exclusively in one category rather than another. Indeed, we become plagued by the problem of providing good reasons for classifying a concept such as "truth" as a basic human value, or a moral value, as opposed to a social or political value.

Therefore, one important respect in which this study differs from previous research is that, although other value classifications were used as a background, no pre-conceived value categorization system was imposed a priori in the analysis of data. Aside from the obvious educational context in which the study is placed, any classification of values identified and coded in data exists only in relation to the decision typology. In this way, the numerous problems associated with pre-conceived classifications of values such as moral, political, basic human, terminal, or instrumental, can be avoided. Given that value judgments do not exist in a vacuum, but are, rather, context dependent, it is expected that the identification of values in relation to types of decisions made by administrators will enhance the transfer of knowledge.

Summary

This chapter has addressed two main tasks. First, a review of relevant literature has been provided which outlines, in roughly three historic periods, the development of contemporary research on decisions and values. The foundations of this research were discussed in terms of the theories of Barnard (1938) and Simon (1976). The period of the 1960s through the 1970s disclosed research that was primarily quantitative and quasi-experimental in nature, but with a beginning emphasis on situational variables and levels of participation. Discussion of the contemporary period covered, in more detail, relevant research on decision making and values in educational administration.

The second task involved outlining the conceptual framework used for the study. This required some consideration of the philosophic basis for these conceptions, and explication of three levels of conceptual framework which included the decision typology, the decision process, and values analysis.

CHAPTER 3

DESIGN AND METHODOLOGY

So far, the preceding chapters have outlined the general parameters of the study, discussed the development of research in this area and other literature which is relevant, and described the conceptual framework which as been adopted to address the major research questions. This chapter describes in more detail aspects of the methodology employed throughout the research. The study design, the respondent group, the pilot study, and data collection and analysis procedures will be discussed in turn. As well, strategies used in establishing methodological rigor will be described, in so far as they generally apply throughout the study. Additional procedures will be referred to in subsequent chapters at those points where such discussion will be most relevant and useful.

Design of the Study

A qualitative, two-phase design was adopted for this project, with emphasis on multiple case study analysis and comparison. The respondent group consisted of CEOs of 10 public colleges in the province of Alberta. In phase I, all respondents were asked to recall critical decision incidents which were then analyzed and classified. Analysis of phase I interviews focused first on the decision processes involved in resolving the incidents, and second, on values implicit in decision making. In phase II, a simulation approach was used. A sub-sample of the original respondent group was asked to react to a set of cases selected from phase I. Again, interviews in this phase elicited data on decision processes and values related to the simulation. The design allowed for analyses and comparisons both within and between phases.

The Pilot Study

The pilot study served an essential purpose in clarifying various dimensions of the overall design and method. The following discussion highlights some of the most important developments emerging from the pilot study.

First, on a smaller scale, the design of the pilot followed as closely as possible the design of the actual project. Six respondents were drawn from a graduate class in Educational Administration at the University of Alberta. None of the respondents were college executives, however, three held supervisory positions, and out of the three, two were superintendents. All respondents were asked to recall, in writing, a critical decision incident from their recent professional work experience. Respondents were encouraged to recall cases which were important in terms of teaching and learning, and difficult or unstructured, in terms of defining the problem and the solution. Each case was reviewed and revised by the researcher. In May, 1992, tape-recorded interviews were conducted with each respondent. Interview length varied from approximately 30 minutes to 45 minutes. Prior to each interview, respondents were asked to verify any revisions, spelling errors, or omissions in their own case. In addition, respondents were asked to complete a short list of questions on each case and to classify their own incident using Kimbrough and Nunnery's (1988) categorization of decisions by administrative task. Respondents were guaranteed confidentiality, and permission was sought from each respondent for the possible use of incidents in a second round of interviews. Cases were double-checked for names and places which might reveal identities. Finally, respondents were asked to complete a short evaluation form on the first round of interviews. This feedback was used in conjunction with feedback from peers for later revisions to the interview guide.

Tape-recorded interviews were then transcribed and analyzed. It was expected that at least two levels of analysis would be required, the first for establishing general categories of decision process, and the second for values analysis. The first level of coding revealed roughly 27 categories and sub-categories. The second level, that is, values analysis, tended to occur in conjunction with the analysis of decision process rather than as a separate and distinct procedure. Value statements were coded in much the same way as other aspects of decision process. A sample of excerpts from transcripts was also reviewed by four peers. Coding categories, and other general observations made by peers were in many cases quite similar to those originally generated by the researcher.

In July, 1992, a sub-sample of three respondents out of the original six were chosen as the respondent group for a second round of interviews. Two of the three were superintendents. Given the small number of cases generated, a set of three cases, including ones from other sources, was created. Respondents were contacted for interviews, and at the same time sent by mail a packet containing the set of cases and a short list of questions on each case. As in the first round of interviews, the questions were used to confirm the importance and difficulty of each case as perceived by the respondent. In the second round, one interview was conducted in person, and two by telephone. Again, interviews were audio recorded. Telephone interviews, after initial personal contact with respondents, besides being cost and time effective, were deemed to be a viable alternative to face-to-face contact. Preliminary data analysis from this round revealed some similarities and some differences in analytic constructs and categories. Particularly, some important similarities were noted in decision process.

Results of the pilot study led to a number of insights into the study design, and also to the one or two revisions which should now be mentioned. Categorizing decisions according to Kimbrough & Nunnery's typology proved to be a difficult task for respondents. It appeared as if respondents were unable to comprehend, on the "spur" of the moment, the theoretical framework associated with the typology. Although respondents did attempt to classify cases, they showed considerable difficulty, given the short time allowed, in grasping the substance of the typology and applying it to their own case. Cases received from respondents often could be related to more than one category. Further, some classifications made did not seem entirely congruent with the content of the written cases. The difficulty came, first, in knowing the theory on which the typology was based and second, in being able to identify a primary criterion for classification. It was concluded that a more effective and precise method of classification would need to be devised.

To further test the typology, a diagram and explanation was viewed by a peer who had spent a considerable amount of time in the public college sector as a senior administrator. With the exception of minor comments which included additional examples of problems within the major categories, this colleague estimated that the typology would in fact be generally applicable in the environment in which the study would be carried out. It was expected, however, that there may be minor adaptations.

A number of questions in the first round of interviews did not elicit data in the manner originally expected. For example, at a key point in the interview, respondents were confronted with hypothetical alternatives to the course of action taken. It was hoped that this approach would elicit the reasons "why" a certain decision had been made, and also reveal what values underlie those choices. Often, respondents would, instead, reiterate what had already been said. A second approach, asking about the most decisive factor in the choice, and asking for reasons "why" that factor was most decisive seemed to yield somewhat more useful data.

There was also some indication that interviews were over-structured, both in terms of type of question asked, and in terms of sequence. Efforts were made, therefore, to design more open interviews for the second round, although the general format was adopted from the first round interview guide. It should be noted that interview guides continued to be revised on this basis, and were further refined, particularly for phase II of the study, as data from the actual project was collected.

The Respondent Group

Respondents for the study consisted of CEOs of 10 public colleges in the province of Alberta. The choice of this group is consistent with most contemporary research in this area (see Ashbaugh & Kasten, 1984, 1986, 1991; Begley, 1990; Campbell-Evans, 1988; Leithwood & Stager, 1989; Leithwood & Steinbach, 1990; or other studies on decisions and values) in that, predominantly, participants are selected from one professional rank. However, the majority of studies so far have focused on principals and superintendents. Little work has, as yet, been done in the postsecondary sector.

For phase II interviews, a sub-sample of four respondents from the original group was selected and asked to react to a set of cases chosen from those initially received. It was important in this selection that participants not view their own decision cases, therefore, respondents were chosen who were not original authors of the cases used in phase II. The choice of cases for phase II was based on the types of decision incidents received, and the clarity and amount of revision or alteration necessary in order to maintain confidentiality, and at the same time preserve the complexity of the case. More detailed data on the professional background of all respondents, their institutions, and characteristics of cases is contained in the following chapter.

Reliability and Validity

Before discussing specific procedures used to enhance credibility of the study, some mention of the general approach to methodological rigor adopted for this study is warranted. Briefly comparing the views of LeCompte and Goetz (1982) and Guba and Lincoln (1981) may best accomplish this task, and in so doing, some justification will be provided for the use of certain terms over others.

LeCompte and Goetz (1982) discuss external and internal reliability and validity as these concepts are applied in ethnographic research. These authors regard ethnographic research as "a shorthand rubric for . . . qualitative research, case study research, field research, anthropological research, or ethnography" (p. 31). Although in the present study the terms ethnographic and qualitative are not taken as synonymous, LeCompte and Goetz' definitions of reliability and validity do serve to put into perspective the problems encountered in establishing rigor in qualitative methods. Regarding reliability, these authors state,

> External reliability addresses the issue of whether independent researchers would discover the same phenomena or generate the same constructs in the same or similar settings. Internal reliability refers to the degree to which other researchers, given a set of previously generated constructs, would match them with data in the same way as did the original researcher. (p. 32)

Establishing validity, according to the authors, requires determining the extent to which data categories, interpretation and conclusions represent empirical reality. Regarding validity, the authors state, "Internal validity refers to the extent to which scientific observations and measurements are authentic representations of some reality. External validity addresses the degree to which such representations may be compared legitimately across groups" (p. 32).

In contrast, Guba and Lincoln (1981) suggest four traditional criteria of scientific adequacy, and discuss the use of analogous terms for these criteria which they believe are more appropriate for naturalistic inquiry. The first criterion, truth value, or internal validity, refers to the degree of "match" that can be demonstrated between study data and the phenomena that the data are assumed to describe. Guba and Lincoln suggest use of the term "credibility" in place of internal validity as more applicable for naturalistic studies. The second criterion, applicability, or generalizability, refers to application of study findings in other similar contexts. Here, the authors suggest the term "fittingness" as being more appropriate. Concerning fittingness, they state, "it seems useful to think not in terms of generalizations but in terms of working hypotheses that fit more or less well into a context other than the one in which they were derived" (p. 118).

The third criterion discussed is that of consistency, or in more scientific terms, reliability. In naturalistic inquiry, according to Guba and Lincoln, emphasis is not so much placed on replication per se. Indeed, given the open-ended and sometimes personal approaches taken in such studies, exact replication is likely impossible. Rather, in naturalistic research, emphasis is placed on a certain level of agreement as to the soundness of decisions on substantive and methodological issues. Outside investigators must be able to provide assurance as to the logic and consistency with which the study was carried out. Guba and Lincoln stress the independent assessment or 'audit' as the most useful and important step that can be taken to demonstrate consistency. They propose, instead of reliability, the concept of "auditability" as more appropriate.

The final criterion suggested by Guba and Lincoln is that of neutrality, or objectivity. The concept refers, essentially, to the extent to which findings are the results of conditions of the inquiry as opposed to researcher bias. The authors suggest the term "confirmability" be used for naturalistic studies in place of objectivity. Confirmability simply "shifts the burden of proof from the investigator to the information itself" (p. 126). Confirmability requires only that the naturalistic investigator report findings in such a way that they can be confirmed from other sources.

First, it should be noted that there is general consensus among these authors concerning the value of tests of rigor for all forms of scientific inquiry. Further, there is a clear sense in which these authors regard terms developed for qualitative work as essentially derivative of or analogous to the canons of scientific inquiry. Note the following statement by LeCompte and Goetz (1982): "In all fields that engage in scientific inquiry, reliability and validity of findings are important" (p. 31). They further state, regarding the incompatibility of scientific and ethnographic methods, "Our position is that the transformation of such issues into dichotomous choices is unnecessary, inaccurate, and ultimately counterproductive" (p.54). Guba and Lincoln (1981) go even further: "It is our contention that the basic concerns reflected in the criteria commonly used by scientific inquirers also hold for naturalistic inquiry but require some reinterpretation . . . " (p. 103).

Second, the reinterpretation that is thought to be required for naturalistic inquiry seems to be inconsistent in some important respects. LeCompte and Goetz explicate the concepts of internal and external reliability and validity, and argue for their application in ethnographic method. In contrast, Guba and Lincoln identify four criteria of scientific rigor which include internal and external validity, some form of reliability, and neutrality or objectivity. There is no distinction made between internal and external reliability and therefore no distinction between notions of shared meanings internal to the study and replication. Further, what Guba and Lincoln refer to as confirmability, or neutrality or objectivity, is, it seems to me, roughly synonymous with the term credibility as used by LeCompte and Goetz. LeCompte and Goetz refer to credibility in the very general sense of being that state of affairs which is achieved in research through adherence to the tenets of validity and reliability.

Guba and Lincoln stress the importance of internal validity. In fact, they reason that internal validity is, on the one hand, essential to any talk of external validity, and, simultaneously establishes reliability. It is, in effect, suggested by Guba and Lincoln that reliability is often not directly an issue in naturalistic study. They state, "demonstration of internal validity amounts to a simultaneous demonstration of reliability" (p. 120). LeCompte and Goetz do not seem to agree, given the extent to which these concepts are distinguished by them.

Therefore, given these inconsistencies, the approach taken in this study will be similar to that explicated by LeCompte and Goetz, that is, justification of claims for methodological rigor, and the steps taken to enhance this, will be expressed in terms of validity and reliability rather than analogous terms sometimes used in interpretivist studies.

Reliability

LeCompte and Goetz (1982) distinguish two types of reliability, internal and external. The key to external reliability is replicability, that is, are constructs sufficiently delineated for the study to be replicated? In turn, LeCompte and Goetz distinguish five problems considered by researchers in enhancing the external reliability of studies; researcher status position, informant choices, social situations and conditions, analytic constructs and premises, and methods of data collection and analysis. Detailed reference will be made only to those factors or problems which are of particular relevance to the study undertaken here.

First, the generic nature of this study design, that is, the use of multiple cases as vehicles for value analysis, the two phases in the design and their purpose, and the emphasis on decision content and process rather than personal characteristics in relation to values, should enhance the external reliability of the study, particularly in terms of the role of researcher to subject. Since the study contains no participant observation component, problems concerning status of the researcher within the group or culture being studied are somewhat circumvented. Although there are definite limitations to this approach, the relation of researcher to subject becomes somewhat fixed, based on emphasis upon respondents' decisions, rather then personal relations between researcher and subjects.

The design of the study also facilitates application of the method to numerous homogeneous respondent groups within education. The majority of studies of a similar nature have been conducted with principals and superintendents. This study focused on CEOs in public colleges in one province. One purpose of homogeneity of rank in the respondent group in this study, and possibly in other similar studies as well, is ultimate comparison of similarities and differences among different professional roles within sectors of the overall system, and between sectors.

A key to the possibility of replication for this study lies in proper explication of premises, constructs and data collection and analysis procedures. With regard to these factors, a number of precautions were taken to enhance reliability. The philosophical basis and premises for the approach taken in the study have been defined in previous chapters. More will be said on this in the final chapter. LeCompte and Goetz (1982) suggest that one important threat to reliability is obscurity in the reporting of research results. Often, according to these authors, methodologies and findings are reported with such brevity that replication becomes difficult or impossible. In addition, these authors suggest that, as of yet, ethnographic (qualitative) research adheres to no well established procedures or terminology to explain procedures. Often, approaches to problems are highly personalized and constructs idiosyncratic. They suggest, in effect, that as compared with experimental techniques, knowledge is incomplete and no commonly held language as of yet exists for ethnographic methods. They therefore recommend careful and detailed reporting of methods along with clarity in definition of constructs, data collection and analysis.

External reliability was further enhanced partly due to the fact that general constructs for the research such as classification of decisions and definitions of decision process are drawn from well established theory and have been used in previous studies. For example, decision process, as explicated in this study, should be familiar to most if not all researchers. Likewise, components of decision process, such as definition, alternatives, outcomes and so on, should also be familiar. Other coding categories emerged from analysis of data. A problem of obscurity arises, however, in the identification and analysis of values. As was mentioned earlier, no established procedure seems to exist for values analysis. But even here, procedures used in other similar studies, such as a focus on value words and phrases, were applied.

LeCompte and Goetz state that crucial to internal reliability is "the extent to which sets of meanings held by multiple observers are sufficiently congruent so that they describe phenomena in the same way and arrive at the same conclusions about them" (p. 41). In short, the key to internal reliability, and indeed basic to reliability in general, is congruence or consistency in meaning as established by multiple observers within a study.

Researchers appeal to five strategies to reduce threats to internal reliability: low-inference descriptors--descriptive fieldnotes of behavior and activities in concrete and precise terms, including verbatim accounts by respondents; multiple researchers--that is, research teams; participant researchers--the use of key informants to corroborate researcher observations; peer examination--interrater reliability; and mechanically recorded data--the use of various audio and video devices.

In order to enhance internal reliability a number of additional safeguards were adhered to. Verification of accuracy by respondents at various stages of data collection including cases in phase I and phase II, and interpretation of phase I interviews, enhanced validity of general constructs. Interrater checking by colleagues was used to strengthen the reliability of more specific coding and analysis processes, including identification of values.

Finally, it could be argued that the pilot study itself contributes to reliability. The purpose of the pilot study was to expose possible methodological problems and refine instruments and procedures used in the study. The opportunity provided in the pilot study for prolonged and repeated observation roughly addresses a further criterion suggested by Guba and Lincoln (1981). They state, "Another way to establish the adequacy of a 'fact' or inference is through the use of repeated observations from a single perspective" (p. 108).

<u>Validity</u>

LeCompte and Goetz (1982) distinguish two types of validity, again, internal and external. On internal validity, they state, "solving it credibly is considered to be a fundamental requirement for any research design" (p. 43). Internal validity addresses a problem of correspondence between what researchers believe they are observing and actual states of affairs in human interaction. Or, as LeCompte and Goetz put it, "do scientific researchers actually observe and measure what they think they are observing and measuring?" (p. 43). The authors express a number of concerns which qualitative researchers need to be aware of in reducing threats to internal validity. Among those mentioned are; history and maturation, observer effects, selection and regression, mortality, and spurious conclusions.

Because qualitative research is most often conducted in natural settings, accounting for changing conditions needs to be addressed. Changes in the social setting are regarded by LeCompte and Goetz as history, and changes that occur in individuals are regarded as maturation (p. 44). Two questions arose with regard to the study conducted here. On the one hand, some cases or incidents recounted by respondents occurred some time in the past, therefore some accuracy or recall problems were expected. On the other hand, such conditions may have hidden advantages, since important cases that are systematically viewed in retrospect by respondents may actually enhance understanding. In addition, maturation may play a small role. The interview guide for phase II was derived from phase I, thus, there may have been a tendency for respondents to "learn" types of answers to the sequences of questions. To address this, questions for phase II were revised, re-worded or asked in a different sequence.

Problems of selection refer to the ways in which those members selected as informants or respondents, and any unique characteristics or insights they may possess, will affect the nature and quality of the data collected, and therefore, internal validity. In this study, the respondent group consisted of senior administrators in public colleges in Alberta. Given this group, a certain degree of homogeneity in professional role exists. This may serve to reduce, somewhat, any adverse selection effects.

Although interviews were semi-structured, conversations were candid and relaxed, more resembling teacher to student rather than respondent to researcher relations. Generally, this rapport was successfully attained during the pilot study. Yet, there may have been a danger of respondents seeking to be viewed in the best possible light, or providing, so to speak, "pat" answers to questions. In addition, one limitation of this study is that the word of a single respondent was relied on for cases and subsequent analysis. No corroboration on details of cases was sought from other informants. To compensate, the two phase design is expected to contribute somewhat to internal validity, allowing for checks of congruence in decision process and values between phases.

Internal validity in research is not a matter of achieving certainty, but rather a matter of developing, by degrees, sound arguments for one state of affairs being the case rather than another. LeCompte and Goetz suggest two further safeguards against threats to internal validity. First, data collection and analysis processes and construct reformulation should be traced retrospectively. For this study, interview transcripts and coding processes, periodic interrater checks, and a personal diary documenting my own views on research progress, was used to provide an audit trail for the project. In addition, as was stated previously, respondent verification on data analysis was used to add to internal validity.

Finally, the second phase of data collection was used to enhance the internal validity of the methodology as a whole. If data analysis from this phase reveals decision processes and value choices which fall within the categorizations from the first phase, we can infer an acceptable level of internal validity with regard to the conceptual frames used and the methods and techniques involved.

As suggested by LeCompte and Goetz (1982, p. 44), the criterion of credibility to which the qualitative researcher attends least is often external validity. One reason for this is the in-depth, personalized styles of much qualitative research. Often the main purpose of such research is the rich description of a single phenomenon, rather than "distant" explanations and statistical generalization. Likewise, no strong claims for generalizability will be made in this study. However, one or two words regarding translatability and comparability--terms more often associated with qualitative research--are warranted. First, the respondent group included college presidents in Alberta. There was also emphasis on cross-case and cross-phase analysis. This is somewhat similar to what LeCompte and

Goetz refer to as "multisite ethnographic designs," that is, a method of demonstrating characteristics of a phenomenon which are salient for comparison (p. 51). Since one purpose of the study was to examine the possibility of patterns in decisions and values emerging from data, enough transfer of knowledge should be gained from the study to encourage further research.

On one hand, constructs are described and justified as fully as possible, as are data collection and analysis processes. In addition, other criteria of accuracy and replication, that is, internal and external reliability, and internal validity, will contribute to external validity. On the other hand, the settings, needs and purposes of different institutions and administrators in the province are, no doubt, sufficiently dissimilar so as to make serious claims for external validity non-justifiable.

Data Collection and Analysis

Within the parameters of the conceptual framework and the two phases of interviews, data were collected and analyzed at a number of different points in the research process. Following is a brief description of the steps taken in data collection, the methods employed in data analysis, and additional considerations for enhancing the credibility of findings.

Initially, 11 potential respondents were contacted by telephone. In addition to saving time, this choice of first contact proved to be valuable in establishing a comfortable rapport with respondents. One CEO contacted declined participation in the study due to time constraints. Of the remaining 10, two respondents requested letters of explanation providing more detail on the purposes of the study and the time commitments required, after which both respondents agreed to participate. All respondents were then sent an introductory letter explaining the first required steps of data collection, and requesting that they recall two to three critical decision incidents which they had been faced with in their jobs. These decision incidents were then returned for typing and revisions, and were used to set the stage for phase I interviews. An example of the introductory letter is contained in Appendix A.

Specific data on the professional background of respondents, their institutions, and cases received from respondents, were collected prior to each phase I interview. First, in conjunction with requests for critcial decision cases, respondents were asked to complete and return an information sheet containing questions on professional background. This step was accomplished by mail. As well, an institutional data sheet was designed and completed by the researcher prior to each first interview. To open the first round of interviews, respondents were presented with the completed institutional data sheet for verification of accuracy. Data sheets were verifed in all cases. Finally, immediately preceding interviews on the decision cases themselves, participants were asked to respond to a short series of questions on various characteristics or attributes of cases. A case attribute data sheet was prepared for this purpose, and also included a discussion and verification by respondents of the typing of cases. Findings for these data are discussed in detail in chapter 4.

The purpose of the pre-interview data was to enhance the overall picture of the professional background of respondents, provide an institutional context, and most importantly, shed light on the characteristics of cases. Case attribute data were collected again prior to phase II case interviews. These data were not the central focus of the study but even here, interpretation of findings point to interesting implications with regard to participatory decision making.

In phase I, tape-recorded, semi-structured interviews were conducted wtih each respondent based on the decision cases which they had originally submitted. Interviews ranged from just over one hour to up to two hours, with no interview falling below one hour in length.

Coding in phase I included a total of three passes on the data. In the first pass, basic categories and many sub-categories were established. In the second pass, the coding scheme was refined and data were organized at a second level of analysis which included the use of data summary sheets. In turn, two levels of data summary sheets were used; one level to represent frequency of occurrences in major categories, and one level which entailed breakdowns and summaries of responses in each sub-category within all major categories. Both summary sheets organized data by individual cases. This form of organization allowed for detailed analysis of both the frequency of occurrence of responses, and the content of responses. The third pass on data involved an additional reading of transcripts in conjunction with the tape-recorded interviews. This pass allowed for additional "fine-tuning" of the coding scheme and analysis of any missed nuances, inflections, or mis-typed words which might alter the meaning of responses. In addition, case summaries were written on each case, highlighting only the most salient points. The case summaries were then used to "enrich" explanation and corroborate findings from previous analyses.

Identification of values in phase I consisted of a similar process to the identification of other categories. In many cases, values were identified at key points in interviews on the basis of respondents' explicit references. Other than some coded responses being subsumed under others, or being judged synonymous, coded values were subjected to no further interpretation. Data summary sheets were again used to organize frequency of occurrences of values by individual case.

Finally, total profiles of case types were created based on analysis of phase I data. These profiles consisted of main findings on type-specific patterns in decision process and in values, by case type. The analysis of decision process, values, and profiles of case types can be found in chapter 5.

In phase I, peer auditing and respondent verification were used as additional measures to enhance the fidelity of data coding and interpretation. Short excerpts from transcripts of three interviews were presented to four peers for feedback. The excerpts revealed the coding process used for major categories of decision process, and values. Peers were also shown the conceptual framework used in design of the study. Overall, feedback from peers did not focus extensively on coding of decision process, but rather more on philosophical and perceptual issues having to do with method. However, the identification of value statements and values by peers was congruent with the original coding in many instances.

Excerpts from four different interviews were then sent by mail to four out of the total group of respondents. Each respondent reviewed the excerpt from his or her own interview. Respondents were asked to verify transcripts and examine and comment on the coding process. A brief explanation of major coding categories was also provided. It should be noted that three out of the four excerpts were the same excerpts that were examined by the peer group, and that two out of those three excerpts were based on the two cases which would be used in phase II interviews. In this way, multiple perspectives were gained on the same data and case. It was judged that this was the best way to "fine tune" analysis, enhance validity, and add to the richness of the study.

In general, the coding process was unanimously verified by respondents. In all cases respondents endorsed the coding process used, in some cases adding helpful comments on interpretation of major categories and sub-categories. Additional comments were made on values, and in one or two cases respondents even identified additional coding that matched coding that the researcher had purposely omitted.

Finally, some statements originally coded as values later gave rise to doubt as to validity. Thus, additional measures were taken to attempt to bolster accuracy of analysis. First, a list of all values coded was made and shown to three peers. Individuals were asked to review the list and indicate which terms they thought denoted values and which did not. Peers were also asked to indicate if they thought that some concepts could be subsumed under others. The results of this audit were then reviewed and compared to the composite list of values from Beck (cited in Campbell-Evans, 1988) and Rokeach (1973) shown in Appendix E. The main purpose of this was not to seek exact match in values, but to guard against the possibility of any glaring inconsistencies in identification of values. Every effort was made to remain as close to the "raw" data as possible and not to over-interpret the meanings of terms and how they may or may not denote values. After all comparisons, a final list of 29 identified values was settled on for phase I.

Given that phase I data analysis included strategies to enhance validity of findings, in phase II it was felt that consistency in methods applied and in analysis was important. Tape-recorded, semi-structured interviews were conducted with each of the four respondents chosen for phase II. Each respondent was interviewed on the same set of cases chosen for this phase. With only minor modifications, the interview schedule and other matters of data collection established in phase I were used again in phase II in order to maintain consistency.

Coding for phase II included two passes on data. The first pass entailed initial coding, based on the sche [illegible] phase I, and transfer of data to data summary sheets. Roughly, the [illegible] oped in phase I was found to be applicable in phase II, althoug [illegible] emphasis and frequency of occurrences, mainly due to th [illegible] ase II interviews and the fact that certain questions posed [illegible] ed in phase II. In all, only two new sub-categories were ad [illegible] alysis. A second pass on data included fine-tuning of the coding process in conjunction with review of the tape-recorded interview, and again, the preparation of case summaries, including salient points emerging from each interview.

Analysis of values in phase II followed phase I procedures, and values in phase I were used as a "backdrop" for the coding process. Only one additional value--academic freedom--was identified in phase II which was not found in phase I. In all, 17 values were coded. Again, case profiles were created which discussed and summarized decision process and value findings in each of the two cases.

Chapter 7 of this study includes the exploration of similarities and differences in findings between the two phases of data analysis. Two components of data were compared: findings for decision process categories in both phases, and findings for values. Three possibilities for type-specific patterns exist in analysis: patterns identified in phase I, patterns identified in phase II, and patterns which occurred similarly across both phases. Profiles of case types in both phases were used as vehicles to further explore the possibility of type-specific patterns across phases.

Finally, in designing the study in two phases, it was intended that data analyses be mutually reinforcing in establishing internal validity. It will be recalled that in phase II of the design, only two cases were used with all four respondents who agreed to participate. Thus, a problem arises in attempts at cross-phase comparisons. A distinction needed to be made between findings being type-specific as opposed to case-specific. Findings in phase II analysis revealed certain potential patterns which were seen to be dominant in, and in some instances, exclusive to one case. One could not assume such findings were type-specific patterns, since their occurrence was discerned in only one case, unless the occurrence of such patterns was also found in other cases of the same type. Put another way, exclusiveness of patterns will be either specific to a given case, or not. Thus, judging a pattern as case-specific or potentially type-specific depended on similar findings in phase I in the same type. As can be seen in chapter 7, a number of such findings were discerned. Given this line of reasoning, the question could then be raised as to the real significance of patterns in phase II exclusive to one case. Such findings, if not case-specific, serve to reinforce type-specific findings in phase I. This is what is meant by phases being mutually reinforcing. However, mutual reinforcement also presupposes mutual dependency, thus the importance of fulfilling criteria of methodological rigor in phase I, rather than in phase II.

Ethics Guidelines

Ethics guidelines set by the University of Alberta and the Department of Educational Administration were carefully adhered to. A research ethics review application was submitted and approved before commencement of the research. No serious or complex ethical problems were anticipated, given the design of the study. Respondents were guaranteed confidentiality, and made fully aware of all intentions with regard to data collection, analysis, and dissemination of results. Respondents were invited to share in the results of the study, and, during data collection, had the option to discontinue their involvement at any time.

Summary

This chapter has focused on providing a detailed explanation of the design and methodology of the study. The design utilized a multiple case study analysis approach in examining the decision making processes and values of 10 college presidents in the province of Alberta. Prior to conducting the actual research, a pilot project provided valuable insight in judging the effectiveness of the overall design and methods. The design of the study in two phases allowed for not only cross-case, but also cross-phase analysis of data. A modified decision typology served as an overarching conceptual frame for classifying decision cases submitted by administrators. Finally, various strategies for enhancing reliability and validity were discussed, as well as details on data collection, methods of data analysis, and additional considerations for enhancing credibility of findings.

CHAPTER 4

BACKGROUND AND CONTEXT

So far, the previous chapters have served to outline the major research questions that were addressed in this study, reviewed research at different time periods relevant to the study, and presented the design and methodology through which the main research questions were addressed. The main purpose of the present chapter is to begin to piece together a comprehensive "picture" of the decision making and underlying values of the respondent group chosen for this study. This will require the analysis and interpretation of different kinds of data which hopefully will aid in describing different aspects of the total picture.

The main thrust of this study was to expose potential relations between the type of decision incident or case obtained from respondents, the process of decision making which was manifested, and the values which constitute a foundation for the decision case as a whole. I shall begin the process of describing this picture by concentrating in this chapter on data collected prior to phase I interviews, those interviews which examined the actual decision making process and values. Therefore, discussion here is concerned with data on some of the professional characteristics of respondents, data on aspects of the institutions within which the decisions were made, a description of the typology used and the case types obtained in this study, and finally, data related to various attributes of cases which were deemed important in providing a comprehensive picture of the cases. In this way, the process of analysis and interpretation begins through a description of *who* is making the decisions, the *context* in which decision making occurs, and the *type* of decision made.

Background Data

Prior to phase I interviews, respondents were asked to complete a background information sheet containing questions related to length of time in present position, length of time at present institution, total years of administrative experience, prior position held, and type and level of education. An example of this data sheet is contained in Appendix B. A problem arises in depicting background data on respondents while maintaining confidentiality. It was found in preliminary analysis stages, and particularly with personal background data, that displaying any data by respondent could easily reveal identity. An approach had to be adopted where data are summarized cumulatively, but without revealing individual identities. Therefore, no cumulative display or discussion by respondent will be given for these data, as will be the case with some other data sets. Instead, a brief discussion of cumulative responses by question will be provided.

On the background information sheet, each respondent was first asked to indicate the length of time he or she had been in their present position. The shortest period of time for a respondent is 1.33 years. The longest period of time in present position is 11 years. Responses on length of time at present institution ranged from 1.33 to 17 years. In 6 out of 10 instances responses for the two questions were identical, therefore, 6 out of 10 respondents were newcomers in their institutions when appointed as president. Total administrative experience for this group of participants ranged from a low of 12 to a high of 37 years.

Respondents were also asked to indicate the position they held just prior to their present one. These data are intended to provide additional insight into the administrative experience base by indicating positions which may have helped prepare respondents for presidential decision making. Five respondents attained their present position through the academic vice-presidency, two respondents through a dean's position, one respondent through acting president at another college, and two respondents through a previous presidency.

Finally, two questions were asked with regard to type of education; one question on discipline or subject-area combinations, and one on highest degree/certificate held. It was assumed that information on educational background would add to the richness of explanation in describing the general makeup of respondents as a group. Additional insight may be provided on how different educational backgrounds are reflected in variations in decision making style. Seven out of 10 respondents reported either educational or administrative training and credentials. Five out of 10 reported a combination of educational and administrative credentials. Other disciplines included arts, engineering, science, and vocational/trades training or certificates. In response to the question on highest degree held, six participants held doctoral degrees (Ph D), while four held master's degrees.

One additional question was asked on the background information sheet relating to how long individuals held their prior position. This question was judged least important in providing a profile of the respondent group, and therefore will not be reported here.

Institutional Data

The second data set relevant to placing decision process and values in context is data related to the institutional setting within which decision making took place. These data include questions on community served, number of campuses, student enrolment and staff complement, and range of credit and non-credit programming. To maintain consistency, institutional data on each college are reported from the same source, which, by the time of completion of this study, became the Alberta Advanced Education and Career Development 1991-92 Statistical Report. An example of the data sheet is contained in Appendix B.

First, respondents were asked to indicate, by population, the external environment or community served by their institution. The range of possible responses were rural (population 0 - 10,000), small urban (10,000 - 100,000), and large urban (100,000 and up). Responses from college presidents included two rural, five small urban, and two large urban, with one participant choosing to respond between small and large urban.

Respondents were asked to comment on the number of campuses comprising their colleges. Answers on this question ranged from one to two main campuses, one to three sateilite campuses, and in the case of three respondents, learning centres ranging from 3 to 13 in number. Care must be taken in interpreting this particular information mainly because of the ambiguity of criteria used to determine number of campuses. Responses of participants were compared to data contained in the Statistical Report. It was judged that the Statistical Report did not accurately reflect the breakdown of campuses, and therefore the answers of respondents were relied upon for this question, although even here, criteria may differ from respondent to respondent.

Respondents were then asked to verify data on student credit enrolment and instructional and non-instructional staff complement, expressed in terms of full-time equivalencies (FTE). Again, a common and well recognized problem arises related to agreed upon criteria for expressing FTEs. Overall, however, these data were confirmed by respondents as being "in the ball park." Total student FTE credit enrolment and staff complement by college are displayed in Tables 4.1 and 4.2 respectively.

Respondents were also asked to verify the range of credit programming in their institution, based on categories derived from Alberta Advanced Education and Career Development. These figures were derived by comparing category specific FTEs against

Table 4.1

Size: Total FTE Credit Enrolment

College	FTEs
Alta. College of Art	659.4
Fairview	1068.2
Grant MacEwan	4701.0
Grande Prairie	1637.4
Keyano	1186.2
Lakeland	1372.2
Lethbridge	3248.7
Medicine Hat	2210.0
Olds	911.9
Red Deer	4039.6

Note. Smallest = 659.4; Largest = 4701; Mean = 2103.4. (Following the Statistical Report, and for ease of comparison, numbers on institutional data are reported to one decimal place.) Alberta Advanced Education and Career Development. 1991-92 Statistical Report.

Table 4.2

Size: FTE Instructional Staff and Non-instructional Staff

College	Instructional FTEs	Non-instructional FTEs
Alta. College of Art	70.6	58.7
Fairview	78.3	158.7
Grant MacEwan	312.0	436.0
Grande Prairie	175.2	165.5
Keyano	118.4	208.4
Lethbridge	274.0	273.2
Lakeland	124.0	251.0
Medicine Hat	128.1	151.3
Olds	80.0	152.0
Red Deer	296.0	225.0

Note. Instructional: Smallest = 70.6; Largest = 312; Mean = 165.6. Non-instructional: Smallest = 58.7; Largest = 436; Mean = 207.9. Alberta Advanced Education and Career Development. 1991-92 Statistical Report.

total FTEs. Numbers were then transposed to percentages. Table 4.3 depicts the range of credit programming, by college, expressed as a percentage of total credit programming.

Finally, a question was verified by respondents on registrations in non-credit courses. Table 4.4 shows the number of registrations in non-credit courses, by college. Responses on an additional question concerning base-funded credit enrolment are not included here. Although one college president who assisted in preparation of the institutional data sheet suggested that this factor often had an impact on decisions, these data were not available for the 1991-92 year at the time of preparation of the thesis.

A Typology of Cases

The conceptual framework for this study included a typology of cases drawn from current literature in educational administration. Adaptations and alterations were made to the original typology based upon respondent reactions and upon observations concerning its applicability in the post secondary sector, and after careful analysis of all cases. It now is necessary to discuss in more detail the nature of these adaptations. In what follows, the use of the typology in the literature and in the pilot, the method of typing used, reactions of respondents, and the general applicability of the model will be discussed. Finally, a version of the altered typology will be presented, along with a breakdown, by case type, of cases received in this study.

Conceptual Framework and the Case Typology

One important component of this study design is the use of a typology of cases in conjunction with decision process and values. The classification of cases for this study is based directly on a typology taken from the work of Ashbaugh and Kasten (1984). That

Table 4.3

Range of Credit Programming

	Range o[illegible]gramming (expressed as % [illegible]TE credit enrolment)						
College	U.T.	Dipl.	Cer[illegible]	HSch Up.	Tr/Voc.	Apprent.	Other
ACA	-	100.0	-	-	-	-	-
Fairview	-	13.7	13.4	35.5	17.6	15.7	4.1
GMCC	9.1	48.2	8.1	0.4	3.9	-	30.2
GPRC	40.8	24.8	1.3	20.8	6.5	-	5.6
Keyano	13.2	12.3	12.5	29.6	14.6	8.8	8.9
Lakeland	11.7	46.2	6.6	15.7	5.4	9.4	5.0
Lethbridge	-	40.0	8.0	24.2	5.4	3.9	18.5
Med.Hat	32.2	14.7	12.6	27.5	2.6	2.9	7.6
Olds	-	57.8	9.3	10.9	12.3	7.5	2.1
Red Deer	39.3	13.8	13.9	12.5	1.7	6.1	12.6

Note. Alberta Advanced Education and Career Development. 1991-92 Statistical Report.

Table 4.4

Non-credit Course Registration

College	Total
Alta. College of Art	742
Fairview	2,808
Grant MacEwan	20,634
Grande Prairie	2,104
Keyano	6,372
Lakeland	3,884
Lethbridge	14,618
Medicine Hat	11,127
Olds	3,725
Red Deer	6,752

Note. Lowest = 742; Highest = 20,634; Mean = 7276.6. Alberta Advanced Education and Career Development. 1991-92 Statistical Report.

work in turn, is based on the theoretical model or typology as presented by Kimbrough and Nunnery (1988). Ashbaugh & Kasten, in an attempt to classify decisions and values of administrators, worked exclusively in K-12 school settings and predominantly with principals. Their more recent work includes the decision making and values of superintendents (1986, 1988, 1991). In the 1984 study, Ashbaugh and Kasten found a predominance of staff personnel decision incidents among the decision tasks of school principals. This typology was deemed general enough to attempt to apply in the present study in the postsecondary sector. This application was not regarded so much as an end in itself, but rather as a means for organizing cases received from respondents, and particularly for further organization of identified values. This particular purpose, a simple but important component of the design, will become clearer in later chapters of the study. Notably, the way in which the typology is used in this study distinguishes this design from research that has been conducted in this area so far.

Method of Classification of Cases

On the basis of a review of the literature and results of the pilot study, a method of classification was devised for the actual study. Each case received from respondents was reviewed and analyzed, and on the basis of the existing typology and the literature, a preliminary classification for each case was made. Interviews were conducted with respondents on the cases they had generated. Each interview began with a brief discussion of the typology, which included a diagram, and the classification procedure that had taken place so far. The intent of the original typology had been to classify decisions according to administrative task. Therefore, the main criterion used in classification here was, simply, the dominant topic of the case; in other words, what the case was basically about. This approach was easily confirmed by respondents in all but a very small number of cases.

There were, however, some notable exceptions, and some other predictable but important responses by participants. First, comment was made by respondents on the fact that cases were not exclusively of one type, that is, organizational redevelopment cases could be linked with finance, and curriculum and instruction cases could be linked to organizational development, and so on. Thus, there were interviews in which respondents identified more than one type as being applicable to a given case. As examples, case 7, a finance case, was quite intimately linked with case 6, an organizational redevelopment case. That case, in turn, although classified as organizational redevelopment, was stipulated by the respondent as being more of a planning case. This type of response occurred in a number of organizational redevelopment cases and led to a further breakdown within that classification. Case 23, classified as personnel, was simultaneously a re-structuring case, therefore a choice had to be made on the dominant topic for this case. Case 24, although clearly a finance case, and verified by the respondent as such, was really two cases in one, where discussions revolved around two finance incidents, separated by a period of time, in which different approaches were used to problem solving. In recalling a buildings and facilities case, one respondent suggested that it might be better classified as public relations, and in recounting an organizational redevelopment case, this same respondent suggested that it was a situation where institutional learning would take place, and therefore, could be more appropriately typed as curriculum and instruction.

These comments, although valid, may reflect an attempt to project more depth than is necessary into a quite simple process, the ultimate purpose of which was not clear to respondents at the time, and will be explained in more detail in later sections. One point, however, is fairly clear. Based on the experience of this study, the typing of decision events into any categorization is not a clear and straightforward process. Cases are most often of more than one type, and, different respondents are not entirely consistent in their views on cases. Given these limitations, the question then arises as to the applicability of the typology used in the classification of cases received in this study.

Applicability of the Typology

This section of the chapter affords the opportunity to address the first of the research questions which were stated in chapter 1. This question asks:

What types of critical decisions are college presidents faced with? Can a typology of decision incidents be adapted for postsecondary education?

This question, in essence, necessitates addressing the basic issue of applicability of the typology in this study. The question of applicability, in turn, translates into at least two further questions: a) is there congruence between the typology and the cases obtained in this study, and if so, b) is the typology generally applicable in the postsecondary sector in which the study was conducted? Addressing these two questions may provide some insight on research question l.

Aside from the exceptions mentioned previously, the classification of the majority of cases in this study was easily confirmed by respondents after brief explanation of the typology and the criteria used for classification. Even the exceptions, after some discussion with respondents, were verified based on what was agreed to as the dominant topic of the case. In only two instances (cases) was there some lingering concern over typing, and as mentioned previously, this may have resulted from inflated expectations about the depth of criteria on which typing was based, and the overall purpose. To maintain consistency, the two cases in question shall be acknowledged, but classified consistent with criteria used for other cases. Given these factors, including the use of the typology in the pilot, comments made by one colleague from the college sector, and positive feedback from respondents themselves, it was concluded with a fair degree of assurance that the typology is relevant for decisions collected in this study. However, some qualifications are necessary.

For example, in order to achieve a "fit" between the form of the typology and the cases received in this study, one or two name changes and sub-categorizations seemed appropriate. First, cases having to do with what Kimbrough and Nunnery (1988) refer to as organizational structure, may be more properly referred to as organizational redevelopment cases. This is mainly because only in a few cases did respondents initiate actual re-structuring in the institution. Out of a total of six such cases, only two included any re-structuring at all. The remainder involved attempts to internally re-vitalize the organization through modifying governance mechanisms. In effect, these were attempts to change the management style of the institution to one involving more participation by college constituencies. Two cases were explicitly identified by respondents as planning cases, ones which involved a visions/values clarification exercise on the part of the college community, in other words, an attempt to answer the questions, "What are we about?" and "Where do we want to go?" The two characteristics, changing the mode of governance and planning, were closely linked, and activities in these cases and their purposes often resembled one another among cases. Second, personnel cases were essentially of two kinds; staff personnel and administrative personnel. Staff personnel cases involved mostly terminations, while administrative personnel cases included both hiring of senior administrators and disciplinary actions. Of the 10 personnel cases, three were administrative personnel and seven were staff personnel. The only other category in which names were modified was in what Kimbrough and Nunnery refer to as community relations. Only one case of this type was received, and involved conflict with a member of the board of governors. This is best referred to as a board relations case. Included in the remainder were three buildings and facilities cases, two finance cases, one curriculum and instruction case, and one support services administration case. Table 4.5 provides a detailed breakdown, by type and sub-type, of the cases obtained.

Comparison of Typologies

The typology used in this study was adapted from the work of Kimbrough and Nunnery (1988), and Ashbaugh and Kasten (1984). The reader is referred to chapter 2,

Table 4.5

Breakdown of Number of Cases by Type.

Type		Number of Cases
Personnel		10
(Staff Personnel	7)	
(Adm Personnel	3)	
Organizational Redevelopment		6
(Planning	4)	
(Restructuring	2)	
Buildings & Facilities		3
Finance		2
C. & I.		1
Board Relations		1
Support Services Adm.		1
Total		24

the section entitled "Conceptual Framework" and the diagrammatic representation, for a more detailed look at the original typology. The form of the typology, modified for the purpose of this study and including mainly name changes and sub categories, is depicted in Figure 4.1.

In answer to the second part of the first research question posed earlier, the modified typology should be regarded not as a general model for postsecondary education, but one which reflects accurately the scope of decisions collected and analyzed in this study. Any generalization to other similar sectors in postsecondary education would extend beyond what can be safely concluded based on these study findings. More inquiry would be necessary for such generalizations.

It may be valuable to examine additional comparisons between the two typologies. First, there is the conspicuous absence in the present study of student personnel decisions. (This is indicated in Figure 4.1 by the missing rectangle, as compared to Figure 2.1.) This should not be construed as meaning that college presidents never encounter student personnel decisions. Nor does it mean that student needs are absent in the minds of these decision makers. Numerous references to the interests of students, student growth, and quality instruction provide evidence of just the opposite. As one president put it when asked why a particular issue was regarded as crucial: "Well, I guess that's students. That's the reason we're here. They were, I guess, being put in second place position." In addition, references to values such as "student interests, people improvement, empowerment of students, and self-actualization," show that fulfilling student needs "looms" in the background as one ultimate end of many important decisions.

Overall, personnel decisions emerged as the most frequently occurring in the study by Ashbaugh and Kasten (1984) of school principals. In that study, 51% of decisions were of the personnel type. The majority of cases within this type were what the authors referred to as problems of technical competence and unprofessional behavior; decisions

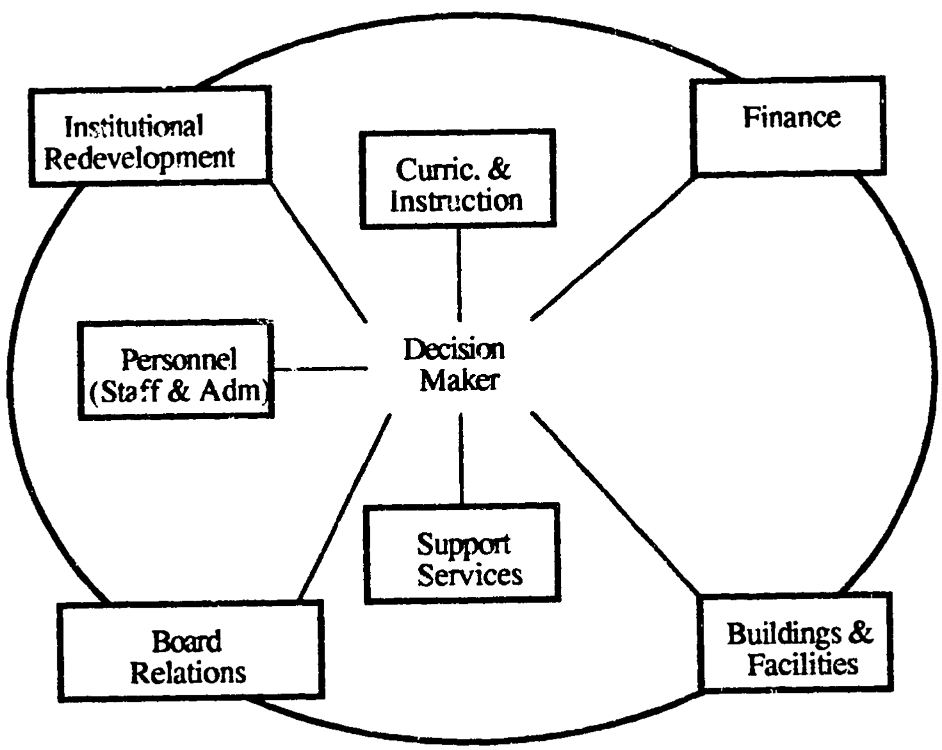

Figure 4.1. Decision types by administrative task (modified).

related to evaluation, terminations, and contract renewal. Likewise, in the present study, personnel decisions outnumbered all other types. Ten out of 24 cases, or almost 42% of cases received were personnel. Seven out of 10 of these cases related to staff personnel, and the majority of these were dismissals. Ashbaugh and Kasten found pupil personnel decisions to be the second most frequently occurring. Thirty-one percent of cases classified were pupil personnel, followed by school-community relations cases, at 16%. In the present study, organizational redevelopment cases were the second most frequently occurring. Six out of 24 cases, or 25% were of the organizational redevelopment type.

A number of factors may account for the differences in types of cases collected and categorized, the most likely of which is a difference in the professional ranks of respondent groups used in the studies. Ashbaugh and Kasten examined the decision making and values of school principals, whereas the respondent group in the present study consisted of CEOs of public colleges. Aside from the occurrence of staff personnel decisions, these two different roles seem to have little in common with respect to types of different decisions which they face in their work.

However, one qualification is necessary. All of the organizational redevelopment cases received occurred in the recent past, most within the last three years. It seems that, for this study, organizational re-vitalization attempts were a fairly frequent phenomenon. A number of speculations are possible as reasons for this recent occurrence. It is possible that socio-economic and other external conditions have impacted on the prevalence of such cases. Most likely, government fiscal restraint, demands for increased levels of accountability, and the prospect of continued financial constraints have forced these institutions to find more efficient and effective ways to govern themselves.

Case Attribute Data

Although all data analysis presented here contributes significantly to the overall profile of decision makers and cases, probably the most relevant data set so far are data on the characteristics of cases. This is primarily because one main intent of this study was to examine the nature of cases themselves and how this relates to decision process and underlying values.

As an introduction to each interview, respondents were presented with the case attribute data sheet. Questions were asked on case age, or, how long ago the case occurred, and case duration, or, the length of time to solution definition and to resolution. Respondents were then asked to indicate levels, on a scale of 1 to 5, for urgency, importance in terms of teaching and learning, difficulty in defining the problem and solution, number of people affected, and frequency in a one year period, in relation to other decisions which they faced in their jobs. Finally, a question was asked on the extent of involvement of others in the decision making for each case. An example of the case attribute data sheet is given in Appendix B.

Respondents were first asked to indicate approximately how long ago each case had occurred; in effect the age of the case. This question pertains essentially to when the case first arose, and not to when it was resolved, which is addressed in the next question on case duration. Data are displayed in Table 4.6. As can be noted, age span for all cases is rather wide, ranging from the oldest at 22 years, to the latest at only a few months. (Months were converted to years for this Table.)

Although most cases collected are relatively recent, a few comments are warranted on data shown in Table 4.6. Organizational redevelopment cases provided by respondents tended to be around three years old.

Table 4.6

Case Age (no. of years ago that case occurred) (N = 24)

Case	Type	Age (in yrs.)		Case	Type	Age (in yrs.)
1	Pers	22		13	Pers	.33
2	Pers	18		14	Pers	4
3	Pers	20		15	Bldgs & Facil	1
4	Pers (Adm)	2.5		16	Pers (Adm)	.67
5	Org Re-D(Pl)	2		17	Brd Relat	.83
6	Org Re-D(Pl)	2.5		18	Org Re-D	2
7	Finance	2		19	Pers	.25
8	Bldgs & Facil	10		20	Pers	1
9	Org Re-D(Pl)	2.5		21	C & I	1.5
10	Org Re-D	7		22	Org Re-D(Pl)	1.5
11	Bldgs & Facil	4		23	Pers (Adm)	1
12	Adm Supp Serv	1		24	Finance	1

Note. Oldest = 22 yrs.; Most Recent = .25 yrs. (3 mos.).

Buildings and facilities cases were somewhat older, with a mean of 5 years, but with one case being 10 years old. All other cases were no older than a year and six months, except for personnel cases. The mean age for this case type is approximately seven years, but it must be kept in mind that data for this type, and for calculations overall, were somewhat skewed by cases provided by one respondent, which averaged approximately 20 years in age.

The question on case duration was divided into two questions, reflecting length of time to definition of a solution, and to resolution of the problem. It was the intent that this differentiation would provide a more accurate picture of just how the cases and decision process evolved toward solution and resolution. However, not all respondents answered both aspects of the duration question. A small number of cases were still in progress at the time of data collection, and some respondents were more comfortable providing an answer on either solution or resolution. In addition, it is not clear whether all respondents interpreted time to solution and to resolution as sequential, or whether time to resolution included time to solution. Although these data must be interpreted with great care, they do provide a rough picture of differences in the duration of case types.

Data showing responses for both length of time to solution definition and to resolution, including total duration for each case, are given in Table 4.7. As can be seen from this table, differences in durations, both for solution and resolution, are rather wide. Overall, the shortest duration for a few cases is a matter of days, while the longest overall duration for a case is 60 months. The mean length of time to solution definition for all cases is 6.42 months, while time to resolution is 5.41 months. The mean for total duration of all cases is 10.38 months.

Other relations and potential patterns are revealed when data are examined more closely by case type. Predictably, buildings and facilities cases tended to be longer term dilemmas, with an overall mean duration for the three cases of 24.83 months (although it should be noted that one of these cases was 60 months in duration). Similarly, the duration

Table 4.7

Case Duration (Length of time to sol'n definition and to resolution) (N = 24)

Case	Type	Duration (in mos.)		Total
		To Sol'n	To Res'n	
1	Pers	.05	.1	.15
2	Pers	2.5	--	2.5
3	Pers	--	.4	.4
4	Pers (Adm)	6	1	7
5	Org Re-D (Pl)	15	IP	15
6	Org Re-D (Pl)	1	6.5	7.5
7	Finance	2.5	6	8.5
8	Bldgs & Facil	36	24	60
9	Org Re-D (Pl)	12	24	36
10	Org Re-D	5	8	13
11	Bldgs & Facil	2.5	7	9.5
12	Adm Supp Serv	3	--	3
13	Pers	4	--	4
14	Pers	2	1.5	3.5
15	Bldgs & Facil	5	--	5
16	Pers (Adm)	3	.25	3.25
17	Brd Relat	.75	.25	1
18	Org Re-D	24	6	30
19	Pers	1	--	1
20	Pers	3	.4	3.4
21	C & I	.5	12	12.5
22	Org Re-D(Pl)	12	IP	12
23	Pers (Adm)	--	IP	--
24	Finance	.5	--	.5

Note. -- = no data available for this question (not counted in calculations). IP = in progress (counted as 0 in calculations). Total Duration: Shortest = .15 mo (not > 6 days); Longest = 60 mos.

for organizational redevelopment cases tended to be lengthy in comparison to other cases. The average total duration for this case type is 18.91 months. Generally, participant responses on length of time to solution and to resolution show a fairly high degree of variability for these two case types. In contrast, personnel cases tended to be much shorter with a mean total duration for these cases of 2.81 months. In general, not enough cases were obtained in other case types to draw any detailed comparisons. However, both finance cases, the curriculum and instruction case, and the board relations case all fell under 2 months to solution. Much wider variation can be noted in resolutions of these cases.

The majority of organizational redevelopment cases exceeded three months in time taken to solution definition, while only two personnel cases did so. Similarly, organizational redevelopment cases all took more than three months to resolve, while personnel cases, with the exception of one still in progress, were all resolved within the three month range. Only one other case, that of board relations, was resolved this quickly. In general, it appears as though buildings and facilities cases and organizational redevelopment cases were longer term problems in this study. Personnel cases, by virtue of the type of decision which is usually made, tend to be much shorter. In addition, for the majority of personnel cases, and for many others as well, it appears that it takes longer to define the solution to the problem, than it does to resolve the case.

For each case submitted, respondents were then asked to indicate levels, on a scale of 1 to 5, for urgency, importance, difficulty, numbers affected, and frequency, in relation to other cases dealt with in their jobs. Thus, data on these questions are relative to the overall decision context faced by each respondent. Table 4.8 represents cumulative responses, sorted by type of case, on these six case attributes.

Overall, the highest mean among this group of attributes is 4.50 for urgency (SD = 0.76). This is followed closely by number of people affected, at 4.0 (SD = 1.47), and importance in terms of teaching and learning, at 3.96 (SD = 1.24). Frequency of

Table 4.8

Cumulative Responses on Urgency, Importance, Problem and Solution Difficulty, Numbers Affected, and Frequency, Sorted by Case Type (N =24).

Case Type	Urgency	Import ance	Prob Difficulty	Sol'n Difficulty	Nos. Affected	Freq-1 yr.
Adm Supp Serv	4	3	1	1	2	1
Bldgs & Faci'	5	5	4	5	5	2
Bldgs & Facil	4	3	2	5	5	1
Bldgs & Facil	2	4	2	3	4	1
Brd Relat	4	2	1	3	3	1
C & I	5	5	1	2	5	1
Finance	5	5	3	4	5	1
Finance	5	5	1	1	5	n/a
Org Re-D	5	5	2	4	5	1
Org Re-D	4	4	5	3	5	2
Org Re-D (Pl)	5	5	5	5	5	1
Org Re-D (Pl)	4	5	2	4	5	4
Org Re-D (Pl)	5	5	3	4	5	1
Org Re-D (Pl)	5	5	3	5	5	4
Pers	5	3	1	1	1	1
Pers	4	2	2	1	1	1
Pers	5	5	1	3	2	1
Pers	5	4	2	3	5	1
Pers	4	5	1	3	4	2
Pers	5	2	4	3	1	1
Pers	5	5	2	2	5	1
Pers (Adm)	5	3	1	2	5	1
Pers (Adm)	5	4	1	4	3	1
Pers (Adm)	3	1	2	4	5	2

Note. 1= very low; 5= very high. Overall means and standard deviations:

Urgency	Mean = 4.50, SD = 0.76
Importance	Mean = 3.96, SD = 1.24
Difficulty in defining problem	Mean = 2.17, SD = 1.25
Difficulty in defining solution	Mean = 3.13, SD = 1.30
Nos. Affected	Mean = 4.00, SD = 1.47
Frequency	Mean = 1.38, SD = 0.90

occurrence in a one year period was rated low at 1.38 with standard deviation at 0.90. Ratings by respondents for difficulty in defining the problem and the solution were mid-range. It appears as though most cases provided by respondents were regarded as relatively urgent and important, affecting large numbers of people in the institution, and occurring fairly infrequently over a one year period. This helps to confirm, at the very least, how cases were regarded by respondents, and whether or not cases were, in fact, critical decision incidents.

Again, analysis of these data by type of case helps to reveal additional potential patterns, albeit, patterns which are somewhat predictable. In three buildings and facilities cases, when means are calculated for all six attributes, numbers of people affected was rated highest by respondents. The mean for this response is 4.67. This is followed by importance in terms of teaching and learning at 4.0, and urgency, at 3.67. Organizational redevelopment cases show similar patterns. The mean for numbers affected is 5.0 (SD = 0.0), while the means for importance and urgency are 4.83 (SD = 0.37) and 4.67 (SD = 0.47) respectively. Surprisingly, in the two finance cases, all ratings by respondents on urgency, importance, and numbers affected were very high, at 5 for all three attributes. The highest mean for frequency within a one year period is 2.17 (SD = 1.34), occurring within the organizational redevelopment case type. Personnel cases showed a slightly different pattern. The mean for numbers affected within this type is 3.20 (SD = 1.72). The means for urgency and importance are 4.60 (SD = 0.66) and 3.40 (SD = 1.36) respectively. Aside from these relations, in all cases means for difficulty in defining the solution were higher than for difficulty in defining the problem, but never, within any case type, higher than 4.33.

It appears that although urgency showed the highest mean over all cases, in two case types--buildings and facilities, and organizational redevelopment--importance outweighed urgency. Similarly, in buildings and facilities, organizational redevelopment, and finance cases, and the curriculum and instruction case, the means for numbers affected exceeded the overall mean for this attribute.

Finally, respondents were asked to indicate the level of involvement of others in the decision making process for each case, again on a scale of 1 to 5. However, in this question criteria for the scale were defined by three different levels of participation: an individual decision--made alone; consultation--a respondent's decision after consulting others; and participation--joint or shared decision making. Table 4.9 shows responses, by case and type, for this question.

The mean for this attribute across all cases collected is 3.83 (SD = 1.25). Calculation of means within case types shows some possible differences in the level of participation. The highest rating by respondents within case types was 5, found in both finance cases, and in the one curriculum and instruction case. This is followed by buildings and facilities and organizational redevelopment cases, both with means at the 4.33 level (SD for organizational redevelopment cases = 1.11). The mean for level of involvement within personnel cases is 3.10, with a standard deviation of 1.30.

Two points are worth noting with regard to these data. First, the 5-point scale used to measure involvement is, at best, imperfect, and subject to different interpretations by different respondents. Given this limitation, it is worth noting what type of case scores high on participation and what does not. Personnel decisions in this study were rated lower than other decision types, and in fact, lower than the overall mean. Other case types scored well above the overall mean. Given that the concept of participatory decision making in organizations is one which is often discussed in general terms, abstracted from specific contexts, perhaps what is most noteworthy is the variation in levels of involvement by case type. More will be said on this question and its implications in the final chapter of the study.

Table 4.9

Level of Involvement of Others in the Decision Process (N = 24)

Case	Type	Level	Case	Type	Level
1	Pers	1	13	Pers	5
2	Pers	1	14	Pers	4
3	Pers	3	15	Bldgs & Facil	4
4	Pers (Adm)	3	16	Pers (Adm)	3
5	Org Re-D (Pl)	5	17	Brd Relat	4
6	Org Re-D (Pl)	5	18	Org Re-D	4
7	Finance	5	19	Pers	5
8	Bldgs & Facil	4	20	Pers	3
9	Org Re-D (Pl)	5	21	C & I	5
10	Org Re-D	2	22	Org Re-D (Pl)	5
11	Bldgs & Facil	5	23	Pers (Adm)	3
12	Adm Supp Serv	3	24	Finance	5

Note. 1 = individual decision (no others); 3 = consultation (respondent decision after consulting others); 5 = participation (shared decision making). Overall mean = 3.83, SD = 1.25.

Summary

This chapter has been solely devoted to an examination of pre-interview data. Professional background data were collected on respondents in this study, including data on present and prior positions, and educational levels. Institutional data were examined including such factors as type of community served, FTE instructional and non-instructional staff, and range of programming, in order to provide some view of the type of institutions within which decisions were being made. Effort was also made to refine and justify the use of a particular case typology originally drawn from K-12 literature and adapted for purposes of this study. Some comparisons were made with findings in other similar research. Given minor modifications, seven out of the original eight decision types were found among cases collected in this study. Finally, data on various case attributes were examined both overall, and from the perspective of case type. Initially, similar data were collected on case attributes in phase II. No conclusions could be drawn from comparisons of these data in two phases, therefore, except for level of involvement in the decision process, no further description or analysis of case attribute data will be provided.

One overall purpose of the data reported in this chapter was to address the concept of fittingness. Guba and Lincoln (1981) describe fittingness as that criterion which most closely resembles traditional notions of scientific generalization. Determination of the likelihood that findings will reoccur in a given context depends upon the degree of match between that context and the one in which the findings were originally achieved. According to Guba and Lincoln, this determination begins with a detailed and rich description of the many aspects and dimensions inherent in the context of the original research (p.119). It is suggested that data reported in this chapter adequately satisfy the need for detailed contextual description which is prerequisite to any talk of "fit" with other similar contexts.

CHAPTER 5

DECISION PROCESS AND VALUES IN PHASE I

In the previous chapter the intent was to examine the design and applicability of the decision making typology and also to explore background data collected prior to the first round of interviews. The intent of this chapter is to examine data obtained from phase I interviews for aspects of decision process and value choices. The chapter is sub-divided into three main areas. First, a description will be provided of 11 major categories of decision making based, roughly, on the decision process model presented in chapter 2. Each major category and sub-categories will be defined, examples of coding from transcripts will be provided to bolster definitions, and an explanation of analysis and findings will be discussed for each category and sub-category. Second, the procedures and results of the coding of values will be explained. Third, case summaries, which incorporate findings for both decision process and values, will be provided in order to consolidate understanding in this first phase of data analysis. Finally, given restrictions of time, it was not possible to conduct interviews on the one support services administration case received. Only case attribute data were collected for this case. Therefore, analysis and explanation of decision process and values is based on a total of the 23 remaining cases.

The Decision Process

Given that the purpose of the decision typology has already been established and explained in chapter 4, the task now before us is to examine in detail the aspects of decision making process used by respondents on cases received. The term "decision process" as used in this study, refers roughly to those factors, aspects, or components which appear to comprise the decision making of respondents. It should be noted that, in effect, identification of and coding in major categories represents this researcher's attempt to order the various aspects or dimensions of the decision making of respondents. It is an attempt to reconstruct a partial history of cognitive events in the decision making of respondents. This will include identification of relevant stakeholders, perceptions of respondents, strategies used, non-rational factors if any, goals or objectives set or achieved, alternatives considered, solutions chosen, outcomes which occurred, and the constraints to decision making.

Decision process, by definition, carries with it two assumptions. First, at least a significant dimension of decision process can be regarded as cognitive activity and therefore as rational decision making. Second, to the extent the cases described by respondents all evolved within some time frame, the decision process as defined here assumes some form of sequence and stages, that is, the description provided will reflect, to some extent, the occurrences of events, judgements, reactions and perceptions, in time. Thus, the conception of decision process as somehow being "rational-sequential" is endemic in the analysis provided here and was argued for in more detail in a previous chapter. However, having said this, one should not assume that findings provided here constitute an accurate "map" of the cognitive decision process. As we shall see in the final chapter, even after extensive analysis of decision process, no such assumptions are warranted.

In this phase of data collection all respondents were interviewed on the cases which they submitted. Analysis of data resulted in the description of 11 major categories within three stages of decision making. Major categories also divided into a number of sub-categories. The decision process model depicted in Figure 2.2 will be used again in this chapter to guide the reader through a discussion of the three stages of decision making. Findings in each stage, and for each category and sub-category, will be discussed in turn.

Problem Development Stage

Decision process at the problem development stage includes a description of the categories of problem definition and perceptions of others, along with the identification of a number of sub-categories. The highlighted area in Figure 5.1 displays the stage of decision making being discussed.

Problem Definition

This initial major category reflects those perceptions, actions, or components which were influential in identifying and defining the parameters and nature of the problems faced by respondents. At this initial stage, five sub-categories were identified and coded: key stakeholders, policy and procedure, formal and informal information gathering, the basic dilemma, and the use of history.

Stakeholders. The sub-category of stakeholders refers to those statements which represent the role of key players in defining the problems that presidents were faced with. It must be noted that identification in this sub-category does not represent an exhaustive description of all stakeholders involved in the case, but simply those players which seem to stand out in respondents' minds as playing a key role in definition. Many of the statements were identified in answer to the question "Describe the circumstances under which the problem first came to your attention." In responding to this question, one president states:

> It came to my attention by way of a letter from the Deputy Minister to the president that was here before me requesting that the institutional plan be played out and presented. He had started into it, but it wasn't completed.

Another participant responds, "We had an individual who had assumed a new role in the college, although the person had been here for a five year period."

Comparisons of the number of occurrences of references to stakeholders with type of case, show fairly predictable patterns. The greatest number of references to stakeholders occurred mainly in organizational redevelopment cases, finance, and buildings and facilities

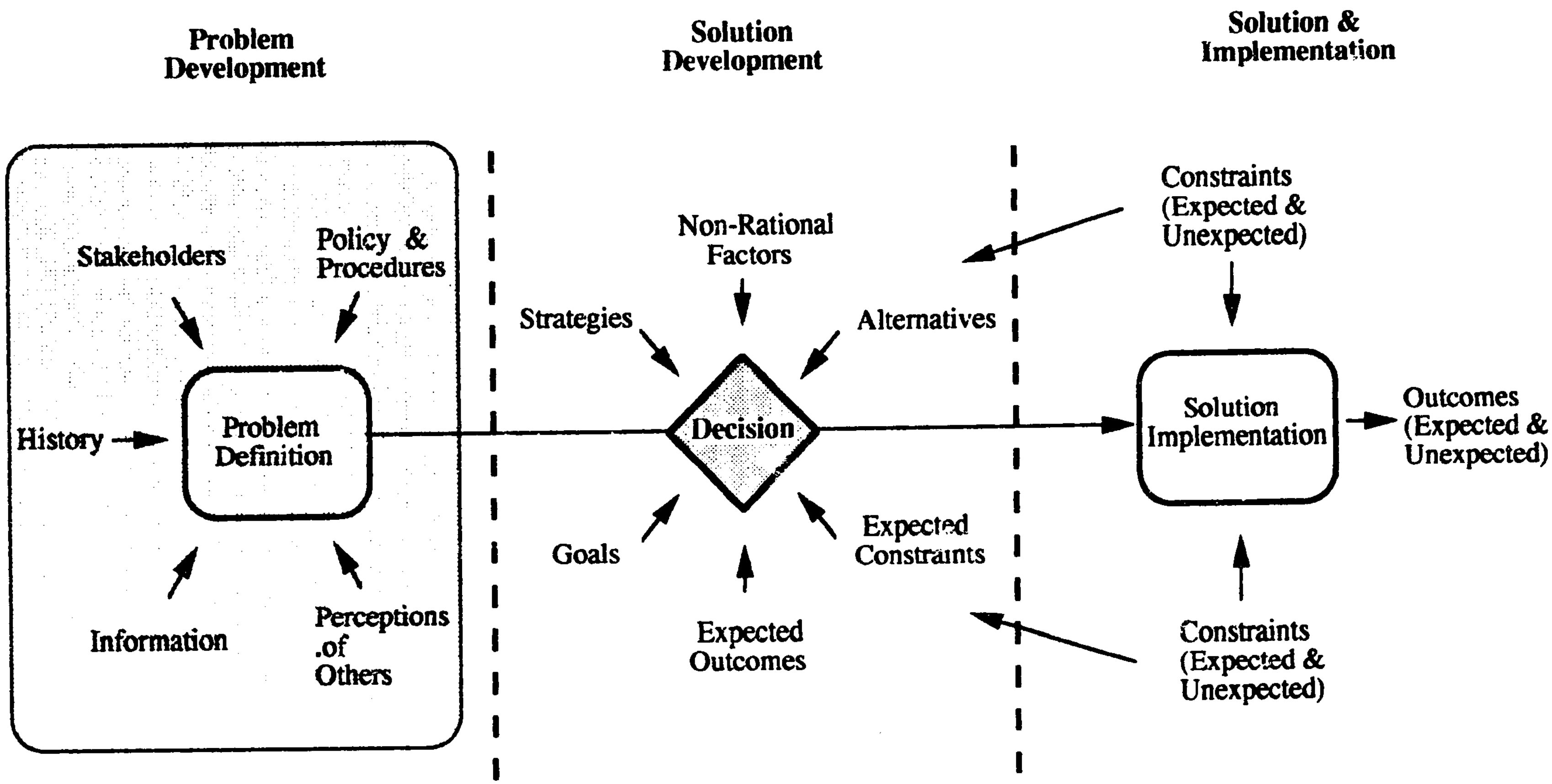

Figure 5.1. The decision process (problem development).

cases, no doubt due in part to the variety of constituents potentially affected. What may be more interesting is the lack of reference to stakeholders in personnel cases. Out of 10 personnel cases, three cases made no reference to specific stakeholders other than the individual impacted by the decision. In three other personnel cases reference to only one additional stakeholder occurred.

There is also a noticeable, albeit predictable, difference in variety and type of stakeholder referred to. One pattern that can be quite clearly inferred is the lack of a broad range of stakeholders at the problem definition stage for personnel decisions. In 10 such cases, only 14 instances of references to stakeholders were recorded. This means that during the interview, a broad variety of players did not tend to stand out in respondents' minds outside of discussions with the individual directly impacted, and in the case of dismissals, for example, a vice president, a dean, or chairperson. Of the few instances of stakeholders recorded in these cases, students were referred to as another important group of players, either as students raising complaints concerning faculty teaching or as students being adversely affected. This is true in dismissals and also in the two personnel cases dealing with senior administrative members.

In contrast, organizational redevelopment decisions tended to refer to a wider variety of stakeholders, although most stakeholders were still internal to the institution. In interviews on one such case, a respondent explains:

> So, I took the senior administration on another retreat. By then, the dean of whom I spoke was on sabbatical--he was not part of this--and his replacement would have been an associate dean who was acting in his capacity.

Another respondent states "I established a group of people to go out and look at various models of operating, . . . They provided a report, . . ." Noteworthy is the mention of the use of committees, most often to help define the problem, mission, values, or vision, or as a vehicle for involving the college community in the change process. In many such cases, however, mention was made of the important role of some existing body, such as academic counsel. External facilitators or consultants were used in two out of six organizational redevelopment cases, and out of all cases received, only in these cases.

Not surprisingly, the situation is somewhat different in buildings and facilities cases. In all three cases obtained, important reference was made to external communities and external community members such as governments, government officials, other colleges and private companies. In most cases, the college was involved in planning and cost-sharing arrangements with these stakeholders and thus their presence seemed crucial in defining the nature of the problem. One president defines the range of stakeholders thus:

> The project involved three governments, . . . and each of them had two representatives on the board which were completely responsible for the operation, administration and construction of the project. . . . Imperial Oil was a partner but was also going to be the project manager, . . .

Policy and Procedures. At the problem definition stage, policy and procedures refers to instances coded where policy or formal procedure played a key role for respondents in defining the problem. Perhaps surprisingly, this sub-category did not play a major role at the problem definition stage. A total of only 17 occurrences were recorded. It might be inferred that some important role was played in problem definition by policy in personnel cases. In 6 out of 10 such cases, policy is directly referred to, for example, evaluation procedures and policy on retirement of administrators. Often, the policy question was one of lack of policy in defining the parameters of what could be done and not done, such as lack of policy on long-term leaves to pursue other employment, or general lack of administrative policy for which administrators themselves would be accountable. Statements coded in this sub-category include the following statement by one respondent in a personnel case interview: "We do not have an institutional policy about long-term leave of absence, . . . " Another respondent goes on to explain, "It was just, I think, a lack of administrative policy and procedures--they were here and there . . . ."

Overall, in cases obtained, there seems to be no explicit pattern for policy and procedures at the problem definition stage.

Formal and Informal Information. The largest sub-category in terms of frequency of responses at the problem definition stage is clearly the role of information in defining the problem. A total of 68 instances were recorded in phase I interview data. Information was further divided into formal and informal. Formal information refers to those instances where respondents relied on information obtained through formal channels or official procedures in order to define the problem. Examples might be data from evaluations, existing documents, reports, college surveys, official letters, and so on. The following statement by a respondent is typical of coding as formal information:

> I had already received, along with the recommendation, personnel files complete with evaluations. That is part of what I do . . . . I try to get my hands as close as I can to raw data as well as the interpretation somebody's applied, and then I try to satisfy myself as to why discrepancies exist--high readings, low readings, . . .

Informal information refers to knowledge gained through casual conversation and the grapevine. Out of a total of 68 instances, 35 were formal and 33 were informal. Coding here can be exemplified by this respondent's explanation: "Well, the issue came to me through, as I recall, comments from students and staff, . . . there was a certain amount of gossip and information floating around campus on Monday morning that this had happened."

First, it may be noteworthy that 9 out of 10 personnel cases involve references to informal information as important in defining the problem. One administrative personnel case, a retirement where the initial problem was clear, involved no references to information. Of the remaining nine, four made reference to only informal information as the source of information in problem definition. In five personnel cases where reference was made to both formal and informal information, in three cases more references were made to informal than formal information.

In all, six organizational redevelopment cases were obtained. Of these six, only two cases made reference to both formal and informal information. All cases made reference to formal information and no case made reference to informal information exclusively. In three cases, references amounted to formal feedback from specific initiatives such as surveys, reviews, or feedback from the college community via a facilitator. Others involved reviews and the study of existing documents, files and plans.

Overall, it could be inferred that information gathering is seen as an important task in defining the problems recounted by this group of respondents. Indeed, it appears as though informal information plays a key role in personnel decision definition. Simply, presidents seem to want to talk to those directly involved in order to understand the problem. Congruently, formal information seems to play a significant role in organizational redevelopment cases. Formally gathered and organized information seems to impact on presidents' definitions of the problem. Interestingly, in two out of three buildings and facilities cases, no reference was made to information at all. This may be because these cases were ones of entrepreneurial initiative; pro-active cases where certain needs are easily defined and actions taken without extensive information gathering processes.

Certain qualifications must be stated. First, the existence of information statements may not be exhaustive of what role information plays in definition. It represents what came to mind as important during the interview process. Second, it was judged that references to information gathering were attempts to define the nature of the problem, and not so much a strategy for solution.

Basic Dilemma. The sub-category of dilemma at the problem definition stage is somewhat unique. Statements which reflect basic dilemmas of respondents were identified in replies to the question "What do you see as the basic dilemma in this case?" In all but three cases, only one dilemma was stated, and it could be argued that all statements coded as dilemmas within a case reflect the same basic conflict. When asked about the basic dilemma in a case, one respondent explains: "Considerable overlap in role, the lack of role definition for various people in the organization. Overlaps and gaps. Lack of understanding or accountability for certain functions."

In one sense, each dilemma statement is unique to each case. However, there may be some insight gained through closer examination of statements within decision type. For example, in three out of 10 personnel cases the basic dilemma was clearly expressed as conflict between two basic principles or values. Note the following example from one case:

> This person is a marginal, at best, and probably incompetent instructor. How do I, on the one hand, go around chirping about quality of instruction, but then, when presented with a quality problem, ignore it? And that was the dilemma for me throughout this whole thing.

And in another: "The dilemma, put as succinctly as I can put it, is this: 'Is the word of the institution on a letter of understanding paramount, or is the education as perceived by x number of students over the next two years paramount?'" In two personnel cases, lack of information or conflicting information was stated as the basic dilemma. In two personnel cases the validity of evidence from evaluations and the ability of this evidence to depict reality was brought into question as a basic dilemma. An expression by one respondent puts the matter quite explicitly: "Truth. Truth is always a dilemma . . . . one group can see this one way and another group can see it another way. Where is the truth?" This respondent goes on to say: "Truth has been contrived and shaped to validate such that it invalidates the actual behavior. So the records don't really record."

Two out of six organizational redevelopment cases reflected lack of institutional mission or vision as the basic dilemma in definition of cases. Other dilemmas seem to be somewhat related to these concepts and include; readiness for change to a shared decision making management style, a "walk the talk" problem, i.e., not practicing what the institution was teaching students, lack of role definition and accountability, and planning which was budget driven. It may be interesting to note that three out of six cases made reference to more than one dilemma, that is, two or three different but related dilemmas were perceived. For example, in one case, a respondent explains the dilemma as "a lack of institutional mission that everybody was aware of and believed and worked towards . . . . " Earlier, this respondent suggests, "It was this shared accountability which nobody really accepted." This suggests that organizational redevelopment cases may appear to decision makers as multi-dimensionally problematic where more than one basic dilemma exists.

In contrast, buildings and facilities cases were seen as problems of space, problems of how to sell the idea, and the problem of risk, that is, an expenditure of resources versus chances of success.

Because of the uniqueness of dilemmas to each case, little evidence exists of patterns within case types. Interestingly, many dilemmas are expressed explicitly or implicitly as value or principle conflicts. The one exception seems to be the conspicuous lack of conflict on principles in buildings and facilities cases. These cases seem to lack the same type of ethical complexity evident in the dilemmas of other cases.

History. This sub-category reflects the use of past knowledge, experiences, and approaches to problems in order to define the present problem or, in some cases, the use of certain past experiences to help set the context for understanding the new problem. The following statement represents a typical example: "People at this college tend to be reasonably stable, fixed, with a fair amount of longevity here amongst many of our staff." A slightly different type of example is as follows: "And I felt I needed to know more, really know more about the college, where it had been in its past, what its culture was like."

It is reasonably clear based on ordinary reason that history and past experiences of all types tend to play a role at the problem definition stage. In 19 out of 23 cases, at least one explicit reference was made to an historical factor. However, no obvious patterns exist relative to type of case. Historical instances seemed to be respondent specific and linked to the context of the case in question at the time. The one exception may be buildings and facilities cases. All three cases of this type seemed to rely on previously existing plans or other documents as an initial reference or "springboard" for the proposal or plan relevant to the case. Early in the process, presidents would tend to refer to an existing plan as a starting point or frame of reference. Similarly, this suggests that the initial awareness of each building case was at least partially the result of a previously existing and sometimes long-standing need for space, facilities, or capital growth. Not the following statement by one respondent:

> There had been a plan--this is history now, . . . I found a document that was from about five years earlier that talked about location . . . . I capitalized on that in terms of saying this was not just my idea . . . but it in fact was a long standing idea for the college.

Although historical factors played a role in problem definition in this study, evidence suggests, particularly for organizational redevelopment cases, that decision makers rarely relied on maintaining the status quo or using already existing models to solve their problems. In most cases, presidents abandoned already existing approaches for new ones. Even in the buildings and facilities cases, any existing plans were modified and adapted to address the dimensions of the prevailing set of circumstances, problems, and stakeholders relevant to the case. (The role of existing plans, strategies, models, or knowledge at the problem definition stage should not be confused with using familiar or [illegible] tested methods to arrive at a solution. See Nutt, 1984. This point will be expanded upon in later sections of the chapter.)

Perceptions of Others

This general category, of all categories, is most elusive and presents the most difficult problems in terms of definition, classification, and coding. The category represents, in effect, views of respondents on the attitudes and beliefs of others, or conditions relating to others. The category is further restricted to those statements which reflect respondents' beliefs about how others would perceive or react to a decision if it were made. Thus, the category reflects respondents' assumptions on the views of others. Further, analysis of this category is not intended to represent a judgement on whether assumptions were right or wrong. The inclusion of such a category is based on the evidence that how a respondent believes he or she will be perceived bears somehow on the decision that is made. It will be recalled that one limitation of this study is the absence of interviews with other stakeholders in the decision cases. Therefore, if respondents believed "such and such" about members of the college community, such beliefs cannot be corroborated. Thus, the necessity of naming this category "perceptions of others."

Originally, six subdivisions were included: motives of others, effectiveness of others, perceptions on the role of others, general philosophic views, perceptions of immediate subordinates, and perceptions of internal and external college communities. Motives, effectiveness, and the role of others were abandoned for lack of relevant content leaving three subdivisions at three different levels of generality: perceptions of internal and external college communities, perceptions of immediate subordinates, and philosophic views referring to no group in particular. Each of these subdivisions will be discussed in turn.

Internal and External Communities. This sub-category represents the assumptions of respondents on the views of various college communities. It is clearly dominant in this category in terms of frequency. A total of 82 references or statements reflecting respondents' views of other constituents were identified. The sub-category of college communities was further divided into internal and external communities. Internal community was identified in cases where respondents made general reference to the views of others collectively within the college and was marked particularly by the use of the words "people" or "everyone" or sometimes the explicit phrase "college community." Following are two examples typical of this sub-categorization: "My guess was that they would be interested in being involved in that process and my feeling is that hopefully they're interested because it is their college." Another respondent states: "This culture is one where people expect to have a say; they're getting a little bitchy about being given too much to do."

External community statements were identified usually by explicit reference to a specific constituency or person, or by the context within which the statement existed. One respondent states, in regard to an external community member: "Once the man's involved, the company's not far behind." Another respondent states: "And I think the university thought that I wanted to make this a transfer college. So very quickly they made some assumptions without checking them out." References to internal community greatly outweighed references to external communities. Of a total of 82 references identified, 61 were coded as internal community references. It may be valuable to examine respondents' perceptions of others from the point of view of decision type.

Out of 10 personnel cases collected, seven contained references to either internal or external college communities or both. Of these seven, only one occurred in which references to external communities outnumbered references to the internal community. Of the remaining six, four contained only references to the internal community and no references to external communities. It is of interest to note a comparison between the sub-category of stakeholders and perceptions of others in personnel cases. Coding for stakeholders involved references to individuals or groups who were directly involved in or who had some stake in problem definition. Perceptions of others, on the other hand, reflects coding of the views of respondents more so on how respondents believed others would react to the decision that was about to be made. In personnel cases, although it was found that a very narrow range of stakeholders was referred to--basically the person impacted and a small number of subordinates directly involved in the decision--it appears as though CEOs become quite concerned over how their personnel decisions will be viewed by the internal college community as a whole. Out of instances recorded, in only two cases were references made to specific factions within the internal college community; one concerning students, and one concerning faculty. All other references were to the internal community, and these references most often reflected the respondents' concerns on how the community would be affected or on how they would react to the decision made. Note the following concern expressed by one respondent: "Who was keeping an eye on this? You know everybody knew how I'm going to react, . . . whether I'm going to follow through or whether I'm just fluff." Another respondent states, concerning a senior administrator that "This has to do with . . . people who think you don't like them and people who think that you think you are better than they are."

These statements clearly reflect respondents' views on what members of the internal college community think or believe. It is possible, therefore, that in the personnel cases collected here, respondents' perceptions of how decisions will be perceived significantly affected what decision was made and the way that it was made.

Perceptions of the internal college community in organizational redevelopment cases warrant some attention. In all six cases received, views on the internal community outnumbered views on external communities. In a number of cases, explicit reference was made to how the internal community would deal with the change process. One college president expresses the following: "And this institution had to come to a stage of almost chaos inside the institution before the institution itself would accept that it had to change." The predominant point of view is one of caution or skepticism on community reaction to change, followed by comments implying that such processes will ultimately end in some greater good and that the internal community will benefit from and accept such revitalization processes. There is also the view that new opportunities will emerge from the process. One respondent explains as follows:

> I say we've got the majority of people in the college running to first base. Its a very critical game, and that's great because ten years from now they'll be coming around home plate and the college will be that much more successful for our students.

In all three buildings and facilities cases collected, predictably, references to external communities outnumbered those to internal communities. The major emphasis in these references seems to be concern, in one case, over whether the college was seen to be treated fairly by government, and in another, the perception by the external community of the college's academic status, or how the type of capital development in question would be seen by other external communities. Again, it might be suggested that in these cases, the perception of various publics weighs quite heavily in the minds of respondents in the decision process.

Subordinates. This sub-category represents instances where references are made on the assumed views, conditions, mind-set, or attitudes of specific subordinates or other individuals in the organization as opposed to general statements on college communities. Overall, 28 such references were recorded, most of which involve references to immediate administrative subordinates such as vice-presidents.

In personnel cases, usually the person directly impacted, such as the individual dismissed or hired, was mentioned or assumptions about the individual's views on the decision were expressed. In three cases, references were made to others, such as in one case, students, and in another, a faculty association president, and in another, other staff members. In other cases in which such references occurred immediate subordinate administrators were the dominant group mentioned.

Overall, little evidence exists in this sub-category for patterns. It seems to be the case however that concern over the views of immediate administrative subordinates on the decision made dominated across all types of cases.

Philosophic Views. This sub-category stands out as essentially distinct and unique, mainly because such statements made by respondents fit neatly into no particular category defined for decision process, but rather are general philosophical statements on organizations which are removed from the context of discussion on specific processes of decision making. They occurred virtually anywhere in a discussion and were in every instance general references to some aspect of human functioning in organizations. Regardless, it maybe interesting to examine these views in relation to decision type.

Twenty-one such statements were recorded in all, identified in a total of 15 out of 23 cases. The majority of cases contained only one such philosophical reference, except in one or two cases where respondents offered a number of differing views.

Overall, what is noteworthy of this sub-category is the absence of any pattern specific to decision type. Beyond the identification of such statements within the decision context, no classification seems possible. The statements seem to represent some form of general and basic premise which helps to give meaning to the actions taken by respondents. Some of the following examples will demonstrate. Concerning dismissals, one president states: "And it bothers me when persons think that it is easy, go out there and do it, just do it! Do what?" On hiring subordinate administrators, one respondent claimed: "Now there is another reality, that regardless of how intensely you do it, there is no guarantee that the fit will be there." A view of one respondent on information and decisions which encapsulates one important purpose of this study was expressed thus:

> Well I guess I have the basic belief that if you give people the same information, most rational people will make the same decision. Now sometimes this doesn't happen, and when it doesn't, that is where you really have a conflict in values.

In a buildings and facilities case, one president explained, "I forgot how political some people get, political and honesty don't go together." One president, in explaining the basis of his personnel decisions stated, "I would tend to make decisions on the basis of my knowledge of the people and my prediction of how they're going to react." Finally, in a finance case, one president explained: "The principle is that how you make decisions is more important than the decision that is made."

Although no distinct patterns emerge within decision types, hopefully, these statements provide some small insight into how respondents view their organizational world and frame premises upon which specific actions might be based.

Solution Development Stage

The solution development stage includes discussion of six major categories including strategies used, non-rational factors, goals identified or achieved, expected outcomes, expected constraints to decision making, and alternatives considered. The area highlighting solution development in Figure 5.2 indicates the stage of decision being discussed.

Strategies

This major category represents identification of various types of actions and initiatives used by respondents in the solution development stage of the decision process. It should be kept in mind that the sub-categories here reflect different varieties of actions which were used by respondents, not in problem definition, but in the formulation of a solution, analogous to asking the question, "Now that we've identified that a problem exists, what do we do about it?" Ten different strategies were identified, each of which will be dealt with separately.

Consultation. This sub-category refers to consultation not in any broad sense of the term, but merely to the act by respondents of seeking out individuals to confer with on the issue at hand. Very often, the coding of this sub-category was in response to the interview question "After the problem first came to your attention what's the first thing you did?" In general, this question and the question which followed "What did you do next?" elicited various strategy responses. The following examples are typical of coding in this sub-category: "My first action was to call the individual in and just confront the person, . . . " Another president explains, "I would have started to talk to my vice-presidents about it. Third thing would have been, talk to the board."

One or two dominant patterns emerge from analysis of statements coded as consultation. First, it is the most frequently identified strategy. A total of 56 instances were coded in 21 out of 23 cases. Second, of this total, 35, or 62.5% of consultation

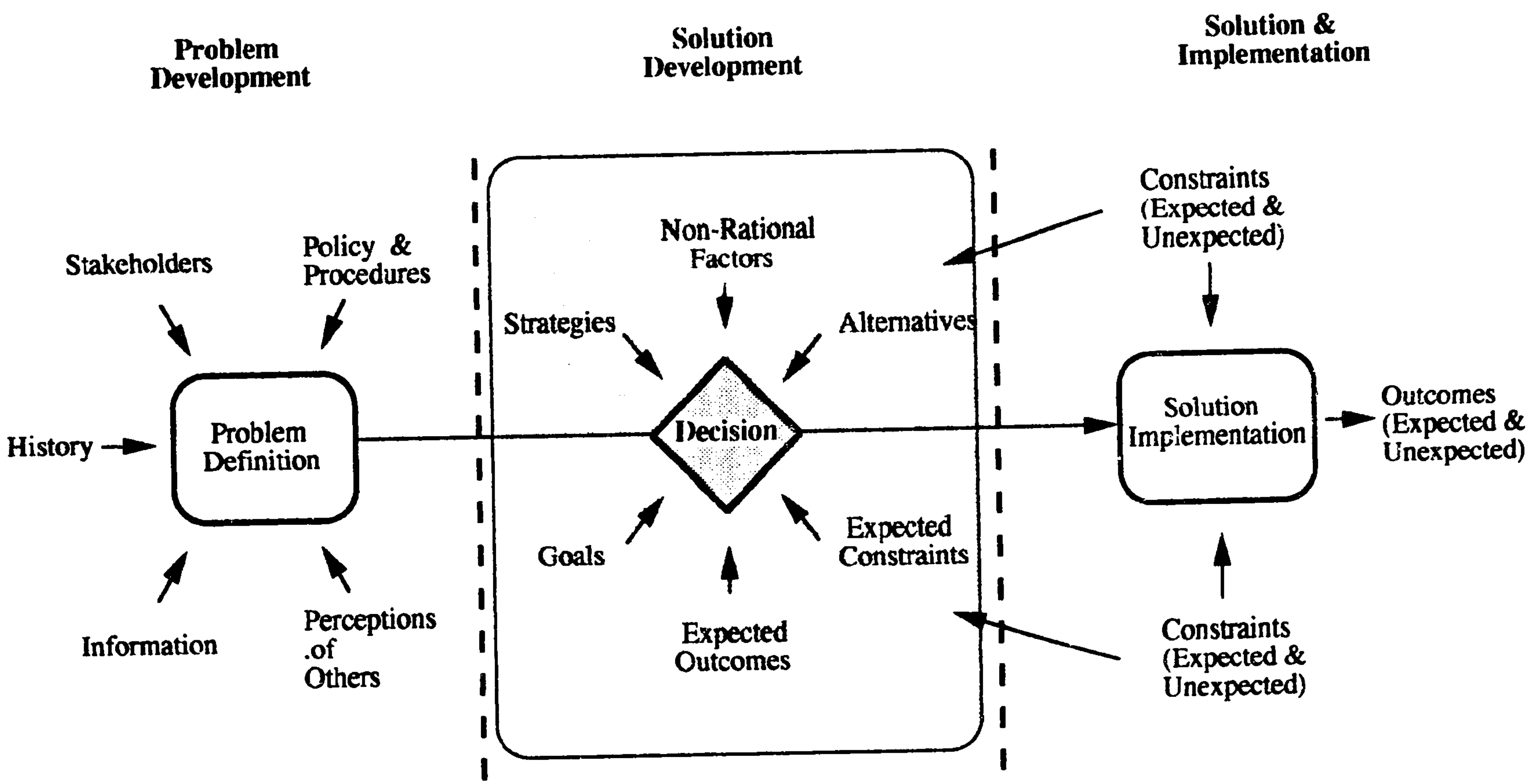

Figure 5.2. The decision process (solution development).

statements were identified in personnel cases. When statements were analyzed for content, it appears as though a fairly wide range of stakeholders are consulted in spite of the fact that this range tends not to be reflected at the problem definition stage. Aside from the individual directly impacted, members of the senior executive seem to be most often consulted. Vice-presidents, deans and chairs were consulted in dismissal cases. This is somewhat predictable given that such recommendations travel through these levels. In 3 out of 10 personnel cases -- all dismissals or pending dismissals -- college lawyers were consulted, usually on the issue of whether or not a legal case could be built. Another significant consultation in such cases was with a president of the faculty association.

In contrast, for organizational redevelopment cases, instances of consultation recorded were rather low with the exception of one planning case. Mostly, references were made to senior executive groups. In a few cases, only general statements were made with reference to no group in particular. Buildings and facilities cases revealed the same lack of numerous references to consultation. In 2 out of 3 of these cases, the president sought input from small groups of resource people.

It appears that for cases collected, presidents tended to seek individuals and groups to talk to in order to formulate solutions to problems and this is particularly clear in personnel cases. Overall, senior administrators seem to be the most frequently consulted group across all cases analyzed.

Committees. This sub-category reflects the tendency of respondents to form or otherwise put to use committees in formulating solutions to problems. Seventeen instances or references to committee use were recorded in 12 out of 23 cases. In only two cases did presidents make use of existing committees or modify committees. For example, in one organizational redevelopment case, the president's goal was to enhance the effectiveness of an already existing but ineffective academic council. All others were newly formed.

It is interesting that there is a conspicuous lack of committee use in personnel cases. In only one case did the president establish a committee to help in a personnel case and this was mainly because the case in question had external community and political implications. One respondent in a personnel case even expressed a preference for not using a certain review committee in future personnel cases if they were to arise. Aside from this, committee use was identified in all organizational redevelopment cases. In virtually all of these cases, a task force, advisory committee, planning, or management committee was established to elicit college wide information and disseminate results, or to advise the president on courses of action. One president explained: "[I] appointed a task force to look at what others were doing."

Only one of the three buildings and facilities cases made explicit reference to use of committees in solving the problem and the use of this particular committee, in keeping with the nature of buildings and facilities cases, was significantly political.

In summary, out of a total of 17 instances identified, 10 occurred in organizational redevelopment cases. The other 7 instances recorded occurred in personnel cases and one curriculum and instruction case. Three committee references occurred in one personnel case which had external community implications. One other reference was a negative comment on the use of committees in personnel cases. The curriculum and instruction case resembles, to some degree, organizational redevelopment cases in that representatives of the college community are mobilized to solve a problem.

Committee use as a strategy seems to dominate in organizational redevelopment cases. Many of these cases were revitalization initiatives, that is, shifts to participative management styles. Thus, committees may have been used to solve problems by involving representatives from many college constituencies. At the very least, this strategy seems consistent with the overall purpose behind many organizational redevelopment cases.

Building Support. This sub-category represents initiatives or attempts by respondents to rally support for a particular position or solution. The coding process in the case of this sub-category is marked by phrases such as "buy-in" or "on-board." The predominant notion expressed by respondents seems to be the importance of getting other key constituencies or individuals on side in the decision process. The following statements are typical of those coded as building support: "So for me getting the executive on board was also very key." Another respondent explains, "In order to counteract the Department's argument against this program, this chairperson went around, made a couple of phone calls to get the Minister on side and with that and with us lobbying . . . . " A total of 33 instances or occurrences of this sub-category were identified in 13 out of 23 cases coded. This is the second highest frequency of occurrence coded for strategies. One major target group for this strategy seemed to be the senior executive team. Many respondents expressed the importance of bringing this particular group on side in whatever change process was decided upon as the solution. Another key constituency deemed important by respondents seemed to be the board. One respondent, reflecting on the question, "If you had it to do again . . . " emphasized the importance of board support in the decision process. This respondent explains: "I've learned over the years it's nice to go to the board with some support, . . . it doesn't hurt to touch bases with the chairman of the personnel committee." Other important constituencies or players in building support were, in a personnel case, a faculty association president, and academic staff.

Buildings and facilities cases revealed the attempt at or even the necessity of developing support from outside factions. Support from individuals or groups external to the college such as opinion leaders in the business community, chairs and members of external committees, or other key individuals in organizations with which liaison took place, was important to the success of the chosen solution.

Aside from this however, no other reoccurring patterns seem obvious in the cases analyzed. Although one might suspect that in certain types of cases, such as organizational redevelopment cases, building support would take on a major role, data analyses in this study do not reveal clear objective patterns in phase I.

Policy and Procedures. This sub-category represents those instances recorded where respondents tended to rely on explicit and formal policy or procedure following for support in the decision solution. Examples might be references to policy manuals, or reliance on reviews or evaluations and the results, to reinforce the decision choice. The following statement represents a typical example: "The single most important factor was that the procedure had been carried out the way it should have been carried out." In response to the question "What's the first thing you did " one president states, "Looked at our policies."

In all, 22 instances were recorded in phase I, in a total of 15 out of 23 cases. Two types of occurrence are worth noting. First, in three personnel cases, respondents expressed concern over how objective evidence from evaluations was being used. The question seemed to be one of whether or not proper procedure had been followed and whether progressive discipline or intervention had been initiated. These cases were all dismissals or recommendations from area administrators for dismissal or non-promotion. Second, it is interesting to note that two respondents, when asked what they would do differently in retrospect, stated that they would seek formal written commitment from key individuals or factions.

Although it could easily be argued that policy and procedures "loom large" in the background of all college operations, overall, the possibility of reoccurring patterns in this sub-category which are type specific, seems rather weak so far. As was the case in the problem definition stage, policy and procedure does not seem to dominate in the minds of respondents in the decision process.

Board Involvement. This sub-category includes statements which reflect how respondents tended to use the board in resolving the problem, or statements which showed how the board was regarded as a player in critical decision cases. Twenty five instances or statements were recorded in 11 out of 23 cases. Overall, there seems to be no clear pattern which is type specific however, two other points are noteworthy. A number of presidents expressed the importance of board support in the initiative in question. It was expressed that part of the ground work to be laid in bringing a case to resolution was to make sure the board would "buy-in." One president put it this way: "Without the support of the board, . . . it couldn't work and wouldn't work . . . they were buying into it, . . . " A number of presidents also explained the way the board needed to be handled or what improvements could be made if the case were to be done again. Two presidents made specific comments concerning improvements such as trying to cultivate a stronger board team and providing a better orientation for new board members. One president was quite clear on involvement of the board in personnel cases, suggesting that the board would most often be informed after the fact of the decision already made. Although there appears to be a prevailing attitude on "managing" the board, little evidence exists to support the possibility of type specific patterns.

Novel Actions. This sub-category stands as somewhat unique in that most coded references were in answer to the question "Is there anything in the way you handled this case that is special or novel, something that you would not normally do in cases of this type?" It was hoped that such a question would reveal not only special strategies not normally used, but also verify consistency with an earlier question which asked whether or not the handling of the given case was typical of the respondent's style. Coding of this sub-category resulted in only limited insight into respondent style since some questions were not answered directly or were answered retrospectively from the point of view of having the opportunity to do the case again.

Overall, 18 responses were coded in 15 cases. Only two novel strategies reoccurred throughout cases in which this category was coded. In three cases respondents explained that a greater level of consultation was used than was usual and in one personnel case the president got more directly involved than was usual. In two cases by the same author, senior administration were perceived as a problem and therefore were removed from further interaction with other key stakeholders in the decision process. At this point, there is little evidence to show the existence of type specific patterns. It may be noteworthy, however, that 15 out of 23 cases or 65% of cases were complex or critical enough to warrant the use of at least one non-typical strategy

Demonstrating Values. This sub-category represents the tendency of respondents to express concern over consistency between what is espoused and what is actually done, and particularly, whether or not the president's actions are perceived by the college to be consistent. This category is typified by such common phrases in administration as "walk the talk" and exemplifies those instances where presidents seem to be concerned over perception, and to use demonstration of consistent values as a strategy. This should be distinguished from the identification of actual values which will be dealt with in a later section. The question now is not so much "what values," but rather whether or not and how respondents used value demonstration as a strategy. In other words, "walk the talk" is regarded here as a strategy and not itself a value.

In 10 out of 23 cases, 21 instances of demonstrating values were recorded. Overall, there seems to be little in the way of type specific patterns revealed from data analysis. The exception may be the expression of such strategies in organizational redevelopment cases. In three such cases and in another in which restructuring played a role, reference was made to the importance of being consistent in talk and action. One president expressed concern over the fact that the institution was not exemplifying in its own behavior what was being taught in the classroom, and that the redevelopment initiative in progress would itself exemplify a shift to more collaboration. Another expressed continued concern over doing what was said would be done. A third expressed this view:

> We are an institution that supports, . . . values that have to do with the humanities and that have to do with behavior, . . . and if we do not behave as if we believe that, then nobody is going to believe that we believe that.

In a personnel case a respondent was concerned that the decision and subsequent action would send a message which would "demonstrate commitment to that concept and, I guess, also send out a message that incompetence or less than quality instruction is not to be tolerated."

Timing. This sub-category represents instances in which timing used as a strategy was deemed important by respondents in formulating and implementing the solution. Twenty instances or references were recorded in 11 out of 23 cases. Although not dominant in terms of frequency of occurrence, this strategy seemed to be regarded by some respondents as one key in the success of cases. One participant, in answer to the question "What is the most important or crucial factor in the decision?" responded: "The choice of time, it is now time or that we've got to move, . . ." The key concept here is "readiness" of the institution for change, and this readiness seems to be triggered or signaled by conflict among forces within the institution and an optimum level of awareness of conflict and the need for change brought on by such conflict. This same respondent goes on to say:

> The wisdom that I have to show is to know that balance between the old guard--I want the structure, I want somebody else to make the decision and I'll just live with that--and the new guard that says "If these decisions are going to affect me I want to be part of them." The wisdom that we have to show is trying to figure out when there is enough of a balance to say, okay, it's time now.

In another organizational redevelopment case, a respondent suggested that negotiations brought about a raised awareness level and a readiness for change. Another respondent expressed similar ideas this way: "Now the question becomes, when do we move in that direction, . . ." Finally, what may be noteworthy is the lack of such strategies in personnel cases. Only two personnel cases contained references to timing as compared to 4 out of 6 organizational redevelopment cases and 3 out of 3 buildings and facilities cases. This may suggest that timing becomes more important relative to the scope of the decision made. Personnel cases tended to involve fewer stakeholders and to have less direct institutional effect compared to organizational redevelopment and buildings and facilities cases.

Environmental Scanning. This sub-category reflects attempts by respondents to stand back and assess the exact nature of the dilemma or use strategies and initiatives to gather information to enhance overall understanding of the problem at hand. It is also an attempt to grasp the "big picture" of overall college operations or the prevailing climate in the external community. Only nine instances were recorded in 7 out of 23 cases. Most occurrences were found in large scale cases involving the internal college community. Instances were recorded in 4 out of 6 organizational redevelopment cases, in one finance case, and in one curriculum and instruction case. In one organizational redevelopment case, the president linked such scanning with gut feelings, and the question seemed to be whether unrest was a college wide phenomenon or a function of one college faction. Trying to understand the effectiveness of the college, some respondents would seek out informal contacts within the external community. One president expressed views on scanning explicitly: "I have pretty good environmental scan skills, and I can see a pattern to something. So the first thing was recognizing that there's an issue here we should sort out." Overall, too few occurrences were identified to discern any type specific patterns.

Value Clarification. This sub-category represents attempts by respondents to clarify his or her own values or attempts to put other key players through a value clarification exercise. Only twelve statements of this nature were recorded in 7 out of 23 cases. Many references involved attempts by the president to initiate a values/vision exercise on the part of senior administration or the board. One president commented in retrospect on removal of a project from the budget so that it could be dealt with clearly on its original terms, that is, as an innovation and as a value debate in the context of basic objectives. Most often, however, this strategy involved attempts by presidents at value/vision initiatives with boards or senior executive teams. One president expressed the following: "The next thing I did was to stop and think about the questions people were asking. What was my vision for the college?" This respondent went on to say, "I really pushed the executive for . Some of them struggled with what I meant about values, . . . " Interestingly, this strategy was recorded in 5 out of 6 organizational redevelopment cases, in one finance case and in only one personnel case. Not surprisingly, this strategy seems to dominate in cases where one main purpose is organizational revitalization.

Non-Rational Factors

This category examines the possible role in decision process for intuition, hunches, or gut feelings. Responses coded were most often in answer to the question "Is there a role in your decision for what we would call non-rational factors, gut feelings, or hunches?" Minor problems exist in relation to this category. First, respondents did not always provide an answer congruent with the nature of the question. Often, references to hunches would arise in other parts of the interview. Second, and more importantly, interpreting the content of such responses is ambiguous simply because when articulated by respondents, many hunches become or are exposed as rationalizations. With this limitation in mind, the following was discerned after analysis of data.

Frequencies of occurrences within cases were quite low, usually one or two references to such feelings. Twenty-nine instances were recorded in 19 out of 23 cases. Within personnel decisions, intuitions ranged from anger or urgency to caution on the part of one president who suggested he was careful in relying on gut feelings for personnel cases because of the danger of conflicting information. In one administrative personnel case, the president emphasized the crucial importance of gut feelings. This president expressed regret at not listening to gut feelings in this particular case. In two personnel cases, respondents had the feeling that the case was more complex than it appeared on the surface. One president expressed the matter this way: "The only hunch I had was that the decision wasn't as clear cut as it normally would be. I guess I tend to be a little skeptical about whether it's in fact as straight forward as it first appears."

Organizational redevelopment cases included hunches on when the timing was right for change, hunches on the presence of value conflicts, hunches on role definition problems, or a gut feeling that planning would be enhanced by knowledge of organizational culture. References to non-rational factors were recorded in 2 out of 3 buildings and facilities cases. In discussing one such case, a respondent described the approach of aligning college and community needs as initially intuitive. Interestingly, no instances were recorded in the two finance cases received.

Overall, there do not seem to be recurring patterns which are type specific in this category. What may be specific to particular respondents is the extent to which importance is placed on such feelings in the decision process.

Goals

Different types of responses were classified as goals or objectives that respondents identified as desirable to achieve as a result of the decision. In effect, the sub-categories mark one immediate end that would be reached as a result of the decision. Five types of goals were identified: compromise, neutralization, precedent setting, winning, and achieving effectiveness.

Compromise. Compromise reflects the desire to use negotiation to achieve a balance among conflicting factors or to achieve flexibility among factors. Only 14 instances were recorded in 8 cases. Six of these cases were personnel decisions. Predominantly, the tendency of respondents was to find a way around recommendations or to "cut a deal" which included a payout. Compromise was seen as a vehicle for achieving fair treatment for the individuals in question. One respondent's view is a typical example:

> You've got to balance all those things, and that of course, is part of my job, to find a solution to all this. . . . That point is when you start to look for compromises . . . the community would have seen that as being fair, . . . our faculty would have viewed that as being fair.

It is fairly clear that balance or compromise was popular in personnel cases for achieving a climate where all involved would view the solution as fair.

Neutralization. This sub-category reflects the desire of respondents to neutralize a potentially volatile situation, in effect, to make it a "non-issue," as one respondent explained.

This goal appears to be similar to and often goes hand in hand with compromise. The difference here however seems to be the attempt to avoid public display or to keep a low profile. The key identifying phrase in many cases, particularly dismissal cases, was to encourage a faculty member to "go quietly" while saving face. As one president put it, "What you hope for is that the faculty member will accept the decision and go quietly . . . with an indication that they did receive fair treatment . . . ."

Again, similar to compromise, only 16 instances were recorded in 11 cases. Eight out of a total of 10 personnel cases contained references to neutralization. Further, five of these personnel cases contained references to both compromise and neutralization.

Precedent Setting. This sub-category reflects the desire of respondents to establish, by means of the decision, a standard or baseline for future cases of a similar type, or to affirm adherence to some espoused principle or other basic issue as an example or model for future occurrences. In all, 17 instances were recorded in a total of 9 cases. Five of these cases were personnel decisions, although the notion of setting a precedent was seen as important in other types of cases as well. Many respondents referred to their approaches on this matter as "setting an example." One respondent, in an organizational redevelopment case, expressed this view: "Who should set the best examples? Who? What kind of organizations should be trying to take what we've been teaching in the classroom and apply it? . . . So if not a community college, . . . then what organization is better suited?" Another president expressed the need for consistency in the treatment of human beings: "We should be consistent in the way that we behave towards other human beings because there is something larger than that human being at stake here . . . . "

Overall, there is little evidence at this point to show type specific patterns in respondents' desires to achieve this goal.

Winning. This sub-category expresses the desire of respondents to achieve a fairly specific positive result in a potential win-lose situation. These instances were most often characterized by such phrases as "make it work" or reflected in a situation in which something was either accomplished or [illegible]ous consequences would ensue. Only 7 instances were recorded in a total of [illegible] 23 cases. In two cases, respondents expressed the desire in regard to the decision "to make it work." Overall, this goal, or rather respondents' views of their dilemma in win-lose terms, seems to be rather infrequent and no evidence suggests type specific patterns.

Effectiveness. This sub-category simply represents the desire by respondents to optimize a given set of factors or conditions, to achieve the most desirable set of tangible results possible -- financial, political, or educational -- given the circumstances with which respondents were faced.

In all, 40 instances of this goal were recorded in 17 out of 23 cases, the greatest frequency of instances and spread of cases of all goals analyzed. A number of points are worth noting here. First, only 4 out of the total of 10 personnel cases are included among those containing effectiveness references. Content of such instances ranged from the desire to take an opportunity when one arose, through viewing effectiveness as good leadership which encompassed collaborative governance, to effectiveness as defining issues in the organization which would improve services to students. What is perhaps noteworthy is the variety of responses that were coded. One respondent expressed the following:

> And so administratively we're seeing some of those outcomes already. We have now come to eight major issues that we have to address so that our students are guaranteed an appropriate programmatic satisfaction and an appropriate service acquisition or service level. And those are comprised of eight sub-sets of tasks or issues that we must address and each of those issues are stated in terms of success statements; if we do this we will be deemed to be successful. They have to do with

human relations and programs and community values and those kinds of fundamentals.

Another suggested that "all the principles underlining that notion of collaborative governance and so on are the same principles that underline any well functioning successful organization . . . ." One thread of thought within organizational redevelopment cases was the notion that some overarching or widely accepted view of college operations will be reached by the college community. This idea was expressed by at least three authors in organizational redevelopment cases. A second idea was the desire to achieve optimal conditions by achieving more than one immediate goal simultaneously. One president stated, "And what really capped it was the demonstration of financial savings that could be accrued at the same time as achieving the innovation that was being desired." One president hoped that what was learned through the initiative would improve the evaluation process and be used constructively in the future.

In all three buildings and facilities cases, at least one reference to the efficient handling of the cost of the project was made. One project was accomplished without public funds. In another, the loan was paid off at the end of the project, and one project came in under budget. One president expressed the most references to effectiveness when discussing what could be accomplished if the case were to be done again.

In summary, there is some indication of possible type specific patterns in organizational redevelopment cases. The desire for some consensus on function or purpose and the desire to achieve multiple goals simultaneously was noted. In buildings and facilities cases, the desire for the efficient handling of money was noted. What is perhaps more telling is the definition of effectiveness which emerges within the context of decision making for these respondents. So far, it appears that effectiveness may mean achieving ownership, consensus, or agreement on purpose and function, and being able to address multiple goals with one decision. For buildings and facilities cases, managing costs seems to be the definition of effectiveness. Overall, it is clear that effectiveness as a goal plays a critical role in the decision making of this respondent group.

Expected Outcomes

The coding of this category of responses represents participants' estimation of the reaction of, or in some cases the effect upon, a particular faction or individual within the college or external to the college, to the decision being made. It reflects, in effect, what presidents expected to happen as a consequence of the decision made. Two types of questions are pertinent here; who the referent is, and what the content of the estimation is. To achieve a clearer analysis of expected outcomes, this category was sub-divided into the following groups: students, faculty, board, internal and external college community as a whole and specifically identified subordinates. Furthermore, outcomes will be dealt with in two parts, expected and unexpected outcomes. A discussion of unexpected outcomes will be provided in a later section of this chapter. The logical assumption here is that expected outcomes would factor most significantly in the solution development stage.

Reaction of Students. Instances recorded reflecting direct reference to reaction of students were few in relation to other sub-groups identified. Only six references in four cases were recorded. Three of the four cases were personnel cases. Two cases made reference to how students might react to dismissal of a faculty member, one case made reference to the particular problem of one student as an example of a larger problem, and one case referred to the fair treatment of students.

The absence of references to students should not be construed, however, as a lack of interest in student needs. On the contrary, later identification of values demonstrates the opposite. It does however appear to be consistent with the earlier recorded absence of student personnel cases, this being the main difference between the original typology, drawn from the K-12 literature, and the typology adapted for this project. Overall, respondents were not confronted with student decision cases and this may be a reason why the reaction of this group is not directly considered in decision formulation.

Reaction of Faculty. This sub-category marks respondents' views on the reaction of or effect upon the college faculty, given the decision being made. Again, frequency of occurrences were rather low; 12 instances were recorded in 8 cases. Five out of the eight cases were personnel cases. In all five personnel cases, respondents referred to the reaction of faculty to the decision to dismiss a particular faculty member. Given the close knit and political nature of college environments, this outcome is predictable.

Overall, there is little evidence for any strong recurring type specific patterns. The reaction of faculty seems to occur most frequently as an expected outcome in personnel dismissal cases.

Reaction of Internal and External College Communities. This sub-category represents respondents' anticipation of the reaction of or effect upon the internal and external college communities in general. Either specific reference to a college faction was absent, or the actual term "community" or a synonym was used directly. This sub-category was most frequently referred to by respondents as an expected outcome. Forty-three occurrences were recorded in 16 cases. Six of these cases were personnel, and five were organizational redevelopment. One or two points are worth noting. First, there is a dominance of references to the external community in personnel cases. Contrary to what one might expect and contrary to previously analyzed data which indicate a rather small range of stakeholders in personnel cases received here, some respondents expressed much concern over the potential reaction of external communities. More specifically, the problem seemed to be "What will the community think if the case is handled improperly?" One president states explicitly,

> I didn't see that I could possibly let the person remain given the suspicions that were out there . . . . what if it comes out . . . that he and I had this meeting and I hadn't acted the way I probably should act.

Another stated "What would the community think? It's a small town." Similar concerns were recorded in 4 out of 6 personnel cases in which this sub-category was coded.

Second, respondents in some organizational redevelopment cases showed a tendency to expect to achieve what was originally intended. That is, respondents' answers to the question "What outcomes did you expect?" tended to reiterate what the main purpose of the project or decision originally was. In three of these cases, presidents expected to achieve success when the college community becomes involved in decision making, recognizes it is involved, and internalizes the process. This may simply reflect the fact that some organizational redevelopment cases were still incomplete, or at least final outcomes had not yet manifested themselves.

Aside from these observations, little evidence exists to suggest strong recurring type specific patterns in expected outcomes for the college community in general.

Reaction of the Board. This sub-category represents presidents' anticipation of the reaction of the board to the decision. Few instances were recorded compared to other sub-categories. A total of 11 instances occurred in 7 out of 23 cases. These instances ranged from cases where the president anticipated support from the board on a financial issue and received it, the board's endorsement of an initiative for capital development, an endorsement of a personnel decision already made, to the passing of motions on the recommendation of the president. Essentially, the instances recorded here reflect successful anticipation of board reaction to the decision made by respondents.

Overall, no evidence for type-specific patterns seems to be present for these predictions.

Reaction of Subordinates. This sub-category represents anticipation on the part of respondents of the reaction to or effect upon immediate subordinates, given the decision being made. It refers to the reactions of specific subordinates or subordinate administrative groups that were predicted by respondents. This sub-category contains references to specific administrators and administrative groups, and contains the second largest number of expected outcomes references, next to the internal and external college community. Twenty-nine references in all were recorded in 14 cases. These included six personnel cases, four organizational redevelopment cases, one finance case, one buildings and facilities case, the board relations case and the curriculum and instruction case. Of the six personnel cases, two were administrative personnel decisions and in all cases except one, main references were to the person directly impacted by the decision, that is, a staff member in three cases and an executive administrator in two cases. One staff personnel case made reference to subordinate administrators.

In 3 of the 4 organizational redevelopment cases, references were exclusively to senior administrators. In one organizational redevelopment case, reference was made to the reaction of the president of the faculty association.

In general, in all included cases, the majority of references were to the senior administrative group. The general notion expressed seemed to be the key role played by this group in being "on board" or "buying in" to the reorganizational process, or, in contrast, the prediction of lack of support or ensuing conflict on the part of this group.

Overall, it seems that predictions by respondents on personnel decisions may be predominantly concerned with the reaction of the impacted person. Further, respondents tended to consider the role of senior administration as key in many of the different types of cases collected.

Expected Constraints

A question was raised during interviews concerning constraints to the decision process. Respondents showed some difficulty in distinguishing between outcomes and constraints at first, therefore, care was taken in providing explanation along with the question and in the wording of the question itself. The question was asked "What did you identify at the time as constraints to the decision making process?" and it was explained that the respondent should distinguish between outcomes, that is, consequences, and expected constraints, which were defined as being what the decision maker expected as barriers or impediments to decision implementation. A subsequent question was also formulated to elicit comments on unexpected constraints. This category is dealt with in the solution and implementation stage, discussed in the following section.

In all, 48 instances were recorded in a total of 13 cases. As a result of data analysis, a number of points are worth noting on the overall occurrence of identified constraints. First, the most frequently occurring type-specific constraint was various external community stakeholders referred to in the three buildings and facilities cases. Predictably, given the range of stakeholders involved in these cases, various kinds of constraints originating from the external community were mentioned ranging from provincial government funding (or lack of), the Minister and Deputy Minister, local municipal government lack of support, representatives or chairs of committees from private companies, to general references regarding the perceptions or attitudes of the local community. These types of constraints were almost exclusive to buildings and facilities cases. One respondent explained, "We had a minister . . . who was luke warm on the idea at the time and so that was a bit of a set-back." This respondent goes on to say, "the presentations to the government on the part of the college. That was often kind of a dicey process in terms of whether or not they would support this concept."

The constraint which occurs most often across case types, however, is time. This constraint appeared in seven cases, only one of which was personnel. Specific comments ranged from trying to exercise the patience not to interfere in the process, distraction from other projects, to being forced to rush through important parts of an agreement. In a number of cases, respondents simply asserted this constraint. One respondent states "Time was a major barrier." Other occurring constraints mentioned were: resistance to change from the college community, three instances of which were recorded in organizational redevelopment cases and one in a finance case; the board, which was mentioned mainly in personnel cases; and resistance from subordinate administrators. This last constraint occurred in three out of six organizational redevelopment cases and one curriculum and instruction case. What may be noteworthy here is the lack of a wide range of constraints in personnel cases. Given the limited range of stakeholders involved, it is not surprising to find a relatively limited range of constraints when compared to other cases. In two of the administrative personnel cases respondents also identified the fact that they worked with or were friends with the individual in question. This was listed as a constraint.

Evidence to suggest type-specific patterns in this category of responses seems rather weak. Respondents were asked to name constraints identified at the time of the decision. Buildings and facilities cases seemed to carry the only incidents of fairly exclusive types of constraints, that is, various factions from the external community. Aside from this, time, resistance to change from the college community, the board, and resistance from subordinate administrators were identified as the most frequently occurring constraints across case types. It appeared that many of these constraints were named in cases which are not of the personnel type. Again, judging from comments by respondents, it appears as though having senior administration "on board" was felt by presidents to be key in the success of the decision initiative. One president stated, "One other had to do with the extent to which there was a commitment among the deans and among the people who had responsibility for the role."

Alternatives

Coding in this category refers to those instances in which respondents provided explicit reference to consideration of alternatives prior to the actual course of action decided upon. Respondents were asked the question "Before you decided on the direction to take in this case, did you consider alternatives?" In all, 37 instances of statements on alternatives were recorded in a total of 19 cases. In one case, the question was not directly answered. In three others, there were no alternatives seriously considered. In one case, a president responded, "The only . . . alternative I considered was the question of how to do it." Of the remainder, in each case, at least one alternative was considered. The greatest number recorded in a single case was four.

Interpretation of these data is best described in conjunction with some reference to the solutions decided upon. For example, staff personnel cases in which dismissal or removal was the end result, show some pattern of standard alternatives to such action such as suspension, progressive discipline, and monitoring. One respondent considered four such alternatives. Out of a total of 5 organizational redevelopment cases, in 3 cases, the possibility of using the already existing structure or model was mentioned as an alternative. In one such case, the president's alternative was to ignore the problem by considering it a one-time occurrence, and to move on. One respondent's choice was whether or not to hire an external consultant. Another respondent offered no real alternatives aside from "changing the style of getting input."

In two buildings and facilities cases, no alternatives were seriously considered. In a third, the respondent replied that a first choice would have been to receive government funding, but such funding was clearly unavailable. Other alternatives ranged from considering the use of existing models, using the powers of other stakeholders including the Minister's Office, to letting an issue ride and going to grievance.

This category did not generate a large or very consistent set of responses. It was expected that alternatives would play an important role in what seems to be essentially a rational process. However, after data analysis, one can only conclude that consideration of alternatives is one small part of a much larger multi-dimensional process.

Solution and Implementation Stage

This stage represents the point at which the decision is put to action, and includes discussion of the solutions chosen, unexpected outcomes which occurred, and unexpected constraints identified. The highlighted section in Figure 5.3 indicates this area of decision.

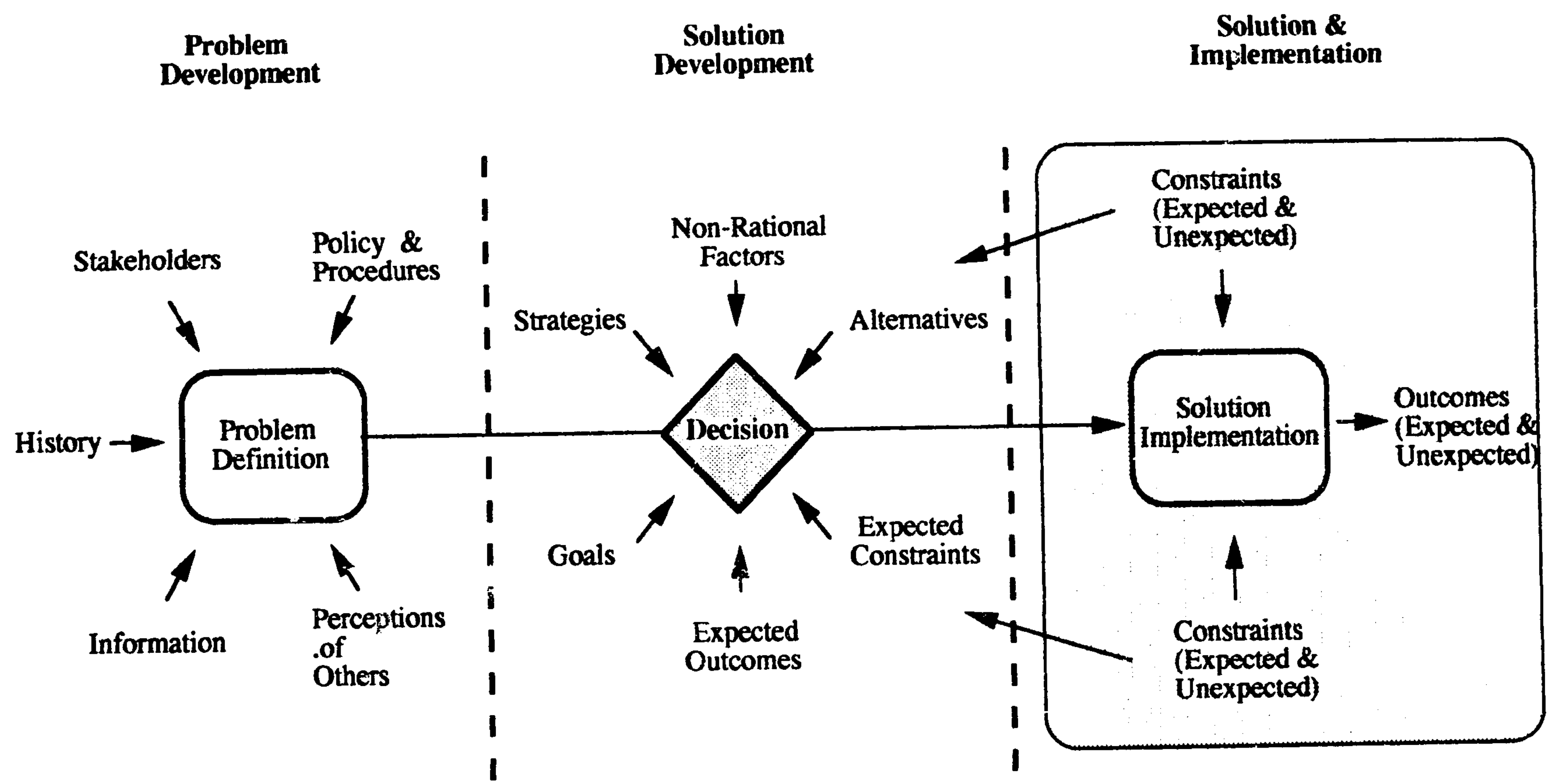

Figure 5.3. The decision process (solution and implementation).

Solutions

This category represents the actual choice or decision made in each case. Within this category a number of coding problems arose. First, the question posed, which asked "What is the actual decision made in this case?" assumed an exact point at which one crucial decision was made or a point at which a decision could be discerned. This approach proved to be overly structured in a number of cases and this is reinforced by comments of respondents on how difficult it was to identify one decision point. A few cases were not reducible to one crucial decision point. Out of 23 cases, in 3 cases, the question was avoided or not explicitly asked, but rather judged to be inappropriate given the context and flow of discussion at the time.

A number of points are noteworthy here. First, out of 10 personnel cases, 5 were dismissals or other forms of removal. In these cases, there was often a payout and an attempt to move the individual out quietly. In two personnel cases, a form of compromise was reached, for example, where an individual's contract was extended with performance monitoring. In two other personnel cases, respondents chose to make decisions about the position, rather than the person. In both cases, attempts at restructuring left the incumbent's position redundant and individuals were invited back to assume different responsibilities. In both these cases, respondents expressed some dissatisfaction with this particular course of action when asked the question "If you had it to do again . . . ."

Out of a total of six organizational redevelopment cases, four contained fairly clear indications that a choice was made between a model, plan, or structure which already existed, and an initiative to implement a new model or structure or to take a new or different approach. In all these cases, presidents finally chose to abandon what was already established in favor of a new initiative. In two other organizational redevelopment cases, an external consultant was hired and a task force established to attempt to move the institution toward a more collaborative governance style. Eight cases in all show some indication of such pre-existing plans or models including all three buildings and facilities cases. In all such cases, presidents chose to either abandon existing models or structures, or use them as springboards for new plans or proposals which better suited immediate needs. Solutions in remaining cases ranged from decisions based on contract violations to shared decision making involving a department on a budget issue.

Overall, little evidence exists to support type-specific patterns in actual solutions chosen in isolation from the total context of the decision process. However, there is some indication of other common trends in some case types. A final point which may be noteworthy concerns the use of existing structures, models, or plans and the use of history in solving problems. It appears, in all, that respondents do not tend to take the "easy road" in selecting solutions to problems. A number of cases (none of which were personnel) show the presence of already existing models and plans to serve as alternative solutions. Data analysis reveals a tendency to steer away from such choices. This is in contrast to other research, for example, Nutt (1984), which suggested a high incidence of the use of already familiar and established methods in problem solving. This difference may stem from a lack of clear distinction in past studies between the use of history in defining a problem and the use of history in defining a solution to a problem. It is, of course, also possible that strategies for problem solving have changed in the last decade due in part to drastic changes in a number of environmental factors. It should also be considered that Nutt's study did not include educational institutions. More research in this area is required before a clearer picture emerges on the use of established methods and innovation in problem solving.

Unexpected Outcomes

This category reflects the identification by respondents of those phenomena which occurred that were unexpected. In effect, what was identified were those reactions of various factions within and external to the college which were "surprises" to the respondent. Most references were coded in answer to the question "What outcomes were unexpected?" or "What outcomes were unanticipated?" Again, this category was sub-divided into reactions from students, faculty, the internal and external college community, the board, subordinate administrators, and others within the institution. Following is a description of the analysis of responses in each sub-category.

Reaction of Students. Frequencies of unexpected reactions of students numbered very small in responses coded. In all, 5 references were coded in 3 cases; one case being a staff personnel case, one a buildings and facilities case, and one an administrative personnel case. Only in one case (administrative personnel) did the respondent comment at some length on the unexpected and unfavorable student response to the return of a particular individual. The president's dilemma here was student concern over the quality of the instruction they would receive. A final point is worth noting: It was found in an earlier analysis on expected reactions of students that the prediction of such outcomes plays only a small role in the decision formulation process of these respondents. Concurrently, it seems that little in the way of unexpected student reactions occurred in these cases.

Reaction of Faculty. Frequencies of unexpected reactions of faculty were somewhat larger than that for students, but still quite small in comparison to other sub-categories. In 5 cases, 11 occurrences were recorded. Both finance cases were included in these occurrences. The majority of comments by respondents on the unexpected reactions of faculty were positive in nature. That is, respondents expressed surprise at successes, lack of complaints, or general positive reaction of this group to the decision made. Furthermore, in three of the five cases, unexpected positive faculty responses were the result of some form of restructuring or shared decision making initiative. It seems that presidents may have been expecting the worst. They expressed surprise at the ease with which faculty accepted changes, given the context of shared governance. In the one personnel case included, the president also expressed surprise at the support received from this group on the decision made. One president put it this way:

> They took it seriously. There are a very committed group of people working here, and they took it very seriously. . . . So they put a lot more into it at that level than we expected from them as well.

This same respondent further states, "I couldn't believe that they actually let me make the decision but they did and we never had one complaint."

Reaction of Internal and External Communities. This sub-category includes respondent comments on unexpected reactions of college communities. As in other cases of classification for internal and external communities, references were identified based on the use of phrases such as "some people, everyone" or explicitly "the community." Again, this sub-category was divided into internal and external college community responses.

In all, 23 instances were recorded, 15 internal and 8 external, in a total of 12 cases. In this sub-category overall, there were more negative responses than positive, that is, respondents expressed concern or regret over reactions more often than satisfaction. Comments ranged from the extent of resistance to change and the amount of political maneuvering, to surprise at how original purposes became subverted. One president stated, "I think I'm generally better at ensuring that we stay focused . . . rather than allow the process to get subverted into a different purpose."

Out of all cases, only three were personnel and of those, two were administrative personnel. In these two cases, presidents expressed surprise at the amount of bad chemistry between administrators and the college community. Five out of a total of six organizational redevelopment cases were included and reference in four of these cases were exclusively to the internal community. All buildings and facilities cases were included. In all three cases references were exclusively to external community stakeholders. It seems that these respondents tended not to predict certain internal community reactions in organizational redevelopment cases and tended not to predict external community responses in buildings and facilities cases. This, of course, is quite consistent with the type of case in question and the range of stakeholders present in each type of case.

Reaction of the Board. Very few occurrences regarding unexpected board reactions were recorded. Four occurrences were recorded in three cases including two personnel cases and one buildings and facilities case. In the personnel cases, the nature of responses concerned surprise at the support of the board or surprise at the non-support of the board.

Reaction of Subordinate Administrators, Administrative Groups, and Other Subordinates. Coding in this sub-category includes references to unexpected reactions of administrators, administrative groups and committees, or other individual subordinates. In total, 12 references were recorded in 9 cases. First, references to administrators dominated over references to other groups and were exclusively positive in nature, that is, presidents expressed surprise at such outcomes as the extent of administrative team building that resulted, the success of administrators in dealing with difficult problems, or that levels of negative reaction were below what was expected. One president explained, "The other was make or break, . . . when I had the Dean do what he did and he did it, . . . they were really tough on him but he did it and he did a good job." Another respondent states, "Well, part of the unexpected was the team building that occurred."

References to other subordinates or subordinate groups included comments on task forces, a dismissal review committee, a board member, and department chairs. Positive and negative comments were mixed throughout the cases included.

Unexpected Constraints

Finally, a question was also asked regarding unexpected constraints. Respondents were asked the question "Looking back, are there any constraints that you didn't identify at the time that are obvious to you now?" In three cases the question was not asked. Of those remaining, only nine occurrences were recorded in eight cases. Four of these cases were personnel decisions. Other cases included three organizational redevelopment cases and one finance case. Knowledge or information was listed as an unexpected constraint in three cases in comparison to only one occurrence of information as an expected constraint. However, the substance of responses differed considerably from one another. In one case, a respondent explained being constrained by what one knows or is told. In another, a president listed accuracy of information, or the accuracy of records and the risk of using informal information as an unexpected constraint. In a third, a respondent listed subordinates' lack of knowledge in planning as a surprise. Other unexpected constraints included student reaction to a particular administrative subordinate, lack of communication, resistance to change, and time. Interestingly, in an organizational redevelopment case, one respondent named collaborative decision making as the main unexpected constraint, mainly because in decision, others do not or can not share one's insights or gut feelings on the issue in question.

It is interesting to note the occurrence of some of the same or similar constraints in the expected and unexpected categories. Knowledge and information (or lack of) only occurred once in the expected category, but occurred in three cases as an unexpected constraint. Time, one of the most frequently mentioned expected constraints, occurred only once in the unexpected category. Resistance to change from some specific college faction such as faculty or senior administration also occurred in one case in the unexpected category.

Summary of Analysis of Decision Process

Coding and analysis of transcript data for phase I interviews revealed 11 major categories in decision process which can be grouped into three major stages. The problem development stage includes categories of problem definition and perceptions of others. Strategies used in solution realization, non-rational factors, goals, expected outcomes, expected constraints, and alternatives can be regarded as solution development categories. Solutions, unexpected outcomes and unexpected constraints can be regarded as implementation categories. The intent in this section was to analyze and organize coding on all aspects of decision process. Thus, interest was directed toward, first, occurrences in any category across case types, and second, recurring patterns in any category within different case types. In general, patterns were noted at both levels of analysis. Overall, the majority of type-specific patterns, those most important for this study, occurred at the "front end" of the decision process. Few occurred in implementation categories. It is not, at this point, clear what accounts for this except that it may be noteworthy that problem development and solution development categories represent, roughly, what respondents thought or did in regard to the decision, while implementation categories reflect consequences of the decision made. At this point there appears to be more pattern in the thoughts and actions of decision makers than in the reaction of others to the decision.

Values

One main purpose of this study was to examine relations between aspects of decision making process, decision type, and values. This section of the chapter deals in more detail with the third important dimension of the study. The overall approach to values identification will be clarified in more detail here, as well as a discussion provided of dominant occurring values in general and values which appear within specific case types.

It was originally supposed that some special form of values analysis method would either be needed or would emerge through working with data, and it was the original intention to explicate such a method. Although this is an extremely important aspect of the study as a whole, unfortunately it cannot be concluded here that any special approach is necessary in order to reveal value choices. At least, in the case of this study, no special procedure was used. This seems consistent with contemporary research in this area in which, again, it was not evident that any special methods were used. Based on a review of literature and experience in the analysis process, the coding of values seems to differ very little from the coding of other categories and sub-categories in this study. One simply engages in "bracketing off" the basic ideas of respondents. In this sense, then, values are taken to be ideas or conceptions of respondents in much the same way that goals or expected outcomes are ideas or conceptions.

In another sense, however, value statements usually constituted some of the most basic statements made by respondents, statements on "why" something was the case or that "such and such was the case because. . . ." As well, the interview guide was designed, in part, to elicit value statements. It was anticipated that value statements would be identified in answer to specific questions such as "What do you see as the basic dilemma in this case?" or "What do you consider to be the most crucial factor?" and particularly "Why is this factor important?" and at times in answer to the question "If you had it to do again. . . . ?" During much of the coding process this did prove to be the case, although this should not be construed as indicating that value statements only occurred at these points or that the researcher only looked for them at these points. It is, of course, true that depending on one's point of view, values can be and probably are revealed at numerous points in any given interview or dialogue. The approach taken in this study was to identify values and value statements at key or crucial points or in relation to crucial issues identified by respondents. Often, the appearance of a value was explicit, that is, the respondent simply stated the value itself, such as for example: "Truth. Truth is always a dilemma" or "It has to do with just being human and fragile and sharing a vision." Another respondent states, "It seems to me that two key functions of our college rally around providing access to high quality education . . . . I see my job as balancing those two values."

Occurrences of Values

As was stated in chapter 3, analysis of decision process and identification of values in phase I included three passes on data. Some refinements made in the initial coding of values are important to note. Due process, originally coded in three cases, was deemed not to be a value directly, but rather was subsumed under "fair treatment of individuals." Three slightly different references to trust were coded, but since occurrences were small they were all subsumed under the general term "trust." Professional challenge was subsumed under"professional growth," empowerment of students and empowerment of faculty was subsumed under, simply, "empowerment," doing what's right was subsumed under "justice," and credibility was deemed not to be a value. In addition, based on consensus in peer reviews, one concept originally taken to be a value was excluded.

In many of the cases in which values were subsumed under others, such as doing what's right, statements were made by the same respondent in the same case and may have been two references to the same value. From an original count of 39 coded values, 29 values were finally settled on. The results displayed in what follows reflects analysis of these 29 values.

It may be worthwhile to distinguish overall frequency of occurrences of values across cases, from the total number of cases in which a given value occurred, and, to do this with some view of recurrences within different case types. Thus, Table 5.1 displays the 10 most frequently occurring values against all 23 cases, sorted by case type, and also shows the number of occurrences within any particular case. Table 5.2 provides a further breakdown of all recurring values by case type. A distinction must be drawn between the number of occurrences and number of cases. The total number of occurrences shows that values were coded more than once in a case. The total number of cases indicates the number of cases in which the value was found. It is this second measure which is of most interest in the examination of type-specific value choices. This will be discussed in more detail in relation to Table 5.2.

As Table 5.1 shows, fairness is the most frequently occurring value overall, both in terms of coded instances and cases. Shared decision making follows with an equal number of occurrences in cases. The next three values represent respondents' views on the interests or needs of various stakeholders, including the well-being of the institution itself.

Table 5.1

Ten Dominant Occurring Values Sorted by Case Type (No. of cases = 23)

Case Type	Values									
	Fairness	Shared Dec'n Making	Institute Interests	Student Interests	Faculty Interests	Shared Vision	Empow erment	Colleg ialty	Owner ship	Quality of Ed.
Bldgs & Facil		1	1	1	1			1		
Bldgs & Facil			1							
Bldgs & Facil										
Brd Relat			3		2					
C. & I.	1							1		
Finance		1				1			2	
Finance	1	3								
Org. Re-D(Pl)		2								
Org.Re-D(Pl)		2								
Org.Re-D(Pl)		3		2	1		5		1	
Org.Re-D				1		2		2		1
Org.Re-D(Pl)		1				1			1	
Org. Re-D				1						1
Pers (Adm)		1	1							
Pers (Adm)	2		2							
Pers.	2		1							
Pers.	3				1					
Pers.	5				1					
Pers.	1		3	4	1					
Pers.										2
Pers.	3									
Pers.	1									
Pers.		1	1	1		1				
Total Occurrences	19	15	13	10	7	5	5	4	4	4
Total Cases	9	9	8	6	6	4	1	3	3	3

Table 5.2

Recurring Values in Case Types

Type	Value	No. of Cases in which Value recurred
Personnel (n=10)		
	Fairness	7
	Institutional Interests	5
	Faculty Interests	3
	Shared Dec'n Making	2
	Student Interests	2
Org. Redevelopment (n=6)		
	Shared Dec'n Making	4
	Student Interests	3
	Ownership	2
	Quality of Education	2
	Shared Vision	2
Buildings & Facilities (n=3)		
	Institutional Interests	2
Finance (n=2)		
	Shared Dec'n Making	2
	Trust	2

Table 5.1 provides an impression which is as close to "raw" data as possible and also gives some visual indication of how values fall within case types. It can be seen, for example, that fairness does not simply occur most frequently across cases, but is the highest recurring value in personnel cases. Seventeen out of a total of 19 occurrences were recorded in 7 out of 10 personnel cases. Shared decision making was the highest recurring value in organizational redevelopment cases, occurring in four out of six cases. This was followed by institutional interests recurring in 5 out of 10 personnel cases.

Table 5.2 more clearly lists all recurring values within four different case types. Overall, reasonably clear evidence is provided that fairness, the highest occurring value of all is, more importantly, predominantly type-specific. This is the only identified value which occurred almost exclusively within one type. Only two other occurrences were noted, one in a finance case and one in the curriculum and instruction case. Shared decision making seemed to dominate in organizational redevelopment cases with recurrences in four out of six cases, however, this value tended to occur in other types such as personnel, buildings and facilities and finance cases. Institutional interests recurred in two buildings and facilities cases and was second highest recurring in personnel cases. Interestingly, this value was not recorded at all in organizational redevelopment cases. Perhaps adherence to such a value was taken for granted. Student interests was second highest recurring in organizational redevelopment cases, but also occurred in other case types such as buildings and facilities and personnel cases, and the board relations case. Faculty interests was third in personnel cases but also occurred in buildings and facilities and organizational redevelopment cases, and the board relations case.

The greatest number of different values occurred in personnel cases; 17 in all. This was followed by 15 values in organizational redevelopment cases. This may simply reflect the number of cases received within these case types. In comparison, few values were evident in buildings and facilities cases; six were noted in all, and in one case no values were recorded. Eight different values were recorded in two finance cases. This may reflect the nature of the cases received in the study, or it may tell us that in these economic times, finance decisions are ethically complex.

Summary of Values Analysis

In general, it was determined in this study that identifying and coding values differs little from analysing and coding other categories of statements. Fairness occurred almost exclusively in personnel cases and shared decision making seemed to dominate in organizational redevelopment cases. Institutional interests occurred second highest in personnel cases and was the only recurring value in buildings and facilities cases. In summary, aside from fairness, no evidence exists which shows absolutely clear type-specific or type exclusive value choices.

Profiles of Case Types

So far in this chapter, an attempt has been made to construct a partial explanation of the decision process and value judgements used by respondents through an analysis and comparison of data within major decision categories and through an identification of values. Both the frequency of occurrence of any sub-category within a major category and the content of that sub-category were analyzed to explore the possibility of recurring patterns within a specific case type. A number of potential patterns in decision process have already been found, and, recurring values were also identified within types.

It was explained in an earlier section that the overall approach taken in this project was to piece together a comprehensive picture of decision type, process, and values. In order to do this, an additional form of analysis was conducted. This analysis served to pull together previous analyses, especially on categories of decision process, and aided in providing a wholistic picture of the decision making and value judgements of respondents.

In the preceding data analysis, a specific sub-category within a major category was examined with regard to its occurrence across cases. One criterion for identification of a pattern is, therefore, that it recurs and that it does so with significant frequency. Second, a given sub-category was examined for recurrence within one specific type of case. Third, the content of these recurrences within types was examined for similarities, differences, range of diversity and so on. Thus, inferences may be made not only about the recurrence of a given sub-category in a particular type of case, but also about more specific content related to that sub-category within a specific type of case.

The additional mode of analysis now described differs slightly. Its main purpose was to break out of the rigidity of particular categories or sub-categories and focus simply on key issues or characteristics in cases. The method used was as follows. A third pass on interview transcripts was conducted while simultaneously listening to the recorded version on tape. Such things as inflection, emphasis, and so on were noted. The opportunity was also taken to "fine-tune" some of the coding that had been done on previous passes. Case summaries, approximately one and a half to two pages long, were then written on each case. These summaries focused exclusively on what stood out as most salient for the researcher and what seemed to be regarded as important for the respondent. Most often, these two criteria identified the same factor or issue. Later, these summaries were re-examined in detail and summarized again. This time, key issues which were identified as type-specific were distinguished from those which were not. Thus, three criteria were ultimately used for identification of characteristics and important patterns in phase I data analysis: first, recurrence within a type for specific patterns; second, saliency for the researcher; and third, importance of the factor for the respondent. It was hoped that such analysis would assist in providing insight into cases which was independent from the structure of specific categories and sub-categories, but also mutually reinforcing. What follows is a combined data analysis providing an overall profile of decision making and values for types of cases.

<u>Buildings and Facilities Cases</u>

The type of case within which key factors emerged most clearly and with the greatest degree of consistency are buildings and facilities cases. Only three such cases were collected, however, certain characteristics recur with a great degree of consistency and similarity of content, indeed, more so than in any other type of case.

The first point which needs to be made is that it is within this case type that the typology or classification system for decisions came under the most scrutiny. In two out of the three cases, presidents commented on how typing the case as buildings and facilities did not do justice to the dynamics. One respondent replied that the typology was rather superficial and that such [illegible] should really be classified as community relations cases. Another respondent comm[illegible]

> And this may [illegible]ively well in the public school system because the public school system -- and I'm thinking in terms of the province -- is fairly bureaucratic. You build your case to show when was the last time you had a building, how many students you have and the formula that applies -- and it's automatic. As you work up your list through these various sets of rules, you are going to get a building. In the post-secondary systems buildings don't materialize that way. They materialize through a political process.

In all three cases, respondents acknowledged the high degree of ambiguity in definition and suggested that this type of case included a very important political and public relations dimension. In spite of these comments, classifying these cases as buildings and facilities cases in accordance with the typology as developed by Kimbrough and Nunnery (1988) was maintained given the fact that the purpose was simply to classify the case according to the main topic, or what the case was predominantly about.

Within decision process, one or two recurring patterns are noteworthy. Stakeholders identified in this case type were mainly external community members. Indeed, in all three cases, relations with external players were regarded as crucial and in all three cases instances of coding of external communities outnumbered the internal community. There was a noted low frequency of the strategy of consultation and a high frequency of building support. In all three cases, this strategy seemed to play a key role in success of the initiative. Timing as an important strategy was also noted in all three cases.

The only recurring goal in this case type appeared to be effectiveness. This goal occurred across types quite frequently, however, in buildings and facilities cases effectiveness was specifically expressed as the effective management of money. It is also noteworthy that in two of three cases, no alternatives were coded in the decision process. This may be in part due to the relative simplicity of the need defined in the case. When the opportunity arose to fulfill this need, there was little mention of alternative courses of action.

In all three cases, factors within the external community were identified as likely constraints and the external community was also referred to exclusively in discussion of unexpected outcomes. Apparently, predicting constraints from the external community was augmented by surprises from this same segment.

Three factors or key issues fulfill the criteria that were discussed earlier for salient characteristics or patterns. These three characteristics taken together paint a "portrait" of buildings and facilities cases collected in this study and suggest factors upon which the success of these cases depended. First, in all three cases, something in the way of a document or proposal existed which seemed to be used as a springboard for the initiative in question. This characteristic was also coded in the problem definition stage of decision process. In other words, in each case the basic idea to pursue capital development in the form of construction of new buildings was not a totally new idea. Among files there existed either an older document which proposed some form of development, or in one case, the need for such development had long been pursued by the college. Therefore, the existence of earlier proposals to serve as working models was readily available. This point should not be misunderstood. In no case did the president simply go forward with an existing document. In each case, rather, respondents simply used what existed for the development of a new and more relevant and creative initiative. In one case, the original existing document had been on much too small a scale and simply provided the seed for a better idea. In another case the existing document was merely attached to some previous development as something that might be done in the future. In this case, timing combined with lessons from past experience and other colleges, signaled the right moment to proceed.

Second, in each case, at a crucial point in the development of the initiative, a key individual or individuals played an important role in liaison with either the government or other agencies primarily involved in financing the case. This key individual was either the member or chair of a board or planning committee, or in one case, individuals were members of faculty or administration within the college. In two cases, a board member and board chair played a key liaison role with government. In one case, specific individuals within faculty were named as crucial in establishing good relations with a private company. One president comments as follows:

> We had people in our organization that had worked hard and long to cement relationships between our organization and theirs. And those relationships helped me getting in the door. Now, I had met the officials from time to time but the fact that they were willing to consider us seriously was based on our reputation as established by people in our organization.

The third factor, and perhaps the most important of all, forms the basis of success of each case. In all three cases, the initiative went forward and succeeded on the basis of satisfying the mutual interests of major parties involved. In all incidents, making a case for space was simply not enough. In each case, the initiative was propelled by the fact that the outcome would satisfy both the needs of the college for additional space and in some way, satisfy the needs of external communities directly involved, either politically or financially, or both. In one case, the needs of local government were well served by the initiative. In another, the needs of the local community, a private company, and governments were simultaneously served. In a third, the initiative addressed the interests of a private company. Interestingly, in this case, these interests were not defined by the college beforehand. It might be noted that in two out of three of these cases presidents expounded at some length on the general role of college presidents and what seemed to motivate or attract individuals to such jobs. These respondents suggested that accepting the challenge of an opportunity such as the ones discussed and the fact that solutions in decision making were often creative solutions were, in part, what attracted individuals to the position.

Finally, values occurring in these cases included institutional interests, faculty interests, shared decision making, collegiality, and student interests. Institutional interests recurred in two out of three cases and was the only recurring value. Overall, it appears as though these cases were less complex morally than other types. Only six values were recorded in three cases and the overall identification of values was low. In one case, no values were recorded. Again, this may in part be due to the clarity of purpose which marks such cases. It seems that concerns by respondents were political and public relations oriented and not so much value oriented.

Personnel Cases

In general, personnel cases showed the highest incidence of type-specific patterns in decision process. At the problem definition stage, a relatively narrow range of stakeholders internal to the organization were identified. By far the most consistent sub-category at this stage was information gathering. Recall that this sub-category was further divided into formal and informal. In 9 out of 10 personnel cases, informal information played a dominant role in problem definition. Presidents apparently prefer seeking out individuals to talk to informally in order to understand the problem. Also, in a number of incidents, presidents pointed to the accuracy of information in evaluations and records as a basic dilemma.

In this type, consultation was by far the most frequently recurring strategy. This seems consistent with the tendency toward informal information gathering at the problem definition stage.

Two goals clearly dominated in personnel cases collected here. In the majority of personnel cases, and particularly dismissal cases, goals of compromise and neutralization were found. Both of these goals were identified in the same case in 5 out of 10 cases. This is also consistent with analysis of solutions chosen. Presidents tended toward deals or "payouts" and desired that incumbents remove themselves "quietly" from the institution. Interestingly, in contrast to other case types, there is a lack of reference to effectiveness. This interplay of goals may reflect a more basic interplay of values discussed later between fair treatment for individuals and institutional interests. Also of note is the reaction of external communities recorded as expected outcomes in a number of personnel cases. It seems that regardless of the narrow range of stakeholders, presidents had expectations about reactions of the external community to the decision made. In contrast, except for the board which was recorded in 3 out of 10 cases, a fairly narrow range of expected constraints were identified.

Four factors stand out as being characteristic of the personnel cases analyzed in this study, although no themes appear with the same consistency as in what was previously described for buildings and facilities cases. First, the most frequently occurring and obvious issues raised by respondents in personnel cases relate to the accuracy of information. This reinforces what was found in the problem definition category of decision process. In a number of cases, particularly those relating to staff personnel, respondents expressed concern over how information on the individual in question was gathered, organized, or used. Often, the problem was how evaluations had been conducted and what information was found in files and, more importantly, whether or not the information was really informative, whether it told the "whole story." One president put the matter this way: "Truth has been contrived and shaped to validate such that it invalidates the actual behavior. So the records don't really record." Another suggested the following on evaluation:

> To some extent I found, . . . through evaluations, that what they generally reveal to me is that instructors are doing much better than I realized rather than revealing to me the ones that are doing a really poor job. . . . Poor instruction you're generally aware of if you are a good administrator . . . . You don't need an evaluation to indicate that. An evaluation confirms what you already may be suspicious of.

Consistently, the question seemed to be "Was the recommendation for dismissal justified?" or "Was due procedure followed and can this be somehow demonstrated in records?" In some cases, it appears as though presidents were concerned with the possible threat of future litigation. In a few personnel cases, and in only personnel cases, lawyers were consulted as to whether legal cases could be made.

A second key characteristic in a number of cases is the importance attached to how the individual is perceived by the internal college community or external communities. In turn, it follows that presidents became concerned over how their own handling of the case would be perceived by various stakeholder communities. In two administrative personnel cases, respondents' decisions depended to a significant extent on an estimation of the perceptions of the individuals in question by various communities. In these cases, individuals were viewed as incompetent and their behavior as inappropriate or as otherwise being unwelcome in the institution. Likewise, it then became important that the "right" action be seen to ensue from the president's office. In a number of staff personnel cases, how the case was seen to be conducted or whether the president was seen to be taking sound and consistent action on a case, took on a great deal of significance. Overall, perceptions of the cases and individuals involved by internal and external communities played an important role in personnel decisions. Again, this point is reinforced in decision process in perceptions of others and in what presidents expected as outcomes.

In a number of personnel cases, the achievement of specific goals emerged as crucial in the decision made. Two related goals stand out as warranting attention. In two cases, presidents expressed the view that they saw their main role in personnel cases as one of balance in various factors. In conjunction with this, it was expressed in a number of cases that one main objective was neutralization of the issue, or in one president's words, to make it a "non-issue" and make it "go away." Often, phrases such as "go quietly" were equated with this goal in coding statements. One president stated, "What you hope is that the faculty member will accept the decision and go away quietly . . . with an indication that, alright, they did receive fair treatment . . . ." Payouts were a common occurrence in dismissals. It appears as though presidents were intent on avoiding the "messy" outcomes that ensue with litigation and public spectacles. Often, such points of view seem to be motivated by a concern for the individual involved and the well being of the institution. One president put it this way: "We eventually settled on a route that was as quiet as possible . . . . it wasn't in the institutional best interests of the college to have a public execution . . . ." This respondent goes on to say, "Why put your organization through that public turmoil and destroy the person in the process?"

What is most interesting is that the previous themes, in combination, seem to reflect what might be called a logic of personnel cases. In essence, the following line of thought seems to underlie much of the decision making process in these cases. Respondents are first concerned over the existence of or lack of a precedent in personnel cases. This precedent is the proper use of information in evaluations and formal procedures. One president referred to "progressive disciplinary action." This precedent is enacted in the carrying out of due process. In turn, the purpose of due process is reflected in the value of fair treatment of the individual, and in many cases this value choice also served the interests of the institution.

Personnel cases revealed the greatest number of values recorded overall within types, and this includes five values which recur. Fairness recurred most frequently in these cases, recorded in 7 out of 10 cases, followed by institutional interests in 5 out of 10 cases. Fairness was the only value to appear almost exclusively within a case type and was also the highest occurring value across cases. Other recurring values included faculty interests, shared decision making, and student interests. Overall, these value results may simply reflect the fact that personnel cases were the largest group received. However, it may be that this type of case presents a degree of ethical complexity not seen in other case types.

Organizational Redevelopment Cases

This case type, similar to personnel cases, generated a large number of potential type-specific patterns relative to other case types. At the problem definition stage, a wide range of stakeholders were identified, but this range was restricted to the internal college community. In all six cases, references to internal community perceptions outweighed references to external communities. Unlike personnel cases, which seemed to depend on informal information gathering, in all six organizational redevelopment cases, references were made to formal information as important in problem definition. This information often took the form of college surveys or results of the work of task forces. In three out of six cases, more than one kind of dilemma was expressed. This may be an indication of the breath of complexity in this type of case and seems consistent with the nature of the overall initiative.

A number of strategies point to possible type-specific patterns. First, a very low frequency of consultation was noted. It will be recalled that in personnel cases, this strategy was most used. In contrast, all six organizational redevelopment cases made important use of committees, most newly formed, as a strategy in decision formulation and implementation. There is also some indication that presidents were intent on demonstrating values or putting into practice values or principles which were being espoused. Congruent with this, five out of six cases involved some form of value clarification initiative on the part of respondents; that is, an attempt to come to some consensus within the college community on basic values and purposes. In some cases, timing, or when and in what ways the change was initiated, was indicated as being important.

The goal of effectiveness was most often referenced as important in realizing a solution. Further, responses of these participants helped to provide insight into at least a partial definition of effectiveness for these cases. Effectiveness seemed to mean achieving a common purpose within the college and in some cases, optimizing two or more goals simultaneously.

Expected outcomes identified by respondents seemed to reinforce previous findings at the problem definition stage. Four out of six cases made reference to the support or resistance of the senior administrative group as important when considering reactions of various factions within the college. Likewise, resistance of the senior administrative group was coded as an expected constraint in three out of six cases. Consistent with this, the senior administrative group was identified as a significant internal stakeholder group in the problem definition category. What is perhaps not so consistent are results of analysis of unexpected outcomes. Presidents seemed positively surprised at the reactions of faculty to the course of action taken. When reactions of the internal community were coded, comments were generally negative, referring mostly to resistance to change from this faction.

In general, the emergence of salient characteristics in these cases is also less consistent than in other types so far discussed. A number of key issues were, nonetheless, identified by respondents which did not seem to occur as consistently in other types. Six organizational redevelopment cases were received in all. In two cases it was mentioned by respondents that after reflection on the dynamics of the case, they would have separated planning and development activities from budget issues mainly because they did not see the basic issues involved as cost issues. One president referred to a loss of focus and the fact that issues could have been debated more clearly had they not been entangled with budget questions.

Second, when asked to describe the basic dilemma in the case, two presidents responded that it was lack of a basic mission or vision for the college. This seemed consistent with what appeared to be one basic purpose behind redevelopment cases, that is, revitalization and the defining of a unified mission for the institution.

Third, two presidents discussed at some length the notion of "readiness" of the institution for change. This readiness was usually brought about due to some basic conflict within the institution. In one case, this conflict was described as a clash between traditional philosophies of top-down management and new views on shared governance. In another case, the college had reached a state of internal discontent over the lack of participation in important decisions. Readiness seemed to be described as an optimum state of tension within the organization, a point at which initiation of the change process was crucial.

A fourth characteristic expressed by a number of respondents was the importance of support from the senior administrative team in the proposed change. A number of statements by respondents were virtually the same or very similar on this issue. One president stated, "So for me, getting the executive on board was also very key." Discussion of this issue with respondents also revealed in many cases the existence of senior administrative resistance to change. In at least three such cases, respondents related conditions of initial resistance on the part of senior administrators to redevelopment, and explained processes which they used to bring individuals on board in the change process. In one case a respondent suggested removal of specific individuals as an alternative course of action to the one actually taken. In all redevelopment cases, the underlying purpose seemed to be the same. Presidents engaged in a redevelopment exercise in order to bring about a more participatory governance structure. The origins of this perceived need for change were usually conflict or tension within the institution such as, in one case, when the president pointed to a clash in philosophies, or because of knowledge gained through results of some form of college-wide survey, or because of lack of organizational effectiveness, unity, and administrative accountability. In most cases, presidents were intent on revitalizing the institution by changing the management style, and in some cases this also included a redefinition of institutional mission. The basic premise seemed to be that clarity on mission and greater participation in the process of defining the mission would secure a clear direction for future growth and development in times of economic restraint.

Perhaps the most telling point of all within this case type is the form of solution adopted by decision makers. Although it is clear that historical factors played an important role in definition of the problem decision makers were faced with, in all redevelopment cases, in some explicitly, in others more implicitly, presidents chose not to rely on existing structures, models, or plans as a solution to dilemmas. Instead, presidents tended to adopt a "start fresh" approach or to initiate a type of change which was high in risk, with the possibility of significant resistance and upheaval within the institution. In three cases, already existing structures, plans, or models were in place or otherwise available for use as immediate solutions. In each of these cases, presidents decided to abandon such an approach in favor of a newly developed plan, one in which the college community could share ownership. In three other cases, although explicit choices between using what already exists or developing "anew" were not clearly evident, in each case presidents chose to redevelop from "scratch" focusing on longer-term consequences rather than short -term outcomes. In addition, this theme is not exclusive to organizational redevelopment cases, but rather is present in other types as well, including buildings and facilities cases.

Finally, this case type included the second largest number of different values coded. Also, a number of values recurred within this type. The highest recurring value was shared decision making, in four out of six cases, followed by consideration of student interests. In all, 15 different values were recorded throughout all cases and 5 values recurred, including shared decision making, student interests, shared vision, quality of education, and ownership. Shared decision making was the second highest occurring value across cases and it was identified in the same number of cases as fairness. In all, however, no exclusively occurring values were noted in this case type and shared decision making occurred quite frequently across case types.

Finance Cases

Only two finance cases were received, thus, very little in the way of type-specific patterns can be discerned. Overall, finance cases tended to resemble organizational redevelopment cases. One reason for this may be the fact that both cases collected here involved attempts at quite distinct changes to the overall process of budget decision making. Both were characterized by a move towards participatory forms of budget decisions where those affected became more involved. Thus, these cases often took on characteristics similar to those of organizational redevelopment cases. For example, a wide range of stakeholders were referenced, but this range tended to remain internal, and importance was placed on the support of the senior administrative team in initiating the change process. Constraints mentioned by respondents included those most often occurring across case types such as time, resistance to change, and subordinate administrative resistance.

One president expressed a desire for the college community to take ownership for the budget, and in both cases the basic dilemma was suggested as a conflict between values or basic principles. In one of these cases, an "axiom" of change is expressed by the respondent which pervades many other cases received. This president suggested that, "The principle is that how you make decisions is more important than the decision that is made." In both cases, results of a more shared decision making approach were viewed as positive by respondents. The defined goals of budgetary and decision making effectiveness in both cases exceeded expectations of presidents.

A total of eight different values were identified with trust and shared decision making occurring in both cases. Other values identified included shared vision, ownership, honesty fairness, communication, and a sense of community. These findings may be in contrast to a belief held that finance decisions are simply about money. What was coded here may simply reflect present economic conditions. Nonetheless, it seems that finance dilemmas are more complex than what was first assumed.

Board Relations Case

Only one such case was received and mainly involved a conflict with a board member who was also a college staff member. This case included an issue of breach of confidentiality. In some important ways, this case resembled personnel cases in that attention focused on the actions of one individual. The immediate goal in this case was, similar to personnel cases, to neutralize the issue and encourage the individual to "go quietly." In addition, the respondent and senior decision makers were concerned about building a legal case in the event of litigation. Constraints mentioned were mainly external, for example, the fact that board members were government appointed. Thus, this case reflected many of the characteristics of the personnel type decision.

Only three values were coded: faculty interests, institutional interests, and confidentiality. The fact that only one such case was received provides no evidence for inferences on type-specific patterns.

Curriculum and Instruction Case

Again, only one such case was received. This case involved a dispute over work load and a question of contract violations. The decision incident included a distinct negotiation component and this was even suggested by the respondent. This case resembles organizational redevelopment and finance cases in that an attempt was made to engage faculty directly in the decision process. Similar to the finance cases, results of this engagement were viewed favorably by the respondent. This president also emphasized the process of involvement, or how the decision is made, as being key in the resolution and in the effectiveness of the results achieved. Also in this case, the senior administrative group initially proved to be a source of conflict, particularly for faculty involved in the decision.

Values coded included fairness, honesty, justice, and collegiality. Overall, of course, no inferences can be made concerning type-specific patterns.

Summary

In the first section of this chapter, decision process was analyzed and discussed at some length. Eleven major categories were identified, many comprised of a number of sub-categories. In the second section, a detailed description of the values identification process was provided. Values identified which occurred across case types or predominantly within case types were discussed. In the final section of this chapter, an effort was made to create a profile of types of cases through a review of decision process, an interpretive description of underlying characteristics which seemed to manifest themselves consistently within specific case types, and a summary of findings on values. Potential type-specific patterns were discerned in at least three different case types.

Buildings and facilities cases showed themselves to be distinctly external types of cases. This was evident in coding of stakeholders, perceptions of others, unexpected outcomes, and expected constraints. Building support as a strategy played a crucial role, and effectiveness in these cases was defined in terms of cost management. Three additional factors seemed crucial in these cases; the presence of an existing document or plan, the influence of a key individual or individuals, and the ability of the initiative to serve mutual interests of stakeholders. Institutional interests recorded in two out of three cases was the only recurring value within this case type.

Personnel decisions showed a narrow range of stakeholders, however, the expected reaction of external communities factored as important in decision making. Informal information gathering was key in problem definition, and consultation was the most frequently recorded strategy. In these cases, respondents expressed concern over the accuracy of information in recommendations and the importance of how the individual in question would be perceived. Further, solutions to these cases seemed to be pursued with specific goals in mind, namely, compromise between the interests and needs of the individual and the institution, and neutralization, or making the case a "non-issue." In addition, it is possible that a particular line of reasoning, or personnel logic, manifests itself in many of these decisions. This line of reasoning runs from precedent setting, through due process, to fairness and the interests of the institution. In this case type, fairness was the most frequently recurring value, recorded in 7 out of 10 cases, as well as being the most frequently identified value across all cases and types. Other recurring values include institutional interests, fac [illegible] s, shared decision making, and student interests.

Organization [illegible] ases revealed a wider range of internal stakeholders, and formal info [illegible] a crucial role in problem definition. These cases generated the [illegible] cluding use of committees, demonstrating values, timing, and va [illegible] ss was the most frequently mentioned goal in this type. In so [illegible] ondents suggested separating the planning and structuring aspects from the budgeting aspects of an initiative. Some presidents commented on a lack of vision as the main dilemma in cases. Others discussed the concept of readiness--a state of optimum tension--as a key factor. It became clear that in many cases, support for change from senior administration was crucial, although it is also clear that this was not received, at least at the beginning of projects. Overall, presidents tended not to take the "easy road" in deciding for change, and thus most decisions involved some risk and organizational upheaval. The highest recurring value in organizational redevelopment cases was shared decision making, recorded in four out of six cases, followed by student interests. In total, five values recurred including shared decision making, student interests, shared vision, quality of education. and ownership.

CHAPTER 6

DECISION PROCESS AND VALUES IN PHASE II

It will be recalled that the design of this study involves two phases of data collection and analysis. This chapter is devoted to a discussion and analysis of data collected in a second round of interviews, or phase II data analysis.

The main purpose of including a second phase in the design was to answer the question of whether or not participants tended to respond in the same or similar ways to the same or similar cases and the problems contained in those cases. This applies not only to decision process but also to values. The inclusion of this second phase thus allowed for analyses both within phase II, that is, analysis of responses by presidents on the same cases, and, comparison of this to responses given for the same type in phase I, including comparisons with responses by the original authors of the cases. This second phase of analysis not only allows for further examination of type-specific patterns in decision process and values but also potentially reinforces the validity of the method and findings in phase I.

Phase I of the study included the collection of 24 decision incidents which formed the basis for interviews with 10 college presidents. Data were coded and summarized based on major categories of decision process and values as was described in the previous chapter. This analysis was followed by a validation process whereby four college presidents were asked to review excerpts from their transcripts and verify the coding scheme used. Coinciding with this activity, two cases were chosen from the original 24 cases received in phase I. These cases were reviewed by the researcher and edited for specific author or institute identification, or other information that might lead to the identity of the author. The two cases chosen were judged to be typical or representative within each case type and amenable to a minimum amount of editing while still preserving the main problems inherent in the case. Cases were chosen from the two dominant types received in phase I: one personal case, or case #3; and one organizational redevelopment case, or case #10. The cases were then sent to original authors for verification of accuracy and permission to be used in phase II. Both cases were verified and permission granted by authors. Examples of the cases and of the letter sent to authors are contained in Appendix C.

It was then necessary to choose 4 respondents from the original group of 10 for participation in the second round of interviews on the two cases selected. It was important that these respondents not be the original authors of the selected cases, and in addition, respondents chosen were not involved in validation of analysis of phase I data, simply to avoid overtaxing some members of the total respondent group. Out of the four respondents chosen, two were from small urban colleges, one from a large urban center, and one from a "rural" college. These respondents will be referred to in the study as respondents A, B, C and D.

It is important to keep in mind the simulation-like design of the second phase, that is, respondents were asked to react to hypothetical cases, cases with which they were initially unfamiliar. This approach limited to some extent the categories generated from interviews and coded in data analysis. For example, no questions could be asked concerning unexpected outcomes or constraints since respondents had no authentic frame of reference from which to draw. Given this limitation, data were generated within only some of the major categories established in phase I for decision process. These categories will be discussed in more detail in the next section.

A final word needs to be said regarding the design and interview process. Since each respondent was asked to review both cases, one session with each respondent actually consisted of two case interviews. Unlike the process used in phase I where each case provided by respondents was somewhat unique and distinct, in phase II, each respondent reviewed the same two cases, thus the necessity of distinguishing data for each case, within each session with a respondent, by the use of the term "case interview." This term refers to respondents' views on each case. The data analyzed and displayed in what follows is based on this classification, which allows for an easier comparison of decision process and value occurrences by case and case type.

This chapter is divided into three major sections. The first section discusses analysis of data for categories of decision process. The following section discusses identification of values. The final section presents an overall profile of the two cases used in this second phase including summaries of potential type-specific patterns for decision process and values.

The Decision Process

As was mentioned in the previous section, the questions that could be asked in this round of interviews limited somewhat the range of responses and categorization of data. Data were coded in 8 out of the 11 major categories defined in phase I. The interview guides used in both phase I and phase II can be examined in Appendix D. This section of the chapter is devoted to a discussion of data on the decision process used by respondents in the two cases. Each major category will be dealt with in turn, but only sub-categories containing type-specific patterns or other salient findings will be discussed.

Problem Definition

The reader will recall that in phase I a number of sub-categories were found to contribute to definition of the problem including identification of stakeholders, policy and procedure, formal and informal information gathering, the basic dilemma, an the use of history. As in phase I, the most frequently coded sub-category within problem definition was formal and informal information gathering. A total of 13 instances were recorded, followed by statements on the basic dilemma, which numbered 11 in these interviews. A number of points are of interest in this category. With the exception of one reference in the organizational redevelopment case, information gathering was only coded in the personnel cases. Nine instances of formal information and four of informal were recorded. Informal information was coded in three out of the four interviews on the personnel case. No occurrences of this category were recorded in the organizational redevelopment case. In addition, policy and formal procedure statements recurred in three out of four personnel interviews, and only in these interviews. Few references were made to stakeholders in this category, perhaps partially due to the fact that key stakeholders were already defined in the case. The few statements that occurred were hypothetical, that is, respondents hypothesized what might be done if, for example, a board member or senior administrator were to respond in a certain way. Overall, the personnel case generated responses in more sub-categories. Sub-categories such as policy and procedure and information gathering seemed to factor into definition of the problem.

As to the content of sub-categories, all statements coded as policy and formal procedure referred to the same topic--the adequacy of the evaluation system, adherence to due process, and the legitimacy of evidence in recommendations for dismissal, based on evaluations. Again, the content of references to formal information revolved around one topic--the gathering of objective evidence from evaluations and other records, the substantiating of evidence, ambiguity of information on the behavior of the faculty member in question, and proof that due process had been followed. References to informal information were similar but had to do with substantiating rumors concerning the faculty member's moral behavior towards students.

Answers to the question "What do you see as being the basic dilemma in this case?" were coded for each interview. In three interviews, more then one dilemma was stated by respondents. In interviews on the organizational redevelopment case three out of four respondents stated that the issue of trust, the lack of it, or mistrust, was the basic dilemma.

One respondent suggested the legitimacy of the role of the board as the basic dilemma. In two interviews on the personnel case respondents listed the legitimacy of evidence for unprofessional behavior as the basic dilemma. Other references included questions of competence of the chair and dean, concern over whether the case reflected a problem of moral behavior or teaching competence, and comments about the ineffectiveness of performance appraisal systems.

Only two references to historical factors in problem definition occurred, both in organizational redevelopment cases. The question was raised concerning how or under what circumstances the president came to be hired, and concerns were raised over the role of the board relative to the respondent's handling of board relations in the past.

Perceptions of Others

The coding of sub-categories within this category was quite frequent. Eighteen occurrences of general philosophic perceptions were recorded along with 10 references to perceptions of the community. Coding in this category generated an additional sub-category having to do with the role of the board, which occurred only in organizational redevelopment interviews. Eleven instances of this sub-category were recorded.

Philosophic perceptions by respondents on conditions and problems within the two cases ranged from comments by two presidents on trust within institutions, presidents' tendencies to restructure upon arrival in institutions, a comment by one president that structure is unimportant and that the personal style of a president is crucial in the choice of approach to problem solving, to, again, comments in the personnel case on the inadequacy of evaluation in education, colleges having a life and direction of their own, the decision making approach taken by one president as not being style but rather sound administrative behavior, and severance arrangements in personnel cases being better then public damage to the institution. Overall, other then the reference to trust mentioned above, these general views are, as was the case in phase I, highly idiosyncratic to individual respondents.

Out of 10 references to the college community, 9 were perceptions of the internal community. Comments in the organizational redevelopment case ranged from concerns over disaffection by staff with administration, avoidance of responsibility by staff, the erroneous hiring of the president, to the external impact of the senior administrators. Comments in the personnel case ranged from observing that "people" are threatened by dismissal, to one president suggesting that the ambiguity of evidence and unsubstantiated rumors was somewhat atypical. Overall, there appears to be little evidence for type-specific patterns in this sub-category.

Coding of organizational redevelopment interviews gave rise to an additional sub-category having to do with the role of the board in relation to the president. This sub-category occurred only in the organizational redevelopment case, and comments by respondents were similar or identical in all four interviews. The element of concern was ambiguity and understanding of the appropriate role for board members, and the board as a whole, in relation to the president, senior administration, and the rest of the college. In effect, all respondents saw the need for clarification of the role of the board and indeed the role of the president, and what was appropriately expected of him or her. In all cases, presidents believed that one basic problem in the case had been that the board had overstepped the bounds of it's role. This issue will be referred to again in a later section of the chapter.

Finally, perceptions of immediate subordinates was only identified in the personnel case. References in two interviews concerned an impression by respondents that the recommendation for dismissal was motivated by personal factors. Respondents also seemed to express concern over the possible unprofessional judgment of the Chair and Dean in recommending dismissal. One president speculated on the various motivations of the Chair or Dean and the reactions to different courses of action including adverse reactions from senior administration and possible personal problems that the faculty member may have. Overall, no strong substantive evidence exists for type-specific patterns in this sub-category.

Strategies

As in phase I, strategies refer to activities, initiatives, or approaches taken by respondents in the formulation of a solution. Frequent coding took place in 5 out of the original 10 sub-categories defined in phase I, and as well, coding of these interviews gave rise to one additional strategy. The most frequently coded sub-category overall was, again, consultation. Thirteen instances were recorded in all. However, in the second phase, consultation was followed closely by policy and formal procedures and board involvement, where 12 occurrences of each were recorded. Other frequently occurring sub-categories included building support and the new additional category of involvement of senior administration.

Not only was consultation most frequently occurring across interviews, it also occurred almost exclusively within the personnel case. Two instances were recorded in only one organizational redevelopment interview. In two personnel interviews, the first person consulted was the Vice-President (Academic). Other respondents referred to consulting with the Dean and Chair on the dismissal issue, and consultation with the faculty member in question. Other comments made by respondents on the personnel case included concern over whether other administrators had engaged in proper consultation. One president would consult with a lawyer on the legal ramifications. In the one organizational development case in which instances of consultation occurred, reference was made to managers and the management team.

Reference to committees occurred in only four interviews, three of which were on the organizational redevelopment case. In one interview, the president made general references to forming committees of relevant stakeholders. In another, senior administration was referred to. In the third organizational redevelopment case the president referred to a number of committees with a variety of stakeholders including the use of external consultants. However, overall, no strong evidence exists in terms of content of responses to suggest type-specific patterns.

Likewise, the strategy of building support, which was identified in three organizational redevelopment interviews and in one personnel interview, shows no consistent content pattern which is type-specific. Comments ranged from a president being seen to be doing positive things and building trust, to attempting to get senior administration "on side." One president suggested that as factions within the college such as the board and faculty association discussed changes they would be easier to implement. One president met with and presented a proposal to all major factions within the college, and then to the college as a whole.

Unlike preliminary findings for decision process in phase I, using policy or formal procedures to formulate solutions in personnel cases seemed to play a significant role in these interviews. Instances of this strategy were recorded in all four personnel interviews with one additional instance identified in one organizational redevelopment case interview. In addition, the content of statements reveals focus on similar issues and courses of action. All respondents expressed concern over following proper procedure, initiating progressive discipline, and taking a professional development approach if the problem was one of teaching competence. Three respondents insisted that records be thorough and expectations for improvement be communicated clearly, and in writing. In general, these statements are consistent with the dilemma expressed by many respondents on the legitimacy of the evidence in evaluations of faculty performance. Concern was raised over the use of suspension. One president argued for caution in its use. Another suggested that suspension would be a feasible course of action provided expectations had been clearly outlined.

Respondents' views on board involvement used as a strategy for decision formulation were recorded in all organizational redevelopment interviews with only one occurrence recorded in one personnel case interview. This is, again, distinct from findings in phase I. In the present phase, board involvement as a strategy seemed to play an important role in the organizational redevelopment case. Further, content of statements focused on similar issues among respondents, including the previously mentioned dilemma of the role of the board, except in this sub-category statements reflected ways in which presidents would involve the board in corrective initiatives. Some presidents would opt for a form of development process, including the use of consultants, which would entail clarification on board role and board member actions. One presi ggested workshops and an orientation fo. ew board members. Two presid ade more specific reference to handling of actions of the staff board member and to the role of the board chair in such handling. Overall, board involvement seemed key as a strategy in the organizational redevelopment case and is consistent with presidents' concerns over clarity of role of the board and board members.

Coding of data within this main category revealed an additional sub-category; the involvement or handling of senior administration in solution formulation. In this sub-category instances were recorded in three out of four organizational redevelopment interviews with one instance occurring in one personnel interview. In all three organizational redevelopment interviews respondents were concerned with senior administrative performance and support, or the lack of it. Concern was expressed over possible resistance from senior administration, and corrective actions were alluded to, including dismissal. One president stressed the importance of making performance expectations for senior administration very clear, especially given a case in which extensive organizational change would ensue. Overall, there appears to be some evidence that problems inherent in the organizational redevelopment case related to senior administrative support, and tended to illicit similar responses from at least three out of four presidents.

Of the remaining sub-categories coded in this phase, that is, demonstrating values, timing, environmental scanning, and value clarification, very few instances occurred and no evidence exists to show type-specific patterns. The question on the use of novel or special strategies, as was asked in phase I, was not repeated here.

Nonrational Factors

In the second round of interviews a question was asked regarding any hunches or gut feelings respondents may have had about problems existing in the cases. First, responses to this question were recorded in all but one interview on the personnel case. Nine instances in all were recorded. In three out of four organizational redevelopment interviews respondents defined the lack of evidence of a shared mission, vision, or plan as a hunch or gut feeling. Respondents suggested that they felt that the college lacked a unified mission or that they sensed an ambiguity of mission. One president stated,

> Furthermore, . . . my hunch was that they didn't have a plan, that they didn't know where they were going, that they hadn't established a set of values, a vision for the college that people had bought into, and a set of college objectives. It's as if they were just doing their business day to day. That would have been my hunch.

Additional hunches in the organizational redevelopment case included identification of a trust problem, and a sense that the president might not have engaged in a systematic change process. Further, in two out of the three personnel interviews in which gut feelings were coded, presidents stated that they felt that the case was being driven by subjective or personal factors or running on gossip and rumors. Additional comments included the feeling that the original president wanted to be fair to the faculty member.

It is somewhat surprising to discover possible type-specific patterns in intuitions. Indeed, there appears to be some common ground relative to case type, even for nonrational factors coded in these interviews. In three out of four organizational redevelopment interviews respondents pinpointed a lack of mission, vision, or plan in the institution. Whether or not such observations truly represent "hunches" is of course questionable. Regardless, observations do seem to reveal type- specific judgments concerning the state of affairs in the case used. In chapter 7 more will be said on these issues when comparisons are drawn between findings in phase I and phase II.

Goals

Based on the coding process used in phase I, five goals were identified in data, and interviews were coded on this basis. The goals of compromise and neutralization, and precedent setting occurred almost exclusively within the personnel case. Only one occurrence was noted in the organizational redevelopment case. Similar to phase I, compromise and neutralization tended to occur together. In these interviews the main issue was, likewise, the value of payouts for the individual faculty member and for the institution. It was generally regarded that payouts and quiet removal from the institution was preferable to grievances, court cases, and the accompanying public conflict. As one president suggested "it's going to save the institution money if I get a resignation. I save him some embarrassment." Similarly, precedent setting as a goal--the notion that boundaries or standards be clearly set for similar behaviors or problems in the future--occurred in two out of four personnel interviews and only in these interviews. In one interview the president suggested that dismissal would reinforce the basic purpose of the institution, and in another the president stated that substantiation of moral misconduct would lead to dismissal.

The goals of winning and effectiveness were more widely dispersed across case interviews. Winning was coded in two personnel interviews and two organizational redevelopment interviews. These statements clearly reflect a preference for win/lose scenarios as a course of action. One president suggested, regarding personnel cases of the type used in these interviews that, "When I get in a situation like this I conform to a process that means that, when I get in court, I'll win. The winnability of the case is what's at stake, not whether people are polarized."

The most frequently coded goal in phase II was, again, effectiveness. Eight instances were recorded in six cases. The two interviews in which effectiveness was not coded were organizational redevelopment interviews. In three out of four personnel interviews respondents expressed concern for how the experience would effect the individual and offered alternatives for turning the decision into a positive experience for the person and the institution. Two presidents explicitly suggested that if the issue was one of teaching competence and not one of moral behavior then a professional development approach, one which attempts to salvage and improve the individual, would be appropriate. Other references in this sub-category include taking actions which would demonstrate appropriate board roles, and focusing on strategic planning.

Overall, it appears as though approaches by respondents to solving personnel cases tend to be more goal directed than in organizational redevelopment cases, at least for interviews in this phase of data analysis. Patterns which may be type-specific occurred for a number of goals. Compromise and neutralization as goals represent the problem of how to remove individuals quietly from organizations. The goal of effectiveness was expressed as a desire by presidents to "save" individuals whose teaching competence was in question.

Expected Outcomes

It was possible in this round of interviews to obtain data on expected outcomes or consequences. Each respondent was asked "Given the decision, what would you expect to happen?" or, "What outcomes would you expect?" Again, as was the case in phase I, the most frequently coded sub-category was reaction from the internal college community in general. In all, references to both internal and external communities totaled 13, followed closely by instances of coding of reactions of immediate subordinates. Nine instances of this sub-category were coded. Expected outcomes from student groups and the board were rarely mentioned by respondents. Only two instances were recorded in two case interviews for each sub-category. Both instances of student outcomes were coded in personnel interviews, and both instances of board outcomes were recorded in interviews on the organizational redevelopment case.

Concern was expressed by respondents over the reaction of faculty in three cases. One president expected minimal resistance from faculty due to the participative nature of involvement used in the change process. One president, in recounting his own experiences, stated that changes initiated had inspired faculty to engage in new projects, but that in the case analyzed faculty may become angry at positions lost through structural change. Another president expected faculty to become frustrated at the continued presence of an individual who was a detriment to the institution and the faculty association.

References to the expected outcomes of the internal college community were coded in all but one organizational redevelopment case interview. There is considerable variety in the content of responses even when analyzed by case type. In the organizational redevelopment case responses ranged from expecting the college to find common ground, the anger of people at having to produce results, to expecting the formulation of a shared vision, and having people feel good about themselves and the consultation process. In the personnel case, responses ranged from organizational learning resulting from evaluations and dismissals, perceptions of fair treatment, to acceptance and positive reactions by the community on the decision made. In spite of the relative frequency of coded instances in this sub-category there appears to be little evidence which supports the existence of type-specific patterns.

Nine instances of respondent statements on expectations from immediate subordinates were coded. In two interviews on the personnel case respondents claimed that if dismissal was the decided course of action, the faculty member would pursue a grievance and litigation. Other responses on this interview included the expectation that the faculty member would generate support from a number of sources, or that no action on the part of the college would illicit resentment of other administrators. In all interviews on the personnel case, reactions of the faculty member in question were most mentioned. In the two organizational redevelopment interviews in which outcomes were coded, senior administration was most referenced.

Overall, there is little evidence in coding in this sub-category to suggest type-specific patterns, either in general occurrences in case types or in the content of responses. It appears that, in all, within the category of expected outcomes, few clear type-specific patterns exist. Regardless of what we may or may not assume about the value of prediction in decision making, it seems that in this phase of data analysis, responses were either too closely linked to individual styles and differences in perception, or simply too varied to be of much use as a guide to future decisions in this organizational context.

Alternatives

Statements reflecting tendencies by respondents to consider alternatives were recorded in all but one interview on the organizational redevelopment case. Responses in this category are somewhat varied. On the organizational redevelopment case, presidents considered such alternatives as what stakeholders to involve in decisions, and at what stage; the question of how to initiate change as opposed to simply "doing it,"; or whether to use internal committees to develop and facilitate change or external consultants. In the personnel case, two respondents entertained suspension as a possible alternative, provided that a solid ground of evidence and due process had been laid. Other responses included whether to investigate the case personally or maintain distance through a committee, and to either dismiss or do nothing. Aside from predictable responses such as whether to dismiss or not in the personnel case, and aside from the consideration of suspension, no strong evidence exists in this round of interviews for type-specific patterns in alternatives considered.

<u>Solutions</u>

As in phase I, alternatives considered and solutions decided upon are somewhat linked. Although alternatives considered in this phase were somewhat predictable and no type-specific patterns were evident, solutions chosen by respondents were quite varied, but with traces of similarity within case type. In the organizational redevelopment case all respondents opted for making changes; the differences came in how this would be accomplished. One respondent felt that it was incumbent upon the president, since he or she had accepted the job, to proceed with restructuring. One president's approach would be to engage the board in a developmental process of role clarification and then to move into strategic planning phases, and two presidents opted for slower, more incremental forms of change over longer periods of time. One of these respondents suggested incremental/consultative change where solutions to problems evolve out of discussion.

Interviews on the personnel case revealed some similarity in the manner in which alternative courses of action were analyzed. Two respondents clearly divided the possible solutions to the case into two distinct judgments. Evidence was not conclusive on the nature of the faculty member's unprofessional conduct. Thus, these presidents suggested that if the issue was moral behavior they would seek to remove the individual. If however, the problem was teaching competence, a professional development approach aimed at saving the individual was felt to be appropriate. One other president suggested that even if evidence was not conclusive, he or she would lean toward dismissal. A fourth president claimed that adherence to processes that would win in court is what is at stake.

Although there exists no strong evidence for type-specific solutions, it is interesting to note that for each case two out of four presidents opted for similar courses of action. Analysis of the personnel case demonstrates to some degree the rational tendency by respondents to hypothesize alternative decisions for different types of problems, depending on whether or not conclusive evidence became available.

Values

As was the case in phase I data, transcripts from phase II interviews were also coded for values. In keeping with the method used in phase I, and in order to reinforce consistency in the form of analysis, the same approach to coding values was used in phase II. Most instances of value occurrences were coded based on value statements given by respondents in answer to key questions, and through identification of actual values named by respondents. At the data summary stage, values coded in phase I served as a backdrop for the organization of data. In all, only one value--academic freedom--was coded in phase II which did not occur in phase I. Only one reference was made by a respondent to this value in a personnel case interview. No other values were found in phase II which did not occur in phase I.

Occurrences of Values

As was true in phase I, it will be useful to distinguish the overall frequency of occurrence of values across all case interviews with the extent of recurrence within the two different cases. Toward this end, data will be presented to address both these distinctions. This is a similar form of display to the one presented in chapter 5 and may serve to facilitate the comparison of values between phases which follows in chapter 7.

In all, 17 different values were identified in the analysis of data for eight case interviews. Of those 17, nine values occurred across interviews or occurred more than once, and for the other eight, only one isolated instance of each was recorded in a case interview. Table 6.1 displays the nine reoccurring values against all eight case interviews, sorted by case, and also provides a visual representation of recurrences within the two cases. As can be observed from Table 6.1, trust was the most frequently occurring value with eight instances in six case interviews. This was followed by fairness and student interests with seven occurrences in four case interviews each. Five instances of shared decision making were coded in three cases overall. Other values occurring were shared

Table 6.1

Occurring Values Sorted by Case (No. of case interviews = 8)

		Values								
Case	Type.	Trust	Fairness	Student Interests	Shared Dec'n Making	Shared Vision	Institute Interests	Quality of Ed.	Respect for Persons	Consen sus
10	Org.Re-D	2			2					
10	Org.Re-D	2			1	1				2
10	Org.Re-D	1			2	3				
10	Org.ReD	1		1						
3	Pers		3	2						
3	Pers		1				1			
3	Pers	1	1	3			1	1	1	
3	Pers.	1	2	1				1	1	
Total Occurrences		8	7	7	5	4	2	2	2	2
Total Case Interviews		6	4	4	3	2	2	2	2	1

vision, institutional interests, quality of education, respect for persons and consensus. Consensus occurred twice but only within one case interview.

Table 6.2 provides a further breakdown of recurring values by case. Again, as in phase I, data classified according to case type reveals a high recurrence of certain values within specific case types, and in this phase, exclusiveness of occurrence within types. Indeed, some of the occurrences of values within the two cases are even more distinct then in phase I data analysis. A number of points are worth noting.

First, in the organizational redevelopment case, three values recurred. Trust, the most frequently occurring value overall, was coded in all four organizational redevelopment case interviews. Shared decision making was found in three organizational redevelopment case interviews, and shared vision in two. Six values recurred in the personnel case. Fairness was recorded in all four personnel case interviews, student interests in three, and institutional interests, quality of education, respect for persons, and trust, in two out of four personnel case interviews. What is perhaps equally as important is the exclusiveness of some values. In all, only two values were found occurring in both cases, trust and student interests. Trust occurred in all four organizational redevelopment case interviews and in two personnel interviews. Student interests occurred in three personnel case interviews and in one organizational redevelopment case interview. Aside from these two values, all others recurred exclusively within one case or the other. Thus, shared decision making recurred in three out of four organizational redevelopment case interviews, and only in these interviews, and shared vision recurred exclusively in two out of four such interviews. Fairness recurred in all four personnel case interviews, and only in these interviews, and institutional interests, quality of education, and respect for persons, all recurred exclusively in two out of four personnel case interviews.

Overall, preliminary analysis reveals considerable similarity in findings between phase I and phase II value choices within specific case types and indeed within individual cases. The value of fairness emerges in both phases as a dominant choice among

Table 6.2

Recurring Values in Cases

Case	Value	No. of Case Interviews
Org. Redevelopment (n=4)		
	Trust	4
	Shared Dec'n Making*	3
	Shared Vision*	2
Personnel (n=4)		
	Fairness*	4
	Student Interests	3
	Institutional Interests*	2
	Quality of Education*	2
	Respect for Persons*	2
	Trust	2

Note. * = exclusive to case.

respondents in personnel cases. Student interests, the second highest recurring value in the personnel case, was also dominant in this type in phase I. In phase I, shared decision making dominated in organizational redevelopment cases. In phase II, trust recurred in all organizational redevelopment case interviews but was not exclusive to this case. However, shared decision making recurred in three out of four organizational redevelopment case interviews, and was exclusive to this case.

Profiles of Cases

Similar to the procedure followed in phase I data, an attempt was made to create a comprehensive profile of the cases used in this second phase. Format and method followed in chapter 5 were used again here including the additional process of drawing characteristics of cases from case summaries. The intent was to provide a comprehensive description of decision process and values for each case, and this was enhanced by further analysis of common characteristics drawn from summaries written on each case interview. These summaries, to a very great extent, reinforced findings in decision process. Thus, distinctions between findings for decision process and characteristics drawn from summaries will only be made where they differ. Overall, these profiles will serve to enhance the comparison with phase I data which will be presented in chapter 7.

Organizational Redevelopment Case

The analysis of decision process through coding in major categories discussed earlier in this chapter revealed a number of potential recurring patterns. At the problem definition stage, the question concerning the basic dilemma in the case revealed, in three out of four case interviews, that trust, or lack of trust, of administration among faculty and the board was the overriding basic issue. This finding was reinforced through analysis of case summaries.

In the category of perceptions of others, references to philosophic views were numerous but highly idiosyncratic to individual respondents. This category gave rise to an additional sub-category related to the role of the board. The concern expressed in all four case interviews and exclusively in these interviews dealt with the proper role of the board in relation to the president and the rest of the college. This pattern was reinforced through analysis of case summaries.

Consistent with this finding, the strategy of board involvement was recorded in all four case interviews. References in this sub-category were made to various initiatives which could help clarify the role of the board such as the use of external facilitators, workshops, retreats, orientation of new members, and so on. Again, analysis of data revealed an additional strategy sub-category concerning the involvement of senior administrators in decision process. In three out of four interviews a content pattern emerged. Concern was expressed over the performance and particularly support of senior administration, or the lack of it. Various corrective approaches were alluded to such as clarifying performance expectations and dismissal. The use of committees and building support also recurred in three out of four interviews but little evidence existed in content to show patterns beyond this recurrence.

When questions were asked regarding gut feelings and hunches about problems which existed in the case, in three out of four interviews respondents suspected that the college lacked a unified mission, vision, or plan, or that there seemed to be a lack of evidence for such a plan. This consistent response on nonrational factors was reinforced through analysis of case summaries.

Overall, it appears as though clearly defined short term goals did not factor significantly in the decision making process of respondents for this case, not nearly to the extent found for the personnel case. This finding is also somewhat paralleled in phase I data. Very few goal sub-categories were coded in interviews on this case, and no consistent patterns in content were evident. Likewise, no clear patterns were apparent either in recurrence or in content of occurrences in the expected outcomes category. In fact we shall see that little in the way of patterns in expected outcomes were found in either case. This finding was reinforced through case summaries and is paralleled in phase I data.

At least one alternative was identified in three out of four interviews on this case but little in the way of consistent patterns is evident. Alternatives mentioned are somewhat varied and mainly involve not questions of whether to restructure, but how to do it, that is, what stakeholders to involve and whether to use internal committees or external consultants. In choice of solutions to the case, all respondents opted for initiating the change process. Two out of four respondents believed that slower, incremental and consultative change was most appropriate.

In addition, further analysis of case summaries revealed the possibility of additional common issues among some interviews. Three out of four respondents alluded to the importance of a participatory approach in the change process and the importance of involving all constituents in decision making, including those who would be negatively effected. Two respondents expressed some concern over the possible circumstances under which the new president in the case was hired. The issue of whether or not expectations and responsibilities had been clearly defined for the president was raised. Finally, two respondents raised similar concerns regarding the behavior of one board member mentioned in the case. Both respondents suggested that the issue of this board member's behavior was the responsibility of the board chair.

Value occurrences in this case were somewhat consistent with findings in phase I. However, in this phase, a number of values were found to recur exclusively within one case. The most frequently occurring value overall was trust and this value also recurred in all four interviews on this case, although it did not recur exclusively. Shared decision making, the value which recurred most frequently in organizational redevelopment cases in phase I, recurred in three out of four interviews on this case, and only in these interviews. Shared vision, likewise, recurred exclusively in two out of four interviews on this case.

Personnel Case

Generally, coding and analysis of responses on this case showed more possibility of consistent pattern at the problem definition stage then for the organizational redevelopment case. Information gathering, formal and informal, with the exception of one instance, was only coded in the personnel case. Informal information was coded in three out of four interviews on this case, and not at all in the organizational redevelopment case. Instances coded as formal information centered around one basic issue, that is, the ambiguity and incompleteness of information on the behavior of the faculty member in question. Likewise, the role of policy and formal procedure recurred in three out of four interviews, and only in these interviews. One concern was expressed by respondents; the legitimacy of evidence in the evaluation process and the adequacy of the evaluation process as a whole. Consistent with this, when questioned on the basic dilemma, respondents in two out of four interviews expressed the legitimacy of evidence on evaluations as the basic dilemma. In effect, this fact, mentioned by all respondents in interviews on this case, seemed to be considered one basic issue or problem. Furthermore, the recurrence of this pattern was reinforced through analysis of case summaries.

In the category of perceptions of others, perceptions of immediate subordinates occurred exclusively in two out of four personnel interviews. In both cases it was believed that the recommendation for dismissal was motivated by personal or subjective factors. This finding is reinforced in answers to the question on nonrational factors and again through analysis of case summaries.

Analysis of sub-categories of various strategies used in this case give rise to two possible recurring patterns. The strategy of consultation, similar to findings in phase I, was most frequently occurring overall in phase II. Further, this strategy was coded in all four personnel case interviews, and almost exclusively. Only two instances were recorded in the other case. In two out of four interviews the first person consulted was the Vice-President (Academic). The strategy of policy and procedure also occurred in all four interviews. Here the content of occurrences centers on one issue; the question of whether due process was followed, thorough records kept, and progressive discipline initiated. This finding is consistent with the basic problem expressed earlier concerning the legitimacy of evaluations.

The personnel case seemed to be more oriented to clear, short term goals. Instances of all five goal sub-categories were coded in this case. The goals of compromise and neutralization often occurred together and reflected one basic issue in all interviews coded; the value of payout and quiet removal as a desired approach to personnel problems. The goal of effectiveness was coded in three out of four interviews, and in these interviews the concern was how to turn the pending dismissal into a positive experience for the person and the institution.

Similar to findings in the organizational redevelopment case, very little in the way of patterns in expected outcomes was found. In two out of three interviews in which outcomes were coded, respondents believed that if dismissal was decided upon the effected faculty member would pursue a grievance and litigation would ensue. In all, the most mentioned outcome in this case pertained to reactions of the faculty member in question.

Alternatives and solutions coded in these case interviews reveal a variety of responses, however, one or two points are worth noting. In alternatives considered, two out of four respondents suggested suspension as a feasible alternative provided a ground work of solid evidence and adherence to due process had been laid. Likewise, two out of four respondents subdivided the solution into two possibilities, mainly due to a lack of clear evidence and information on the behavior of the faculty member. If the issue was one of moral misconduct, these respondents would seek to remove the individual from the institution. On the other hand, if the issue was a question of teaching competence, then a professional development approach was deemed to be more appropriate.

Values identification in this case, again, revealed some possible consistent patterns and some recurrences which were exclusive. Fairness recurred exclusively in all four interviews on this case. Student interests recurred in three out of four personnel interviews but also occurred once in the organizational redevelopment case. The values of institutional interests, quality of education, and respect for persons recurred in two out of four interviews on this case, and only in these interviews.

Summary

In the two cases examined by respondents in this phase it was found that a number of possible recurring patterns may exist in various categories of decision process and in value choices. In chapter 5, which involved an examination of the original 23 cases in which interviews were conducted, similar findings were established. The task which remains is to attempt to compare findings in the two phases of data collection and analysis. This task will now be addressed in the chapter which follows.

CHAPTER 7

ANALYSIS ACROSS PHASES

The main purpose of this chapter is to examine the possibility of type-specific patterns across two phases of data. In addition, a number of issues can now be fully addressed in this chapter. In chapter 4, an answer was provided to the first research question on the possibility of a typology of cases which is relevant for this study and perhaps relevant for this sector of postsecondary education. In this chapter responses can now be attempted for research question 2, on the relations of decision process and values to decision type, and question 3, on whether the same or similar problems elicit the same or similar value choices from respondents. Responses to these questions will be provided at appropriate points in this chapter. Responses to research questions 4 and 5 will be provided in chapter 8.

Numerous problems arise in the attempted analysis of data across phases. To address this, the approach taken here necessitates a rather complex form of analysis, therefore, something now needs to be said regarding method. First, it should be noted that the identification of at least two different types of patterns is possible. Frequency patterns refer mainly to the frequency of occurring or recurring sub-categories or values. Such patterns thus represent the tendency for the coding process used in this study, including the coding of values, to occur or recur within either phase of data. Content patterns contain, in addition, a substantive element. Besides mere frequency, they reflect occurring or recurring sub-categories with the same or similar content. Second, up to this point in description of data, it has been necessary only to distinguish general occurrences of coding, or, analysis with is non-type-specific, from occurrences with appear to be type-specific. However, in this chapter the focus is not only on type-specificity within each phase of data but also on consistency across both phase . Thus, type-specificity now divides into three possibilities. Any given pattern may be type-specific in phase I, or specific to case interviews in phase II, or, based on analysis in this chapter, shown to be type-specific in both phases. The primary focus in this chapter is on type-specific patterns across phases. The existence of the same or similar patterns across both phases establishes the greatest assurance on the type-specificity of the phenomenon under study.

A final problem arises in attempting to analyze data across two phases. In phase II, two representative cases, one from each of the organizational redevelopment and personnel case type, were chosen for examination by four respondents. Each respondent reviewed the same set of two cases. In essence, comparison was made between responses on different cases within a given type in phase I, and responses on one case representative of that same type in phase II. The question might be asked whether analysis in phase II revealed type-specific patterns or merely judgments by respondents which were specific to one case. In other words, the fact that the same decision patterns or values recurred in the same cases when analyzed independently by four respondents may not establish type-specificity but rather choices which were simply case-specific. However, the design and the method of analysis proposed here will reveal that this problem is addressed, and multiple purposes are served as well. First, the design allows us to answer research question 3. That is, it allows us to examine whether or not the same or similar types of problems elicit the same or similar value choices by respondents. More important, if the recurrence of decision patterns or values in phase II was case-specific, and only case-specific, then we would not expect to find the same patterns or values recurring within the same type in phase I data, where responses are based on different cases within one type. Thus, the distinction between a given pattern being case-specific as opposed to type-specific is a function of its recurrence in phase I. This method appears to be most appropriate for addressing the kinds of research questions posed in this study, and for establishing a reasonably strong case for type-specificity of patterns.

Discussion in this chapter is divided into two main areas. First, various patterns in decision process which are type-specific in phase I or in phase II will be summarized and examined for consistency across phases. Second, value occurrences in both phases will be examined at the level of general occurrence across cases, and at the level of type-specificity, so as to determine the possibility and extent of similarity in value choices across two phases of data.

Description of Decision Process in Two Phases

Of all major constructs investigated in this study, decision process has, by far, proved to be the most complex and at the same time, the most elusive. In all, 11 major categories were identified and coded in phase I. These categories, in turn, dissected into a number of sub-categories. Because of the simulation-like nature of phase II, certain questions and therefore certain categories could not be further investigated. In total, in phase II, data were collected in eight major categories. Unexpected outcomes and constraints were not identified in phase II data analysis. Thus, analysis and comparison of decision process in two phases in this chapter is limited, first, to analysis of categories common to both phases. Second, since only two cases were used in phase II, one representative of organizational redevelopment cases and one representative of personnel cases, the analysis in this chapter will focus primarily on potential type-specific patterns within these dominant types. In addition, some mention will be made of salient findings in other case types collected in phase I. To facilitate ease of analysis and comparison, the format used in this section will be to discuss findings by case type in phase I and by case in phase II. Some reference will be made to general frequency patterns, that is, general codings in categories across phases for which consistent patterns seem to be evident. The main interest, however, focuses on patterns which are evident within specific types or exclusive to specific types.

Organizational Redevelopment Cases

Data were analyzed from interviews on six organizational redevelopment cases in phase I. From this group of six one representative case was selected for use in phase II. Following is a description of findings across phases for all major categories of decision process which are common to both phases.

Problem definition. Within this major category very little in sub-categories stands out as demonstrating type-specific patterns. In phase I, formal information was coded in all six cases and informal information was coded in two. In phase II, formal information was coded in only one organizational redevelopment interview while informal information was not coded at all in any organizational redevelopment case interview. In phase I, two out of six respondents identified the basic dilemma in cases as being a lack of vision or mission. Within this category, identification of a lack of vision or mission was the only major finding which recurred in phase II in other categories in this case type.

Perceptions of Others. In all organizational redevelopment cases in phase I, references to the internal community outweighed those to the external community. The dominant theme mentioned by respondents in reference to the internal community in phase I was concern over the lack of ability to adapt to change.

In phase II, responses in organizational redevelopment interviews showed general philosophic perceptions as the most coded sub-category. This phase of data collection also revealed an additional sub-category. Perception of the role of the board in relation to the president and the college clearly stands out in all four case interviews in phase II but is virtually absent in phase I and in the original interview for the case. In phase II, this pattern also emerged as exclusive to interviews on this case. Aside from this, little evidence exists to strongly support type-specific patterns across phases within this category of decision process.

Strategies. In phase I, the use of committees, most of which were newly formed for the change process, loomed large in organizational redevelopment cases. Committees were coded in six out of six organizational redevelopment cases in phase I. Other potential strategy patterns in phase I include value clarification, which was identified in five out of six cases. In phase II, the use of committees and building support were both coded in three out of four case interviews, but such coding revealed no consistency of content nor were the sub-categories exclusive to these interviews.

Two additional findings in phase II appear salient. The strategy of board involvement was coded in all four interviews and also revealed similar content. Concern was expressed by each respondent, again, over the role of the board, but in this sub-category various corrective initiatives were discussed. Further, an additional sub-category was used in phase II. Administrative involvement was identified in three out of four case interviews. All respondents expressed concern over the importance of performance and support of senior administration in times of change. Reference was made to the necessity of clear performance expectations. Although this response is not directly supported by strategy responses in phase I, this notion is clearly expressed by respondents in phase I on expected outcomes and constraints, and reinforced again in phase I through analysis of case summaries. Concern by respondents over senior administrative performance and support, and ways of dealing with various reactions by this group to the decision made, is quite clearly expressed in both phases of data analysis.

Nonrational factors. Overall, responses to the question on hunches or gut feelings in both phases tended to be highly idiosyncratic to individual respondents and case circumstances, with one exception. No responses in this category in phase I analysis show evidence of type-specific patterns. However, in phase II, three out of four respondents made reference to a lack of evidence of a shared mission, vision, or plan for the institution in answer to the question on gut feelings or hunches. Thus, it appears as though three out of four respondents in phase II independently recognized this factor as significant.

Further, this same response was provided by the author of the organizational redevelopment case used in phase II as the basic dilemma in the case.

Goals. As will be recalled from previous discussion on decision process, a number of responses were defined and coded as short term goals or objectives. Goals coded included reaching a compromise, achieving a neutralized state, setting a precedent, winning, and achieving effectiveness. In organizational redevelopment cases only effectiveness showed some potential as a type-specific pattern.

In phase I, effectiveness was coded in all six organizational redevelopment cases, although there was considerable variation in content of coding. Most often, respondents made reference to the achievement of overarching purposes or objectives, organizational learning, or optimizing more then one objective simultaneously. The occurrence of effectiveness in phase I were not exclusive to organizational redevelopment cases.

In phase II, most references to goals occurred in interviews on the personnel case. Beyond the coding of effectiveness in phase I, little evidence exists for clear type-specific patterns. However, the lack of coding of short-term goals in this case type may be consistent with the longer term purposes and strategic character of organizational redevelopment cases.

Expected outcomes. For organizational redevelopment cases, this major category produces little evidence of type-specific pattern, either in phase I or in phase II. In phase I, concern over reactions of the internal and external communities were coded in five out of six organizational redevelopment cases. In four out of six cases, concern was expressed over the reaction of subordinate administrators to the decision making. In three of those cases references in the sub-category of immediate subordinates were to senior administrators exclusively. This seems consistent with earlier mention of concern by respondents over the support or resistance of this group specifically.

Phase II analysis reveals no evidence of clear type-specific patterns in this decision category.

Alternatives and solutions. Overall, both in phase I and in phase II, alternatives seem to play a less then significant role in the decision process. In phase I, at least one alternative was considered by respondents in five out of six organizational redevelopment cases. In three out of six, respondents entertained the continued use of existing structures, models, or plans. In phase II at least one alternative was considered in three out of four case interviews. The main issue here seemed to be a question of how to make changes. Beyond this, content of responses on alternatives varied among respondents and cases.

With is perhaps most telling within these categories is the kind of solution decided upon by respondents. In virtually all cases, both in phase I and II, respondents opted for a process of change as either necessary or inevitable for continued functioning and growth. In phase I, all respondents chose not to adopt existing plans or models but rather to initiate rather large scale change in the institution. In all cases this change process ran the risk of considerable upheaval in relations within the institution. Similarly, in phase II, all respondents opted for change. There was, however, some variation in the approach to change suggested. Two out of four respondents opted for slower, incremental changes over longer periods of time as the appropriate solution. In all, however, no respondent chose existing models, plans, or structures, or the existing state of affairs as the most desirable solution.

Personnel Cases

Initially, in phase I, interviews were conducted and data analyzed on 10 personnel cases. In phase II, one representative case was chosen for review by four respondents. Following is a description of findings across phases in all major categories of decision process for this case type.

Problem definition. It will be recalled that information gathering was divided into formal and informal. In phase I, informal information was coded in 9 out of 10 personnel cases and was shown quite clearly to play an important role in defining personnel problems. In phase II, almost all instances of information were coded in personnel cases, although occurrences of formal information outnumbered informal overall. In phase II, the general notion expressed by respondents related to the ambiguity of information.

Statements by respondents on dilemmas in both phases are consistent. Dominant among cases in phase I was the problem of conflicting information and validity of evidence from evaluations. This was echoed in responses by the original author of the personnel case used in phase II, and appeared again in case interviews in phase II. Further, in three out of four case interviews in phase II, responses coded as policy and procedure referred again to the adequacy of evaluations and adherence to due process, and these codings were exclusive in phase II to this case. Overall, the problem of ambiguity of evidence on the conduct or performance of a faculty member, legitimacy of evaluations, and adherence to due process appears to be highly consistent across phases, and therefore evidence seems to support this finding as a type-specific pattern.

Perceptions of others. In this category, respondents' perceptions of internal and external communities dominated overall, and references to the internal community dominated in personnel cases in phase I. In this phase, perceptions of internal and external communities were coded in 7 out of 10 cases, and in 6 out of 10 cases instances of internal community were greater then external community references. Again, In phase II, out of the 10 occurrences of internal and external communities in case interviews, 9 were references to the internal community. Generally, it appears as though the views of the internal community factored significantly in personnel decisions. How the case was seen to be handled was an important issue.

Strategies. Originally, 10 different strategies were recorded and coded in interview transcripts. Of these 10, across all cases in both phases, consultation was most coded overall. However, this is clearly a function of the presence of personnel cases. Consultation dominated as a strategy in personnel cases in both phases. In phase I, consultation occurred in all 10 cases with 35 out of 56 references, or 62.5% occurring in this case type. In phase II, 11 out of 13 instances of consultation occurred among all four personnel case interviews. In this phase, even more so than in phase I, senior administrators were the most consulted group. It must be kept in mind that consultation as a strategy in this study refers to a specific action taken by participants in response to the recognition of a particular problem. Clearly, the recurrence of this strategy across phases provides ample evidence of the highly characteristic or type-specific nature of consultation in this case type.

In addition to consultation, coding of instances of policy and procedure as a strategy showed some consistency of content and serves to reinforce a type-specific finding already discussed. In both phases, instances of this strategy referred to the accuracy of the evaluation process and to evidence for due process, thorough record keeping, and progressive discipline. This reinforces findings on the problem of legitimacy of evidence and evaluations discussed at the problem definition stage in both phases.

Nonrational factors. Little evidence exists in this category in either phase to show type-specific patterns. Responses tended to be personal and idiosyncratic for each respondent. However, in this case type in phase II, two out of three respondents alluded to suspicions that the case was being driven by personal motives. This reinforces earlier findings in phase II based on respondents' perceptions of subordinates, and responses by the original author of the case in phase I. However, such findings point in the direction of case-specific responses rather then type-specific responses. Aside from this, no other evidence exists for similarity of responses across phases.

Goals. Within this case type, responses related to goals shows some evidence of type- specific patterns. In phase I, two goals stand out as recurring in personnel cases. The achievement of compromise was recorded in 6 out of 10 cases in phase I. The desire to neutralize the situation or make it a non-issue, recurred in 8 out of 10 cases. In 5 out of 10 cases these two goals occurred together. In phase II, the presence of compromise and neutralization concurrently was almost exclusive to the personnel case interviews. Only one instance of neutralization occurred in one organizational redevelopment case interview. In addition, the goal of setting a precedent was found exclusively in two out of four personnel case interviews. This recurrence across phases reinforces the possibility expressed in chapter 5 of what appears to be a prevailing logic of personnel cases. The most desired solution among respondents seemed to be to negotiate a payout and encourage the individual to "go quietly." This, in turn, served a number of purposes. It set some precedent for dealing with future similar cases; it was perceived that the individual was treated fairly, which, in turn, reflected positively on the image of the institution. This practical logic appears to prevail in both phases of data, and is, therefore, a strong candidate for a type-specific pattern across phases.

Finally, in phase II data, effectiveness was coded in three out of four case interviews. All respondents seemed to express the desire to find a way to turn the problem into a positive experience for the individual impacted and for the institution. This occurrence, however, remained specific to phase II case interviews.

Expected outcomes. Findings in this major category are somewhat mixed. In phase I, concern was expressed over the reaction of faculty to dismissal in 5 out of 10 cases. References to internal and external communities occurred in 6 out of 10 cases, but four of those six were references to reactions of external communities. In commenting on reactions of subordinates, the individual impacted by the decision seemed to be of most concern. In phase II, references to the internal community were identified most frequently. However, concern over reactions of subordinates in phase II again showed the affected faculty member as most referenced.

Reactions of the external community factored significantly in judgments of respondents in phase I in personnel cases. However, this finding was not reinforced in phase II. Concern regarding the impact of the decision on the person directly affected emerged in both phases as a significant expected outcome. This is also consistent with responses by the original author of the personnel case used in phase II.

Alternatives and solutions. In addition to solutions chosen, at least one alternative was considered by respondents in phase I in 9 out of 10 personnel cases. All responses, however, were very typical of available alternatives in such cases, and included, for example, dismissals, suspension, or progressive discipline and monitoring. In phase II, findings are similar except that two out of four respondents would seriously consider suspension, provided due process had properly been adhered to.

In phase I, 5 out of the 10 personnel cases were dismissal cases, and therefore, the desired solution by respondents seemed to be a payout and quiet removal in all these cases. Two cases were ongoing at the time of the interviews, one case involved a compromise and resignation, one case a reassignment, and one case an administrative hiring. In phase II, two out of four respondents distinguished two different solution approaches depending on what was finally decided upon as the problem. It had been suggested by respondents that it was unclear whether the problem in the case was one of moral misconduct or teaching competence. If the issue was identified as a moral one, two respondents opted for removal from the institution. If the issue was, instead, teaching competence, those same respondents would opt for professional development. No evidence of this finding was noted in phase I cases, including interviews with the author of the phase II personnel case.

Summary

Given the preceding analysis of decision process, we now have the vantage point from which to begin to address research question 2, which reads as follows:

> *Are there patterns in decision process and in values that relate to types of decisions made?*

This question, in turn, subdivides into two related questions, the first of which has been addressed in the preceding section:

> *What patterns in decision process are evident within different decision types?*

In answer to this question, the following discussion summarizes findings for organizational redevelopment cases, personnel cases, potential patterns in other case types, and for unexpected outcomes and constraints.

Organizational redevelopment cases. Overall, a number of potential type-specific patterns have been identified in either phase I or phase II in organizational redevelopment cases. In all, however, only three patterns stand out as recurring across phases in this case type. In both phases respondents identified the lack of institutional mission or vision. This was identified as a dilemma in phase I and as a nonrational factor in phase II. This finding was further supported through analysis of case summaries in phase I and responses by the original author of the phase II organizational redevelopment case. In phase II, respondents also identified the importance of performance and the support of senior administrators in the change process. This finding was reinforced in a number of categories in phase I, including perceptions of others, strategies, and particularly, in outcomes and constraints, and further reinforced through review of case summaries in phase I. Finally, all respondents chose not maintain and work within existing conditions, but rather to move forward on rather large scale change initiatives. No claim is being made for exclusiveness of these patterns to organizational redevelopment cases. However, these three recurring patterns emerge as the strongest candidates for patterns which appear to be highly characteristic of this case type.

Personnel cases. Similar to findings for organizational redevelopment cases, findings here show a number of potential type-specific patterns consistent in either phase I or phase II data. Fewer patterns, however, seem to exist across phases. In personnel cases four such patterns were identified. First, the theme of ambiguity or conflict in information and evidence from evaluations, the legitimacy of such evaluations and adherence to due process, is reinforced in categories in both phase I and II and further reinforced though analysis of case summaries in both phases. This problem is clearly endemic to this case type across phases in this study. Second, the strategy of consultation, defined here as a specific act in response to recognition of a problem, is clearly dominant in both phases of data. It appears as though respondents, first and foremost, seek out relevant others to consult with when confronted with a personal dilemma. Third, solutions to personnel cases collected here seem to be oriented toward the achievement of shorter term goals. This appears consistent with the quite specific nature and time frame for such cases. More importantly, solutions seem to exhibit what might be called a "practical logic" of personnel cases which consists, to some degree, of negotiating compromise and quiet removal from the institution. Fourth, in spite of the fact that reactions are expected from a number of constituents in and out of the organization, in both phases, concern seems to be expressed over the expected reaction of the faculty member impacted by the decision.

Patterns in other case types. Since only two cases, representative of only two case types, were used in phase II data collection, no further comparison of findings across phases can be provided. However, more than one case was collected in two other case types in phase I. Three buildings and facilities cases were obtained as well two finance cases. Additional findings which seem characteristic to these case types were noted. Thus, some additional description of potential patterns is warranted although such description is limited to phase I data analysis.

Buildings and facilities cases showed a number of distinct recurrences in all three cases. At the problem definition stage the range of stakeholders was noticeably wide, with external stakeholders playing a crucial role. Few references were made to information gathering, and dilemmas stated by respondents tended to be concrete and practical, such as having space problems, and selling the feasibility of the project. In the perceptions of others category, respondents' perceptions of external communities were referenced more then the internal community in all three cases. There appeared to be a rather low occurrence of consultation in all buildings cases, and high occurrences of the strategy of building support. It appeared as though rallying support among various stakeholders played a crucial role in the realization of these initiatives. Proper timing used as a strategy was also noted in all three cases.

Further, the goal of effectiveness occurred in three out of three cases and this goal was explicitly expressed in each case as the effective handling of the cost of the project. In two out of three cases no alternatives were coded at all. It appears as though the specific and clearly defined need precluded entertaining a number of alternatives.

More importantly, three patterns appear to be highly characteristic in this case type. Occurrences of these factors are reinforced in various categories and through analysis of case summaries. First, in all three cases an already existing document or plan laid the groundwork for the initiative. Thus, the identified need had, at some point in the past, been discussed before. However, in all cases the existing document served only as a conceptual springboard from which a new and more relevant initiative was adapted. Second, in all three cases at some critical point, an individual played a crucial role in liaison with key external stakeholders such as government departments or private corporations. This individual could be a member or chair of a special committee, or in one case, someone internal to the college organization. Third, the success of each case depended in a very essential way on the satisfying of mutual interests of the major stakeholders involved. The addressing of this political and economic reality seemed to be a necessary condition for the success of each case.

Perhaps because only two finance cases were obtained, little can be discerned in this case type with regards to type-specific patterns. In phase I of this study, one curriculum and instruction case, one board relations case, and one support services administration case were also obtained. The reader is encouraged to refer to sections of chapter 5 for a detailed description of decision process analysis in these cases.

<u>Unexpected outcomes and constraints</u>. It will be recalled that no data could be obtained in these categories in phase II interviews. However, it may be worthwhile to briefly review findings overall in phase I analysis.

Little in the way of consistent evidence for patterns exists in these categories, and evidence in some cases appears contradictory. The most consistent findings were in buildings and facilities cases. Here, all references to unexpected outcomes referred to various external communities or stakeholders involved. Most comments were negative in nature referring to forms of maneuvering and resistance by various groups in the realization of the initiative. In organizational redevelopment cases, statements on unexpected reactions of the faculty body were generally positive. Surprise was expressed by respondents at the amount of support and the ability or willingness of faculty to adapt to change. However, when responses for internal and external communities within this same type were analyzed, it was found that the majority of responses on change, resistance, and support were negative, that is, respondents were surprised at the level of resistance to change experienced. It is unclear as to whether these references were intended to include faculty.

Participant responses on expected constraints to decision making show little evidence of clear type-specific patterns. A few named constraints seem to occur slightly more in some types than others. The board was named as a constraint in 3 out of 10 personnel cases. In organizational redevelopment cases, resistance to change from the internal community and the resistance of senior administrators seemed to dominate. In buildings and facilities cases, again, the actions of various external communities were identified as a constraint.

Findings for unexpected constraints are "sketchy." In a total of eight cases in phase I, the accuracy of or lack of information or knowledge seemed to dominate in participant responses. Negative unexpected reactions from external communities were noted exclusively in all three buildings and facilities cases. What is perhaps most interesting is the identification of constraints across all cases. Overall, time was the most mentioned constraint in all cases. Other constraints, expected and unexpected, occurring across cases were resistance to change from the internal community, the board, and the resistance of senior administrators.

Values

The main purpose of chapter 7 is a description of findings in both phases of data. So far, findings for categories of decision process across two phases have been explored. These analyses revealed the existence of type-specific patterns. The task which remains is to examine value choices made by respondents across both phases for the possibility of patterns which are highly consistent within particular case types.

Occurrences of Values

The second research question posed for this study relates to the possibility of patterns of decision process and values in types of decisions. The analysis provided in this section addresses the second part of that question which is stated as follows:

What value patterns are evident within the different types of decisions?

Values identification for phase I data consisted of coding and classifying values in 23 cases. In all, 29 values were identified in phase I. In phase II, two representative cases were chosen for review by four respondents. Interviews with all four respondents were again coded for value choices. Seventeen values were identified in all, and with the exception of one value--academic freedom--all values found in phase II had already been identified in phase I.

The method of description and display used here will follow consistently from what was presented in chapters 5 and 6. Two levels of analysis will be presented. First, general frequencies of occurring values across all cases will be examined and compared in both phases. Second, and more importantly, recurring values within the two major case types will be examined across both phases of data. Finally, some mention will be made of how value choices in phase II cases compare with value choices made by original authors in phase I.

Table 7.1 shows findings for general frequencies of values in both phases, rank-ordered from highest to lowest occurrence in cases. Table 7.1 represents combined data from chapters 5 and 6. The 10 values most frequently identified in phase I are displayed. For phase II, the list shown represents the nine highest occurring values. In phase I, fairness ranks highest, while in phase II, trust ranks highest with fairness second highest. In phase I, 4 values--faculty interests, empowerment, collegiality and ownership--occur within the top 10 which do not occur in the 9 values displayed in phase II. However, four out of the five highest occurring values in phase II are also shown in phase I. In all, six out of the nine occurring values in phase II are among those listed in phase I. Of the three remaining values, trust also occurred in three cases in phase I but is not shown in Table 7.1

Table 7.2 shows findings for recurring values by case type in phase I and by case interview in phase II. As can be noted from these findings, shared decision making ranked highest for organizational redevelopment cases in phase I while trust ranked highest in phase II, with shared decision making second highest. Trust was not identified at all as a value in organizational redevelopment cases in phase I. Of the three recurring values in the organizational redevelopment phase II interviews, two values--shared decision making and shared vision--occurred exclusively in these interviews and also recurred in phase I organizational redevelopment cases. In personnel case interviews in phase II, fairness ranked highest in recurrence, and this was found to be consistent with phase I personnel cases. In personnel case interviews in phase II, the top three recurring values also recurred in personnel cases in phase I, and two out of those three were identified exclusively in phase II personnel interviews. The remaining three--quality of education, respect for persons, and trust--occurred but did not recur significantly in phase I within the personnel type.

Finally, comparison of value responses in phase II interviews with value choices by original authors of the two cases in phase I seems to show the least extent of consistency. In phase I, of the total of five values identified in transcripts of interviews with the original

Table 7.1

Occurrences of Values in Phase I and Phase II Rank-Ordered form

Highest to Lowest Occurrence in Cases

Phase I (No. of cases = 23)		Phase II (No. of case interviews = 8)	
Values	Total Cases	Values	Total Case Interviews
Fairness	9	Trust	6
Shared Dec'n Making	9	Fairness	4
Institutional.Interests	8	Student Interests	4
Student Interests	6	Shared Dec'n Making	3
Faculty Interests	6	Shared Vision	2
Shared Vision	4	Institutional.Interests	2
Collegiality	3	Qual of Education	2
Ownership	3	Respect for Persons	2
Qual. of Education	3	Consensus	1
Empowerment	1		

Table 7.2

Recurring Values by Type in Phase I and Phase II

Phase I		Phase II	
Org Re-D Cases (n=6)		Org Re-D Interviews (n=4)	
Values	No. of Cases	Values	No. of Case Interviews
Shared Dec'n Making	4	Trust	4
Student Interests	3	Shared Dec'n Making	3
Ownership	2	Shared Vision	2
Qual. of Education	2		
Shared Vision	2		

Pers Cases (n=10)		Pers Interviews (n=4)	
Values	No. of Cases	Values	No. of Case Interviews
Fairness	7	Fairness	4
Institutional Interests	5	Student Interests	3
Faculty Interests	3	Institutional Interests	2
Shared Dec'n Making	2	Qual. of Education	2
Student Interests	2	Respect for Persons	2
		Trust	2

author of the organizational redevelopment case, only two values--shared vision and student interests--were identified in phase II interviews. In transcripts of interviews with the original author of the personnel case, four values were identified. Of those four, two values were found in phase II personnel interviews. The two values in common were fairness, the highest recurring value for personnel cases in both phases, and trust, which recurred in two out of four personnel case interviews in phase II.

Summary

Four main points can be discerned from the data previously presented on values. First, probably the most interesting finding overall is the degree of consistency in value choice among respondents in the phase II simulation. This finding also provides a fairly clear answer to the third research question posed earlier in chapter 1. This question asks:

> *Do respondents make the same or similar value choices when confronted with the same or similar problems?*

The answer to this question, at least for phase II data, seems to be, "In many cases, yes." Examination of interviews on each of the two representative cases shows certain values identified by all four respondents. In interviews on the personnel case, fairness was exclusive to these case interviews. Other values identified showed recurrence in three or two case interviews, and in some cases these values were also exclusive. Thus, in many interviews in phase II, respondents independently identified the same values when analysing the same problems. Furthermore, some recurrences identified for case interviews in phase II are consistent with findings within the same type in phase I. In organizational redevelopment cases in phase I, values such as shared decision making and shared vision also recurred in phase II organizational redevelopment interviews, and in personnel cases, fairness was most recurring overall in both phases. Given these findings, there seems to be a fair extent of consistency not only in phase II but also for value choices across phases within the two case types. Thus, in many instances, respondents did make similar value choices when confronted with similar problems.

Third, at least some degree of similarity appears to exist in the general frequency of occurrence of values across all cases in both phases, although findings become more ambiguous as the level of generality increases. On the whole, some values such as fairness, shared decision making, institutional interests, students interests, and so on, which showed high occurrences in phase I were also found to be highly occurring across case interviews in phase II. Finally, it appears as though the least amount of similarity exists between value choices of original authors of cases and respondents in phase II. Only a small number of values were found to be common in case interviews between phases. This suggests a number of possibilities. These findings may have been, in part, influenced by the age of cases used in phase II. One case occurred some two decades ago, while the other, although considerably more recent, was more then five years old. It may be that general perceptions of the nature of effective solutions in these types of cases have, in fact, changed over time. It may also be possible that a difference in context is significant. That is, in phase I, authors recounted "real life" cases while in phase II, respondents reacted in a simulation-like context. Differences in responses by original authors and phase II respondents are marked, not only for value choices but in decision process as well. It may be that the opportunity for respondents in phase II to "stand back" and take a more theoretical view of problems in cases allowed for more objectivity of analysis and thus greater similarity in the nature of value choices. Given the two different phases of data, it is unclear as to the extent of influence of these two factors on the choice of values by respondents.

CHAPTER 8

SUMMARY AND IMPLICATIONS

This final chapter provides a summary and overview of the purpose, methods, findings and implications of the study. The first main section addresses the purpose and practical significance of the study, the methods of data collection and analysis used, and discusses briefly the significance of the main findings, including responses to each of the research questions which guided the study. The second major section outlines implications of these findings for administrative theory, for future research in this area, and for practice.

Summary

Purpose

It was accepted as a basic assumption in this study that administration is, in essence, largely based in decision making. Further, there is now acknowledgment in administrative circles that in many important ways, administration is a value based activity and that there is a definite need for a more thorough and sensitive understanding of the role of values in administrative decisions. The general purpose of this study has been to examine the decision making and values of CEOs in public colleges.

The existence of studies in educational administration which examine decisions and values, although not highly prevalent, are now becoming more common. It would be accurate to suggest that these studies, mostly conducted in the K-12 sector on the decisions and values of principals and superintendents, now form a distinct knowledge base upon which further systematic inquiry can proceed (see, for example, Ashbaugh & Kasten, 1984; Begley & Leithwood, 1990; Campbell, 1992; Campbell-Evans, 1991; Leithwood & Stager, 1989; Moorhead & Nediger, 1991; Raun, 1992; and Walker, 1991). However, such inquiry is virtually absent beyond this particular sector of education. One intent in this study was to adopt a methodological approach, now fairly common in studies of principals and superintendents' values, for another educational sector, in this case, public colleges. The underlying purpose was to bring the problem of decision making and values to a sector of education in which little research of this kind now exists. Second, the design adopted here was focused on relations between the type of decision made, the process of decision making, and the values which underpin those decisions. This constitutes a conceptual approach which helps to place the study of values more distinctly within some form of educational decision making context. Findings emerging from this conceptual framework approach would, it was hoped, stimulate further relevant and focused research in this area and ultimately contribute to administrative practice. Furthermore, the research questions developed for this study, and the design which was developed to address these questions, does not presume a subjectivist epistemology as a foundation for explaining administrative behavior. On the contrary, it is assumed that some consensus can be reached on what constitutes an educational context and that attempts to describe and explain educational contexts are justifiable. In part, this educational context is reflected in the use of the decision typology as the initial focus of the conceptual framework. Unfortunately, most studies in this area so far fail to relate values in any meaningful way to specific educational contexts. Thus, one basic premise upon which this study was based is that the decision processes used and the value judgments which underpin those decisions are associated in various ways with particular decision types.

Significance of the Study

Inquiry into the nature of decision making and the identification of underlying values is a form of inquiry central to understanding administrative behavior in any context. This becomes particularly true for educational administration, since education itself is a "value-saturated" enterprise. The intent here has been to begin to explore the foundations of administrative decisions in hopes that such study will ultimately shed light on administrative action and the effects which ensue from administrative action. The need for such studies may be urgent, given the state of contemporary education in all sectors and the economic conditions which impinge upon and constrain progress. In the words of one study respondent on this issue: "when you're in times of turbulence, you have to know what you believe in . . . ."

One practical aim for this study was to explore the possibility of a decision classification system for the particular sector of postsecondary education in which the study was conducted, and perhaps for postsecondary education in general. Given such a possibility, practicing administrators may gain much greater knowledge of the types of problems which they face in their professional environment. An initial attempt has been made here in "opening the door" to further inquiry on types of decisions in postsecondary education and on how other factors relate to types of decisions made. A second practical purpose was to explore the process of decision making adhered to by respondents. A rational decision model was used in this study as a basis for analysis of decisions. Given the context of specific types of critical decisions, additional answers may be provided to what we claim to mean by "rational" decision procedures, and to whether or not such models can be effectively applied in the understanding of administrative behavior. A final important purpose of the study was to illuminate value choices in relation to decision type and process. This aspect exposes the ethical foundations of administrative decisions. Additional insight may be provided on how values relate to other aspects of the context within which they are inevitably immersed. In all, any contribution to the clarification of the basis of judgments in educational administration will have significance for future research and practice in this area, and ultimately for the preparation of educational leaders.

Statement of Research Questions

Five research questions guided the progress of this study. Three of these questions were addressed in detail throughout the preceding chapters. In the "Discussion" section which follows, a summary of research findings based on these questions will be provided along with responses to the final two questions. The research questions for this study were stated as follows:

1.0 What types of critical decisions are administrators faced with? Can a typology of decision incidents be adapted for post-secondary education?

2.0 Are there patterns in decision process and in values that relate to types of decisions?

2.1 What patterns in decision process are evident within different decision types?

2.2 What value patterns are evident within different decision types?

3.0 Do respondents make the same or similar value choices when confronted with the same or similar problems?

4.0 Given the research setting and respondent group for the study, what constitutes the basic nature of the decision making process?

5.0 What relations exist among decision types, process and values?

Methodology

A qualitative, two phase design was adopted for this study with emphasis on multiple case study analysis and comparison. The respondent group consisted of CEOs in 10 public colleges in the province of Alberta. Two rounds of interviews were conducted with respondents which resulted in two phases of data collection and analysis. In phase I, all respondents were asked to recall critical decision incidents which were then analyzed and classified by the researcher. Analysis of phase I interviews focused first on the decision processes involved in resolving the cases, and second, upon values implicit in decision making. In phase II, a simulation approach was used. A sub-sample of the original respondent group was asked to react to two cases selected from those received in phase I. Again, interviews in this phase were analyzed to identify the underlying decision process and values. The design allows for analyses and comparisons both within and between phases.

Data Collection and Analysis

The data collected and analyzed in this study were subjected to a number of different forms of analysis. Specific data on characteristics of respondents, their institutions, and most importantly, characteristics of the cases themselves, or case attribute data, were collected prior to each phase I interview. The purpose of these data were to enhance the overall picture of the respondents' professional background and decision context, and particularly the types of cases obtained for the study. These data were not the central focus, but nonetheless provided interesting additional insight into what is meant by "critical," and into the nature of such variables as participation.

Analysis of decision process and values in phase I consisted of three passes on data. The first pass established categories and sub-categories. The second pass allowed for refining of analysis and organization of data using data summary sheets. Two different levels of data summary sheets were used allowing for detailed analysis of both frequency of occurrence of responses and content of responses. The third pass involved an additional reading of transcripts in conjunction with review of tape recorded interviews. This process allowed for additional "fine-tuning" and checks against missed nuances, inflections, or errors. In addition, case summaries were written on each case, highlighting only the most salient features. The case summaries were used to enrich description and corroborate previous findings.

Identification of values in phase I followed a similar process to identification of other categories. Other than some coded responses being subsumed under others, and the identification of synonymous codings, values were subjected to no further interpretation. Data summary sheets were again used to organize occurrences of values by individual cases. In all, a final list of 29 values was settled on for phase I.

Finally, profiles of case types were created based on cumulative analyses for phase I. Profiles consisted of a summary of findings on type-specific patterns in decision process and in values, by case type.

A sub-sample of the original group of respondents was chosen to participate in phase II. Four respondents were asked to react to a set of two cases chosen from the original group of cases obtained in phase I. In this way, respondents would react to "authentic" decision situations drawn from environments similar to their own.

In analysis of phase II interview data, consistency with methods established in phase I was regarded as important. Thus, two passes on these data were included. The first pass allowed for initial coding based on the scheme developed in phase I, and for transfer of findings to data summary sheets. A second pass included refinement of the coding process along with a review of tape recorded interviews. The coding for phase I was found to be generally applicable. Only two new sub-categories were identified. Again, case summaries, including salient points, were prepared based on each case interview.

Values identified in phase I were used as a "backdrop" for identification of values in phase II. Overall, similar procedures were adhered to. In all, 17 values were coded in phase II, and only one additional value -- academic freedom -- was identified which did not occur in phase I. Data summary sheets were again used to organize data on values. Similar to phase I, profiles on each case were created which discussed and summarized decision process and value findings in each of the two cases.

Finally, the findings from analyses of data in both phases were compared. Two sets of findings were examined: (a) findings for decision processes in both phases, and (b) findings for values in both phases. In addition, three possibilities for type-specific patterns were considered: (a) patterns identified only in phase I, (b) patterns identified only in phase II, and (c) patterns common to both phases. Profiles of case types were used to enhance the exploration of type-specific patterns across both phases of data. Finally, interpretation of phase I data was subjected to reliability and validity checks. The coding process from three different phase I interviews was examined by four peers. Four respondents also examined excerpts from their own interviews. Peer audits and comments consisted of general methodological and philosophical refinements that could be made, while in all cases, the coding process was verified by respondents. Further, the initial coding of values in phase I was compared to two well established value schemes and reviewed by three peers for accuracy and consistency.

It was intended that the analysis of data in two phases would reinforce the internal validity of the study as a whole. Analysis of decision process and values in phase I and checks for methodological rigor on interpretation, were used as a foundation for analysis in phase II. As was argued in more detail in chapter 3 and again in chapter 7, depending on interpretation of findings in phase II, such findings could be used to reinforce validity of findings on type-specific patterns in phase I. The overall aim was not only to examine similarities and differences in patterns in each phase, but also patterns common in both phases. A pattern, within a particular type of case, found to be common in both phases, served to establish the greatest degree of assurance on the type-specificity of that pattern.

<u>Discussion of Findings</u>

In this section of the chapter, findings will be discussed within the general framework of each of the five research questions which guided inquiry.

Research question 1 pertains to the types of decision incidents obtained from respondents and to the adaptation and applicability of the typology to the postsecondary sector. The typology used in this study as the first dimension of the conceptual framework was adapted from Kimbrough and Nunnery (1988) and research conducted by Ashbaugh and Kasten (1984). The main purpose of the typology was to provide a contextual classification scheme for better understanding decision process and value judgments. As was argued earlier, the use of pre-existing models for classifying values was believed to be unwarranted and even counter-productive. The approach used in this study was to allow values to be classified relative to the types of decisions in which they were immersed and from which they originated. Beyond this, the typology itself was not the main focus of the study.

The cases received from respondents fell into seven of the eight categories in the Kimbrough and Nunnery (1988) typology. No student personnel cases were received from respondents. It was concluded that the typology was in fact applicable for cases obtained in this study, but that some qualifications were necessary. Names of some original categories were changed, and some categories were further subdivided, for example, organizational redevelopment cases could be distinguished as structural or planning, and personnel cases as staff and administrative. Similar to results obtained by Ashbaugh and Kasten (1984), most cases received were personnel, followed by organizational redevelopment and buildings and facilities cases. In three categories, only one case in each category was received. Finally, given the relatively small number of cases examined, it appears that more research is needed to determine the applicability of this typological model in postsecondary education.

The second research question relates the type of decision identified to patterns in decision process and in value choices, and is divided into two parts. The first part of research question 2 pertains to relations between decision type and patterns in decision process. By "patterns in decision process" is meant simply the consistent or dominant recurrence of categories or sub-categories within a particular type of case. It was found in phase I that a number of patterns appeared to be consistent or dominant in certain types of cases. An example would be the tendency for personnel cases to be short-term goal oriented, and to focus on compromise and neutralization of issues as two main goals. It was also found that potential type-specific patterns existed in phase II, and in some cases, these patterns were found only in one type of case interview. Most important of all, however, is the recurrence of patterns across phases. Given the limitation of using only two cases in phase II, seven type-specific patterns were discerned in two case types. Personnel cases revealed the problem of legitimacy or accuracy of evidence in evaluations and adherence to due process; consultation as a dominant strategy; compromise and neutralization as recurring, short-term goals; and concern over the impact upon and reaction of the staff member to the decision made. Organizational redevelopment cases revealed a persistent lack of shared vision as a major dilemma; a problem of support and resistance from senior administration in a number of categories; and all respondents opting for large-scale change initiatives. In addition, three buildings and facilities cases clearly revealed three factors to be important in the success of each case: a) existence of a previous document defining a need for some form of capital expansion, b) key individuals to facilitate liaison with external stakeholders at crucial times in the initiative, and c) the important factor of serving mutual interests of both the college and key external stakeholders involved with financing the initiative. Since no buildings and facilities cases were used in phase II, these findings are limited to phase I analysis.

The second part of question 2 addressed relations between type of case and value choices. A number of points are worth noting here. First, values in this study were discerned as "part and parcel" of the decision process itself, although they are concepts which are seen as most fundamental to the decision process. In essence, values were answers to the question of "why" decisions were made. The coding of values in this study differed little from processes of coding for other categories, although no further interpretation of the content of values occurred. Thus, the study of values in this project was descriptive rather than prescriptive.

Coding of values in both phases revealed some similarities and some differences. Highest overall frequencies of occurrence of values across case types in phase I included fairness, shared decision making, institutional interests, student interests, and faculty interests. In phase II, the five most frequently occurring values were trust, fairness, student interests, shared decision making and shared vision. When recurrences were compared by type, personnel cases in both phases clearly revealed fairness as dominant. The three highest recurring values in phase II were among the top five in phase I. In organizational redevelopment cases in phase I, shared decision making recurred most frequently. In the phase II organizational redevelopment case, trust recurred most often, with shared decision making second. In addition, in phase I, buildings and facilities cases showed few values, and two finance cases showed a surprisingly wide array of values including trust, shared decision making, shared vision, fairness, and honesty.

Research question 3 asks a more specific question regarding whether the same or similar value choices are made, given the same or similar problems. It appears as though respondents independently made some of the same value judgments when reviewing the same set of problems. In phase II, it was found that a number of values recurred exclusively in interviews on one case. For example, fairness recurred exclusively within the personnel case interviews, along with institutional interests, quality of education, and respect for persons. Shared decision making and shared vision also recurred exclusively within the organizational redevelopment case interviews. It is reasonably clear that respondents made some of the same value choices when confronted with the same problems. Further, given what was stated earlier concerning the consistency of some values in case types across phases, it appears that respondents often make consistent choices when confronted with similar problems.

Research question 4, regarding the nature of the decision making process has not, as of yet, been directly addressed in this study. This question states:

Given the research setting and the respondent group for the study, what constitutes the basic nature of the decision making process?

Part of the conceptual framework included the adaptation of a rational decision model. A diagrammatic representation is given in Figure 2.2. The general approach to investigating decision making, including the development of interview guides was, to some extent, dependent upon this model. A number of findings from this study can be compared to other relevant research on decision making. For example, in a study on organizational decision making processes, Nutt (1984) found a relatively high degree of the use of either the ideas of others and past experience and background, or already existing models and already tried methods, as solutions to problems. This was found in 71% of decision cases in Nutt's study. Findings in this study do not reflect similar conclusions. In many cases in which history, background experience, or existing documents, models, or structures were available, they were not used. Instead, respondents tended to opt for rather large scale and somewhat risky change initiatives. This inconsistency in findings may be due in part to a lack of distinction in defining a problem as opposed to defining a solution. In this study, although history and existing structures played a role in definition, this did not seem to be the case in solutions.

Simon's (1976) normative view of decision making emphasizes analysis and consideration of all possible alternatives, and consequences of those alternatives. He suggests, in response to the inherent difficulties of decision making that "A theory of decision in terms of alternative behavior possibilities and their consequences meets all these objections" (p. 66). He goes on to state, "The task of rational decision is to select that one of the strategies which is followed by the preferred set of consequences" (p. 67). And finally, "The problem of choice is one of describing consequences, evaluating them, and connecting them with behavior alternatives" (p.77). Clearly, Simon proposed a means-ends oriented rationalistic decision model which focused on alternatives and the respective ends or consequences following from such alternatives. Again, findings in this study do not appear consistent with this traditional rational view. Although alternatives and outcomes were coded in respondent interviews, neither seemed to play a dominant role in decision process. Frequencies of alternative codings were rather low compared to some other categories, and wide ranges of considered alternatives were lacking. In some cases, alternatives were not considered at all. Aside from such patterns as the support or resistance of senior administration to change, expected and unexpected outcomes and constraints showed much less evidence of systematic pattern than was originally expected. Decision makers seemed to be, in part, consequentialists, but in no apparent systemic way. Instead, perception of others, strategies, goals, and values seemed to dominate. This is somewhat consistent with another of Nutt's (1984) important findings, that is, CEOs in his study were not seen to conform at all to normative decision making models found in the literature. Likewise, it cannot be inferred from findings that respondents in this study follow normative decision models in any consistent way, if, that is, we accept Simon's view as a paradigm example of normative decision making. This is also roughly consistent with Walker's (1991) research findings. He concluded that for educational leaders in his study, one dominant ethical mode of decision was rule or principle based and deontological in orientation, and that utilitarian ethics played a much less significant role.

Aside from such findings, results of analysis of decision process in this study are somewhat disappointing. To the extent that this was an attempted analysis of the cognitive activity of respondents, the exact nature of decision process continues to elude us. What has been described in previous chapters in terms of categories of decision process are, at best, *some of the components* of the decision making of respondents in this study. Although the decision process seemed to unfold over some time frame, identification of categories and sub-categories in data was by no means strictly sequential. Findings in this study lend support to the notion that the essential nature of decision making cannot be captured in a linear model, therefore, the reader is cautioned against accepting this representation as strictly logical-sequential, and anything more than an approximation of the decision making of CEOs in this study.

The final research question raises the issue of relations among decision type, process, and values. This research question asks:

What relations exist among decision types, process, and values?

It might be assumed that since decision type has already been related to process and to values, something relevant can now be said in regard to relations between process and values. The problem here, however, is that values are considered in this study as being part of decision process itself, although admittedly, a fundamental part. As a response to this research question, one possible approach may be through confirmation or "reasonable consistency" in findings between process and values. In other words, do patterns in decision process appear consistent with value patterns? Three examples from data analysis will suffice to make the point.

In personnel cases, it was found that main type-specific patterns included concern over ambiguity and legitimacy of evidence from evaluations and evidence of due process; the goals of compromise and neutralization including payouts and quiet removal; high occurrences of consultation; and respondent concern over the reaction of and effect upon the impacted individual. Dominant value recurrences included values such as fairness, institutional interests, student interests, quality of education and respect for persons. Further, type-specific patterns in organizational redevelopment cases included a lack of institutional mission or vision; concern over support or resistance of senior administrators; and a choice of large scale change initiatives as characteristic of such cases. Dominant value recurrences included shared decision making, trust, shared vision, and ownership. Again, analysis of decision process for buildings and facilities cases revealed fairly clearly defined problems or needs and relatively simple concrete ethical dilemmas. In turn, such cases also revealed relatively few values overall, and even fewer recurring values.

In order to address the final research question, what needs to be established is whether or not findings in decision process are reasonably consistent with dominant value recurrences. It is suggested here that within a given decision type, the high recurrence of specific values seems reasonably consistent with patterns discovered in decision process within that same type of case. Furthermore, since values are taken in this study to be an essential part of decision process itself, then the explication of relations between decision type and process, and decision type and values, essentially constitutes an explanation of relations among all three components of the conceptual framework.

Implications

This final section of the chapter is dedicated to discussing some of the implications of findings in this study for future theory development, research initiatives, and administrative practice. Because the research is primarily descriptive in nature, one hesitates in promoting particular points of view as remedies, or as being generalizable to all situations, particularly for administrative practice. However, since the study was conducted with one homogeneous respondent group in one sector of education, certain findings seem to point out directions for improvement in decision making strategies and in organizational operations. Thus, a number of brief suggestions will be offered for administrative practice which pertain primarily to the college sector in which the study was conducted.

Implications for Theory

Four distinct points can be made concerning the implications of findings for administrative theory. The first concerns the level of participation of others in decisions made. Research on levels of participatory decision making in organizations is by no means new. Research of some three decades ago on decision making reflected very clearly an interest in levels of participation in relation to other personal and organizational variables. As well, much study of leadership styles implicitly reflected concern over levels of participation used (See Heller, 1973; Heller and Yukl, 1969; and Vroom and Yetton, 1973 for typical examples).

The concept of participatory governance or shared decision making is now centrally accepted thinking in contemporary educational administration. It would be accurate to suggest that this notion permeates many aspects of theory from policy and planning, through leadership, motivation and decision making, to supervision and evaluation. (See literature reviews, particularly on leadership and decision making, in Giles & Proudfoot, 1990; Hoy & Miskel, 1987; Johns, 1988; and Owens, 1991, for typical statements on participation). Contemporary administrative theory in education advocates a move away from bureaucratic models towards systems of shared governance where all who are affected participate in decisions. What is equally clear however, is that participation is not a static concept. Johns (1988) states, "Participation is not a fixed or absolute property, but a relative concept. . . . We see that leaders can vary in the extent to which they involve subordinates in decision making" (p. 324). It is also clear that a number of different variables affect participation, including, for example, factors such as complexity and ambiguity, or simply, whether problems are structured or unstructured. Here, views on this relation are mixed. Johns suggests that "there is a tendency for more ill-structured problems to be encountered as one moves up the hierarchy of the organization" (p. 398). Owens (1991), however, implies that more complex and ambiguous problems are best handled by groups of knowledgeable participants, while clearly defined or routine problems can be dealt with by expert individuals (p. 279).

Analysis of data in this study regarding level of involvement of others in decisions seems to indicate that participation also varies with type of decision made, based on the manner in which type is defined here. Organizational redevelopment cases consistently scored higher than the overall mean on level of involvement. Personnel cases were clearly regarded as the most ethically complex and troublesome, and yet showed lower levels of participation than other types.

In all, these findings are inconclusive and require further research. Lack of findings for these data does not, however, detract from the importance of the question in administrative theory of whether the concept of shared governance, often discussed in generalized and abstracted terms, is not better understood in relation to type of decision being made. Such an approach, with an emphasis on decision type, may help to contextualize the concept of participation. A question should also be raised concerning definitions for such properties as complexity and ambiguity. Many stud do not distinguish the ethical dimension when considering factors associated with complexity. Taking "ethical complexity" into consideration may reveal an additional dimension of decision making which can be related to participation levels, and may encourage new approaches to the question of participation and values in administrative decision making.

Similarly, the coding of data for decision process in this study raises questions as to the nature of consultation as a strategy used by administrators in defining solutions to problems, and raises concern over assumed practical wisdom pertaining to how administrators gather information and communicate with others. Consulting with others was indeed a dominant strategy, but only in personnel cases. This raises the issue of whether or not our common assumptions concerning administrative behavior are not better understood within the contextual frame of decision type. This is corroborated by quite low frequencies of occurrence of consultation and informal information gathering in organizational redevelopment and buildings and facilities cases.

Third, it was stated in an earlier section that the philosophical foundation which guides the course of this study is non-subjectivist in nature. Both epistemological and ethical subjectivism have "loomed large" in recent years in administrative theory and research. This philosophical stance has had a rather direct impact on interpretations of administrative behavior and organizational functioning. Such views are evident in much contemporary administrative theory and have influenced the conduct of research. (See Hodgkinson, 1978, 1973, and research projects premised on Hodgkinson's theory, such as Ashbaugh & Kasten, 1984; Begley & Leithwood, 1990; and Campbell-Evans, 1991).

In contrast to this, some recent studies have tended to move away from subjectivist views in educational administration. Walker (1991) reports respondents' ethical judgments as being primarily rule or principle governed and deontological in orientation. Campbell (1992) openly denounces subjectivism as an inadequate philosophical base for administrative understanding, and expresses a bias towards objective, absolutist views on right and wrong. To some extent, the present study appears to further dispel notions of subjectivism in administration and casts doubt on such doctrine as a solid philosophical base for understanding either decision making or value judgments. There are, of course, a number of possible explanations for the significant degree of similarity in judgments among respondents. As presidents of community colleges in Alberta, participants in this study comprised a fairly close-knit professional body. All respondents had opportunities to communicate with one another regarding the nature of the research while it was being conducted. Further, a number of presidents held similar educational credentials, and many had worked in the Alberta college sector for some years.

There is, however, an equally plausible explanation. Respondents were seen to independently identify the same problems, refer to the same strategies, and arrive at the same solutions, given the same problem contexts. Furthermore, analysis across phases suggests specific patterns in cases of the same type. In short, the occurrence of type-specific patterns in decision process may point to "commonalties" in human interpretation of organizational phenomena, and in the actions and possibly even reactions which ensue from these interpretations. Most important of all, common recurrences of values may attest to some commonalty in judgment at an even more basic level of decision making.

Finally, the question arises as to the relevance of research on decisions and values for the future of administrative preparation programs. Numerous writers have pointed to deficiencies in administrative training programs, particularly in the area of ethics and values. Writers such as Hodgkinson (1978, 1973), and others have emphasized the importance of the value dimension in administration. Miklos (cited in Kasten & Ashbaugh, 1991) has pointed to deficiencies in administrative preparation programs, and Walker (1991) has advocated more exposure to ethical doctrine, and urges educational leaders to strive for consensus on values.

Implications of the present study are only partly relevant for administrative preparation and what will be suggested now should be considered somewhat distinct from obvious conclusions drawn from empirical findings. Put simply, if we have discovered "the truth" about ethics, the orientation of many or even most educational leaders, or indeed, as in this study, if we have identified which particular values underpin different types of decisions, then why not simply teach these values to others who will, similarly, be faced with complex ethical dilemmas? Indeed, Campbell (1992) clearly indicates her bias for an objective, absolutist ethics, based on a unity of the virtues of justice, courage and truth. If we know "what values go where", and what the "best" values are, we need simply to instill those values in others, or better yet, no teaching is required at all. If "we" know what is right, we will lead and others will follow. The problem, of course, aside from the obvious ethical naivety, is that such approaches to administrative preparation may themselves present complex moral dilemmas. There is, it seems to me, something quite inadequate and even undesirable about inculcating moral rules or formulas as an ethical base for administrative judgment. Ideally, we somehow imagine a level of moral understanding considerably elevated from the gross level of the "moral cipher." We require, in addition, that administrators be willing and able to provide sound reasons for adherence to one moral principle rather than another. What then, can be done in administrative preparation programs?

The most recent research on decisions and values (Campbell, 1992; Walker, 1991), including findings in the present study, seems to suggest that educational leaders are more non-consequentialist than consequentialist in their approaches to ethical decisions. The debate over administrative preparation, however, stems from assumptions and conclusions drawn by researchers based on such empirical findings, and indeed, perhaps even from the assumption that the only viable alternatives to subjectivist ethics are either positivism or an absolutist or objectivist position as is advocated by Campbell. From an examination of what one particular respondent group tends to do, it does not follow that this "ought" to be done in all circumstances. Put another way, it is of course helpful in administrative preparation to know what tends to occur, but such findings can only play a small part in the much needed ethical knowledge base of administrators.

In addition, what seems to be forgotten is that rational justification can and needs to be provided for any serious attempt at solving complex moral dilemmas. This requires that sound reasons be given for any ethical doctrine which we wish to take seriously as a foundation for moral decisions. It seems, therefore, that the onus is upon moral leaders to fulfill two obligations in the exercising of moral judgment in organizations. First, administrators need to be able to provide reasoned argument, to themselves and to others, for moral positions. And second, administrators need to become adept at engaging others in reasoned argument in order to encourage a process of consensus and ownership for those moral judgments which impact on the lives of others in institutions. At present, it seems that these obligations are only beginning to be fulfilled. This is perhaps what Strike, Haller and Soltis (1988) mean when they suggest that "It is possible to make ethical decisions based on good reasons that others can accept even if such decisions go against their preferences" (p. 3). But consensus and ownership by others requires not simply blind acceptance of values, but rather an understanding of why one ethical choice was made rather than another. This analysis of reasons is part and parcel of moral discourse. By moral discourse is meant here the systematic analysis and critique of reasoned claims for one moral position over another. Thus, administrative preparation programs must begin to include content which will induce serious moral discussion and analysis. In addition to exposing students of administration to what tends to occur in practice, that is, research findings, and to provide exercise in applied moral reasoning through such methods as case studies, preparation programs will need to include initiation into the dominant ethical doctrines and the philosophical practices which are used to justify such doctrines. This will require a fairly radical shift in the orientation of administrative training programs, one which will include a distinctive philosophical component.

Implications for Research

There are of course a number of implications for further research which could be pointed out. Four major areas will be touched on here which, hopefully, will spark interest for those engaging in future research on decisions and values.

First, most findings in this study need further exploration and comparison within the larger contextual framework of different types or kinds of decisions, or indeed, within other contextual frameworks. For example, participation is an important concept now central in administrative theory. Findings in this study on extent of participation in relation to type of decision made needs further investigation, corroboration, and the application of designs specifically focused on this problem. A total of 10 decision making strategies were identified in this study. Strategies such as consultation were found to be related primarily to one decision type. The tendency of educational leaders to informally consult with others in order to solve problems and the impact of this consultation could be further investigated in relation to other decision variables, leadership styles, and importantly, value choices. Finally, in the previous section on discussion of findings, it was noted that decision making remains essentially an elusive cognitive process. New thinking needs to be encouraged on decision making processes. New and creative approaches need to be devised to more clearly expose the nature of decisions in educational administration. I have suggested here a beginning by forging closer ties between decision process and values, and by viewing values as a fundamental aspect of rational decision process, and not as obscure entities distinct from this process.

Second, the distinction between phase I interviews, based on actual experiences of respondents, and the simulation-like nature of phase II raises the issue of the difference between such approaches and a possible renewed interest and use of simulations as a vehicle for examining values in controlled contexts. A number of patterns in decision process and in values found in phase II were not only type-specific, but also exclusive to one case. Certain patterns were identified independently by four respondents which were not identified by original authors of cases used in phase II. Further, value occurrences discovered in phase II were not dissimilar from findings in phase I. This points to the possibility that simulations allow for a certain objectivity not easily found when one is immersed in the ethical complexities of everyday life. Simulations could, therefore, be further explored as a research tool, particularly in relation to research on values.

Third, there was, in this study, every indication that participants provided honest, forthright, and revealing responses in answer to the questions posed. Further, data in two phases of the design corroborate, to some extent, the authenticity of findings. Regardless, this study was not designed to address the issue of espoused theory and theory in use. There is, in effect, a clear dichotomy between what respondents say they do and how other stakeholders in the organization perceive their actions. Thus, an additional important thrust in research on decisions and values is the study of stakeholders at different levels in educational organizations. Campbell's (1992) research points the way in this regard through her examination of ethical conflicts as seen by teachers and principals. The study of the decision making and ethics of those who assume different roles in educational institutions, how ethical problems are perceived, managed, and resolved, and how professional roles influence these factors shows promise as a future area of inquiry. (Also, see Raun, 1992, on professional role as a factor in value choice.)

Further, the same focus on multiple stakeholders in organizations could shed light on the consequences of ethical choice. Findings for expected and unexpected outcomes in this study were, at best, sketchy. These dimensions of decision making require further research. How CEOs perceive the outcomes of their decisions and the potential reactions of various stakeholders, and how others in the organization see consequences of those same decisions, may prove to be another fruitful area of inquiry. Finally, this study was not concerned with implementation, however, studies examining the views of various stakeholders on outcomes of decisions, and particularly the study of value conflicts, may provide worthwhile insight into the nature of and solutions for implementation problems in educational organizations.

Implications for Practice

This study was intended to be primarily descriptive rather than prescriptive. It is therefore not the intention to provide formulas or recommendations for change. However, given some of the findings on the type-specificity of decision process and values, it is possible to consider a number of suggestions for improvement, meant primarily to provoke thought and discussion. These suggestions can be made best in relation to types of decision cases.

Personnel cases in this study seemed to present CEOs with the greatest degree of ethical complexity and thus seemed to be the most troublesome cases. Some explanation and one or two suggestions can be made on the basis of findings. First, the strategy of consultation was seen to dominate in personnel cases but closer examination revealed, at least for all dismissal cases, that consultation occurred "after the fact" of the formal recommendation. Not surprisingly, college presidents hold a somewhat isolated role. Formal recommendations for termination or other action regarding a staff member seemed, in virtually all such cases, to come out of nowhere, that is, recommendations seemed to land on a president's desk without much warning. Respondents then engaged in information gathering and consulted with others in order to understand the problem and to find solutions. A simple strategy for alleviating the pressures of such cases would therefore be to establish or otherwise encourage communication before formal recommendations rather than after. In this way, processes for understanding the nature of the problem and defining solutions could begin "before the fact" of recommendations, thus avoiding some of the internal conflict and the threat of litigation which often ensues in such cases.

The second point that can be made relates to a larger view of personnel. Generally, personnel cases tended to be oriented to the achievement of short term goals. It is possible, therefore, to postulate a more strategic view of personnel functions in organizations. This could entail any number of possible options. For example, a type-specific pattern clearly identified in personnel cases was concern over the legitimacy of evaluations. Thus, a more comprehensive view of the worth and role of evaluations in organizations may be needed which could include multi-dimensional sources of data on performance from students, administrators, peers, and staff members themselves. The onus is upon administrators to become more knowledgeable on the legal implications of dismissal and what role records and due process play in those implications. This, in turn, will require some consensus from stakeholders within the institution on the purpose and value of evaluations and how they should proceed. Further, more comprehensive analysis, assessment, and consensus on staffing needs, recruitment, screening, and selection criteria, and the connection of these with the institutional mission may prove a worthwhile longer-term approach to personnel dilemmas. This suggests, in effect, not a technocratic-based approach to personnel, but rather a more value-based and strategic view of personnel functions in educational organizations.

Organizational redevelopment cases were mainly seen to be large scale change initiatives. In the present economic climate, clarity and consensus on institutional mission and vision for the future seemed to be advantageous and indeed basic to success of these change initiatives. A number of presidents were seen to engage in values/vision exercises involving the entire institution. This emphasis or move to a more value-based and participatory style of governance seemed to reap positive dividends in times when rapid change is inevitable and even necessary. And this process begins with a cohesive senior administrative team. One pattern identified in such cases which was key to success was the role of senior administrators. The support of this group in the change initiative and their performance in the process was viewed as essential. This seems to be the first step in any move to redefine and revitalize the institutional purpose.

Finally, buildings and facilities cases are characteristically external and public relations oriented in nature. Awareness of complex political dealings with external communities, and navigating successfully through these waters is essential. Financing for capital development in this sector of education is not simply a matter of asking for money, thus, the general "shape" of such cases is, no doubt, influenced by the socioeconomic and political climate of the times. However, three factors seemed highly consistent in the cases obtained in this study. Presidents acted on the basis of an already defined and sometimes long-standing need for development which had, in some cases, been either ignored, abandoned, or otherwise forgotten. At certain points in the evolution of the initiative, a key individual or individuals played a crucial role in liaison with primary external stakeholders involved in financing the initiative. Finally, projects depended in a basic way on the satisfying of mutual political interests of major stakeholders involved. This appeared to be a necessary condition for success.

Concluding Comment

In *Towards a Philosophy of Administration*, Hodgkinson (1978) clearly states that "administration is a value-laden even value saturated enterprise" (p. 122). Kasten and Ashbaugh (1991) have suggested, in discussing the importance of values and ethics in administration that "Barnard, Greenfield, Hodgkinson, and MacIntyre are among those scholars who have maintained that there is no way to explain administrative practice without reference to values" (p. 54). What was recognized as early as Barnard is now becoming accepted as an issue of central importance in educational administration. Indeed, awareness of ethics and values in administration has achieved the level where it may be accurate to suggest that almost any aspect of organizational behavior including leadership, decision making, motivation, power and conflict, job satisfaction, change and organizational culture, and almost any dimension of administrative process including policy, planning, development and operations, implementation, and evaluation can be seen more clearly from a value oriented perspective. This study reflects an attempt to define and otherwise make sense of the value-laden judgments of CEOs in educational and organizational contexts. It is this researcher's attempt to provide a modicum of order to quite elusive phenomena. Genuine strides in research on human interaction are most often an accumulation of small incremental steps forward. It is hoped that this study provides some contribution to the evolutionary progress of research in a vitally important area of educational administration.

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APPENDIX A

Letters of Introduction: Phases I and II

«DATA respondents»

November 24, 1992

«name», President
«college»
«street»
«city», «prov code»
«phone»

Dear President «lastname»,

Re: Doctoral research on decisions and values - phone conversation - «date»

First, my deepest thanks for your agreement to participate in the study. The cooperation of respondents such as yourself will provide much needed and relevant data, and add to the richness of interpretations and results.

Enclosed is a packet of materials in preparation for phase I interviews. The first page requests a small amount of personal background data. After completing this page, there is space provided for your description of two to three critical decision incidents. (Two incidents is entirely adequate, three is ideal.)

My request is for you to recall what you consider to be crucial decisions made by you in your role as President. If possible, try to describe situations that: (a) were difficult in the sense that the problems and solutions to the problems were not clear-cut, (b) were important to the institution in terms of teaching and learning, and (c) were within your decision making jurisdiction, that is, decisions which you made directly, or for which you took direct responsibility. Descriptions need not be lengthy (one to two pages), but attempt to provide enough information so that you feel a clear sense of content and context has been given. Fictitious names of persons and places can be used to ensure confidentiality. If you prefer not to write, please feel free to record the cases on normal size cassette tape.

When completed, please return the packet (and cassette if applicable) to me in the envelope provided. Shortly after I receive the packet, I will contact your office to set up an interview time.

If there are any questions or concerns whatsoever, do not hesitate to contact my supervisor (Dr. F. Peters - 492-7607) or myself (436-5717).

Thank you again,

David Keast
Ph.D. student
Dept. of Ed. Administration
University of Alberta

«DATA respondents»

April 14, 1993

«name», President
«college»
«street»
«city», «prov code»
«phone»

Dear President «lastname»

Thank you for participating in the second phase of the study. You will find enclosed a set of two cases, each followed by a brief list of case attribute questions. I will contact your office shortly to arrange for a second interview. It is probably best if you review the cases and answer the case questions <u>before</u> the interview. I will base our conversation on your analysis of each case. The two cases have been selected from the total "pool" of cases received in phase one. I am interested in <u>your</u> views on the dilemmas presented. Confidentiality will be strictly maintained. Feel free to take any approach you wish to analysing the cases, including writing anywhere on the case descriptions.

Again, I would like to take this opportunity to sincerely thank you for participating in both phases of the study. Your help has been greatly appreciated.

Sincerely

David Keast (Res: 436-57[illegible], Off: 492-3094)
PhD Candidate
Dept. of Educational Administration
University of Alberta

APPENDIX B

Background, Institutional, and Case Attribute Data

Values in Administrative Decision Making - Phase I

Background Information

Personal Data

Name: (Name of President)

Job Title: President Gender: M F

Length of time in present position (including this year) ______ yrs.

Length of time at present institution ______ yrs.

Total years of administrative experience ______ yrs.

What position did you hold prior to your present one?

____

For how long? ______ yrs.

Level of education: Discipline(s) ______________________________

Highest degree(s)/certificate(s)____________________

Thank you. When you are ready, proceed to the cases.

Institutional Data

Name of Institution:

1. Which term best describes, by population, the immediate external environment or community which is served by your institution?

Rural (0-10,000)	Small Urban (10,000-100,000)	Large Urban (100,000 & up)

2. Number of campuses ______________________________

3. Size - student enrolment and staff complement:

- Total FTE credit enrolment __________
- Total number of FTE instructional staff __________
- Total number of FTE non-instructional staff __________

4. Indicate the range of credit programming in your institution by category:

	Yes	No	% of total enrolment
- University transfer	____	____	____
- Diploma	____	____	____
- Certificate	____	____	____
- High school upgrading	____	____	____
- Trade/Vocational	____	____	____
- Apprenticeship	____	____	____
- Other	____	____	____
- Specify			

____

5. Indicate total registrations in non-credit courses __________

6. % of base-funded FTE credit enrolment related to total credit enrolment _____%

SOURCE: Alberta Advanced Education. !991-92 Statistical Report.

Values in Administrative Decision Making - Phase I Interviews

Case Attribute Data - Case # ____

1. Approximately how long ago did this decision situation occur?

2. Approximately how long did it take: (a) from the identification of the problem, to definition of a solution?

____

(b) from definition of the solution, to resolution?

____

3. In relation to other decisions with which you are faced in your job, please indicate levels for each of the following statements:

	very low				very high
a) urgency of the decision	1	2	3	4	5
b) importance in terms of effect on teaching and learning	1	2	3	4	5
c) difficulty in defining the problem	1	2	3	4	5
d) difficulty in defining the solution	1	2	3	4	5
e) no.of people directly affected by the decision	1	2	3	4	5
f) frequency of occurrence of this type of problem in a 1 yr. period	1	2	3	4	5

4. Indicate the extent of involvement of others in the decision process in this case:

Individual decision (no others)		Consultation (your decision, after consulting others)		Participation (joint decision making)
1	2	3	4	5

Case classification: ____________________

APPENDIX C

Introductory Letter, Cases, and Case Attribute Data for Phase II

«DATA respondents»

April 14,1993

«name», President
«college»
«street»
«city», «prov code»
«phone»

Dear President «lastname»,

Re: Cases for Phase II of the doctoral study;

I am writing to inform you that I have chosen one of your cases for the Phase II simulation in my doctoral study. These cases will be examined by a selected group of other college presidents. I have tried to remove references to specific individuals and places, and other revealing information, including strategies used by you in [illegible] the dilemma, and of course, the solution itself. I have enclosed a copy of yo[illegible] be presented to respondents in Phase II, in the hope that it meets with y[illegible] approval. [illegible]onfidentiality will be maintained.

If there are any concerns whatsoever, feel free to contact me at any time (436-5717).

Sincerely,

David Keast
PhD Candidate
Dept. of Educational Administration
University of Alberta

Case # 10

Grandview College is somewhat unique in its mandate. Since its establishment, Grandview has experienced some difficulty in coming up with a type of organization that would recognize the important regional nature of the College, yet still operate with a central mission. Accordingly, the College has operated under a number of organizational models. When I was hired as the President, the Board of Governors requested that I work with the model that had previously been instituted. After several months at Grandview it became evident that the organizational structure in place provided very little program coordination throughout the College. It was very difficult in many cases and impossible in others to identify who was responsible for what. As well, the structure magnified the feeling of staff that all decision making was left to senior administration with little or no consultation. On the other hand, academic issues such as quality of programs, curricula validation, instructor workloads, etc. were left almost totally to faculty with no means of evaluating the credibility or effectiveness of them. The situation was compounded by a Board that had lost complete trust in the previous administration, yet were reluctant to give me, as the new President, the freedom to instigate change. Faculty and non-academic staff members on the Board had complete lack of trust, and were not willing to give administration a chance. As well, one of the public members had a number of relatives on staff and relied on them for the "real" information. This was further compounded by a senior administration who had been responsible for the organizational structure already established, and were very reluctant to look at any type of change. After lengthy discussions with staff and a review of all operations, I was able to come up with a model that decentralized operations at each of the campuses and learning centres as much as possible, while establishing and maintaining those functions that were college-wide. Also, it was evident to me that a major reorganization of the administration of the College was needed. I had to make a decision whether or not to implement the reorganization, knowing in advance of several negative reactions and possible negative consequences to my proposal. First, the then current senior administration might pay lip service to the new structure without any real commitment to its success. This could result in failure of the new organization and subsequently the loss of my own credibility with the staff and Board. As well, many of the staff felt that the best thing for the College was a complete change of administration.

You are the President. Faced with these circumstances, how should this be handled?

Case # 3

It was late fall and faculty evaluations were being carried out. The evaluations were the responsibility of department Chairpersons. Following the evaluation of one particular faculty member, the Chair recommended through the Dean that the faculty member be dismissed for poor teaching. The evidence of this was fairly solid, except there was some indication that the person's teaching was not all that bad. Based on the faculty member's record to that date and other evidence about commitment to students and the institution, it was recommended by the Department Chair that this person be dismissed. Part of the decision was based on what I thought was circumstantial evidence about this married faculty member's moral behavior. There were unsubstantiated rumors about relationships with students. It was not a pretty picture. It was also generally known that the Department Chair and the faculty member did not get along. As I reviewed the information before me, I concluded that the faculty member's teaching was suspect, but that there was support from some students and faculty about this person's teaching effectiveness and abilities. The faculty contract required that letters of dismissal be given to individuals by the middle of December, but that the effective date of dismissal was not until the end of the second semester, that is, the following May. Here again, it was not a pretty picture--giving a letter of dismissal just before Christmas and realizing that the individual would be around for another full semester. I knew this was not going to be an easy decision, and regardless of which way I went, to either dismiss the person or keep the person on staff, I was going to be faced with significant opposition. I could not use suspension and I could not use probation as the probationary period was already over. I was sure that dismissal in particular would lead to expressions of concern by students, probably vocal and well publicized statements. To decide not to dismiss the person might result in the same kinds of expressions from students opposed to my position. I knew that the faculty members, including the Faculty Association itself, might be polarized on this matter and that I would have support and opposition regardless of my decision. I also realized the importance of the evaluation procedure, as strong or as weak as it might be, and of the importance and need to support the Dean and Chairperson. A further complication was that the word was out as to the Department Chair's recommendation. The whole college was waiting to see what would happen.

Values in Administrative Decision Making - Phase II Interviews

Case Attribute Data - Case # ____

3. Imagine you are the decision maker in the previous case. In relation to other decisions with which you are faced in your job, please indicate levels for each of the following statements:

	very low				very high
a) urgency of the decision	1	2	3	4	5
b) importance in terms of effect on teaching and learning	1	2	3	4	5
c) difficulty in defining the problem	1	2	3	4	5
d) difficulty in defining the solution	1	2	3	4	5
e) no.of people directly affected by the decision	1	2	3	4	5
f) frequency of occurrence of this type of problem in a 1 yr. period	1	2	3	4	5

4. Indicate the extent of involvement of others in the decision process that <u>you would use</u> in this case:

Individual decision (no others)		Consultation (your decision, after consulting others)		Participation (joint decision making)
1	2	3	4	5

APPENDIX D

Interview Guides: Phases I and II

Values in Administrative Decision Making - Phase I Interviews

Interview Guide

1. How or under what circumstances did this situation first come to your attention?
2. What do you consider to be the basic dilemma in this case?
3. When the issue first came to your attention, what's the very first thing you did?
   a) What did you do next?
   b) What other things did you do in tackling the problem?
4. Did you have any "hunches' or "gut feelings" about this situation? What were they?
5. Before the decision was made, did you consider alternatives?

   Yes: Can you recall some examples?

   No: Then, you had one solution in mind from the start?

   Yes: Goto # 6.

   No: Then, how was the decision made?
6. What was the actual final decision made in this situation?

   a) What would you consider to be the single most decisive or important factor in your choice?

   b) Why is this factor most decisive/important?
7. Given the decision you made, can you recall what outcomes you expected at the time?
   a) Looking back, did the outcomes actually occur as expected?

8. Looking back again, what would you consider to be the main constraints on your decision making in this situation?
   a) Were all these constraints identified or apparent to you at the time of the decision?

9. If you had the decision to make again, would you do it the same way?

Yes: /

No: What would you do differently? Can you give reasons why you would do this instead?

10. Earlier we discussed the first things you did when confronted with the problem. Are these the kinds of things you do in other similar decision situations?

11. Are there any other aspects of this case, or the way in which you handled it, that you recall as being unique or novel?

Values in Administrative Decision Making - Phase II Interviews

Interview Guide

1. In your own words, describe the way you would go about resolving the incident. Try to describe the procedures and strategies you would use, if any, and explore and include any factors you feel are relevant. Don't hesitate to "think out loud."

Possible Probes:

- What do you consider to be the basic dilemma in this case?
- In reviewing this case, what's the first thing you thought about?
- If you were faced with this problem, what's the first thing you'd do?
- What would you do next?
- Do you have any "hunches" or "gut feelings" about what's happening here? If so, what are they?
- What final decision would you make in this case?
  - Did you consider alternatives when you were thinking about the solution?
  - What is the single most decisive or important factor in your choice?
  - Why is this factor decisive or important?
- Given your decision, what would you expect to happen? What reactions would you expect?
- Would the handling of this case be typical of your style in cases of this type?
- What stands out as atypical or extraordinary in this case, if anything?
- And how would you handle those atypical factors/conditions?

APPENDIX E

Values Reference List

Beck's Value System

Basic Human Values	Moral Values	Social & Political Values
survival, happiness, companionship, friendship, helping others (to an extent), participation in community, self-respect, respect from others, knowledge, freedom, a sense of meaning in life, etc.	carefulness, responsibility courage, self-control, reliability, truthfulness, honesty, politeness, fairness, unselfishness, etc.	peace, justice, due process, tolerance, participation, cooperation, sharing, loyalty, solidarity, citizenship, respectability, etc.

Intermediate Values	Specific Values
food, shelter, entertainment relaxation, fitness, good family relations, ability to read, write and calculate, meaningful employment, financial security, etc.	a car, a phone, a particular neighbourhood, a particular friendship, high school diploma, a good T.V., a sport, a political party, a job, etc.

Source: Campbell-Evans, G. (1988). *Nature and influence of values in principal decision making*. Unpublished doctoral dissertation, University of Toronto.

Rokeach's Value System

Terminal Values	Instrumental Values
a comfortable life, an exciting life sense of accomplishment, peace, beauty, equality, family security, freedom, happiness, inner harmony, mature love, national security, pleasure, salvation, self-respect, social recognition, true friendship, wisdom	ambitious, broad-minded, capable, cheerful, clean, courageous, forgiving, helpful, honest, imaginative, independent, intellectual, logical, loving, obedient, polite, responsible, self-controlled

Source: Rokeach, M. (1973). The Nature of Human Values. New York: The Free Press, p. 28.

Peer Audit - Phase I Values

Review the concepts below. Indicate which concepts you think are values and which are not. If you think some concepts can be subsumed under others, please indicate this also. (Thanks guys and gals!)

Trust in subordinates
Faculty well-being
Institutional interests
Due process
Relating to others
Professional survival
Ownership
Trust of subordinates
Professional growth
Collegiality
Student interests
Institutional learning
Empowerment of students
Self-esteem
Faculty empowerment
Credibility
Justice
Sense of community
Consensus
Subordinate administrator interests

Fairness
People-centred
Confidentiality
Shared decision making
Change
Shared vision
Honesty
Communication
Quality of education
Professional challenge
Access
People improvement
Autonomy
Self-actualization
Truth
Doing what's right
Respect for persons
Breach of faith
Needs of greatest number