UNIVERSITY OF HAWAI'I LIBRARY

MANAGERIAL PROFESSIONALS IN HIGHER EDUCATION:

CHANGE IN NUMBER, ROLES, AND RESPONSIBILITIES

A DISSERTATION SUBMITTED TO THE GRADUATE DIVISION OF THE
UNIVERSITY OF HAWAI'I IN PARTIAL FULFILLMENT OF THE
REQUIREMENTS FOR THE DEGREE OF

DOCTOR OF PHILOSOPHY

IN

EDUCATION

AUGUST 2008

By
Mona K. O. Chock

Dissertation Committee:

Joanne Cooper, Chairperson
Ronald Heck
Richard Pratt
Stacey Roberts
Morris Lai

We certify that we have read this dissertation and that, in our opinion, it is satisfactory in

scope and quality as a dissertation for the degree of Doctor of Philosophy in Education.

DISSERTATION COMMITTEE

_____
Chairperson

_____

_____

_____

_____

Dedicated to my parents

Wah Hop and Gardie Ako Chock

and to my loving and patient husband Patrick K. M. Young

ACKNOWLEDGMENTS

ABSTRACT

This qualitative case study examined how managerial professionals perceive

changes in their numbers, roles, responsibilities, and the relationship of their work to

institutional mission at a single public Doctoral/Research Extensive university during

the 1985-2005 period. Academic capitalism was the conceptual framework used to

examine institutional responses to change in higher education finance, faculty work,

and the attainment of institutional autonomy.

Three themes emerged from the data. The themes were "Expanded Work,"

"Blurring of Roles," and "Deep Commitment." The managerial professionals in this

study described campus organizational changes that affected their work lives.

Moving from a centralized to a decentralized structure, delegated system

responsibilities were transferred to the campus and to the units. This greatly

expanded the scope and quantity of work of managerial professionals at a time when

faculty and clerical work was also changing. As faculty members were pressured to

secure more external funds, spending on managerial professionals in academic and

institutional support who did teaching, student services, distance education, and other

activities that supported instruction increased significantly. Variation in the roles of

managerial professionals and their flexibility in adapting to the new work

environment contributed to the blurring of roles among these employees with the

faculty, the clerical staff, and upper level administration. The managerial

professionals in this study demonstrated a deep commitment to higher education,

communicating that they saw themselves contributing a public service through their

work. Their work commitment was to serve students, the work of faculty, and the higher education dreams of the people of the state.

Implications from this study included utilizing both production and transaction activities as part of Academic Capitalism Theory; the need to educate the university workforce about the work roles and responsibilities of managerial professionals; and the need for systematic orientation, mentoring and leadership opportunities for this employee group.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

Chapter 1

Higher education has undergone significant changes in the past twenty years in response to diminishing state and federal funding (Slaughter & Leslie, 1997). Studies on changes in higher education have tended to focus chiefly on the faculty perspective. Musselin (2007) examined the transformation of academic work and Schuster and Finkelstein (2006a; 2006b) studied the American faculty. They found that the number of full-time tenure track faculty had decreased and the number of part-time contingency faculty had increased. Managerial professionals in higher education have been less studied. "Managerial Professionals" include administrators, directors, managers, researchers, teachers, specialists, and other professionals in higher education who are not classified as faculty, clerical staff, or exempt senior management.

National longitudinal data examined by the American Council on Education (2004, May) and the National Education Association Higher Education Research Center (2003) suggest that managerial professionals have been the fastest growing segment of employees in higher education in the past 20 years. Although much of the literature on universities tends to focus on the faculty, Anderson (2005) found that "there are other sizeable constituencies within the institution as well" (p. 41). Managerial professionals filled positions that evolved as institutions responded to external pressures (Anderson, 2002; Guillermo 2003; Helm, 2004; Humphrey, 2006). Over time, Rhoades (2001) noted that the increased number and expanded roles and responsibilities of managerial professionals resulted in greater administrative discretion and their growing importance in university work. Organizational changes

have therefore made the work of managerial professionals more central to the public university's mission.

This descriptive study examines the work of managerial professionals at a public research university campus during a period of substantial organizational change, 1985– 2005. The purpose of the study is to describe how managerial professionals perceive changes to their work lives over time, within the changing environment of the university. Managerial professionals reflect and comment on the changes in their numbers, work roles, responsibilities, and the relationship of their work to the institutional mission within the context of organizational change. Academic capitalism[1] provides the theoretical framework for understanding how institutional responses to external changes influenced the work of these professionals. Examining their work lives helps us understand the changes occurring at the campus and within their units.

Research Questions

The research questions addressed in this study are listed below.

1. What changes have occurred over a twenty year period in the numbers, roles, responsibilities, and patterns of work of managerial professionals at a single public Doctoral/Research university?

2. How have managerial professionals perceived their roles and responsibilities during these changes?

3. How do managerial professionals perceive the relationship of their work to the university and its mission?

Background. The research on managerial professionals is limited and has only recently begun to emerge (Gornitzka & Larsen, 2004; Hancock & Hellawell,

---

[1] Academic capitalism is a concept used to explain these changes in higher education organizational structures that have been driven by external economic and political forces. Slaughter and Rhoades (2004) have been the chief architects of "academic capitalism theory."

2003; LaMuth, 2006; Learmonth, 2005; Musselin, 2007; Redenbaugh, 2006; Rhoades, 2001). Managerial professionals represent a broad spectrum of employees with much variation in job titles, responsibilities and authority. Their growing presence on campus in the past twenty years is related to the transformative changes that have taken place at all organizational levels in higher education. These workforce changes are attributed to increasing administrative involvement in the production of scholarship, and in providing the infrastructural supports necessary to move university production work, including scholarship, towards the marketplace (Musselin, 2007; Rhoades, 2001). Rhoades (2001) discovered that there are "growing numbers of non-faculty professionals who represent major labor costs and are often involved in producing teaching, research, service, and revenue.... From 1975 to 1985 their ranks grew 10 times faster than faculty (and three times faster than administrators), and their numbers continued to grow (by over 10%) in the early 1990s when faculty numbers did not grow" (pp. 621– 622). Rhoades found that these professionals worked in multimedia, teaching centers, instructional productivity, distance delivery systems, research productivity, and in other areas.

Musselin (2007) found that these changes were due to the transformation of academic work due to the massification of higher education, the imposition of business sector management tools onto academic work, and the increasing controls exerted over academic tasks. Massification refers to the time period, approximately 1960–1975, when higher education became more accessible to the masses. The increased demand for higher education from a growing middle class and from under-represented populations contributed to an expansion in student enrollment numbers.

3

University management activities that used to be considered auxiliary began to be considered important to faculty work. Musselin (2007) stated, "Activities such a writing proposals, developing contracts, elaborating e-learning programmes, or being engaged in technology transfers are all tasks that engage faculty members nowadays" (p. 3). This contributed to an expansion of administrative services and organizational structures that required additional managerial professionals. The National Education Association Higher Education Research Center (2003) reported that of the two million people who work full-time in colleges and universities, instructional and research faculty comprise 30% and "the next largest group is other professionals" (pp. 1–2). The report presented a 48% increase and a 36 % increase within group for "executive, administrative, managerial" and "other professionals" respectively during the period 1993–2003 (p. 1). When combined into one employee group, this represented an 84% increase within group.

Managerial professionals are a diverse group of employees. Their work falls into both the "other professionals" category and the "executive, administrative, managerial" one. The percentage change increase in managerial professionals as part of the total higher education labor pool is in sharp contrast with less than 3% change in three different categories: clerical and secretarial staff; service and maintenance workers; and skilled crafts persons (National Education Association Higher Education Research Center, 2003). Friedman (2006) found that organizations are being restructured and flattened. In this flattened organization, managerial professionals have moved into new functional areas or have seen their responsibilities increase or change as organizations are restructured. Musselin (2007)

found that private industry managerial professionals have entered public universities, bringing specialized knowledge and skills. Rhoades (2001) identified managerial professionals as the new type of workers, or support professionals involved with instructional productivity in traditional and distance delivery systems, with research contracts and grants productivity, and in generating revenue as universities have transformed into productivity centers.

In the past, scholars were more interested in examining the work of faculty (Allen, 2006; Bradley, 2006; Maitland & Rhoades, 1998; Rhoades & Maitland, 2006), clerical (Kennedy, 2004; Rosser, 2006), and senior executive administrators (Campanella, 2002; DeHart, 2004; Stephens, 2003). Anderson (2005) explained that the exclusion of staff in past research was due to the university's hierarchical structure, which focused prior studies on the faculty or the students. Another reason is that the literature presents a dichotomy of employee groups such as "faculty and staff" or "faculty and administration" (Larson, 2004; Morelon, 2006). This limited perception of the university workforce tended to focus attention more narrowly on the two groups identified, and discouraged consideration of individuals in other employee categories who may do similar work and share similar educational and employment backgrounds. Managerial professionals have been aggregated within different campus groups being studied. Macedo, in the introduction of *Pedagogy of the Oppressed* (Freire, 2001) argues that not being "named" contributes to individuals being "present and yet not visible" (p. 11). The invisible nature of these employees in the literature can contribute to work barriers, lack of supports in the

workplace, as well as limited professional development opportunities and career ladders.

Examination of the literature revealed that in some studies, managerial professionals were counted among the faculty, in others they were counted as senior administrators, and in still others they were counted as part of the classified or clerical staff (Montgomery & Lewis, 1995; NEA 2003). For example, institutional reports at one campus combine executive, managerial, and clerical staff into the administrative staff group (IRO, 2000; IRO, 2002). Studies on the changing administrative staff have tended to assign managerial professionals into either administrative or academic staff groups (Anderson, 2002; Gornitzka & Larsen, 2004; Guillermo, 2003; Johnsrud & Rosser, 1995, 1999; Rhoades, 1998; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004; Washington, 2005). All this contributed to the invisibility of managerial professionals and of their contributions to institutions of higher education.

Campus activities can also reinforce the managerial professionals' invisibility by placing them into catch-all categories. For example, a public and highly visible university employee awards program calls for the nomination of managerial professional, clerical and building maintenance workers for administrative service awards. The nomination call for faculty members is for academic teaching excellence awards. Managerial professionals, the employee group experiencing the greatest percentage of change in numbers, are placed into a nomination pool with two employee groups that were cited earlier as having 3% or less percentage change within their groups. This type of employee grouping can contribute to a

6

false impression of the type of work performed by managerial professionals and it contributes to the lack of institutional knowledge about the work roles and responsibilities of managerial professionals at universities.

Broad variation in job titles and responsibilities may make it more difficult to categorize managerial professionals into one homogeneous employee group but that does not mean that the work roles and responsibilities are of less importance. Rhoades and Sporn (2002) found that managerial professionals were clustered into three major higher education managerial groups in the areas of services/student services, entrepreneurial activity, and evaluation and accountability. At this study's campus, managerial professionals are found working in the areas of research, student affairs, entrepreneurial programs, and external affairs. Slaughter and Leslie (1997) indicated that research pressures to bring in additional external funding through centers and institutes resulted in the hiring of managerial professionals as "academic personnel or professional officers (non-tenure track, non-instructional academic professionals) to help faculty apply for and execute grants, contracts, partnerships, technology transfer, and other entrepreneurial activity" (p. 216) and the creation of an "'administrative lattice' to manage this research growth" (p. 20). Managers were hired for offices created for patenting and licensing, technology transfer, foundations, business incubators, and research parks. Slaughter and Leslie (1997) found:

> Very often the new units called for the addition of large numbers of
> professional officers and non-academic staff . . . They were much more a part
> of the commercial culture and tended to bring commercial values to their

work, concentrating on making their centers operate more like small firms, expanding commercial activities, and generating increased profits (p. 173).

In the mid-1990s, many public universities had attained institutional autonomy and begun to shift from centralized to decentralized administrations. Units and departments were encouraged to continue entrepreneurial activities. Slaughter and Leslie (1997) found that the development of universities as business incubators, entrepreneurial hubs, and centers contributed to managerial professionals being hired as executive directors, business managers, office managers, project directors, assistant directors, and program managers. Rhoades (G. Rhoades, personal communication, June 2002) stated, "Increasingly, like faculty, these professionals are being asked to generate revenue. Non-academic units are increasingly seen as cost centers. That tends to lead people towards entrepreneurial activity related to revenue generation, and away from activity oriented to social change, or what has been called social entrepreneurialism."

To strengthen linkages to external markets, "External Affairs" was formalized into an institutional function. External Affairs is responsible for overseeing fundraising and development and other functions of institutional advancement, such as alumni affairs, public affairs, government relations, marketing and communications. The formation of these new offices and departments stimulated the hiring of public information officers, publication managers, graphic designers, government relations specialists, communications directors, and administrators for the various programs (Slaughter & Leslie, 1997). With the infrastructure created by external affairs, the university began to disaggregate the marketplace into segmented

8

publics so that personalized institutional messages could be utilized with these individually targeted audiences. The university's marketplace was composed of the business and corporate private sector; the public sector of elected officials, government offices and agencies, the military, news agencies and the media, and the general public; the student and parent sector; and members of the institutional family of alumni, sports boosters, university employees and retirees. Efforts to recruit and enroll more students resulted in managerial professional numbers increasing in student affairs and academic support services. These increased numbers were needed to provide increased capacity in areas such as student housing, career planning, financial aid, admissions and records, learning assistance centers, and co-curricular programs and services (Helm, 2004, Humphrey, 2006; Renault, 2003; Slaughter & Leslie, 1997).

These work role variations display the cross-functional work conducted by managerial professionals within the organization and emphasize the importance of our knowing more about the work of these employees. The emerging literature on managerial professionals begins to address the lack of research knowledge about managerial professionals (Gornitzka & Larsen, 2004; Hancock & Hellawell, 2003; Learmonth, 2005; Rhoades, 2001). By not viewing or conceptualizing managerial professionals as a critical mass, institutions may fail to see the full extent of the contributions made by these professionals in higher education.

Research needed. Decreases in public funding for higher education forced institutions to reorganize and seek increased external private funding (Gumport & Jennings, 1999; Slaughter & Rhoades, 2004; Zumeta, 2006). Many universities

9

sought institutional autonomy in order to have greater internal flexibility in managing campus resources. Internal institutional responses to external challenges changed the structure of public higher education institutions and patterns of work in teaching, research and service (ACE, 2004). Much of the research in this area has focused on changes in patterns of work for faculty and erosion in the number of full-time tenured faculty members, who are central to the work of universities. These changing patterns of work affected all campus employees and contributed to the increase in the number, roles, and responsibilities of managerial professionals.

Slaughter and Leslie (1997) stated that according to Resource Dependence Theory, in order to survive, "Organizations deprived of critical revenue will seek new resources" (p. 17). They state that when this theory is applied to universities, the term "Academic capitalism" applies, meaning "the process by which universities integrate with the new economy" (p. 14) in order to secure resources necessary to remain competitive in the new global information society. Several elements of academic capitalism pertinent to this study were identified in the literature. These elements resulted from intermediating networks that connect the campus to external markets, viewing students as consumers and therefore as a source of revenue, and attaining institutional autonomy to provide greater flexibility in the management of resources. Slaughter and Rhoades (2004) discovered that university reorganization and restructuring resulted in the formation of new structures called intermediating networks.

Metcalfe (2004) found that intermediating networks linked the university with external markets and managed campus activities that produced external

10

revenue. The new revenue streams were intended to fill the resource gap due to the decrease in government funding. Examples of these linkages are university programs and services such as student recruitment, enrollment management, distance education, university licensing, intellectual copyright, and foundation fundraising. These linkages and networks tend to be staffed and managed by managerial professionals such as those who work with distance learning programs and courses that are designed to lower instructional costs through the increased use of faculty teaching in these venues (Parks, 2003; Stephens, 2003).

Another network created by universities was to raise private funds through capital campaigns, corporate and foundation funding, and from alumni donations (Cash, 2002). Professional fundraisers located on university campuses tend to be employed by the institution's separate 501c3 not-for-profit foundation. Slaughter and Rhoades (2004) found that these professionals coordinate their work with the university's managerial professionals who work in institutional advancement. Slaughter and Leslie (1997) found that campus units and departments that were able to generate revenue were rewarded with increased institutional resources from discretionary funding categories. These funds were managed by administrative officers and fiscal officers, or managerial professionals. Slaughter and Rhoades (2004) found that as the number of campus networks increased, university presidents and trustees approved the increase in number of managerial professionals to ensure the effectiveness and efficiency of these linkages and networks.

A second element of academic capitalism is the tendency of universities to view students and parents as consumers in the marketplace, as well as of sources of

tuition revenue. Enrollment management is the new organizational function that was created to manage tuition revenue and their accompanying student market (Zemsky, 2000). *Education Policy and Practice Perspectives*, as cited in the *ASHE Newsletter* (2007, Spring) found, "According to the College Board, between 1996 and 2006 average tuition and fees, adjusted for inflation, increased $5,375 (or 32 percent) at private four-year colleges and $1,980 (or 51 percent) at public four-year colleges" (pp. 20–21) Public universities pursued greater student enrollment, especially of nonresident and international students, who pay higher tuition than in-state residents. These students often require more campus support services such as student housing, academic advising related to transferability of courses, and other student-life related supports.

A third element of academic capitalism is the influence of institutional autonomy on patterns of university work (Slaughter, 1998; Slaughter, Archerd, & Campbell; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004). The rationale for autonomy is that public universities need flexibility to position the institution closer to the marketplace in order to establish new revenue sources. While institutional autonomy is intended to provide greater flexibility in the management of university resources, this type of autonomy (as opposed to individual autonomy expressed as academic freedom) increases the institution's accountability to policymakers and the general public. Accountability to the public requires on-going evidence of administrative transparency in how public funds are utilized and the documentation and reporting of those uses (University of Hawai'i–Mānoa, 1998; University of Hawai'i–Mānoa, 2002).

The limited number of studies on managerial professionals in American higher education required an examination of the changes to this university employee group in other countries. Gornitzka and Larsen's (2004) national longitudinal study of four major public universities in Norway found tremendous growth in university administration in the 1990s and the professionalization of administrative staff during the same timeframe. They reported that most of the staff has college degrees, greater work responsibilities and authority, and the work they do is more professional in nature. Recognizing the professionalization of an employee group in the workforce is important because professionalization provides a distinctive point of view as a result of the training, ideals and values of the profession. Hill (2001) found that professionalization provides an internalized list of standard operating procedures that these employees bring to their jobs.

Managerial professionals belong to professional associations. Slaughter and Rhoades (2004) found that "Academic professionals have also organized themselves – in groups like the Association of University Technology Managers, Association of Collegiate Licensing Administrators, Association of University Marketing Professionals, and many others" (p. 28). Research on the American university describes new organizational structures, roles, responsibilities and patterns of work. Slaughter and Leslie (1997) suggested that changes in university patterns of work resulted in "new structures, incentives and rewards for some aspects of academic careers and simultaneously instituting constraints and disincentives for other aspects of careers" (p. 1). For managerial professionals, their number increased in response to opportunities offered by the new economy.

Harris (2002) suggested that dynamic organizations are ones that benefit from intelligence created in organizations through informal networks that link all levels and functions within the hierarchical structure. The more informal the network connections created, the smarter the organization when addressing internal and external challenges due to shared context across functions, mutual mission, and/or vision. These informal networks, as opposed to formal channels of chain of command among employees, can contribute to the emergence of integrated organizational intelligence (Harris, 2002). Jones (2004) found that managerial professionals gained increased latitude in the use of administrative discretion in their work. As a result, managerial professionals have the capacity to play a linking role within the organization and ultimately to contribute to the generation of the organization's integrated organizational intelligence. Because of their organizational placement, they also have the capacity to be a bottleneck within the organization.

It was noted from the literature that managerial professionals have organized into professional associations such as the National Association of Student Personnel Workers, the Association of College Unions-International, and the National Association of Foreign Student Advisors, and that a growing number have advanced graduate degrees. Rhoades and Slaughter (2004) found that one of the managerial professionals portrayed in the literature is the administrator or manager who manages the faculty. Szekeres (2004) found that another portrayal is that of the invisible worker. These portrayals speak to tensions that exist towards managerial professionals when various university employees try to make sense of organizational change and how it will affect them. These professionals' increased visibility and

responsibility may be challenged or misunderstood if others do not accept that managerial professionals have expanded work responsibilities and the authority to make decisions. Other employees' lack of knowledge about managerial professionals may have contributed to tensions between these groups, especially as power shifts related to organizational change are occurring throughout the institution.

Significance of the Study

A pressing reason for conducting research on managerial professionals is due to their increasing number, coupled with greater institutional responsibility and authority, which have made their work more visible on campus. The literature in higher education examines organizational change through studies of the faculty from a faculty perspective. While that viewpoint has been valuable, this study begins with the assumption that there are other employees in addition to the faculty who contribute to the higher education organization and its mission. This study expands the limited understanding of managerial professional employees, provides visibility to their roles, responsibilities and authority, and clarifies their views of the relationship of their work to the university mission. These professionals offer an additional perspective to our understanding of organizational change as they describe campus power shifts, the shrinking number of full-time tenured faculty members, and the increase in number of managerial professionals (Anderson, 2005; Vestrich, 2006).

Bensimon (2006) argued that institutional agents and their influence on student success are missing from the literature. "Institutional agent" is a broad and encompassing term that goes beyond the faculty. It is an inclusive term that

recognizes that there are more than one stakeholder group on campus. This study

brings the managerial perspective to the forefront and gives them visibility, agency,

and voice.

At this campus, the managerial professional employee group was created in

the early 1960s. In 1973, managerial professionals were included as a bargaining unit

within the state collective bargaining law, joining the university faculty and civil

service employees of this unionized campus. The 1970s was a time when faculty

members and other staff at U. S. universities were being unionized (Olivas, 1999).

The 1973 legislation was introduced by Senator Nadao Yoshinaga, to ensure

managerial professionals had the same employment security rights as the other

university employees. The university had a centralized administration since 1986 and

then a decentralized one in 1999. It began to delegate centralized responsibilities and

authority for fiscal matters beginning in 1986. Table 1.1 lists a chronology of internal

institutional responses to external changes and the growth in number of managerial

professionals from 1985–2003.

When the increase in number and authority of managerial professionals is

viewed through the conceptual framework of academic capitalism and against the

backdrop of transformative campus change, one begins to develop a sense that these

professionals hold key roles and responsibilities. These are the roles and

responsibilities that make up the infrastructure that supports the university enterprise

and enables the institution to be responsive to both internal and external change.

These professionals are part of linking networks with responsibilities spread across

the campus and at all levels in the organizational hierarchy. These employees bring

Table 1.1

Internal and External Change and Managerial Professional Numbers

Timeframe	Internal Change	External Change	Year: Full-Time	
1985-1989	- Created Office of the Vice President for University Relations. - Hired first Public Affairs Manager, Alumni Affairs Administrator, and Publications Manager. - Created System Alumni Association	- Legislature allowed university lump sum budgeting.	1989:688	(% n.a.)
1990-1994	- Created Auxiliary Enterprises - Sports Marketing Office promoted football's Western Athletic Conference (WAC) Championship - Focused on research and grants revenue - Created Institutional Licensing Office - Discussed enrollment management.	- 1990s Legislative budget cuts begin.	1993: 813 (19%)	
1995-1999	- 1995 Emphasis on	- 1995 Legislation	1996: 733 (21%)	

17

Timeframe	Internal Change	External Change	Year: Full-Time
	enrollment management and international student recruitment.	authorized the university to retain tuition revenues	
	- 1999 Decentralized university System	- Legislation exempted the institution from procurement and	1998: 772 (22%)
	- 1999 Implementation of broad banding classification for managerial professionals	concession laws; University to hire its own attorneys.	
		- 1997 Adopted system-wide strategic plan	
		- 1998 Created Office of the General Counsel	
		- 1998 Legislation set level of general funding at three to five times the tuition revenue	
2000	--	- 2000 Achieved institutional autonomy in university matters involving internal structure, management and operations.	2000: 830 (23%)
2003	--	--	2003: 985 (25%)

[a] Managerial Professionals as a percentage of all campus employees. The 1989 data source did not provide the percentage data.

specialized perspectives and internalized *modus operandi* to their jobs from a variety

of professional fields. Lack of empirical knowledge of managerial professionals can

serve as a barrier and contribute to tension and stress among employees. These

tensions can limit the effectiveness of managerial professionals and other employees

in respective roles and responsibilities, detracting from the productivity of the

collective workforce at a time when universities need all employees to work at their

full potential.

Managerial professionals are placed at the center of this descriptive study, which examines changes in the work lives of twenty-four managerial professionals (MPs), employed 20+ years at the university. Descriptions of their work lives reveal their perceptions of the institutional changes and environmental pressures encountered in higher education today.

Figure 1.1 depicts the focus of this study, the work lives of managerial professionals and the surrounding institutional and environmental pressures they face. With institutional autonomy, campuses have encountered new revenue sources with resulting changes in financial processes, pressures on faculty to bring in revenue from contracts and grants, changes in tuition, as well as increased fundraising activities and entrepreneurial pursuits. Internally, managerial professionals have contended with a blurring of work roles among campus employee groups. Reflecting on their higher education careers, managerial professionals speak to current changes occurring on the campus that have increased their number from 688 to 1,018, expanded work roles and responsibilities, and their work's increasing visibility and centrality to the University mission. The third layer in Figure 1.1 is the external

Figure 1.1

Managerial Professionals at the Center of Change
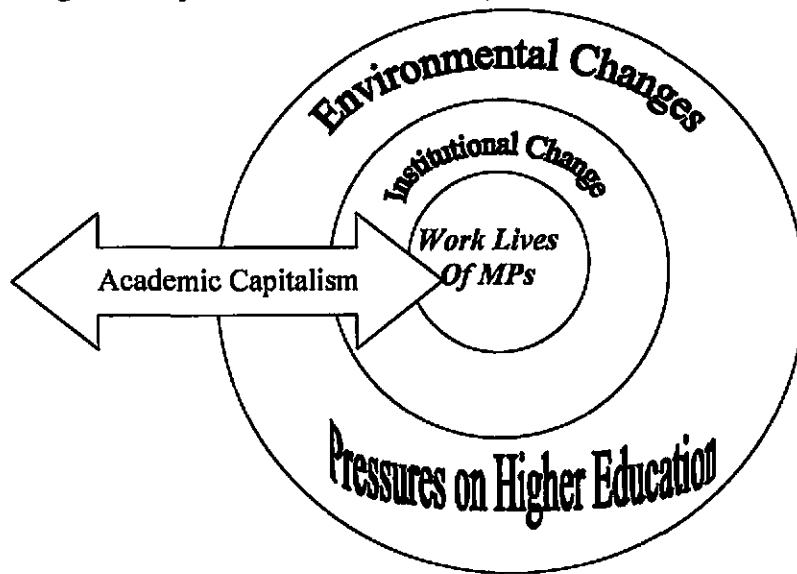
environment that is exerting pressures upon higher education for change. These external pressures come from global competition for markets that influenced change in U.S. political and economic policies, and which in turn directed pressures onto higher education. Intersecting all three layers is academic capitalism, the processes used by universities to secure the resources necessary to survive and to remain competitive.

Summary

This study examines changes in the work lives of managerial professionals in higher education at a large public Doctoral/Research Extensive university over a twenty-year period. Academic capitalism is the framework used to view institutional responses to changes that have occurred and that have affected the number, work roles and responsibilities of these professionals. Managerial professionals share their perspectives and experiences through personal narratives on changes in work patterns, as well as on how they view the relationship of their work to the institutional mission. This research builds upon the work of Gornitzka and Larsen (2004), Musselin, 2007; Rhoades (2001), Slaughter and Leslie (1997), and Slaughter and Rhoades (2004) by contributing to the emerging literature on managerial professionals, Academic Capitalism Theory, and on the changing nature of higher education's workforce.

Chapter 2 presents the emergence of managerial professionals in the literature within the context of organizational change. Chapter 3 describes the research method for addressing the research questions. Chapter 4 introduces the emergent themes that are the study findings. Chapter 5 provides an overview of the study followed by

discussion and analysis related to each research question. Implications for theory, for policy and practice, and implications for future research are presented before the study's conclusion.

Chapter 2
Literature Review

Academic capitalism provides a conceptual roadmap for understanding how the work lives of managerial professionals at this campus were affected over the past twenty years by institutional change. This literature review identifies major themes in organizational change that contribute to situating the study. The first readings look at major external political and economic elements that affected public university environments in terms of base funding and the conducting of university work. The readings then focus on the second level of change, institutional responses to these external elements. These institutional responses include changes in higher education finance, changing patterns of faculty work, and the attainment of institutional autonomy. Academic capitalism and these themes from the literature provide the foundation for the study's research design and analysis in the remaining chapters.

Academic Capitalism

This study examines literature on managerial professionals using academic capitalism as the theoretical lens. Slaughter and Leslie (1997) define Academic capitalism as the "institutional and professorial market or market like efforts to secure external moneys... (p. 8)." Slaughter and Rhoades (2004) expand on the earlier definition by explaining the theory of Academic capitalism, the process of college and university actors—the faculty, students, administrators and academic professional—using public resources to link higher educational institutions to the marketplace, competing in the global market, and bringing the corporate sector inside the university to generate revenue. Academic capitalism is based on Resource

Dependency Theory, which basically states that organizations need resources in order to survive. Organizations that lack essential resources will establish relationships with others to obtain these resources. When these resources are acquired, it will decrease the organization's dependence on others. Pfeffer and Salancik (1978), as cited in Resource Dependency Theory (n.d.), found that linkages among organizations address the exchange relationship between an organization, its environment, and the organization's power. Resource Dependency Theory "is consistent with ecological and institutional theories of organization, where organizations are seen as persistent structures of order under constant reinterpretation and negotiation that interact with an indeterminate environment of turbulence and a multitude of competing interests (Resource Dependency Theory, n.d.)."

The External Environment

Political and economic trends in the U.S. in the past 20 years contributed to the organizational change environment that encouraged, fueled, and supported academic capitalism in higher education. This environmental context placed pressures on public universities to deregulate, to privatize and to commercialize. Teixeira (2006) found that the federal government shifted its economic policies from a position of employing government intervention to address market failures, towards one where institutional behaviors resembled private organizations rather than public ones. U.S. President Ronald Reagan's economic advisor Milton Friedman believed that it was important to reduce the government's role in higher education. In 1981, he proposed student vouchers rather than institutional funding and also funding at the state rather than federal level. He used the market concept of the student as consumer

to increase competition among universities and to encourage better use of federal resources. The arguments presented to justify market competition and the privatization of higher education included that this change would produce greater efficiency, differentiation, and innovation within and among universities. The outcome would be more competitive U.S. universities in the global market. President Clinton continued this philosophy during his two terms by instituting higher education policies to meet the financial needs of the middle class. Clinton worked with a Republican Congress that linked the freedom of the individual with civic responsibility and the use of government intervention when there was market failure. In the new market economy, the use of supply-side economics encouraged increased production, since one must produce and sell before one can afford to buy.

The Higher Education Act (HEA) of 1965 was amended in 1972 to provide student financial aid (Pell Grants) to students rather than to institutions. This created competition among universities for student federally subsidized dollars. HEA expanded the pool of federal student aid recipients from full-time traditional students at public universities to include students at private institutions. The relationship that students had with public universities changed from that of public service recipients to that of consumers. It set the basis for public universities to market themselves to students and the public. In the 1980s, four major pieces of legislation contributed to universities becoming more entrepreneurial in their mission interpretations and operations. The legislative pieces included the following: the Bayh-Dole Act of 1980 that allowed universities to keep research patents; the Stevenson-Wydler Act of 1980 that included public universities in technology transfer acts and cooperative research

agreements with the federal government; the reauthorization of the Higher Education Act of 1965 that provided Pell Grants directly to students; and the 1984 Trademark Classification Act that lifted restrictions on universities ownership of inventions.

Table 2.1 lists some of the economic and political trends identified by Slaughter and Rhoades (2004) that drove academic capitalism between 1985 and 2005. These examples of federal and state legislation changed the structure and manner in which public universities conducted business. University organizational structures and relationships and partnerships with private industry changed, students were viewed differently, faculty and other professional staff work were redefined, and the ways in which instruction, research and service were created, supported, and implemented also changed. These changes were supported in the university infrastructure by the fastest growing category of professional employees on college and university campuses—the managerial professionals (Rhoades, 1998; Rhoades, 2006; Rhoades & Sporn, 2002).

By the late 1980s and into the 1990s, higher education was perceived as a private personal good, not a public or social good. Public universities moved closer to the market by viewing the student as a consumer. The student market was segmented as institutions began to differentiate in order to attract a certain quality of student through admissions' selectivity. In the marketplace, not all consumers were viewed as being equal, in a system analogous to that of mortgage loan applicants.

Mortgage companies favor applicants who have good credit histories and collateral to cover the loan, should the applicant default on payments. When free market concepts are applied to student applicants, universities favor students who

Table 2.1

Economic and Political Trends Driving Academic Capitalism, 1985–2005

Timeframe	Economic	Political
1980s	- 1975-1995 Revenue from local, state and federal government sources diminished. - 1982 First big public university fundraising campaign (UCLA) initiated - Students viewed as consumers. - Competition increased among universities to attract students. - Severe national recessions occurred in the late 1980s and early 1990s.	- Bayh-Dole Act of 1980[a] - Stevenson-Wydler Act of 1980[b] - 1981 Continuation of HE Act of 1965, amended in 1972 that provided Pell Grants directly to students. - 1984 Trademark Classification Act lifted restrictions on inventions that universities could own.[c]
1990s	- Emergence of For-Profit IHEs (Institutions of Higher Education) to compete for students. -Emerging importance of private fundraising at universities	- 1995 Digital Performance Right in Sound Recordings Act[d] - 1997 Taxpayer Relief Act[e] (Hope Scholarships, tax credits and tax shelters for higher education) - 1998 Next Generation Internet Act[f] - 1998 Digital Millennium Copyright Act - 1998 Higher Education Act redefined criteria and included private for-profit schools as part of IHEs with access to federal aid.

Timeframe	Economic	Political
2000s	- 1994-2004 voluntary donations to higher education grew by 94% nationally in constant dollars	- 2006 Trademark Dilution Act passed into law allowing institutions to copyright distinctive marks (logo identify and branding marks)

[a] Bayh-Dole Act of 1980 provided incentives for public universities to enter into partnerships with private corporations in the development of research patents and copyright of intellectual property. Prior to this act, research discoveries from projects that were federally-funded, belonged to the federal government. With the objective of increasing US competitiveness, the Bayh-Dole Act allowed universities and their faculty to own intellectual property and the resulting patents that resulted from federally funded academic research. This commercialized the way that university research potential was viewed by faculty and universities, placed research activities closer to the marketplace and increased the contributions of university research to state economic development.

[b] Stevenson-Wydler Act of 1980 set the administrative and legal procedures and policies to include public universities in technology transfer acts and cooperative research and development agreements with the federal government.

[c] Trademark classification Act of 1984 gave universities the ability to protect their names, logos and mascot, eventually leading to the development of trademark licensing programs

[d] The 1995 Digital Performance Right in Sound Recordings Act strengthened intellectual property rights and was the result of the Republican revolution led by Newt Gingrich (Slaughter & Rhoades, 2004).

[e] The Taxpayer Relief Act of 1997 included Hope Scholarships, tax credit for lifelong learning, and tax-sheltered college savings' accounts. These programs promoted competition among institutions of higher education and allowed middle and upper-middle class families to benefit from college/education tax-sheltered savings in lieu of a federal subsidy of tuition.

[f] The Next Generation Internet Act and the Digital Millennium Copyright Act were passed in 1998. This legislation strengthened patent and copyright legislation, emphasized protection of digital forms of creative expression, and protected intellectual property in global markets, similar to other goods and services traded internationally (Slaughter & Rhoades, 2004).

have an academic history that suggests the student will attain a degree and graduate from college rather than drop out. Likewise, the student who comes from a family where parents can pay tuition and related university costs without default would be preferred. By redefining students as consumers in higher education, federal legislation created quasi-markets. However, like other marketplaces, the higher education market favored middle and upper-middle class students who could pay their tuition bills.

Slaughter and Rhoades (2004) found that the National Institutes of Health received tremendously increased federal funding following the end of the cold war, with the increased global competition, the restructuring of the defense industries and the rise of the information economy, and thus entered into a basic-science-for-use model. The significance of this shift in federal funding was the new emphasis on biomedical and biotechnology research at universities. Research funding favored academic and research units in the sciences. This federal shift was supported by universities who rewarded and provided internal budget incentives to these colleges, units and departments. Slaughter and Rhoades (2004) found that U.S. Competitiveness Policy Legislation led to the U.S. Department of Commerce receiving federal funds to develop programs in the Advanced Technology Program, the Technology Reinvestment Program, the Environmental Technology Initiative, the Manufacturing Extension Partnerships, the Small Business and Innovation Research, and more, with strong support from President Clinton.

The Internal Environment

The American Council on Education (2004) described the change as "an on-going, organic process in which one change triggers another, often in unexpected places, and through which an interrelationship of the component parts leads to an unending cycle of reassessment and renewal" (p. 1). The academic workforce changed in response to new organizational structures, incentives and rewards (Slaughter & Leslie, 1997; Slaughter, Archerd, & Campbell, 2004). The number of full-time tenure track faculty remained constant while the number of non-faculty professionals increased.

Slaughter and Rhoades (2004) found that public universities formed partnerships and created new networks with private industry. Universities aligned themselves with the market by offering educational services and knowledge production in return for new revenue streams. Patterns of academic work placed more emphasis on research that brought revenue to institutions through contracts and grants, fees for service, and sale of intellectual property. Gladieux and King (1999) found that in 1995, the federal government supplied more than $13 billion to colleges and universities, the largest source of financing for campus-based research. Curricula became standardized. Greater costs for instruction and services were transferred to students and their families. Internal university resource allocation policies invested in entrepreneurial centers and institutes and in university programs, departments, and services that were perceived to be closer to the market and appeared to have a better chance for a return on investment. These were mostly in the natural sciences and medical fields. University programs, departments, and

colleges experienced shifts in how they were directed, managed, funded, rewarded and assessed. Institutional autonomy provided increased flexibility for public universities intent on generating private revenue while retaining their public organization status. Three major institutional changes helped to explain changes in the academic workforce in the 1980s and 1990s. These changes included the following: (1) higher education finance; (2) faculty work and numbers; and (3) institutional accountability (Gumport & Jennings, 1999; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004; Schuster & Finkelstein, 2006a; Zemsky, 2001).

Higher education finance. National changes in public and private institution revenue sources for the 1975 to 1995 period resulted in the revenue from local, state and federal government sources diminishing in its percentage of total university revenues (Gumport & Jennings, 1999; Zumeta, 2006). The decrease in the traditional funding base for higher education triggered institutional change (Slaughter, 1998; Zumeta, 2006). Gumport and Jennings (1999) found that the privatization of public universities occurred in response to the public's resistance to funding public universities and to the competition of other state funding needs. Higher education as a public good was replaced with the view that higher education was a private and personal good. It was believed by policymakers that people would be willing to make greater personal financial investment in higher education in order to attain personal advancement. Slaughter (1998) found that federal tax policies, along with the deregulation, privatization and commercialization of government entities from the Reagan administration promoted supply-side economics. Higher education institutions had to secure new funding sources and began to privatize, deregulate and

commercialize programs and services through liaisons with business and industry. Slaughter and Leslie (1997) found that this was accomplished through public-private partnerships focused on innovative intellectual product development and the marketing of educational and business services. Public universities designed a new revenue mix that relied more on generating institutional revenue and private revenue and less on local, state and federal government funding.

Public universities sought to expand their revenue base by changing their institutional relationship with students and by moving towards privatization Zemsky, 2000; Zemsky, Shaman, & Shapiro, 2001). Tuition costs were increased and students and families assumed greater financial responsibility. Efforts to recruit nonresident and international students, who pay higher tuition, increased. The share of total revenue from institutional sources such as tuition, fees, and sales/service activities increased steadily to fill the gap created by diminished government revenues. Public universities began assuming the characteristics of privatization, particularly as they were also threatened by the increased visibility and assertiveness of private for-profit universities.

The public university's academic mission did not alter with the change in finance revenue streams and resource allocation. Although local, state and federal funding remained the same in constant dollars, the percentage of government funding for instruction decreased as part of the new total revenue mix. Gumport and Jennings (1999) found that spending on managerial professionals who did teaching, academic advising, distance education, and other activities in academic support, student services, and through scholarships increased significantly from 23–57% over

this 20-year period. The increase in expenditures to support instruction helps to explain the growth in managerial professional numbers, and their expanded roles and responsibilities.

Slaughter and Leslie (1997) found that private fundraising emerged in the 1990s as an increasingly important revenue source. Gumport and Jennings (1999) discovered that there was greater dependence on private sources of revenue from alumni fundraising, business and corporation donations and partnerships, and foundation grants. Vest (2006, September) found that private gifts, grants and contracts accounted for 9% of annual revenue, according to the Council on Government Relations, November 2003. A 2002 NACUBO *Endowment Study* reported that the endowment of public institutions was growing at a faster rate than the endowments of private schools, based on the annual addition of gifts and investment. This was because public universities enroll a greater number of students than private ones, so the potential funding base from private individuals, especially the alumni, is larger. The publics are accumulating gifts at a relatively faster rate than the privates. Approximately 25% of gifts are from alumni, 25% from non-alumni, and 50% from corporations, foundations, and religious and other organizations. As the Council for Aid to Education (2004) suggested:

> Between 1994 and 2004 annual voluntary support of higher education
>
> grew by 94 percent in constant dollars; even when normalized to the
>
> growing number of enrolled students, it still grew by 84 percent (p. 1).

College Relations and External Relations programs were initiated and expanded by public universities to provide institutional advocacy with these various public

markets. Cash (2002) found that these offices and programs function to position and link the university in the marketplace to support efforts to raise private funds from faculty relationships with local corporations, academic units with private foundations, and campus relationships with athletics boosters and the alumni.

U.S. corporations and corporate foundations made cash and in-kind donations targeted at university activities that had potential to directly benefit the corporations. Vest (2006, September) found that approximately $13.6 billion was donated by corporations in 2003, of which 11% supported higher education. Douglass (2006) suggested that public universities responded to the passage of the Bayh-Dole Act of 1980 promising economic rewards from patent rights for discoveries made through federally sponsored research. Universities sought corporate-university research partnerships. Gifts and endowments from private philanthropy gained prominence as public universities sought to increase private giving in order to build a sizable endowment.

The American Council on Education (2004) found that the change in resource revenue mix contributed to restructuring within the organization. Revenue from new sources such as institutional and private funds was applied to new institutional ventures as well as towards supporting existing instructional and other institutional infrastructure. Slaughter and Leslie (1997) found that within discretionary funding categories, funds were reallocated to technological innovation and units that could contribute towards economic competitiveness. Volk, Slaughter and Thomas (2001) found that resource allocation rewarded units that were seen as being closer to the market. Entrepreneurial academic units were developed with the intent to leverage

35

revenue from units perceived as being closer to the market (Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004). Legal offices were needed to advise and oversee legal requirements related to public-private partnerships and research incubator programs for potential startup businesses. Institutional restructuring often provided a greater amount of funding to units and departments that were able to leverage institutional funds to promote or develop their programs and services directly towards the market, resulting in generating additional revenue from external grants and contracts or other sources of revenue (Slaughter & Leslie, 1997). The financial uncertainty of the institutional environment encouraged faculty and institutions to direct their efforts toward programs and research that intersected with the marketplace. Slaughter and Leslie (1997) found:

> To maintain or expand resources, faculty had to compete increasingly for external dollars that were tied to market-related research...whether these monies were in the form of research grants and contracts, service contracts, partnerships with industry and government, technology transfer, or the recruitment of more and higher fee-paying students. (p. 8)

Faculty work. In 2001, the U.S. Department of Education data documented that 44.5% of faculty appointments were part-time (USDOE, 2001 as noted in Schuster & Finkelstein, 2006a). In 1969, only 3.3% of faculty appointments were off the tenure track, but by the 1990s, over half of new full-time appointments were off the tenure track (Schuster & Finkelstein, 2006b). Bradley (2006) found that the increase in part-time and full-time non-tenure track faculty is a national issue that led to the American Association of University Professors (AAUP) changing the name of

36

its standing Committee on Part-Time and Non-Tenure-Track Appointments to the Committee on Contingent Faculty and the Profession. The increased number of contingency faculty was thought to pose a threat to academic freedom, shared governance, traditional academic values (Allen, 2006), and the ability of graduate students to obtain a degree within a reasonable time (Bradley, 2006). An article by the American Federation of Teachers (AFT) stated:

> As tenure-track lines are left unfilled and the proportion of tenure-track faculty is decreasing, faculty have a diminishing role in the important work of university governance, leaving an open field for increasing managerial decision-making. (AFT, 2003, p. 8)

Decrease in instructional expenditure is often cited as one of the reasons contributing to the decrease in full-time tenured faculty positions and the increase in part-time contingency faculty. Bradley (2006) suggested that the increase in the number of contingency faculty supports the idea that contingent faculty must be managed and controlled by the increasing number of managerial professionals who have responsibilities and authority as program managers and administrators. Expanded managerial capacity was directed towards restructuring faculty work towards lower instructional costs (Allen, 2006; Rhoades & Maitland, 2006; Slaughter & Rhoades, 2004). Rhoades (1996) found that labor contracts enhanced managerial discretion for hiring and managing part-time faculty by providing for an "absence of conditions" (p. 630) surrounding workforce actions and by "explicit statements of management rights" (p. 632) regarding workforce matters. In practice, this meant that managers had great flexibility to hire part-time faculty without full-time faculty involvement in

the hiring process when there was insufficient time to consult with department faculty. Rhoades found that the administration had the responsibility to determine the "configuration of the faculty workforce" (p. 637) by deciding on the number of full-time and part-time faculty. There are concerns that the decrease in full-time faculty will result in the de-professionalization of the faculty and the academic workforce (Allen, 2006; Rhoades, 1996).

Vest (2006, February) stated that the Bayh-Dole Act of 1980 awarded patent rights to universities for inventions made through federally sponsored research and thus contributed to corporate-university research partnerships that relied heavily on the intellectual property of and participation by the faculty. Slaughter and Leslie (1997) found that faculty work in research reflected changing patterns of academic work which were accompanied by "a complex 'administrative lattice' to manage this research growth" (p. 20). As Slaughter and Leslie (1997) noted:

> Very often the new units called for the addition of large numbers of professional officers and nonacademic staff, who were fiercely loyal to center or institute heads, did not engage much with faculty, and were not interested in teaching. They were much more a part of the commercial culture than the academic culture and tended to bring commercial values to their work, concentrating on making their centers operate more like small firms, expanding commercial activity, and generating increased amounts of profit (p. 20).

Walter (2001) found that as public research universities moved toward privatization and corporatization, patterns of work were restructured by eliminating

or merging programs such as adult education or public extension education and placing greater resources into programs such as commercialized distance learning. The increase in programs, departments, and activities requiring distance education and educational technology required infrastructure to bring the institution closer to the global market.

Rhoades (2001) found that faculty comprised approximately 50% of the professional employees on campus, compared to 66% in the 1970s. In addition to the growing administrative lattice of managerial professionals, there are a growing number of managerial professionals who work alongside or in place of the faculty at universities. According to Rhoades (2001), professionals other than the faculty can be found in traditional and distance delivery systems for instruction. Research productivity includes work by technology transfer professionals and revenue is generated by development professionals. As full-time faculty decreased as a percentage of total academic labor, the percentage of managerial professionals increased.

Institutional autonomy/accountability. One way of framing change is to focus on higher education's public purpose in contrast to institutional autonomy from excessive state oversight and regulation. Many public universities had attained institutional autonomy by the mid-1990s. However, Leveille (2005) found that autonomy and accountability are linked and speak to the social contract between higher education and society to maintain the public trust. Public universities have responded to the public call for accountability by demonstrating how the institution meets state needs in a fiscally responsible manner via accountability (Eckel &

Couturier, 2006). Leveille (2005) stated, "[Accountability] is a public-oriented process that seeks to assure public constituents of the value, effectiveness, and quality of higher education" (p. 3).

Determining both what accountability is and who is authorized to make decisions are in question. Kelly (2006) suggested that a clear idea of what institutions are to accomplish is needed before higher education can be held accountable. Accountability links the many changes occurring in higher education, such as rising tuition costs with the alumni, private individuals, and organizations who donated resources. It links the internal and external performances of universities through internal audits and external national accreditation. Morelon (2006) suggested that accreditation and assessment all contribute to the institution's accountability and institutional effectiveness to achieve institutional improvement. With autonomy, the institutions needed to demonstrate public, business, and government accountability in its use of public resources such as facilities, land, personnel and funding. Accountability links policy makers, elected officials, and educational leaders with concerns over higher education's role and responsibilities, quality, and performance, and perceived rising costs, according to Leveille (2005).

Groan and Cunningham (2006) found that research has explored the public and private benefits of higher education when assessing accountability. They argued that an educated workforce increases productivity on several levels. First, educated persons who are employed earn a higher income than those who have not attained a college degree. Employed workers contribute to a higher tax base for the state and

40

nation and a lower unemployment rate decreases the demand for government-provided social services.

Emerging elements of accountability are institutional accountability, transparency in operations via openness to public disclosure, and having a culture of evidence that reflects institutional responsiveness and organizational self-awareness when planning and contemplating action (Leveille, 2005; Yount 1996). Redenbaugh (2006) found that the perception existed that higher education lagged behind other industries in its use of management accounting tools to analyze and interpret financial information to better manage institutional resources. Examination of the management accounting tools (Revenue Cycle Management (RCM), ABC, and Return On Investment (ROI)) used by the chief financial officers at institutions revealed a significant difference in management accounting tools by chief financial officers (CFOs) who had professional certification. There was also a difference in the number of management accounting tools used by CFOs with private sector experience and CFOs with public sector experience. The increased public scrutiny of institutional accounting practices led to increases in the number of managerial responsibilities for financial transactions, procurement and fiscal oversight.

The attainment of institutional autonomy and accountability help to explain the increasing number of managerial professionals hired to oversee, manage and account for public resources provided to the institution in the form of facilities, land, personnel and other necessary infrastructures. Institutional autonomy requires spokespersons and government relations staff to communicate to government policy and decision-makers and to the general public that the institution is being responsible

41

in how it is using public monies. Public affairs professionals are needed to maintain the strategic public positioning of the institution so that public higher education institutions can continue to receive on-going general support from the larger community.

Managerial Professionals

Schuster and Finkelstein (2006) found that in the early 20th century, the student personnel movement relieved faculty of the responsibility of student discipline and dormitory supervision and enabled faculty to accept research and institutional governance responsibilities (p. 76). Those university employees who worked in student personnel were the prototype for today's managerial professionals. In the 1980s and 1990s, the percentage change within the managerial professional group (including administrators) increased approximately 84%, compared to the percentage change in other employee groups, such as faculty and clerical staff (ACE 2004, NEA 2003). Managerial professionals branched out from historical roles in student affairs and research. These professionals began to fill new positions in the expanded function of student affairs, in entrepreneurial activities, external affairs, and in offices responsible for regulatory compliance and institutional assessment and accountability.

This literature review searches for information on the emergence of managerial professionals in the campus workforce by linking academic capitalism to changes in higher education finance, faculty work, and institutional autonomy. The criteria used for determining inclusion in the literature review were the following: (1) substantial national longitudinal studies based on empirical data that spanned

42

multiple major public universities; (2) studies that identified trends in academic labor; and (3) smaller current studies that identify the work of managerial professionals. The relevance of the literature was determined based upon whether the study helped to explain changes in the university workforce and the growth of managerial professional numbers, roles, and responsibilities. Social Science Citation Index (SSCI), a database of the top 100 peer-reviewed journals considered to have the most influence on the development of the profession, was the primary tool used to identify the selected journal articles. A review of secondary documents specific to this study's institution provided insight to on-going dialog on managerial professionals' roles and responsibilities by university executives, its regents, and its faculty, complementing and contrasting with the national literature,.

The literature identifies that the number of managerial professionals has been increasing over the past twenty years, and continues to increase in response to the marketplace (American Council, 2004; Gornitzka & Larsen, 2004; NEA, 2003; Rhoades, 2000; Rhoades, 2001; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004). At the beginning of the 21st century, two reports from the American Council on Education (2004) and National Education Association (2003) analyzed federal national longitudinal data during the 1980-1990 and 1990-2000 period and reported on the growth in numbers that occurred and continues to take place among administrative staff at universities and colleges. This phenomenon among the administrative staff was not confined to the United States, but was also documented in another national longitudinal study conducted during the same time period by Gornitzka and Larsen (2004) in Norway. Gornitzka and Larsen (2004) used

empirical documentation of the restructuring of administrative staff and found "a period of steep growth in university administration in the 1990s" (p.455) and the professionalization of the administrative staff. New roles and increased responsibilities, the attainment of bachelor's degrees (Gornitzka & Larsen, 2004) and the formation and participation in professional associations all contributed to the professionalization of the staff. Slaughter and Leslie (1997) found that managerial professionals belong to groups that include the following:

> The Association of University Technology Managers, Association of Collegiate Licensing Administrators, Association of University Marketing Professionals, National Association of Student Personnel, National Association of Financial Aid Managers, National Association of College and University Business Officers, and many others. (p.28)

Managerial professionals were drawn to university production work as the academic units became stratified and academic labor began to change. As the number of full-time tenured faculty decreased, the number of managerial professionals increased. The changes in academic labor reflect less full-time faculty, more part-time contingent faculty, and the increased presence of managerial professionals (Bradley, 2006; Rhoades, 1996; Rhoades 2001). The increased presence was due to work in central administration and in increasingly central work roles and responsibilities in academic colleges (Rhoades, 1996; Slaughter, 2005; Slaughter & Rhoades, 2004). Enrollment management staff analyzed and projected institutional capacity to aid admissions staff and college academic advisors in outreach and recruitment efforts towards high school students. Greater managerial

44

capacity was needed for the increased production work taking place at the institution, as well as greater managerial discretion directed towards restructuring faculty work to lower instructional costs (Rhoades, 1996; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004; Schuster & Finkelstein, 2006a). Academic units perceived as being closer to a market with a better return on investment received greater internal allocation of funding. Volk, Slaughter, and Thomas (2001) found that tensions can develop when faculty associated with some curricula may not be given the same support as faculty in other more favored departments. Managerial professionals supported faculty work in research, managed programs and units where there were increasing number of contingent faculty, and provided increased capacity in central administration and throughout the campus to support the higher productivity.

Rhoades and Sporn (2002) found managerial professionals mostly clustered in three higher education managerial groups. The positions related to the following categories: (1) entrepreneurial activity; (2) evaluation and accountability; and (3) services, largely student services. By the mid-2000s, there was an expansion of interest in and study of full-time professional staff in all areas of student affairs (Guillermo, 2003; Kennedy, 2004; Motter, 2003; Murrell, 2005) such as academic advisors, student counselors, student specialists, resident advisors, and financial aid professional staff. Studies examined characteristics of managerial professionals ranging from their motivations, job satisfaction, professional aspirations, the importance of institutional recognition of their work, and student feedback on quality of services provided by these employees (Guillermo, 2003; Kennedy, 2005; Murrell, 2006; Weaver, 2005).

Differences between the work of faculty and the work of managerial professionals began to blur as faculty patterns of work changed. Vestrich (2006) found that faculty and managerial professionals began to work in partnership. Rhoades (1998) found that faculty increasingly had administrative responsibilities, including administering grants, hiring and supervising staff, serving on committees, and drafting policies, just as many faculty in higher education programs trained "scholar administrators who address issues relevant to practitioners and policymakers in the field" (p. 116). He was referring to former students who did not choose between teaching as faculty and administration as managerial professionals. He pointed out, "Many seek to do both, sometimes at different points in their careers" (Rhoades, 1998, p. 116). Therefore, Rhoades (1998) argued that the role of non-faculty managerial personnel needs to be re-conceptualized from offering primarily services, towards obtaining greater institutional efficiencies. By conceptualizing administration in terms of costs, we limit our understanding of non-faculty professional's productivity (managerial professionals) and their contribution to the production work of the academy (Rhoades, 1998; Rhoades & Slaughter, 2004). As Rhoades (2006) noted:

> ...managerial professionals are more than an increasing administrative cost. They are increasingly involved in key activities from assessing quality and ensuring accountability to providing student and consumer services to facilitating the production of instruction and research to engaging in entrepreneurial activities. They are key players in academic capitalism. (p. 390)

Managerial professionals like curriculum designers and website managers did not have the same rights and protections for their contribution towards intellectual property development as did faculty (Slaughter, 2005). Rhoades (1998) and Gornitzka and Larsen (2004) point out that simple dichotomies detract from how administrative work and costs are viewed. LaMuth's (2006) qualitative study of how formal managers and non-formal managers view themselves also looked at this blurring of work differences, noting that both of these employee groups work as managers as well as educators in their positions. LaMuth wanted to know how they saw themselves. Were they managers or were they educators? Humphrey (2006) examined how managerial professionals view themselves and their work when researching enrollment mangers. In this study, the professionals identified themselves as administrators, educators, and entrepreneurs.

Managerial professionals moved into new work areas developing on campus, such as enrollment management, student recruitment, and entrepreneurial enterprises. Slaughter and Leslie (1997) found that managerial professionals were hired at institutes and centers "to help faculty apply for and execute grants, contracts, partnerships, technology transfer, and other entrepreneurial activity" (p. 216) due to increased research in entrepreneurial centers and institutes. Gains in student enrollment numbers resulted in managerial professional numbers increasing in student affairs and academic support services in order to provide the necessary increased capacity (Slaughter & Leslie, 1997). Anderson (2002) found further that as student recruitment activities increased, the need to link student recruitment and retention with institutional capacity evolved. The creation of enrollment management

47

offices resulted in managerial professionals working in this new or updated function. Humphrey (2006) found that managerial professionals leading enrollment efforts identify the enrollment manager as an administrator and educator, as well as an entrepreneur. The goals of these individuals were to maintain financial stability, increase student and institutional quality, and increase student diversity. Revenue enhancement activities were the priority. Enrollment management programs were also used to raise the quality of the student body. LaMuth (2006) compared formal managers and non-formal managers such as engineers, physicians, architects and extension educators concerning their reflections on whether they viewed themselves as managers or as educators, since they do both types of tasks in their work. These managerial professionals worked in facilities, buildings & grounds, and in campus design and planning. Some taught in the classroom. Some of the emerging literature on managerial professionals can be found from studies that examine the relationship between managerial professionals and other university employees. Parks's (2003) study examined both instructional faculty and administrative staff to see whether they promoted or resisted using distance education and what methods would increase the use of distance education technology and overcome challenges to distance education technology at a public research university. In another study regarding distance education, Stephens (2003) examined high-level administrators (president, provost, chief information and financial officers, deans) and professional support staff for administrator conceptual understanding of distance education program implementation and resource support. He examined how the professional IT staff

perceived the leadership's conceptual understanding of distance learning, the influence of market/peer pressure, the political influence and opportunity costs.

Changes in managerial professional roles and responsibilities did not occur without tension and frustration in work relationships with others and in terms of how these professionals viewed their sometimes multiple work roles and responsibilities. The literature revealed tensions in the transitioning of roles and responsibilities. One such tension is the perception that managerial professionals manage faculty and faculty work (Rhoades, 1998; Rhoades, 2001; Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004). Szerkeres (2004) referred to managerial professionals as invisible workers and explored the tensions over changing administrative roles as administrative staff became more managerial and involved in managing, marketing, and auditing. Vestrich (2006) referred to the strain in relationships as faculty roles change from being that of core employees towards being program consultants or "temporary hired hands who carry out policies and curricular tasks developed by non-educators" (p. 58). Not all accounts are negative, however. Hancock and Hellawell (2003) reported that academic middle managers benefit from transparency in their work with subordinates as well as with superiors. This transparency was viewed by these managerial professionals as a practice in administrative discretion.

The managerial professionals included in this study are classified as Administrative, Professional, and Technical (APT) staff. Campus discussions on the roles and responsibilities of managerial professionals took place between the faculty governance group and the institutional administration from the late 1960s to the beginning of the 1970s as the Faculty Senate deliberated on whether managerial

professionals should be included in the Faculty Senate By-Laws revision under

"faculty" (Bess, 1972, June 28; Crowell, 1969, August 19; Minutes, December 16,

1970; Report, 1970; Wilson, 1972, May 30). The question was whether or not these

managerial professionals were a part of the faculty (Minutes, June 10, 1970;

Minutes, December 16, 1970; Minutes, October 12, 1972; Nemetz, 1967). In the

mid-1960s, the university required the master's degree as a minimum qualification

for managerial professionals and at that time the number of managerial professionals

was small and their work was primarily in research. A special report prepared by a

mainland consulting firm in 1967 recommended that managerial professionals

become the third primary university personnel classification system in addition to the

present civil service and faculty systems (Nemetz, 1967). The report informed that

the managerial professionals group was never formally created; it developed out of

necessity. The report recommends the importance of defining the limits of this new

[managerial professionals] group, to determine how people would be appointed to it,

how compensation would be determined, and to state that lines must be drawn

between the new group and the already established appointment systems of the

clerical staff and the faculty. Several years later the Hawai'i State Legislature

recognized the need for such a group when it added chapter 89, the new exempt

category of "administrative, professional and technical personnel of the University"

to the civil service law. Defining the limits to the roles and responsibilities of

managerial professionals was an issue because substantial overlap existed between

the managerial professionals and the faculty ranks, especially in the areas of research

and specialist categories (Edmunds, 1972a, 1972b).

Debates on managerial professionals' roles and responsibilities continued into the 1970s, specifically regarding whether the research and specialist classification from the managerial professionals' employee group should be abolished (Bess, 1972; Edmunds, 1972b). In 1970, the university regents at this campus believed that the managerial professional designation would allow senior executives the flexibility to hire senior level personnel, including vice presidents, under the classification "managerial professionals" (Minutes, October 12, 1970). The Board of Regents Minutes (June 10, 1970) read:

> A new special range is added. This would accommodate the higher salaried personnel, including vice-presidents. It would also counteract the psychology that appointments on the APT schedule are somehow less worthy than appointments on [the faculty schedule].

The discussion of managerial professionals' roles, responsibilities and authority by university executives surfaced again in a 1991 [campus] President's Task Force on Administrative Professional Technical (APT) Action Plan that recommended professional development opportunities for managerial professionals. Tensions related to the roles, responsibilities and authority of managerial professionals led to the campus president issuing the following correspondence to his senior staff on the importance of managerial professionals who served in administrative roles:

> The Role of [managerial professionals]: Both academic and non-academic offices exist to support the mission of providing a first class educational experience for our students and achieving excellence as a university....We,

the academic and non-academic administrators and staff, are a team, with a common objective. We must act as one. (A. Simone, personal communication, February 4, 1991).

Summary

From 1985-2005, the number of managerial professionals on university campuses increased. In the past scholars, have not been particularly interested in conducting research on managerial professionals, yet with their increasing numbers and expanded work roles, responsibilities and work patterns, research is beginning to emerge about this employee group. Academic capitalism is used as the theoretical lens to review major themes from the literature that situate this study. The literature presented an overview of political and economic pressures upon the university from the external environment that changed the funding base of public universities and how university business is conducted. Internal institutional responses to these external pressures in the areas of higher education finance, faculty work, and the attainment of institutional autonomy were examined. Framing how the work lives of the research participants were affected by these institutional help us to understand what contributed to the increase in managerial professional numbers and how their roles and responsibilities have expanded.

Chapter 3
Method

In complex human organizations, whatever occurs to one group of employees influences other employee groups within the larger organization. Martin Luther King, Jr. stated, "We are caught in an inescapable network of mutuality, tied in a single garment of destiny. Whatever affects one directly affects all indirectly" (1963, p. 6). This chapter describes this project's research design, data collection, data analysis, and limitations. Qualitative research methodology was appropriate for this study to examine how the work lives of managerial professionals with 20+ years of work experience changed during a time of decreased state support. The research questions (see chap. 1, p. 2) provided general boundaries for the examination of the changes in number, work roles, responsibilities, and the relationship of work to institutional mission of managerial professionals at a single large public university. Qualitative tools allowed participants to answer the research questions from their perspective.

Research Design

The research utilizes a single case study design to explore how organizational change influenced change in the work patterns of managerial professionals. The case study was bounded by the physical boundaries of a single campus and by the study timeframe of 1985–2005. The site provided the historical, political, economic, and cultural context for the study. Data were collected through written reflections, individual interviews, focus groups, and institutional documents. Participants reflected on the institutional changes they had experienced over the twenty-year period and how this had affected their work lives. They were asked to discuss

specific work life changes that had occurred in the past five years. Participant selection was criteria-based in order to select employees who had worked within the university system for the past 20 years. These employees had employment security and full benefits. Participants who were stakeholders in the institution and who had enough knowledge of the organizational systems to be able to identify its complexity and nuances were selected. Additional criteria included different level positions in the organizational hierarchy that would influence perspective and generational differences from those hired in the 1960s, 1970s, and 1980s.

Qualitative inquiry assumes that ways of knowing are subjective and context-based. Creswell (1998) quoted Denzin and Lincoln as stating, "Qualitative research is multi-method in focus, involving an interpretive naturalistic approach to its subject matter" (pp. 14–15). This study used a constructivist-interpretive lens that assumes both the existence of multiple realities and that meaning is constructed subjectively (Denzin & Lincoln, 1998; Vidich & Lyman, 2000). It also used an emic approach by selecting data collection tools that supported the constructivist-interpretative structure. Creswell (1998) defined the term "emic" as use of the participants' views to create meaning rather than solely the researcher's interpretation. The research questions were embedded within the data collection tools of participant reflection pieces, personal interviews, and focus group meetings, so that participants told their stories in their own voices. Hamilton (1998) argued that the constructivist-interpretive structure recognizes the participant's practical knowledge to make decisions and to play a part in his or her own self-determination. Guba and Lincoln (1998) explained that the constructivist-interpretive process "provides meaning and

purpose attached by human actors to their activities" (p. xi). Examining the voices of multiple participants allowed a case study that was richly detailed and that contributes to a better understanding of how the work lives of these professionals were influenced by changes occurring on campus.

Case study. This case study is based on perceptions of twenty-four managerial professionals in regards to changes in their work roles and responsibilities during a period of organizational change. Stake (1998) called this focus on one group of actors an intrinsic case study. The uniqueness of this case is presented in the research site section, bounded by the single campus and by the timeframe of the study. The case study is appropriate for this study as inferred at the beginning of this chapter by Martin Luther King's quote regarding our shared network of mutuality. Stake (1998) commented:

> In life itself, this [meaning] occurs seldom to the individual alone but in the presence (not proximity) of others. In a social process, together they bend, spin, consolidate, and enrich our understandings. We come to know what has happened partly in terms of what others reveal as their experience. (p.95)

I wanted to maximize the opportunity to learn about managerial professionals and included the focus group sessions. This data source provided the social process in which participants would hear each other's stories and jog each other's memories.

Research site. Established as a land grant college in the early 1900s by the state legislature in conjunction with the federal Morrill Land-Grant Colleges Act, this university is also designated as a space grant and a sea grant institution. Yount (1996) contrasted the public land grant model in which power is broken and equal

weight is given to the tripartite teaching research and service missions to that of the German model that features "an academic hierarchy dominated by a small number of omnipotent professors" (p. 256). During the 1960s and 1970s, a single state university system was created across ten campuses. The university distinguished itself as a research institution in 1972 and today conducts education, research and public service programs for the state, the nation and the global community. The university campus offers bachelor's degrees in over 90 different fields, master's degrees in close to 90 fields, doctoral degrees in over 50 areas, and professional degrees in law and medicine. The system is governed by a single Board of Regents. There is a president for the ten campus system and a chancellor for each campus. In 2003 the state university system enrolled 48,000 students and employed 1,800 managerial professionals. Situated on approximately 300 acres of land in the heart of the metropolitan state capital, the campus is in close proximity to the commercial, cultural, and political life of the state.

The institution has undergone continuous organizational change throughout its history. The most recent decentralization is the 2001 separation of the campus from the university system administration. In 2004, in line with recommendations from its accrediting body, the Western Association of Schools and Colleges (WASC), the campus chancellor proposed to complete the separation of the campus from the system administration by reorganizing the campus chancellor's office and establishing vice chancellor offices distinct from the system administration. In this process, campus functions were established to be managed and governed at the campus level. The system would be responsible for policy, planning and system

56

coordination. The campus would be responsible for campus operations. The 2004 proposal was projected at approximately $3 million with implementation over a two-year period beginning in 2006. The plan included funds for more operational staff at the campus by transferring system-level funds and internal reallocations from the system to the campus. It was not to involve reallocation of instructional budgets.

Diminishing enrollments occurred in the late 1990s. After the campus reorganized and retained tuition dollars in its budget, enrollment grew 19.6% to 20,644 students between fall of 2000 and 2005 (IRO, 2006). Ethnic diversity among the student population is among the highest in the nation, with representation from Caucasian, Chinese, Filipino, Japanese, Pacific Islander, and Mixed Ethnicities. In fiscal year (FY) 2005–2006, 4,400 degrees were awarded.

Researcher role. Janesick (2000) wrote that the researcher's role is a distinctive aspect of qualitative research, with the researcher becoming the research instrument while remaining conscious of her own biases and ideological preferences. Using inductive analysis from data themes and patterns, the researcher as storyteller must pay attention to detail, be flexible in the data collection process, and interpret participant beliefs in order for their stories to be told effectively. Lincoln & Guba, 2000) found that the researcher's challenge is the process of reflexivity; "the researcher must reflect critically on the self as researcher . . . and come to terms not only with our choice of research problem and with those with whom we engage in the research process, but with our selves and the multiple identities that represent the fluid self in the research setting" (p. 183). I present myself as both an insider and an outsider in this section.

Insider role. I brought to the study a managerial professional career in student

affairs, external affairs, and currently in institutional support as the assistant to the

dean at a college. During the sixteen years that I functioned as the administrator of a

system-level program reporting to the office of a vice president, the head leadership

in the office changed nine times and the university president changed four times.

Each president had a different philosophy, priorities, management style, and

relationship with the regents, the state governor, and the state legislature. Each

president reorganized the university. I experienced the turbulence of organizational

change in higher education, but as stated by O'Leary (as cited by V.L. Olesen, 2000),

"Personal experience is not a self-authenticating claim to knowledge . . ." (pp.

227–228).

My campus employment provided me with the social capital to gain access to

managerial professionals who met the criteria for this research and then agreed to be

participants. Bartunek and Louis (1996) found that the researcher's professional

background, epistemology, and empirical knowledge serve as lenses and as a

barometer to the experiences and perceptions of the research participants. I am aware

that differences exist among the experiences of managerial professionals. For

example, not all of the participants may have experienced transformative change as

described by Mezirow (1991). Some managerial professionals in student affairs may

share my belief in the development of the whole person (Maslow, 1968) or that

public universities serve as a social equalizer that can increase an individual's life

choices as well as lift up our communities through the quality of their graduates and

alumni. My challenge was to balance my biases with the cultural self (Scheper-

Hughes, 1992 as cited by Olesen, 2000, p. 229) that provides insight and intuition in the collection and analysis of data in the research process (Casper, 1997; Daniels, 1983; Stacey, 1998 as cited by Olesen, 2000, p. 229).

I believe many managerial professionals have a strong sense of institutional mission and that they believe their work contributes to the public good as well as to the smooth functioning of the institution. I believe these managerial professionals would describe themselves as professionals. These professionals may perceive the work they do as addressing the bureaucratic requirements of a large public organization in which they must constantly use judgment, professional knowledge, and skill to provide balance in meeting the needs of the public good while responding to the influences of political and economic realities. They enjoy learning new ways of doing things, exercising initiative, and solving problems. I believe many career managerial professionals perceive their work as providing faculty members and campus executives with the freedom and flexibility to carry out professional responsibilities. Twenty years ago, few non-faculty professional associations existed in academe so managerial professionals had to go beyond the campus in order to obtain leadership roles and experiences through professional organizations and associations. I believe many consider work in public higher education a privilege and an honor. Over-zealous colleagues, however well-meaning, may nonetheless contribute to the negative influences of the bureaucracy.

Outsider role. I am also an outsider researcher (Bartunek & Louis, 1996). Due to the variations in the managerial professionals' roles and responsibilities across the campus, I did not have first-hand knowledge of every single one of these

59

employees' type of work. Each unit and program is an organizational culture unique

to itself. Participants who knew me or my work did not know me in the role of

researcher. I had to request permission to gain access and then, having gained access,

had to clarify my researcher role and responsibilities. Being both an insider and an

outsider influenced my approach to this study and likely influenced the data

collection, analysis and interpretation. Denzin and Lincoln (1998) found that

"Qualitative researchers self-consciously draw upon their own experiences as a

resource in their inquiries.... They seek strategies of empirical inquiry that will allow

them to make connections among lived experience, larger social and cultural

structures, and the here and now" (p. xi). There is agreement in the field to beware of

researcher bias and that calls for researcher disclosure, and there increasingly is

literature that identifies the value a researcher-practitioner brings in knowing where

to shine the spotlight or how to identify possible points of tension influencing

participants (Kleinman & Copp, 1993; Lincoln, 1993; Stake, 1998). Procedural

verification techniques were used to strengthen the research procedures and to

address researcher bias. These procedural verification techniques are described in the

section on trustworthiness of data.

Participants

On campus, managerial professional work titles span 12 job functions, 20

work areas and 54 units across campus. Lincoln (1993) and Ospina and Dodge

(2005) suggest that participant practitioners can be sources of knowledge, producers

of knowledge, and active consumers who inform the research process. Participant

diversity provided the opportunity for data triangulation (Denzin, 1978a, as cited by

Patton, 1987, p. 60) by selecting employees with different status positions and from different work functions, such as research, instruction, institutional support, or student affairs. Purposeful or criterion sampling was used so that participants would meet both inclusionary and exclusionary criteria. Participants passed their probationary employment period of three years of continuous employment, had been employed by the institution a minimum of 20 years, and would full employment rights and retirement benefits.

Although there are additional employees who do the same type of professional work as managerial professionals, these individuals are considered at-will employees due to the externally funded nature of their positions and therefore do not meet the criterion of employment rights necessary to be included in the participant sample. The criterion of employment security was used since these are the majority of managerial professionals on campus and they share the same employment security as two other campus employee groups: the faculty and the clerical staff. The value placed on managerial professionals with employment security was in order to identify that these professionals are among the stakeholders of the institution. Participants had to meet the following criteria for consideration.

1. Passed three-year managerial professional probation.
2. Employed 20+ years by the higher education institution and located currently at the study campus.
3. Had employment security and full benefits package, including retirement.

I received commitments from 30 managerial professionals to participate in the study. Over the course of the study, participant attrition occurred and at the conclusion, 24

managerial professionals had remained and actively participated in this study. The 24

active participants serve as a reasonable sample size to comprehensively explore the

research questions. The following section on "Sample Selection" describes the

selection process in detail.

 Sample selection. Participants were purposively selected using criterion

sampling from among a list of all managerial professionals categorized by the Office

of Human Resources as belonging to the *administrative, professional & technical*

employees (APT) group who met the sample criteria listed above. From among a

campus population of approximately 1,200 managerial professionals, 590 met the

study criteria. I asked the Office of Human Resources to run a second list of

managerial professionals hired between 1966–1985. Snowball technique was used

by asking managerial professionals, current and former directors of the managerial

professionals' union board, and members of the university community to recommend

individuals for the sample population using the criteria established for the sample.

Stratified sampling based on elements such as job titles, functional units, location in

organizational hierarchy, and decade of hire, helped me to further refine and whittle

the population to 150 names from which to draw a sample. I sorted the names in a

way that would be purposeful in providing information-rich data. Using an excel file,

I sorted by decade hired, by Pay Band, by job title/type of work, by current or former

membership on the union board of directors, by gender, and by ethnicity, for

maximum variation. I predicted that common patterns and themes that might emerge

from the variation would be significant because they emerged out of heterogeneity

(Patton, 1987). It provided me with access to these people. As the researcher, I had to

differentiate between whether I simply knew someone professionally and whether we had become friends over time, since friendship would add another dimension to the relationship. I wanted to have union board perspective in my participant sample and observed that several board member names were on the list of the 150 who met the study criteria. I had concerns whether it was appropriate that the people eligible for my study would also be involved in the process of identifying other potential research participants through my use of the snowball technique. My projected sample population of 30 research participants was an appropriate number based on Patton's (1987) qualitative research design advice. I created two lists and then cross-referenced these sampled lists with my purposeful sample lists. There was overlap in the samples as I had anticipated. I pulled the direct overlaps to create the basis for my "List A" and then added names based on stratifications based on decade of hire, job titles, and functional areas. I noticed that the Information Technology (IT) and personnel employee categories were missing. This was because these were systems-level positions. I made a decision to include them in this study since the literature had identified the growth of IT staff at universities. In order to do this, I modified my unit of analysis to staff physically located at this campus. I re-contacted the Office of Human Resources to secure the new lists. From the newly revised OHR list I created a potential participant list using stratified and purposeful sampling following the procedure that was described earlier. Where an individual's name appeared on three or more stratified groups, that person's name was placed at the top of the Master Contact List. Where an individual's name appeared on two stratified groups, that person's name was placed at the bottom of the master contact list.

I contacted the first ten names of potential participants by email, telephone, or both. When the first 30 names were exhausted, I worked with the next 30 names until a list of 30 research participants was secured. A total 61 managerial professionals were contacted. Table 3.1 identifies the reasons stated by those who declined to participate in this study. Among the reasons were too much work, no response, and lack of interest.

Initial contact was made by telephone and/or by work email. Potential participants were informed that the researcher was a doctoral candidate in the College of Education and was requesting their involvement as a research participant. If they were not interested, they were thanked and the contact was completed. If they were open to being a research participant, they were informed of the purpose of the research, of the expected responsibilities of the participants in the data collection process, including a one-hour interview with the researcher, and of the use of confidentiality and human-subject protections. The tentative interview date, time and place were scheduled.

The Participant Consent Form (Appendix A), Reflection Guide and Interview Questions were sent to the participant as email attachments to confirm the interview meeting date, time and place. Each participant was required to review and sign the PCF that met the university's Institutional Review Board (IRB) requirement prior to the interview. Participants were reassured of confidentiality to the extent provided by law. Participants were informed verbally and again in the written protocol that they could withdraw at any time during the research process with no penalty or loss of benefit. Participation in the study was strictly voluntary.

Table 3.1

Reasons for Nonparticipation

Reasons	Number
No time; too much work	16
No response	3
Not interested	3
Caring for elderly parents	2
Does not fit the study	1
Does not fit the study	1
Military duty	2
Retiring	2
Summer travel	1
Too opinionated	1

Demographics. Among the participants, there were 13 males and 11 females. The majority of participants were of Asian ethnicity, at 67%, followed by Caucasian ethnicity, at 29%, and Hispanic ethnicity, at just under 1%. Two-thirds of the participants were clustered in job titles in the following four functional areas: institutional support, instructional and student support, academic support, and research support. Examples of "Institutional Support" positions were described by job titles such as Administrative Officer, Fiscal Officer, and Assistant to the Dean, Director, Vice Chancellor or Chancellor (S. Yamada, personal communication, July 22, 2005). "Instructional and Student Support" examples were mostly found in student affairs and athletics, although these positions could also be found in research and academic units. "Academic Support" contained job titles such as Education Specialist, Technician, and Director for Student Learning. "Research Support" titles tended to be Research Associate, Research Specialist, and Director. The remaining one-third of managerial professionals in this study came from various campus functions such as Allied Health and Safety, Facilities Planning and Design, Information Events and Publications, Information and Technology, Media Design and Production, and Physical Plant Management. Professionals from Legal Affairs and Enterprise Operations who met the study criteria were contacted to participate, but declined for a variety of reasons, including being "too busy with work" and "not interested."

Location in hierarchy. Participants were located at three out of four levels of the organizational hierarchy based on classification rank. Three positions were chief for a functional area with campus-wide responsibilities; four direct units that had

responsibilities that interfaced with the larger campus; seventeen worked in eight different functional areas with programmatic responsibilities and specializations that contributed to their units' missions and objectives. No participant was located in an entry-level managerial position, since a participant selection criterion included twenty or more years' work experience in the field. Participants were bounded by their location on the campus, previous and current managerial professional positions, and the twenty-year timeframe of organizational change, 1985–2005, to prevent participant conjecture.

Human subjects research and ethics precautions. This study was exempted from full review by the institution's Institutional Review Board (IRB) Committee on Human Studies. To prepare to request exemption, I read the *Belmont Report, Ethical Principles and Guidelines for the Protection of Human Subjects of Research* (Commission for the Protection of Human Subjects of Biomedical and Behavioral Research, 1979, April 18), attended a required IRB researcher training workshop, and provided copies of the Study Overview, Participant Consent Form, and list of interview questions to IRB for review. After receiving IRB exemption, I reviewed the IRB Researcher Disclosure Checklist with potential research participants as part of the protocol. Participants were informed that this study involved research, of the purpose of the research, and of the expected duration of their involvement. I reviewed a written description of the research procedures with each participant. I disclosed that there was little to no risk that the interview process or focus group session might evoke painful or unpleasant memories for the participant. No personal benefits were given to the participants. Participants were assured of confidentiality

and anonymity in the research process and the final report. Participants could withdraw from the study at any time with no penalty or loss of benefit.

Data Collection

Data were collected from four participant sources from February to August 2007. These data sources were written participant reflections, interviews, focus group meetings, and document analysis. The data collection process involved tremendous labor and was not linear in process. It included concurrent work on collection and analysis of documents, collection of reflection pieces, conducting interviews, facilitating focus group meetings, transcription of tape recordings, reviewing of data for clarity, cross-referencing of data from transcriptions, field notes, my researcher journal, and member checks.

Reflection page. I reviewed the Reflection Page Guidelines (Appendix B) with each participant at the beginning of the research process. Each reflection page was limited to one page in length and was collected at each of three specified times during the data collection period—one prior to the interview, a second after the interview, and the third following the focus group session. The idea was to have the participant, through Reflection #1, begin the conversation about how organizational change had occurred in their respective work area and how it had affected work roles and responsibilities. Reflections #2 and #3 served as opportunities for participants to jot down additional ideas and feelings after the interview and again after the focus group session.

Reflection #1 was submitted at the start of the data collection process. I reviewed Reflection #1 prior to the interview to have a sense of the participant's

context and perspective. Reflections #1 and #2 were compared for any new data, any change in data emphasis, or any reinforcements of original statements. This was repeated for Reflection #3. The reflections contributed to my understanding of emerging themes and issues and were used at times for future probing questions. I used all reflection pieces to corroborate data from the individual interview and the focus group meetings.

Individual interviews. The list of twelve questions (Appendix C) was provided to each participant in advance of his or her interview with the intent that the participant would be prepared to speak to the questions. As a semi-structured process, the interview questions provided consistency in form and structure and yet allowed me to further explore topics identified by the participant in Reflection #1. Interviews were scheduled during the participant's lunch break or immediately after the end of the official work day. Interviews were conducted for approximately one to one and one-half hour.

At the start of the interview session, the participant was asked to review what he or she had written in Reflection #1. The one-hour interview was loosely structured around three clusters of questions. These were the following: "How did you come into the higher education field;" "What organizational changes have occurred in your work area and how have these changes affected your work roles and responsibilities;" and "If you were able to give advice to a new managerial professional, what would you tell him or her?" During the interviews I tried to observe nonverbal messages and remain conscious of the interviewer-interviewee interaction and relationship (Patton, 1987). This was a challenge for me. For this

reason, I took a few minutes to be alone prior to each interview, in order to reflect on the research process, give silent thanks for the participant, and honor the gift of each participant's willingness to share his or her perspective and voice in this research study.

The majority of interviews were conducted at the participant's office or work area, since most indicated that they would be most comfortable being interviewed in their own private setting. All interviews were audio recorded after receiving permission from each participant. Handwritten notes supplemented the audio recordings and served as the basis for field notes, as well as the guide for written transcriptions. Field notes were written in more detail immediately following the interview, when scheduling allowed. Some field notes were written up to a week later. Written observations during the interview were cross-referenced with the transcribed interview. I replayed each tape while reading the transcribed word document for both editing purposes, to clarify some of the responses, and in order to recall the actual nuances of the interview. Each participant was assigned a number and names were not used at all in the transcriptions. The "finalized" interview draft was sent to the respective participant by email for a member check (Janesick, 1998b). This contributed to data accuracy and authenticity by allowing clarification of statements, if needed, before the transcript was "finalized" in the data collection process. Research data were secured in files at my home office for the duration of the research project. Recordings and transcriptions were being used only for this study and will be destroyed immediately upon completion of the study to ensure the privacy and confidentiality of the research participants.

Focus group sessions. Focus group sessions were conducted on two separate days during an extended lunch period from 11:00 a.m.–1:00 p.m. on campus in a private dining area in the student union building. Participants were assigned to one of two sessions based on their availability to participate. Consideration was given to maintaining a small focus group size, in addition to other planning considerations (Morgan, 1998). Nineteen out of the 24 participants attended one of the two focus group sessions. Two were going to be out of town and three developed scheduling conflicts the day of their scheduled focus group meeting. Each focus group session was scheduled for 120 minutes. An agenda (Appendix D) guided the conduct of each session to ensure consistency in operation and to help manage time as recommended by Krueger (1998).

It was anticipated that data from the interview and from Reflections #1 and #2 would provide initial themes and that focus groups would be formed based on these different themes. The compacted interview schedule followed immediately by the two focus group meetings did not allow adequate time to accomplish the emergence of the initial themes in preparation for the focus group meetings. Instead, the focus groups were organized based on people's availability to meet and to ensure variation in the participants' job titles and responsibilities. As a result of this procedural tweak, the focus group meeting objective was to have the participants address the same type of questions as in the Reflection Guide and the individual interview. Repetitious use of the research questions across various formats (reflection, interview, focus group) allowed me to compare the group process dynamics on the participants' data against the reflection pieces and interviews.

Multiple data sources allowed for date triangulation that could contribute to reliability and validity. I moderated each focus group session. (For additional Focus Group implementation details, see Appendix E.)

Document analysis. A "Document Summary Form" (Appendix F) was created to provide order and consistency for the document analysis. The documents collected from system, campus, college, department and program units included annual reports, minutes from meetings, proposed reorganization plans, brochures, websites, and other public or internal print and electronic media that reflected organization or institutional mission, organization charts, goals and objectives, and other communications. Document analysis provided the context for participant data.

Data from audio tapes were transcribed and filed electronically. Hard copies of interview transcriptions were filed by participant number. These were supplemented with respective unit documents, such as document summary sheets, reflection pages, field notes, and member checks. Focus group transcriptions with field notes were filed separately. A separate file contained peer reviewer comments and OHR data on managerial professionals.

Data Analysis

Data analysis involved data reduction followed by data coding. Two qualitative tools were used for data reduction and coding. One tool was the organizational logic used in QSR NUD*IST 4 (Richards and Richards, 1999) that references the Decision Explorer Model for turning mental ideas into concepts able to be formed into a model. The second tool used was "Semiotic Cluster Analysis" (Feldman, 1995). This tool identified key words employed from participants'

perspectives and their respective meanings. These words were compared against institutional meaning for breaches or differences in meaning. This suggested the ways in which the participants' beliefs in their work setting could function as situational norms that contribute to "the idea of widely accepted and taken-for-granted practices" (Feldman, 1995, p. 9). I looked for breaches or actions that deviated from the norms, and for accounts that rationalized one's specific behavior in a described situation (Feldman, 1995, p. 4). I used two approaches to determine whether the tools employed for the research identified different aspects of the research data.

NUD*IST4. NUD*IST4 Software Audio recordings from individual interviews and focus group meetings were transcribed to provide written narratives. A coding chart grid was created based on the logic identified in the "Decision Explorer Model" process described in the qualitative NUD*IST 4 software (Richards & Richards, 1999). Participant data were inserted into the five-part grid. The headers on the chart were "Expressed Idea," "Positive/Negative," "Restated Idea," "Concept," and "Assigned #." The concepts selected for the chart were those stated by the participants. There were several steps to this stage of the data coding process. First, I reviewed each written narrative sentence by sentence and then as a paragraph, in order to identify key concepts that emerged from the participants. Each concept was taken from the text in the order in which it was stated by the participant. Second, I noted if the statement was worded negatively or positively. I then created a contrasting phrase while keeping the participant's same meaning. For example, if the statement was worded negatively, I reworded the participant's statement positively

73

as an attempt to maintain his or her original idea. If I was able to restate using any participants' follow-up clarification statements, I used these instead. I then considered the statement from both the positive and negative perspectives to ensure that I had a good sense of the idea being presented by the participant. I considered the statements either alone or within the context of a paragraph, if that was possible. I assigned sequential numbers for each concept on the grid. If a variation on a concept occurred, it was assigned a number and an alpha. An example of this includes the following: 4.0 Increased Work Responsibilities; 4a Increased Work Responsibilities_Not Acknowledged in Formal Organization; 4b Increased Work Responsibilities_ No Increased Staff Support; 4c Increased Work Responsibilities_Contributes to Workplace Instability. If a statement could be matched to more than one concept, it was assigned multiple numbers. After going through all of the transcriptions, I used an excel file to sort all numbered concepts. This step clustered the most commonly recurring concepts that now emerged from the data as possible themes. These concepts served as the primary nodes or branches for my data tree. At this stage of the coding process, I evaluated whether some of the concepts could be combined into mega concepts. Some branches contained numbers with alpha in sequence; the numbers with alpha became leaves on the branches, providing insight into the complexity of the organization. A master list of data codes was created. Table 3.2 provides an abbreviated sample of the initial chart that listed participant comments.

The next stage involved analyzing the themes through the lens of academic capitalism theory for how they might address the research questions. I had created an

Table 3.2

Data Coding by Concept

Expressed Idea	Positive or Nega- tive	Restated Idea	Concept	Assigned #
Their work is different (other managerial professionals in college)	P	Their work is not similar to my work	Work variation	9
I am part of the core management team	P	My work is not aux- iliary to the college	Work import- ance (value)	8
I provide primarily supervision and guidance regarding contracts and grants	P	The Director isn't cognizant of all the rules and regulations	Work responsibilities (importance)	4
It's sad to get a pay raise you have to leave	P	If you stay you will not get a pay raise	Workplace instability	4d
My work is important due to the delegation (of authority)	P	My work is not ancillary	Work responsibilities (values); work importance	4, 8

Expressed Idea	Positive or Nega-tive	Restated Idea	Concept	Assigned #
This is normal (2-3 people working at 6:30 p.m.)	P	It is not normal to leave at 4:30 p.m.	Workplace norm/culture	4, 20
It's the lost group that gets overlooked	P	Other employees do not know much about managerial professionals	Invisible employee	13
For the managerial professionals, our work is for the institution to function smoothly	P	Our work is not for self-gain	Public service; deep commitment	1, 14
We don't do things for ourselves	P	Our work is for the "common good"	Public service; deep commitment	1, 14

"Academic Capitalism Matrix" earlier that listed the constructs of academic capitalism. After the concepts had been identified and the themes had emerged, the Academic Capitalism Matrix was used to cross-reference themes that were compatible with the constructs and themes that did not fit within existing theory. Cross-analysis examined participant data for similarities and differences. I considered participant data by functional area and again by participant location in the organizational hierarchy. Concepts that were outliers and not consistent with the other data were examined to address how the contexts might differ.

Semiotic cluster analysis. People within institutions use common dynamics and social interactions to maintain social order and also to influence the larger context. After the dominant themes emerged from NUD*IST4 data coding, I applied semiotic cluster analysis to the key words and concepts. Feldman (1995) recommended the use of semiotic cluster analysis to compare the meanings behind participant words to the institutional meanings in order to uncover breaches. I compared connotative meanings and institutional definitions, noting the differences. For example, the connotative meanings participants gave to "work" communicated their sense of a public university's mission and a deep commitment to their work. This included a sense of duty to serve the public need for an educated citizenry and a deep commitment towards work responsibilities, work pride, and work importance. The institutional definition was that work was a "job" to be completed within a workday timeframe of 7:45 a.m. to 4:30 p.m. This breach in meaning allowed me to review relationships between the two interpretations.

Limitations

This exploratory study used qualitative methodology to gain meaningful insight into and understanding of managerial professionals in higher education. It is based on the philosophical assumption that multiple perspectives and multiple truths can contribute to our understanding of a phenomenon. It interprets and constructs meaning throughout the research process. My research design incorporated a combination of qualitative tools that according to Guba and Lincoln (1998), Patton (1987) and Stake (1998) can contribute to the trustworthiness of data. In this study, I disclosed researcher bias, maintained a researcher journal, triangulated multiple data sources for corroboration of evidence, employed member checks to establish data credibility and accuracy, utilized an independent peer reviewer, and used feedback and advice from members of the dissertation committee. Patton (1987) found that the use of focus group sessions provided a level of quality control in the data collection process "to weed out false or extreme views" (p. 134). Patton (1987) found that data validation and verification are important both for researcher confidence in the eventual findings of the study and for readers of the study to be able to verify and validate the findings for themselves.

However, there are several limitations to this study. First, this study is limited in scope as it is specific to one campus and the inquiry of individual managerial professionals who are selected as research participants based on specified criteria. Due to the size of this sample (n = 1), findings present a snapshot and cannot be generalized to the national population of managerial professionals at other public research extensive university campuses or to all the managerial professionals on the

78

campus being studying. Criteria for selection of study participants contributed to this study's limitations since all participants had been employed by the campus for twenty or more years. Limitations to sample size and composition reflect the decision to use purposeful sampling in order to have an information-rich case for in-depth study (Patton, 1987), negating the study's breadth.

A limitation of my study is that I was studying my own campus, so it was highly likely that I would know people among those selected to be research participants. Another limitation to this methodology is related to my recognition of my lack of neutrality as a researcher/managerial professional (Denzin & Lincoln, 1998; Smith & Deemer, 2000). I attempted to select procedural tools listed in the section on role of researcher. Smith and Deemer (2000) found that because the researcher is human, the decision to use qualitative methodology, the design of the study, and the use of reflective journals, individual interviews and focus groups all reflect the values of the researcher. Denzin and Lincoln (1998) found, "Any gaze is always filtered through the lenses of language, gender, social class, race and ethnicity. There are no objective observations, only observations socially situated in the worlds of the observer and the observed" (p. 25). Janesick (1998b) and Creswell (1998) addressed the influence of researcher bias on the selection of research questions, tools and procedures for data collection, on the interactions between participants and the researcher, and on data codes and data analysis. The paradigms I hold will affect how participants respond to the interview questions, how comfortable they feel about responding truthfully, how willing they will be to share their experiences and stories with the researcher. Guba and Lincoln (1998) stated:

Since as often as not the naturalistic inquirer is himself the instrument, changes resulting from fatigue, shifts in knowledge and cooperation , as well as variations, resulting from differences in training, skill, and experienced among different "instruments," easily occur. But this loss in rigor is more than offset by the flexibility, insight and ability to build on tacit knowledge that is the peculiar province of the human instrument. (p. 13)

Third, generalizations cannot be made from the study since it is context based and difficult to apply to other situations with similar conditions (Patton, 1987). These qualitative findings can contribute to shared lessons and potential applications to future studies. This study attempts to provide useful information that is specific to the managerial professionals at this single public research extensive university campus. Additional limitations are the timeframe used for data collection and analysis, affected by the participants and my scheduling availability to meet and conduct the research. The data quality from the reflection papers, interviews, focus group sessions, and document analysis was a limitation, as it was limited by the willingness, openness, and trustworthiness of the participants, as well as my limitations as a researcher.

Summary

The research design used qualitative methodologies for a single case study at a large public university. I disclosed my insider/outsider roles which helped me to gain access to these employees in the field. Participants were selected by stratified purposive sampling. . Variations in participant work functions and location in the institutional hierarchy provided opportunity for data triangulation. The four data

sources used were the Reflection Page, individual interviews, focus groups, and document analysis. Transcriptions from participant interviews and focus group sessions were texturized for analysis using member checks. Participant concepts were identified and used as the basis for identifying codes and emerging themes (Denzin & Lincoln, 2000; Guba & Lincoln, 1998; Stake, 1998). Trustworthiness of data was achieved through data triangulation, the use of a peer reviewer, the clarification of my bias as researcher, and the use of member checks. Data validation and verification increased the ability of readers to verify and validate the research findings if they so desired. Limitations to the study were that the case is specific to one campus. Findings cannot be generalized to the national managerial professional population at other public research universities or to all the managerial professionals at this campus.

Chapter 4
Findings

Chapter 4 presents findings from the qualitative data collected from individual reflection papers, personal interviews, and focus groups. These data were used to understand change in managerial professional numbers, roles and responsibilities, and the relationship of their work to institutional mission during the 1985 to 2005 period at a single Doctoral/Research Extensive institution. Analysis of these data produced evidence of considerable change in the work lives of these professionals over the past 20 years. Three themes emerged from the data. The themes addressed the research questions identified in chapter 1 and supplemented existing information we know about managerial professionals as detailed in the literature review in chapter 2.

The first theme, "Expansion of Work," refers to the increased work responsibilities and expanded roles of managerial professionals as a result of institutional mission shifts to place the campus closer to markets, the influence of Information Technology in the workplace, and the flattening of the organization that contributed to role transformation. Theme 1 responds to research questions 1 and 2. Sub-themes presented are "Increased Work Responsibilities" and "Role Transformation."

The second theme, "Blurring of Roles" identifies how increased variation in roles and responsibilities in a flattened organizational structure contributed to role confusion. The faculty, clerical staff, and managerial professionals found their work responsibilities morphing in the new flatter campus environment. The work of some

82

managerial professionals is attributed to other employee types such as the faculty or the exempt managerial executives. The exempt managerial executives are not within the same classification as the managerial professionals in this study. A second reason is institutional autonomy that calls for transparency in operations. Transparency uncovered the previously invisible work of transactional activities. Yet, although the work is now visible, employees unfamiliar with the managerial professional employee group perceive the employee to be a faculty or exempt managerial executive because they think those are the only employee types that do this type of work. A third reason for viewing managerial professional work roles and responsibilities as being invisible is due to work that is considered transactional or as infrastructural activities. Transactional activities are the functions necessary in order for the organization to conduct production activities. In a business model, the transactional activities would include factory and warehouse operations and the marketing, sales, storage, and delivery functions. The blurring of the roles is further compounded by the absence of a direct career path for managerial professional. This makes it harder to distinguish what they aspire to in their careers by accepting increased work and responsibilities identified in Theme 1. Theme 2, "Blurring of the Roles" responds to Research Questions 1 and 2.

Theme 3, entitled "Deep Commitment," responds to Research Question 3 in regards to how managerial professionals perceive the relationship of their work to the university mission. The concept of university mission is used interchangeably by participants with the concept of public service. It includes a sense of ownership and pride in work.

Expansion of Work

This theme is placed within the environmental context of a campus affected by deep budget cuts due to the state's poor economy. In response to these budget cuts, institutional policy changes like the delegation of system budget and personnel responsibilities to the campus, resulted in increasing duties and responsibilities for managerial professionals who were chief administrative officers, fiscal officers, and personnel officers. Two sub-themes from this theme are presented. The first sub-theme, "Increased Work Responsibilities," refers to the changes that occur due to decreased government funding support and the need to secure new sources of revenue. The campus is becoming more market-like and campus decisions are based to a greater extent on business models and concepts. The increased work responsibilities occur during the gap period that starts after the organization begins increasing its productivity, thus requiring a greater workload, but before the revenue streams have increased.

The second sub-theme, "Role Transformation" provides two different examples of transformation. The first occurs when Information Technology (IT) infrastructure on campus is consolidated and strengthened, thus transforming the campus. This campus transformation supports university efforts to remain competitive in the global environment and the marketplace. Much of this transformation is due to the increased responsibilities and workload of IT managerial professionals. The second example of role transformation occurs in campus regulatory areas that must comply with federal, state, and county regulations. The economic threat of being fined elevates the work in these areas towards being

considered an essential part of the institution. Figure 4.1 depicts the theme "Expansion of Work." It displays the relationship between interaction among increased work responsibilities and role transformation.

Increased work responsibilities. Beginning around 1985 and for the next ten years the campus experienced severe budget cuts as well as shortfalls between the legislative budget allocation and monies actually released to the campus by the governor. This was due to dwindling federal and state government support, declining state revenue, and a shift in how higher education was viewed by policymakers and the public. Even after the university received its budget allocation from the state legislature, the Governor imposed further budget restrictions on the university by not releasing funds. The following quote helps to clarify the wider context of the university and its vulnerability to these external influences. The university Board of Regents minutes in 2000 stated,

> On October 8, 1999, the University was informed that the Governor restricted $1,557,000 of the $278,280,979 in general funds appropriated to the university by the 1999 Legislature for the current fiscal year. The restriction represents 0.56% of the general fund appropriation (Minutes, January 21, 2000).

In the mid-1990s the university system decentralized responsibility for finances, personnel and facilities by delegating these administrative duties to the campuses. The board of regents delegated to the university president many of the personnel functions previously brought to the board for approval. The regents' intent

Figure 4.1

Expansion of Work
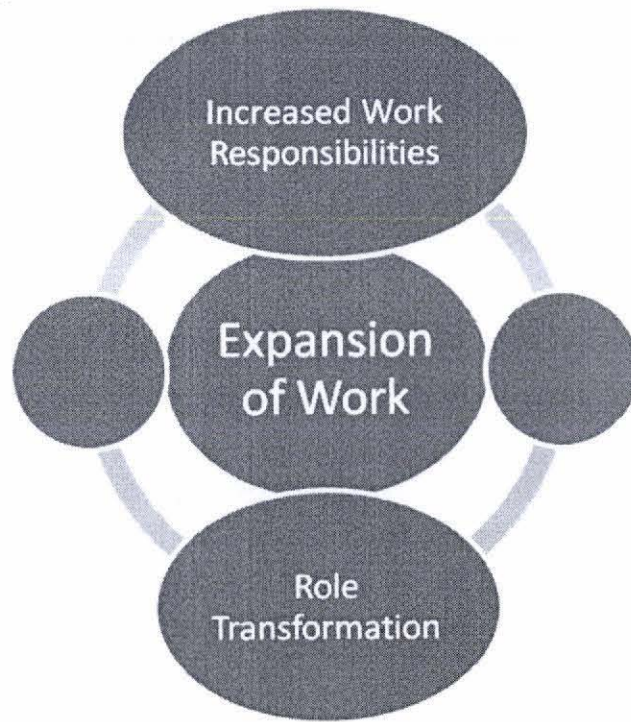
was to focus on institutional governance and to leave the administrative details to the campus (Minutes, February 18, 2000). In 2000 nine personnel actions were delegated to the administration. The administration agreed to provide the Board with periodic reports on these actions and to develop a monitoring system for accountability of the delegated actions. The accountability measures increased internal record-keeping, monitoring and reporting. Budget, fiscal and personnel services that were previously managed and processed in System offices with personnel trained in each specific function were delegated to the campus. Administrative and fiscal officers experienced major change in their patterns of work due to this policy shift. Signing authority by fiscal officers increased from $4,000 to $25,000, along with additional responsibilities related to systematic monitoring for accountability. With university delegation and greater accountability measures the workload and responsibilities of these professionals increased dramatically without additional staff support or increases in pay.

In the mid-1990s the university lobbied for state legislation to retain tuition revenue and to gain institutional autonomy in order to control its finances, personnel, and facilities. When these legislative objectives were achieved, the university used its new authority to focus on two strategies for supplementing its funding base. This was a major change in how the university had been funded in the past, when it had relied solely on legislative appropriations. The ability to retain and manage its own resources was a key to the changes that began to occur in the work lives of the managerial professionals.

Research Contracts and Grants was one strategy for increasing external

funding. In 2000, a senior vice president for research reported to the regents an

increase in the number of grant awards. The total value of these awards reflected a

10% and a 9% increase as part of a five-year trend (Minutes, July 21, 2000). The

fiscal officer at a college commented, "In 2001 the faculty brought in $5M in

contracts and grants. That number increased to $12M in 2006. Workload is barely

manageable even with the two of us. We manage 100 contracts and grants and 120

accounts."

Student Tuition Income was the second strategy to increase revenue. Tuition

was identified as one of the new sources of revenue that would be cultivated. In 1996

a major shift occurred in the sharing of the cost of financing the university between

students and the general public. Students and their families were now considered a

market. Tuition would provide revenue to balance the campus budget. University

policies were revisited, such as *The Policy on Use of Tuition and Fee Revenues.*

Tuition rates were increased. One document read:

> In FY 1995, $30.6M in tuition revenue was generated while general fund
>
> appropriation net of tuition revenues was $322.2M. For every $1 of tuition
>
> collected, there was $10.50 of State general funds appropriated to the
>
> University. In FY 2000, $65.3M in tuition revenues were generated compared
>
> to State general fund appropriations of $280.8M or $4.30 in State general
>
> funds for every $1 of tuition revenue collected (Minutes, October 20, 2000).

As tuition revenue increased, State funding to the campus continued to

decrease. The campus continued to focus on tuition as a new source of revenue

because decision-making related to tuition revenue was now internal to the university. As one participant commented, "Over the last several years [the early 2000s], the Legislature has cut the University's budget and tuition has played a greater role in the total revenue for the campus and in the campus being able to derive sufficient revenue for the campus' operating budget. An example of how tuition income grew is found in the following example. Credit courses taught through the Summer Session increased approximately 250% between 1995 and 2001. A fiscal officer stated, "When I first started at this college in 1995 our revenue from Summer Session was only about $11,000 to $12,000 for teaching our courses. We are now to the point of almost $270,000."

The work roles and responsibilities of professional staff in the Admissions and Records Office were affected by campus leadership and system policy changes. In September 1998 the campus Faculty Senate appointed a General Education Task Force to examine data from students, alumni, and faculty regarding current graduation requirements. The General Education (GenEd) requirement for students was last updated in 1986. The outcome was revision of the GenEd requirements towards becoming more user friendly to students, who were now viewed as consumers, while maintaining the academic integrity of the campus' academic community. The GenEd changes involved the following: (1) expanding the number of courses that would be eligible for meeting GenEd requirements thereby giving students more course choices; and (2) decreasing the overall number of credits required for graduation. BANNER, a new student information storage and retrieval system that included student registration and registration-related web-based

informational supports for all 10 campuses in the university system was implemented around this same time period. The Admissions and Records Office had academic responsibility for verifying course equivalencies, designating prerequisite courses, and identifying courses that contribute towards graduation in BANNER. The 10-campus system nature of BANNER necessitated coordination and communication with the other nine campuses. Adding to this scenario, the first vice chancellor for academic affairs was hired at the campus. This executive increased the academic responsibilities of the Admissions and Records Office in response to student market needs and a desire to centralize academic policy responsibilities. Centralized academic responsibilities from academic colleges were transferred to the Admissions and Records Office. The staff had to learn academic course equivalencies evaluation through trial and error. A participant said:

> We needed to not just identify that this course is Psychology 100. For
>
> example that it isn't just Psychology DA [and] never Psychology DS
>
> sometimes. Training was based on actually performing evaluations work. As
>
> we worked on them [transfer credit equivalencies], frankly we made
>
> mistakes. That is how we learned.

The managerial professionals responsible for transfer credit equivalencies worked with faculty in the academic departments of all the colleges on campus. The vice chancellor for academic affairs secured resources and increased the number of staff in the Admissions and Records Office. One participant commented:

> Initially we had none [of these additional managerial professional staff]. We
>
> didn't have any staff with this background.... Our vice chancellor's office

decided that we needed additional resources so he provided us with additional

funding. He provided us with additional staff. He provided us with a way to

reconfigure the modules [in the office] so that we could accommodate the

additional staff. We have gotten seven more additional staff over the course

of time.

The Admissions and Records Office collects the campus' undergraduate

application fee and uses it for recruitment activities. A consultant's report resulted in

a campus-wide policy to increase student recruitment activities. The Admissions and

Records Office formed a partnership with the School & College Services Office

(SCSO). As one respondent said, "It was becoming clearer that with the budget cuts

and then with tuition being returned to the institution [through legislation], that we

needed the tuition revenue to meet our campus' budget needs." The number of

managerial professionals increased in the School & College Services Office.

The institution continued to seek new revenue sources and to streamline

costs. Amendments were proposed to the university's policy on the use of income

earned from the university endowment, property sales and rental funds. User fees

were increased for sports events. Personnel actions were delegated from centralized

offices to college units. New publications were initiated to promote the value of

university research, the economic impact of research to the state and the President

was asked to report to the Board on commercialization efforts at the campuses

(Minutes, February 18, 2000). In 2000, the Legislature increased the university's

general fund appropriation. This was the first time in over ten years that the

university's budget reflected an increase in general fund appropriations (K. P. Mortimer, personal communication, May 12, 2000).

Managerial professionals supported their work areas through their ability to be flexible. Many took personal responsibility for their professional development and training to retain their value to the campus. The reorganization of a college provided the opportunity for a managerial professional to become an educational specialist after working many years in research support. In this new role, the employee taught college classes, advised students, and played a leadership role with community industry partners. When describing the college reorganization that took place, one participant commented, "You needed to stick to your discipline and you need to fit into that particular area. The way the college was being reorganized people could fit into one or two different areas."

One of the changes included the managerial professional taking responsibility for retraining. This new position exemplified the blurring of roles that continues to occur. Part of the job involves answering the phones and answering questions from the public. An education specialist said, "I've been teaching classes on an overload basis, so in teaching I just kind of learned myself, by just talking to people in the field, preparing for classes, the textbooks and reference materials, and a lot of talking with people in the field." This blurring also results in the lack of a clear career path for this individual. A final reflection paper stated:

> My present managerial position assignment is much different than the first
>
> two positions. I spend much of my time working with people in the field. One
>
> of my major duties is training, certifying, and serving as advisor to a policy-

making board. I also teach several classes at this college and at a community

college. I have found this latest position to be much more rewarding than the

others and wish that I had been given the opportunity work in this area my

entire career.

Not all managerial professionals were so fortunate. A couple of participants

identified their respective departments as not being able to reposition into the new

market environment. The consequences were decreased resources in funding

allocation and staffing to the respective college departments where they worked.

Role transformation. Of all the changes occurring on campus, the widespread

influence of Information Technology (IT) was the most dramatic. Managerial

professionals who worked with computers and data processors in the 1960s saw their

roles and responsibilities change as information technology changed the world.

Information Technology had an immediate and far reaching effect on the workload

and work environment of all campus employees based in large part to the importance

of the internet to the campus' mission. One participant stated, "It moved from nice to

have, to critical for day-to-day operations, fiscal, personnel, and budget." As the

Internet became vital to higher education, access to the Internet became critical for

the campus. In the mid-1980s, computer networking within universities was limited

because the World Wide Web (WWW) was just beginning to emerge and be

introduced to the mainstream population. The average university user tended to limit

internet traffic to emailing. In the 1980s, the IT environment at this campus consisted

largely of two mainframe computers, five mini-computers and very little networking

between computer systems. By 2005, the campus had one mainframe and

approximately 200 network servers. The telephone line had been replaced with a vast fiber optic network with wireless polycom that ran throughout the campus and the outlying geographic region. IT provided the infrastructural support for projection of classroom teaching and learning to remote areas of the state through the campus' Interactive Television Service Program. IT provided basic infrastructure for campus operations, programs, and services. IT brought new ways of conducting one's work, and it changed the way in which campus employees perceived and used technology at their jobs.

Managerial professionals experienced role transformation that added the responsibility of acting as the compliance officers for the campus in regards to local, state and federal laws. Examples of federal laws that affect university campuses are the Family Education Rights and Privacy Act (FERPA) for individual privacy protection, the Americans with Disabilities Act (ADA) for accessibility, Title IX for civil rights compliance, and the US Environmental Protection Agency (EPA) regulatory controls to protect human health and the environment. These regulatory measures bring with them legal and financial sanctions for noncompliance. Contract compliance is an example of a transaction cost that makes doing business possible. The potential transaction cost from federal fines and other economic sanctions due to noncompliance has made university executives conscious of the work of managerial professionals and their offices in ensuring compliance. As one said:

> One of my main jobs is to avoid audit findings that can lead to fines and disallowances that the College will be responsible for.... I am acutely aware of potential liability lawsuits, and personnel-related grievances.... my job is

to avoid any litigation that will impact the College's reputation as well as its pocketbook.

Two other examples are described. The first is the campus Accessibility Office which became more visible and gained greater authority due to federal legislation that strengthened the Americans with Disabilities Act (ADA) law in 1990. This legislation expanded the class definition of students, faculty, and staff protected by the law. The expanded definition contributed to an increase in the number of students serviced by this office, from 150 to approximately 400 students. These numbers are insufficient indicators of workload however, according to the managerial professional who directs this program, since the needs of current students are more complex and severe than previously. The office began to see more graduate students coming in for services. Prior to the law's expanded definition the office served primarily undergraduate students. The increase in overall student numbers was due to additional campus factors that are listed in Table 4.1.

The Accessibility Office became more visible and important to the campus administration when the first system-wide ADA complaint was filed by a group of students with disabilities in the 1990s. The accessibility participant said, "We had the top administration realizing the magnitude of the problem so there were numerous consequences of that event. If we didn't [respond] the institution was in jeopardy of losing all federal funds…lose all financial aid, all research money, the federal dollar out there." The drama of a federal investigation caught the administration's attention and clarified the office's central value to the campus and system administrations. This attention resulted in allocation of resources to the office to meet the needs of

95

Table 4.1

Factors that Increased Accessibility Student Numbers

Factor	Description
Americans with Disabilities Act (ADA)	Increased publicity and marketing created awareness among some students that they were included and covered as members of this protected class.
Foreign language requiremen	A campus policy change in 1988 required all undergraduates to complete one year of a foreign language as part of the graduation requirement.
Technology instruction	Widespread use of technology in instruction and learning in the mid-1990s was another factor that contributed to the increase in student number serviced by this office.
ADA complaint	First ADA complaint filed by a group of students against the campus.

changing technology and the changing student population. The number of managerial professional staff was increased along with new qualifications for the new hires. This participant recalled:

> We looked for people who had more expertise in learning disability. We looked for people who had expertise in brain injury....Our campus program became more visible and acknowledged as a component of the Essentials Formula in terms of institutional compliance with federal law.

This recognition positioned the program with leverage in securing needed resources and staffing without having to charge a fee for services. The staff size grew from two members in 1969, to four in 1978, and to five in 1991. Currently, the office has six managerial professionals, plus the director who is also a managerial professional. In 2007, two additional positions were approved by the legislature resulting in the office being funded for a total of eight managerial professionals.

Allied Health and Safety was another area in which work scope, complexity and authority increased. This office was created in the early 1970s as a system-wide shop when radiation and the use of radioactive materials was a high profile issue. Environmental issues on campus like hazardous waste and recombinant DNA/genetic engineering developed in the 1980s. In 1985, the office contained both system-wide and campus program operations. There were seven full time employees. By the mid-1990s and in the following ten years, regulatory controls increased as universities across the nation vigorously sought to increase revenue from research contracts and grants.

The U.S. Environmental Protection Agency (United States EPA) regards most colleges and universities as being similar to small cities and holds campuses to the same standards as industry in regards to compliance with environmental requirements (United States EPA, 2000). A 1999 campus investigation resulted in the largest EPA fine on a university campus. The EPA (United States EPA, 2000) used this fine as an example to colleges and universities nationally by stating, "For example, the [campus] recently paid $1.8 million in civil penalties for violating federal law by poorly managing laboratory waste" (p. 1). The fine against the campus was the EPA's largest single fine against a public university in the nation (R. Takekawa, personal communication, November 14, 2007). The threat of a federal violation had become a reality. Negative media exposure and the fine amount demonstrated to the campus administration the consequence of a federal violation. An Allied Health and Safety professional commented, "In the type of work that we do, it's sort of 'mom and apple pie' or regulatory based. You can't just dump your hazardous wastes into the ocean." An outcome of the fine was recognition by the administration of the value of the work roles and responsibilities of these managerial professionals. One stated:

> We have gotten very good support on an administrative level for our budget and our resources. If I've requested a position, we've gotten a position. If I've requested some funding, we've gotten additional funding. It's hard for them when I say, 'I need $50,000 for hazardous waste that was found in a building' to say, 'No.' It's not out of the goodness of their heart. There are consequences if they don't pay it and we've had consequences already.

Due to its compliance role the Allied Health and Safety Office increased to twenty-three staff positions by 2005. Twenty-two of these positions are classified as managerial professional and one position is clerical.

Blurring of Roles

This theme addresses the variation of roles and responsibilities held by managerial professionals due to a flattened organizational structure and the massification of higher education due to increased public demand as well as greater access for underserved populations. In a flattened organization, the work of clerical, faculty, and managerial professionals are all being restructured to some extent. Described is an environment where clerical staff work has become more professionalized; faculty members are increasingly responsible for their own clerical and administrative support; and managerial professionals teach, conduct research, and manage programs, projects, and services. Universities have adapted business models and therefore job classifications, work roles, and responsibilities are not as clearly defined as in the past.

This blurring of the roles includes the concept of "Role Confusion" as a sub-theme. This refers to how managerial professional roles and responsibilities are misperceived by other employees and among managerial professionals themselves. A second sub-theme, "Invisible Work," is based on a lack of institutional knowledge about these university employees, such that their work is attributed to another employee group and the invisible nature of those who work in transactional activities. Figure 4.2 depicts the theme on blurring of the roles.

Figure 4.2

Blurring of Roles
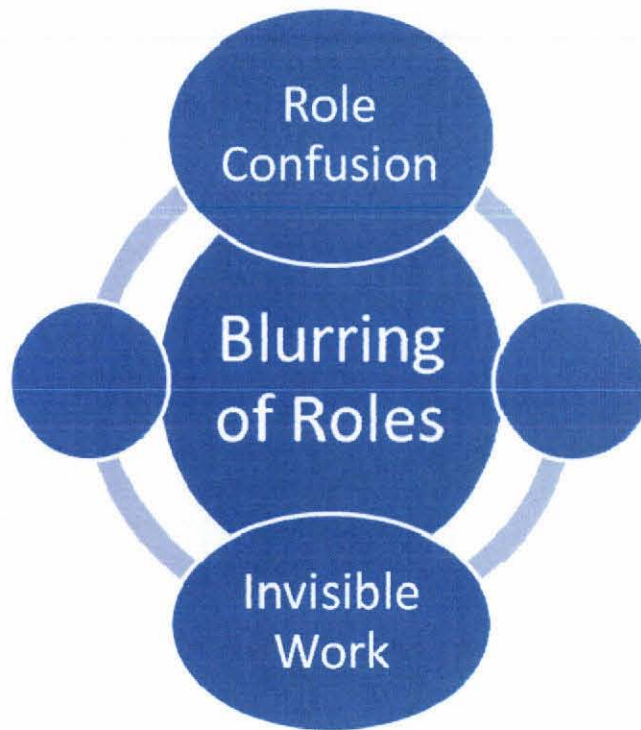
Role confusion. Campus data from institutional reports state that the number of managerial professionals increased from 688 in 1985 to 985 in 2003 (IRO Report, 2003). These numbers are shown in Figure 4.3. However, the percentage decreased for both managerial professional and clerical employee groups, compared to the growth in the faculty group percentage at this campus. The decrease in the percentage of managerial professionals as part of the total campus workforce contradicts the literature. This difference shows that faculty members may not be receiving the same amount of support as in the past and that duties and responsibilities previously held by faculty have over time transferred to managerial professionals.

Table 4.2 compares the number of positions allocated to faculty and to managerial professionals in FY 2005-2006 at this campus. It lists the range of program and campus functional areas in which managerial professionals work, indicating the variation in work roles and responsibilities.

The variations in work roles and responsibilities are significant in terms of how these professionals are located across campus and throughout the organization, yet relatively little is known about them as managerial professionals and the work that they do. Some managerial professionals are in supervisory roles, others are not. Some are specialists and others are generalists. An Information Technology (IT) professional said, "A lot of us are interchangeable. Other people could do my work, too. I don't supervise anyone."

Sometimes when the work of managerial professionals is recognized, they are perceived as being something other than a managerial professional. In these

Figure 4.3

Comparison of Percentage of Managerial, Clerical and Faculty Personnel

Percentage of Managerial, Clerical, and Faculty Personnel: 1985

Managerial
Profession
al, 688,
18%

Clerical,
1016, 26%

Faculty,
2158, 56%

Percentage of Managerial, Clerical, and Faculty Personnel: 2003

Managerial
Profession
al, 1016,
16%

Clerical,
1015, 16%
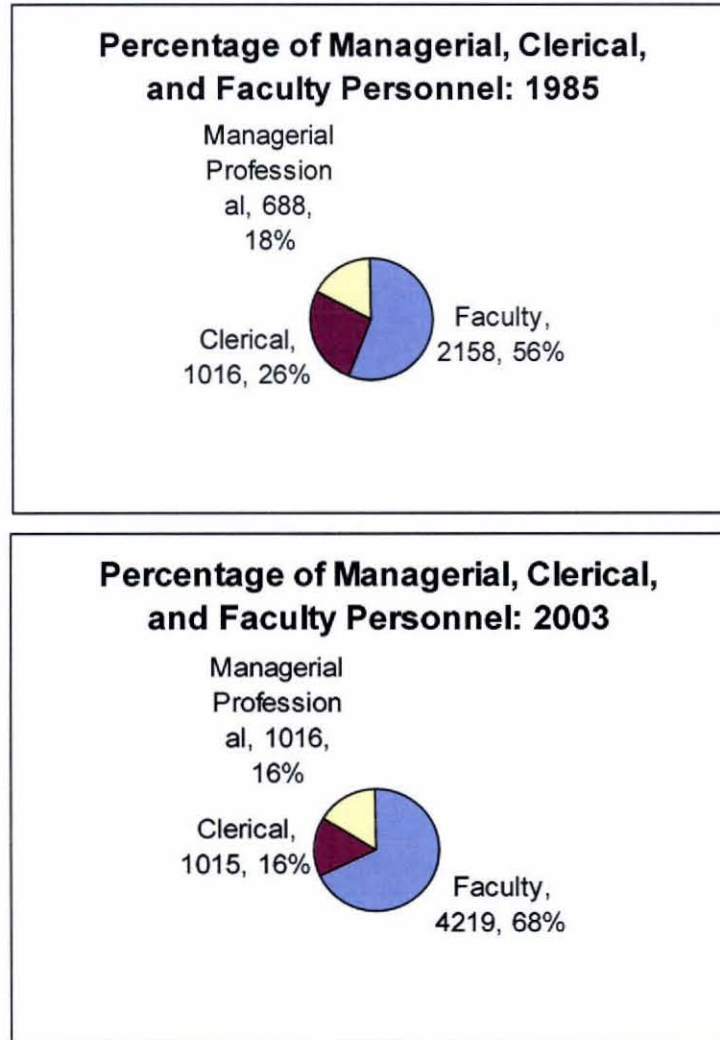
Faculty,
4219, 68%

Table 4.2

FY 2005-2006 Comparison of Position Allocation Faculty and Managerial

Professional

Program	Faculty	Managerial Professionals
Organized Research	251	144
Public Service	31	19
Academic Support (Chancellor's Office)	18	15
Student Services (Office of Student Services)	34	58.5
Institutional Support (Environmental Health & Safety)	0	22
Facilities Planning & Management/Buildings and Grounds	0	38
Telecommunications	0	14

instances, they are perceived to be faculty members or exempt managerial executives. The director of a research unit stated:

> We are so specialized to the point where we can't move from one department to another. People think that I am a faculty member because I have a doctorate and I direct a program and I teach. But you know they're kind of surprised when they discover that I am not a faculty (chuckle). Then I have to explain what a managerial professional is and of course they don't understand what it is.

Another managerial professional is considered to be a resource engineer per the job description. The participant commented:

> I wear many hats from being considered faculty, albeit I am not, to managing a college-wide machine shop. I have brought in extramural grants as a managerial professional. [I am] handed work in untraditional engineering areas. Currently I am assigned 60% time to a molecular biochemists lab group. I have taught a 5-credit junior level engineering course that included a 1- credit lab for approximately twelve years.

Another participant wrote, "I think the managerial professional class you are in makes a difference, unfortunately. I think a lot of people on campus think I am a faculty or E/M because of the office I am with and I sit on several faculty committees."

Lack of knowledge or misperceptions of roles and responsibilities about managerial professionals can contribute to conflict in work relationships with other managerial professionals, supervisors and coworkers, and it can lead to role

confusion. Most participants recognized that variation exists among the work roles and responsibilities of managerial professionals. Yet many were not fully aware of the depth and scope of job roles and responsibilities that exist within their own group. They were not aware that administratively powerful positions on campus were held by fellow managerial professionals.

Managerial professionals in upper management positions also experienced role confusion in their interactions with other employees. One stated:

It's a group with various diverse members and functions like me. If you're an upper-level managerial professional and you have supervisory responsibilities that are almost managerial in a certain respect, then when you are at the Managerial Professional meetings colleagues will say, 'Well, what are you doing here? You're in administration."

Recognition of the diversity among managerial professionals was confirmed by participants who are personnel officers, but they were not able to fully explain the reason for the tremendous variation. The difference between some faculty positions and some managerial positions is not always clear. One person who referred to this as an institutional grey area commented, "You can create the very same position in both sections [managerial professional as well as faculty] you know and it has more to do with what the college or department wants." He went on to clarify that the decision for the position classification rests with the person who is responsible for the position. Another participant responded:

But what does that do to the rest of us? So you could have the same position, and the position I am thinking of is like the Student Services Specialist. There

are managerial professional Student Services Specialists but there are also faculty Student Services Specialists, you know.

A shared observation by participants was that research faculty members who work in scientific laboratories tend to have a limited perspective of managerial professionals as being lab technicians. They are not aware that managerial professionals can and do hold other types of campus jobs such as administrative officer or educational specialist. Faculty members who have this limited perception can apply that perspective to all managerial professionals in general and contribute to some of the campus myths and stereotypes that are inappropriate and discriminatory. Conscious that some of these stereotypes of managerial professionals exist among faculty, one participant expressed hope in changing these perspectives through interactions with faculty and commented:

> I do think there are stereotypes attributed to managerial professionals because they are not faculty. As subtle as they are and sometimes not so subtle I do think that there are stereotypes. My hope is as we work more closely with the faculty we are helping to dispel that [stereotype]. I think the faculty members are aware of these stereotypes.

A managerial professional who works in research support described a statewide program that was originally co-directed by two faculty members. When one of the co-directors left for another university the remaining director assumed responsibility for both research programs without additional support. During this period, the college reorganized and lost much of its clerical and secretarial staff. Faculty and managerial professionals now did most of their own clerical work. The

106

managerial professional had to learn fiscal and personnel procedures without training, had to interface with multiple offices involved in the approval process, and did not have the authority to complete fiscal transactions. The participant stated, "We need training if you were to do this, but it would change the nature of the job in a sense because it is detracting from the time that you spend on research."

Invisible work. Institutional autonomy helps to explain work changes taking place that gave greater authority and administrative discretion to managerial professionals, making their previously invisible work visible. This is especially true for jobs conducting transactional activities such as budget and finance, buildings and ground, safety and health, and student affairs. As the institution sought new revenue sources to balance its budget, institutional autonomy was identified as a means by which the campus could manage its resources more efficiently in areas such as personnel, facilities, and finances.

The campus achieved institutional autonomy through public ballot mandate (Minutes, November 7, 2000). The adoption of this law provided the campus self-governance authority and power for its internal structure, management and operation. Internal structure, management and operations reflect the transactional cost economics (TCE) of the organization. Whereas in the past, the campus focused on production of goods and services primarily through the teaching and instruction provided by the faculty, the attainment of institutional autonomy refocused the infrastructure of the university towards allowing the organization to conduct its business and carry out its mission. Therefore, institutional autonomy was a major influence on the work of managerial professionals becoming more visible and

significant on campus. Institutional autonomy provided the campus with administrative flexibility in how personnel, facilities, and budgets were managed. Lease agreements with private interests were explored and sought. The university began its first major capital campaign to raise $150 million for its endowment. In 2000 the university senior vice president for finance reported, "As the University moves toward increased self-governance and self-financing, all sources of revenue must be considered when determining future spending and funding policies (Minutes, July 21, 2000).

Managerial professionals who work in information technology (IT) consider their work to contribute to the institutional infrastructure and therefore to be not highly visible, even though it is critical to the day-to-day operations of the campus. One commented, "Managerial professionals are invisible to the outside. You don't think who does this work. Our work is not visible unless it is not done. We do the work to keep the organization operating." Others commented that this lack of visibility could be attributed to the campus reward system. One stated, "For instance if you're a faculty it's not exactly the same situation because you are promoted based on how you are as an instructor. It's what you publish and what research grants you bring in. It is community outreach service... whatever you do on an individual basis. The managerial professionals, we don't do things for ourselves [as individuals as opposed to team members] because that's not how you get recognition or promoted."

The campus' information technology is centrally coordinated by the System Office of Information Technology Services (ITS). The centralized nature of this office was a goal of the university's System Strategic Plan in the 1990s. ITS was

created by merging and reorganizing five existing offices that had responsibilities for different technology functions. These departments were the Information Technology Office, the Management Systems Office, the Computing Center, the Distance Learning Office, and the TeleCom Office. The expectation that technology always work has increased the importance of IT managerial professionals. As one said:

> You expect your computer to work when you turn it on. You expect to check your email and to send documents as electronic attachments. IT has greater significance today because IT is everywhere and everyone needs IT to get their work done.

IT professionals require great flexibility to take advantage of continuous training on new software and hardware. An IT person commented,

> In the 1970s and 1980s my job was computer programming and data analysis for a research group. In the 1990s my work is computer technical support for the system-wide IT Department. [Today] I have more interaction with users outside the department, mainly staff, some faculty, and less students. I have more interaction with other IT staff within departments [on campus] and I work on project teams. IT changes fairly rapidly. There are hardware and software to learn and implement constantly. We have to keep up with security updates and new technologies in order to service our users as best we can.

The IT merger gave managerial professionals the opportunity to consider what area of IT to work based on skills, expertise and interests. As one said, "They kind of placed you depending on your skills and the work you were doing. It was a

grey area that could go one way or the other. Some had a choice depending on what skill sets they wanted to emphasize."

The IT funding base that used to be 100% general-fund appropriation is currently funded by new revenue sources that are quasi market-driven in response to consumer demand. Staff developed strategies to secure revenue to offset costs. In the new environment IT used the strategies listed in Table 4.3 to secure new revenue sources.

IT restructured, reorganized, and reinvented itself. New sources of revenue were identified and secured. IT managerial professionals received continuous systematic training and professional development that influenced flexibility in their positions based on campus technology needs. All of these changes contributed to positioning the institution and this campus towards remaining competitive.

There were additional topics that surfaced from the data on blurring of the roles. However these topics did not fit neatly into becoming a separate sub-theme. One such example is leadership turnover. Leadership turnover contributed to blurring of the roles theme by changing patterns of work of managerial professionals, redefining reporting lines and changing a unit's scope of work. Formal leadership turnover at the system and the campus levels contributed to organizational turmoil. Turnover of senior executives resulted in policy shifts, new policies, new interpretations of existing policies and political territorial markings by the different power regimes. At times there were leadership vacuums or the perception of a lack of leadership until a permanent full-time executive was hired. Sometimes decisions

Table 4.3

IT Strategies to Secure Revenue

Strategy	Description
Fee for service implemented	Some basic infrastructure services were provided free based on need; others included a fee-for-service
Fee-based server management and web development	One ITS group was organized to contract out ITS services in exchange for fee-based server management and web development. Previously these services had been provided free to the campus.
Marketing of services	IT services were marketed to the larger colleges and departments on campus. Fees were now charged to users.
Fee income and software license revenue funds administrator salary	The ITS Site License Office served as an internal broker by offering site licensed software to the university community at volume discounts. Previously the administrator was paid from the university budget with state general funds. Now the administrator was paid partly from fees (commissions) and from revenue of software licenses sold.
IT workshop and class fees	ITS provided short-term classes and workshops for members of the campus community. In the new environment the ITS Training Room equipped with PCs and Macs is available for training or for ITS presentations for a fee.
ITS technology fee	Each department pays ITS a technology fee (3%) for system-wide services, e.g., network, technology, infrastructure, and administrative application support.

by new leadership conflicted with existing institutional policies and procedures. As one participant stated:

Because of high turnover of administrators from the President to the Chancellor and Vice Chancellor levels, there is little predictability and decisions are made at the whim of the administrator in authority at the time. With each new administrator the priorities for resources, the kind of work, the expectations and accountability change.

Leadership could reporting lines and access to decision makers. In another unit, leadership change was perceived to have little influence. In a third example, a reorganization that involved new reporting lines was approved by the Board of Regents but not implemented by a new vice chancellor. This created a situation where it was not clear where the office reported in the organization. The office reported to different administrators for different situations and in other situations the position to which the office reported no longer existed. One participant commented,

Well, one of the last things the previous chancellor did was reorganize the Chancellor's Office, which was approved by the Board of Regents and then the chancellor was fired. So there was this empty organizational structure. Many of the positions and many of the units were moved to different places [on the organization chart] but that never really materialized.

Leadership in the Chancellor's Office increased the number of campus executives in relation to the diminishing proportion of staff (managerial professional, faculty, and clerical) who worked with these executives. Each new chancellor and vice-chancellor desired to set his or her own priorities and hire his or her leadership

112

team, giving these new executives impressive titles and executive pay. Table 4.4 lists internal change by four different presidents in response to external pressures.

Units that had accepted increased responsibilities as the result of one leadership directive felt vulnerable when the leadership changed. One managerial professional noted that both a new chancellor and an interim vice chancellor had administrative oversight for the unit. The professional said, "I am concerned that with the Vice Chancellor's departure that this unit's responsibilities will continue to expand, but without additional resources."

In another scenario, a successful long-time director of a research center left the position suddenly and unexpectedly. This created a leadership void at the research center with no one to fully represent the center at key meetings with the administration. A new chancellor was hired and redefined the scope of the center. The Center was stripped of its most lucrative research contracts, grants, and those researchers to another organizational part of the campus. Three years later, the new chancellor was fired. A managerial professional from the center commented:

> In our case we lost our director and it was a great loss. Soon after he passed away, actually [that] is when this major change happened ... by a Chancellor that was only here for a short time and he is no longer here. But it did impact us a great deal because we had to change our whole focus.

A high ranking managerial professional with campus-wide responsibilities stated, "High level administrators like the president or chancellor are always looking at exceptions. The exception is the shifting priorities. That is the simple exception. You have a priority, a logical reason why you need to do this and that and suddenly

Table 4.4

External and Internal Changes Affecting the Campus: 1985-2005

Year	President	Organization	Events
1985- 1993	President A	Centralized Systems Office	New governor elected Created System Strategic Plan Created Office of the VP for University Relations Expanded international agenda Expanded research agenda
1993- 2000	President B	Centralized Systems Office	New governor elected Budget cuts by legislature Budget cuts at the college, department and unit levels Reorganizations streamlined and eliminated services, programs and entire units Outreach efforts out-of-state were curtailed. International and national programs were diminished significantly Declining student enrollment Executive leadership directed all efforts at balancing the budget and shrinking the university organization Institutional autonomy was sought and achieved by constitutional ballot. Institutional autonomy provided the university responsibility for its personnel and budget. Tuition increase was attempted. Although not

Year	President	Organization	Events
			achieved it began the conversation with the public on the role of a public university and the resources needed for the university to remain competitive in a global environment.
2000-2003	President C	Decentralized	New governor elected
			Separated Campus from System; interim campus chancellor appointed
			Created campus Strategic Plan "Defining Our Destiny"
2003	Interim President E	Decentralized	Vice President appointed interim president.
			Decentralization efforts continued.
			National and international outreach efforts renewed
			Research agenda continued
			Search for permanent chancellor initiated
2005	President E	Decentralized	A permanent campus chancellor was hired fall 2007.

that is not the same priority as before." In these instances, the shift in priority is communicated not by a strategic or institutional plan, not by inclusive processes involving discussions with major stakeholder groups on campus. These types of priority shifts are communicated more by action and direction and the staff have to decode what this means. The director further stated:

I get appropriations of so many positions. I get the funding and some event occurs and the next thing I know all my vacancies are abolished. Then the positions are placed into some pool which later gets re-described to meet whatever are the needs of the administration.

New leadership in public organizations can bring about change in the way the organization is envisioned in terms of priorities, reporting lines, authority and responsibilities. Yet if leadership changes are not communicated systematically to the campus or if leadership turnover leads to partially implemented change, these contribute to the blurring of roles on campus.

Deep Commitment

The last theme, entitled "Deep Commitment," responds to Research Question 3 regarding how managerial professionals perceive the relationship of their work to the university mission. This theme examines how these professionals came to work at the university, their educational attainment, and their participation in professional associations. Their long affiliation with the campus contributes to the deep commitment they provided to the university organization during a time of transformative change. In this theme, participants express sub-themes of "Public Service" through the social ideal of higher education and "Work pride" from a sense

116

of ownership and value as institutional memory holders. Figure 4.4 depicts the theme

on Deep Commitment and the contributions and interactions that occur from the sub-

themes Public Service and Work Pride.

Public service. Managerial professionals in this study gained entry into the

world of university work through a variety of routes displayed in Table 4.5. As

university students, campus employment provided an opportunity for career

exploration, application of learning in a work setting, and learning work skills,

campus policies and procedures. As one participant stated, "I was thinking of being

an office manager and I think my experiences as a student assistant encouraged me

into that area."

Table 4.5

University Entry Points for Managerial Professionals

Worked as an undergraduate student employee, graduate	Employment for academic preparation	Relocated from private industry	By chance	Number of Participants (n)
12	7	1	4	24

In the 1960s and first half of the 1970s, when the campus was expanding

programs and services for a growing student enrollment, new graduates were hired

for faculty specialist as well as for newly created managerial professional positions.

Campus administrators scrutinized the work ethic of student employees, waited for

them to graduate, and invited former students to apply to work as managerial

professionals. One managerial professional recalls working with faculty members on

their research as an undergraduate and finding the work to be rewarding. This

Figure 4. 4

Deep Commitment
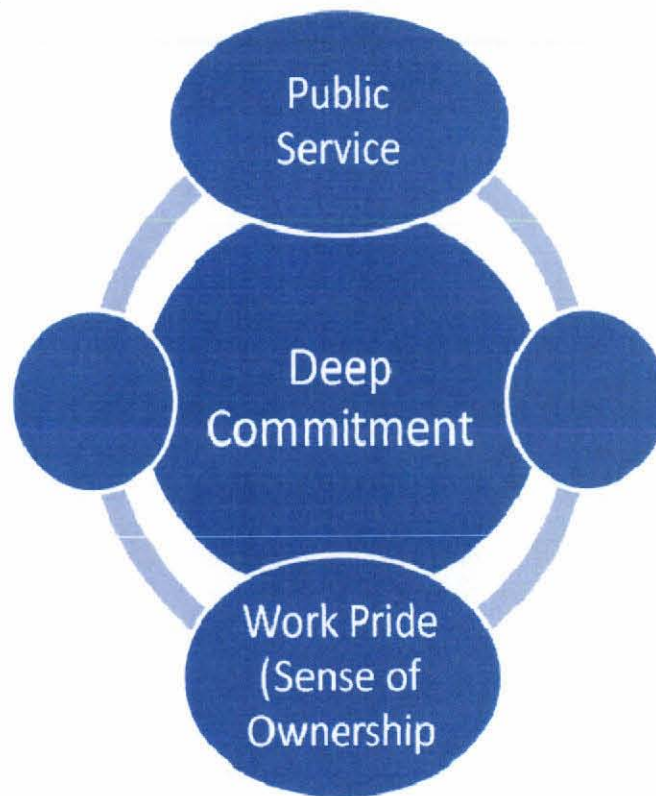
participant recalled, "After I graduated I was working [in private industry] and then approached by my former supervisor to work for a federal project [at the university]. That's how I came back to the university. The faculty, they knew me as a student help." Another participant who manages a research project commented on the sense of satisfaction that comes from work that benefits society and that validates the employee's professional competencies. "I like to be part of that work that is something bigger than the university. I like the job. I like what I do. It's interesting to me and not boring. It's challenging and I'm really good at it."

Some participants were graduate students who had planned to attain their PhD degree and become faculty members when they accepted their first managerial professional position. One participant was invited to become part of the major professor's research team while working on a master's degree. This employment provided the student with a full-time job and the time to work on the student's research agenda. The bachelor's degree is a minimum qualification for a managerial professional position at this campus. Table 4.6 identifies the highest degree earned and the type of degrees held by these professionals.

In addition to educational preparation, many of these professionals bring professional standards and work ethics to their work, from professional preparation, examination, certification, licensure, and membership in professional associations. Managerial professionals in this study belonged to the following professional associations: NASPA (National Association of Student Personnel Administrators); AIG (American Institute for Graphics); ACU-I (Association of College Unions – International); NACAC (National Association of College Admissions Counselors);

119

Table 4.6

Degrees of Study Earned by Surveyed Managerial Professionals

Bachelor's Degree: 7	Master's Degree: 15	Ph.D. or Ed. D.: 2
BBA (Bachelor's in	MSW	Ed.D.
Business Administration)	(4) M.Ed.—(EA)	Ph.D.
B.Ed. – Elementary	M. Ed. – (EP)	
(Bachelor's in Education)	MS Environmental Studies	
B. Ed. – Secondary	MS Plant Physiology	
(Bachelor's in Education)	MS Political Science, IT	
(2) BA (Bachelor's in	MS Bio Statistics, IT	
Arts)	MS Food Science & Nutrition	
BS Biology (Bachelor's	MS Entomology	
in Science)	MS Agriculture Engineering	
BS (Bachelor's in	MA Arts Administration	
Science) Music Business	MA (Master's of Arts) Visual	
	Design	

NACURA (National College and University Research Administrators); NACUBO (National Association of College and University Business Officers).

A second source of professional standards came from interpretations of university policy and procedure and state and federal law. A common example of this is related to questions of the proper expenditure of public funds. As one participant commented, "There are procurement rules that are state-related. There are lots of federal policies that we had to be familiar with in terms of the use of funds, too. Those are in circulars such as the Office of Management and Budget Circulars (OMB) that govern how federal funds should be used." Another said, "I think one of the things to remember is that we are managing public funds. It's not our monies. It's the public's money. Literally it's the tax payer's money."

Managerial professionals hired from 1966 to 1985 held the following job titles: academic support; allied health & safety; athletics; facilities planning and design; information, events & publications; information technology; institutional support; instructional & student support; media design & production; physical plant management; and research support (System OHR, April 2006). This exemplifies the work variation of managerial professionals across campus. Managerial professionals in this study include division and unit chiefs who direct and manage staff groups. They described their work as support for the faculty, the students and the administration. As one stated, "As a managerial professional and in my position I see myself as totally a support person to my program. So whoever my dean is or my chair, I'm trying to get them what they need to do their jobs as best they can without breaking any rules."

Work pride (sense of ownership). One of the most striking features of these managerial professionals was their commitment to the institution's mission of teaching, research, and service. These professionals perceived their university work as serving the public. In fact the meaningfulness of their work was due to this sense of having a social contract with the people of the state. An administrative officer commented:

This is the State's flagship [campus] so I think that's why a lot of us do what we do. Because whether it is our children or our neighborhood children, I mean if they not going to go away [to college] they're going to come here. We want to make this a place so they can succeed in life, too.

A participant stated, "Our program is based on local kids. We give them the time and the opportunity to develop the traditional way. You can teach life skills. You can teach life values."

One managerial professional described their responsibility as being the final safety net in the organizational hierarchy to ensure that the university's work can go on. There was a nodding of agreement by others in the group. Another stated:

We're gearing up to hire our faculty. I haven't even received the H-1 they send out with the application [to verify citizenship for employment]. But guess what if it doesn't come in and the Office of International Education needs to be contacted regarding immigration services, [I will make sure the work gets done!]

Managerial professionals used their personal interpretation of the institution's mission and how their work contributed to this mission to make sense of institutional

changes to move the campus closer to the marketplace. Those professionals who conducted training and community-based research felt pressured to produce revenue streams from their academic work. The conflict expressed by participants was that university academic work was to benefit all the people in the state, not just those who could afford to purchase specialized services.

Across campus, the number of clerical positions decreased during the 1990s due to budget constraints, clerical retirements, and statewide clerical shortages that made it difficult to fill vacancies on campus. In a college that had been reorganized, the loss of secretarial staff changed the patterns of work for the faculty and managerial professionals. One said, "We're all interacting with [all] these people on a one-to-one basis rather than going through our [single] clerical staff." There was concern that decreased clerical support at this college was noticed by peers at other institution and could affect the college's professional scholarly image, leading to loss of competitiveness in securing contracts and grants. One professional said:

> Now as we work outside [of the campus] with other groups, in our last
>
> gathering of universities, we really looked unprofessional. It really affected
>
> our image because when we bring people in for meetings, we can't pay them
>
> on time.

Campus leadership and policies changed over time, yet these employees were grounded in their commitment to the university's mission. This sense of mission is framed succinctly by the participant who wrote:

> Despite the changes in administration over the past twenty years, our central
>
> work was not significantly affected. The customers that we serve are the

123

faculty and students of the University. Managerial professionals serve as the skeletal backbone or framework which supports the academic and research activities of the University. We, as managers, have come to the realization that it really doesn't matter what happens above us. What matters to us is how we fulfill our position's responsibilities.

Another said, "I don't want my institution to fail" when describing a new initiative to have faculty go into the high schools to recruit students to come to the University. The participant stated:

It was a system initiative. As things were not happening, a faculty member came and approached our college and I said, 'Okay, we'll do it.' Because you know if you rely only on the faculty for something it's not going to happen. You need the support and the infrastructure to support the efforts of the individual program or service.

Managerial professionals see themselves as professionals in their respective fields. As work roles have expanded and workloads have increased without commensurate support or compensation, the managerial professionals continue to do their work because they do not want the university to fail. This work ethic, although beneficial for the campus, has had negative consequences to personal health and well-being of some of these participants. This work ethic has come at a cost to the person's family for some of the managerial professionals. Another commented, "There is a culture of where we want what's best for the institution. We want to be supportive of the institution. For instance even if you and your small staff have to stay late, put in extra hours, you just do it because of the benefit to the university."

Managerial professionals in this study, because of many years of service on campus, identified their institutional memory as contributing to the organization's stability. One commented:

A value that managerial professionals provide is that of institutional memory. Faculty turnover has been high and new faculty members are unaware of resources or things that the university has to offer. The only people that know that are the managerial professionals that have been around. You lose those managerial professionals that have been here for a while and it's a lot of reinventing the wheel.

They see themselves as the backbone of the university, the stabilizing force of the university. One of the participants stated, "Faculty change, students change, administrators change. We're still here." These employees were committed to working for the public good, making sure students received a good education, and supporting program initiatives.

Summary

Three major themes emerged in this study. These were "Expansion of Work," "Blurring of Roles," and "Deep Commitment." Expansion of work for managerial professionals in this study includes the fact that they experienced increased work responsibilities, a sense of increased importance in the work they performed, and in some cases an entire transformation of their role within the university. When the campus experienced an environment of rapid and constant organizational change due in large part to declining state budgets, managerial professionals accepted additional

responsibilities and workload. This was a time that the campus sought new revenue sources to supplement its traditional legislative funding base.

The blurring of roles, a second theme, included a sense of confusion and a feeling of invisibility in terms of how others responded to the work roles and responsibilities of managerial professionals. These professionals experienced the blurring of roles that was taking place on campus among the faculty, managerial professionals, and clerical staff. The blurring of the roles was due to the organizational flattening that decentralized system responsibilities to the campus, the decrease in clerical staffing, and the influence of technology in the workplace. Institutional autonomy shifted the campus's sole focus from faculty productivity to the increased importance of transparency in making infrastructure needs and transaction costs visible to the public and to policy makers.

A third theme that emerged from the data involved a sense of deep commitment. This included a belief in serving the public and a sense of pride in their work. These managerial professionals spoke about their deep commitment to the institution's ideals and to making sure the organization did not fail when they described the increased responsibilities they encountered in the new market-driven campus environment. Their deep commitment to support the faculty, the students, and the campus to be successful led to their perception that their work contributed to the achievement of institutional mission. Their public service was to a larger audience, the general public.

Chapter 5
Discussion, Implications, Conclusion

When I first developed the proposal for this study, I had a sense that not

much was known about managerial professionals in higher education and that this

would be an interesting topic for research. The literature review in chapter 2

supported the need for such research by identifying that the number of managerial

professionals had increased significantly in the past twenty years. The literature

identified that this group of employees experienced the greatest growth within their

group as compared to the faculty and clerical groups, yet not much was known about

their roles and responsibilities, however. Therefore, in chapter 3, I designed the study

to provide the managerial professionals in this study, who had worked 20 or more

years in higher education, with a venue for identifying their work roles and

responsibilities and how these had changed over time. The unit of analysis was a

single campus over a 20-year timeframe from 1985 to 2005. As the participants

shared their personal stories in chapter 4, a substantial amount of campus

organizational history was revealed. Academic capitalism theory helped illuminate

how global changes have influenced national political and economic legislation.

These mega changes in turn led to changes in State and institutional policies, and

eventually contributed to the change in numbers, work roles and responsibilities of

the participants at this campus. I discuss the study's unique findings from chapter 4

in this final chapter and in doing so, I respond to each of the research questions from

chapter 1. This chapter presents the study overview first, and then follows with an

analysis of the findings in light of the literature. Next, I present implications for

theory, for policy and practice, and for future research, followed by the chapter's conclusion.

Study Overview

Managerial professionals in higher education were placed at the center of this study to examine changes in their numbers, roles, responsibilities and the relationship of their work to institutional mission during a period of organizational change from 1985–2005. This was a time period of decreased revenue for the university due to a declining state economy and changes in funding priorities at the state and federal levels. Slaughter and Leslie (1997) used the term "academic capitalism" to describe the processes universities utilize to move their campuses closer to external markets, to engage in market conditions and to practice market behaviors in exchange for external revenue. Data were collected from twenty-four research participants, who responded to the research questions regarding change in work roles, responsibilities, and relationship of work to institutional mission. Institutional documents contextualized participant data. The following three themes emerged from the data: Expansion of Work, Blurring of Roles, and Deep Commitment. These themes revealed that these professionals perceived an expansion of their work, through increased work importance and increased role responsibilities, resulting from the changes in institutional policies over time. A blurring of the roles occurred due to lack of knowledge about managerial professionals the invisible nature of some functions, such as Information Technology and changes occurring in their work roles and responsibilities in a flattened organization. These employees stated a strong sense of public service. This deep commitment to higher education

became apparent when these employees described the relationship of their work as supporting the institutional mission.

Numbers, Roles, Responsibilities, and Patterns of Work

Early in the creation of the managerial professional at this campus, discussion took place within the Faculty Senate and the University administration regarding these employees' roles and responsibilities and whether they would join an existing employee group such as the faculty (Crowell, 1969; Wilson, 1972). Nemetz (1967), a consultant hired by the university, had recommended a third primary University personnel classification system in addition to the civil service clerical and the faculty. In 1970 the state collective bargaining law was amended to include managerial professionals as a bargaining unit separate from the faculty and clerical civil service staff. Over the next twenty years the number of managerial professionals increased at this campus, expanding their work into all organizational function areas and at all levels in the organizational hierarchy, with the exception of the exempt senior management level. The literature on managerial professionals offered a similar view, although limited viewpoint. This work expansion and its consequences were revealed in the themes, "Expansion of Work" and "Blurring of Roles." These themes addressed the first research question, illustrating where growth took place, why campus decision-makers adopted policies that have led to work expansion for these employees, and those factors that have detracted from the work visibility of these employees.

From the mid-1980s and throughout the 1990s, the campus experienced severe budget shortfalls and cuts. Global competition, as well as a restructuring of

the American economy (Altbach, 1999; Eckel & Couturier, 2006; Slaughter & Leslie, 1997; Zusman, 1999) contributed to declining state and federal revenue at public universities, and this campus was no exception. Within this campus work environment, which had become heavily revenue driven, the roles and responsibilities of managerial professionals were vital to the campus operations, productivity, and ability to attain institutional mission. The work of managerial professionals gained greater visibility and significance as the work of faculty and clerical staff changed in the market-like environment of a flattened organization. The flattened organization required greater accountability to policy makers and the public. Responding to statewide budget cuts, campus policy makers and leadership moved the institution from a centralized to a decentralized organization and delegated System responsibilities for budgets, personnel and facilities to the campus. Colleges, departments, schools, and other units reorganized. Some colleges were consolidated. Departments merged. Some schools in science and medicine expanded. Other units were eliminated. The administration's internal resource allocation patterns changed with allocations favoring units perceived to have a greater return on investment.

By the mid-1990s, technology had changed the way the campus operated and conducted its business. Students applied, enrolled, and paid tuition online. By the end of the 1990s, the university had achieved greater control in the management of its budget, personnel, facilities, and authority to retain tuition revenue through institutional autonomy. Institutional autonomy, however, also resulted in increased

accountability requirements by policymakers and the public (Eaton, 2006; Mundhenk, 2006).

The number of full-time general funded managerial professionals increased over time; however, the percentage change within this employee group did not grow as rapidly at this campus, as stated in the literature. The growth that did occur on this campus could be found in campus functions that required regulatory compliance related to health and safety, in budget and finance, in Information Technology (IT), and in student affairs. The increased numbers were in areas where the institution sought growth, such as research contracts and grants and in student enrollments, in order to generate more revenue. Increased numbers were also found in areas where the campus had to comply with government regulations and public accountability. Encompassing all of these areas was Information Technology expansion, since IT was critical for the campus to operate and compete in the 21st century. IT connected the campus to internal and external markets.

In addition to increased numbers, the data reflected the work expansion of and the great variety of positions held by these managerial professionals. These positions are located in academic support, allied safety and health, athletics; facilities planning and design, events and publication, information technology, institutional support, instructional and student support, media design and production, physical plant management, and research support. This variety is consistent with the literature that portrays managerial professionals working in student affairs (Guillermo, 2003, Helm, 2004; Rhoades & Sporn, 2002), entrepreneurial activities (Jones, 2004), external affairs (Cash, 2002), and in institutional support activities in assessment,

personnel, and budget (Leveille, 2005; Redenbaugh, 2006). Previous studies of managerial professionals (Anderson, 2002; Guillermo, 2003; Helm, 2004) examined managerial professionals as a disaggregated group, looking at narrow and specific job areas, primarily in student affairs and more recently in distance education. This contributed to the perception that the number of managerial professionals on campus was small.

In contrast, this study used an inclusive heading, "Managerial Professionals," that allowed for the presentation of job variations that exist within the group and the significant size of this employee population. Participants described roles and responsibilities that combined teaching, research, and managing programs and projects. Some responsibilities were multi-focused, such as serving as the university's liaison with industry partners, working with students, and managing an information office. In another example, a biochemical engineer served as principal investigator for a $100,000 grant, managed a machine shop, and taught an upper level engineering class.

Participants described a campus undergoing organizational change due to budget shortfalls and budget cuts. There was pressure to secure more research funding and to enroll more students since tuition was now a needed revenue source to balance the budget. There was pressure in how the campus conducted business due to increased external regulatory controls in managing hazardous waste and compliance with the Americans with Disabilities Act. There was pressure from increased public scrutiny due to institutional autonomy and the need to demonstrate greater accountability and transparency in campus operations. There was work

pressure to do more with less, due in part to a shortage of campus workers. Budget cuts that swept vacant positions and lack of funds to fill positions had resulted in a lack of clerical support. This lack of clerical support has resulted in both managerial professionals and faculty members becoming responsible for much of their own clerical and administrative support.

The participants framed their work responsibilities in relation to markets, whether these were external industry partners, internal colleges and departments being serviced for a fee, or students and their families, who were viewed as consumers of education. As these managerial professionals continued working in traditional areas, the work itself changed and expanded, as exemplified in the creation of the School College Relations Office that is responsible for student marketing and recruitment. Information technology was used to identify and market to the new student markets. In addition to securing new sources of revenue such as tuition, there was a growing awareness of the need to protect existing capital, particularly from regulatory noncompliance fines. Other examples of external markets identified by participants were fundraising among different external constituent groups and the need to position the campus in national rankings in order to attract more students and faculty and to gain community and corporate support. Examples of internal markets were found in student enrollments and in making academic programs more attractive to potential students through a revision of General Education Core requirements, course equivalencies related to credit transfers between institutions, and the use of IT to enroll, register and conduct university business online. A few wrote that as responsibilities increased they found their time

133

being used to handle tasks separate from duties for which they were originally hired. Many felt like they were survivors. A participant wrote, "Yet we all survived [change] and sometimes [we] thrived."

Some of the managerial professionals in the study have come to view the organization as a business. These employees see how their work contributes towards balancing the campus budget through revenue generation, such as tuition revenue or overhead income from contracts and grants. However, participants working in other parts of the organization did not share this same perspective. Participants with regulatory compliance responsibilities experienced an increase in budget, staffing, authority, and recognition of the importance of their work. The work of one office with campus-wide responsibilities was designated part of the campus' "Essentials Formula." In another example, academic responsibility for determining course equivalencies was shifted to managerial professionals in an area where academic decisions historically were made by college faculty.

Studies by Corey and Vaughan and Smith-Doerr (as cited in Mendoza, 2007) found that "universities have many features of hierarchical organizations, such as rigid ranks among its members, hierarchical communication and decision-making channels and individualistic reward structures" (p. 5). Yet the flattened organizational structure changed patterns of work by forcing managerial professionals to accept additional workload, responsibilities, and authority without additional supports or compensation. Managerial professional work expanded with additional or new duties and responsibilities, including the production or support of

academic goods and services, work with multiple publics, and the expansion of work.

Perceived Roles and Responsibilities during Organizational Change

Themes on Expansion of Work and Blurring of the Roles address the second research question, "How have managerial professionals perceived their roles and responsibilities during the change process?" Participants described their work as a support function, yet they shared a growing awareness that their work had become much more than support. The institutional definition of support was not adequate in recognizing and valuing how their work had become an essential component of the organization due to institutional autonomy. In some examples, their work had become essential to the institution because of the many changes initiated by campus leadership for the campus to remain competitive.

The flattened organizational structure contributed to a blurring of the roles among the three employee groups on campus. In theme 2, Blurring of the Roles, participants also spoke about role confusion and invisibility as employees. They recalled systematic encounters with co-workers throughout their careers and the factors that contributed to this. The three examples included the transaction activities of some work, the lack of knowledge about what managerial professionals do, and stereotypes that do not attribute professional work to managerial professionals. For example, participants noted that some types of work, such as Information Technology (IT), may not be visible. IT work tends to be operational and behind the scenes.

A third reason provided by some participants was that work performed by managerial professionals was attributed to another employee group, the faculty. For example when a participant was asked whether he was a faculty member and he identified himself as a managerial professional, the supervisor questioned why the employee was not a faculty member. This behavior by a supervisor detracted from both the managerial employee and the professional work that had been accomplished, in a sense, contributing to them becoming invisible. The managerial professionals as an employee group were not well understood by the faculty and the administration. Slaughter and Rhoades (2006) addressed this same blurring of the roles occurring across campus among all of the employee groups, not just between the managerial professionals and the faculty. The blurring of the roles was due to the cross-functional nature of some types of university work.

By reexamining the lens of academic capitalism that is being used in this study, we find that this theory has been used to examine primarily the work of the faculty from a faculty perspective (Rhoades, 1998; Rhoades, 2000; Rhoades, 2001; Slaughter & Leslie, 1997). Based on Resource Dependence Theory, we find that RDT consists of two primary components, the production of goods and services in exchange for resources and transaction cost activities. Transaction cost activities are those essential functions necessary for the organization to conduct business. It is the organization's operational infrastructure. These activities are vital because these activities support production. Examples of transaction activity functions are information technology, regulatory compliance, facilities management, budget and fiscal management, and personnel. Transaction activities have become more

important as the organization's economic survival depends on its ability to respond to the market. Figure 5.1 identifies some of the production activities work by faculty members.

Figure 5.2 provides examples of managerial professional transaction activities. In the past, these two types of activity were distinct and separate. In this new campus environment, the campus organization has flattened, contributing to the blurring of roles among employee types. In this new competitive environment, the administration acknowledges revenue from production activities and it also pays attention to transaction costs such as collecting tuition and managing university resources wisely. The distinction between who produces goods and services and who does transactional work is no longer clear. Managerial professionals are involved in teaching and research, work areas formerly assigned solely to the faculty. Authority for some academic decisions is being transferred to managerial professionals. We saw in the example of admissions staff having the authority to make academic decisions related to course equivalencies for General Education Requirements as one example of academic decisions being transferred to managerial professionals.

Institutional autonomy contributed to transaction activities becoming more visible and more valued by campus officials. With the attainment of institutional autonomy came increased demand for campus accountability by campus executives, policymakers, and the general public. Leveille (2005) found that accountability has a public purpose to assure the public of value, effectiveness, and quality of higher education. . Achieving *institutional savings* and *cost avoidance* are accountability terms used to "strike a chord with elected officials concerned about the best use of

137

Figure 5.1
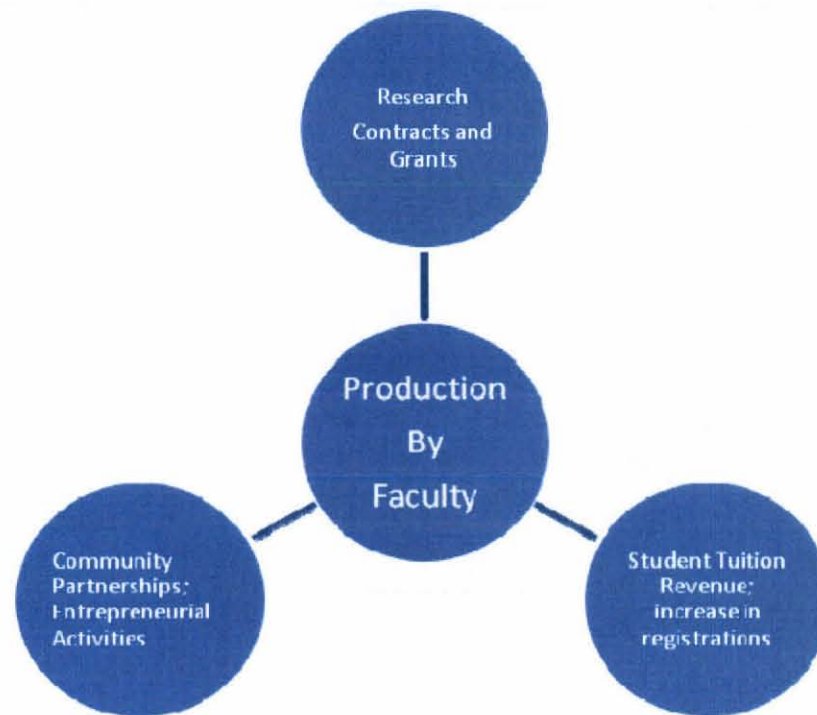
Production Activities

Figure 5.2

Transaction Activities

public funds while facing fiscal, enrollment, and personnel demands..." (Eckel & Couturier, 2006, p. 23). Failure to comply with federal regulatory requirements, such as compliance with the American with Disabilities Act (ADA) or the U. S. Environmental Protection Act (EPA), can result in major fines and jeopardize the major federal revenue source that contributes to the campus' research agenda. The 1999 EPA fine for $1.7 million against this campus illustrated this point. Accountability is another transaction activity. Perceptions of work roles and responsibilities during organizational change take into account how managerial professional work contributes toward institutional accountability and the addition of transaction economics in the use of academic capitalism.

Institutional responses influenced how managerial professionals perceived change in their work roles and responsibilities. Work responsibilities and complexity in scope of work occurred due to a flattening of the campus organization, a blurring of work roles, and the attainment of institutional autonomy. These managerial professionals were aware of the inadequacy of the institutional definition of support for recognizing and valuing how their work has become critical to the organization. The concept of academic capitalism was expanded by utilizing both production and transaction activities from Resource Dependence Theory as the lens to view the work of managerial professionals in light of institutional autonomy and public accountability. This contributed to an understanding of the importance of managerial professionals work to the campus.

Relationship of Work to University Mission

The relationship of managerial professional work to the university and its mission can be found in the last theme on "Deep Commitment." In this theme, sense of mission had a strong public service component. Institutional memory held by the managerial professionals in this study provides additional insight into the relationship of their work to university mission. Other elements include work pride and sense of ownership. Power from unionization appeared in this theme, but not enough to become a subtheme. Participant statements in chapter 4 reflected deeply held thoughts and feelings in support of public higher education and thus, the institution's work. Participants viewed the relationship of their work to university mission as important. Their deep commitment to how their work supports the university mission conveyed a higher education public agenda for the public good. The public service agenda held by these professionals comes at a time when university autonomy has shifted from meaning the "academic freedom" enjoyed by the faculty to the "institutional autonomy" that requires accountability reports generated for policymakers and the general public to make campus work visible. Autonomy has been characterized as having the following two distinct dimensions: academic freedom and institutional autonomy (Altbach, Berdahl, & Gumport, 1999). These melded senses of work and mission that participants held are complementary to institutional accountability. When participants heard the words, "university campus," individuals in one focus group responded that they thought of "work." However, the ensuing discussion on work was entwined with the definition of "university mission." To these managerial professionals, "university mission" meant

the social contract of teaching, research, and service for the benefit of the people of the state. Their job was to create a place where the local student could succeed, a place to learn life skills and life values. Their comments raised university work and mission to the higher social good, benefiting local residents, the local economy, and the state. These participants painted a simplified higher education public policy agenda, which is exactly what legislators and the public have demanded from public universities. The higher education public policy agenda includes workforce development that supports state economic development and competitiveness (Eckel & Couturier, 2006) and the larger vision of building better lives for residents.

Participants described the value of institutional memory they are able to provide to the campus during a time of change. As one commented, "The only people who know [the institutional memory] are the managerial professionals that have been around. You lose those managerial professionals that have been here for a while and it's a lot of reinventing the wheel." Because these senior professionals have experienced organizational change through four university presidents, one stated, "My message to the new chancellor is, 'You have institutional knowledge [from managerial professionals], so you've got to use some of that.'" Participants shared beliefs about the relationship of university work to the mission and implied that they try to facilitate organizational flexibility by bringing their knowledge of administrative rules, laws and policies to the attention of deans, faculty members and other employees when necessary (Anderson, 2005; Kezar, 2005; Milam, 2005). Other participants commented on changes in executive leadership that have altered

142

the interpretation of university mission from focusing on undergraduate education towards becoming a recognized research university.

There is agreement among participants that duties and responsibilities have increased and resources have shifted to new campus priorities. Increased workloads have resulted from policy shifts and requirements related to institutional autonomy, and work has increased in scope and complexity. Program demands were intensified due to reorganizations and technology conversions. Student needs became more complex. Yet in light of these pressures, these participants felt responsible. They had a deep commitment to making sure the university work could continue. These participants did not want the institution to fail. Work responsibility included doing their job, plus additional responsibilities for positions in their work area that had not been filled. For some, it was commonplace to work long hours that regularly included evening and weekend work. This had negative consequences for these employees' personal health and wellbeing, and at a cost to their families.

Autonomy and accountability were other factors that shifted the focus from solely the work of faculty production towards including the work of managerial professionals. Transactional activities were in alignment with institutional autonomy because these activities contained economic relationships with both internal and external markets. Internally, the work of these professionals created the infrastructure that makes university production work possible and, given limited resources, made this work more valued and visible. Figure 5.3 compares the change that has occurred in autonomy types. This is the shift from individual autonomy practiced by faculty members to institutional autonomy in which managerial

143

Figure 5.3

Change in Autonomy Types

Individual Autonomy (Faculty)	Institutional Autonomy (Managerial professional)
↓	↓
Academic Freedom	**Accountability**
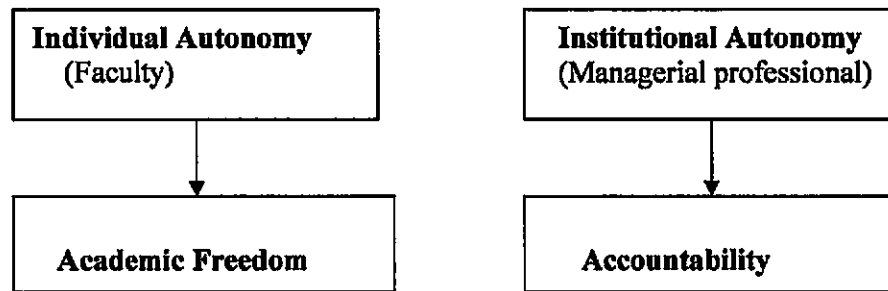
professionals are responsible for work related to public accountability. The participants referred to their work as "support" in relation to the university mission. However, when they described the importance of what they do, they were aware that their work was no longer auxiliary. Without these professionals managing the budget, finances, personnel, facilities, technology, and monitoring internal compliance with external regulations placed upon the campus, the campus could not operate. In other areas, the work of managerial professionals was directly involved in research, instruction, and service.

Eckel and Couturier (2006) found that external accountability demonstrates performance in measurable terms and this is expected by the public. Examples from the data are the managerial professionals who secured cost savings through budget and fiscal management and other managerial professionals who provided cost avoidance by monitoring and testing for compliance of federal, state, and local regulatory requirements. Regulatory violations bring the risk of major fines and negative publicity against the campus.

The relationship between managerial professional work and university mission is deeply entwined. Participants spoke of their strong commitment to higher education and how their work supported the public service mission of the campus. Institutional autonomy provided weight to this relationship since institutional autonomy provides the campus with authority to directly manage campus needs. However, the public policy agenda of higher education by legislators, public policymakers, and the general public are also in this picture via accountability. The managerial professionals were acutely aware of these changes. Academic capitalism

and related transaction activities that constitutes managerial professional work contribute to the perceptions of value in the relationship of work to mission.

Implications for Theory

Academic Capitalism Theory (Slaughter & Leslie, 1997; Slaughter & Rhoades, 2004) was used to study managerial professional work roles, responsibilities, and relationship of work to mission during a time of higher education organizational change due to declining revenue. Past uses of this theory were limited to faculty production work. This theory was expanded to explain workplace changes that affect all employees in higher education. In this study, the theory viewed the work of managerial professionals in light of institutional responses to a decreasing state budget. These professionals were aware of how their work was linked to external or internal markets. They identified programs, services, and offices that interfaced with these markets. They were aware of the widespread use of technology for daily operations. Most were familiar with the view of students as consumers and as a source of revenue and of the pressures on faculty and staff to secure more research contracts and grants. Some were painfully cognizant of internal budget allocations to units and colleges in the sciences and the medical school based on the perceptions that these were closer to the market and would have a better return on investment. This awareness was because their own programs had seen a decrease in budget allocation or researchers with lucrative grants had been reorganized out of their unit.

Theory use was expanded to include both production and transaction activities. Formerly, this theory examined faculty production activities in exchange

146

for resources. Applying this theory to managerial professionals identified their work in production activities, too. These managerial professionals, however, had work responsibilities in both production and transactional activities. The blurring of the roles among faculty and managerial professional work uncovered transaction activities that make production work in teaching and research possible. Transaction activities are critical for the university to be able to interface with the marketplace. Production work would be severely hindered without the infrastructure or support provided by the transaction activities of the managerial professionals. The institution may identify a new initiative that faculty members are willing to support, but that is not enough. Infrastructure supports by managerial professional and clerical staff are critical for the initiative's actual implementation and sustainability. The increased value of transaction activities was further illuminated due to institutional autonomy within the campus environment. The shift from faculty autonomy to institutional autonomy led to public calls for greater accountability and transparency in university work and the systems that support that work. Institutional autonomy contributed to the work of these managerial professionals becoming more visible and being of greater interest and value to campus policymakers and the public.

Academic Capitalism Theory was strengthened with the inclusion of both transaction activities and production activities when examining university work. Managerial professionals have work responsibilities in both production and transaction activities. Plus, institutional autonomy further identified the importance of transactional activities within the organization.

147

Implications for Policy and Practice

This study began with the assumption that there are other employees in addition to the faculty who contribute to the work of higher education organization and its mission (Hancock & Hellawell, 2003; Mendoza, 2007). The research revealed that managerial professionals are an important segment of the university workforce, who handle responsibilities that contribute to infrastructure and transaction cost economics of the institution. Without these employees, the university could not function. In addition, they work across campus in each of the campus' functional areas. These positions are responsible for bringing in revenue such as tuition, for saving revenue by regulatory compliance, and for managing revenue as administrative officers. The theme of "Deep Commitment" highlights the strong sense of public service that these professionals bring to the institution. This is a value that has not been recognized or rewarded among the campus community. It is a value that external policymakers and the public desire from public universities. Yet the university has not valued this among managerial professionals in its workforce.

Three recommendations are offered. First, as the public and policymakers have asked for greater transparency in university work, the institution can utilize managerial professionals as model public servants who bring deep commitment to their work and who perceive as part of their mission, service to the people of the state. Second, this recognition can be developed as part of a campus and state awards program that recognizes teams of professionals in addition to individuals. These teams would showcase the leadership skills managerial professionals can provide within a group of professionals. The third recommendation is to include a section on

"Managerial Professionals in Higher Education" in annual orientation programs for new faculty and staff and as part of regular training and development of campus leadership from the Chancellor's Office, Dean's and Directors, Faculty Senate and Clerical Council. There are many more recommendations that could be developed. However these three address the need for public recognition among colleagues and peers on campus. They acknowledge the public service aspect of the "Deep Commitment" theme through an awards program. They suggest a systematically offered education program for new and existing faculty and staff and members of the campus leadership on the work of managerial professionals.

Implications for Future Research

This case study was limited to a single campus at a public Doctoral/Research Extensive university. The study utilized criteria to select research participants who were senior professionals in their managerial professional careers. Although findings are not fully generalizable to other institutional settings, findings addressed the research questions and contributed to insights to expanded work roles, responsibilities, and patterns of work of managerial professionals. Future research is needed to examine supports available to and barriers faced by managerial professionals in their work lives. An interesting study would be to develop a model that would place an economic value on the work roles and responsibilities of these employees. Such a study would no doubt reflect the economic value they provide from production activities such as teaching, research and service, as well as the transaction activities that make university production work possible.

Although the campus provides merit awards for managerial professionals, a significant number of these professionals work as part of teams. Therefore, research documenting how to reward this team or networking behavior and practice is suggested. Mendoza (2007) stated, "Network organizations collaborate with other organizations, learn across relationships...pursue collaborations with familiar sources of relevant expertise" (p. 6). Internally, network forms of organization are flatter, based on cross-departmental teams and have fluid boundaries. As work partnerships become more important, a future study might explore how employees from different employee groups collaborate and support each other as members of a campus or department team with shared responsibilities and authority, and with emphasis on process and outcomes.

A third research area would focus on job development and attainable career ladders for these employees. Lack of a career path or ladder was identified as a barrier that contributed to low employee morale. The new classification system was perceived as creating silos that further limited employee movement. People had to change jobs in order to receive a promotion. Even though the new classification system recognized certain professional and technical areas, it did not treat these areas differently financially. It may be timely and proactive to explore how new and midcareer professionals to the campus perceive the relationship of their work to the university mission and whether they would be willing to work the hours and make the sacrifices that the participants in this study described. Retention programs may need to be designed and implemented.

In summary, this study examined qualitative data from interviews, focus groups, written reflection pieces, and organizational documents from a group of managerial professionals, and as such has its limitations. Future research on managerial professionals could enrich our understanding of these employees, contribute to a more complete view of the workforce in higher education, and provide further insights to organizational changes occurring on campus.

Conclusion

Managerial professionals hold campus roles and responsibilities that contribute to the attainment of the university's mission. These positions are located throughout the campus and at all levels of its organization. The lens of academic capitalism, based on Resource Dependence Theory (RDT), aided in understanding how institutional responses to change through policy shifts moved the campus closer to the marketplace and brought change to managerial professionals' patterns of work. Perspectives from managerial professionals regarding these changes were corroborated by multiple data sources to inform of "Work Expansion," "Blurring of the Roles," and "Deep Commitment" of these employees.

"Implications for Theory" resulted from applying this theory to another group of campus actors, the managerial professionals. Looking at these employees' work patterns expanded the application of academic capitalism by uncovering transaction activities, along with production activities. The relationship between transaction activities and accountability due to institutional autonomy reinforced new insights into these professionals' work and the value of their work. Institutional autonomy expressed the need for public accountability and transparency in university work. It

made the work of managerial professionals more visible and more important to the organization. This aided in our understanding of organizational change occurring on campuses.

"Implications for Policy and Practice" identified the importance of the roles and responsibilities of these employees for the smooth daily functioning of the campus organization. Three recommendations were provided to acknowledge the work of these employees. The need to educate all campus employees about the valuable work provided by these professionals was also recommended. Finally, in "Implications for Future Research," the elements of workplace supports/barriers, rewards for work that is team-oriented, and the creation of career ladders were identified. I hope that the information provided in this study on managerial professionals has been informative and will contribute to a better understanding about this employee group in higher education.

Appendix A

Email Invitation to Potential Participant

From: M Chock

Sent: Tuesday, May 8, 2007 10:46 pm

To: (Name)

Subject: Thank you for participating in my Study

Attachments: PARTICIPANT CONSENT; REFLECTION PAGE; INTERVIEW; FORM.doc

          GUIDELINE.doc; QUESTIONS.doc

Dear (Name):

Thank you very much for agreeing to be a participant in my study on Managerial

Professionals in Higher Education. As a participant, your time commitment is a 1-

hour interview that we have scheduled for Tuesday, May 22 from 11:30 AM to 12:30

PM at Orvis. There will also be a 1.5-hour focus group that will meet on either June

6 (Wed) or June 7 (Thurs) at the Campus Center. Please let me know if you are

available on those dates from 11:00 Am – 1:00 PM. You will also spend a brief

amount of time on Reflection pieces.

Attached is the "Participant Consent form" that provides an overview of the study,

criteria for the research participants, responsibilities and rights of the participants.

Please be aware that you can withdraw from the study at any time for any reason.

153

Also attached are the Reflection guideline and interview questions for your information.

Please email your Reflection #1 to me a few days prior to our interview on May 22nd. I will pick up your signed Participant Consent Form when we meet on May 22nd before beginning the interview.

Please feel free to call me at 956-4523 or email if you have any questions. My doctoral committee chair is Dr. Joanne Cooper at the College of Education, Department of Educational Administration. The protocols (forms and questions) I am using have been reviewed and meet the standards set by the UH Human Subjects Research Office. Thanks again for your willingness to participate in this study.

Aloha,

Mona Chock

Appendix B

Participant Consent Form

Agreement to Participate in Managerial Professionals Study

Mona K. O. Chock

Primary Investigator

monac@hawawaii.edu; 956-4523 (w)

This research project is being conducted as a component of a dissertation for a

doctoral degree. The purpose of the study is to examine changes that have occurred

in the past twenty years in managerial professional numbers, roles, responsibilities,

and the relationship of their work to the university's mission from the managerial

professional's perspective. You are being asked to participate because you meet the

research participant criteria of being employed at the University of Hawai'i as a

managerial professional for 20 or more years with full employment and retirement

rights, and being physically located at the Mānoa campus.

Participation in the project will consist of (1) reflection pieces collected at the start,

middle and end of the data collection process, (2) an interview with the investigator,

and (3) participation in a focus group. The reflection pieces can be about (a) the

work you are doing, (b) changes occurring in your work place, (c) thoughts on the

relationship of your work to the institutional mission, (d) work issues that cause you

concern, and/or (e) how your work/program is being affected by finance issues, faculty work issues, and/or accountability issues. Interview questions will focus on why you became a managerial professional, why you remained in this field, and professional ethics, philosophy, or standards that guide you in your work. Data from interviews will be summarized into broad themes. Focus groups will further explore one or two of the themes within the context of organizational change. No personal identifying information will be included with the research results. Each interview will last no longer than 60 minutes. Each focus group will last no longer than 90 minutes. Approximately 25-30 people will participate in the study. Interviews and focus group sessions will be audio recorded for the purpose of transcription. Audio tapes will be erased after transcription.

The investigator believes there is little or no risk to participating in this research project. However, there may be a small risk that the interview process and/or focus group session may bring back painful or unpleasant memories. You may elect not to answer any question(s) at any time for any reason.

Participating in this research may be of no direct benefit to you. It is believed, however, the results from this study will help the university and members of the campus community to better understand the growing number of managerial professionals on campus, changes that have occurred in their roles and responsibilities in the past twenty years, and the relationship of their work to institutional mission.

Research data will be confidential to the extent allowed by law. Agencies with research oversight, such as the UH Committee on Human Studies, have the authority to review research data. All research records will be stored in a locked file in the primary investigator's home office for the duration of the research project. Audio tapes will be destroyed immediately following transcription. All other research records will be destroyed upon completion of the project.

Participation in this research project is completely voluntary. You are free to withdraw from participation by notifying the investigator in writing, at any time during the duration of the project with no penalty, or loss of benefit to which you would otherwise be entitled.

If you have any questions regarding this research project, please contact the researcher, Mona K. O. Chock, at 956-4523 or monac@hawaii.edu.
If you have any questions regarding your rights as a research participant, please contact the UH Committee on Human Studies at (808)956-5007.

Please sign the form on the next page and return to Mona Chock
prior to your scheduled interview. Mahalo!

Participant:

I have read and understand the information provided in the "Participant Consent Form", and have been given satisfactory answers to my inquiries concerning project procedures and other matters. I have been advised that I am free to withdraw my consent and to discontinue participation in the project at any time without prejudice. I agree to participate in this research project with the understanding that such consent does not waive any of my legal rights, nor does it release the Principal Investigator or the institution or any employee or agent thereof from liability for negligence.

_____

Name (printed)

_____   _____

Signature   Date

Appendix C

Reflection Page Guidelines

Managerial Professionals Study

1. The Reflection Page should be at least one paragraph and no more than one page in length, double spaced or hand written. The following questions can help guide your Reflection #1.

    a. Describe the work you do in the context of organizational change and academic capitalism[2].

    b. How has your work changed in the past 20 years, specifically 1985 to 2005 in terms of the scope of your work, your responsibilities and authority, the type of people you work with as colleagues, your work assignments, and the composition of committees or project teams?

    c. What are your thoughts on the relationship of your work to attainment of the institutional mission? Do you believe your work today has greater or less significance than 20 years ago? Why?

    d. Identify a work issue in the past ten years that causes you concern. How is this work issue the same or different from work issues you faced 20 years ago?

    e. How has your work/program been affected by changes in finance, faculty work/roles, and institutional accountability?

---

[2] Note: Academic capitalism is based on Resource Dependence Theory. This theory simply states that organizations depend on resources in order to survive. When resources from traditional sources are withheld, the organization will seek new sources of revenue or perish. Academic capitalism is the application of Resource Dependence Theory to explain organizational changes that are occurring in higher education.

f. Are there insights or reflections about changes in your work role and responsibilities you feel important to identify in this study?

After participating in the individual interview Reflection #2 can expand on ideas from Reflection #1 by adding new insights. After participating in the focus group session Reflection #3 provides you with the opportunity to list thoughts that may have been triggered or reinforced by the group discussion.

3. Submit your Reflections to Mona Chock or via mchock50@hotmail.com at three specific times. Please note that this is NOT a UH email address.

- Reflection #1 prior to your individual interview
- Reflection #2 prior to your focus group session
- Reflection #3 after the focus group session

If you have any questions, please feel free to contact me at my university email monac@hawaii.edu or at 956-4523. Thanks again for participating in this study, your personal knowledge and perspective as a managerial professional, and for your commitment of time.

Appendix D

Interview Questions

INTERVIEW QUESTIONS

Managerial Professionals Study

1. Tell me about your career as a managerial professional. How did you come

   into the field and what made you remain? Is there something different by

   your working at UH, than if you did this type of work downtown?

2. Do you have a higher education philosophy or professional ethics and

   standards that guide you in the work you do? Can you describe it to me and

   provide a couple of examples of how that belief is applied in how you do

   your work?

3. This study examines changes that have occurred with managerial

   professionals as a group, from 1985 to 2005, as a result of organizational

   changes at the university. Three areas of change described in my paper are

   related to (1) finances, (2) faculty work and numbers, and (3) accountability.

   Can you share one to three examples of how you/your position(s) or your

   program(s) have been affected by these organizational changes between 1985

   and 2005?

4. Tell me about your current position. What are your role and responsibilities?

   What authority do you have in your position? Who do you report to? Do

you supervise or have responsibilities for the work of any faculty or staff? What types of changes are occurring in your workplace and how do these changes affect your work?

5. How do you see the relationship of your work to institutional mission? Do you feel or think that your work is part of the mission or auxiliary (supportive) to the mission?

6. What supports or barriers to your work do you perceive in your work environment?

7. Do you see managerial professional as a single group of employees or as subgroups? How do managerial professional express their political interests? Do you see managerial professional as having any power?

8. Have you experienced any tensions with employees from other university employee groups such as faculty, clerical, or executives? Why do you think this occurred?

9. If you could give advice to a new managerial professional coming into the field, what would it be?

10. If you could advise the chancellor about managerial professionals and the relation of managerial professional work to the university's mission, what would you say?

11. Is there any other managerial professional perspective you would like to share during this interview?

12. Before we conclude this interview, do you have any questions for me?

Appendix E

Focus Group Procedure

In preparation for each focus group session, name plates that listed the first name of the participant and the name of the research study were created. Table seating was considered and seating was pre-arranged based on the researcher's limited knowledge of the personalities of the participants. The plan included alternate seating of male and female participants. It took into account the power dynamics among the participants that could occur if people worked in the same functional area but were not equal in terms of their location in the organizational hierarchy. The researcher took into account the energy needed to be responsive and attentive to participants with strong personalities and diffused the possible combustion of such a situation by moving a couple of people into different focus group sessions or in their seating placement at the table. A couple of days prior to each focus group a reminder notice was emailed to each participant that listed the date, time, and place for the focus group session. This professional courtesy served as a reminder to the participants and provided an opportunity for participants to inform the researcher of any last minute scheduling conflict.

The researcher arrived at the private dining room an hour prior to each focus group session to set up according to a pre-set floor plan and focus group checklist. The name of the research study was posted on the exterior of the door. Furniture was arranged to support the participant name plates, the tape recorder placement in the room and placement of the table microphone. The researcher pre-taped the date and

identifier of the focus group session on the cassette tape to make sure that the equipment was working properly and to have the recorder set up for the session. A boxed sandwich, bag of chips and bottle of water had been ordered for each participant and was delivered thirty minutes prior to the session. Focus Group registration forms were located on a table near the doorway entrance under a white board. The white board welcomed participants to the focus group session and gave directions to complete and return the registration form, pick up a boxed lunch, and to be seated at the table at their name plate. The researcher personally welcomed each participant by name upon arrival and encouraged him/her to begin eating and to complete the registration form in preparation for the focus group to begin. The registration form asked for basic demographic data such as participant's job title, years employed at the campus, total years of formal education, race and gender.

Participants arrived on schedule and by ten minutes past the hour the focus group session started by the researcher turning on the tape recorder and officially welcoming everyone. Recording the session allowed the researcher to be "more attentive to the group dynamics and "more responsive to individual participant needs and cues" (Patton, 1987, p. 137). Recording the session also raised the level of accuracy to be derived from the data and contributed to the trustworthiness of the data. In addition to the audio recording the researcher took notes of key points that were presented or that corroborated with previously collected data. The researcher wrote quotations that might be used later in the findings, noting the initials of the speaker so that comments could be verified with the participant later.

The session agenda included an introductory section welcome, statement on the purpose of the study, the ground rules and procedural items, and an icebreaker to get things started. The icebreaker was designed to have the participants comfortable with talking in the group and to help the researcher to quickly assess the group dynamics. It provided an opportunity for participants to gauge how loudly they needed to speak so that everyone could hear and understand their comments. The second section of the agenda went right into the four focus group questions and included time at the end of the section for the researcher to give an oral summary at the end of the focus group. Morgan (1998, p. 17) states that the oral summary gives participants "an opportunity to verify the observations of the researcher and to expand on or modify these as needed," can be a shortcut analysis strategy, and can provide the opportunity for additional discussion. The final section of the agenda reminded everyone to submit Reflection #3, their final data piece and the researcher's personal thanks for their participation in the study.

Immediately following each focus group the researcher locked the door to the meeting room and took the next hour and a half to play back the audio tape and listen, reflect on handwritten notes and observations, and to flesh out field notes. Patton states that "It is a time of quality control to guarantee that the data obtained will be useful, reliable, and valid" (Patton, 1987, p. 140). Recordings were transcribed later, noting participant pauses, sighs, laughter and other audible sounds or silences for possible meaning during the data analysis. The focus group transcription was edited to clarify responses, resulting in a final copy. Similar to data from the individual interviews the researcher's focus group written

observations, field notes and focus group transcript were reviewed, compared, and cross–referenced in the data analysis. Recordings and transcriptions will be destroyed at the completion of this study.

Document Analysis Form

Document Name: _____

Date of Document: _____

____ System

____ Campus

____ College

____ Department

____ Other Unit Name: _____

    1. Elements of change

    2. Elements of Academic Capitalism

    3. Key Actors

    4. Context

    5. Important Ideas

    6. Other Information

Summary of key points:

Appendix G

Coding Categories

Organizational Changes	Work Roles	Work Responsibility	Relation of Work to Mission	Work Relationship Supports and Barriers
System to campus	Greater use of technology	More college-wide interaction	For the public good	Invisible work
Delegation of Resp.	Change from research to education specialist	Delegation of system to campus responsibilities	Tripartite mission	Unseen infrastructure; only see when there are problems
Tuition Income	Teach, research, direct program, community outreach	Larger number of research grants to manage	A better life for our graduates	Free university classes (staff tuition waiver)
Institutional Autonomy & accountability		Faculty director busier so I have greater responsibilities		Dead-end job
Student recruitment		Computers and web site management!		Role confusion
Merger of Departments		Involved in academic decisions		Treated differently
Elimination of programs		Part of campus "Essentials Formula"		Don't know who is who anymore
Information Technology influence		Greater authority and responsibility		Incentives are individual-based; work is team-approach

Appendix H

Semiotic Clusters (Example)

Competing Meanings	Connotative Meanings	Institutional concerns	Internal/External
Work:			
Serves the public	Job	Part of the organization	External
Helps the faculty and students	Paycheck	Contribute to the mission	Internal
Important to the state	State employee	Not a faculty or PhD	External
Important part of who I am	Part of the university	"Staff"	Internal
Values colleagues	Independence		Internal
and co-workers	Problem solver		Internal

References

Allen, H. L. (2006). Veblen revisited: Faculty workload and productivity in an era of

privatization and assessment. *The NEA 2006 Almanac of Higher Education*,

81–94.

Altbach, P. G. (1999). Harsh realities: The professoriate faces a new century. In

P. G. Altbach, R. O. Berdahl, & P. J. Gumport (Eds.), *American higher*

education in the twenty-first century: Social, political, and economic

challenges (pp. 271–297). Baltimore: Johns Hopkins University Press.

Altbach, P. G., Berdahl, R. O., & Gumport, P. J. (Eds.). (1999). *American higher*

education in the twenty-first century: Social, political, and economic

challenges. Baltimore: Johns Hopkins University Press.

American Council on Education. (2004, May). *Shifting ground: Autonomy,*

accountability and privatization in public higher education: Higher

education change 1994–1999. Washington, DC: Author.

American Federation of Teachers in Higher Education. (2003). *The overall growth of*

full-time nontenure-track faculty (AFT Publication No. 36-0700).

Washington, DC: Author.

Anderson, J. L. (2005). Community service as learning. In A. Kezar (Ed.),

Organizational learning in higher education, (pp. 37–48). San Francisco:

Jossey-Bass.

Anderson, T. K. (2002). *Analysis of Georgia Technical College administrators'*

perceptions of their roles in the implementation of retention strategies.

Retrieved from ProQuest Digital Dissertations. (AAT 3053931)

Bartunek, J. M., & Louis, M. R. (1996). *Insider/outsider team research*. Thousand

    Oaks, CA: Sage.

Bensimon, E. M. (2006, November). *The underestimated significance of practitioner*

    knowledge in the scholarship on student success. Presidential address

    presented at the annual meeting of the Association for the Study of Higher

    Education, Anaheim, CA.

Bess, D. (1972, June 28). [Letter to Allen Trubitt, Faculty Senate Executive

    Committee]. Faculty Senate records, Committee on Charter & Handbook

    (163), July 1972–June 1973, Vol. 1, in University Archives, Hamilton

    Library, University of Hawai'i at Mānoa.

Bradley, G. (2006, January/February). Contingent faculty and the new academic

    labor system. *Academe, 90,* 28–31.

Campanella, L. S. (2001). *Key management issues facing the new president of the*

    University of Hawai'i: Report for the president. Unpublished manuscript,

    University of Hawai'i.

Cash, J. M. (2002). *Private fundraising for public higher education: The first fifteen*

    years: A progress report. Washington, DC: Marts & Lundy.

Commission for the Protection of Human Subjects of Biomedical and Behavioral

    Research. (1979). *The Belmont report: Ethical principles and guidelines for*

    the protection of human subjects of research (DHEW Publication No. (OS)

    78-0013 and No. (OS) 78-0014). Washington, DC: U.S. Government Printing

    Office.

Concise rules of APA style. (2005). Washington, DC: American Psychological

Association.

Council for Aid to Education. (2004, April). *Voluntary support of education, 2003: National estimates and trends for higher education.* New York: Author.

Creswell, J. W. (1998). *Qualitative inquiry and research design: Choosing among five traditions.* Thousand Oaks, CA: Sage.

Crowell, D. H. (1969, August 19). [Letter to H. S. Roberts, acting chairman, Senate Executive Committee]. Faculty Senate records, Committee on Charter & Handbook (n.d.), in University Archives, Hamilton Library, University of Hawai'i at Mānoa.

DeHart, A. (2004). *Institutional leadership in higher education: An inquiry into perspectives and roles of college and university presidents in public institutions.* Retrieved from ProQuest Digital Dissertations. (AAT 3121872)

Denzin, N. K., & Lincoln, Y. S. (1998). Introduction: Entering the field of qualitative research. In N. K. Denzin & Y. S. Lincoln (Eds.), *The landscape of qualitative research: Theories and issues* (pp. 1–34). Thousand Oaks, CA: Sage.

Denzin, N. K., & Lincoln, Y. S. (Eds.). (2000). *Handbook of qualitative research* (2nd ed.). Thousand Oaks, CA: Sage.

Douglass, J. A. (2006, September). Universities and the entrepreneurial state: Politics and policy and a new wave of state-based economic initiatives. *Center for Studies in Higher Education Research & Occasional Paper Series,* CSHE.14.06. Retrieved September 22, 2007, from http://cshe.berkeley.edu/publications/publications.php

Eaton, J. S. (2006). Higher education, government and expectations of academic

quality and accountability: Where do we go from here? *American Academic,*

2(1), 73–87.

Eckel, P. D., & Couturier, L. (2006, August). *Toward higher ground: Reclaiming*

public confidence in a competitive environment (Rep. No. 311307).

Washington, DC: American Council on Education.

Edmunds, E. (1972a, September 20). [Letter to Allen R. Trubitt, Faculty Senate

Executive Committee]. Faculty Senate records, Committee on Charter &

Handbook (163), July 1972–June 1973, Vol. 1, in University Archives,

Hamilton Library, University of Hawai'i at Mānoa.

Edmunds, E. (1972b, September 26). [Letter to Allen R. Trubitt, Faculty Senate

Executive Committee]. Faculty Senate records, Committee on Charter &

Handbook (163), July 1972–June 1973, Vol. 1, in University Archives,

Hamilton Library, University of Hawai'i at Mānoa.

Education policy and practice perspectives. (2007, August). *ASHE Newsletter, 24,* 1.

Feldman, M. S. (1995). *Strategies for interpreting qualitative data.* Thousand Oaks,

CA: Sage.

Freire, P. (2001). *Pedagogy of the oppressed (30th anniversary edition: With an*

introduction by Donaldo Macedo). (M. B. Ramos, Trans.). New York:

Continuum International. (Original work published 1921)

Friedman, T. L. (2006). *The world is flat.* New York: Farrar, Straus and Giroux.

Gladieux, L. E., & King, J. E. (1999). The federal government and higher education.

In P. G. Altbach, R. O. Berdahl, & P. J. Gumport (Eds.), *Higher education in*

the twenty-first century: Social, political, and economic challenges (pp.

151–182). Baltimore: Johns Hopkins University Press.

Gornitzka, A., & Larsen, I. M. (2004). Towards professionalization? Restructuring of

administrative work force in universities. *Higher Education, 47,* 455–471.

Groan, S. K., & Cunningham, A. F. (2006). The investment payoff: A 50-state

analysis of the public and private benefits of higher education. *American*

Academic, 2(1),

23–39.

Guba, E. G., & Lincoln, Y. S. (1998). Competing paradigms in qualitative research.

In N. K. Denzin & Y. S. Lincoln (Eds.), *Strategies of qualitative inquiry* (pp.

195–220). Thousand Oaks, CA: Sage.

Guillermo, M. S. (2003). *Higher education administrators and students with*

disabilities: A survey of administrator knowledge and training needs.

Retrieved from ProQuest Digital Dissertations. (AAT 3088661)

Gumport, P., & Jennings, J. D. (1999, November/December). Looking back at

revenue and expenditure trends: Are we privatizing public higher education?

Change, 31, 1–3.

Hamilton, D. (1998). Traditions, preferences, and postures in applied qualitative

research. In N. K. Denzin & Y. S. Lincoln (Eds.), *Strategies of qualitative*

inquiry (pp. 111–129). Thousand Oaks, CA: Sage.

Hancock, N., & Hellawell, D. E. (2003). Academic middle management in higher

education: A game of hide and seek? [Electronic version]. *Journal of Higher*

Education Policy and Management, 25(1), 6–12.

175

Harris, T. E. (2002). *Applied organizational communication* (2nd ed.). Mahwah, NJ:

Lawrence Erlbaum Associates.

Helm, M. P. (2004). *Professional identity, sense-making, and the market effect:*

Perspectives from new student affairs professionals. Retrieved from ProQuest

Digital Dissertations. (AAT 3131603)

Hill, L. B. (2001). *Bureaucracy and governance.* Manuscript submitted for

publication.

Humphrey, K. B. (2006). *Institutional positioning in growth states: Influences and*

strategies of enrollment managers at public research universities. Retrieved

from ProQuest Digital Dissertations. (AAT 3189981)

Institutional Research Office, University of Hawai'i. (2001, May). *Faculty and staff*

report, fall 2000. Retrieved April, 17, 2006, from

http://www.iro.hawaii.edu/maps/mstitles.asp

Institutional Research Office, University of Hawai'i. (2003, March). *Degrees and*

certificates earned: Fiscal years 2000–2001. Retrieved April 17, 2006, from

http://www.iro.hawaii.edu/maps/mstitles.asp

Institutional Research Office, University of Hawai'i. (2003, December). *Faculty and*

staff report, fall 2002. Retrieved April, 17, 2006, from

http://www.iro.hawaii.edu/maps/mstitles.asp

Institutional Research Office, University of Hawai'i. (2004, October). *Faculty and*

staff report, fall 2003. Retrieved April, 17, 2006, from

http://www.iro.hawaii.edu/maps/mstitles.asp

Institutional Research Office, University of Hawai'i (2006, April). *Fall enrollment
report, fall 2005*. Retrieved April 17, 2006, from
http://www.iro.hawaii.edu/maps/mstitles.asp

Janesick, V. J. (1998a). The dance of qualitative research design. In N. K. Denzin &
Y. S. Lincoln (Eds.), *Strategies of qualitative inquiry* (pp. 35–55). Thousand
Oaks, CA: Sage.

Janesick, V. J. (1998b). *Stretching exercises for qualitative researchers*. Thousand
Oaks, CA: Sage.

Janesick, V. J. (2000). The choreography of qualitative research design, minuets,
improvisations, and crystallization. In N. K. Denzin & Y. S. Lincoln (Eds.),
Handbook of qualitative research (2nd ed., pp. 379–400). Thousand Oaks,
CA: Sage.

Johnsrud, L. K., & Rosser, V. J. (1995). *Survey of the University of Hawai'i
administrative, professional, and technical (APTs) staff morale*. Honolulu:
University of Hawai'i All Campus Council of Faculty Senate Chairs
(ACCFSC).

Johnsrud, L. K., & Rosser, V. J. (1999, April). *Quality of faculty worklife: The
University of Hawai'i*. Honolulu: University of Hawai'i All Campus Council
of Faculty Senate Chairs (ACCFSC).

Jones, C., Jr. (2004). *An analysis of administrative discretion and its use to
implement FERPA policy at Southeast Missouri State University*. Retrieved
from ProQuest Digital Dissertations. (AAT 3137716)

Kelly, V. M. (2006). Searching for success in higher education. *American Academy*, *2*(1), 5–22.

Kennedy, M. L. (2004). *Variables that affect collaboration among academic and student affairs administrators in community colleges*. Retrieved from ProQuest Digital Dissertations. (AAT 3149944)

Kezar, A. (2005). What campuses need to know about organizational learning and the learning organization. *New Directions for Higher Education, 131*, 7–22.

King, M. L., Jr. (1963, December 18). *Social justice*. Speech presented at Western Michigan University as part of the "Conscience of America" lecture series, Kalamazoo, MI. Transcription retrieved June 15, 2008, from http://www.wmich.edu/library/archives/mlk/transcription.html.

Kleinman, S., & Copp, M. A. (1993). *Emotions and fieldwork.* Newbury Park, CA: Sage.

Krueger, R. A. (1998). Moderating focus groups: Focus group kit 4. In D. L. Morgan (Series Ed.) & R. A. Krueger (Vol. Ed.), *The focus group kit* (chap. 3, pp. 9–14). Thousand Oaks, CA: Sage.

LaMuth, J. E. (2006). *A comparison of formal and non-formal managers within Ohio State University Extension: An examination of self-efficacy, training choices, and job satisfaction.* Retrieved from ProQuest Digital Dissertations. (AAT 3197885)

Larson, L. J. (2004). *The cost of quality: Measuring the human resource and financial investments in quality in higher education.* Retrieved from ProQuest Digital Dissertations. (AAT 3121828)

Learmonth, M. (2005). Doing things with words: The case of 'management' and 'administration.' *Public Administration, 8*(3), 617–637.

Leveille, D. E. (2005, May). An emerging view on accountability in American higher education. *Center for Studies in Higher Education Research & Occasional Paper Series*, CSHE.8.05. Retrieved September 22, 2006, from http://cshe.berkeley.edu/publications/publications.php

Lincoln, Y. S. (1993). I and thou: Method, voice, and roles in research with the silenced. In D. McLaughlin & W. G. Tierney (Eds.), *Naming silenced lives* (pp. 29–50). New York: Routledge.

Lincoln, Y. S., & Guba, E. G. (2000). Paradigmatic controversies, and emerging confluences. In N. K. Denzin & Y. S. Lincoln (Eds.), *Handbook of qualitative research* (2nd ed., pp. 163–188). Thousand Oaks, CA: Sage.

Maitland, C., & Rhoades, G. (1998). The hidden campus workforce: (De)investing in staff. *The NEA 1998 Almanac of Higher Education*, 109–118.

Maslow, A. H. (1968). *Toward a psychology of being* (2nd ed.). Princeton, NJ: Van Nostrand.

Mendoza, P. (2007). *Educating for the public good through comprehensive federal research and development policies* (Issue Brief No. 3). Ames: Iowa State University, Department of Educational Leadership and Policy Studies.

Metcalfe, A. (2004). *Intermediating associations and the university-industry relationship*. Unpublished doctoral dissertation, University of Arizona, Tucson.

Mezirow, J. (1991). *Transformative dimensions of adult learning*. San Francisco: Jossey-Bass.

Milam, J. (2005). Organizational learning through knowledge workers and infomediaries. *New Directions for Higher Education, 131,* 61–75.

Minutes of the Mānoa Senate Executive Committee meeting. (1972, September 20). Faculty Senate records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the meeting. (1970, December 16). Faculty Senate records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (1970, June 10). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (1972, October 12). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (2000, January 21). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (2000, February 18). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (2000, July 21). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (2000, October 20). Board of Regents records in University Archives, Hamilton Library, University of Hawaiʻi at Mānoa.

Minutes of the regular meeting. (2000, November 7). Board of Regents records in University Archives, Hamilton Library, University of Hawai'i at Mānoa.

Montgomery, D. C., & Lewis, G. L. (1995). Administrative staff: Salaries and issues. *The NEA 1995 Almanac of Higher Education,* 109–126.

Morelon, C. L. (2006). *Building institutional capacity for informed decision making to enhance student learning outcomes.* Retrieved from ProQuest Digital Dissertations. (AAT 3206869)

Morgan, D. (1998). Planning focus groups: Focus group kit 2. In D. L. Morgan (Series Ed.) & R. A. Krueger (Vol. Ed.), *The focus group kit.* Thousand Oaks, CA: Sage.

Motter, K. L. (2003). *Student versus staff perceptions of selected university student services and relationships between student satisfaction and academic perseverance.* Retrieved from ProQuest Digital Dissertations. (AAT 3084209)

Mundhenk, R. (2006, March). Embracing accountability. *The American Academic,* 2(1), 38–54.

Murrell, T. A. (2005). *Academic advisor job satisfaction: Implications for student satisfaction.* Retrieved from ProQuest Digital Dissertations. (AAT 3186871)

Musselin, C. (2007). The transformation of academic work: Facts and analysis. *Center for Studies in Higher Education Research & Occasional Paper Series,* CSHE.4.07. Retrieved February 9, 2008, from http://cshe.berkeley.edu/publications/publications.php

Myss, C. (1996). *Anatomy of the spirit.* New York: Random House.

National Education Association Higher Education Research Center. (2003,

February). The other staff: Non-teaching staff represent the bulk of

employees in higher education. *Update, 9(2)*, 1–2.

Nemetz, D. E. (1967). A personnel program for administrative, professional, and

technical personnel of the University of Hawaii. Chicago: Public

Administration Services.

Olesen, V. L. (2000). Feminisms and qualitative research at and into the millennium.

In N. K. Denzin & Y. S. Lincoln (Eds.), *Handbook of qualitative research*

(2nd ed., pp. 215–256). Thousand Oaks, CA: Sage.

Olivas, M. A. (1999). The legal environment: The implementation of legal change on

campus. In P. G. Altbach, R. O. Berdahl, & P. J. Gumport (Eds.), *American*

higher education in the twenty-first century: Social, political, and economic

challenges (pp. 216–240). Baltimore: Johns Hopkins University Press.

Ospina, S. M., & Dodge, J. (2005). Narrative inquiry and the search for

connectedness: Practitioners and academics developing public administration

scholarship [Electronic version]. *Public Administration Review, 65*(4),

409–423.

Parks, E. R. (2003). *Overcoming organizational challenges to the use of distance*

education technology in three schools of a public research university.

Retrieved from ProQuest Digital Dissertations. (AAT 3089734)

Patton, M. Q. (1987). *How to use qualitative methods in evaluation.* Newbury Park,

CA: Sage.

Pfeffer, J., & Salancik, G. (1978). *The external control of organizations: A resource dependence perspective*. New York: Harper & Row. Retrieved January 18, 2008, from http://www.istheory.yorku.ca/resourcedependencytheory.htm.

Records from Committee on Charter and Handbook. (1971, July–1972, June). Faculty Senate records in University Archives, Hamilton Library, University of Hawai'i at Mānoa.

Records from Committee on Charter and Handbook, II(163). (1971, December–1972, February). Faculty Senate records in University Archives, Hamilton Library, University of Hawai'i at Mānoa.

Redenbaugh, M. J. (2005). *The use of management accounting tools by chief financial officers of baccalaureate college-general and master's colleges and universities II*. Retrieved from ProQuest Digital Dissertations. (AAT 3206236)

Renault, C. S. (2003). *Increasing university technology transfer productivity: Understanding influences on faculty entrepreneurial behavior*. Retrieved from ProQuest Digital Dissertations. (AAT 3112072)

Report of Ad-hoc Committee on Definition of Faculty. (1970, November). Faculty Senate records in University Archives, Hamilton Library, University of Hawai'i at Mānoa.

Resource Dependency Theory. (n.d.). Retrieved January 18, 2008, from http://wwwistheory.yorku.ca/resourcedependencytheory.htm.

Rhoades, G. (1996). Reorganizing the faculty workforce for flexibility. *Journal of Higher Education, 67*(9), 627–659.

Rhoades, G. (1998). Reviewing and rethinking administrative costs. In J. C. Smart

    (Ed.), *Higher education handbook of theory and research, XIII* (pp.

    111–147). New York: Agathon Press.

Rhoades, G. (2000). Who's doing it right? Strategic activity in public research

    universities [Electronic version]. *The Review of Higher Education, 24*(1),

    41–66.

Rhoades, G. (2001). Managing productivity in an academic institution: Rethinking

    the whom, which, what, and whose of productivity [Electronic version].

    Research in Higher Education, 42(5), 619–632.

Rhoades, G. (2006). The higher education we choose: A question of balance

    [Electronic version]. *The Review of Higher Education, 29*(3), 381–404.

Rhoades, G., & Maitland, C. (2006). More than they bargained for: Contingent

    faculty [Electronic version]. *The NEA 2006 Almanac of Higher Education*,

    65–71.

Rhoades, G., & Slaughter, S. (1998). Academic capitalism, managed professionals,

    and supply-side higher education. In R. Martin (Ed.), *Chalk lines: The*

    politics of work in the managed university (pp. 34–64). Durham, NC: Duke

    University Press.

Rhoades, G., & Slaughter, S. (2004). Academic capitalism in the new economy:

    Challenges and choices. *The American Academic, 1*(1), 37–59.

Rhoades, G., & Sporn, B. (2002). New models of management and shifting modes

    and costs of production: Europe and the United States. *Tertiary Education*

    and Management, 8(1), 3–28.

Richards, L., & Richards, T. (1999). QRS NUD*IST 4 (Version 4) [Computer

    software]. Melbourne, Victoria, Australia: SCOLARI, Sage Publications

    Software.

Rosser, V. J. (2006). ESPs: Professional development opportunities. *The NEA 2006*

    Almanac of Higher Education, 107–115.

Schuster, J. H., & Finkelstein, M. J. (2006). *The American faculty: Restructuring*

    academic work and careers. Baltimore: Johns Hopkins University Press.

Schuster, J. H., & Finkelstein, M. J. (2006). On the brink: Assessing the status of the

    American faculty. *The NEA Higher Education Journal: Thought & Action*,

    22, 51–62.

Slaughter, S. (1998). Federal policy and supply-side institutional resource allocation

    at public research universities. *The Review of Higher Education, 21*(3),

    209–244.

Slaughter, S. (2005). Copyright policies in the digital age: Universities and

    intellectual property rights. *IHE Report*, 12–17.

Slaughter, S., Archerd, C. J., & Campbell, T. (2004) Boundaries and quandaries:

    How professors negotiate market relations [Electronic version]. *The Review*

    of Higher Education, 28(1), 129–165.

Slaughter, S., & Leslie, L. L. (1997). *Academic capitalism, politics, policies and the*

    entrepreneurial university. Baltimore: Johns Hopkins University Press.

Slaughter, S., & Rhoades, G. (2004). *Academic capitalism and the new economy:*

    Markets, state, and higher education. Baltimore: Johns Hopkins University

    Press.

Smith, J. K., & Deemer, D. (2000). The problem of criteria in the age of relativism. In N. K. Denzin & Y. S. Lincoln (Eds.), *Handbook of qualitative research* (2nd ed., pp. 877–896). Thousand Oaks, CA: Sage.

Stacey, J. (1998). *Brave new families: Stories of domestic upheaval in late-twentieth-century America.* Berkeley: University of California Press.

Stake, R. E. (1998). Case studies. In N. K. Denzin & Y. S. Lincoln (Eds.), *Strategies of qualitative inquiry* (pp. 86–109). Thousand Oaks, CA: Sage.

Stephens, L. A. (2003). *Academic leadership and distance learning: Understanding institutional distance-learning decision-making in the State University of New York.* Retrieved from ProQuest Digital Dissertations. (AAT 3089152)

Szekeres, J. (2004). The invisible workers [Electronic version]. *Journal of Higher Education Policy and Management, 26*(1), 8–22.

Teixeira, P. N. (2006, March). Markets in higher education: Can we still learn from economics' founding fathers? *Center for Studies in Higher Education Research & Occasional Paper Series,* CSHE.4.06. Retrieved January 23, 2007, from http://cshe.berkeley.edu/publications/publications.php

Transaction cost economics. (n.d.). Retrieved January 18, 2008, from http://www.istheory.yorku.ca/transactioncosteconomics.htm.

United States Environmental Protection Agency. (2000, July). *Universities, colleges not receiving top marks for environmental compliance.* (EPA Publication No. 300-N-00-12). Retrieved April 20, 2008, from http://www.epa.gov/oeca/ore/enfalert

University of Hawai'i – Mānoa. (1991, November). *President's task force on APT action plan: Report to the 1991 legislature, H. B. 139, HD1, SD1, CD1, Section 105 (Act 296, SLH 1991)*. Honolulu, HI: Author.

University of Hawai'i – Mānoa. (1998, May). *Office of the president and the chancellor and office of the senior vice president and executive vice chancellor: Strategic plan*. Honolulu, HI: Author.

University of Hawai'i – Mānoa. (2002). *Defining our destiny: University of Hawai'i strategic plan 2002–2010*. [Brochure]. Honolulu, HI: Author.

University of Hawai'i System. (2003). *About us*. Retrieved August 14, 2007, from http://www.hawaii.edu.orh.download.aptdoc.2003.

Vest, C. M. (2006, February). Federal, state, and local governments: University patrons, partners, or protagonists? *Center for Studies in Higher Education Research & Occasional Paper Series*, CSHE.3.06. Retrieved November 24, 2006, from http://cshe.berkeley.edu/publications/publications.php

Vest, C. M. (2006, September). Industry, philanthropy, and universities: The roles and influences of the private sector in higher education. *Center for Studies in Higher Education Research & Occasional Paper Series*, CSHE.12.06. Retrieved November 24, 2006, from http://cshe.berkeley.edu/publications/publications.php

Vestrich, R. M. (2006). The academy under siege: Threats to teaching and learning in American higher education. *American Academy, 2*(1), 55–71.

Volk, C., Slaughter, S., & Thomas, S. (2001). Models of institutional resource

    allocation [Electronic version]. *The Journal of Higher Education, 72*(4), 387–

    413.

Walter, P. (2001, November). The restructuring of academia. *Adult Education*

    Quarterly, 52(1), 70 –77.

Washington, S. D. (2005). *Correlates of job satisfaction among mid-level TRIO*

    program administrators in the mid-eastern region of the United States.

    Retrieved from ProQuest Digital Dissertations. (AAT 3185342)

Weaver, N. L. (2005). *An examination of perceptions of job satisfaction among live-*

    in resident directors at selected Pennsylvania state system of higher

    education institutions. Retrieved from ProQuest Digital Dissertations. (AAT

    3176921)

Wilson, C. P. (1972, May 30). [Letter to Chancellor Richard Takasaki]. Faculty

    Senate records, Executive Committee, Committee on Charter & Handbook

    (163), July 1972–June 1973, Vol.1, in University Archives, Hamilton

    Library, University of Hawai'i at Mānoa.

Yount, D. (1996). *Who runs the university? The politics of higher education in*

    Hawaii, 1985–1992. Honolulu: University of Hawai'i Press.

Zemsky, R. (2000, July/August). Coming to market: A growing reliance on student-

    supplied revenue. *Change, Publication L-16,* 1–4.

Zemsky, R., Shaman, S., & Shapiro, D. (2001). *Higher education as competitive*

    enterprise: When markets matter. San Francisco: Jossey-Bass.

Zumeta, W. (2006). The new finance of public higher education. *The NEA 2006 Almanac of Higher Education*, 37–48.

Zusman, A. (1999). Issues facing higher education in the twenty-first century. In P. G. Altbach, R. O. Berdahl, & P. J. Gumport (Eds.), *American higher education in the twenty-first century: Social, political, and economic challenges* (pp. 109–150). Baltimore: Johns Hopkins University Press.