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Emergent planning in baccalaureate, general, private, not-for-profit colleges in the United States of America.

Reginald John Urbanowski

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**Emergent planning in baccalaureate, general, private, not-for-profit colleges in the
USA**

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**Dissertation submitted in the
College of Human Resources and Education
At West Virginia University
In partial fulfillment of the requirements of**

**Doctorate of Education
In
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ABSTRACT

Emergent planning in baccalaureate, general, private, not-for-profit colleges in the USA

Reg J. Urbanowski

This study employed a method of analysis and development to develop the model of emergent planning. The study was exploratory in nature and therefore directed at uncovering a research process that was sensitive to the unique features of higher education and strategic planning. Triangulation involved the development of concepts from the literature, analysis of analogies, and the analysis of a survey. Fifty concepts were developed based on five principal tenets. These concepts were developed from literature in the social and business sciences. The analogy research was based on the analysis of three primary terms and five secondary terms that have been embedded in strategic planning literature since its inception post World War II. The results showed weak support for the importation of analogies from the business and social science domains into the domain of higher education management. The results pointed to weaknesses in background and foreground relevance as well as vertical and horizontal relations. A survey of executive management in General Baccalaureate, private, not-for-profit educational institutions was conducted. The survey results (n=127) showed support for twenty five of the fifty principal concepts of the model of emergent planning. These concepts support a model that incorporates theory from the knowledge domains of social constructionism, transformative learning, and planning. The research highlights areas for further research and theory building that is responsive to the unique features of higher education.

*To Alsyia, Tiana, Sofia, and Adam
For their patience and undying support*

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Chapter 1

Introduction

Introduction

Planning has been identified as a management tool that serves to bridge past performance, with the present situation, and desired future. Branch (1990) defines planning as a process that has to do with conditions and problems of the real world. According to Branch, planning is a process by which an organization keeps itself aligned with its context according to a set of goals that it wishes to achieve. Cook (p. 111, 2000) defines strategic planning as: “it is the method by which a community continuously creates artifactual systems to serve extraordinary purpose.” What this means is that strategic planning is a *process* used in a social collection where there are shared values. The statement also refers to strategic planning as a continuous process that does not end with the development of a report or the achieving of a milestone. This process fosters new ways of relating within the organization and new ways of relating with the environment that is founded on the impermanence of the social structure that is developed. For example, it is antithetical to bureaucratic standing committees that exist to exist. Lastly, the statement reflects a collective purpose that is generated *from* the strategic planning *process*. In strategic planning, purposes are not dictated, but evolve from a way of being in a social collective. There are various forms of planning models that have attempted to capture the spirit of strategic planning.

Models of planning

Rational planning models attempt to apply basic system principles to uncover real, probable, and possible consequences that exist for various organizational behavior sets (Nedwek and Neal, 1994; van Vught, 1994). *Contingency models* highlight the inextricable link between organizations and their environments and seek to develop blueprints for future behavior, based on past results, assuming that the future will hold constant or predictable (Neumann, 1995). *Constructivist models* work from the observer to the observed, from the planner to the planned (Guba & Lincoln, 1989). In the rational and contingency models, the existence of the objective, external world is the focus of attention of the planner. In the constructivist model, the focus of attention is the inner sanctum of those involved in the planning process (Neumann, 1995). From that vantage point, new forms of organizational reality can be constructed (Carlson, 1996). Plans can then be developed that are in concert with the tacit paradigms of those charged with developing the vision and direction of the organization as a holistic entity (Simsek & Heydinger, 1993).

There have been various models of planning that have evolved. The evolution of planning models has followed the evolution of management models which in turn seem to have evolved as society has transformed (Parkin, 1993). To put it simply, the evolution of planning has been a reification of social constraints and enhancing conditions that have had their roots in social institutions and cultural values, beliefs, and norms. Juxtaposed beside key social phenomena of the times, is an ontological development of planning over time.

Most recently, the advent of sparse resources, the development of new and innovative information technologies, and the globalization of business and higher education, have sparked the need for a re-conceptualization of planning as a process (Nedwek and Neal, 1994). The utilization of planning models that represent incremental growth and ever expanding boundaries of single institutions are no longer in vogue (Dorner, 1996). The push for fiscal retrenchment and organizational reengineering in higher education in the '80s required new forms of planning (Conley, 1993). The development of planning processes aimed squarely at identifying areas of growth for fiscal self-sufficiency, coupled with a focus on areas of contraction (or elimination) was the theme of planners in the '80s (see Table I).

The burgeoning growth of the information technology industry has had an impact on planning in higher education in the '90s. Information technology has increased the ability of organizations to develop historical files of performance data and to develop analytical techniques that permit the analysis of data in concert with preconceived plans. The development of key indicators of performance has become a more exacting science as information technology has afforded planners the ability to utilize a whole host of demographic, fiscal, and internal control data sets (Creswell, Goodchild, and Turner, 1996). More than ever, planning runs the risk of being tied to historical markers of performance. The utilization of traditional planning models suggests the development of goals, key indicators, and the development of measures to weigh performance (Parkin, 1993). The development of sophisticated information technology systems has defined the linkage of past performance to future activities as two partners in a dance that has become increasingly complex.

Burgeoning information technology has also provided new means of delivery for higher education. The utilization of on-line educational programs, the ability to develop real time interactive educational opportunities, and the capacity to capture information sessions (such as a lecture) on compact disc are in the process of re-shaping higher education as it has been known. The cultural value supporting the socratic notion of the university as a physical location where intimate intellectual relationships could be developed between professor and student is being challenged. Current planning models have not been able to embrace the application of information technology beyond what is available at the time that the plan is developed.

The world has clearly become a much smaller, more complex place to effect good planning (Dorner, 1996). The definition of success in many higher education institutions has progressed from excellence within the confines of a campus, to unprecedented growth in the number of campuses within a defined region, country, and with respect to international linkages. Fiscal measures of success have been re-defined as the competent use of information technology and advanced marketing strategies are becoming a necessity for recognition as an institution of excellence. New forms of partnership between institutions of higher learning means developing new definitions of success.

All of these criteria, and countless more, have pointed to the need for a new model of planning. One based on managerial flexibility, an understanding and recognition of the technology-society interface, and one that fosters a plasticity of boundaries without forsaking the intellectual standards on which universities are founded. It is no longer fiscally or socially appropriate to employ models of planning based on current resources,

within a confined geographical location, in an institution with a traditional organizational structure (Gioia and Thomas, 1996).

A new planning model is required. A new model that embraces the transformational nature of organizational life and demonstrates its inextricable link to society is required. A new model is required that acknowledges the tacit needs to maintain a state of organizational life in which emergent patterns of behavior and responsiveness exist. Traditional planning models that are based on knowing before planning, and based on systems theory where an institution has defined boundaries, can be considered constraining models that hinder vision and perspective.

New conceptions of organization applicable to higher learning lead to new notions of planning as a method to posture an organization to continually re-vision the chaos it is embedded in. Rather than continue with conventional attempts to pursue goals that presume a constant, stable, predictable environment, a model, which acknowledges constant change and emergence as a process is required.

Research purposes

The research conducted in this dissertation focused on the development of a model of higher education planning called emergent planning. The primary purpose of this research was:

To provide knowledge that will add to the development of the model of emergent planning.

The approach used in this investigation of strategic planning was formulated on the notion of triangulation. Triangulation has been defined by Yin (1984) as a technique

by which the phenomenon can be investigated. It is premised on the notion that phenomena are rarely one dimensional. Triangulation is useful in this investigation because the process is pivotal to the later development of theory (Glasser and Strauss, 1967; Whetten, 1989; Corbin and Strauss, 1990). The development of theoretical propositions in the emergent planning model is predicated on the development of synergy between the language of planning, the discourse of planning, and the data (qualitative and/or quantitative) generated from research (Strauss and Corbin, 1990). This research sought to develop a method of achieving this by developing concepts that might be reified in a survey. Together with a method of term analysis it was hoped that the concepts, and the language embedded within it, might be realized. The configuration of research on the discourse of planning in the literature together with exploratory research on the basic questions of planning in higher education will provide fertile ground for which to plant the seeds of the model of emergent planning.

As such the research questions of this study were:

- ◆ *What are the principal concepts of the emergent planning model?*
- ◆ *How are selected terms that have emerged from the physical, business, and social sciences related to planning in higher education?*
- ◆ *What is the relationship between the concepts of the model of emergent planning and the experience related by executives in selected higher education institutions?*
- ◆ *What are some of the key areas of future research and development that will move the model of emergent planning forward?*

The research process

The research protocol used here to further the development of the model of emergent planning was exploratory. It was a preliminary study that was intended to glean a general understanding of the phenomena represented by the concepts of the model of emergent planning. Research has been defined as:

“Any honest attempt to study a problem systematically or to add to [our] knowledge of a problem may be regarded as research.” (Reber, S. 1995)

An exploratory study has been further defined as:

“Any preliminary study designed to provide some feeling for or general understanding of the phenomena to be studied. A good exploratory study will yield cues as to how to proceed with the major investigation. Also called pilot study.” (Reber, S. 1995).

Benefits of exploratory research using triangulation

This definition of exploratory research yields the primary benefits of this kind of investigation. First, this type of research can provide invaluable information on how to proceed with further research. The research used in this dissertation utilizes a triangulation technique built on developing a model by developing concepts for the model. The roots of these tenets are located primarily in the social and psychological sciences. The benefit of using this technique of concept development is to ensure that the epistemological roots are always identified in the model and therefore an ontological audit trail becomes an integral feature of the model’s development. Further conceptual development will develop using this method.

Another benefit of triangulation rests with the use of analogy analysis. This type of analysis has been used in other sciences as metaphors and analogies are used to explain a phenomenon or cluster of phenomena. Determining the strength of the relationship between the phenomena being described and the analogy drawn from another branch of science used to describe it is critical to understanding the value of using the analogy in the first place. A methodology that provides insight into the process of accepting or rejecting analogies is useful in developing models. Strategic planning is replete with terms that represent analogies that have been drawn from the military, business, and physical science domains. Determining the strength of the relationship between the analogy and its application to strategic planning in higher education is pivotal to understanding the strength of the model.

The last benefit is derived from attempting to determine if the concepts developed reveal themselves in the way people work. Developing a data collection method that can quantitatively point to the existence of the concepts in reality is also critical to the development of the model of emergent planning. The survey that was designed for this research was not definitive, but rather exploratory. It sought to determine if there was a possibility to demonstrate concepts through this form of research. The results would then be used to determine future paths of more definitive research.

Risks of exploratory research

The National Science Foundation calls this type of science “risky” in the following quote:

“A project will be considered "risky" if the data may not be obtainable in spite of all reasonable preparation on the researcher's part. For example, a physical anthropologist

may propose a theoretically significant field project to study demographic changes in a small population in Greece. The project may hinge on the exact content and accessibility of church records on a small island. The panel may downgrade a more expensive request for a full study on the grounds that the data may not be up to the task. Additional library study by the researcher can not answer this question -- a brief trip to the field site is necessary to verify that the theoretically significant data on demographic change are in fact obtainable.”

(The Division of Behavioral and Cognitive Sciences, National Science Foundation, <http://www.nsf.gov/sbe/bcs/physical/highrisk.htm>, Last Updated 05.29.01)

The exploratory research in this dissertation had certain risks that needed to be highlighted to avoid drawing unfounded conclusions. The first risk was associated with understanding that this explorative research was not definitive. The development of concepts from the literature on the social sciences was done within the limits of bounded rationality of the author. The analogy analysis was intended to associate concepts from a source domain with concepts used in strategic planning in higher education. The survey was intended to point to certain possibilities of existence of the concepts in the planning lives of executive management in a sector of higher education institutions. Any findings need to be investigated further for reliability and validity. The use of these three methods of knowledge mining was a method of triangulation described by Yin (1984) and can be represented as follows on the next page.

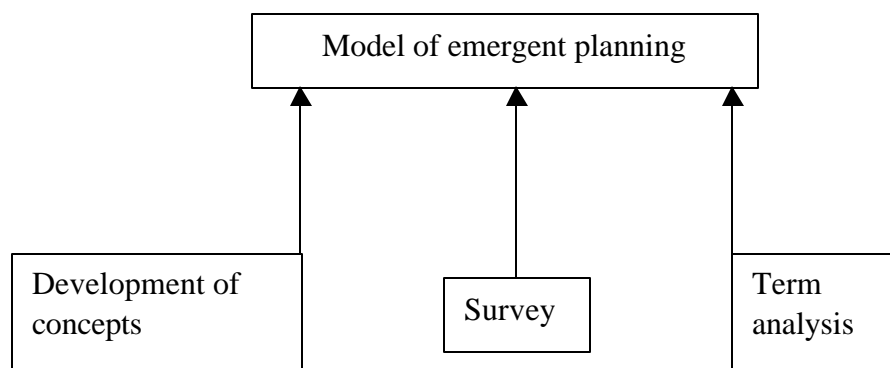


Fig. 1 – The triangulation process in the development of emergent planning.

A second risk was minimized by recognizing that this research is descriptive and relational and not causal. The research purposes were designed to demonstrate the existence of phenomena as opposed to conditions that bring the phenomena into existence. This led to a third risk that was minimized by making a distinction between the types of validity and reliability that can be achieved with this type of research. Conceptual and face validity were achieved in this research through the use of triangulation. Other forms of validity were not achieved. Nor would it have been appropriate to seek other forms of validity given the nature of exploratory research as described above. The positivistic and empiricist forms of research methods associated with reliability and validity measures are not possible given the triangulation process used in this research. However, the findings did prove invaluable to the development of the model of emergent planning.

Conditions on the use of the model of emergent planning.

There are conditions on the use of a model. Reed and Sanderson (1999) propose conditions for the use of a theoretical model. The first condition is that emergent planning must propose an original field of investigation in which some facts and procedures have been established. This condition is met as the principal beliefs have been derived from various sources. It is the relationship between these tenets that form the foundation of the model of emergent planning.

The second condition is that there must be an identified need for further research. A review of existing literature has yielded little information regarding the transformative process from personal change proposals to formalized plans. There is research and propositional literature to suggest these tenets either in isolation of other tenets, embedded in other contexts, or coupled with other tenets, which do not form the model of emergent planning. The third condition for using the theoretical model of emergent planning is the ability to describe an entity belonging to a more well-defined, well-researched secondary domain. This is the case with emergent planning because it evolves from planning theory, leadership theory, mediation theory, and construction of reality theories.

The fourth condition on the use of a theoretical model consists of explicit or implicit rules of correlation between the secondary domain (mentioned above) and the model of emergent planning. The fifth condition on the use of a theoretical model is that inferences from the secondary domain are translated by means of correlation to the data related to the concepts of the primary domain (i.e. the model of emergent planning).

The model building process

The research in this dissertation is oriented to the development of a model called emergent planning. To understand how this research lends to the development of this model, one must understand how models are constructed and used in the study of social life. There are various methods by which to construct descriptive models. The method chosen for this dissertation was that proposed by Reed and Sanderson (1999).

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase is to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social constructionism. This forms the content of the literature review (chapter 2). The assumptions derived from the beliefs in the literature form the second phase and constitute what is believed to be true for the purpose of model building. The beliefs and assumptions developed thus far are summarized and reviewed in chapter 3.

The third phase is the development of descriptors of an organization that defines the concepts of the model and states the interrelation of the parts. The use of descriptors is often achieved by using metaphors and analogies that are commonly accepted. For instance, the use of billiard balls and how they interact with each other when played, is sometimes used in physics to demonstrate how atoms interact with each other. Chapter 4 is dedicated to the preliminary use of Hesse's methodology of analogy analysis. It is used in this chapter to describe how the terms have been borrowed from other knowledge domains and taken to apply in the domain of strategic planning in higher education.

Determining the viability of this method will be determined by the utility of the information gleaned from this process.

The fourth phase of the descriptive model development is the logical deduction phase. In this phase, predictions on future research outcomes can be made if the conceptual parts are representative of reality as described. A survey was developed as part of the triangulated research. The results of the survey pointed to the refutation of some concepts, the affirmation of others, and the need for specific methods of investigation for yet others. This phase of the development is the principal content of Chapter 5.

The fifth and final phase of the descriptive model development is the reaching of conclusions and specifying outcomes based on data collected through research. These last steps in the model building process form the basis of Chapter 6.

Chapter 2

Literature Review

Introduction

In the last chapter the steps in building a descriptive model were discussed. The first phase is to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social constructionism. This forms the content of the literature review.

There are few published empirical research studies pertaining to planning in higher education institutions within the last decade (Taylor & Karr, 1999; Kezar, 2001). This research was guided by the need to develop a new model of planning that is specific to the needs of higher education institutions. As such, the review of literature in this chapter is divided into sections:

- A review of planning literature pertaining to general management and more specifically the management of higher education institutions;
- A review of the social theory that is pertinent, or could be pertinent, to the understanding the social construction of planning;

The integration of this literature will provide a rich bed of knowledge from which to develop the principal tenets of the model of emergent planning. They are presented at the end of this chapter as evidence of the synthesis of concepts.

The literature reviewed in this chapter is intended to form a foundation toward the development of the model of emergent planning. As such it is oriented to literature that

describes the conceptual basis of planning, as well as the social theory that underpins how people relate and use language. This literature is used as a theoretical foundation for further literature review described in chapter 3 in the development of the concepts of the model of emergent planning. It is also used as a foundation for further literature review described in chapter 4 where the use of strategic planning language is reviewed using analogy analysis.

Planning in higher education institutions

A study by Taylor and Karr (1999) suggests that planning in research universities is problematic given the nature of the academy and its requirements to adapt to an ever-changing environment. The article goes on to report that the importation of traditional, business sector models of planning are usually not successful in improving the fiscal condition of higher education institutions. In a review of literature on planning in higher education, Kezar (p.4, 2001) notes:

“Much of the literature continues to focus on the importance of formal planning processes. Although most authors believe in the importance of planning, as do most administrators, the difficulty of planning within the university or college environment is always noted.”

The author goes on to state: “... there needs to be research to develop more effective planning models that are specific to higher education” (Kezar, p. 4, 2001).

The roots of strategic planning.

There are many forms of review that one can use to review the historical development of theory. The form used here is one that reviews the literature in the context of determining the resiliency of language and the analogies that have evolved over time since World War II. This approach is based on the premise that the language used to communicate approaches to strategic planning reflected a perspective on how strategic planning was to be viewed by people throughout the organization. Those terms that are most pervasive over time will form the basis for the analogy analysis in chapter 4.

The need for strategic forms of planning became critical in the post World War II and the Korean war (Sanders, 1998). The most pervasive theory came from the military and brought with it terms that engendered military exercises. The prime proponent of this form of planning was Secretary of State McNamara who himself was a veteran of those wars. The U.S. federal government adopted a strategic planning approach that served to entrench planning processes that were feeding an industrial need for planned and predictable economic growth. Terms such as mission, strategy maps, and mobilization are derived from this military tradition that survive even today (Norton, 2001). These terms represent an approach that is objective oriented. It is also an approach characterized by predictable behaviors locked in roles (such as in a military mission).

The crest of the next wave came with Drucker's text "The practice of management" (1954). This text proposed a process that led from developing a mission, to developing goals, objectives, and action plans. The model which described the steps of this planning approach was called "Management by Objectives" (MBO) and was popular

until recently. The language has survived today in various forms and models that have evolved since then. The economic downturn of the '70s coupled with the economic advances witnessed particularly in Japan moved planning into the realm of relationship management. The development of theory Z by Ouchi (1985) proposed a new style of management which in turn yielded new forms of participative management. The growth of quality circles and other forms of bottom-up consultation entrenched the need to involve front line workers in planning. The language related to quality, participatory action, creative thinking techniques (such as brainstorming, lateral thinking) evolved to reflect the need for new action that permeated throughout the organization. The original language of mission, objectives, and strategic action plan remained (taken from the military model) while new terms were added.

This process of analogy accumulation continued as planning strived to meet the needs of globalization, as information became more readily available because of information technology, and as marketplace forces placed competition and corporatism in the forefront of developing new models. The shift away from this trend began to happen in the late 1980's with the development of cognitive science as it applied to learning, employee satisfaction, and other individualistically oriented models of management (Sanders, 1998; Segal-Horn, 1998). This shift to individuation in theory brought terms such as visual thinking, tacit knowledge, meaning schemes, learning organizations, whole-context organizations, and planning in action to name a few. These terms reflect the revision of strategic planning toward a person- in- context orientation.

This brief review of the history of planning represented in Figure 1 is intended to demonstrate that strategic planning has evolved in a cumulative fashion that

represents the adding on of concepts represented by terms and analogies. Those that have survived the years are those associated with the early development of strategic planning as a military exercise and the development of Management by Objectives. The following terms will be reviewed in the next chapter because they are terms that have served as the foundation of strategic planning since its evolution in the mid-1940s: mission, system, planning, goals and objectives, long term goal, and strategic will be reviewed in chapter 4.

Theoretical foundation of planning

Toward a new paradigm in organizational theory

In looking at the root causes of behavior causes in organizations, Pfeffer (1997) puts forth two basic perspectives: the dispositional and situational perspectives. The dispositional perspective reflects traits and dispositions of organizational members, while the situational perspective suggests an inextricable link between organizational members and the context within which they are embedded. These perspectives lend themselves to two distinct paradigms: the neoclassical and the moral paradigm. Based on these two paradigms, five models of behavior emerge as the principal models that have been in vogue in organizational theory.

The neoclassical paradigm

The first four models of organizational behavior (economic, social, retrospectively rational and interpretive/cognitive models) are rooted in a neoclassical approach to understanding organizational behavior. This paradigm is characterized by an adherence to what Etzioni (1988) has termed a 'utilitarian-based version of radical individualism'.

It promotes utilitarianism from the perspective that people are driven to fulfill their need for one utility that is based either on a perceived individual need (such as pleasure, comfort, or the need to consume) or the internalization of an organizational need (such as being part of a team). It also proposed in rationalism that individuals are the principal decision making unit and that the decisions made by individuals are rational (as opposed to decisions based on values or affective dispositions). Even though individual decision making may be embedded in some sort of social collective (such as a 'department'), the decisions rendered are individual in nature. The last distinctive feature of the neoclassical paradigm is the system approach to understanding context. Neoclassical thought suggests that there exist groupings of phenomena at a macro level (Wallace & Wolf, 1986). The education system is such a grouping. The education system has its own unique features with a boundary with or without some level of permeability. Within the system, elements affect each other in a way that leads to system perpetuation.

The deontological paradigm

In contrast, the moral model (Etzioni, 1988) is premised on a deontological paradigm. This paradigm focuses on the necessity of individuals to balance out the personal, utilitarian approach with the er good of the community within which the individual is embedded. This paradigm proposes that rational decision making is defined, refined, and revalued by the affective disposition, values, and beliefs of the individual. The inclusion of individual values and beliefs into the decision making process also entrenches the cultural and social dimensions within which the individual is embedded in both temporal and spatial dimensions. It suggests that decisions be co-determined by

individual and social issues. Cultural values and the rules of conduct that emanate from them are not rational because they are mediated by many social forces and affective dispositions of the people that mediate them. This paradigm suggests that context sets limits and provides direction to decision making. It promotes the notion that social collectivities are the prime decision making unit and that any individual decisions are made within the context set by these social collectivities. These collectivities are more than a collection of aggregates of individuals, as is the case in the neoclassical paradigm. Here collectivities are made of individuals who share identity and a commitment to the values of the group. Shared values, in this paradigm, are more than conformity. It is an internalization of moral values based on shared beliefs of the common good of the collectivity (which can be any social group). In turn, the community is responsive, in both positive and negative ways, to the needs and aspirations of the individual and the collective. These collectivities possess what Etzioni (p. 14, 1988) refers to as ‘the creative tension and perpetual search for balance between two primary forces, those of the individual and those of the community of which they are members.’ People are interactive agents with society through the various repositories of social and cultural values, but less than unencumbered agents are.

The term ‘deontological’ represents this paradigm as one that supports the notion that actions (such as decisions) are ‘morally right’ when they are consistent with an applicable principle or duty. The neoclassical paradigm judges actions based on their consequences while the deontological paradigm judges actions based on their intentions. The epistemological position of the neoclassical paradigm is that the world is out there to be discovered. The epistemological position of the deontological paradigm is that people

(a constructivist perspective) create the world. This paradigm methodological framework is based on the integration of a variety of theoretical systems in a manner that retains the unique contributions of each, while the framework of the neoclassical paradigm is based on a fused theoretical system where theories are integrated to the point of a single theory.

The proposed research seeks to work within a deontological paradigm, which necessitates abandoning much of the current planning theory based on neoclassical notions. To create a fertile theoretical bed in which to plant this research it is necessary to discuss the modeling process that will be undertaken.

Lifeworld experience and systems orientations

The approach taken in the review of literature on strategic planning is based on the notion that strategic planning is social in nature. Taken from that context, it is necessary to review social theory that underpins the discussion of strategic planning. The framework used to bound this discussion is: Habermas' work on social theory; Parsons work on systems; Foucault's and Gidden's work on discourse analysis; Vigotsky's work on situated learning; Corbin and Strauss' work on social construction of reality; and; Mezirow's work on transformative learning. The use of literature based on these works will also be reviewed.

Lifeworld experience

There exists a social world that incorporates social life into individual experience. One of the prime movers of this theory in postmodernist social theory has been Habermas. Habermas put forth the notion of communicative action as the medium in which social life and individual experience integrated (Habermas, 1987). An integral component of the concept of communicative action is that there exists a sphere of beliefs, values, norms, and cultural practices that are shared by all who are within a given culture. These values, beliefs, and norms are the basis for shared affectual and behavioral responses of and between individuals. The term 'shared' has been taken to imply a universality of the components of culture. Anthropologists have coined the term 'cultural universals' to denote the term that there are certain cultural markers that exist in every culture (Reber, 1995). Markers such as family, belief in the supernatural, social organization, economic systems are said to be universal.

It is these cultural markers, and how they are expressed in social institutions during communicative action, that will determine meaning in everyday life. The implications for the study of planning in higher educational institutions are paramount to understanding planning as a social process. The use of communicative action theory suggests that planning be premised on a set of values, beliefs, and norms that serve to enhance/constrain social behavior. It also suggests, however, that planning, as a social enterprise will also affect the meaning of the everyday work life of people through communicative action.

The 'meaning of everyday life' construct has many dimensions to it when considering planning as a process within an organization. It assumes that this meaning is

socially constructed – that is, that the medium through which meaning is constructed is essentially and unequivocally social in nature. The social construction of meaning with regard to planning can occur at different levels. First, the formal everyday relations between people are affected because planning may dictate roles and responsibilities. Second, the absorption of the language of planning will necessitate an interpretation of a term that can be realized in everyday life. For example, the use of goals, objectives, and action plans requires that an individual involved in the planning process pattern them cognitively, behaviorally, and affectively. The cognitive patterning occurs through the developmental metacognitive strategies of thinking that parallels the planning process. In order for this to be effective, individuals must also become affectively patterned to believe that the meaning of work life that follows a plan consistent with the planned life of the organization provides meaning (and hence satisfaction). In the behavioral domain, behavior is controlled through the use of policy and procedure (that is premised on the plan) and/or by the use of internalized meanings, which are attached to the action requirements of a plan. Behavior that is established on internalized institutional meanings (a secondary gain of strategic planning) becomes habituated over time. The habituation of behavior occurs when communicative action is restricted by the adoption of language that is sanctioned by the institution (such as strategic planning language). The adoption of this language carries with it embedded meaning.

Planning can be viewed as a social construct of everyday life because it provides boundaries regarding how people engage: with each other within the organization, with the organization as an institution, and with others external to the organization (i.e. doing business with). This form of engagement leads to another construct regarding the reality

of social construction. The construct will be discussed later in the text; however, there is direct application here when consideration is given to the reliance on 'idealized constructions'. This term is used by Habermas (1987) to denote social constructions of values, norms, beliefs that require an immediate sense perception. For example, the reliance of mathematics to determine what is true and what is real. The implicit use of scientific theory to determine reality has become part of everyday life in many organizational settings. The reliance on statistical analysis, trend analysis, and budget projections, for example, have become so ingrained in the fabric of social work life that they have become immutable forces shaping reality. They have also become the invisible forces in that they are often taken for granted as denoting reality. Planning is a process by which new scientific theories and methods are often transformed from an observable, illusory set of concepts to a reified part of everyday life. The sedimentation process of scientific methods and concepts into the planning process is also the inculcation for power and authority that will be discussed later. Flowing from this will be a review of the work by theorists who have applied social theory to organizations, leadership, and more specifically strategic planning. The work of: Camhis on planning theory and philosophy; Minzberg on strategy; Etzioni on communitarianism; Herzberg on strategy; Barnard on managerialism; Whittington on strategy; and Ansoff on science and learning. The use of literature based on these works will also be reviewed.

Systems orientation

Often seen as the antithesis (or at least at the other end of the continuum of social relations) of lifeworld experience theory is systems theory. Systems theory is predicated

on the notion that social life is embedded in a system that is composed of a set of interrelated parts which function to maintain some boundary or unity of parts and is based implicitly or explicitly on the concept of a social system (Wallace and Wolfe, 1986).

The use of general systems theory has its roots in the work of August Comte (Wallace and Wolfe, 1986). Thus were the roots of applying human social life as an organism. Comte saw society as being embedded in a context that was dynamic and ever changing. A principal root tenet of general systems theory is that of action.¹ Action is a social event that reflects human beings and how they interact with their environment (Urbanowski, 1990). Action has been characterized by Weber as being essential to human behavior only if it has meaning attached to it by an actor (Wallace and Wolf, 1986). Weber, as stated in Wallace and Wolf (1986) states that:

“Action is social insofar as, by virtue of the subjective meaning attached to it by the acting individual (or individuals), it takes account of the behavior of others and is thereby oriented in its course.” (p. 190).

This then reaffirms that social life within an organization is inherently embedded in meaning that is shared. It is meaning that serves as the connecting medium between all elements of social life. It is meaning that subsequently provides the basis for an organismic view of social life. This organismic view of social life requires that we see all the elements of social life as embedded in this medium. Furthermore, organismic views of social life require that we see all elements as inextricably linked to each other. This in turn, requires that we accommodate notions that action by one actor, in one temporal and spatial dimension will of necessity impact actors in the same, and possibly other, temporal and spatial dimensions. The supposition of interrelatedness is also a feature of

biological general systems theory (Mayr, 1982). It suggests that for every action there is a reaction. This too has its roots in the Enlightenment period. This form of Cartesian dualism grew to become the nature of the social relationship at both micro (relationships between actors) and macro (institutional relationships) levels. General Systems Theory has served as fertile ground for the development of planning theory.

Lifeworld experiences and systems orientations are not oppositional elements that contradict each other. Nor do they represent parallel perspectives on social life. It is premised here that lifeworld experiences and systems theories are not opposite ends of a continuum, but that they are, in fact, two paths of thought. They are lines of thought that intersect at critical points. A critical point of intersection is the recognition that meaning forms the basis of social life. It is through shared meaning that social life is possible. It is through shared meaning that relatedness between individuals is possible. It is shared meaning that serves as the glue that binds people in a social institution. Planning represents a process by which lifeworld experiences and systems theory elements can be viewed together as phenomena that are multi-dimensional.

This suggests that there is another element other than action that is necessary to elucidate in the discussion of social life as it applies to planning. If planning involves a pattern of action that describes social relatedness, then the pattern must have a social configuration that has become habituated. Habituation occurs when the pattern of action is embedded with shared meaning. The notion of structure is imperative to systems theory. Structure provides the road map through which action can be viewed and understood.

¹ A 'root tenet' is defined here as a concept that is foundational to the theory of general systems.

Any social action between individuals is multidimensional. It consists of temporal and spatial dimensions that have formed prior to the action taking place. It consists of intentionality toward temporal and spatial dimensions that have yet to be. All of this is integrated with the present spatial and temporal dimensions of the social action. Using this simple formula would suggest that the planning process is in reality an attempt to 'formalize' past social actions and predicted social actions into a coherent here-and-now set of actions. The formalization process is often fraught with misconceptions given the frailties of social life based on shared meaning. Attempts to minimize misconceptions are achieved through the development of language and symbols that will provide boundaries to the realm of possibilities of perceptions. Planning theory is essentially an attempt to minimize misconceptions through habituation. Parsons (Wallace and Wolf, 1986) used the term 'teleonymy' as the capacity of a system to determine direction and orientation of the whole through the action of its parts. Planning is a teleonymic process of the whole that serves to create, control, and modify goal-oriented behavior. This process is impossible without the use of shared meanings that are embedded in the goal-oriented behavior of the actors in the planning process. When novel situations are encountered by an organization, new patterns of behavior must be developed to effectively respond to the stimulus perceived by the organization. The overarching need of organizations to continually develop their teleonymic capacity is what drives the need for planning and to entrench planning as the glue that binds actors together.

The entrenchment process is an attempt to provide structure (and re-structure) to an organization. Piaget (in Creswell, Goodchild, and Turner, 1996) proposed three

defining criteria of a system. First, there is the possibility of a 'whole'. That is to say that there is something called an organization. It has boundaries that define what it is, what it is not, and what it can be. Each whole is comprised of parts that are interdependent of each other. Secondly, that change occurs in response to an environmental stimulus. Change means transformation that is routinized in the behavior of the organization. Thirdly, there is a process of autoregulation that determines new levels of social equilibrium. Social equilibrium is defined by Theodorson and Theodorson (as cited in Wallace and Wolf, 1986, p. 29):

“... the concept that social life has a tendency to be and to remain a functionally integrated phenomenon, so that any change in one part of the social system will bring about adjustive changes in other parts. The initial change creates an imbalance, but a functional adjustment of the parts occurs to recreate an integrated, adjusted, and relatively stable system.”

Inherent in this definition of social equilibrium is the notion of permeability. This suggests that in any system there is an opportunity for new components to enter as part of the system through some force of inclusion, or to leave the system through forces that promote expulsion. An example of the former in planning in higher education institutions is state legislative control that has mandated planning with certain outcomes. An example of the latter is changes in budget accountability systems that no longer permit the use of designated funds to the general budget of most universities.

The last point to be considered in systems theory is the reliance on positivistic systems of science. Another remnant from the enlightenment period is the notion that facts must be removed from their context and isolated in order for the fact (or

phenomena) to be known. Removing phenomena from their context has been rationalized through the reconstruction of reality by means of mathematical and statistical manipulation. Positivism has come to rely on the use of reductionist perspectives to account for the reality of phenomena that have been removed from context. In planning, this has come to fruition through the reliance on trends, patterns, and analytical techniques to rationalize goal-oriented behavior. To rely on intuition (usually based on historical horizons), lifeworld experience, or vision has been equated with lack of rigor in the planning process.

Discourse analysis

Foucault (1979) has been the classical writer on discourse analysis. His premise rests on the notion that discourse (as a communicative action) exists beyond the consciousness and intentionalities of people. There is a social dimension to the construction, deconstruction, and affirmation of discourse. What is true and what is false are not opposites, but are rather different perspectives of reality that have been mediated in a social medium. Objectivity is a matter of power rationalized through positivistic reductionism.

Discourse has an internalized discourse scheme that marries intentionality with social expectation. Foucault promotes the social construction of discourse through the use of 'epistemes' which are domains of knowledge that form the boundaries of meaning, which form the boundaries of intentionality in people. These remove the objectivity put forward by positivism and form what Popper has termed the third world of objective knowledge. This third world is the collective use of symbols that are derived through the

horizons of individuals and groups through the medium of collective experience. That is, they arise as a phoenix from the ashes of past experience that has been shared or singularly conceived. This world of objectivity integrates social action with intentionality and lifeworld experience. When placed alongside the notion of the social construction of meaning mentioned earlier, this constitutes the nature of the social system.

To explain planning as a process in these terms is to suggest that planning is a medium through which the collective and individuated experiences are mediated to form an objective form of knowledge alongside the reality perceived as institutional life.

If experiences are shared, as they are if they are to be ‘collective’ in nature, or ‘mediated’ by process, there must a process by which they are deconstructed, reconstituted, and communicated. The process involves a communicative exchange of information and meanings in such a manner that it leads to increased problem-solving abilities, mediated meaning schemes, and new interdependent relationships between intellectual capabilities. That process is called learning. Learning not only increases the capacity of the human agency at an individual level, but increases the capacity of the social capital to be effective. In order for this learning to be efficacious, it must be situated within a social context. There is, however, proximity between social context and experience that must be maximized if this is to occur.

The relevance to planning becomes evident when planning is viewed as a learning process. Planning exists because there is a need to convey knowledge that will lead to, rationalize, and evaluate goal-oriented behavior in individuals and collectives of individuals within an organizational structure. The zone of proximal development

principle simply states that the more embedded the individual is in the planning process, the greater the likelihood the intellectual processes required to effect the plan are developed. The intellectual processes required to effect the plan include problem-solving abilities, making meaning out of data provided, and the development of communication patterns that are parallel to others in the situated context. The common thread that is interwoven throughout the processes is meaning. Meaning must be integrated by all members of an institution if the concomitant behavior is to be consistent with that prescribed by a plan.

The situated context in which this occurs must have certain characteristics if learning is to be maximized. First, the institution (or organization) must be socially constructed in such a manner so as to convey a common mission. Second, the everyday life of working within the situated context must be compartmentalized within defined categories. Working relationships (for example between employee and supervisor) are defined, procedures for knowledge flow are defined (for example a policy and procedures manual), and modes of meaning transfer is defined (for example the configuration of committee mandates). Third, the process by which the environment interfaces with the institution must be defined (for example, student recruitment and retention strategies). These three characteristics all involve the communication of meaning, the mediation of meaning, and the reification of meaning into the everyday life of the people working within the institution. It is a function of the human condition that everyday life becomes habituated. This occurs in organizational life when it is objectified. Objectification occurs when it has become 'taken-for-granted'². For example, working relationships with others in an institutional setting become objectified when the interchange between them

² The term taken-for-granted is a phenomenological term that means outside of the conscious, deliberate awareness of consciousness.

becomes habituated. That is, the pattern of communicative action occurs repeatedly to the point of predictability. Planning as a process becomes objectified when it becomes a taken-for-granted process. In order, for an experience to be taken-for-granted it must be reified as a social construction. Working relationships become reified when we communicate with others in a pattern under conditions of certainty. For example, saying “good morning – how are you” is often a behavior of simple acknowledgement. In order to be reified an experience must contain shared meaning. The development of shared meanings is a process that often involves transformation of thought and process.

Transformative learning

Transformative learning is a process by which meaning is communicated, mediated, and reified. It includes both strategic and communicative action (Habermas, 1987). Strategic action is goal-oriented behavior that specifies procedures to be followed in the communicative process (termed ‘instrumental’) or it may involve a new and novel process of mediation yet tried (termed ‘open’). Communicative action is oriented to understanding and communicating anticipated results of the communicative process. Meaning comprises two distinct categories of reality – meaning schemes and meaning perspectives. The former is a subset of the latter according to Mezirow (1991). Meaning schemes are the basic component of meaning. In the context of planning and institutional life, schemes are comprised of:

- internalized beliefs and values about the organization and the everyday life of the individual within the organization;
-

- what is perceived as specific factual knowledge about the organization, the planning process, and the plan;
- evaluative conclusions about everyday life in the organization, the utility of the plan and the planning process;
- affective states that are attached to institutional life, the plan, and the planning process.

All of the above elements constitute, as a whole, the interpretations that are placed on organizational life and the experience of planning, and ‘living out’ the plan as it is reified within the organization. Meaning schemes are represented through expressed goals about institutional life and habitualized (and often ritualized) forms of behavior. Meaning schemes are not permanent. They are subject to change as a result of mediation situated within a given context.

Aggregated meaning schemes form a meaning perspective. A meaning perspective is a worldview, general frame of reference, or personal paradigm. They provide the criteria for evaluation and the development of benchmark dualistic criteria such as right and wrong, and appropriate and not appropriate.

Worldviews can be characterized as having a locus of responsibility and one of authority. These loci can be placed on a 2X2 matrix based on high and low responsibility and high and low authority. The congruence between responsibility and authority (either high or low) is likely to result in habituated behavior. A dissonance between the two (one high and one low) will create tension within the individual thereby promoting new forms of relating to the world. In the case of institutional life, the former occurs when the individual’s perception of the institution is in accordance with the view of what the

organization is. The latter occurs when it is not. In this case, the individual is likely to engage in new and novel ways of behaving to try and make the organization 'be' what he/she believes it should be.

Habits of mind may be broadly defined as broad, abstract habitual ways of cognition, affective dispositions, and behavior. They are influenced by cultural and social norms. Points of view are the result of a habit of mind. They are expressed as a validation of a habit of mind. In relation to planning as a process as part of organizational life, habits of mind are concerned with the primacy of planning as a process, the utility of following a plan, the reliance of a body of data derived by a certain methodology. Both are attained through the processes of acculturation, assimilation, or socialization. These mediums are transparent in that they are not palpable processes, but are instead processes that people experience through habitual, and sometimes, ritualized, fashion. Habits of mind become entrenched as people experience social phenomena that are congruent with their predispositions.

There is an ontological duality inherent with the notion of habits of mind and points of view. On the one hand, these two 'predispositions' provide people with meaning to the everyday life that they experience. On the other hand, they may serve as a root of dissonance between everyday life and experience. As long as there is congruence between experience and predisposition reality is congruent between the observer and the environment. When there is incongruence there is a schism between what is perceived to be real and a reality validated by the environment. This then leads to an affective reaction that can lead to a modification of the environment or the individual's predisposition. When a pre-disposition is modified it leads to a transformation of frame of

reference, worldview, or personal paradigm. Planning as a process seeks to develop a sense of congruence between individuals' habits or mind and points of view with a social construction of work life. Planning is, at least in part, a process of assimilation, acculturation, or socialization. The purpose of the planning process is to develop a congruence of reality perception between the environment and the individuals concerned.

While meaning schemes provide a basic road map of reality as it is experienced on a daily basis and can often be transformed by environmental pressure, *meaning perspectives*, are more resilient to change because they seek to integrate experience. At the same time as being resilient to change, they are also receptive to the environment. This ontological dilemma promotes change in either of the perspective or the environment. In the case of a perspective transformation this can occur by changing meaning schemes over time or by experiencing a major predicament that creates an impetus for change. With regard to the planning process, it might be said that meaning perspectives are often expressed in plans as the result of a planning process. That is, a plan can be seen as an aggregated meaning perspective of the organization and its relationship to the environment. A consistent, continual planning process can also serve to transform an individual's meaning perspective.

Summary of social theory as it applies to planning theory.

There are a number of observations that can be drawn from social theory and its relevance to planning as a process:

- There is a social world that incorporates social life into individual experience.

Planning provides a bounded rationality of the social world for those involved;

- Experience is socially constructed and therefore it can be deconstructed and therefore acted on. Planning is a social construction when seen as a product and an experience when one goes through the process of planning. How one organizes the planning process will determine the sanctity of meaning schemes and meaning perspectives of the individuals involved;
- Communicative action is based on beliefs, values, and norms embedded in the niche in which the individual's are located spatially and temporally.³ Planning as a process involves the reification of shared meanings;
- Meaning is socially constructed and it is reflected in the use of the symbols (such as language). Planning is a process of meaning making because it promotes a view of the everyday world and its workings. The language of planning (such as strategic planning) has come to represent a positivistic approach to identifying relationships between actors within the organization and between the organization and the environment.
- Action is social because of the subjective meaning that is attached and this subjective meaning is in turn existent because of a perception of sharing by the principal 'actor'. Planning as a process outlines the structural features of the organization and the nature of the interface between the individuals and the organization, and between the organization and the environment in which it is embedded;
- There is a formalization process which is an attempt to formalize shared meanings. Planning as a process can be misconstrued as such a process;
- The use of positivistic science occurs with a modernist view of the organization, while the reliance on other forms of science reflects a post-modernist view of

organizations. Planning that relies on positivistic science is essentially reductionist in perspective. Removing the fact from the context serves to entrench existing shared meanings rather than seek to develop new ones. A post-modernist perspective respects the nature of the embedded data and refers to methods of science that capture not only the data but the relationship of the data to its environment;

- Epistemes are used to construct meaning through discourse, while meaning constructs intentionality - planning involves the development of epistemes to engage people in goal oriented behavior;
- The third world of objective knowledge involves the development of epistemes through the collective use of symbols through collective experience. It is in the third world of objectivity that social action, intentionality, and lifeworld experience are integrated. The planning process provides boundaries for the third world of objective knowledge because it defines rationality, meaning, and socially appropriate behavior within the organization;
- Learning is a communicated exchange of information and meanings in such a manner that it leads to increased problem-solving abilities, mediated meaning schemes, and new interdependent relationships between intellectual abilities planning as a process is a learning process;
- If learning is to occur there must be a proximity between social context and experience. If planning is to be successful as a process, people must be involved at various levels;
- Learning is also dependent on the situated context in which it is embedded. This context requires the manifestation of a mission of the everyday working life of people

³ 'niche' is a term from eco-cultural theory that identifies the environment of influence on the individual.

and must be compartmentalized within defined categories. The environment and institution interface must be clear;

- Meaning schemes are the basic component of meaning. Aggregated meaning schemes form a meaning perspective. The purpose of the planning process is to reify/modify/create meaning schemes and meaning perspectives through a process of cumulative meaning scheme transformations, or through the process of crisis management (such as downsizing or reorganization).

The literature that pertains to social theory has been drawn from a variety of sources. The application of these concepts to the planning process has been drawn. The next step in the analysis process is to analyze the development of planning as a discourse intended to create aggregated shared meaning schemes and thus shared meaning perspectives under the rubric of institutional culture.

Chapter 3

The model of emergent planning

Introduction

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase was to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social constructionism. This formed the content of the literature review (chapter 2). The assumptions derived from the beliefs in the literature form the second phase and constitute what is believed to be true for the purpose of model building. The beliefs and assumptions developed thus far are summarized and reviewed in this chapter.

This chapter will review the model building process as it applies to the development of the model of emergent planning. As stated in Chapter 1, the overarching paradigm used to develop the model of emergent planning is social constructionism. The principal tenets of that paradigm will be reviewed. Flowing from that will be a discussion of the principal tenets of the model. The concepts that have emanated from the principal tenets will be highlighted here. The purpose of this chapter is to set the conceptual tone for the model of emergent planning and to further expand on the process of research and development undertaken in this dissertation.

Models, paradigms, and concepts (tenets)

Prior to beginning the discussion of the model of emergent planning, it is necessary to define terms related to the understanding of conceptual devices which will

be used to generate the model. Models are defined as a device for generating ideas, guiding conceptualization, and generating explanations (Reed & Sanderson, 1999). The model of emergent planning is an example of a descriptive model because it is intended to present the structure of the relationship between:

- The actors involved in the planning process;
- The actor-generated concepts and the concepts internalized from the external environment;
- The concept and the mediation process;
- The mediation and the habituation process.

This model also attempts to depict the structure of reality in an institution through the description and reification of:

- Reality as subjective meaning;
- Reality as shared meaning;
- Plans as representations of negotiated realities.

To be classified as a model, Reed and Sanderson (1999) state that a model must achieve one or more of the following functions: theory formation, simplification, reduction, extension, adequation, explanation, concretization, globalization, or action. The model of emergent planning seeks to simplify concepts by providing a coherent system by which to draw together concepts from the social sciences and various higher education administration fields of knowledge. It also seeks to extend these concepts to the planning field by linking previously unlinked concepts. It seeks to provide explanation of key concepts as they are reiterated in the planning process. Lastly, it

provides a fertile ground to join the theoretical and the observation of the tenets together in a coherent visualization of the relationship between the two.

The use of a model is premised on the following notion: the world in which the model of emergent planning is based is knowable; order can be imposed on the process of emergent planning so that the phenomena under study can be observed; the model of emergent planning is bound in the culture of the institution under study; the model of emergent planning is a construction derived from a systems approach to institutional life in higher education.

There are also conditions on the use of a model. Reed and Sanderson (1999) propose conditions for the use of a theoretical model. The first condition is that emergent planning must propose an original field of investigation in which some facts and procedures have been established. This condition is met as the principal beliefs have been derived from various sources. It is the relationship between these tenets that form the foundation of the model of emergent planning.

The second condition is that there must be an identified need for further research. A review of existing literature has yielded little information regarding the transformative process from personal change proposals to formalized plans. There is research and propositional literature to suggest these tenets either in isolation of other tenets, embedded in other contexts, or coupled with other tenets, which do not form the model of emergent planning. The third condition for using the theoretical model of emergent planning is the ability to describe an entity belonging to a more well-defined, well-researched secondary domain. This is the case with emergent planning because it evolves

from planning theory, leadership theory, mediation theory, and construction of reality theories.

The fourth condition on the use of a theoretical model consists of explicit or implicit 'rules' of correlation between the secondary domain (mentioned above) and the model of emergent planning. The fifth condition on the use of a theoretical model is that inferences from the secondary domain are translated by means of correlation to the data related to the concepts of the primary domain (i.e. the model of emergent planning).

Model building

There are five phases in building a descriptive model (Reed & Sanderson, 1999). The first phase is to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. These assumptions form the second phase and constitute what is believed to be true for the purpose of model building. The beliefs and assumptions developed thus far are summarized in Appendix I. The third phase is the descriptors of an organization that defines the concepts of the model and states the interrelation of the parts. The fourth phase of the descriptive model development is the logical deduction phase. In this phase, predictions on future research outcomes can be made if the conceptual parts are representative of reality as described. The fifth and final phase of the descriptive model development is the reaching of conclusions and specifying outcomes based on data collected through research. This dissertation is concerned with these five phases of model development. If successful in the development of the model, the next phase of development beyond the dissertation will

be the development of a practice model. This process involves five additional phases before practitioners in the field can garner utility

There is a need for an ‘emergent planning model’. The model has its philosophical roots in constructionism. Some of the basic notions of social constructionism will be presented as well as some notions of constructivism to develop the intellectual posture that emergent planning is both a social construction that occurs within the organization and a psychological construction that often occurs tacitly within the confines of those charged with some responsibility for planning. The implications for higher education initiatives will be discussed.

Principal tenets of social constructionism

There are four principal tenets of social constructionism that have application to the development of the model of emergent planning. These tenets are largely derived from Gergen (p.47, 1999):

1. “The terms by which we understand our world and our self are neither required nor demanded by what there is;
2. Our modes of description, explanation, and/or representation are derived from relationship;
3. As we describe, explain, or otherwise represent, so do we fashion our future;
4. Reflection on our forms of understanding is vital to our future well-being.”

These four principal tenets are based on what Gergen calls a “communal view of language”. This suggests that what is true, our beliefs, and values, are all socially mediated. It is the relationship that we have with others that forms the basis of

construction of beliefs and values, and therefore underpins all behavior. There is an adherence to the notion of relationship as being the prime moving force in social behavior. That is not to discount the psychological processes that occur, but it does make them subservient to the social relationship in which they are inevitably embedded.

The first tenet is premised on the notion that everything that we experience in our world has a myriad of possible descriptions. Quite simply stated, what one person perceives and what another person perceives may be different. Hence, the description of these events or experiences may be different. And yet, there are descriptions of experiences that are held to be true and rational. There are descriptions that all persons in the same context should perceive as real (Berger and Luckmann, 1966). The use of strategic planning language and processes of deliberation are based on the notion that people do perceive the organizational world differently depending on their vantage point based on their own personal history and their position within the organization. Institutions of higher education are often seen as flat organizations that partner faculty and administration in a variety of academic planning endeavors. In these situations, strategic planning is an attempt to harness the multiple perspectives into a coherent, unified vision that can be constructed and communicated to all within the organization. The utility of this tenet to this research lies in the development of the concepts of the model of emergent planning and their relationship to the social science literature. Those concepts and their origins are highlighted at the end of this chapter.

The second tenet of social constructionism pertains to the use of language in forming meaning. The tenet posits that words in and of themselves have no meaning until they are applied to a context. Context, as defined in social constructionism, is

dependent on relations between a person and the environment. The environment is usually others and therefore social relationships play a large role in determining the meaning. Inherent in social relationships is the use of language and symbols. Planning in higher education (as in other cases) is replete with language and symbols. Strategic planning has a set of words that are intended to represent a way of looking at the world, a way of interacting with the world, and a way that people are to “be”. Being in the world is related to prescribed formal and informal roles, what is appropriate and inappropriate behavior, and how people are to relate to one another through the formation of institutionally constructed groups such as committees departments, or informal groups such as cliques. It is also related to how people communicate goals, objectives, action plans, and outcome analysis. In other words, strategic planning is an active force of social construction.

This tenet also applies to the use of words and symbols from disciplines outside of the realm of planning in higher education. It seems to suggest that if one takes a word or symbol out of context (for instance a word from the business or science domain) and applies it to another context it does not necessarily follow that the meaning will follow. There is therefore a necessity to use a methodology to evaluate terms and their subsequent meanings in the context of their origin and their application to planning in higher education. The methodology of analogy analysis is presented in Chapter 4. This mode of analysis is borrowed from the physical sciences and is used in that domain to judge the efficacy of using metaphors in the building of science models.

The third tenet suggests that there is both a historical relevance and irrelevance in the use of language. There is relevance in the sense that the use of language serves to

habituate behavior because they represent forms of life associated with traditions, rituals, and customs unique to a social setting. Words such as President, Senate, strategic planning exercise, financial exigency all have context related meanings. As such, they often serve to also prescribe relationships between people. Strategic planning is an attempt to entrench planning behavior in the organization by the use of language that determines how people will relate to one another in the context of planning.

This tenet also speaks of historical irrelevance in the use of language. Context is fluid and ever-changing because it is present and future oriented. The language that is used today to entrench relationships within the organization may also be used to generate new organizational relationships. The ability of an organization, unit within the organization, or an individual within the organization, to transform to meet the needs of an ever-changing environment is pivotal to effective planning. Developing relationships that are built on generative discourse is a tenet of planning. Planning is present and future oriented. Therefore, the language used must always be generative. It must generate new ideas in response to an ever-changing environment. The manner in which this is done will be discussed in chapter 4 concerning the literature review.

The fourth tenet in social constructionism concerns reflexivity. There is a need to continually renew social relationships as the world changes. This process demands a review of existing social practices and making decisions about which should remain and which practices need to be changed. A reflexive posture requires that one not take for granted the existing day to day world and be able to suspend what appears to be apparent. It is not predicated on rejecting current methods of relating, nor is it dependent on changing. Reflexivity is evaluating the current and making decisions about the future.

Planning is a reflexive exercise that occurs in a social context. The gathering of evaluative information, the consideration of this information, formulation of what the information means, and the subsequent calls to action are reflexive. These notions are discussed further in the literature review (chapter 4).

Major tenets of emergent planning

The principal tenets of social constructionism are embedded in the major tenets of the model of emergent planning. The prime tenet in emergent planning is that there are multiple, often tacit, paradigms at work within an organization and between organizations. The notion of multiple paradigms suggests that action oriented planning must address the ideational structures that those in the planning process utilize to construct their notion of organizational reality (St. John and Elliott, 1994). It is from that point that evaluative criteria are generated to frame the reality as it has existed in the mind of the paradigm holder (Guba, 1990). In building a framework for planning in higher education it is of prime importance to develop an understanding of the interpretive process of those engaged in planning higher education and to move beyond the grounds of conventional, bounded rationality (Collins, 1982).⁴ Often masked by positivist orientations to linear thinking, those charged with the overall management of the institution (i.e. – Chief Executive Officers) must move beyond the data, to develop an understanding of the overt paradigms through which institutional interpretations are made within a culture. Furthermore, these CEOs must develop an understanding of the tacit

⁴ Bounded rationality refers to the limits of our ability to be rational because of the limits of what we can possibly know.

paradigms that exist in partnering planners in order to ensure a planning process that is inclusive of those charged with the later realization of the plan's actions.

A second tenet in emergent planning is that individuals construct paradigms and their meanings are socially mediated (Simsek and Heydinger, 1993; Phillips, 1995). Emergent planning builds on the Kuhnian notion of paradigms as “maps” to guide human interaction, by suggesting that paradigms are internal codifications of a construct of reality that has been embedded in a social context (Kuhn, 1970). Simsek and Heydinger (1993) suggest that paradigms are tacit and that they provide guideposts for behavior paths and serve to aid in the interpretation of behavior based on paradigm markers. In the context of higher education, it would seem that establishing ‘mediated paradigms’ would be of prime importance prior to the engagement of institutional partnerships, between members of an administrative team, or between faculty and administration. Deciding on whether to engage in a traditional, non-intrusive, exchange relationship, or to engage in a fused relationship of identities should be considered within the context of conventional linear wisdom based on a mediated understanding of positivistic data embedded in culturally bound meanings. Emergent planning is continual transformation of concepts (i.e meaning units) through a communicative process.

A third tenet of emergent planning involves construction, deconstruction, and reconstruction of strategies and actions in a cyclical and often tangled fashion (St. John and Elliott, 1994). Higher education is captive to the forces engendered by political,

⁵The term ‘planners’ is used in this paper to denote all persons actively engaged in the planning process.

⁶The term ‘understanding’ reflects the comprehension of meaning. The term ‘interpretation’ pertains to comprehension of significance in a particular situation.

social, and economic policy as well as the tacit paradigms of those who operate within the boundaries of the institution itself (Parker, 1993; Dorner, 1996). St. John & Elliott (1994) suggest that reflective choice making may have four essential ingredients.

Although applied to policy research, the model has application to planning. The elements in reflective choice making are:

- the application of theory ;
- the modification of a benchmark process to be applied in the development of a social artifact (such as a partnership);
- communication in which the process is further refined by a process of aim and strategy selection;
- and last, the transformational stage where the process is applied, reframed, and re-conceptualized in light of ‘best practices’ that exist and are desired in the expression of the inter-institutional arrangement.

Within the context of the higher education enterprise, this tenet of emergent planning stresses the need for a mutually expressed conceptual understanding of the process of planning. It also suggests that the political, social, cultural, and economic pre-conditions, conditions, and desired outcomes of a plan be framed in light of an emergent application of theory to the arrangement.

The fourth and last tenet is that emergent planning is action oriented and continually transformational (Habermas, 1987). While some planning models precede action in order to maintain a prescriptive stance, emergent planning is a process of continual transformation. *Prescriptive* planning engenders the pursuit of goals without necessarily developing an understanding and communication of the consequences of

actions. *Emergent* planning seeks to continually modify organizational behavior by seeking to mediate the social meaning of organizational action between those involved in the planning process. The utilization of traditional planning models presumes a dominant linear, empirical, prescriptive predisposition. This predisposition is not universal, nor is it feasible in all occasions. Emergent planning embraces the analysis of empirical data in conventional planning and the constructivist orientation of understanding and communication art of research that looks at planning as a process of construction, deconstruction, and reconstruction. As a formalized process, planning is often used by executive management to make sense of the world. It is premised on the *creation* of knowledge, rather than the discovery of existing knowledge or the affirmation of previously held tenets.

Concepts of emergent planning

Fifty concepts have been developed for the model of emergent planning. These have emanated from the principal tenets described above. Each concept has been derived from the literature. They have been described briefly in Table 1 below. The source of the concept has been identified as well as the discipline of origin. The conceptual relationship to the model of emergent planning has also been identified. The last column in the table outlines the survey question number that is related to the concept.

Summary

This chapter reviewed the essential requirements and steps to be taken when building the model of emergent planning. The social constructionist paradigm was used

as a conceptual foundation for the model. The principal tenets of the model of emergent planning were derived from the social constructionist paradigm. Fifty concepts for the model of emergent planning were derived from principal tenets. Each concept has been tied to the literature and to the survey questionnaire.

All together this chapter has formed what Berger and Luckmann have called “plausibility structures”. The principal tenets and concepts of emergent planning form a conceptual understanding of planning as a process. What remains to be done to further the development of the model is to discuss relevant literature, to analyze key terms and analogies used in strategic planning, and to discuss the results of an exploratory survey instrument.

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase was to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social constructionism. This formed the content of the literature review (chapter 2). The assumptions derived from the beliefs in the literature formed the second phase and constituted what was believed to be true for the purpose of model building. The beliefs and assumptions developed thus far have been summarized and reviewed here.

The third phase is the development of descriptors of an organization that defines the concepts of the model and states the interrelation of the parts. The use of descriptors is often achieved by using metaphors and analogies that are commonly accepted. For instance, the use of billiard balls and how they interact with each other when played, is sometimes used in physics to demonstrate how atoms interact with each other. Chapter 4

is dedicated to the preliminary use of Hesse's methodology of analogy analysis. It is used in this chapter to describe how the terms have been borrowed from other knowledge domains and taken to apply in the domain of strategic planning in higher education. Determining the viability of this method will be determined by the utility of the information gleaned from this process.

Table 1
Relationship of emergent planning concepts to literature and survey items.
Concept

Field of knowledge**Source(s) cited****Application to model****Relevant survey question items**

1. Constructivism works from observer to observed.
 Program evaluation
 Guba & Lincoln (1989)
 Process of evaluation should proceed from planner to plan.
 #1-4

2. Focus of attention is on inner sanctum of those involved in the planning process.
 Educational admin.
 Neuman (1995)
 There is a primacy of tacit paradigms.
 #5-8

3. New forms of organizational reality derived from focus taken above.
 Educational admin.
 Carlson (1996)
 Organizational reality is multiple realities in constant change.
 #9-10

4. Planning includes tacit paradigms.
 Educational admin.
 Simsek & Heydinger (1993)
 Tacit includes vision & direction.
 #11-13

5. Planning is re-conceptualized to focus on the process.
 Educational admin.
 Nedwek & Neal (1994)
 Planning is not an end but a process.
 #14-17

6. Multiple paradigms exist in institutions. Action oriented planning that focuses on ideational structures is required.
 Educational admin.
 St. John & Elliott (1994)
 Planning requires identification & action on tacit paradigms.
 #18,19

7. Evaluative criteria are required to frame reality as it exists in the mind of the paradigm holder
 Program evaluation
 Guba (1990)
 An assessment process is required to reify tacit paradigms in the planning process.
 #20,21

8. Individuals construct paradigms (not institutions) and their meanings are socially mediated.
 Education
 Simsek & Heydinger (1995); Phillips (1995)
 Institutional culture does not exist. Planning needs bring in multiple realities in the process.

#22,23

9. Paradigms are internal codifications of a construct of reality that has been embedded in a social context.

Science

Kuhn (1970)

People tacit paradigms are inextricable linked to their context. Planning process must identify the context of multiple realities.

#24

10. Paradigms are tacit and provide guideposts for behavior paths and serve to aid in the interpretation of behavior based on 'paradigm markers'.

Education

Simsek & Heydinger (1995)

Within the framework of policy, people are guided by their tacit paradigms – planning must see 'behind the behavior'.

#25,26

11. Construction, deconstruction, and reconstruction of strategies and actions occurs in a cyclic and often chaotic (random) fashion.

Education

St. John & Elliott (1994)

Planning is not entirely ordered and explicit. Much of planning occurs at random and implicit to a formal process.

#27

12. Planning is action oriented and continually transformational .

Social science

Habermas (1987)

The desired ends of planning are not products, but the legitimation of a process that captures evolutionary change.

#28⁷

13. There are four aspects to historical moments: policy in focus, outcomes critical to analysis, interests of those requesting research, truth (as a goal of discourse mediated between people)

Educational admin.

St. John & Elliott (1994)

The last two aspects capture the essence of the link between the explicit (as in policy and plans) and the implicit (as in the mediations and interests).

#29

14. 3 dimensions of researcher prism: the historical moment, basic theory, and reflective process

Educational admin.

St. Jonh & Elliott (1994)

Executives need to embrace a theory that embodies the notion of the tacit, implicit, and chaotic.

#30

15. understanding is to grasp its meaning.

Philosophy

Dreyfus & Hall (1992)

Executives need to understand the implicit, not merely account for it.

#31

⁷ This survey item pertains to responsibility, which is seen as a transformational, and authority, which is seen as action oriented.

16. understanding is not merely reproduction but productive attitude as well.

Philosophy

Dreyfus & Hall (1992)

Understanding involves action.

#32

17. meaning of an event is not limited to its significance.

Philosophy

Dreyfus & Hall (1992)

Planning process should explicate the context of events to derive meaning – and not relegate some events to ambiguity.

#33

18. 'strategic action' is oriented toward goals.

Social science

Habermas (1987)

Action is goal-oriented, all action is strategic – although not necessarily institution-wide.

#34

19. 'communicative action' is oriented toward understanding and communicating about consequences.

Social science

Habermas (1987)

Understanding and communication are critical elements of planning.

#35

20. we evolve from strategic to communicative.

Social science

Habermas (1987)

Without a 'sense' of direction (in the phenomenological perspective), there is no meaningful communication.

#36,37

21. science requires a method that combines empirical/analytical & historical/phenomenological traditions.

Social science

Creswell, Goodchild, & Turner (1996)

A planning process that embraces all forms of inquiry is required, if planning is to be evidence-based and reliant on principles of scientific evidence.

#38, 39

22. 4 stages of reflective choice making: basic stage, reflective stage, communicative stage, transformational stage.

Educational admin.

St. John & Elliott (1994)

The planning process requires reflective choice-making by people involved in planning. This action requires the internal mediation of concepts and paradigms.

#40

23. paradigms are maps that guide human interactions with external reality.

Educational admin.

Simsek & Heydinger (1993)

Tacit paradigms in planning are those cognitive maps that guide action (inaction is action).

#43-45

24. a paradigm has three characteristics: a way of looking at the world, a way of doing things, and a social matrix or network of people to adapt and practice the paradigm.

Educational admin.

Simsek & Heydinger (1993)

This is the basic definition of paradigm formation, evaluation, and revision used in this model.

#37-45

25. organizational paradigm has two dimensions: tacit & explicit

Educational admin.

Simsek & Heydinger (1993)

Tacit paradigms cannot be discounted in the planning process because they are part of, and not separate entities from, explicit paradigms. Together they form organizational paradigms.

#2, 24, 29, 30

26. scientific paradigms define the nature of productive theory and research; organizational paradigms play a similar role for organizational policies and operations.

Educational admin.

Sanders (1998)

An organizational paradigm must be characterized by elements similar to those of a scientific paradigm – it must *define*, and not only be guided by, productive theory (i.e. – yield organized knowledge), and research that defines breadth and depth.

#4, 7

27. All actions repeated more than once tend to be habituated.

Educational admin. (policy)

St. John & Elliott (1994)

Plans should required habituation at appropriate levels.

#16, 17

28. An institutionalized world is experienced as objective reality.

Educ. Admin. (policy)

“”

Plans that institutionalized as seen as objective reality.

#2, 13-15

29. There are three moments in dialectic process of institutionalization.

“”

“”

For a plan to be institutionalized it must meet 3 moments of social reality: externalization; internalization; objectivation.

#2, 12, 16, 17

30. Institutions claim authority over the individual.

“”

“”

Institutional plans have authority over subjective meanings.

#2

31. The more conduct is ‘taken-for-granted’ the more predictable and controllable the conduct will be.

“”

“”

The more a plan is institutionalized, the more reality is objectified, the more conduct is ‘taken-for-granted’, the more the plan is predicatble and controllable.

#16, 17, 20, 21

32. In socially shared universes of meaning we arrive at the need for institutional integration.

“”

“”

Planning meets our need for ‘socially shared universes of meaning’.
#6, 9, 10

33. Objectivated meanings of institutional activity are conceived as ‘knowledge’ and transmitted as such.

“”
“”

Planning knowledge (plans, data; reports) are objectivated meanings and institutional activities.
#4, 20, 21

34. Knowledge has a ‘social span of relevance’.

“”
“”

Objectivated knowledge is determined relevant according to a plan’s needs for ‘knowledge’.
#4

35. All transmission of institutional meanings implies control and legitimation procedures.

“”
“”

Transmitted meanings in plans are a form of control and legitimation.
#13-15, 22

36. Habituated actions retain meaningful character for the individual although meanings are embedded in taken-for-granted.

“”
“”

Once habituated, institutional plans become individual actions.
#12-15

37. The reality of everyday life is not filled with objectivations – it is only possible because of them.

“”
“”

The movement to goal fulfillment is because of a plan – a plan that is never reality.
22

38. There are zones of familiarity and remoteness.

“”
“”

Plans can reinforce zones of familiarity and remoteness depending on their typification of social interaction.

#6, 9-11, 16-17

39. Habituation assumes that an action can be performed again with the same economical effort.

“”
“”

Habituation is predicated on repeatability of outcome and effort – vis a vis planning.
#4, 5

40. Common sense knowledge is only effective in taken-for-granted routines.

“”
“”

The importance of a plan is to move beyond the ‘common-sense world’ and need for planning models which bring new language and new phenomenal groupings to re-shape realities.

#9-12

41. Subjectivity is not available to other than the actor.

“”
“”

Subjectivity is not the purview of plans.
#9-12

42. Subjectivity is apprehended by means of typificatory schemes.

“”
“”

Typificatory schemes relate to roles in planning and define how each role affects, or is affected by, the new, objectified reality imposed by the plan.
#5, 9-13

43. World of everyday life is ‘taken-for-granted’ as reality in the subjective meaningful conduct of peoples’ lives.

“”
“”

Planning that is internalized by people becomes the ‘taken-for-granted’ everyday experiences.
#16, 17

44. The objective facticity and subjective meaning of society makes its reality ‘sui generis’.

“”
“”

Objective facticity and subjective meaning represent the dual character of planning.
#4, 6, 9-11

45. All human knowledge is developed, transmitted, and maintained in social situations.

“”
“”

Planning as knowledge is only useful as a social object. It is an attempt to objectify multiple realities.
#4, 6, 9-11

46. Sociology of knowledge is concerned with analysis of social construct of reality.

“”
“”

Any assessment of planning should study the process of reality construction.
#20, 21, 23

47. No human thought is immune to the ideologing influences of its social context.

Social science
Manheim””

Planning is constrained by the ideological forces of the ‘system’ which constrain or enhance the thinking of people in the planning process.
#4, 9-11

48. Ideology is ideas serving as ‘weapons’ for social interests.

“”
“”

People have self-interests in planning and these form the ideological stance of a plan.
#12-15

49. Ideology can create a ‘false consciousness’ in people.

“”
“”

A plan that is replete with ideology creates false consciousness in people needing to internalize the plan.
23, 26, 32, 38-41

50. Situational determination is critical the ideologizing process.

“”
“”

Situational determination in the planning process is perceived differently by different people in the process.
#13-17, 31

Chapter 4

Analogy Analysis

Introduction

Chapter 2 reviewed the literature that would be pertinent to considering planning as a social construction. It was also stated there that the evolution of planning involved the development of language that was representative of planning theory at the time. Some terms have withstood time and have remained in usage since the advent of strategic planning since World War II. The discussion in chapter 3 was concerned with the development of the concepts of the model of emergent planning. It was discussed there that there is a great deal of importance attached to the social construction of meaning insofar as it governs what people do in their daily lives. It was premised that language is one of the ways that we socially construct meaning. It was further premised that planning, in particular strategic planning, is one example of how the use of terms and language constructs meaning and also serves to govern relationships by creating the context for how we relate. It was also discussed in chapter 2 that words are sometimes tied to context. The position taken here is that planning terms and concepts that are imported from other domains/disciplines are removed from their context and may or may not be applicable to planning in higher education.

This chapter will provide a methodology to view how we use some of the terms associated with strategic planning that have been imported from the physical sciences,

social sciences, and business. In doing so, a further literature review is required to understand how written textual information has been used to represent concepts in the source domain. The methodology used is based on analogy analysis which an analytical process developed to determine the efficacy of the use of metaphors in science. It is important, however, to first discuss planning as an ideology rather than a loose set of terms.

Developing an ideological method on planning

Defining ideological method

The ideological method can be described as a procedure of using concepts to govern the collection of data (Durkheim, 1982). This is in opposition to the derivation of concepts from the data. Following this, it is necessary to consider the concepts prior to the data being collected. However, Heidegger suggests that this proposition is fraught with problems. According to Heidegger people have pre-understandings that underpin the concepts. These pre-understandings stretch back into peoples' horizons as far as their personal histories will take them. The ideological method must therefore have a process that captures the horizons of individuals as well.

Studying ideology

The pre-understandings put forth by Heidegger suggest that one carries some 'intellectual baggage' which pre-determines how one views the world and interprets the phenomena that make up one's everyday experience. This 'baggage' is, at least in part, a study of meaning and how meaning mediates our reality. It is the meaning that we attach

to phenomena through the discourse of everyday life that permits or restrains our ability to accept/exclude new ideas, formulate new opinions, accept/reject other opinions. It is through meanings that we naturalize and universalize beliefs, values, and norms that are associated with the cultural context within which we are immersed.⁸

Ideology can also be seen as a form of domination (Eagleton, 1991). When an ideology comes to a point of dominant social thought – then the ideology becomes a form of domination. This occurs when other forms of thought are rejected or discounted because the premises that they put forward are not in line with dominant values and beliefs. If ideology represents a form of domination, then it can be a form of power, where power is not defined as a state apparatus function but as something more subtle and more insidious into everyday life. Foucault (1979) describes power in terms of discourse. The power of words and gestures can impact social life through the meanings they appropriate and the values and beliefs that are embedded in the communicative event.

Discourse is different from language. Language is the word, the symbol for an object. Discourse is the use of language between people for a specific purpose. It is through the exchange of the symbolic that the symbol's meaning is derived and/or entrenched. In today's world, the derivation of lexicons that have temporal and spatial boundaries as become the norm. The use of acronyms at work, the use of management language, the talk used to communicate with small children (including the raised pitch for very small children) has become very much the norm in western societies. People use a variety of lexicons depending on the social context that they are in. The use of lexicons

⁸ The term belief refers to concepts pertaining to codes of existence. For example, why people believe in a deity. The term value pertains to the worth that is attached to an object – whether it be real or unreal,

is therefore context-specific. To understand the meanings associated with the lexicon one must understand the context. Removing an utterance from its social context renders the true meaning unattainable.

Planning as ideology

Theory is an epistemological representation of ideology (Eagleton, 1991). A theory is collection of concepts and constructs arranged in a fashion so as to portray order and rationality. It achieves an ontological presence when that order and rationality can be reified through the use of a method that in itself portrays the dominant ideology.

Planning is first and foremost a series of constructs and concepts that are symbolized through the use of words and word sets. These words and word sets convey meanings in which are entrenched various values, beliefs, and norms. Planning may also involve prescribed behaviors that dictate the process of planning. It may also dictate behavior that lies beyond this process and determine behavior sets that are appropriate in certain conditions. The proliferation of standard operating procedure manuals, job descriptions, role delineations, framed mission statements, and proclamations of the corporate culture are all examples of attempts to dominate over individual behavior through the use of a plan. Planning is therefore embedded in a social context. Planning is furthermore a social construction.

Camhis (1979) notes that there is a difference between theory in planning and theory of planning. The former is concerned with theories of the planning process (procedure) while the latter is concerned with theories with which planning is concerned. This investigation is concerned more with the former – theory in planning. Theories in planning have long adhered to the scientific method as a basis to promote a pseudo-rationalism within the ranks of its disciples. True to the methods of reductionism and positivistic scientific rigor, the approaches in planning research have made management subservient to the rationality of deductive reasoning. There are, however, faults in the

use of deductive reasoning when applying a process theory to a social context. That is that deduction cannot prove something that we already know. For if we know it, there are premises that preclude it in our horizon.⁹ Assuming that people have a finite capacity to enter into another's horizon, it then stands to reason that at some point, the horizon is discounted through a formalization process. In planning, this has been expressed by accounting for some realities and negating the impact of others. By design this defeats the notions of totality and unity with the environment.

The only method to account for this in scientific rigor associated with a rational-deductive model of investigation is to limit the area of concern and the degree of detail with which the area of concern will be investigated. This necessitates removing a fact from the context and trivializing it to the point of single phenomenon.

Research methodology in the analysis of terms

This investigation places a reliance on the discovery of meanings in their contexts as they are cited in the literature. The steps taken in this methodology are:

Conduct term trends in the literature of higher education management as it pertains to planning. To do this, a search of the ERIC database from the pre-1960 year grouping to the 1995-2001 year grouping was conducted for specific word or word groupings. Five primary terms are used: system; planning; mission statement; strategy; strategic planning. Secondary terms are used in the explication of primary term references. Primary and secondary terms were linked to explain specific phenomena.

Following this, concepts that have been brought in from science and business so as to constrain/enhance planning theory in higher education management are analyzed.

⁹ This point was made earlier when Foucault's notion of power.

This is done by unearthing the use of analogues from business (called the source domain) to higher education management (target domain) and from science (source domain) to higher education management (target domain). The following steps are taken in this process:

- a. the description of the notion in the source domain is reviewed;
- b. the prediction of the existence of the descriptors of this notion taken from the source domain in the target domain;
- c. the description of observables located in the source domain that may be observables in the target domain are described;
- d. the issues surrounding the background relevance are described.

Background relevance concerns itself with determining if there is an adequate basis to judge unstated similarities and differences that are relevant;

- e. the issues surrounding foreground relevance are described. Foreground relevance concerns itself with determining if there is an adequate basis to judge stated similarities and differences that are irrelevant;
- f. to determine the type relations that might possibly exist between the analogies used;
- g. to test the analogy against the types of falsifiability that are possible.

The analogues will be analyzed according to type. Analogues can be *substantive* if they consist of a system of elements taken from one object and are used to develop a theory for another system. An analogue can also be *formal* if it contains abstract relations

similar to the model being constructed. In this case it is not necessary for the elements to be replicated.

Analogues can also be analyzed according to the type of relations that exist between the analogic systems. Analogues may possess *vertical relations* which occur when there is a causal relationship between the models/notions being compared. The analysis of vertical relations rests on the ability to demonstrate:

- That causal relations exist in each model/notion;
- That causal relations do not exist in the target or source domains;
- That causal relations that occur in the source domain are inappropriate for the target domain.

Analogues can also possess *horizontal relations* when there is a similarity between the properties of the analogue and the properties of the system to be explained. In *formal* analogues, horizontal relations can only exist if there are vertical relations as well. This is NOT the case in *substantive* relations. This condition exists because in the formal analogue there must be causal or functional relations because of its emphasis on abstract relations. In the substantive analogue, the elements of the model are similar, or made to be similar. It is worth noting that analogues based on similarity alone are often thought of as superficial because of the lack of functionality. There are four types of horizontal relations possible (Hesse, 1966):

1. Type A: Characterized by matching feature identity (i.e. – that which makes the feature unique) in the target and source domains. These features represent pre-theoretical identity and differences of properties of the theories;

2. Type B: Characterized by matching feature similarity (i.e. – that which makes the features of both similar) of pre-theoretical notions;
3. Type C: Characterized matching feature similarity and identity;
4. Type D: Characterized by a similarity of vertical relations so that the only horizontal relation is similarity of vertical relations.

Trends in use of strategic planning terms

Procedures

Eight terms were analyzed for trends in strategic planning. These terms were selected based on the appearance of terms in the planning literature reviewed. The use of the ERIC database was used as the search engine to determine the number of hits that occurred in the literature. There were nine categories of years that were used to record the number of hits. They are noted in Table IV along with the number of hits that were recorded in each. This rudimentary trend analysis was done to demonstrate the growing and levelling off of strategic planning literature in the education field as recorded by ERIC. As was noted in the literature review the trend in the use of strategic planning saw its est usage in the mid 1970s. This continued well into the 1990s and appears to be levelling off. The terms that received most hits, by decreasing order of count were¹⁰:

- The term ‘system’ which received its est number of hits in 1975-80 (19,973). It has since levelled off in the 1995-2001 period to 13,987;
- The term ‘planning’ which received its est number of hits in 1975-80 (18,264). It has since levelled off in the 1995-2001 period to 12, 525;

¹⁰ The span of years was determined by the ERIC database. There are some spans that are five years in length and others are six years.

- The term ‘ goals/objectives’ which received its est number of hits in 1975-80 (4,576). It has since levelled off in the 1995-2001 period to 2,253;
- The term ‘mission statement’ which received (79) hits in the 1975-80. The est number of hits was recorded in the 1990-95 period (500). The use of this term has decreased to (401) in the 1995-2001 period;
- The use of the term ‘ long term goal’ which received (59) hits in the 1975-80 period. It steadily increased to its maximum of (126) in the 1990-95 period. The use of this term has levelled off to (101) hits during the 1995-2001 period;
- The use of the term ‘strategic’ which recorded (242) hits during the 1975-80 time period. This has steadily increased to (2,601) hits during the 1995-2001 time period;
- The use of the term ‘strategic planning’ which recorded (41) hits in the 1975-80 period. This has steadily increased to (1,477) hits during the 1995-2001;
- The term ‘synergy’ which recorded only (2) hits during the 1975-80 time period. This steadily increased until the 1990-95 time period when the number tripled to (17), where it has stayed during the 1995-2001 period.

This simple count of terms reveals a number of interesting points in the development of management language that has been captured in the ERIC educational database. The use of strategic planning language was preceded by language that served to explain the notions that underpinned planning. It is not merely coincidental that the use of terms such as system, planning, goals and

objectives were prevalent in the language during the 1975-80 period. This is a period when the use of those terms were in usage in management fields other than education as well. The use of these terms provided fertile ground for the flowering of terms to be used later in the strategic planning field. The 'state of the art' of the time in general management circles involved the use of strategic planning in the market economy (Whittington, 1993).

The term definitions from source domains

System

The term 'system' has been used in biology for centuries. Its application to General Systems Theory (GST) has been traced to the 1940's by Bertalanffy (Kielhofner, 1986). Mayhew (1997) defines it as a general science of organization and wholeness. The phrase 'the whole is more than the sum of its parts' is derived from GST. Other notable conceptual contributions to this discussion are:

- All parts of a system are interrelated;
- A change in one part of the system inevitably produces changes throughout the system;
- There is a tendency toward system equilibrium (later this changed to entropy);
- Any system cannot be fully understood until it is seen as a system of many interrelated parts;
- The relationship between the parts is an important part of understanding a system.

Systems theory was introduced into the social sciences, particularly sociology, in the 1950s. Most notable contributions came from Talcott Parsons introduced the concept of functional imperatives to the organization of social systems. The acronym AGIL developed as a label for the pattern maintenance variables associated with systems (Wallace and Wolfe):

- “A” referred to adaptation – this referred to the system’s ability to secure resources from the environment and distributing these resources throughout the system as required for the system’s need for equilibrium;
- “G” referred to goal attainment – this referred to the system’s ability to secure resources to fulfill goals and objectives of the system;
- “I” referred to integration – this referred to the system’s ability keep the internal systems working by focusing on the process of interrelation between them;
- “L” referred to latency – this referred to the system’s ability to develop, revise, and maintain values and beliefs in the social system that ensured its survivability through harmonization of the process of interrelation.

Business has embraced (as will be discussed later) many of these tenets. The most notable contributions from the field of business have been the additional conceptions of opened and closed systems:

- “open systems” – defined as systems that are affected by the influence from outside their boundaries. These kinds of systems can also affect other systems;

- “closed systems” – defined as systems that are unaffected by influences from outside their boundaries. There are in reality, very few such system in the business world, or any other social configuration.

Strategic planning

In the business source domain, strategic planning is the development of a detailed overall masterplan (Market House Books, 1996). There are four concepts of strategy that will be discussed. They are: rational, fatalistic, pragmatic, and relativist (Whittington, 1993). There are four approaches to strategy as outlined by Whittington (1993):

- The *classical* approach which relies on rational planning methods, linear thinking, profit maximization, cost reduction, and deliberate planning processes. There is often a reliance on analytical procedures based on the positivistic scientific method. The collection of data and its interpretation is believed to represent reality when the world in which the organization is set is held constant. It is believed that through planning the interface between the organization and the world in which it is embedded can be controlled for the maximum utility of the organization. Furthermore, with proper analysis the world is predictable thereby allowing the organization to position itself for maximum gain. Long-term planning is vital because it ensures a future for the organization;
- The *evolutionary* approach which is premised on Darwinian principles built on the survival of the fittest and relies on profit maximization, cost reduction, and emergent planning processes. In a Darwinian world, there is

unpredictability. The key to organizational survival is based on being able to continually transform oneself to cull from the environment what is required to maximize profits and minimize costs. This places the stimulus for change in the environment and not with the organization. Extinction is inevitable as a process of natural selection in the marketplace. Planning is a function that is critical in a temporal dimension where environmental change does not occur. It has little value in the long term given the environmental changes that inevitably surface. Long-term planning is futile given the nature of the chaos in the world of the organization and the world external to it;

- The *processual* approach which subordinates strategy to the chaotic nature of organizations and the environment they are embedded in. They focus on multiple outcomes rather than profit maximization and cost reduction. The planning process is seen as emergent, and reliant on the conditions present at the time of planning. Organizational life is unpredictable. The environment is fluid and dynamic. The likelihood of organizational life and environmental character being synchronous to the point of a detailed plan is unlikely. The best strategy is founded on survival as opposed to optimizing environmental fit. Long-term planning is irrational for the same reasons stated by the evolutionists. Strategy is seen as a continual process of adaptation and learning;
- The *systemic* approach which is relativistic to the systems and sub-systems it interfaces with. It is similar to the processual approach in the pursuit of multiple outcomes, but is different in that it adheres to a deliberate process of

planning. The success of a plan depends on the social systems which are charged with bringing the plan to fruition. These social systems are comprised of people who bring their own set of beliefs and values to the organization. The interplay of this concoction of beliefs and values between people as part of a system is what will determine the success of the plan. A successful plan is one that recognizes the goals and aspirations of individuals, not merely the organization. Rational processes may or may not be used in the formation of a plan depending on the predisposition of the persons involved. In a systemic approach social structure is important and therefore class, nation, status all come into play. Long term planning is possible – but it depends on the social context in which it is embedded.

While each approach is unique in its combination of outcomes and processes, in reality there are similarities because each is not a ‘pure’ succinct category with defined boundaries. All of the approaches are Western in flavor. They represent the world in a manner that is characteristic of the physical world.

Mission

This term evolved originally from military language and was meant to represent an operation for a specific purpose. It was introduced into planning language in the business domain to refer to the development of written language that reflects the purpose of the organization (Oxford University Press, 1996). The purpose of the mission is to communicate to members of the organization and external bodies why the organization does what it does. Internally, the mission is used to develop the corporate culture and

hence to control employee behavior through the reification of values and beliefs.

Externally, the mission is used to identify essential stakeholders, position the corporation in the marketplace, and to outline a path that the organization will follow during its life.

Prediction of existence of these concepts in the target domain of higher education management

System

There is little doubt that the term 'system' can be used as a way to explain how higher education is organized and managed. One might argue that even the AGIL framework proposed by Parsons applies to any social system. Insofar as planning in higher education is concerned it would appear that there is the distinct possibility that any of the premises could be equally applied to the higher education 'system'.

However, the universality of this application across cultures is open to debate. In a market economy the application of systems theory would appear to work well. The application to planning strategies is equally appropriate. The form of managerialism suggested by strategic planning is effective only in societies that value:

- forward planning toward a target;
- higher education as a commodity to be bought and sold;
- higher education in a free market economy where competition is integral to success;
- higher education as a form of vocationalism and/or credentialism;
- students as consumers.

Strategic planning

Strategic planning in its most traditional form represents the classical approach to planning. It is seen as a technique in organizations that embrace structural determinants that minimize individual choice in favor of an overall vision. Strategic planning has also been used as a systemic approach when people have been intimately involved in the planning process. Organizations that are truly flat maximize individual choice as part of an overall vision. Although these two forms are seen as opposite ends of the spectrum it is likely that in higher education institutions that there is a blend of approaches that is used. Environmental influences shape the approach that is used in most instances. For instance, the impact of legislation and external financial resources will play a significant role in determining how planning is to proceed.

Mission

The notion of mission, as imported from the business domain, has been adopted by many higher education institutions. When the term mission is considered as it is in the corporate world mission usually has the following characteristics:

- it is forward looking
- it is single-minded in purpose that it is one dimensional
- it is couched in vague terminology which is often embedded in the language of the day in the business world

It is these characteristics which are problematic. The issue of planning as forward looking (i.e. – toward a target) is culture specific (Whittington, 1993). This locks the organization into a pattern of behaviour that is at the very least impacted by the value

placed on it by the society within which it is found. The creation, discovery, and transmission of knowledge in universities is thus placed in the rubric of the culture in which it is found. This may be problematic in that there may be a stated mission but the allegiance to the mission may be difficult to maintain. Higher education mission statements that reflect a single-minded purpose may not reflect the entirety of activity of the institution. Higher education results from a complex of social forces that shape its purpose in many different ways. Adhering to the necessity for an overarching statement may unnecessarily limit the organization. The importation of business language into the mission statement may also bring with it contextual features that must be imposed on structural requirements necessary to fulfill the mission. This in turn, may drive the organization further from a stated mission of knowledge management. In other words, the three characteristics of a mission may serve to constrain higher education institutions and engender conflict in the halls of the academy.

Observables in the source domain

System

Systems theory has been criticized as being too abstract a concept to test the concepts proposed by it (Wallace and Wolfe, 1986; Mayhew, 1997). The assumptions about the ability to build a 'corporate culture' where values and beliefs are shared as a means to reduce conflict and create harmony and consensus has little empirical grounding (Enteman, 1993; Marshall, 2001; Preston, 2001). Coupling the structure of social systems with the system requirements under the rubric of a theory that includes individual purposeful choice has never been achieved (Foucault, 1979; Gilbert, 1992). It

is critical that if strategic planning is to be successful in being implemented in higher education that the root tenets be observable and measurable in the source domain. Clearly this is not the case. What has occurred is the development of an ideology of strategic planning based on common sense strategy taken from business and applied to higher education without it ever having been proved.

Strategic planning

The existence of organizational characteristics from those who use one or more of the approaches has been documented in the business literature. Whittington (1993) has described organizational features that are synonymous with the various classical approaches (as described above). However, the ability to see the features in action is limited given the level of abstraction of each approach.

Mission

Mission statements have been developed by many higher education institutions and therefore the observables for the target and source domains exist and can be reviewed for relevancy.

Background relevance

Background relevance suggests that a basis must exist in order to judge 'unstated' similarities (positive analogies) or differences (negative analogies) that are relevant.

System

At this point in time, there is an inadequate basis to make such a judgment. There has been no research literature on the measure of transferability of the notions embedded in the term system from the source domains of biology, social science, and business to the higher education management field. Even though on the surface it would appear that there is a significant amount of relational possibilities, this has never been empirically investigated.

Strategic planning

At this point in time, there is an inadequate basis to make such a judgment. There has been no research literature on the measure of transferability of the notions embedded in the term strategic planning from the source domain of business to the higher education management field.

Mission

The possibility for the development of an adequate basis for judging relevancy of unstated similarities and differences does exist, however the measurability may be difficult. As stated previously, the culling out of mission characteristics is a rather easy task. However, to assume that all higher education institutions are similar in nature, and therefore mission, would be erroneous. The same holds true for organizations in the business domain. The difficulty then arises as to how to group institutions. Classifications such as the Carnegie Classification are superficial and not viable when comparing mission statements.

Foreground relevance

While it is generally assumed that it is imperative that there be an adequate basis for judging when stated similarities and differences are relevant, it is equally important that there be a basis to determine when similarities and differences are irrelevant.

System

There is currently an inadequate basis to determine when irrelevant similarities or differences exist between the term system in any domain. Equilibrium is being questioned through the consideration of entropy taken from the source domain of biology. Entropy essentially states that as a system moves toward equilibrium, entropy increases, and therefore social order actually decreases (Reber, 1995). There has never been empirical evidence to suggest this in the source domains of sociology or business. Nor has there been empirical evidence in the field of higher education management. However, if proven, the similarity of moves away from equilibrium would signal foreground relevance, as would the differences in the nature of the academy versus the nature of business.

Strategic planning

There has been discussion in the higher education literature to determine what is irrelevant. There have been suppositions made as to the difficulties associated with the importation of strategic planning methods from business into higher education (see introduction to literature review for a discussion). However, there has been no

investigation to determine if similarities or differences in strategic planning as used in business are relevant or irrelevant to the higher education sphere.

Mission

Determining the irrelevancy of stated similarities and differences holds the same difficulties as stated above for background relevancy. Higher education is stratified in many different dimensions and these institutions exist in many different contexts.

Types of relations

Vertical relations

Vertical relations are causal relations between phenomena in the target and the source domains. When there are no causal relations, there are no vertical relations and the analogy is weak. They are equally weak when the causal relations found in the source domain are not evident in the target domain.

System

The notion of interrelatedness of parts and the nature of the rippling effect of change suggest that causal relations exist between the parts of a system. As stated previously, systems theory cannot describe or account for conflict and change in social life very well. The nature of vertical relations, as it is applied to higher education management, and even more specifically to strategic planning is fraught with supposition. The tautological weaknesses of system theory in the social sciences create vacuums of

understanding that lend themselves to weakening the foreground relevance of systems in higher education. This inherent weakness exists when notions are explained to the point of familiarity as opposed to point of relevance.

Strategic planning

The causal relation most sought after in business is that strategic planning improves performance (which is ill-defined). It has been surmised that strategic planning in higher education would achieve the same. It may be represented as:

Strategic planning::improved performance; strategic planning::improved performance

The ambitious pre-supposed causal relationship in the business domain has not held under the scrutiny of research. Wilson (1990) and Greenley (1990) reviewed published empirical evidence and found only a marginal (5% +/- 3%) relationship between strategic planning and company performance. Wittington (1993) suggests that part of the poor causal relationship exists because of the subjective nature of analysis that is the preliminary phase of strategic planning. The acronym SWOT represents the analysis typically used in strategic planning. Market House Books (1996) defines SWOT as the strengths, weaknesses, opportunities, and threats. The first two represent organizational parameters related its ability to achieve desired states, while the latter two represent environmental factors that could affect the organization.

The weak causal relationship is also implicated in higher education management by Keezar (2000) and Preston (2001). However, there has been only one study uncovered that attempts to determine the strength of the causal relationship between strategic planning and higher education performance. The study by Taylor and Karr

(1999) reviewed performance by research universities and found no correlation between university performance and strategic planning.

Clearly, the vertical relations between strategic planning and performance are highly suspect in both the target and source domains. The evidence in both domains suggests that the relationship does not exist.

Mission

Organizations can indirectly determine the effectiveness of a mission statement when based on certain outcomes. The actual measurement of the causal relationship between the mission statement and organizational performance is impossible given the necessary vagueness of the wording of most statements. Outcomes are usually pegged to goals and objectives which are lower level statements. Therefore, causal relations cannot and do not exist between mission statements and organizational performance in the business and higher education worlds.

Horizontal relations

System

The nature of the horizontal relationship in the analogy of system from any of the source domains to the target domain of higher education management (and hence strategic planning) can be characterized as type B. There have relational similarities drawn in the literature between higher education 'systems' and other 'systems' such as business. This type of relationship is weak and tenuous at best.

Strategic planning

At best, the analogy of strategic planning from business to higher education is founded on Type B relations. Even that relationship is tenuous in the literature. Beyond the literature that describes strategic planning in higher education there is little evidence to prove that similarities exist. The importation of the process and language would seem to suggest that the process and language did not previously exist in higher education. What has occurred in the fifteen to twenty years is that strategic planning has been 'force-fitted' from business into the academy, thereby beginning a transformation of the very nature of the academy.

Mission

The analogy of mission between the business domain and the higher education domain can be classified as type C relations. This is because it is possible to match the features of identity and difference of the properties of the term mission in both domains. It is also possible to consider the similarities of the features of the term mission in both domains.

Summary

System

The term system has been introduced ex post facto into the higher education system. The most dramatic push has come from the business domain as higher education costs have become an issue for survival in a free market economy. The term underpins strategic planning as a formidable tool in the management of higher education 'systems'.

Unfortunately, the conceptual tone implied by this term, has never been tested, verified, or rigorously reified by analogy.

Strategic planning

The term strategic planning has been introduced as a means achieving targets. The importation of this model from business has meant that the academy is becoming transformed to meet the notions underpinning strategic planning and the managerialism in which it is embedded. There is no evidence to prove that strategic planning works – in fact, the evidence is to the contrary in business and in higher education. This begs the question: Why does it persist as a process in the face of poor vertical and horizontal relations, inadequate background and foreground relevance, and no empirical evidence? The answer is elusive but perhaps it lies in the fact that strategic planning was introduced in the business domain through the higher education system via MBA programs (Whittington, 1993). This development serves to entrench the process in higher education as the academy becomes a slave of its own creation.

Mission

The term mission is a term that is possible to use in cultures that embrace forward looking planning. While there are difficulties in realizing the observables in the term in both the target and source domains, it is not impossible if one were able to categorize organizations into a classification system. What remains impossible to do is measure the effectiveness of developing a mission statement. Outcomes are attached to lower level goals and objectives and not to mission statements, therefore causal relations are also

impossible. The relevance and horizontal relational issues raised can be overcome through diligent investigation.

Falsifiability

It is possible to determine if an analogue is falsifiable. Hesse (1966) identifies three types of falsifiability:

- ‘G’ – if the observation statements are falsifiable;
- ‘A’ – it is weakly falsifiable if there are no relational statements indicated from the source, but the statements from the source domain do relate predictions;
- ‘B’ – it is strongly falsifiable if the source domain has testable predictions about the connection between the source and target domain terms.

The most beneficial form of falsifiability is type G because it rests on the development of evidence to prove that the analogy exists, has strong or weak correlations, and represents meaning transfer from one domain to the next. The only term that is type G is the term strategic planning. However, the evidence is scant, and negatively skewed in that it supports the notion that strategic planning does not cause increased organizational performance in business or in research universities. Strategic planning from the domain of business, based on systems theory, or its derivatives, is not an appropriate analogy. This statement is supported by the weakness in the transfer of terminology as discussed here.

This analysis is neither exhaustive nor complete. More research is needed to determine if the terms analyzed here do meet the needs of an adequate analogy. Furthermore, other terms from the business, social science, and biological domains need to be reviewed in this process to determine the applicability of an analogy being made to the realm of higher education management.

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase was to identify a frame of reference. This phase of development was achieved by reviewing frames of references relating to social constructionism. This formed the content of the literature review (chapter 2). The assumptions derived from the beliefs in the literature form the second phase and constitute what is believed to be true for the purpose of model building. The beliefs and assumptions were developed and summarized and reviewed in chapter 3.

The third phase is the development of descriptors of an organization that defines the concepts of the model and states the interrelation of the parts. The use of descriptors is often achieved by using metaphors and analogies that are commonly accepted. For instance, the use of billiard balls and how they interact with each other when played, is sometimes used in physics to demonstrate how atoms interact with each other. Chapter 4 is dedicated to the preliminary use of Hesse's methodology of analogy analysis. It was used in this chapter to describe how the terms related to strategic planning which have remained in the mainstream of usage have been used in higher education.

The fourth phase of the descriptive model development is the logical deduction phase. In this phase, predictions on future research outcomes can be made if the conceptual parts are representative of reality as described. A survey was developed as

part of the triangulated research. The results of the survey pointed to the refutation of some concepts, the affirmation of others, and the need for specific methods of investigation for yet others. This phase of the development is the principal content of the next chapter (Chapter 5).

The fifth and final phase of the descriptive model development is the reaching of conclusions and specifying outcomes based on data collected through research. These last steps in the model building process form the basis of Chapter 6.

Chapter 5

Survey analysis

Introduction

The fourth phase of the descriptive model development is the logical deduction phase. In this phase, predictions on future research outcomes can be made if the conceptual parts are representative of reality as described. A survey was developed as exploratory research in this phase. The results of the survey pointed to the refutation of some concepts, the affirmation of others, and the need for specific methods of investigation for yet others. This phase of the development is the principal content of Chapter 5.

Data collection techniques

The principal method of data collection was via survey. Each question for the survey was designed to reflect the principal root concepts and their relevance to emergent planning (see Chapter 3). Potential participants were sent an introductory letter via e-mail. The letter described the purpose and process of the project. Participants wishing to respond were invited to 'click' on the web site of the survey form. Once there, participants completed the questionnaire and 'clicked' the submit button at the end to send the results to the researcher.

The population was determined by using an 2001 internet published list of baccalaureate, general, private, not-for-profit colleges listed in this Carnegie

Classification.¹¹ Surveys were sent to all executive management in that list. This included chief academic officers, vice-presidents, and presidents. A total of 824 surveys were sent out to executives in 272 institutions.

One institution was not included because of a note on their web page that forbids the use of mass mail-outs. All others were sent e-mails. Seven e-mails were returned with as 'non-deliverable' reducing the amount of viable surveys to 816. The viability of the data was to be determined by the number of surveys returned against the total population.¹²

Data Analysis Techniques

Survey instrument

The survey instrument consisted of forty five questions (see Appendix V). Each item was scored by the respondents on a Likert Scale (i.e. – 0=disagree; 5=agree; 10=disagree). The weighting was chosen to determine maximum difference of effect statistically when descriptive and associational statistics were used.

Descriptive statistics:

The mode, median, means was calculated for each question to determine central tendencies. The range, interquartile range, and standard deviation were calculated to determine measures of dispersion.

¹¹ The list was published by the Carnegie Foundation.

¹² The survey results were based on a confidence interval of 11.77, confidence level of .095, a sample of 64, a population of 816 returns, and a worse case scenario of 50%

Associational statistics:

The decision not to use multiple regression as a means to vet out meaningful correlations was made. The rationale was supported by Streiner (1986). The relatively small size of the sample would lend to the possibility that skewed results might result. Conceptually, the purpose of the survey was to determine if the principal concepts from the model of emergent planning might be observable. Using a multiple regression could have the effect of ruling out a possible correlation by weighing the items to the point where some would be seen as insignificant.

Instead, the Pearson Correlation Coefficient was used to determine correlations between items in the survey. While this does impose restrictions on the amount of variables that can account for a phenomenon, it does nonetheless make it observable.

Inference

Given a population of eight hundred and sixteen (816), a return rate of one hundred twenty-seven (127), and a confidence level of 95%, a confidence interval of 8% is achieved for the survey. In other words, one can be 95% certain that responses are within 8% (+/-) of the mean for any response.

Population

As stated previously the entire population of the Carnegie Classification of baccalaureate, private, not-for-profit, four year college list was used for the survey. Each college was investigated to determine people who are either Presidents, Vice-Presidents,

Chief Academic Officer, Chief Financial Officer, or Provost. A total of 816 surveys were successfully delivered to executives in 272 institutions.

Ethics & IRB approval

All e-mails addresses were retrieved via public domain web pages of the institutions. Potential participants were sent ONE introductory letter. That letter defined the scope and purpose of the study as well as the process. Persons wishing to participate had to ‘click’ on the web site contained in the body of the letter.

When that was done, people were taken to the website where the survey was located. Once people had completed the survey, they had to ‘click’ on the submit button in order to send it. There was NO further correspondence.

The surveys were returned via the Husson College server service. They were sent to the researcher as being from the server and not the participant thereby assuring anonymity and confidentiality. Participants were given two weeks to complete the survey. After that time, the web site was disabled and all data files stored electronically on the server were permanently deleted.

This part of the study was reviewed and subsequently approved by the IRB of Husson College as ‘exempt’ (see Appendix VI).¹³ The use of the data for the dissertation received IRB approval from West Virginia University (see Appendix VII).

¹³ The first part of the study – the ideological analysis – did not require IRB approval because it did not involve human or animal subjects.

Findings

Descriptive statistics

Respondent positions in the institution

There were 127 respondents to the survey which represents 15.56% (n=816) of the total surveys that were sent out. Of the total number of respondents, 25.98% (n=33) were presidents of institutions. This represents 12.13% (33 of 272) of the total population of presidents.

There were 94 respondents who fell into the category of vice president. This represents 74.02% of the total respondents to the survey. No responses were received from Chief Academic Officers (CAO). However, these figures may include the Chief Academic Officer because in some cases the CAO also holds a vice president position. The survey was not sensitive to this categorization. Therefore, for the purposes of this survey, both categories were collapsed together. The representation therefore falls to 17.18% (94 of 547) of the total population of vice presidents AND chief academic officers.

Given that 74.02% of the respondents are not CEOs of the institution surveyed the results are skewed to that population. Skewness has been determined to be -1.11 for this survey.

Institutions with a strategic plan in place

Of the total respondents, 88.98% (113 of 127) reported having a strategic plan in place. The remaining 11.02% (14 of 127) neither agreed nor disagreed with the statement.

Of the total respondents, 35.43% (45 of 127) reported having a plan developed within the last five years. An additional 22.84% (29 of 127) reported having a plan developed within the last three years, while 30.71% (39 of 127) reported having a plan within the last year. The remaining 11.02% (14 of 127) did not respond to this question.

When asked if the plan was based on a previous plan 42.52% (54 of 127) responded affirmatively. Alternatively, 36.22% (46 of 127) responded that the college plan was not based on a previous plan. The remaining 21.26% (27 of 127) neither agreed or disagreed with the statement.

The purpose for asking the questions pertaining to perceptions of institutional strategic planning experience was not merely to determine how many had strategic plans in place. To achieve that purpose one would have to determine how many institutions were involved. The purpose was rather to establish some sense of entrenchment of the planning process as an experience within the respondents' own sphere. The vast majority of respondents have been embedded in an environment where planning has become entrenched.

Associational data

There were a number of items that were compared using associational statistics. The purpose of this cross-item analysis was completed to see if there was a statistical, and subsequently a conceptual, relationship between certain items in the survey. The statistic of choice was the Pearson Correlation Coefficient (r). Cohen (1988) provides a simple method for determining the significance of results of r . The following is proposed as a general measure of significance of the results of the correlation analysis:

- 1.0 (or -1.0) is perfect correlation (100% fit);
- er than 0.5 is large and significant (25%-99.99% fit);
- 0.3-0.5 is moderate (9%-24.99% fit);
- 0.1 - 0.3 is small (1%-8.99% fit);
- 0.0-0.1 is insignificant or trivial.

This categorization will be used here as a general guide to reviewing the correlations noted in the survey. To further explain the results, the following points based on (Khazanie, 1986) should be noted:

- a perfect positive correlation suggests that as one variable increases (X) the second (Y) also increases;
- a perfect negative correlation suggest that as one variable increases (X) the second (Y) decreases (or vice versa);
- a perfect correlation should be suspect;
- a value near 0.0 does not necessarily mean insignificant relationship. There may be a relationship other than linear (such as curvilinear);
- values suggest a linear relationship.

Perfect correlations

There were five perfect correlation scores noted in the analysis of the survey (see Table 1). Four were perfect positive correlations and one was a perfect negative correlation. A perfect correlation should always be suspect on the assumption that nothing is certain in social and/or psychological life. The first perfect positive correlation was between responses to the statement “the plan incorporates my personal goals for the

institution” (question #13) and the statement “I feel comfortable in taking risks when major decisions are made” (question #29). In order to justify the correlation, the conceptual correlation must be made between a plan that incorporates personal goals and the comfort level in taking risks when making major decisions.

<i>Table 1 - Perfect Correlations</i>	
X (item survey # in brackets)	Y
Personal goals [13]	Risk taking comfort [29]
Role salience [17]	Risk taking comfort [29]
Personal goals [13]	Role salience [17]
Ability to solve problems easily [43]	Delimit complex problems easily [44]
College has strategic plan in place [2]	College and personal plan in place [3]

The conceptual framework behind question #13 is founded on the notion of personal investment in the plan because of one’s own aspirations, thoughts, beliefs, and values that should be embedded in the plan. It is underpinned by the following principal concepts located in Chapter 3:

- Simsek and Heydinger’s (1993) notion of the *tacit paradigm* in planning (see principal concept #4);
- St. John and Elliott’s (1994) notion that an institutionalized world is experienced as objective reality in that embedding a personal goal into an institutional goal

objectifies and externalizes it, thereby characterizing it as a form of objective reality (see principal concept #28);

- St. John and Elliott's (1994) notion that all transmission of institutional meanings implies control and legitimation procedures. Planning is a control and legitimation process by which personal meanings become institutional meanings (see principal concept #28);
- St. John and Elliott's (1994) notion that subjectivity is apprehended by means of typificatory schemes. Planning is a means of defining roles and thereby defining institutional behavior which through a process of cognitive dissonance shapes attitudes, values, and beliefs (see principal concept #42);
- St. John and Elliott's (1994) notion that situational determination is viewed differently by people in various roles in the planning process. The ability to embed personal goals in the plan is proportional to the ability to control the development, revision, implementation, and evaluation of the plan (see principal concept #50).

The conceptual framework behind question #29 is founded on the notion of comfort one perceives when taking risks in making major decisions. It is underpinned by the following principal concepts located in Chapter 3:

- St. John and Elliott's (1994) notions of historical moments being based on: policy in focus; outcomes critical to analysis; interests of those requesting research and truth. This represents the linkage between the explicit (the former two items) and the implicit (the latter two items) aspects of a historical moment. The stronger

the linkage, the or the probability that one will perceive decisions as true and policy bound, and therefore less risky (see principal concept #13);

- Simsek and Heydinger's (1995) notion that an organizational paradigm has two dimensions: one tacit and one explicit. The level of comfort one has in taking risks when making major decisions is in part determined by one's knowledge of the organizational paradigm in operation (see principal concept #25).

In order to validate the perfect correlation achieved in the statistical analysis one would have to assume that:

- The more one perceives that his/her personal goals are embedded in the institutional plan the more one is likely to view the organizational paradigm as consistent with personal beliefs, values, and behavior. In other words, the tacit is perceived as objectified institutional reality. An increased level of risk-taking comfort is therefore associated with an increased perception that the tacit paradigm is objectified institutional reality;
- Conversely, the less one perceives that his/her personal goals are embedded in the institutional plan, the less likely they are to view the organizational paradigm as being consistent with his/her personal beliefs, values, and behavior. A decreased level of risk-taking comfort occurs when the tacit paradigm is *not* consistent with perceived organizational reality.

In conclusion it is possible that the perfect correlation between these two items represents a perfect relationship between risk-taking comfort and the proximity between personal goals and institutional goals. On the conceptual level, this seems to hold. On the other hand, it may be a spurious finding in that respondents' answers should not

always bear witness to the link between risk-taking comfort and perceptions of what exists between the tacit and explicit plans.

Another perfect correlation occurred between a statement that asked respondents to rate if they understood the plan's goals and used the plan to guide their role within the institution (item #17) and item #29 described above. Item #17 is premised on the following notions:

- Nedwek and Neal's (1994) notion that planning is re-conceptualized on the planning process. When viewed as a process it guides institutional life as it offers milestones to be reached through the setting of goals and objectives and behavioral indices through action plans (see principal concept #5);
- St. John and Elliott's (1994) notion that all actions repeated more than once tend to become habituated. Plans serve to habituate language and therefore by default meanings. Meanings guide behavior, especially those meanings embedded in roles (see principal concept #27);
- St. John and Elliott's (1994) notion that there are three moments in the dialectic process of institutionalization. There are three moments of social reality (see principal concept #29):
 - Externalization – for example, as laid out in a plan that identifies action plans and outcomes that guide behavior by bringing to the realm of external action that is governed by a role;
 - Internalization –occurs when a plan's action plans are seen as necessary to fulfill a role that has been prescribed. These role specifications are

internalized and eventually adopted by people in an effort to minimize dissonance between institutional expectations and internal motivations;

- Objectivation – occurs when the behavioral sets prescribed by the plan become habituated and become roles that are fulfilled by incumbents of various positions in the organization.
- St. John and Elliott's (1994) notion that as conduct is 'taken-for-granted' it becomes more predictable and controllable. When a plan is objectified and governs behavior, roles become entrenched, and the more entrenched the role, the greater the likelihood that conduct is predictable and controllable (see principal concept #31);
- St. John and Elliott's (1994) notion that there are zones of familiarity and remoteness that are affected by the typification of social interaction. In other words, institutionalizing social interaction helps to create zones of familiarity and therefore entrench roles within the organization. If social interaction is not typified then it is unlikely that roles will be entrenched. Role salience is dependent on the typified social interaction between people within an organization (see principal concept #38);
- Heidegger's notion that the world of everyday life is 'taken-for-granted' as reality in the subjective meaningful conduct of people's lives. The reification of a plan is a method to create 'taken-for-granted' behavior in people, thereby promoting the internalization of roles (see principal concept #43);
- Manheim's notion that situational determination is critical in the ideologizing process. Planning occurs within a context. The context is grounded in social

interaction between people who have various roles that are at different points of becoming internalized (see principal concept #50).

There appears to be considerable conceptual correlation between a person using a plan to guide his/her role and the degree of risk taking comfort that they experience when making decisions. The more that a person role is objectified, internalized, and externalized by a plan, the more likely it is that risk comfort will increase because the decisions are likely to be based on a prescribed set of behaviors.

A third perfect correlation occurred between item #17 (described above) and item #13. As described above, item #17 asks respondents if they understand the plan's goals and use it to guide their role in the institution. Item #13 asks respondents if the plan incorporates their personal goals for the institution. This item has also been discussed previously. The conceptual correlation between these two items stems from the linkage between people developing typificatory schemes as personal goals become institutional goals. Furthermore, the development of tacit paradigms is mediated by situational determinants. As tacit paradigms develop and transform into personal and eventually to institutional goals actions become habituated. As habituation becomes entrenched the taken-for-granted everyday life in the institution becomes reality. Habituation is more than routinized behavior. It is routinized behavior that is entrenched because of the internalization of socially meanings. These meanings are socially constructed through the use of language that is sanctioned at the workplace. The use of strategic planning language, for example, can serve to underpin behavior by requiring people to understand the concepts behind the terms or analogies used. This in turn socializes individuals to value certain courses of action over others. Of course, the converse is also possible.

People who are unable to transform personal goals into institutional goals are less likely to develop typificatory schemes that entrench their roles. Habituation is less likely to develop and the taken-for-granted does not become objective reality. Objective reality is predicated on the internalization of socially constructed meanings.

The last positive perfect correlation is between item #43 which asks respondents' level of agreement with being able to solve complex problems easily and item #44 which asks respondents if they can delimit complex problems easily. Both are based on the notion that paradigms are maps that guide human interaction with external reality. The tacit paradigms in planning are cognitive maps that guide action. Item #44 can be seen as a subset of #43, and therefore a perfect correlation is expected. It seems evident that in order for one to solve complex problems one must be able to delimit the problem as well. Conversely, an inability to solve complex problems will by definition also mean an inability to delimit the problem. Also, difficulty delimiting the problem will also lead to difficulty solving the problem.

There was one perfect negative correlation in the survey. The correlation between item #2 that asked respondents if a strategic plan was in place and item #3 that asked for respondents' level of agreement with the statement that the college plan and personal plan for the college are identical. The perfect negative correlation in is likely a spurious finding in that 113 (88%) respondents reported having a plan in item #2. The nature of the wording in item #3 likely led many respondents to rate as 'neither agree or disagree' because it states that the personal and college plan are *identical*. This would lead to a negative correlation. However, this finding has little meaning that shed light on the root principal concepts proposed in this study.

The fact or fallacy of perfect correlations

The ability of perfect correlation (either positive or negative) seems highly unlikely in measures of social interaction or psychological states (Khazani, 1986). Statistically, there is likely error that has occurred given the low level of response to the survey (15.56%) and the weighting assigned to the possible responses (weights of 5, 10, and 15 were assigned to each response possibility). The resulting confidence interval of +/- 8 percentage points is too large to discount the large weighting distance of five points between response item scores. Although it seems on the surface that there is a strong conceptual correlation between the survey items mentioned above, the statistical correlation results are suspect given the response rate, the confidence interval that resulted from the response rate, and the weighting of the items associated with these questions. As an exploratory study, this survey has revealed interesting findings that bear further investigation. Further study is required to reveal the true nature of the relationships noted above.

Positive correlations

As stated previously there were a number of positive correlations noted in the analysis of data. The positive correlations are grouped according to the threshold value ranges developed by Cohen (1988) as mentioned at the beginning of this chapter. The correlations will be discussed by threshold value group. Table 2 contains a summary of values for the positive correlations found.

Significant correlations

The first significant correlation to be discussed is between item #31 and item #29. item #31 asks the respondents to rate their agreement with the statement: “I am goal oriented.” It is premised on the following notion:

- Heidegger’s notion that to understand is to grasp the meaning of something.

In order for people to be goal oriented they must grasp the meaning of what it means to be goal oriented. To achieve this, a person must be directed with behavior that is outlined in the plan and this directedness must be both objectified and internalized. It becomes objectified through the legitimation of action in a plan and it becomes internalized through the development of a role through habituation.

The conceptual framework behind question #29 is founded on the notion of comfort that one perceives in taking risks when making major decisions. It is underpinned by the following principal concepts located in Chapter 3:

- St. John and Elliott’s (1994) notions of historical moments being based on: policy in focus; outcomes critical to analysis; interests of those requesting research and truth. This represents the linkage between the explicit (the former two items) and the implicit (the latter two items) aspects of a historical moment. The stronger the linkage, the greater the probability that one will perceive decisions as true and policy bound, and therefore less risky (see principal concept #13);
- Simsek and Heydinger’s (1995) notion that an organizational paradigm has two dimensions: one tacit and one explicit. The level of comfort one has in taking risks when making major decisions is in part determined by one’s knowledge of the organizational paradigm in operation (see principal concept #25).

Moderate correlations

There was a moderate correlation (.4972) between item #35 which asked respondents if they consulted others in making day to day decisions and item #15 which asked respondents if the plan incorporated goals for all faculty. Item #35 is premised on the following conceptual notions:

Table 2 - Positive Correlations	
X (item survey # in brackets)	Y
Significant Correlations	
Goal oriented [31]	Risk taking comfort [29]
Personal goals [13]	Goal oriented [31]
Clear thinking [39]	Complex problem solving [43]
Clear thinking [39]	Delimit complex problem easily [44]
Consultation on a day to day basis [35]	Delimit complex problem solving easily [44]
Planning shared with faculty [35]	Consult others in decision planning [36]
Moderate Correlations	
Planning shared with faculty [35]	Plan incorporates goals for faculty [15]
Ability to solve complex problems easily [43]	Ability to predict consequences [45]
Being a visionary [41]	Delimit complex problems easily [44]
Small Correlations	
Risk taking comfort [29]	Hesitation in making decisions [30]
Risk taking comfort [29]	Preferring to follow team lead [32]
Spur of moment decisions [26]	Ease of adaptation to changing conditions [2]
Consult others in day to day decisions [35]	Weigh all options in day to day decisions [3]
Sameness of personal and college plan [3]	Ability to modify plan [24]
Sameness of personal and college plan [3]	Role salience [17]
Senior management goals in plan [14]	Faculty goals in plan [15]
Sameness of personal and college plan [3]	Incorporating goals for institution [13]
Plan based on best available evidence [5]	Adaptation to changing conditions [?]

- Habermas' (1987) notion that communicative action is oriented toward understanding. Consulting others means that communication involves giving and receiving information and that the information provided and received is understood. Understanding is founded on grasping the meaning of what is said. This is more likely to occur when the communicative action is habituated and embedded in a role within the institution. It is also more likely to occur when the zone of familiarity is at its most proximal point. The zone of familiarity is most likely at its most proximal point when the role, and hence the communicative action is habituated as laid down in a plan (see principal concept #19).

Item #15 is premised on the following:

- Nedwek and Neal's (1994) notion that planning is re-conceptualized to focus on the process. This reaffirms the notion that planning includes a focus on the communicative process (see principal concept #5);
- St. John and Elliott's notion that an institutionalized world is experienced as objective reality and therefore planning can become objective reality.

When planning as a process embeds habituated communicative action, that communicative action becomes objective reality. If the communicative action becomes habituated then it can be assumed that the language, and hence the meanings associated also become habituated. The success of planning as a process is dependent on the common ground achieved through the use of common language which embeds the

meanings associated with the terminology used. The statistical correlation between these two items leans towards supporting the conceptual correlation discussed here.

There was also a moderate correlation (.4377) noted between item #43 which asked respondents if they could solve complex problems easily, and item #45 which asked respondents if they were able to predict the consequences of complex problems easily. Both of these items are premised on the following:

- Simsek and Heydinger's (1993) notion that paradigms are maps that guide human interactions with external reality (see principal concept #23). The ability to solve complex problems and predict their consequences is dependent on a person's ability to view the world in a manner consistent with the demands placed on that person by the environment. Planning as a process, helps to define this manner;
- Simsek and Heydinger's (1993) notion that a paradigm has three characteristics: a way of looking at the world, a way of doing things, and a social matrix or network of people to adapt and practice the paradigm (see principal concept #24). The ability to solve complex problems and predict their consequences depends on world view, communicative action patterns, and role salience. Planning as a process objectifies all three.

The ability to solve complex problems and the ability to predict the consequences is closely correlated in an environment where communicative action is ritualized through a planning process. One of the key elements determining the efficacy of planning is the ability of the planning process to engage people in a common social construction of what is true. This includes attempts at a common social construction of what data reveals,

what the future is likely to be, and what path is best to choose to achieve mutually constructed goals and objectives. The statistical correlation found here would suggest that it is possible that the two are correlated.

The last moderate positive correlation reviewed is the correlation (.3543) between item #41 where respondents were asked if they saw themselves as a visionary, and item #44 where respondents were asked if they could delimit complex problems easily. Item #44 is premised on the notions described in the previous discussion of item # 45 above, as well as the following notion:

- Sanders (1998) notion that scientific paradigms define the nature of productive theory and research (see principal concept #26). Organizational paradigms must be characterized by elements similar to those of a scientific paradigm. It must define and not only be guided by productive theory that yields organized knowledge and research that defines breadth and depth. The ability to delimit complex problems easily is based on more than organized knowledge that is defined by a planning paradigm. It is also based on more than what research can uncover. The 'more' can best be described as the knowledge that is uncovered in the tacit paradigm associated with communicative and habituated action.

Item #41 is premised on the following notions:

- St. John and Elliott's (1994) notion that construction, deconstruction, and reconstruction of strategies and actions occurs in a cyclic and often chaotic fashion (see principal concept #11). This suggests that much of planning occurs at random and implicit to a formal process;

- Habermas' (1987) notion that planning is action oriented and continually transformational (see principal concept #12). This suggests that the desired ends of planning are not products, but the legitimation of a process that captures evolutionary change;
- Simsek and Heydinger's (1993) notion that a paradigm has three characteristics: a way of looking at the world; a way of doing things; and a social matrix or network of people to adapt and practice the paradigm (see principal concept #24). Formalized planning is a paradigm that serves to define these three characteristics as forms of organizational life;
- St. John and Elliott's (1994) notion that common sense knowledge is only effective in taken-for-granted routines (see principal concept #40). The importance of a plan is to move beyond the common sense world and to bring new meanings through the use of language and process that becomes objectified through social interaction.

Conceptually, the relationship between being a visionary and being able to delimit complex problems is strong. Both require a world view beyond the objectified reality that is identified in a formal investigative process. Both require an understanding that communicative action is required to share meanings. And finally, both require an acknowledgement that habituated forms of action are essential to the success of operationalizing a vision or delimiting a complex problem. The correlation of these items seems to support these notions

Small correlations

There were a number of small positive correlations noted between survey items. Although not of significant value to warrant discussion they have been noted in Table 2. They do not bear further study beyond this exploratory research. However, they are not of immediate concern in future research that will inform the development of the model further.

Significant negative correlations

Negative correlations imply an inverse relationship between variables. That is, as one variable increases, the other decreases. There were twelve negative correlations from the survey. Two significant correlations were noted in the analysis of results. The first negative correlation (-.5468) was noted between item #31 which asked if respondents were goal oriented and item #41 which asked if items saw themselves as a visionary.

Item #31 is premised on the following notion:

- Heidegger's notion to understand is to grasp the meaning of something. In order for people to be goal oriented they must grasp the meaning of what it means to be goal oriented. To achieve this, a person must be directed with behavior that is outlined in the plan and this directedness must be both objectified and internalized. It becomes objectified through the legitimation of action in a plan and it becomes internalized through the development of a role through habituation (see principal concept #15).

Item #41 is premised on the following notions:

- St. John and Elliott's (1994) notion that construction, deconstruction, and reconstruction of strategies and actions occurs in a cyclic and often chaotic

fashion (see principal concept #11). This suggests that much of planning occurs at random and implicit to a formal process;

- Habermas' (1987) notion that planning is action oriented and continually transformational (see principal concept #12). This suggests that the desired ends of planning are not products, but the legitimation of a process that captures evolutionary change;
- Simsek and Heydinger's (1993) notion that a paradigm has three characteristics: a way of looking at the world; a way of doing things; and a social matrix or network of people to adapt and practice the paradigm (see principal concept #24). Formalized planning is a paradigm that serves to define these three characteristics as forms of organizational life;
- St. John and Elliott's (1994) notion that common sense knowledge is only effective in taken-for-granted routines (see principal concept #40). The importance of a plan is to move beyond the common sense world and to bring

X (item survey # in brackets)	Y	Value
goal orientation [31]	Visionary [41]	-.5468
Risk taking comfort [29]	Management conservatism [33]	-.5593
Small Correlations		
Position in institution [1]	Sameness of college and personal plan [3]	-.2086
Plan based on best available evidence [5]	Planning involves shared leadership [11]	-.2152
Making spur of moment decisions [26]	Ease of adaptation to changing conditions [27]	-.1991
Making spur of moment decisions [26]	Risk taking comfort [29]	-.1991
Making spur of moment decisions [26]	Control over area of responsibility [25]	-.1991
Ability to influence modifications to plan [24]	Control over area of responsibility [25]	-.1441
Ability to influence modifications to plan [24]	Plan incorporates personal goals [13]	-.1441
Ability to influence modifications to plan [24]	Ease of adaptation to changing conditions [27]	-.1163
Control over area of responsibility [25]	Ease of adaptation [27]	-.1163

- new meanings through the use of language and process that becomes objectified through social interaction.

It would appear from the significant statistical analysis that respondents perceive being goal oriented and being a visionary as requiring different sets of views of reality. The former is dependent on grasping existing meanings that pertain to organizational life and planning as a process embedded in it. Being a visionary is broader and requires an intact tacit paradigm and the ability to generate new meanings in the planning process. Being a visionary requires the ability to grasp the process of continual transformation in light of the institution's ability to adapt to a changing world. Conceptually, being a visionary and being goal oriented are different. Being a visionary mean is not negatively correlated to being goal oriented. However, this

correlation does perhaps point to the notion that to be effective at both requires different stances in the social world. One can be a visionary and be goal oriented if he/she possesses an intact tacit paradigm and the characteristics associated with the notion mentioned under item #41 as well as be able to grasp the existing meanings of the planning process and commit to action based on this.

A second significant negative correlation was found between item #29 which asks respondents about their risk taking comfort and item #33 which asked if respondents saw themselves as conservative in their management style. Item #29 is premised on the following notions:

- St. John and Elliott's (1994) notions of historical moments being based on: policy in focus; outcomes critical to analysis; interests of those requesting research and truth. This represents the linkage between the explicit (the former two items) and the implicit (the latter two items) aspects of a historical moment. The stronger the linkage, the greater the probability that one will perceive decisions as true and policy bound, and therefore less risky (see principal concept #13);
- Simsek and Heydinger's (1995) notion that an organizational paradigm has two dimensions: one tacit and one explicit. The level of comfort one has in taking risks when making major decisions is in part determined by one's knowledge of the organizational paradigm in operation (see principal concept #25).

Item #33 is premised on the following notions:

- Heidegger's notion that the meaning of an event is not limited to its significance. In the context of planning this can be interpreted to mean that the planning

process should explicate the context of events to derive meaning and not relegate some events to ambiguity (see principal concept #18);

- Manheim's notion that ideology can create a false consciousness in people. In the context of planning this can be taken to mean that if a plan is replete with ideology it creates a false consciousness in people needing to internalize the plan.

The conceptual correlation between the two would suggest that a person who is able to understand the tacit and explicit paradigms of the planning process, and is able to take action upon them, requires knowledge of a constructed objectified reality.

This is in sharp contrast to the person who may see themselves as 'conservative' in management style. The word conservative is often characterized as someone who takes few risks and makes decisions in times of uncertainty that are less likely to disrupt the status quo. This is someone who explicates meanings from their context and who is likely to follow a paradigm built on ideology rather than practical wisdom.

There were no moderate negative correlations found in the analysis of the survey. However, there were a number of small negative correlations that would warrant further study in the development of the model, secondary to those found here.

Summary

There were a number of significant correlations that surfaced in the analysis of this survey. Although the findings can only be considered preliminary, the findings point to the existence of social construction in the context of planning. There is enough evidence to warrant further investigation of the twenty-five concepts discussed in this chapter. Some concepts pertained to the way that the internalized and externalized worlds are mediated by a planning process. This included the concepts that related communicative action to meaning and understanding. These concepts are premised on the notion that there is a social construction of meaning that is embedded in a process of relating to others within an organizational context. Planning as a process serves to routinize the language that people use to develop, implement, and evaluate a plan. This routinization also includes the transformation of meaning that the language represents. Once these meanings are internalized, the data seems to suggest that the gap between an objective external reality and a subjective internal reality is minimized. Routinization that is grounded in communicative action is called habituation. Habituation is the entrenchment of meaning that in this case is achieved through the routinization of language.

The findings also point to the dynamic nature of planning in an ever-changing context. While behaviors may change in accordance with goals and objectives, the overarching explicit paradigm must be incorporated as an implicit paradigm by all actors in the planning process. This is achieved by maintaining habituated forms of communicative action. The greater the linkage between the explicit and implicit paradigms, the greater the probability that one perceives phenomena as truth. The

findings also suggest that reliance on ideology to gain consensus and compliance on a plan would create a sense of false consciousness. Ideology rarely provides opportunity for shared meaning that is linked to routinized behavior. Instead, it creates a false consciousness that requires the imposition of behavioral constraints because of the chiasm between the explicit ideology and the implicit paradigms in operation. Further exploration is required to determine the viability of those where a small or insignificant correlation resulted.

While the results of the survey point to interesting findings that support or refute the concepts of the model of emergent planning, care must be taken not to make premature conclusions. This survey was exploratory research that was designed to highlight areas and methods of further investigation. The fifth and final phase of the descriptive model development is the reaching of conclusions and specifying outcomes based on data collected through research. These last steps in the model building process form the basis of the next chapter (chapter 6).

Chapter 6

Conclusions and implications

Introduction

The approach used in this investigation of strategic planning is formulated on the methodology of triangulation. Triangulation has been defined by Yin (1984) as a technique by which the phenomenon can be investigated. It is premised on the notion that phenomena are rarely one dimensional. Triangulation is useful in this investigation because the process is pivotal to the later development of theory (Corbin and Strauss, 1990; Whetten, 1989; Glasser and Strauss, 1967). The development of theoretical propositions in the emergent planning model is predicated on the development of synergy between the language of planning, the discourse of planning, and the data (qualitative and/or quantitative) generated from research (Strauss and Corbin, 1990). This research sought to develop a method of achieving this by developing concepts that might be reified in a survey. Together with a method of analogy analysis it was hoped that the concepts, and the language embedded within it, might be realized. The combination of research on the discourse of planning in the literature and exploratory survey research on the basic questions of planning in higher education will provide fertile ground for the development of the model of emergent planning.

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase is to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social constructionism. This forms the content of the literature review (chapter 2). The

assumptions derived from the beliefs in the literature form the second phase and constitute what is believed to be true for the purpose of model building. The beliefs and assumptions developed thus far are summarized and reviewed in chapter 3.

The third phase is the development of descriptors of an organization that defines the concepts of the model and states the interrelation of the parts. The use of descriptors is often achieved by using metaphors and analogies that are commonly accepted. For instance, the use of billiard balls and how they interact with each other when played, is sometimes used in physics to demonstrate how atoms interact with each other. Chapter 4 is dedicated to the preliminary use of Hesse's methodology of analogy analysis. It is used in this chapter to describe how the terms have been borrowed from other knowledge domains and taken to apply in the domain of strategic planning in higher education. Determining the viability of this method will be determined by the utility of the information gleaned from this process.

The fourth phase of the descriptive model development is the logical deduction phase. In this phase, predictions on future research outcomes can be made if the conceptual parts are representative of reality as described. A survey was developed as part of the triangulated research. The results of the survey pointed to the refutation of some concepts, the affirmation of others, and the need for specific methods of investigation for yet others. This phase of the development is the principal content of Chapter 5.

The fifth and final phase of the descriptive model development is the reaching of conclusions and specifying outcomes based on data collected through research. These last steps in the model building process form the basis of Chapter 6.

As such the purposes of this phase of the study were to:

- ◆ *describe the emergent planning process;*
- ◆ *identify the terms that have emerged from the physical, business, and social sciences;*
- ◆ *determine if there is a relationship between the tenets proposed for the model of emergent planning and their reification in the way planning is experienced by executives in selected higher education institutions;*
- ◆ *And to identify areas of further research.*

The development of theoretical propositions in the emergent planning model was predicated on the development of synergy between the language of planning, the discourse of planning, and the data (qualitative and/or quantitative) generated from research (Strauss and Corbin, 1990). The body of research on the discourse of planning in the literature, together with exploratory research on the basic questions of planning in higher education, provided fertile ground for which to plant the seeds of the model of emergent planning in research subsequent to the research completed here.

The quantitative research was a descriptive study that utilized discourse analysis and a survey to collect information (Yin, 1984). As such it was characterized by a need to study a bounded system to determine the presence of the beliefs and assumptions embedded in personal change proposals. This is exploratory research. Exploratory research has been defined and equated with risky research as follows by the National Science Foundation:

“A project will be considered "risky" if the data may not be obtainable in spite of all reasonable preparation on the researcher's part. For example, a physical anthropologist

may propose a theoretically significant field project to study demographic changes in a small population in Greece. The project may hinge on the exact content and accessibility of church records on a small island. The panel may downgrade a more expensive request for a full study on the grounds that the data may not be up to the task. Additional library study by the researcher can not answer this question -- a brief trip to the field site is necessary to verify that the theoretically significant data on demographic change are in fact obtainable.”

(The Division of Behavioral and Cognitive Sciences, National Science Foundation, <http://www.nsf.gov/sbe/bcs/physical/highrisk.htm>, Last Updated 05.29.01)

The use of discourse analysis and survey research together to form an exploratory study is research. Research has been defined as:

“Any honest attempt to study a problem systematically or to add to [our] knowledge of a problem may be regarded as research.” (Reber, S., 1995)

An exploratory study has been further defined as: “Any preliminary study designed to provide some feeling for or general understanding of the phenomena to be studied. A good exploratory study will yield cues as to how to proceed with the major investigation. Also called a pilot study.” (Reber, S., 1995). For the survey, the entire population of the Carnegie Classification private, not-for-profit, four year colleges was used (see Appendix II).

Key conceptual claims

Major tenets of emergent planning

The principal tenets of social constructionism are embedded in the major tenets of the model of emergent planning. The prime tenet in emergent planning is that there are multiple, often tacit, paradigms at work within an organization and between organizations. The notion of multiple paradigms suggests that action oriented planning must address the ideational structures that those in the planning process utilize to construct their notion of organizational reality (St. John and Elliott, 1994). It is from that point that evaluative criteria are generated to frame the reality as it has existed in the mind of the paradigm holder (Guba, 1990). In building a framework for planning in higher education it is of prime importance to develop an understanding of the interpretive process of those engaged in planning higher education and to move beyond the grounds of conventional, bounded rationality (Collins, 1982).¹⁴ Often masked by positivist orientations to linear thinking, those charged with the overall management of the institution (i.e. – Chief Executive Officers) must move beyond the data, to develop an understanding of the overt paradigms through which institutional interpretations are made within a culture. Furthermore, these CEOs must develop an understanding of the tacit paradigms that exist in partnering planners in order to ensure a planning process that is inclusive of those charged with the later realization of the plan's actions.

A second tenet in emergent planning is that individuals construct paradigms and their meanings are socially mediated (Simsek and Heydinger, 1993; Phillips, 1995).

¹⁴ Bounded rationality refers to the limits of our ability to be rational because of the limits of what we can possibly know.

¹⁵ The term 'planners' is used in this paper to denote all persons actively engaged in the planning process.

Emergent planning builds on the Kuhnian notion of paradigms as “maps” to guide human interaction, by suggesting that paradigms are internal codifications of a construct of reality that has been embedded in a social context (Kuhn, 1970). Simsek and Heydinger (1993) suggest that paradigms are tacit and that they provide guideposts for behavior paths and serve to aid in the interpretation of behavior based on paradigm markers. In the context of higher education, it would seem that establishing ‘mediated paradigms’ would be of prime importance prior to the engagement of institutional partnerships, between members of an administrative team, or between faculty and administration. Deciding on whether to engage in a traditional, non-intrusive, exchange relationship, or to engage in a fused relationship of identities should be considered within the context of conventional linear wisdom based on a mediated understanding of positivistic data embedded in culturally bound meanings. Emergent planning is continual transformation of concepts (i.e. meaning units) through a communicative process.

A third tenet of emergent planning involves construction, deconstruction, and reconstruction of strategies and actions in a cyclical and often tangled fashion (St. John and Elliott, 1994). Higher education is captive to the forces engendered by political, social, and economic policy as well as the tacit paradigms of those who operate within the boundaries of the institution itself (Parker, 1993; Dorner, 1996). St. John & Elliott (1994) suggest that reflective choice making may have four essential ingredients. Although applied to policy research, the model has application to planning. The elements in reflective choice making are:

¹⁶The term ‘understanding’ reflects the comprehension of meaning. The term ‘interpretation’ pertains to comprehension of significance in a particular situation.

- the application of theory ;
- the modification of a benchmark process to be applied in the development of a social artifact (such as a partnership);
- communication in which the process is further refined by a process of aim and strategy selection;
- lastly, the transformational stage where the process is applied, reframed, and re-conceptualized in light of ‘best practices’ that exist and are desired in the expression of the inter-institutional arrangement.

Within the context of the higher education enterprise, this tenet of emergent planning stresses the need for a mutually expressed conceptual understanding of the process of planning. It also suggests that the political, social, cultural, and economic pre-conditions, conditions, and desired outcomes of a plan be framed in light of an emergent application of theory to the arrangement.

The fourth and last tenet is that emergent planning is action oriented and continually transformational (Habermas, 1987). While some planning models precede action in order to maintain a prescriptive stance, emergent planning is a process of continual transformation. *Prescriptive* planning engenders the pursuit of goals without necessarily developing an understanding and communication of the consequences of actions. *Emergent* planning seeks to continually modify organizational behavior by seeking to mediate the social meaning of organizational action between those involved in the planning process. The utilization of traditional planning models presumes a dominant linear, empirical, prescriptive predisposition. This predisposition is not universal, nor is it feasible in all occasions. Emergent planning embraces the analysis of empirical data in

conventional planning and the constructivist orientation of understanding and communication art of research that looks at planning as a process of construction, deconstruction, and reconstruction. Planning is a formalized process and is often used by executive management to make sense of the world. It is premised on the *creation* of knowledge, rather than the discovery of existing knowledge or the affirmation of previously held tenets.

Concepts of emergent planning

Fifty concepts have been developed for the model of emergent planning. These have emanated from the principal tenets described above. Each concept has been derived from the literature. They have been described briefly in Table 1 in chapter 3. The source of the concept has been identified as well as the discipline of origin. The conceptual relationship to the model of emergent planning has also been identified. The last column in the table outlines the survey question number that was related to the concept.

Key analysis

The research in this dissertation was oriented to the development of a model called emergent planning. The research and development method chosen for this dissertation was that proposed by Reed and Sanderson (1999).

There are five phases in building a descriptive model according to Reed and Sanderson (1999). The first phase is to identify a frame of reference. The frame of reference represents the beliefs from which statements of assumption can be drawn. This phase of development was achieved by reviewing frames of references relating to social

constructionism. This formed the content of the literature review (chapter 2). The assumptions derived from the beliefs in the literature formed the second phase and constituted what was believed to be true for the purpose of model building. The beliefs and assumptions developed were summarized and reviewed in chapter 3.

The third phase was the development of descriptors of an organization that defined the concepts of the model and states the interrelation of the parts. The use of descriptors is often achieved by using metaphors and analogies that are commonly accepted. Chapter 4 was dedicated to the use of Hesse's methodology of analogy analysis. The terms chosen for analysis were those that have withstood the test of time and have remained in use since the development of strategic planning post World War II.

The fourth phase of the descriptive model development was the logical deduction phase. In this phase, predictions on future research outcomes were to be made if the conceptual parts were representative of reality as described. A survey was developed as part of the triangulated research. The survey was sent to the population of senior management in baccalaureate, general, private, not for profit colleges as identified by the Carnegie Classification 2000. The results of the survey pointed to the refutation of some concepts, the affirmation of others, and the need for specific methods of investigation for yet others. This phase of the development formed the principal content of Chapter 5.

Key findings

Key findings of analogy analysis

This research involved a seven step process used to provide an explanatory analysis of terms found in the literature and deemed by the author to be critical to the language of strategic planning. The terms system, strategic planning, and mission were the primary terms used in this analysis. Secondary terms reviewed were goals: and objectives, action plan, closed system, open system, entropy, equilibrium, strategic analysis, and synergy. The following general conclusions were drawn from the process of analysis used:

- the descriptors taken from the source domains generally were sufficient to draw conclusions about the concepts;
 - the ability to predict the existence of similarities or differences in the target domain of higher education about specific characteristics in the source domain is hampered because of the level of abstraction of the concepts reviewed here. At lower levels of abstraction (eg – for the term “goal”) it is more possible;
 - the background and foreground relevance is weak in all instances and there is an inadequate basis to judge the relevancy or irrelevancy of properties of the analogy;
 - the lower the level of abstraction of concepts in strategic planning the more is the opportunity to demonstrate vertical relations between the analogy used in the source and target domains;
 - the level of horizontal relations is weak and of type A or B. This means that it is difficult to judge the suitability of any of the analogies.
-

Strategic planning was adopted into higher education based on premises developed in the source domains of business, social science, and/or biology. There has been no systematic review on the use of analogies from these domains to introduce strategic planning into higher education. This may have the following effects: strategic planning in higher education is rendered ineffective because the underlying premises on its use and application are inappropriate to the domain of higher education. Strategic planning in higher education becomes a form of domination. The meanings associated with strategic planning (e.g. corporate performance) transform the institution by importing language and meanings associated with the source domain. This inevitably leads to transformation of the academy and eventually leads to the transformation of meaning perspectives of those involved with the institution.

Limitations of the analogy analysis

This phase of the study had limitations that were a result of the exploratory nature of the research undertaken here. The limitations of this phase of the study were:

-
- The analysis of terms was neither exhaustive nor conclusive. As such, no definitive conclusions can be made about the entire body of analogies imported from various source domains that describe strategic planning in higher education;
-
- Basing the selection on terms on a simple count in one database is a definite limitation. There is no way of telling how the term was used in specific literature selections. This may skew the results of the count;

- The work on the existence of horizontal and vertical relations lacked sufficient rigor because of the lack of available evidence. The ability to predict a relationship between analogies is tenuous without evidence.

Weaknesses

By itself, this form of analysis also has inherent weaknesses:

- It rests on the development of postulates regarding social life. It is therefore susceptible to the ideology of the investigator;
- It is hypothetical until proven – the higher the level of abstraction the more difficult it is to prove the utility of an analogy;
- Proving a higher level abstraction by developing evidence for a lower level abstraction which stems from it is an error of reductionism. Reducing analogies to the level of familiarity only proves the lower level analogy.

Strengths

There were particular strengths regarding this form of investigation. Strategic planning in higher education (as is the case of strategic planning in any other domain) has never undergone this form of investigation. As exploratory research, this study met its objective, by demonstrating the utility and viability of such research. Using the results of this analysis to inform the development of further research demonstrates the concept of fit from one social institution into another. The lack of any scholarly work on this form of

investigation into strategic planning prior to this study is evidence enough of its need when considered along side its potential importance.

Key findings from survey

There were a number of findings noted from the survey that have implications for future research and development of the model of emergent planning. A running theme through those findings that had significant or moderate correlations indicate that there is interplay between the intrapersonal and the interpersonal. They can be summarized as follows:

- There is interplay between tacit and explicit formal paradigms;
- The degree of congruence between these two paradigms may have implications for the level of risk taking comfort expressed by participants;
- There appears to be a positive relationship between the reliance on an institutional plan to guide a role and the degree of risk comfort expressed by participants;
- The interplay between tacit and explicit planning paradigms is mutual. That is, the explicit paradigm may lead to the modification of a tacit paradigm (likely through a cognitive dissonance mechanism). Conversely, a tacit paradigm may lead to modification of an explicit paradigm through some form of mediation;

- The ability to solve complex problems may be related to the ability to delimit problems. The latter is dependent on the availability of data from the environment to analyze phenomena;
- The level of risk taking comfort may be related to perceiving oneself as goal-oriented. This would suggest that relying on behavioral paths that lead to a specific target (e.g. – decisions that reduce manpower) are risk worthy if they are oriented to a goal (e.g. – the institution being solvent);
- There may be a relationship between consulting others in day to day decision-making and having a plan that incorporates goals for all faculty. The existence of such a relationship would lend itself to the strength of habituated communicative action;
- There may be a relationship between solving complex problems with a high degree of ease and being able to predict the consequences of a complex problem. The latter results from having a tacit paradigm that is in harmony with the institutional paradigm, while the former is a level of habituation of skills that generate intrapersonally;
- There may be a relationship between seeing oneself as a visionary and being able to delimit complex problems. The former requires an ability to scan the environment and develop a tacit paradigm based on a target located in the future. The latter is the ability to scan the environment to solve problems that are in the present;

- There may be an inverse relationship between perceiving oneself as a visionary and perceiving oneself as being goal-oriented. The former relies on the ability to create future-oriented targets, while the latter is oriented to fulfilling certain tasks once the target is known. Furthermore, the former relies on creating a tacit paradigm, while the latter is oriented to enacting the paradigm through a form of habituated action;
- There may be an inverse relationship between risk taking comfort and self-perceptions of being conservative in management style. The latter relies on habituated forms of action, while the former may involve new and novel forms.

Limitations

The purpose of exploratory research is to provide cues for further more intensive investigations. As such, this phase of the research has achieved that. It did not provide strong evidence of the existence of correlations and as such it may be regarded as a limitation of the study.

The results of the study are based on a relatively small sample of respondents who were presidents. Therefore, any conclusions that could be drawn for that group cannot be made. Furthermore, there was not attempt to determine the respondents' institutional ties so it was impossible to discern if more than one respondent replied from one organization. These limitations would prevent any further conclusions being drawn other than the perceptions of individual respondents.

The survey was sent to executive management personnel in a select group of educational institutions. The survey was not sent to faculty or support staff. This was a limitation of the study because the social environment of any particular institution could not be discerned.

The target group chosen for this study was based on the Carnegie Classification system. This excluded many other educational institutions that were located in other categories and therefore any inferences can only be applied to this group of people in these institutions.

Weaknesses

There were inherent weaknesses in the design of the instrument. Given the broad scope of this instrument it was impossible to develop any measures of internal validity as most items reflected a particular notion. The design of some questions are suspect and may have led to spurious results. However, it is difficult to determine the validity if there are few items that relate to one particular phenomena.

Strengths

The nature of this phase of the research was exploratory. The purpose was to attempt to determine if some of the concepts may be observable. Twenty five tenets were used to analyze the correlations and warrant further investigation.

Key Implications

Key implications for theory building

There are implications drawn from the analogy analysis to suggest that strategic planning as it now exists in higher education has been improperly introduced. There has been no significant published work on the use of analogies associated with strategic planning terms from the source domains of social science and business as it applies to the target domain of higher education. A significant contribution to planning in higher education would be achieved with the use of an analogy process to determine whether strategic planning is theoretically viable as a model of planning to be implemented in this unique institution. The process highlighted in this research was exploratory, but did provide cues on how to proceed.

A focus on the development of foreground and background relevance is paramount to determining if there is an adequate basis for judging relevancy and irrelevancy of analogies imported from other domains. The determination of causal relations is in its rudimentary stages. It will not progress until clear markers have been developed that can be used to determine if planning causes desired organizational states such as improved performance.

Lastly, there needs to be a significant amount of work in understanding the theoretical underpinnings of the analogies. The strengthening of horizontal relations to a type C would ensure that the identities, properties, and similarities in both the target and source domains are conceptually related.

There is one insurmountable difficulty when attempting to build theory as suggested using a strategic planning paradigm. When the analogies are taken from the social sciences or business, they are replete with substantive analysis that would enable one to consider the analogy transferring over. If anything, the data indicates that the

vertical (causal) relations suggest that strategic planning does not work in the source domain. On that basis, there would be little impetus to seek to transfer the concepts over to higher education institutions.

The most appropriate step will be to look at alternatives to current forms of strategic planning. The inclusion of literature that embraces social life, social constructivism, and meaning transformation holds promise. The exploratory research from the survey seems to support the notion that social life plays a large role in planning. Not only is it used as a medium of transmission of the plan, it also serves to mediate tacit and explicit planning paradigms. The tenets that showed promise of observability through this research require further investigation to determine their validity and reliability.

Key Implications for research

There is a significant need to determine the efficacy of current planning strategies built on strategic planning. The wholesale approach to the importation of strategic planning into the realm of higher education is neither supported or warranted by current research. What little research has been done and published points to the ineffectiveness of strategic planning in higher education. The process of strategic planning has become entrenched in many institutions because of the tacit paradigms of executive management brought in from a business world. This form of planning has also been legislated in some jurisdictions. Research is required to communicate the need for change and the need for rethinking the root tenets associated with strategic planning. The use of strategic planning has become a force of transformation of the academy from a social institution of

change, knowledge brokering, and education to one of effectiveness, solvency, and managerialism.

A significant amount of research is required to further develop the model of emergent planning. Both quantitative and qualitative research is required to investigate and inform the development of the model. Further areas of research might include the following:

- Quantitative research that would help design a survey instrument that could be used to determine the institution's environmental response to planning as an activity. That is, the survey would be used to determine participants' attitudes, perceptions, and actions in planning at different levels throughout the organization. A possible hypothesis would be: planning is most effective when all faculty are involved;
- Quantitative research that would determine current methods of planning and the efficacy of planning efforts. A possible hypothesis would be: planning improves organizational performance;
- Qualitative research that would determine the degree and type of association between participants in the planning process of a given organization. A naturalistic enquiry aimed at uncovering the importance of relationships at the senior management level is an appropriate research direction here;
- Qualitative research that would describe the relationship between tacit and explicit paradigms used in planning by participants at different levels of the organization. A naturalistic enquiry that blended document review, participant

observation, and focus groups to uncover how tacit paradigms are mediated in a social context is an appropriate form of research;

- Qualitative research that would describe the interplay between individual and organizational planning behaviour at different levels. In-depth open or semi-structured interviews with subsequent coding of data would be an appropriate method to test a the hypothesis that individuals at different levels have different levels of allegiance to a planning process;
- Qualitative research that would describe the meaning transformation process in actors and the institutions that they are embedded in. An open-ended interview process would be beneficial if done over a period of time to determine how meanings are transformed with the introduction of a new planning process that has its own language and meanings;
- Qualitative and quantitative research that would describe the essential features and properties of higher education. A document and literature analysis would reveal the essential features and properties of higher education;
- Rigorous analogy analysis using the research from the domains of social science and business that might lend themselves pairing with the essential features of higher education. The same form of research as the previous example would be useful to generate analogies from these domains.

The fulfillment of this research will lend itself to new forms of planning based on observable, reliable analogies that are relevant to higher education. Theory that is informed by research and research that is informed by theory are both required. The exploratory effort conducted here supports the process of continual development of a

model of planning that is both unique to higher education but based on proven models in other social institutions.

APPENDIX I
INTRODUCTORY LETTER & SURVEY

March 26, 2001

I am asking you to take part in a brief survey (approximately 10 minutes) that is located in the web site address noted below.

The purpose of this study is to describe the planning process that goes on in higher education and how personal change proposals mediate formalized plans. The results of the *exploratory* study will be used to develop a new generation model of strategic planning called emergent planning.

All responses will be anonymous and confidential. Your identity is protected in the following manner:

- This e-mail was sent via a bcc and therefore your name does not appear in the message address
- The survey will be returned to an internet site and then returned to addressed from that site

You are not required to answer every question in the survey.

There is no adverse effect to for you refusing to participate in this project. Your participation is voluntary and is not associated with any institutional activities underway at your institution.

If you would like to participate in this study please click on the following web site:

<http://www.husson.edu/academics/health/survey.html>

Thank you for your participation.

Reg Urbanowski, Associate Professor
Husson College
Bangor, Maine

- Planning Survey Questionnaire -

The purpose of this survey is to describe the nature of the relationship between implicit and explicit planning by senior management in private, non-denominational, four year colleges in the USA. If you would like more information about this study and/or the results please contact me at:

Reg Urbanowski
One College Circle
Husson College
Bangor, Maine
04412

Tel – 207 973 1050 or e-mail:
HYPERLINK "mailto:urbanowskir@husson.edu"
urbanowskir@husson.edu
Thank you for your time.
Reg Urbanowski.

This survey will take 5-10 minutes to complete. Please select the appropriate answer by clicking on the appropriate box.

Once you have completed the survey click the 'SUBMIT' button. The form will automatically be returned.

All responses will be kept confidential and anonymous. The data will be coded and kept as a data base in electronic format for five years.

1. Your position in the institution is:

President
Vice-president
Chief academic officer

2. The college has a 'strategic plan' in place.

agree
disagree (if not, please go to the end and click the submit button)
neither agree nor disagree

3. The college plan and my personal plan for the college are identical.

agree
disagree
neither agree nor disagree

4. This plan was developed (please indicate year in which it was developed)

In the last year

In the last three years

In the last five years

5. The college plan is based on the best available evidence pertaining to the college and the environment within which it is embedded.

agree

disagree

neither agree nor disagree

6. This college plan is based on a previous plan.

agree

disagree

neither agree nor disagree

7. The plan is based on a consultative process with faculty.

agree

disagree

neither agree nor disagree

8. The plan is reviewed on a regular basis for appropriateness.

agree

disagree

neither agree nor disagree

9. For the most part, the plan has been followed as designed.

agree

disagree

neither agree nor disagree

10. The planning process provides for shared leadership with faculty.

agree

disagree

neither agree nor disagree

11. The planning process provides for shared leadership with service staff.

agree

disagree

neither agree nor disagree

12. The planning process provides for shared leadership with senior staff.

agree

disagree

neither agree nor disagree

13. The plan incorporates my personal goals for the institution.

agree

disagree

neither agree nor disagree

14. The plan incorporates goals for all senior management.

agree

disagree

neither agree nor disagree

15. The plan incorporates goals for all faculty.

agree

disagree

neither agree nor disagree

16. The plan incorporates goals for all service staff.

agree

disagree

neither agree nor disagree

17. I understand the plan's goals and use it to guide my role within the institution.

agree

disagree

neither agree nor disagree

18. Other members of the senior management team understand the plan's goals and guide their role accordingly.

agree

disagree

neither agree nor disagree

19. The plan expands the horizons of the college.

agree

disagree

neither agree nor disagree

20. The plan expands the role of the faculty.

agree

disagree

neither agree nor disagree

21. The plan accommodates decisions that must be made in response to environmental crises.

agree

disagree

neither agree nor disagree

22. The plan accommodates decisions that must be made in response to internal crises.

agree

disagree

neither agree nor disagree

23. The plan illustrates the steps to be taken in fulfilling the goals outlined.

agree

disagree

neither agree nor disagree

24. I can influence modifications to the plan.

agree

disagree

neither agree nor disagree

25. I have control over my area of responsibility.

agree

disagree

neither agree nor disagree

26. I can make spur-of-the-moment decisions easily when required.

agree

disagree

neither agree nor disagree

27. I easily adapt to changing conditions in the college and the environment it is embedded in.

agree

disagree

neither agree nor disagree

28. My level of responsibility is consistent with my level of authority.

agree

disagree

neither agree nor disagree

29. I feel comfortable in taking risks when major decisions are to be made.

agree

disagree

neither agree nor disagree

30. I hesitate when making decisions until all the necessary information has been gathered and analyzed.

agree
disagree
neither agree nor disagree

31. I am goal oriented.
agree
disagree
neither agree nor disagree

32. I prefer to follow the lead of the team when making major decisions.
agree
disagree
neither agree nor disagree

33. I see myself as a conservative when it comes to the management style that I use on a day to day basis.
agree
disagree
neither agree nor disagree

34. It is easy for me to accept that sometimes I make bad decisions.
agree
disagree
neither agree nor disagree

35. I like to consult others when making day to day decisions.
agree
disagree
neither agree nor disagree

36. I like to consult others when making planning decisions.
agree
Bottom of Form
disagree
neither agree nor disagree

37. I like to weigh all options when making day to day decisions.
agree
disagree
neither agree nor disagree

38. I like to make decisions based on past history regardless of options that present themselves today.
agree
disagree
neither agree nor disagree

39. I am a clear thinker.

agree

disagree

neither agree nor disagree

40. I am a person of action.

agree

disagree

neither agree nor disagree

41. I am a visionary.

agree

disagree

neither agree nor disagree

42. I think things through clearly.

agree

disagree

neither agree nor disagree

43. I am able to solve complex problems easily.

agree

disagree

neither agree nor disagree

44. I can delimit complex problems easily.

agree

disagree

neither agree nor disagree

45. I am able to predict the consequences of complex problem solutions easily.

agree

disagree

neither agree nor disagree

APPENDIX II – CARNEGIE CLASSIFICATION

Baccalaureate/General, Private Not-for-profit Institutions, by State

2

Alabama

Andrew Jackson University

Faulkner University

Miles College

Oakwood College

Stillman College

Alaska

Sheldon Jackson College

Arkansas

John Brown University

Ouachita Baptist University

Philander Smith College

University of the Ozarks

Williams Baptist College

California

Bethany College

Cogswell Polytechnical College

Master's College and Seminary, The

Menlo College

Pacific Union College

Patten College

Vanguard University of Southern California

Connecticut

Albertus Magnus College

Teikyo Post University

Delaware

Wesley College

Florida

Bethune Cookman College

Clearwater Christian College

Edward Waters College

Flagler College

Florida Memorial College

Florida Southern College

International College

Jones College
Trinity International University, South Florida Campus
Warner Southern College
Georgia

Berry College

Brewton-Parker College
Covenant College
Emmanuel College
LaGrange College
Morris Brown College
Shorter College
Thomas College
Toccoa Falls College
Hawaii

Brigham Young University Hawaii Campus
Illinois

Barat College
East-West University
Elmhurst College
Eureka College
Greenville College
Illinois College
Judson College
MacMurray College
McKendree College
Millikin University
Trinity Christian College
Indiana

Bethel College
Calumet College of Saint Joseph
Franklin College of Indiana
Grace College
Huntington College
Manchester College
Marian College
Martin University
Saint Joseph's College
Saint Mary-of-the-Woods College
Saint Mary's College
Taylor University

Taylor University, Fort Wayne
Tri-State University
Iowa

Briar Cliff College
Buena Vista University
Central College
Clarke College
Dordt College
Graceland University

Grand View College
Iowa Wesleyan College
Morningside College
Mount Mercy College
Northwestern College
Simpson College
Upper Iowa University
Wartburg College
William Penn University
Kansas

Barclay College
Bethany College
Bethel College
Kansas Wesleyan University
McPherson College
Ottawa University
Southwestern College
Sterling College
Tabor College
Kentucky

Alice Lloyd College
Asbury College
Brescia University
Kentucky Christian College
Kentucky Wesleyan College
Mid-Continent College
Pikeville College
Thomas More College
Louisiana

Dillard University
Louisiana College

Our Lady of Holy Cross College
Maine

Unity College
Maryland

Columbia Union College
Villa Julie College
Massachusetts

Atlantic Union College
Curry College
Endicott College
Merrimack College
Stonehill College

Michigan

Calvin College
Concordia College
Saint Mary's College
William Tyndale College
Minnesota

Concordia University, St. Paul
Crown College
Northwestern College
Mississippi

Belhaven College
Blue Mountain College
Rust College
Missouri

Central Methodist College
College of the Ozarks
Columbia College
Culver-Stockton College
Evangel University
Hannibal-La Grange College
Missouri Baptist College
Missouri Valley College
Montana

Carroll College
Rocky Mountain College
Nebraska

College of Saint Mary
Dana College
Grace University
Midland Lutheran College
Union College
York College
Nevada

Sierra Nevada College
New Hampshire

Colby-Sawyer College
Daniel Webster College
New England College
New Jersey

Bloomfield College
Caldwell College
Centenary College

College of Saint Elizabeth

Felician College
New York

Concordia College
Daemen College
Dominican College of Blauvelt
Elmira College
Hilbert College
Keuka College
Marymount College
Medaille College
New York Institute of Technology - Central Islip Campus
Sage Colleges-Troy Campus
St. Francis College
Saint Joseph's College - Suffolk Campus
Saint Joseph's College, New York
Utica College of Syracuse University
North Carolina
Barton College

Belmont Abbey College
Catawba College
Chowan College
High Point University
Johnson C. Smith University
Lenoir-Rhyne College
Livingstone College
Mars Hill College
Methodist College
Mount Olive College
North Carolina Wesleyan College
Shaw University
Wingate University
North Dakota

Jamestown College
Ohio

Bluffton College
Cedarville College
Defiance College, The
Lourdes College
Marietta College
Mount Union College
Mount Vernon Nazarene College
Notre Dame College
Ohio Dominican College
Ohio Northern University

Otterbein College
Urbana University
Wilberforce University
Wilmington College
Oklahoma

Bartlesville Wesleyan College
Oklahoma Baptist University
Oklahoma Christian University
Oregon

Linfield College
Northwest Christian College
Western Baptist College
Pennsylvania

Alvernia College
Cedar Crest College
Delaware Valley College
Elizabethtown College
Grove City College
Mercyhurst College
Messiah College
Neumann College
Thiel College
Wilson College
Puerto Rico

Caribbean University
Inter American University of Puerto Rico Aguadilla Campus
Inter American University of Puerto Rico Arecibo Campus
Inter American University of Puerto Rico Barranquitas Campus
Inter American University of Puerto Rico Fajardo Campus
Inter American University of Puerto Rico Guayama Campus
Inter American University of Puerto Rico Ponce Campus
Pontifical Catholic University of Puerto Rico-Arecibo Campus
Pontifical Catholic University of Puerto Rico-Guayama Campus
Pontifical Catholic University of Puerto Rico-Mayaguez Campus
Universidad Adventista de las Antillas
Rhode Island

Roger Williams University
South Carolina

Allen University
Anderson College
Benedict College
Claflin College
Coker College
Columbia College

Limestone College
Morris College
Newberry College
North Greenville College
Voorhees College
South Dakota

Augustana College
Dakota Wesleyan University

Tennessee

Bryan College
 Crichton College
 Lambuth University
 Lee University
 Lemoyne-Owen College
 Martin Methodist College
 Maryville College
 Southern Adventist University
 Tennessee Temple University
 Tennessee Wesleyan College

Texas

Concordia University at Austin
 East Texas Baptist University
 Howard Payne University
 Huston-Tillotson College
 Jarvis Christian College
 Lubbock Christian University
 McMurry University
 Paul Quinn College
 Southwestern Adventist University
 Texas Lutheran University
 Wiley College

Vermont

Green Mountain College
 Southern Vermont College

Virginia

Bluefield College
 Ferrum College
 Saint Paul's College
 Virginia Intermont College

Washington

Northwest College
West Virginia

Davis & Elkins College
 Ohio Valley College

University of Charleston
Wisconsin

Alverno College
Carroll College
Lakeland College
Mount Senario College
Northland College
Saint Norbert College
Wisconsin Lutheran College

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