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COMPLIANCE-GAINING STRATEGIES AS REVEALED BY THE CONTENTS OF SELECTED FEDERAL FUNDING PROPOSALS

The University of Oklahoma PH.D. 1982

The University of Oklahoma

Graduate College

Compliance-Gaining Strategies as Revealed by the Contents of Selected Federal Funding Proposals

A Dissertation

Submitted to the Graduate Faculty

in partial fulfillment of the requirements for the

Degree of

Doctor of Philosophy

By

Keith Alan Harman

Norman, Oklahoma

1982

COMPLIANCE STRATEGIES AS REVEALED

BY THE CONTENTS OF SELECTED

FEDERAL FUNDING PROPOSALS

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COMPLIANCE-GAINING STRATEGIES AS REVEALED BY THE CONTENTS OF SELECTED FEDERAL FUNDING PROPOSALS

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This study involved the testing of a typology of persuasive strategies in a descriptive setting for the first time. The "Project Narrative" portion of a set of federal funding proposals was analyzed via content analysis.

Three hypotheses involving the use of persuasive strategies were tested. A fourth hypothesis regarding the results of those tests was conducted.

The data revealed that the authors of the proposals analyzed employed a variety of strategies; although they preferred reward-oriented strategies. Thus the investigator failed to accept any of the four hypotheses.

Recommendations for further study included analysis of the texts of various documents such as private funding proposals, the minutes of decision-making bodies' meetings, speeches, and advertisements.

Acknowledgements

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Compliance Strategies as Revealed by the
Contents of Selected Federal
Funding Proposals

Chapter I

Introduction

Introductory Statement

Grants, voluntary transfers of money to public or private nonprofit organizations, are the fastest growing economic sector of this generation (Smith & Skjei, 1980). Their growth rate outstrips by proportion the concurrent rise of the business sector (ACIR, 1978). By keeping pace with the rise of governmental bureaucracies, the yearly growth rate of the "grants economy" expands almost geometrically (Guttman & Wilner, 1976).

Historically the bulk of growth has come from the federal government. The total amount of dollars distributed by the federal government through grants is twice as large as the total amount distributed by the 500 largest private philanthropic organizations (Smith & Skjei, 1980). The Advisory Commission on Intergovernmental Relations (1978) notes that federal giving is increasing twice as fast as private giving.

ACIR (1978) contends that the growth of federal giving has resulted from the creation of over 1000 categorical grants during the 1960s. Categorical grants were provided under narrow guidelines that specified such

matters as eligibility requirements, time-frames, and intended beneficiaries. Until fiscal year 1981, they were the predominant type of federal grant and accounted for over $50 billion a year.

Competition for funds provided by categorical grants is rigid. An average of 90 percent of all eligible applicants never receive approval for funding (ACIR, 1978). Often, only a handful of grant applications out of several hundred are approved for funding. It is the fierce competitiveness of the "grants economy" which attracted attention from scholars in Economics, Political Science, and Communications.

Scholarly concern usually evolved from political and economic perspectives. Boulding (1973) sees grants as a "third sector" of enterprise. Econometrics are often employed to determine answers to such questions as, "Who are the economic beneficiaries of federal grants?" (Boulding & Pfaff, 1972). Meiskowski and Oakland (1979) explored macro-economic problems such as the market determinants of the "grants economy".

Political scientists focus on a different set of issues. Studies by Foster, (1976), Orniston (1977), and Sprecht (1976) scrutinized the impact of decision-making processes in the evaluation of grant proposals. Domica (1974) explored the role and performance of government review bodies. Federal grant usage by public officials has been examined by Hough (1974).

Some scholarly concern has been exhibited by communications scientists. Berdiner (1979) scrutinized communications between federal agencies and their grantees. The persuasive efficacy of varying presentations of argumentation in government proposals was studied by Dycus (1976).

Professional grant writers, termed "grantsmen", are also concerned with the extreme competition. The literature of "grantmanship" is replete with examples of "how-to" books (Hill, 1973 and Des Marias, 1975). Publications such as Foundation News and Grantsmanship Center News guide "grantsmen" to sources of funding. Even the Federal Catalog of Domestic Assistance provides information concerning a prospective applicant's chances of receiving funding.

For "grantsmen" persuading potential fundors is of prime importance (Smith & Skjei, 1980, chapter 4). Analogies between grants writing and selling, "gamesmanship", and thievery are often suggested (Allen, 1974; ERIC, 1975; Smith & Skjei, 1980). One survey of professional grants writers reports that two keys to successful grants writing are salesmanship and communication skills (Hillman & Aborbanel, 1975). Decker and Decker (1978) contend that successful grant proposals persuade the potential fundor of the proposed project staff's expertise. White (1975) argues that successful proposals convince the potential fundor of the need for the project. In short, professionals in the field view grant proposals as persuasive documents (Orlich & Orlich, 1977).

For educators the "grants economy" and grants writing, in particular, is of vital importance. Smith and Skjei (1980) note that institutions of higher education have accrued revenues from federal grants in inverse proportion to revenues accrued from private sources. State departments of education distribute federal funds. Local education agencies acquire an average of eight percent of their revenues from federal funds - until 1981 usually in the form of categorical grants (Smith & Skjei, 1980).

Competition for federal categorical grants under educational programs has been as rigid as competition for other types of categorical grants. A pertinent example is the U.S. Department of Education, Community Education

Program. The program annually distributes funds in excess of $3 million. According to the program's director, Mr. Ron Castaldi, only about 40 out of 300 applicants are funded each year (Personal Communication, 1980).

Purpose of the Study

Presently, there exists a dichotomy between the popular literature of "grantsmanship" and scholarly efforts. The popular literature of "grantsmanship" focuses on the proposal document. Conversely, scholars focus on economic and political issues. Professional grants writers see funding proposals as persuasive messages. Scholars tend to ignore that phenomenon.

Thus, the purposes of the study were as follows:

1. To examine selected federal funding proposals as persuasive messages.
2. To examine the persuasive strategies employed by the authors of those proposals by using a persuasive strategy typology devised by scholars involved in persuasion research.
3. To examine the efficacy of the theoretical antecedents on which the typology was built.
4. To go beyond current research by using the typology in a real-world situation rather than using the typology in a contrived situation or a situation relying upon anecdotal data provided by subjects.

Statement of the Problem

What compliance-gaining strategies were employed by the authors of federal grant proposals as revealed by the contents of those proposals? More specifically:

1. What was the frequency with which specific strategies were employed?
2. What was the frequency with which various types of strategies were employed?
3. Were there significant differences in the frequency with which specific strategies were employed?
4. Were there significant differences in the frequency with which various types of strategies were employed?
5. Were the differences, in the frequency of use of specific strategies and strategy-types, significant when considered as a whole?

Hypotheses

The study tested four hypotheses regarding the use of compliance-gaining strategies. They were:

Hypothesis I: That there was no significant difference in the frequencies with which specific strategies were employed.

Hypothesis II: That there was no significant difference in the frequencies with which various strategy types were employed.

Hypothesis III: That there was no significant difference between the frequency with which socially acceptable and less socially acceptable strategies were employed.

Hypothesis IV: That the results of the first three tests of hypothesis, when taken as a whole, were not significant.

Definition of Terms

Persasive Messages were defined as messages sent from a person or group of persons (initiator) to another person or group of persons (receiver) that request a change in the receiver's attitudes, beliefs, or behavior (Bettinghaus, 1980).

Compliance-Gaining Strategies were defined as message choices taken from a set of symbolic alternatives used by people when they seek to communicate persuasively (Miller, et. al., 1977).

Socially Acceptable Strategies were defined as compliance-gaining strategies based on techniques that manipulate the persuadee's environment in a positive or impersonal way. Included were strategy types termed "rewarding activities", "expertise", and "activation of impersonal commitments" (Marwell & Schmitt, 1967).

Less Socially Acceptable Strategies were defined as compliance-gaining strategies based on techniques that manipulate the persuadee's environment in a negative or personal way. Included were strategy types termed "punishing activities" and "activation of personal commitments" (Marwell & Schmitt, 1967).

Rewarding Activities were defined as strategies which manipulated the persuadee's environment in a positive way. Specific strategies included "liking", "pre-giving", and "promise" (Marwell & Schmitt, 1967).

Expertise was defined as strategies in which the persuader attempted to convince the persuadee of the persuader's superior knowledge, skill, or experience pertaining to the situation at hand. Specific strategies included "positive expertise" and "negative expertise" (Marwell & Schmitt, 1967).

Activation of Impersonal Committments was defined as strategies that attempted to manipulate the persuadee's self-perception based on referent groups or norms. Specific strategies included "positive and negative alter-casting", "positive and negative self-feeling" and "moral appeal" (Marwell & Schmitt, 1967).

Punishing Activities were defined as strategies that attempted to manipulate the persuadee's enviornment in a negative way. Specific strategies included "threat" and "aversive stimulation" (Marwell & Schmitt, 1967).

Activation of Personal Commitments was defined as strategies based on the persuader's attempts to gain compliance due to the persuader's and persuadee's relationship. Specific strategies included "altruism" and "debt" (Marwell & Schmitt, 1967).

Liking was defined as the persuader's attempt to gain compliance by being kind or helpful to the persuadee and thus putting the persuadee in "a good frame of mind" (Marwell & Schmitt, 1967).

Pre-giving was defined as that instance when the persuader rewarded the persuadee before requesting compliance in order to induce compliance (Marwell & Schmitt, 1967).

Promise was defined as that instance when the persuader offers the persuadee a reward if the persuadee complies (Marwell & Schmitt, 1967).

Expertise (positive) was defined as that instance when the persuader suggests that the persuadee's compliance will be rewarded because of the persuader's superior knowledge, skill, or experience pertaining to the situation at hand (Marwell & Schmitt, 1967).

Expertise (negative) was defined as that instance when the persuader suggests that the persuadee's failure to comply will result in negative circumstances because of the persuadee's lack of knowledge, skill, or experience in relation to the persuader's (Marwell & Schmitt, 1967).

Altercasting (positive) was defined as that instance when the persuader told the persuadee that a person with "good" qualities would comply (Marwell & Schmitt, 1967).

Altercasting (negative) was defined as that instance when the persuader told the persuadee that only a "bad" person would fail to comply (Marwell & Schmitt, 1967).

Esteem (positive) was defined as that instance when the persuader suggested that the persuadee's compliance would enhance the persuadee's standing with some important reference group (Marwell & Schmitt, 1967).

Esteem (negative) was defined as that instance when the persuader suggested that the persuadee's failure to comply would lower the persuadee's standing with some important reference group (Marwell & Schmitt, 1967).

Self-Feeling (positive) was defined as that instance when the persuader suggested that the persuadee's compliance would result in the persuadee "feeling good" about the persuadee's self (Marwell & Schmitt, 1967).

Self-Feeling (negative) was defined as that instance when the persuader suggested that failure to comply would result in the persuadee "feeling bad" about the persuadee's self (Marwell & Schmitt, 1967).

Moral Appeal was defined as that instance when the persuader suggested that the persuadee's compliance was the "right" thing to do (Marwell & Schmitt, 1967).

Aversive Stimulation was defined as that instance when the persuader punished the persuadee and made cessation of punishment contingent upon the persuadee's compliance (Marwell & Schmitt, 1967).

Threat was defined as that instance when the persuader suggested that the persuadee's failure to comply would result in punishment of the persuadee (Marwell & Schmitt, 1967).

Altruism was defined as that instance when the persuader suggested that only the persuadee was capable of helping the persuader and should thus comply (Marwell & Schmitt, 1967).

Debt was defined as that instance when the persuader suggested that the persuadee should comply because of past favors performed for the persuadee by the persuader (Marwell & Schmitt, 1967).

Content Analysis was defined as a systematic technique for analyzing message content and message handling (Budd, et. al., 1967).

Thematic Analysis was defined as a type of content analysis that concentrates on assertions or themes rather than counting words or space units (Budd, et. al., 1967).

Assertion was defined as a single thought unit or idea that conveyed a single item of information extracted from a segment of content (Budd, et. al., 1967).

Context Unit was defined as the body of material surrounding the coding unit, more precisely, as much of the material as required to characterize the coding unit being analyzed (Budd, et. al., 1967).

Coding Unit was defined as the smallest segment of content counted and scored in content analysis (Budd, et. al., 1967).

Category was defined as a variable linked to the research problem and to the theories on which a particular research problem is based. A category must accurately fit the needs of the study so that it answers the questions originally asked, be exhaustive (relative to the problem), and be mutually exclusive (Budd, et. al., 1967)

Limitations of the Study

The study was bound by three limitations:

1. Only those grant proposals submitted to the Office of Community Education, U.S. Department of Education were examined.

2. Only the "Project Narrative" portion of those proposals were examined.
3. Only those proposals accepted for funding between federal fiscal years 1977-78 and 1980-81 were examined.

Basic Assumptions

The study assumed the following:

1. That the persuasiveness of the proposals' "Project Narrative" portion contributed in part or in whole to their acceptance for funding.
2. That those coding the data worked independently of each other.
3. That those coding the data examined their portion of the data as closely as possible.
4. That the use of theoretically-derived subcategories (strategies), categories (strategy-types) and supra-categories (socially acceptable and less socially acceptable strategy clusters) provided construct validity.

Organization of the Study

The study consisted of five major parts. The first chapter provided an introduction to the problem with which the study was concerned. A review of related literature followed the introductory chapter in order to provide an overview of the scholarly work in the problem area. Chapter Three presented the methodology used in the study.

Two parts concluded the study. Chapter Four presented the researcher's findings. The last chapter (five) set forth recommendations and conclusions based on the investigator's findings in light of previous scholarly efforts.

Chapter II

Review of Selected Literature

The review of literature was divided into six parts. The first section briefly discussed the role of typologies in theory construction and testing because the study used a typology as a tool for analysis. Presented in the second section was a discussion dealing with the development of typologies of compliance-gaining strategies. The third and fourth sections presented recent research efforts reflecting the major divisions found in the literature by the investigator. A fifth section presented the theoletical framework of the typology employed by the study. Finally, the typology and its relationship to its theoletical antecedents was discussed.

Typologies and the Construction and Testing of Theory

Borg and Gall (1979) have argued that a theory is "an explanation of behavioral or physical events" (p. 50). They further noted that theories consist of generalizations or statements of relationship between two or more events. Through theories researchers attempt to predict or to explain events (p. 50).

Typologies have played a key role in the construction of theory because they aid in the development of generalizations. Like taxonomies, typologies attempt to order phenomena on the basis of their relationship to other phenomena. Thus typologies have enhanced theorists' ability to understand

how phenomena are related to each other. That in turn has provided sounder generalizations, and hence, sounder theories.

Conversely, typologies have also aided in the testing of theory. By using typologies, scholars have been able to order phenomena based on presumed relationships. Scrutiny of the results of those orderings of the phenomena have helped theorists determine the efficacy of their generalizations. By determining the accuracy of their generalizations, theorists have been provided with insights regarding the usefullness of their theories.

Typologies have also provided a means by which theorists' generalizations can be tested. By testing these generalizations, the theories upon which they are based have also been tested. Typologies have therefore been of great use to those attempting to construct or to examine theories.

Development of Typologies of Compliance-Gaining Strategies

Scholars engaged in persuasion research have devoted an increasing amount of attention to the development of typologies of compliance-gaining behaviors. Some researchers have attempted to generate typologies using inductive methods (Bearison & Glass, 1979; Cody, 1978; Falbo, 1977; Goodchilds & Quadrado, 1975; Wilkerson & Kipnis, 1978). Other researchers have tried to generate typologies using deductive methods (Miller, et. al., 1977; Roloff, 1976; Roloff & Barnicott, 1978).

Concurrently, researchers have also examined the impact of situational context and personal variables on strategy preference. Exploring the impact of situational context were: Cody (1978), Falbo (1977), Goodchilds and Quadrado (1975), Marwell and Schmitt (1967), Miller, et. al., (1977), Roloff (1976), and Wilkerson and Kipnis (1978). Bearison and Glass (1979), as well as Roloff and Barnicott (1978), studied the impact of personal variables.

Scholars who generated typologies inductively followed a research design in which data from respondents was collected and categorized, thus producing a typology. Taking a different approach were the scholars who generated typologies deductively. Those researchers developed typologies whose antecedents were theories of social power. Data were then collected and classified according to pre-existing definitions.

Researchers interested in the impact of situational context on strategy preference have used both methods. For example, Wilkerson and Kipnis (1978) used an inductive research design in their study of how organizations attempt to influence each other. Employing a deductive research design was Miller, et. al., (1977).

Studies concerned with the impact of personal variables were also marked by the use of both methods. Roloff and Barnicott (1978) utilized a typology generated deductively in their study of the strategy preferences of high and low machiavellians. Conversely, Bearison and Glass (1979) employed a typology generated inductively in their examination of the persuasive appeals used by children of differing ages.

Both methods were used by researchers studying the impact of either situational context or personal variables. Thus the investigator surmised that the relevant literature was naturally divided along lines other than those based on the method used to generate each particular typology. Therefore the literature was divided into two parts. One section reviewed studies concerned with the impact of situational context. The other examined studies concerned with the impact of personal variables.

Impact of Situational Context

Wilkerson and Kipnis (1978) attempted to determine what tactics organizations use to influence each other. At the same time, the authors tried to determine under what conditions certain tactics tended to be used. Finally, the scholars developed a model explaining the impact of context on tactic choice.

Sixty-seven graduate-level business students were asked to recall recent instances in which their organization attempted to influence another. Those responses were then subjected to content analysis. From that analysis the writers developed a typology of influence tactics.

Two major sets of tactics were reported (p. 315). The first set, labeled "strong", was typified by the use of force or subterfuge (see Table 1). Labeled "weak" was the set exemplified by the use of negotiation or conciliation (see Table 1).

Concerning contextual factors, Wilkerson and Kipnis presented five major findings (p. 319). First, when faced with "proactive" problems (organization initiates action), the respondents' organizations tended to employ weak methods. Organizations faced with "reactive" problems (organization reacts to another's action) were more likely to use strong methods. Strong methods were also more likely when the organizations were dealing with suppliers rather than customers. Fourth, when the target was more powerful, the weaker initiator organization used weak methods. Finally, the researchers found no relationship between the use of weak or strong methods and the duration of relationship between the initiator and target organizations.

Cody (1978) investigated the perceptions of potential persuaders toward persuasion situations. Using factor analysis, Cody identified six types of persuasive settings (p. 137). Those situations were:

TABLE 1

Influence Tactics Identified by Wilkerson and Kipnis

Strong Methods	*Frequency of Preference (First, second, last)	Weak Methods	*Frequency of preference (First, second, last)
Threat	8-4-3	Logical Arguments	8-5-0
Dictate Terms	6-1-0	Offering a deal	8-1-0
Demand Compliance	4-2-1	Being Cooperative	7-1-0
Withold Service	3-2-4	Face-to-Face Negotiation	7-1-2
Use Legal Action	2-2-3	Making the Target Aware of the Problem	5-1-0
Surveilance	1-0-0	Requesting Compliance	3-1-0
Withold Payment	1-2-0	Compromise	3-1-0
Apply Group Pressure	0-0-1	Having Higher Status Office Negotiate	1-1-0
Deceit	0-1-0	Use of Good Name/Reputation	1-0-1
Persistence	0-0-1	Making Target Feel Ashamed	1-0-0

Note. From "Interfirm Use of Power," by Ian Wilkerson and David Kipnis, Journal of Applied Psychology, 1978, 63, p. 319.

*Starting with first method chosen.

1. Formal vs. informal
2. Superficial vs. intimate
3. Influentiability
4. I benefit vs. I do not benefit.
5. Easy to persuade vs. not easy to persuade
6. Rights vs. favors

Cody suggested that persuaders' perceptions of different persuasive settings might be more revealing than the overt actions taken by persuaders in certain situations (p. 161).

Falbo (1977) asked 141 undergraduates to write an essay titled "How I Get My Way." A panel of eight expert judges then conducted a content analysis of the students' responses. The panel developed a 16-strategy coding scheme based on the generated data (see Table 2). The coding scheme reflected ninety-one percent of the strategies reported (p. 537).

Following the coding of the data, the judges rated the similarity of the identified strategies. A multidimensional scaling analysis of the panel's ratings indicated two underlying dimensions. Those dimensions were labeled "rational/non-rational" and "direct/indirect" (see Figure 1).

Miller, Boster, Roloff, and Seibold (1977) extended earlier research conducted by Marwell and Schmitt (1967). Miller (et. al.) attempted to derive a more condensed typology from the deductively-generated typology of Marwell and Schmitt. (see Table 3). Secondly, Miller, (et. al.) tried to determine how strategy choice is influenced by different situations (p. 37).

One-hundred and sixty-eight post-secondary students were asked to rate their preference for each of the sixteen strategies in four hypothetical

Table 2

Strategy Coding Scheme Developed by Falbo

Strategy	Definition	Example
Assertion	Forcefully asserting one's way.	I voice my wishes loudly.
Bargaining	Explicit statement about reciprocating.	I'll do something for you if. . .
Compromise	Agent and Target give up part of all desired goals to get some of them.	We usually compromise.
Deceit	Fool target by use of flattery or lies.	Fast-talking and white lies.
Emotion-Target	Target attempts to alter agent's emotions.	I try to put him in a good mood.
Emotion-Agent	Agent attempts to alter target's emotions.	I try to look sincere.
Evasion	Doing what one wants by avoiding those who would disapprove.	I get to do what I want as long as no one sees.
Expertise	Claiming to have superior knowledge or skill.	I tell them I have a lot of experience in such matters.
Fait Accompli	Openly doing what one wants without avoiding the target.	I do what I want to anyway.
Hinting	Not openly stating what one wants: indirect influence attempts.	I drop hints. I subtly bring up a point.
Persistence	Repeating one's points or continuing influence attempts.	I reiterate my point. I keep trying.
Persuasion	Simple statement about persuasion, convincing, or coaxing.	I get my way by convincing others that my way is best.

Table 2 (cont.)

Strategy Coding Scheme Developed by Falbo

Strategy	Definition	Example
Reason	Any statement about using reason or rational arguement.	I argue logically.
Simple Statement	Without supporting evidence or threats, a matter of fact statement of one's desires.	I simply tell what I want.
Thought Manipulation	Making the target think that the agent's way is the target's own idea.	I usually try to make the other feel that it is his idea.
Threat	Stating negative consequences will occur if the agent's plan is not accepted.	I tell him I'll never speak to him again if he doesn't do what I want.

Note. From "Multi-Dimensional Scaling of Power Structures," by Tony Falbo, Journal of Personality and Social Psychology, 1977, 35, p. 541.

Figure 1

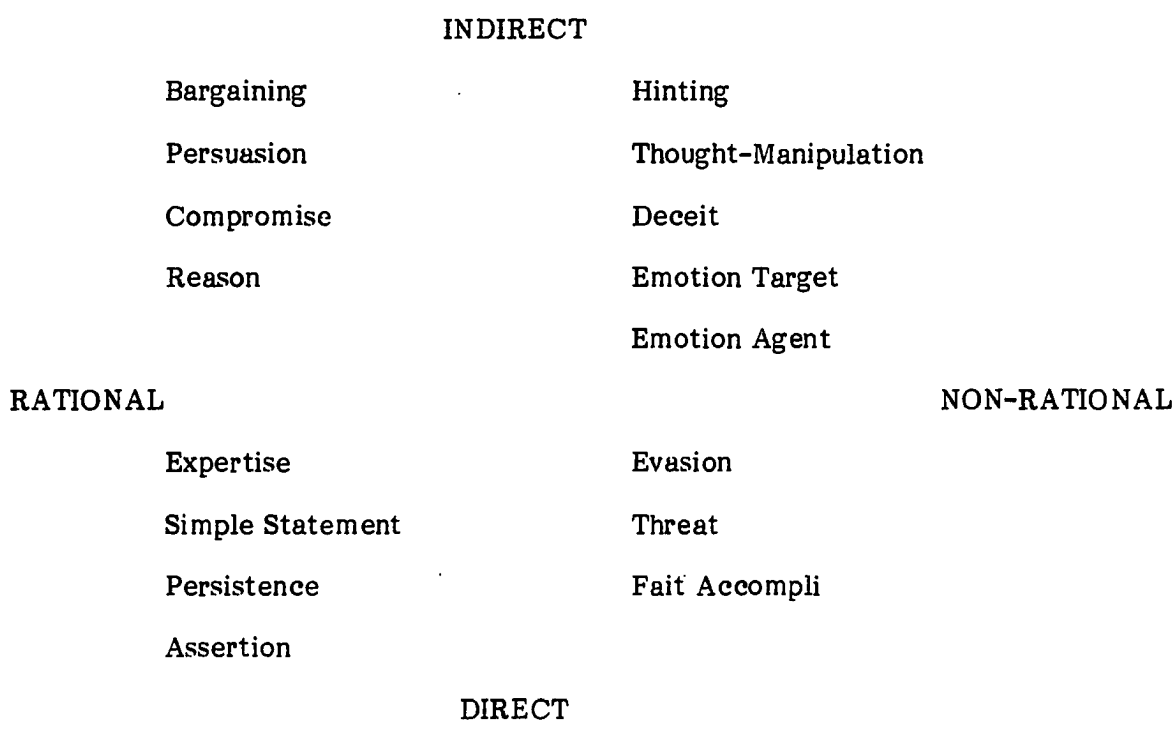

Figure 1. Falbo's Strategy Dimensions. (From "Multi-Dimensional Scaling of Power Structures" by Tony Falbo, Journal of Personality and Social Psychology, 1977, 35, p. 541.)

Table 3

Marwell and Schmitt's Typology

Strategy	Example/Definition
Promise	If you comply, I will reward you.
Threat	If you don't comply, I will punish you.
Expertise (Positive)	If you comply, you will be rewarded because of "the nature of things".
Expertise (Negative)	If you don't comply, you won't be rewarded because of the "nature of things".
Liking	Actor is friendly and helpful to target to put target in a "good frame of mind".
Pre-Giving	Actor rewards target before requesting compliance.
Aversive Stimulation	Actor continuously punishes target making cessation dependent on compliance.
Debt	You owe me compliance because of past favors.
Moral Appeal	You are immoral if you don't comply.
Self-Feeling (Positive)	You will feel better about yourself if you comply.
Self-Feeling (Negative)	You will feel badly about yourself if you don't comply.
Altercasting (Positive)	A person with "good" qualities would comply.
Altercasting (Negative)	Only a person with "bad" qualities would not comply.
Altruism	I need your compliance very badly.
Esteem (Positive)	People you value will think better of you if you comply.
Esteem (Negative)	People you value will think worse of you if you don't comply.

Note. From "Dimensions of Compliance-Gaining Behavior: An Empirical Analysis," by George Marwell and David R. Schmitt, Sociometry, 1967, 30, pp. 347-8.

situations. Those situations were delineated by the researchers on the basis of two criteria (p. 39). One criterion was the amount of psychological information available to the initiator about the target. The second criterion was the duration of the consequences of compliance from the initiator's perception.

The hypothetical situations presented to the students were a job situation, a family situation, a sales situation, and a situation involving a roomate (p. 39). Based on the two contextual criteria the four situations were labeled (p. 40):

1. Interpersonal/Short-Term Consequences. (I/STC)
2. Interpersonal/Long-Term Consequences. (I/LTC)
3. Non-Interpersonal/Short-Term Consequences. (NI/STC)
4. Non-Interpersonal/Long-Term Consequences. (NI/LTC)

The job situation was labeled (I/STC) while (I/LTC) was applied to the family situation (p. 41). Categorized as (NI/STC) was the sales situation while the situation involving a roommate was labeled (NI/LTC).

While the effort to derive a more condensed typology was unsuccessful, the study did reveal that the use of strategies was situationally bound (p. 49). For example, threat was more likely to be used in non-interpersonal situations. However reward-oriented strategies were preferred in interpersonal situations. Finally, strategy preferences were more varied in non-interpersonal situations.

A year prior to the Miller (et. al.) effort, Roloff (1976) reported two types of strategies in a similiar study. Roloff contended that "prosocial" strategies are persuaders' attempts to obtain relational rewards by using techniques that facilitate understanding of their needs and attitudes (p. 173). "Anti-social" strategies, he argued, represent persuaders' attempts to obtain compliance by imposing their position through force or deception (p. 174).

Using an inductive approach similar to that employed by Falbo, Goodchilds and Quadrado (1975) sampled two-hundred and seventeen undergraduate students at a four-year college in California. A three-member panel coded the collected data. Eighty-three percent of the responses were accounted for by the coding system.

The panel found four types of strategies (p. 11). The first strategy consisted of the persuader claiming to have knowledge or experience greater than that of the persuadee. Another strategy was based on the persuader's attempts to win the persuadee's trust. A third strategy saw the persuader using threats of punishment. The last strategy consisted of the persuader promising the persuadee a reward in return for compliance.

Goodchilds and Quadrado compared the four strategies to French and Raven's bases of social power (p. 28). The first strategy was likened to expert power. Attempts by the persuader to win the persuadee's trust were likened to referent power. The use of threat was interpreted as being similar to coercive power. Promises of reward were likened to referent power.

Marwell and Schmitt (1967) developed and tested a 16-strategy typology (see Table 3) based on six theories of influence or social power (pp. 351-3). As in the Miller, (et. al.) study, respondents were asked to rate their preference for each strategy in differing situations (p. 355). Unlike the Miller (et. al.) study, Marwell and Schmitt presented situations with only short-term consequences (p. 355).

The researchers identified two major types of strategies (p. 357). One cluster was labeled "socially acceptable". The other was termed "less socially acceptable".

Factors I, III, and IV were contained in the cluster labeled socially acceptable (p. 357). Factor I contained rewarding activities. Factor III was comprised of instances when the initiator attempted to convince the target of the initiator's superior knowledge, experience, or skill. Seven strategies, which the researchers termed "non-active techniques", made up Factor IV.

Factors II and V were contained in the cluster termed less socially acceptable (p. 357). Comprising Factor II were strategies which involved the manipulation of the target's environment in a negative way. Factor V was made up of strategies in which the initiator tried to gain compliance by appealing to the target's altruism or by reminding the target of past favors performed by the initiator for the target.

Twelve specific strategies made up the cluster termed socially acceptable (p. 358). From Factor I were the strategies of pre-giving, promise, and liking. Negative and positive expertise comprised Factor III. Seven strategies were found in Factor IV. They included:

1. Positive and negative altercasting
2. Positive and negative esteem
3. Positive and negative self-feeling
4. Moral appeal

Four remaining strategies resided in the cluster termed less socially acceptable (p. 359). From Factor II were the strategies of threat and aversive stimulation. Altruism and debt comprised Factor V.

Impact of Personal Variables

Two recent studies have sought to ascertain the relationship between strategy preference and personal variables. Bearison and Glass (1979) explored

the relationship between the use persuasive appeals by children and their age and sex. Examining the strategy preference of high and low machiavellians were Roloff and Barnicott (1978).

The experimental study conducted by Bearison and Glass involved forty-six elementary students. The students ranged from kindergarteners to sixth graders. At each grade-level the students were divided by gender or an equal basis.

Significant differences were found by the researchers when comparing grade-levels, but no significant differences were reported when comparing genders (Bearison & Glass, 1979, p. 901). Younger children were reported to tend to rely on single requests followed by a threat. Second, third, and fourth graders generally phrased their appeals in terms of self-gain. A portion of fifth and sixth graders utilized moral appeal. The rest of the fifth and sixth graders tried to strike bargains.

Roloff and Barnicott's 1978 findings were based on the responses of one-hundred and twenty-four undergraduates. The authors used the typology developed by Marwell and Schmitt to gather strategy preference data. Machiavellianism levels were identified through the administration of the Mach IV Personality Measure.

The researchers reported three major findings (p. 206-8). First, machiavellianism was found to be significantly correlated with the use of "prosocial" techniques and "psychological force" techniques. Second, machiavellianism was found to have a greater influence upon the use of psychological force techniques than upon the use of prosocial techniques. Third, the authors reported that high machiavellians tended to prefer a greater variety of strategies than did low machiavellians.

The attempts of scholars to develop a typology of compliance-gaining behavior have produced, despite differing methods, some similarities in findings. The prosocial and anti-social strategy types reported by Roloff (1978) were similar in nature to the socially acceptable and less socially acceptable strategy types identified by Miller, et. al., (1978). The data-generated typology of Goodchilds and Quadrado (1975) reported four strategy types: Three of those strategy types (expertise, trust, and promise) were somewhat akin to the cluster termed "socially acceptable" by Marwell and Schmitt (1967). The "weak" and "strong" methods reported by Wilkerson and Kipnis (1978) resembled the "indirect" and "direct" strategy dimensions proposed by Falbo (1977).

In general, scholars have reported situational context to have an impact on strategy preference. Wilkerson and Kipnis (1978) noted that organizations' strategy preference was dependent on the relative power of initiator and the target. However the duration of the relationship was reported to have little impact (Wilkerson & Kipnis, 1978, p. 319).

Other studies have produced different findings. Miller, et. al., (1978) found duration to be an important factor (p. 49). Roloff (1978) reported similar findings.

Concerning personal variables, the literature was in agreement. Bearison and Glass (1979) found different strategy preferences on the basis of age. Finding different strategy preferences based on personality traits were Roloff and Barnicott (1978).

Finally, the research efforts reviewed by the investigator were limited by the fact that all of them reported subjects' responses to contrived or hypothetical situations. That weakness was pointed out by Miller, et. al. (1977)

who stated, "There is a vast difference between what people say they would do and what they would actually do" (p. 50). Bettinghaus (1980) and Cody (1978) suggested that the testing of typologies would be greatly enhanced if more testing were to take place in descriptive settings (p. 194).

Theories of Social Power

Because the study employed a typology of compliance-gaining strategies developed by Marweli and Schmitt (see Table 3), the investigator deemed it necessary to present the theoretical framework from which the typology was derived. The typology was based on six major theories of social power or influence. They included:

1. Etzioni's organizational power paradigm
2. French and Raven's bases of social power
3. Kelman's process of opinion change
4. Parson's concept of infuence
5. Skinner's theory of personal control
6. Weinstien and Deutchbeiger's theory of altercasting.

Etzioni (1961) presented his organizational power paradigm in the work, A Comparative Analysis of Complex Organizations. He defined power as, "an actors ability to induce or influence another actor to carry out his directives or any other norm he supports" (p. 4). The theorist argued that power differed according to the means employed to gain compliance. Etzioni identified three means: physical, material, or symbolic (p. 5).

Three types of organizational power were identified by Etzioni. He termed them "coercive", "remunerative", and "normative" (p. 5). Concerning normative power, the author noted two ancillary forms which he termed "pure

normative" power and "social" power. According to Etzioni, each type of power corresponded to the three means by which power could be employed (p. 6).

Coercive power was deemed to rest on the application, or the threat of application, of physical sanctions. The theorist saw remunerative power as based on the control of material resources. Normative power was described as the allocation and manipulation of symbolic rewards. Concerning normative power, Etzioni further suggested that a more "eloquent" name might be "persuasive", "manipulative", or "suggestive" power (p. 6).

The ancillary forms of normative power postulated by Etzioni were distinguished by what symbols were manipulated (pp. 7-9). Pure normative power consituted the manipulation of esteem, prestige, and ritualistic symbols. Social power rested on the manipulation of social norms.

Two years earlier, French and Raven (1959) proposed that persuaders operate from one or more of five bases of social power. Those bases included the persuaders' coercive power, reward power, attractiveness (referent power), expert power, and legitimate power (pp. 151-3). French and Raven defined social power as a persuader's ability to bring about a change in a persuadee's cognitions, attitude, or behavior (p. 154).

The bases of social power identified by the authors were delineated on the extent to which surveillance of the persuadee was dependent upon insuring compliance (p. 155). French and Raven argued that observability was critical to the operation of coercive and reward power. Thus those bases of social power were labeled "socially dependent on surveillance" (p. 158).

Labeled "socially dependent without surveillance" were referent, expert, and legitimate power (p. 159). French and Raven argued that

surveillance was not critical to the operation of those bases of power. In each case power was seen by French and Raven as residing in the persuader—rather than in external circumstances (p. 160).

French and Raven proposed definitions of each type of social power (pp. 162-6). Coercive power was seen as the persuader's ability to mediate punishment. Conversely, reward power was seen as the persuader's ability to mediate rewards. Referent power was described as the extent to which the persuadee identified with the persuader. Expert power was identified as the extent to which the persuadee attributed superior knowledge or ability to the persuader. Finally, legitimate power was defined as the persuadee's acceptance of a role structuring relationship with the persuader.

In a report of an experiment aimed at ascertaining how persons' opinions are changed, Kelman (1961) postulated his theory of the process of opinion change. Kelman described influence as being derived from three sets of antecedent and consequent conditions (p. 58). Those three sets were termed "compliance", "identification", and "internalization" (p. 59).

Concerning the antecedents of influence, the author proposed that the qualitative features of the influence situation determined which type of influence would be brought into play (p. 60). From those antecedents were thus derived consequents and thus each type of influence. Table 4 illustrates the process envisioned by Kelman.

The theorist provided descriptions of each process (pp. 61-66). For example, he saw compliance as that instance in which the target accepts the agent's influence in order to gain a favorable reaction from the agent. Identification was described as that situation in which the target adopts a behavior because it is associated with a self-defining relationship.

Table 4

Kelman's Processes of Opinion Change

Process	Compliance	Identification	Internalization
Antecedents:			
1. Importance of induction congruence	Concern with social effect	Concern with social anchorage	Concern with value
2. Source of power of controlling agent	Control of means	Attractiveness	Credibility
3. Manner of achieving prepotency of the limited response	Limitation of choices	Delineation of role requirements	Reorganization of means - ends network
Consequents:			
1. Performance conditions	Surveillance	Salience of relationship to agent	Relevance of values to issue
2. Conditions of change and extinction or inducement and response	Changed perceptions of conditions for rewards	Changed perceptions for self-satisfying relationships	Changed perceptions for value-maximization
3. Type of behavior system in which induced response is imbedded.	External demands of setting.	Role expectations	Personal value system.

Note. From "The Process of Opinion Change" by Herbert C. Kelman, Public Opinion Quaterly, 1961, 25, p. 67.

was seen as the target accepting certain behavior because of its congruence with the target's value system.

Kelman further agrued that the processes were ordered in nature (p. 76). He proposed that compliance, identification, and internalization were varying levels of influence ranging from a concious to an unconcious level. Kelman theorized that an individual could be influenced by any one of the types of influence or be influenced in stages; starting with compliance at the conscious level and ending with internalization of the unconcious level.

In a complicated article published in Public Opinion Quarterly, Parsons (1963) tendered his concept of influence. He postulated that influence takes place in one of two "channels" through the application of positive or negative sanctions (p. 39). The application of sanctions, he argued, were through the use of a particular "mode" and "medium", depending on which type of channel and sanction were in play (p. 40).

Parsons delineated the channels of influence on the basis of the extent to which the target's environment, inner motives or intentions were manipulated by the agent (pp. 41-42). Thus an agent attempting to manipulate a target's enviornment would be operating in a situational channel. Conversely, an agent attempting to influence a target by manipulating the target's inner motives or intentions would be utilizing an intentional channel. In each case the agent would employ positive or negative sanctions. Those sanctions would be applied through that channel's particular medium and mode.

Table 5 presents Parson's concept of influence. Under each type of sanction are set the medium and mode associated with each type of channel.

Table 5

Parson's Concept of Influence

Sanction	Channel	
	International	Situational
Positive:		
Mode	Persuasion	Inducement
Medium	Influence	Money
Negative:		
Mode	Activation of Commitments	Deterrence
Medium	Generalization of Commitments	Power

Note. From "On the Concept of Influence," by Talcott Parsons, Public Opinion Quarterly, 1963, 27, p. 46.

Parsons identified four modes and four media (pp. 43-44). The four modes consisted of two positive types termed "persuasion" and "inducement". Two negative modes were termed "activation of commitments" and "deterrence". The four media consisted of two positive types labeled "influence" and "money" as well as two negative types called "generalization of commitments" and "power".

The theoriest provided descriptions of the four modes (pp. 43-44). Persuasion represented an agent's attempt to convince the target that compliance would be right from the target's viewpoint. Inducement was seen as that instance in which the agent would manipulate the target's environment. Conversely, activation of commitments and deterrence were described as the agent's attempts to manipulate the target's inner self.

Also provided were explanations of the four media (pp. 45). Influence was accomplished by the agent through the appeal to differential loyalties held by the target. Money (or the material goods it symolizes) would be used to manipulate the target's rewards. Power would be used to manipulate the target's inner self.

Finally, Parsons differentiated between the activation and generalization of commitments (p. 46). Activation of commitments involved the agent's use of the relationship between the target and the agent. Generalization of commitments was seens as the agent's use of social norms.

In Science and Human Behavior, Skinner (1953) proposed eight means by which individuals attempt to control others (pp. 313-14). Those methods included:

1. The use of physical force
2. The manipulation of stimuli
3. The use of reinforcement
4. The use of aversive stimulation
5. Pointing out contingencies of reinforcement
6. The use of deprivation or satiation
7. The use of punishment
8. The use of emotion

Physical force was described as the use of brute strength or physical restraint. The second control method, manipulation of stimuli, was identified as the presentation of stimuli in oder to solicit or eliminate responses. Concerning reinforcement, Skinner described the rewarding of appropriate responses as positive reinforcement and the lack of rewards presented inappro-

priate responses as negative reinforcement. Aversive stimulation was seen as that instance in which the target is provided a noxious stimulus until the target complies with the agent's desires. A fifth control method, pointing out contingencies of reinforcement, was seen as that situation in which the agent makes reinforcement contingent upon the degree to which the target responds to the agent's request. Skinner described the use of deprivation or satiation as the presentation of two extreme amounts of reinforcement. For example, deprivation consists of the total removal of positive reinforcement. On the hand, satiation consists of the provision of positive reinforcers to the maximum level acceptable to the target.

Finally, Skinner explained two other means of control. Punishment was described as the removal of positive reinforcers or the presentation of aversive stimuli. The use of emotion was identified as the agent's stimulation of the target's emotional predispositions in order to elicit certain reflex emotive responses (e.g., fear, laughter).

Weinstien and Deutchberger (1965) postulated their theory of altercasting in an essay published in Sociometry. They defined altercasting as a technique of interpersonal control in which the agent attempts to create an identity or role for the target which is consistent with the agent's goals (p. 41). They argued that the "Ego" (agent of influence) directs behavior toward the "Alter" (target of influence) through "lines of action" (p. 42).

The scholars proposed that those lines of action are impacted upon by six dimensions (pp. 42-47). Those dimensions, they argued, determine the way in which the Ego creates an identity or role for the Alter. Of the six dimensions, the theorists identified three impacting upon the formal and

informal relationships between the Ego and the Alter. A fourth dimension dealt with the type of request or compliance the Ego is seeking. The two remaining dimensions were concerned with the interdependence of the Ego and the Alter.

The first three dimensions were labeled "structural distance", "evaluative distance", and "emotional distance" (p. 43). Structural distance was explained as the position of relative authority the Ego seeks the Alter to play out. Evaluative distance was described as the relative evaluative status of both parties as presented selves; independent of structural distance. The last dimension, emotional distance, concerned itself with the "primariness" or "secondariness" of the Alter's relationship with Ego as projected by Ego.

The fourth dimension was termed "support vs. support seeking" (p. 44). For example, if Ego indicates to Alter that Alter is an identity requiring Ego's help, the dimension reflects support. Conversely, if Ego indicates that Alter is an identity required to help Ego then the dimension reflects support seeking.

Comprising the last two dimensions were "interdependence vs. autonomy" and "degree of freedom allowed Alter" (p. 46). The former was regarded by the theorists as the extent to which Ego projects Alter as being tied to Ego by bonds of common fate, perspective, or interests. The latter was defined as the range of behavior Ego allows Alter within the enounter.

Marwell and Schmitt's Typology and the Theories of Social Power

As noted earlier, Marwell and Schmitt's typology was derived from six major theories of social power (Marwell and Schmitt, 1967, p. 349). By identifying common elements found in those theories and incorporating uncommon elements, the researchers derived their typology. Table 6 presents each strategy and its theoretical antecedent(s).

Table 6

The Theoretical Antecedents of Marwell and Schmitt's Typology

Strategy	Theoretical Antecedent(s)
Promise	Renumverative Power (Etzioni), reward power (French and Raven), means control (Kelman), inducement (Parsons), and pointing up of contingencies (Skinner).
Threat	Coercive power (Etzioni), coercive power (French and Raven), deterrence (Parsons), and pointing up of contingencies (Skinner).
Positive Expertise	Expert power (French and Raven) and support (Weinstien and Deutchberger).
Negative Expertise	Expert power (French and Raven) and support (Weinstien and Deutchberger).
Liking	Referent power (French and Raven), identification (Kelman), influence (Parsons) and emotional distance (Weinstien and Deutchberger).
Pre-Giving	Manipulation of stimuli (Skinner).
Aversive Stimulation	Aversive Stimulation (Skinner).
Debt	Activation of Commitments (Parsons).
Moral	Pure normative power (Etzioni), internalization (Kelman), and generalization of commitments (Parsons).
Positive Self-Feeling	Internalization (Kelman) and persuasion (Parsons).
Negative Self-Feeling	Internalization (Kelman and persuasion (Parsons).
Positive Altercasting	Evaluative distance (Weinstein and Deutchberger).
Negative Altercasting	Evaluative distance (Weinstein and Deutchberger).
Altruism	Support seeking (Weinstien and Deutchberger).

Table 6 (cont.)

The Theoretical Antecedents of Marwell and Schmitt's Typology

Strategy	Theoretical Antecedent(s)
Positive Esteem	Social power (Etzioni)
Negative Esteem	Social power (Etzioni)

Note. From "Dimensions of Compliance-Gaining Behavior: An Empirical Analysis," by George Marwell and David R. Schmitt, Sociometry, 1967, 30, pp. 347-8.

The authors proposed that three of the five principal factor solutions of their data analysis corresponded to three of French and Raven's bases of social power (p. 356). Reward power was likened to strategies which seek to manipulate the target's environment in a negative way. The strategies of negative and positive expertise (Factor III) were likened to expert power.

Marwell and Schmitt argued that the other two principal solutions were similar to Parson's concept of the activation and generalization of committments (p. 357). The researchers labeled the strategies of altruism and debt (Factor V) "activation of personal commitments" (p. 358). Factor IV was labeled "activation of impersonal commitments" (see Table 7, p 37).

Table 7 sets forth the two strategy clusters identified by Marwell and Schmitt. Under each cluster the principal factor solutions are provided. Each principal solution is set against the theoretical concept it exemplifies. Also included are the specific strategies comprising each principal factor solution.

Table 7

Marwell and Schmitt's Findings in Relation to the Theories of Social Power

Factor	Specific Strategies	Corresponding Social Power Theory
Major Cluster I: Socially Acceptable Strategies		
I	Pre-Giving, liking, promise	Reward power (French and Raven)
III	Positive/Negative expertise	Expert power (French and Raven)
IV	Positive/Negative Self-feeling Positive/Negative Alter-casting Positive/Negative Esteem Moral Appeal	Activation of commitments (Parsons)
Major Cluster II: Less Socially Acceptable Strategies		
Factor Factor	Specific Strategies	Corresponding Social Power Theory
II	Threat, aversive Stimulation	Coercive Power (French and Raven)
V	Altruism, debt	Activation of commitments (Parsons)

Note. From "Dimensions of Compliance-Gaining Behavior" by George Marwell and David R. Schmitt, Sociometry, 1967, 30, pp. 349-54.

Summary

The review of literature began with a discussion of the role of typologies in the testing and construction of theory. It was noted that typologies provide a means of ordering phenomena on the basis of their relationship, and thus strengthening generalizations and producing sounder theories.

Following that first section, the investigator discussed attempts by persuasion researchers to develop typologies of compliance-gaining strategies. The investigator found that scholars had attempted to generate typologies inductively and deductively. Also noted was the fact that scholars had concurrently examined the impact of situational context and personal variables. The investigator thus determined that the literature was divided on the basis of the scholars' focus on situational context or personal variables.

The third and fourth sections of the review of literature examined the two divisions in the literature noted by the investigator. Section three was concerned with scholars' attempts to develop typologies while concurrently focusing on the impact of situational context. Section four dealt with scholars' efforts to develop typologies while examining the impact of personal variables.

Agreement among the research efforts focusing on situational context was found by the investigator. It was noted that those reported findings supported scholars' notions concerning the impact of such factors as the relative power of the persuader and the persuadee; the amount of psychological information about the persuadee which the persuader had available; and the duration of the consequences of compliance as perceived by the persuader.

Concerning research which examined the impact of personal variables, the investigator reviewed two studies. The first (Bearison & Glass, 1979) found strategy preferences based on age. The second (Roloff & Barnicott, 1978) found strategy preferences related to machiavellian tendencies.

After the fourth section at the review of literature, the investigator examined the theories of social power which served as the antecedents of the typology employed in the present study. Those theoretical antecedents included:

1. Etzioni's organizational power paradigm.
2. French and Raven's bases of social power.
3. Kelman's process of opinion change.
4. Parson's concept of influence.
5. Skinner's theory of personal control.
6. Weinstien and Deutchberger's theory of altercasting.

In the final section of the review of literature, the investigator discussed the relationship of the typology to its theoretical antecedents in detail. The investigator noted that the typology incorporated elements prevalent in the six theories of social power.

Chapter III

Methodology

Population of the Study

The population of the study consisted of the contents of the "project narrative" of 156 federal grant proposals. Those proposals were funded by the Office of Community Education, U.S. Department of Education. All 156 "Project Narrative" sections were written by local grantees funded by the Office of Community Education during fiscal years 1977-78 to 1980-81.

Each grant proposal consisted of three sections (U.S. Department of Education, 1980). Those sections were the "Standard Federal Assistance Form", "Budget Information", and "Project Narrative". The first two sections contained standardized forms. Only the "Project Narrative" section allowed grantees to argue the merits of their projects. Thus the investigator excluded the first two sections of each proposal document.

Sample of the Study

One hundred percent of the population was sampled.

Instrumentation

The study utilized a simple coding sheet to record the scores produced by the data analysis (see Appendix A). A coding sheet for each proposal was used. On that coding sheet coders recorded the frequency with which specific

strategies were used. The coders also recorded the specific paragraph in which the strategy was found.

Data Acquisition

The study employed thematic analysis (Budd, et. al., 1967). Each theme or assertion was considered the unit of analysis. Thus each strategy detected was counted and placed in one of sixteen subcategories corresponding to Marwll and Schmitt's typology (see Table 3).

The sixteen subcategories comprised five categories. Those categories correspond to the five principal factor solutions found by Marwell and Schmitt (see Table 7). The counts for Categories I, III, and IV were totaled and placed in a supracategory which correspond to the first major cluster found by Marwell and Schmitt (see Table 7). Counts for categories II and V were placed in a supracategory which correspond to the second major cluster found by Marwell and Schmitt (see Table 7).

Following the rules of thematic analysis (Budd, et. al., 1967), the investigator used a pre-determined context unit. For the purposes of the study the investigator chose each paragraph of the material analyzed to serve as the context unit. Use of the paragraph met the stipulation that the context unit be large enough to provide the background necessary to permit coding, but not so large that coders could have become confused (Budd, et. al., 1967).

Coding of the data was performed by a panel of five coders. The investigator trained the coders in the methods of thematic analysis and exposed them to Marwell and Schmitt's typology. The coders were provided with nine contacts hours of training during three sessions held in the months of September and October, 1981.

Following the training of the coders a pilot study was conducted to determine the reliability of the coders. A "Project Narrative" section was drawn at random, copied, and provided to the coders. The investigator then instructed the coders to conduct his/her coding in isolation.

Determination of interrater reliability was computed using Holsti's Method (Budd, et. al., 1967, p. 68). The initial reliability level was computed to be .73. The investigator retrained the coders during a session held in November, 1981. Following the retraining a second interrater reliability test was conducted. Reliability increased to the .91 level and was deemed acceptable by the investigator (Budd, et. al., p. 68).

Construct validity was accomplished by the use of pre-defined sub-categories, categories, and supracategories (see Tables 3 and 7). Those pre-definitions were based on the theoretical antecedents of Marwell and Schmitt's typology (see Table 6). The categorization process met the rules of thematic analysis which demand that categories be mutually exclusive and applicable to the study (Budd, et. al., 1967).

Treatment of the Data

Preliminary data analysis consisted of four steps. First, the frequency with which each of the sixteen strategies (sub-categories) were used was recorded. Second, the sums of sets of sub-categories were derived in order to produce category totals. Third, the sums of sets of category were derived in order to produce supracategory totals. Fourth, the supracategory totals were summed in order to derive the total number of strategies recorded.

Secondary data analysis consisted of two steps. First, the frequency data for each subcategory, category and supracategory were converted to a

percentage of the total number of strategies recorded. Second, the percentages were analyzed using Chi-Square.

Chi-Square was applied in order to test for significances of difference at the subcategory, category and supracategory levels. The accuracy of the Chi-Square computation was enhanced by Yate's correction for Discontinuity (Minium, 1978, p. 427). Non-directional tests of significance were conducted at the .05 level in order to determine if significant differences occured at either extreme of the sampling distribution.

Following the tests of significance, the results of those tests were considered in aggregate. The investigator utilized Stouffer's Method of Combining Tests of Significance (Mosteller and Bush, 1958, pp. 328-31). The use of Stouffer's Method enabled the investigators to determine if the results of the tests of significance, when considered as a whole, indicated findings reflecting rarity or chance.

In using Stouffer's Method, the investigator followed four steps. First, the observed P-values were transformed to standard normal scores using available standard normal tables. Then the number of observations (tests of significance) were summed. Third, the square of the sum of observations was divided into the sum of the transformed P-values. Finally, the value derived from the fourth step was tested against a normal table score at the .05 level.

Figure 2 presents the contingency table, statistical hypothesis and alpha level concerning the percentage of total frequency accounted for by the sixteen subcategories (strategies). The study thus employed a 1 x 16 contingency table. The null hypothesis was tested at the .05 level with fifteen degrees of freedom.

Figure 2

Contingency Table and Statistical Hypothesis Concerning the Use of Specific Strategies or Subcategories (Hypothesis I)

Strategy	Expected Percentage of Frequency (Pe)
Promise	Pe = .0625
Threat	Pe = .0625
Expertise (positive)	Pe = .0625
Liking	Pe = .0625
Pre-Giving	Pe = .0625
Aversive Stimulation	Pe = .0625
Debt	Pe = .0625
Moral Appeal	Pe = .0625
Self-Feeling (positive)	Pe = .0625
Self-Feeling (negative)	Pe = .0625
Altercasting (positive)	Pe = .0625
Altercasting (negative)	Pe = .0625
Altruism	Pe = .0625
Esteem (positive)	Pe = .0625
Esteem (negative)	Pe = .0625

Total Pe = 1.00

Ho: Pe = .0625
Ha: Pe = .0625

α = .05 df = 15 X^2 crit = 25.00

Figure 3 presents the contingency table, statistical hypothesis and alpha level concerning the percentage of total frequency accounted for by the five categories (Marwell and Schmitt's factor solutions). A 1 x 5 contingency table was utilized. The null hypothesis was tested at the .05 level with four degrees of freedom.

Figure 4 presents the contingency table, statistical hypothesis and alpha level concerning the percentage of total frequency accounted for by the two supracategories (Marwell and Schmitt's major clusters). A 1 x 2 contingency table was used. The null hypothesis was tested at the .05 level with one degree of freedom.

Figure 5 sets forth the last statistical hypothesis. The investigator utilized Stouffer's Method (Mosteller and Bush, 1958). The aggregate test was set at the .05 level.

Summary of Methodology

The study sampled all 156 "Project Narrative sections of those local program grants funded by the U.S. Department of Education's Office of Community Education during fiscal years 1977-78 to 1980-81. Instrumentation consisted of a coding sheet on which the frequency with which specific strategies detected were recorded. Data was acquired through the use of thematic analysis. The analysis was conducted by five coders trained in the use of thematic analysis and exposed to Marwell and Schmitt's typology.

A pilot study was conducted to determine interrater reliability. The investigator computed a reliability level of .73. Subsequent re-training produced a reliability level of .91.

Figure 3

Contingency Table and Statistical Hypothesis
Concerning the use of Strategy Types
or Categories (Hypothesis II)

RA	PA	EX	AIC	APC	Percentage (Pe) Total
Pe =.20	Pe = .20	Pe = .20	Pe = .20	Pe = .20	Pe = 1.08

Ho: Pe = .20
Ha: Pe = .20

α = .05 df = 4 X^2 = 9.49

Pe = expected percentage

Where RA = Rewarding Activities (pre-giving, liking, and promise)

PA = Punishing Activities (threat and aversive stimulation)

EX = Expertise (negative or positive)

AIC= Activation of Impersonal Commitments (positive/ negative self-feeling, positive/negative altercasting, positive/ negative esteem and moral appeal)

APC= Activation of Personal Commitments (altruism and debt)

Figure 4

Contingency Table and Statistical Hypothesis Concerning the Use of Strategy Clusters or Supracategories (Hypothesis III)

		Percentage (Pe) Total
SA Pe = .50	LSA Pe = .50	Pe = 1.00

Ho: Pe = .50
Ha: Pe = .50

α = .05 df = 1 X^2 = 3.84

Pe = expected percentage

Where SA = Socially Acceptable Strategies (rewarding activities, expertise, and activation of impersonal commitments)

LSA= Less Socially Acceptable Strategies (punishing activities and activation of personal commitments)

Figure 5

Statistical Hypothesis Concerning the Findings
of the Three Tests of Significance
(Hypothesis IV)

$$Z = \frac{\text{sum of normal deviates}}{3}$$

Ho: z $\pm$ 1.96
Ha: z $\mp$ 1.96

α = .05 Z crit = $\pm$ 1.96

The data gathered by the thematic analysis was summed. Derived was the frequency accounted for by each specific strategy (subcategory), each of the five categories (Marwell and Schmitt's major clusters). Those frequencies were converted to percentages of the total frequency of strategies accounted for.

Chi-Square with Yate's correction was used to conduct three tests of significance. Those tests involved the percentage of frequency accounted for by the subcategories, categories, and supracategories. Using three 1 x C contingency tables, the investigator conducted each test of significance at the .05 level.

Aggregate data analysis was conducted using Stouffer's Method. The investigator attempted to determine if the results of the three tests, when taken as a whole, reflected findings due to chance or rarity. The aggregate test was conducted at the .05 level.

Chapter IV

Findings

Analysis of the Data

Table 8 illustrates the use of the sixteen strategies which comprised the typology. It reveals that the 156 "Project Narrative" sections contained 6,647 paragraphs (context units). The strategy or theme for each paragraph was categorized and counted.

The strategy of promise was the most frequently employed strategy (see Table 8). It accounted for 2,479 of the 6,647 frequency counts (37%). Accounting for 24% and 21% respectively were the strategies of positive expertise and liking. Those two strategies ranked second and third in frequency of use (see Table 8).

Three of the sixteen strategies were not employed at all (see Table 8). Those strategies were negative self-feeling, negative altercasting, and aversive stimulation. The three strategies tied for fourteenth in terms of rank order of use (see Table 8).

Figure 6 sets forth the results of the test of hypothesis concerning the use of specific strategies (Hypothesis I). The obtained Chi-Square value of 30.70 exceeded the criterion value at the .05 level. Thus, Hypothesis I failed to be accepted. The data analysis revealed statistically significant differences in the frequency with which specific strategies were used.

Table 8

Use of the Sixteen Strategies (Subcategories) Comprising the Typology

Strategy	Frequency of Use	Percentage*	Rank Order
Pre-Giving	232	3.5	6
Liking	1387	21.0	3
Promise	2479	27.0	1
Expertise (+)	1596	24.0	2
Expertise (-)	11	**	9
Self-Feeling (+)	1	***	11 (tie)
Self-Feeling (-)	0	0.0	14 (tie)
Altercasting (+)	165	2.5	7
Altercasting (-)	0	0.0	14 (tie)
Esteem (+)	1	***	11 (tie)
Esteem (-)	1	***	11 (tie)
Threat	3	***	10
Aversive Stimulation	0	0.0	14 (tie)
Altruism	327	5.0	5
Debt	391	6.0	4
Moral Appeal	53	1.0	8
Total	6647	100.00	

* Rounded to nearest percent
** Less than .5%
*** Less than .1%

Figure 6

Contingency Table and Results of Test of Hypothesis Concerning the Use of Specific Strategies or Subcategories (Hypothesis I)

Strategy	Expected Percentage (Pe)	Obtained Percentage (Pe)
Pre-Giving	6.25	3.50
Liking	6.25	21.00
Promise	6.25	37.00
Expertise (+)	6.25	24.00
Expertise (-)	6.25	(less than .5%)
Self-Feeling (+)	6.25	(less than .1%)
Self-Feeling (-)	6.25	0.00
Altercasting (+)	6.25	2.50
Altercasting (-)	6.25	0.00
Esteem (+)	6.25	(less than .1%)
Esteem (-)	6.25	(less than .1%)
Threat	6.25	(less than .1%)
Aversive Stimulation	6.25	0.00
Altruism	6.25	5.00
Debt	6.25	6.00
Moral Appeal	6.25	1.00
Total Pe = 100.00		Total Po = 100.00

Ho: Pe = .0625
Ha: Pe = .0625

X^2 obt = 30.70 α = .05 df = 15 X^2 crit = 25.00

Fail to accept null hypothesis

Table 9 illustrates the frequency totals for various strategy types or categories. Rewarding Activities accounted for nearly 62 percent of all strategies used. Expertise ranked second by accounting for 24 percent. Ranked third was the category termed Activation of Personal Commitments which accounted for almost 11 percent. The last two categories, Activation of Impersonal Commitments and Punishing Activities ranked fourth and fifth respectively. Together they accounted for less than four percent of the total frequency.

Table 9

Use of Strategy Types or Categories

Strategy	Frequency of Use	Percentage*	Rank Order
Rewarding Activities	4098	61.6	1
Expertise	1607	24.2	2
Activation of Impersonal Commitments	221	3.3	4
Punishing Activities	3	.1	5
Activation of Personal Commitments	718	10.8	3
Total	6647	100.00	

* Rounded to nearest one-tenth percent

Note: Rewarding Activities was comprised of liking, pre-giving, and promise.

Expertise was comprised of positive and negative expertise.

Activation of Impersonal Commitments was comprised of positive and negative altercasting, esteem, self-feeling, and moral appeal.

Punishing Activities was comprised of threat and aversive stimualtion.

Activation of Personal Commitments was comprised of altruism and debt.

The results of the test of hypothesis concerning the use of strategy types or categories (Hypothesis II) is set forth in Figure 7. A Chi-Square value of 12.54 was obtained. It exceeded the 9.49 Chi-Square criterion value. The data analysis thus revealed statistically significant differences in the use of various types of strategies.

Figure 7

Contingency Table and Results of Test of Hypothesis Concerning the Use of Strategy Types or Categories (Hypothesis II)

RA	EX	AIC	APC	Percentage (Pe) Total
Pe = .20	Pe = .20	Pe = .20	Pe = .20	Pe = 100.00
Po = .616	Po = .242	Po = .001	Po = .108	Po = 100.00

Pe = percentage expected Po = percentage obtained

Ho: Pe = .20
Ha: Pe = .20

X^2 obt = 12.54 α = .05 df = 4 X^2 = 9.49

Fail to accept null hypothesis

Where RA = Rewarding Activities

EX = Expertise

AIC= Activation of Personal Commitments

PA = Punishing Activities

APC= Activation of Imersonal Commitments

Table 10 presents the frequency totals accounted for by the supra-categories termed Socially Acceptable and Less Socially Acceptable. The first supra-category made up 89 percent of the strategies accounted for. The other accounted for a little under 11 percent. The results of the test of hypothesis concerning the proportions accounted for by the supra-categories (Hypothesis III) are set forth in Figure 8. The obtained Chi-Square value of 15.36 exceeded the criterion value of 3.84. Thus the investigator detected a statistically significant difference between the frequencies accounted for by the two supra-categories and therefore failed to accept the null hypothesis.

Table 10

Use of Strategy Types Contained in the Supracategories (Socially Acceptable and Less Socially Acceptable Strategies)

Supra-Category	Frequency of Use	Percentage*	Rank Order
Socially Acceptable	5926	89.2	1
Less Socially Acceptable	721	10.8	2
Total	6647	100.00	

* Rounded to nearest one-tenth percent

Note: Socially Acceptable Supra-Category consisted of the categories termed Rewarding Activities, Expertise, and Activation of Impersonal Commitments. Less Socially Acceptable Supra-Category consisted of the categories termed Punishing Activities and Activation of Personal Commitments.

Figure 8

Contingency Tables and Results of Test of Hypothesis Concerning the Use of Socially Acceptable and Less Socially Acceptable Strategies or Supracategories (Hypothesis III)

SA	LSA	Percentage (Pe) Total
Pe = .50	Pe = .50	Pe = 100.00
Po = .892	Po = .108	Po = 100.00

Pe = percentage expected Po = percentage obtained

Ho: Pe = .50
Ha: Pe = .50

X^2 obt = 15.36 α = .05 df = 1 X^2 = 3.84

Fail to accept null hypothesis

Where SA = Socially Acceptable Strategies

LSA= Less Socially Acceptable Strategies

Figure 9 sets forth the final test of the hypothesis. It concerned the results of the findings of the first three tests of hypothesis. The aggregate test using Stouffer's Method (Mosteller and Bush, 1958) obtained a "Z" score of +7.46. That value exceeded the criterion value of $\pm$ 1.96 with alpha set at .05. The investigator thus found the results of the first three tests of significance, when considered as a whole, to reflect findings indicative of rarity rather than chance.

The results illustrated in Figures 6, 7, 8, and 9 indicate that the investigator failed to accept any of the four hypotheses. In each case the obtained values exceeded the criterion level. Thus the analysis of the data revealed:

Figure 9

Results of Aggregate Test of Significance
(Hypothesis IV)

$$Z = \frac{\text{sum of normal deviates}}{\text{number of tests of significance}}$$

$$= \frac{58.6}{3}$$

$$= +7.46$$

Ho: $Z \quad \pm 1.96$
$Z \quad \pm 1.96$

$Z_{obt} = +7.46 \qquad \alpha = .05 \qquad Z_{crit.} = \pm 1.96$

Fail to accept null hypothesis

1. Statistically significant differences in the frequences with which specific strategies were employed (Hypothesis I).

2. Statistically significant differences in the frequencies with which various types or categories of strategies were employed (Hypothesis II).

3. Statistically significant differences in the use of supra-categories Socially Acceptable and Less Socially Acceptable (Hypothesis III).

4. That the results of the first three tests of significance, when taken as a whole, reflected rarity rather than chance (Hypothesis IV).

Comparisons With Other Studies

The investigator's findings tended to confirm the results of six earlier studies: Wilkerson and Kipnis (1978), Falbo (1977), Miller, et. al., (1977), Roloff (1976), Goodchilds and Quadrado (1975), and Marwell and Schmitt (1967). However little light was shed on the findings of Bearison and Glass (1979), Cody (1978), and Roloff and Barnicott (1978). The six earlier efforts that were supported attempted to develop typologies while studying the impact of

contextual factors. Conversely, the three unsupported studies focused on the impact of personal variables while trying to generate typologies.

Interestingly enough, the investigator did not focus on either set of variables. Also, the investigator's findings, unlike any of the earlier studies' findings, were derived from the application of a typology in a descriptive setting. Thus the present study confirmed the results of earlier efforts whose findings were limited to responses provided by subjects' reactions to hypothetical persuasive situations.

Perhaps even more revealing was that the present study confirmed the results of earlier efforts despite the fact that those earlier efforts utilized differing ways to generate typologies. For example, half of the earlier efforts generated typologies inductively (Wilkerson and Kipnis, 1978; Falbo, 1977; and Goodchilds and Quadrado, 1975). Conversely, the other three used typologies generated deductively (Miller, et. al., 1977; Roloff, 1976; and Marwell and Schmitt, 1967).

One example of the similarity of findings between the present study and earlier research was found in the results of the efforts of Wilkerson and Kipnis (1978). They noted that organizations facing "proactive" problems (organization must initiate action) tended to rely on four methods (see Figure 7):

1. Logical arguments
2. Offers of a deal or compromise
3. Being cooperative or friendly
4. Making the target aware of the initiators need for assistance

In a similar fashion, the authors of the proposals analyzed by the investigator used four specific strategies which comprised 87 percent of the frequencies reported (see Figure 6). Those strategies (subcategories) included:

1. Liking (21%)
2. Promise (37%)
3. Positive expertise (24%)
4. Altruism (5%)

The investigator noted that the strategy "liking" was very similar to the method of being cooperative or friendly. Second, the use of deals or compromises closely resembled "promise". Next, "positive expertise" seemed somewhat akin to the use of logical arguments. Finally, the method in which the initiator attempted to make the target aware of the initiator's need for help appeared to resemble the strategy termed "altruism". Thus three of the four "proactive" problem methods cited by Wilkerson and Kipnis were highly similar to the strategy preferences of the authors of the documents analyzed.

Further, Wilkerson and Kipnis found that organizations tended to use those methods when dealing with customers rather than suppliers. In the same vein, the investigator of the present study noted that an analogy could be drawn between the position of institutions attempting to procure grant monies and businesses attempting to persuade consumers to purchase their goods or services.

Finally, Wilkerson and Kipnis reported that those methods were used when the initiator organization was weaker than the target organization. It would seem safe to argue that an analogy could be drawn when considering the relative power of a local school district versus an office of the U.S. Department of Education.

The findings of the present study were also somewhat similar to the results of an earlier effort by Falbo (1977). Falbo's effort generated a typology inductively (see Table 2). Of those sixteen strategies, four correspond to specific strategies accounted for by the present study. Falbo's strategies of

bargaining, emotion-agent, expertise, and threat correspond to the subcategories (strategies) of promise, liking, positive expertise, and threat.

A third study in which the findings were similar was that of Miller, et. al., (1977). For example, Miller, et. al., reported that strategy preferences tended to be varied in non-interpersonal persuasive situations. Table 8 shows that the authors of the federal funding proposals used thirteen of sixteen strategies at least one time.

However the investigator noted a large divergence from the Miller, et. al., study. For example, Miller, et. al., reported that threat was more likely to be used in non-interpersonal situations (p. 49). However, Table 8 reveals that the authors of the analyzed documents used threat only three out of 6, 647 times.

Concerning the Roloff (1976) study, the investigator noted some similarity. For example, Roloff (1976) reported two types of strategies which he termed "pro-social" and "anti-social" (p. 173-74). Roloff's "pro-social" strategies seemed to correspond to the strategy types "rewarding activities" and "activation of personal commitments" (see Table 9). His "anti-social" strategies seemed to correspond to the strategy type "punishing activities" (see Table 9).

Goodchilds and Quadrado (1975) generated an inductively-derived typology which closely resembled French and Raven's bases of social power. The inductively-derived typology consisted of four strategies: expertise, trust, threat, and promises of reward (p. 28). Table 8 reveals that the authors of the federal funding proposals used four similar strategies: expertise, liking, threat, and promise.

The typology utilized by the investigator was a deductively-generated typology derived from the efforts of Marwell and Schmitt (1967). While the typology had been tested in an experimental study, it had not been tested in a descriptive setting. Nonetheless it proved useful.

As stated earlier, thirteen of the sixteen strategies were reported to be used at least once (see Table 8). Two of the five strategy types (rewarding activities and expertise) accounted for more than the expected percentage distribution (see Figure 7). However, two strategy types (activation of impersonal commitments and punishing activites) qualified as "empty cells."

Concerning the two supra-categories (strategy clusters in the Marwell and Schmitt effort), both were represented. However, socially acceptable strategies far outnumbered less socially acceptable strategies. Less socially acceptable strategies failed to account for even half of their expected frequencies (see Figure 8).

As noted earlier, the investigator found few, if any, similarities with three other research efforts. For example, the present study, as did Bearison and Glass (1979), found that potential persuaders used the strategies of bargaining and threat. However, the present study did not gather demographic data for comparison. Unlike Roloff and Barnicott (1978) the investigator did not attempt to measure personality variables such as machiavellian tendencies. Finally, the investigator did not attempt to discern persuaders' perceptions of the particular persuasive context as did Cody (1978).

Summary

Analysis of the data revealed that the investigator failed to accept the null hypothesis for each of the study's four hypotheses. Thus, in each case the alternative hypothesis was accepted.

Concerning Hypothesis I, the investigator found significant differences in the frequencies with which specific strategies were used. The percentages accounted for by specific strategies ranged from 37 percent (promise) to zero percent (negative self-feeling, negative altercasting, and aversive stimulation). An obtained Chi-Square value of 30.70 exceeded the criterion value of 25.00 with fifteen degrees of freedom at the .05 level.

In regard to Hypothesis II, the investigator found significant differences in the frequencies with which various types of strategies were used. The percentages accounted for by the various types of strategies ranged from 62 percent (rewarding activities) to less than one-tenth of a percent (punishing activities). An obtained Chi-Square value of 12.54 exceeded the critical value of 9.49 with four degrees of freedom at the five percent level.

The third test of hypothesis revealed significant differences in the use of socially acceptable and less socially acceptable strategies. Socially acceptable strategies accounted for 89 percent of the total frequency while less socially acceptable strategies accounted for around 11 percent. An obtained Chi-Square value of 15.36 exceeded the criterion value of 3.84 with one degree of freedom at the .05 level.

An aggregate test of the results of the first three tests of hypothesis was conducted (Hypothesis IV). Using Stouffer's Method for Combining Tests of Significance, the investigator found that the results of the three tests of hypothesis reflected findings due to rarity rather than chance. An obtained "Z" score of +7.46 exceeded the critical value of $\pm$1.96. Alpha was set at the five percent level.

Comparisons with other studies revealed that the findings supported the earlier efforts of: Wilkerson and Kipnis (1978); Falbo (1977); Miller, et. al.,

(1977); Roloff (1976); Goodchilds and Quadrado (1975); and Marwell and Schmitt (1967). However the findings produced some disagreement with those of Miller, et. al., (1977), who found that persuaders tended to prefer the use of threat in non-interpersonal persuasive contexts. The investigator found that the authors of the documents analyzed tended to prefer the use of reward-oriented strategies.

Little light was shed on three earlier studies: Bearison and Glass (1979); Cody (1978); and Roloff and Barnicott (1978). Unlike those researchers' efforts, the investigator did not attempt to discern potential persuaders' personal or social characteristics.

In general the findings supported earlier attempts to develop and use typologies of compliance-gaining behaviors. Earlier studies generating typologies through inductive means were supported as were studies generating typologies deductively. In short, the present study, which tested a typology in a descriptive setting for the first time, confirmed earlier research conducted in experimental settings.

Chapter V

Summary, Conclusions and Recommendations

Summary

The purposes of the study were four-fold. The first was to examine selected federal funding proposals as persuasive messages. A second purpose was to examine the persuasive strategies employed by the authors of those proposals by using a typology of persuasive strategies devised by scholars involved in persuasion research. Thirdly, the investigator sought to examine the efficacy of the theoretical antecedents on which the typology was built. Last, the study sought to go beyond current research by using the typology in a descriptive setting for the first time.

The study sought to determine what compliance-gaining strategies were employed by the authors of selected federal funding proposals as revealed by the contents of those proposals. Specifically, the study sought to determine:

1. The frequency with which specific strategies were used.
2. The frequency with which various strategy-types were used.
3. If there were significant differences in the frequencies with which specific strategies were employed.
4. If there were differences in the frequencies with which various strategy-types were employed.
5. If the differences, in the frequency of use of specific strategies and strategy-types, were significant when considered as a whole.

The investigator tested four hypotheses. They were:

Hypothesis I: That there was no significant difference in the frequencies with which specific strategies were employed.

Hypothesis II: That there was no significant difference in the frequencies with which various strategy-types were employed.

Hypothesis III: That there was no significant difference between the frequency with which socially acceptable strategies and less socially acceptable strategies were employed.

Hypothesis IV: That the results of the first three tests of hypothesis, when taken as whole, were not significant.

Three limitations bound the study. Those limitations were:

1. Only those grant proposals submitted to the Office of Community Education, U.S. Department of Education were examined.
2. Only the "Project Narrative" portion of those proposals was examined.
3. Only those proposals awarded funding between federal fiscal years 1977-78 and 1980-81 were examined.

The investigator made four important assumptions:

1. That the persuasiveness of the proposals' "Project Narrative" section contributed in part or in whole to their being awarded funding.
2. That those coding the data worked independently from each other.
3. That those coding the data examined their portion of the data as closely as possible.
4. That the use of theoretically derived subcategories (strategies), categories (strategy-types), and supra-categories (socially acceptable and less socially acceptable clusters) provided construct validity.

The data were examined by a set of trained coders familiarized with the typology of strategies and with the techniques of thematic analysis. A pilot study was conducted. A subsequent re-training of the coders produced an interrater reliability level of ninety-one percent.

The team of coders analyzed the "Project Narrative" section of 156 federal funding proposals. Those "Project Narrative" sections contained 6, 647 paragraphs. The paragraph served as the unit of measurement. Those 6, 647 paragraphs sampled contained the population of the study. Thus, one-hundred percent of the study's population was sampled.

Following the coding of the data, the investigator conducted the data analysis. Preliminary analysis consisted of a computation of the frequencies with which specific strategies, strategy-types, and groupings of strategy-types were used. Secondary analysis consisted of the conversion of those frequencies to proportions (percentages) and the use of Chi-Square with Yate's Correction for Discontinuity in order to conduct three tests of hypothesis. Aggregate analysis consisted of a test of the results of the three tests of hypothesis via Stouffer's Method for Combining Tests of Significance.

The first three tests of hypothesis were conducted with alpha set at the five percent level. In the first test of hypothesis an obtained Chi-Square value of 30.70 exceeded the critical value of 25.00 with fifteen degrees of freedom. The second test of hypothesis yielded an obtained Chi-Square value of 12.54 which exceeded the critical value of 9.49 with four degrees of freedom. The third test of hypothesis yielded an obtained Chi-Square value of 15.36 versus a critical value of 3.54 with one degree of freedom.

The aggregate test of the data (Hypothesis IV), which used Stouffer's Method, yielded an obtained "Z" score of +7.46. That obtained score exceeded the critical value of $\pm$1.96. Alpha was set at the five percent level.

The investigator thus reported four major findings. First, there were significant differences in the frequencies with which specific strategies were used. Second, there were significant differences in the frequencies with which various strategy-types were used. Thirdly, there was a significant difference between the use of socially acceptable and less socially acceptable strategy-type groupings. Finally, the results of the tests of hypothesis, when considered as a whole, reflected findings due to rarity rather than chance. Thus, in each instance the investigator failed to accept the null hypothesis.

Conclusions

Five major conclusions were drawn by the investigator in regard to the impact of situational context on strategy perference. First, weaker initiator organizations rely on attempts at being friendly or cooperative with the target. They also make use of promises or attempts at striking bargains. Third, weaker initiators utilize logical arguments or claims of expertise. Next, weaker initiators rely on altruistic appeals. Finally, persuaders faced with a non-interpersonal situation use a variety of strategies although they usually rely on reward-oriented strategies.

Further, the investigator found evidence supporting the theoretical antecedents of the typology used in the present study. The bases of social power termed "socially dependent without surveillance" by French and Raven (expert power, referent power, reward power) were utilized in a non-interpersonal persuasive situation. Second, persuaders employ inducements of rewards in order to gain control of a persuasive situation as Parsons theorized.

Recommendations

The investigator recommended that further analysis of private and public funding proposals be conducted. Another avenue of study recommended by the investigator was analysis of inter-organizational documents such as those between customers and suppliers. A third descriptive setting holding potential for further study was deemed to be the minutes of policy-making bodies in the public and private sectors. Also, the investigator suggested that analysis of the texts of speeches, advertisements, proclaimations by public officials, and press conferences be conducted. Finally the investigator recommended that such studies be enhanced by giving attention to the personal characteristics of the persuaders involved.

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Castaldi, R. Office of Community Education, U.S. Department of Education, Washington, D.C., December 22, 1980.

APPENDIX A

CODING SHEET

Coder's Name _____ Text ID Number _____

Strategy	Frequency	Paragraph Number
Pre-Giving		
Liking		
Promise		
Expertise (+)		
Expertise (-)		
Self-Feeling (+)		
Self-Feeling (-)		
Altercasting (+)		
Altercasting (-)		
Esteem (+)		
Esteem (-)		
Threat		
Aversive Stimulation		
Altruism		
Debt		
Moral Appeal		