PHD

Corporate planning in a turbulent environment: a participant observer longitudinal study of the introduction and operation of corporate planning in a college of higher education, 1974-84

Williams, Gethin

Award date: 1987

Awarding institution: University of Bath

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CORPORATE PLANNING IN A TURBULENT ENVIRONMENT

A PARTICIPANT OBSERVER LONGITUDINAL STUDY OF THE INTRODUCTION AND OPERATION OF CORPORATE PLANNING IN A COLLEGE OF HIGHER EDUCATION, 1974-84

Submitted by

GETHIN WILLIAMS

For the degree of Ph.D of the

UNIVERSITY OF BATH

1987

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GETHIN WILLIAMS
ACKNOWLEDGEMENTS

A Researcher inevitably incurs a debt of gratitude to a wide circle of colleagues who, both knowingly and unknowingly, help to clarify thoughts and provide new leads to follow through. Such has been my experience and my thanks extend to all who have become implicated in the study. Among the colleagues to whom I should like to give special thanks are Messrs. D.L.A. and P.R.T. for valuable exchanges at the conceptual level, college library staff for their ready help with references, M.I.H. for his general support and my immediate colleagues J.C.S. and Mrs. E.D. for their direct practical help, notably at the time of writing up. Special thanks are also due to W.M. and M.T. who, with M.I.H., acted as assessors for the authentication of the longitudinal study.

I should like to formally acknowledge the financial assistance received from my Education Authority with the payment of tuition fees and travelling expenses over a five year period.

A part-time student, however, needs the greatest amount of help and support from his supervisor and family. In Professor Raymond Thomas I found a generous and understanding supervisor, sensitive to contextual realities and always positive and supportive. To him my most sincere thanks. The highest opportunity cost has inevitably been incurred by my wife but at no time has she presented an account for the large chunk of our family life claimed by the research. Her support has been total and unconditional throughout. A special thanks, therefore, to my wife Eileen and sons Aled and Huw.
PART I: INTRODUCTION

Chapter 1: Introduction

1. Rationale
2. Perspective
   2.1 Research Style
   2.2 Epistemology and Ontology
   2.3 Methodology
3. Structure and Content
   3.1 Part II
   3.2 Part III
   3.3 Part IV

PART II: REVIEW OF THE LITERATURE ON CORPORATE PLANNING AND ORGANISATIONAL CONTEXT

Chapter 2: The Semantics of Corporate Planning

1. Semantic Confusion
2. Corporate Planning as Decision-Making
   2.1 Decision Set
   2.2 The Approach to Decision Making
   2.3 Levels of Decision Making
3. Philosophy of Planning
   3.1 Ideology
   3.2 Rationality
   3.3 Instrumentality
# Technology of Planning

## Context

1. **Internal Environment**
2. **External Environment**

## Chapter 3: Currency of Ideas and Perspectives on Corporate Planning in the Private Sector

1. Taylor (1972) 45
2. Denning et al (1971) 47
3. Argenti (1974) 50
5. Steiner and Miner (1977) 57
6. Thomas (1977) 60
7. Eliasson (1976) and Harris (1978) 64
8. Ansoff (1979) 66
10. Taylor and Hussey (1982) 75

## Chapter 4: Currency of Ideas and Perspectives on Corporate Planning in the Public Sector

1. Policy Studies 81
   1.1 Ham and Hill (1984)
   1.2 Open University D331 (1974) and D336 (1980)
2. Local Government 92
   2.1 Eddison (1973 and 1982)
   2.2 The Bains Report (1972)
   2.3 Reappraisal at Inlogov
3. Education 110
   3.1 Brierly (1972)
   3.2 Fielden and Lockwood (1973)
   3.3 Ambiguity, Organisational Anarchy and Loose Coupling
   3.4 Open University E321 (1976) and E324 (1984)
   3.5 Coombe Lodge Reports
### Chapter 5: The Analysis of Context

1. **The Contingency Approach**
   - **1.1 Introduction**
   - **1.2 Integration and Control**
   - **1.3 The Task Contingency Approach**
   - **1.4 The Political Contingency Approach**
   - **1.5 Ansoff (1979)**
   - **1.6 Assessment and Use of the Contingency Approach**

2. **The Contextualist Perspective**
   - **2.1 Introduction**
   - **2.2 Critical Review of Existing Dominant Perspectives**
   - **2.3 View of Change and Choice of Process Mode**
   - **2.4 Conceptual Framework**
   - **2.5 Empirical Studies**
   - **2.6 Problems**
   - **2.7 Becker and Kogan (1980)**

3. **Organisations as Organised Anarchies**
   - **3.1 Introduction**
   - **3.2 Characteristics of an Organised Anarchy**
   - **3.3 Garbage Can Theory**
   - **3.4 Theory and Practice**

---

**PART III: LONGITUDINAL STUDY**

**Introduction**

**Chapter 6: Perspective**

**SECTION A: THE CHOSEN INTERPRETIVE SET**
1. Interpretive Framework 1: Contingency 224
   1.1 Organisational Purpose
   1.2 Organisational Design
   1.3 Task Contingencies
   1.4 Political Contingencies

2. Interpretive Framework 2: Contextualist 229
   2.1 The Interactions Between Levels Through Time
   2.2 Process of Strategic Change
   2.3 Political Process Mode
   2.4 Cultural Process Mode
   2.5 Patterns of Change

3. Interpretive Framework 3: Garbage Can 230
   3.1 Incidence and Levels of Ambiguity
   3.2 Choice Opportunities viewed as Garbage Cans
   3.3 Participation and Attention
   3.4 Belief Structures
   3.5 Conspicuous Variables
   3.6 Organisational Leadership

SECTION B: THE RESEARCHER 232-245

4. The Researcher as Reflective Practitioner 232

5. The Researcher as Participant 233
   5.1 Background
   5.2 Early Career in the College and Involvement with the Merger: 1963-1975
   5.3 Head of School: 1975-1977
   5.4 Dean of Faculty: 1977-1980
   5.5 Assistant Principal: 1980-

6. The Researcher as Observer 236
   6.1 Reflective Practice
   6.2 Appreciative Setting
   6.3 Preferred Theories and Strategies
Chapter 7: A Synoptic View

1. Introduction

   2.1 Demand and Supply
   2.2 The Management and Funding of Higher Education
   2.3 The Role of Intermediaries

3. College Management and Development 1974/75 to 1976/77
   3.1 Major Sources of Turbulence and Uncertainty
   3.2 College Management and Development

   4.1 Major Sources of Turbulence and Uncertainty
   4.2 Resourcing
   4.3 Organisational Developments

5. College Management and Development 1979/80 to 1983/84
   5.1 Major Sources of Turbulence and Uncertainty
   5.2 The Planning Cycle and Academic Sub-Committee Structure
   5.3 Faculty and Corporate Strategies
   5.4 Philosophy, Technology and Context

Chapter 8: Academic Sessions 1974/75 to 1976/77. Period of Time from the Contemplation and Achievement of a Merger to the Introduction of Corporate Planning

SECTION A: DESCRIPTION

1. The Merger
   1.1 The Colleges Involved
   1.2 Government Policy and the Response of the local Authorities
1.3 The Contemplation of the Merger in the Colleges

1.4 The Joint Working Party

2. The Board of Governors

2.1 Status and Role

2.2 Chairman

2.3 The Completion of Organisational Arrangements

2.4 Finance

2.5 Accommodation Problems

2.6 The Role of the College and its Relationship with the LEA

2.7 Developments in the External Environment

3. The Academic Board

3.1 Sources of Tension

3.2 Course Development

3.3 Resourcing

3.4 Academic Committee Structure

4. Senior Management

5. Faculty Boards

5.1 Modes of Operation and Management Styles

5.2 Initial Preoccupations

5.3 Shared Preoccupations

6. The CNAA Institutional Review, March 1977

6.1 The Significance of the Review

6.2 The Visit

6.3 The Report

6.4 The Impact of the Report

7. Inter-Relationships and Interactions

7.1 The Board of Governors and the Academic Board

7.2 The Academic Board and Faculty Boards
SECTION B: INTERPRETATION

8. Contingency Perspective
   8.1 Organisational Purpose
   8.2 Organisational Design
   8.3 Task Contingencies
   8.4 Political Contingencies
   8.5 Alignments and Correspondences

9. Contextualist Perspective
   9.1 Strategic Change
   9.2 Context
   9.3 Inter-relationships
   9.4 Political and Cultural Analysis of Context and Process
   9.5 Pattern of Change
   9.6 Alignments and Correspondences

10. Garbage Can Perspective
    10.1 Incidence and Levels of Ambiguity
    10.2 Choice Opportunities Viewed as Garbage Cans
    10.3 Participation and Attention
    10.4 Belief Structures
    10.5 Conspicuous Variables
    10.6 Organisational Leadership

11. General Perspective

Chapter 9: Academic Sessions 1977/78 and 1978/79. Period of Time During which the need for Corporate Planning was Acknowledged and a System Designed and Inaugurated

SECTION A: DESCRIPTION

1. The Academic Sub-Committee Structure
2. The Planning Cycle
3. The CNAA Visit: 27th and 28th February, 1979
4. The Emergence of Faculty Strategies and a College Academic Policy
4.1 Innovations in the Faculty of Management and Administration

4.2 Responses of other Faculties

4.3 College Academic Policy

5. The Teach-In, 5th and 6th July, 1979 384

6. Other Preoccupations of the Academic Board 385
   6.1 Course Development
   6.2 Revenue and Capital Allocations
   6.3 Computer Services

7. The Preoccupations of the Board of Governors 387
   7.1 Finance
   7.2 The Role of the College and its Relationship with the County Council in the Light of National Developments
   7.3 College Management
   7.4 The Continuing Dialogue with CNAA

SECTION B: INTERPRETATION 390-423

8. Contingency Perspective 390
   8.1 Organisational Purpose
   8.2 Organisational Design
   8.3 Task Contingencies
   8.4 Political Contingencies
   8.5 Alignments and Correspondences

9. Contextualist Perspective 398
   9.1 Strategic Change
   9.2 Inter-relationships
   9.3 Political and Cultural Analysis of Context and Process
   9.4 Pattern of Change
   9.5 Alignments and Correspondences
10. Garbage Can Perspective

10.1 Incidence and Levels of Ambiguity
10.2 Choice Opportunities Viewed as Garbage Cans
10.3 Participation and Attention
10.4 Belief Structures
10.5 Conspicuous Variables
10.6 Organisational Leadership

11. General Perspective

Chapter 10: Academic Sessions 1979/80 to 1983/84. Period of Time During which the Planning System Became Fully Operational

SECTION A: DESCRIPTION

1. The External Environment

1.1 Local Authority Finance
1.2 The Management and Funding of Higher Education
1.3 Value for Money Studies of the Audit Commission
1.4 The Influence of Regulatory Bodies
1.5 Changes in the Local and Regional Economies

2. Internal Environment

2.1 The Planning Cycle
2.2 Changes in Management Structure

3. The Faculty Boards

3.1 Introduction
3.2 Conduct of Business, Frequency of Meetings and Attendance
3.3 Adherence to the Planning Cycle and its Requirements
3.4 Course Development
3.5 Major Issues: Shared Concerns
3.6 Major Issues: Faculty Centred
4. The Sub-Committees of the Academic Board

4.1 Introduction

4.2 Interpretation of Role and General Conduct of Business

4.3 Planning Cycle: Review Phase (Phase 1)

4.4 Planning Cycle: The Formulation and Updating of Strategies (Phase 2)

4.5 Planning Cycle: Programmes and Estimates (Phase 3)

4.6 The Involvement of the Sub-Committees in Corporate Planning

4.7 The Computer Services Committee

5. The Academic Board

5.1 Role and General Conduct of Business

5.2 The Academic Board and Faculty Boards

5.3 The Academic Board and the Planning Cycle

5.4 Other Major Preoccupations

6. The CNAA Institutional Review (March 1982) and Report

6.1 Preparations

6.2 The Visit, 16th March, 1982

6.3 The Report

6.4 Response to the Report

7. Senior Management

7.1 Roles and Relationships

7.2 Interfacing with the External Environment

7.3 Interfacing within the college

7.4 Interfacing within Senior Management

8. The Board of Governors

8.1 Introduction

8.2 Role of the College

8.3 College Management

8.4 College Funding
8.5 Accommodation
8.6 Responses to Changes in the External Environment
8.7 Relations with Staff and Students

SECTION B: INTERPRETATION

9. Contingency Perspective
9.1 Organisational Purpose
9.2 Organisational Design
9.3 Task Contingencies
9.4 Political Contingencies
9.5 Alignments and Correspondences

10. Contextualist Perspective
10.1 Inter-relationships
10.2 Political and Cultural Analysis of Context and Process
10.3 Pattern of Change
10.4 Alignments and Correspondences

11. Garbage Can Perspective
11.1 Incidence and Levels of Ambiguity
11.2 Choice Opportunities Viewed as Garbage Cans
11.3 Participation and Attention
11.4 Belief Structures
11.5 Conspicuous Variables
11.6 Organisational Leadership

12. General Perspective

Chapter 11: Authenticity

1. Introduction
1.1 Authenticity
1.2 Missing Dimension
2. Phase 1

2.1 The Merger
2.2 College/LEA Interface
2.3 Financial Cuts
2.4 The CNAA Visit and Report
2.5 Faculty Management
2.6 Principal's Style of Leadership
2.7 Role of NATFHE
2.8 Conflict
2.9 Turbulence

3. Phase 2

3.1 Perceptions of and Responses to the Planning Cycle
3.2 The Value of the Handbook
3.3 Legitimacy Conferred by the 1979 CNAA Visit

4. Phase 3

4.1 Role of Chairman of Governors
4.2 College/LEA Interface
4.3 1982 CNAA Visit
4.4 Changes in Management Structure
4.5 Functioning of the Academic Board
4.6 Impact on Senior Management

5. General View

5.1 Authenticity of the Longitudinal Study
5.2 Significances
5.3 Researcher's Perceptions and Roles
5.4 Perceptions of Turbulence
5.5 View of the General Influence Exerted by Corporate Planning
PART IV: EVALUATION AND CONCLUSIONS

Introduction

Chapter 12: Corporate Planning - Intention, Achievement and Pathology

1. Problems of Evaluation
   1.1 Measuring Performance
   1.2 Intention
   1.3 Achievement
   1.4 Pathology

2. Design Specification and Intention
   2.1 Strategic Change
   2.2 Rationale
   2.3 Design Specification
   2.4 Context

3. Achievement
   3.1 Introduction
   3.2 Process Outcomes
   3.3 Performance Outcomes

4. Pathology
   4.1 Introduction
   4.2 Process Outcomes
   4.3 Performance Outcomes

Chapter 13: Conclusions

1. The Planning Process
   1.1 Shifts in Perspective and Changes in the Currency of Ideas on Corporate Planning
   1.2 Philosophy
   1.3 Technology
   1.4 Context
   1.5 Impact
2. Analysis of Context

2.1 Choice of Interpretive Set

2.2 Power in Application

3. The Process and Patterns of Strategic Change

3.1 General View of the Process of Strategic Change

3.2 Patterns of Change

4. Managerial Performance

4.1 Raised Expectations

4.2 Coping with Complexity and Uncertainty

4.3 Managing Change

4.4 Organisational Learning

5. Significance of the Findings for Other Practitioners and Researchers

5.1 Reflective Practice

5.2 Pathologies of Corporate Planning

5.3 Strategic Change

5.4 Transferability of Research Style

6. Conclusion

REFERENCES

APPENDICES

A Notes of Guidance on the Particulars to be Provided to CNAA Prior to the Council Visit

B Composition and Terms of Reference of the Sub-Committees of the Academic Board

C Staff Development Model

D Framework Adopted for the Conduct of a 'Delphi Exercise' in the Faculty of Management and Administration

E Report of the Principal on the Responsibilities of Certain Senior Academic/Administrative Staff

F Patterns of Attendance at Meetings of the Academic Board and its Sub-Committees
<table>
<thead>
<tr>
<th>Page</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>755</td>
<td>G College Promotion and Publicity - A Policy Document</td>
</tr>
<tr>
<td>763</td>
<td>H CNAA Institutional Review, March 1982</td>
</tr>
<tr>
<td></td>
<td>H1 Main Document and Appendices: Summary of Contents</td>
</tr>
<tr>
<td></td>
<td>H2 Main Document, Chapter 3: Summary of Contents</td>
</tr>
<tr>
<td></td>
<td>H3 Main Document, Chapter 3: Assessment of External and Internal Environment</td>
</tr>
<tr>
<td>773</td>
<td>I Notes Prepared by the Assistant Principal for a Meeting of Senior Management on 14th December, 1981 to Discuss a College Academic Plan</td>
</tr>
<tr>
<td>788</td>
<td>J Performance Indicators: Explanatory Paper Prepared by the Assistant Principal</td>
</tr>
<tr>
<td>803</td>
<td>K New Guidelines for the Presentation of Faculty Strategies</td>
</tr>
<tr>
<td>806</td>
<td>L Observations Submitted to WAB on Student Numbers Allocated to the College of Higher Education</td>
</tr>
<tr>
<td>813</td>
<td>M Recommendations of the Course Administration Sub-Committee on Course Monitoring and Evaluation</td>
</tr>
<tr>
<td>815</td>
<td>N Report to the Academic Board on Faculty Responses to the Course Administration Sub-Committee's Paper on Course Monitoring and Evaluation</td>
</tr>
<tr>
<td>817</td>
<td>O Observations of the Staff Development and Research Sub-Committee on Faculty Strategies</td>
</tr>
<tr>
<td>822</td>
<td>P Draft Corporate Strategy: Consideration of Alternative Means for Achieving Objectives</td>
</tr>
<tr>
<td>828</td>
<td>Q Observations of the Academic Board on the Institutional Review Report Following the CNAA Visit on 16th March, 1982</td>
</tr>
<tr>
<td>832</td>
<td>R Roles and Responsibilities of Heads of School</td>
</tr>
<tr>
<td>837</td>
<td>S ATTI Branch of the College of Technology</td>
</tr>
<tr>
<td></td>
<td>S1 Discussion Paper: The Merger of Colleges in the County - the search for a Rational Approach Designed to Serve the Best Interests of the Staff and the Community at Large</td>
</tr>
<tr>
<td></td>
<td>S2 Executive Committee Recommendation to the Branch on the Position to be Adopted by College Representatives</td>
</tr>
<tr>
<td>847</td>
<td>T Extract from Faculty Newsletter - November 1978</td>
</tr>
<tr>
<td>848</td>
<td>U Extracts from the Planning Cycle Handbook</td>
</tr>
<tr>
<td>868</td>
<td>V Statistical Tables</td>
</tr>
</tbody>
</table>

Table 1: Employment by Main Sectors ('000) in the County
Table 2: Student Targets and Recruitment for 1985/86 (FTEs)

Table 3: Distribution of Students (FTEs) between Advanced and Non-Advanced Courses

Table 4a: Student Enrolments (FTEs) in the Faculty of Art and Design 1978/79 - 1985/86

Table 4b: Student Enrolments (FTSs) in the Faculty of Education and Combined Studies 1978/79 - 1985/86

Table 4c: Student Enrolments (FTEs) in the Faculty of Management and Professional Studies 1978/79 - 1985/86

Table 4d: Student Enrolments (FTEs) in the Faculties of Science and Technology 1978/79 - 1985/86

Table 5: Growth of Students (FTEs) on Advanced Courses in Welsh LEAs having a Comparable College of Higher Education or Polytechnic 1981/82 - 1983/84

Table 6: Changes in Student Enrolments (FTEs) 1981/82 to 1985/86

Table 7: Staff Development and Research Budget for the Financial Year 1984/85

W Extracts from the Corporate Strategy for the Three Year Period 1985/86 - 1987/88 Presented to the Board of Governors, October 1985 878

X A Four-Phase Political Systems Model of Policy Formation 886

Y Format for Faculty Strategies Chosen by the Faculty of Management 887

Z Questions presented to the Internal Assessors 889

The dissertation is bound in two volumes

Volume 1 i - 423

Volume 2 424-892
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACC</td>
<td>Association of County Councils</td>
</tr>
<tr>
<td>ACES</td>
<td>Advanced Courses Early Statistics</td>
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<td>ACSET</td>
<td>Advisory Council for the Supply and Education of Teachers</td>
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<tr>
<td>AEPTI</td>
<td>Applied Engineering Practice and Technology</td>
</tr>
<tr>
<td>AFE</td>
<td>Advanced Further Education</td>
</tr>
<tr>
<td>AMA</td>
<td>Association of Metropolitan Authorities</td>
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<td>APC</td>
<td>Association of Principals of Colleges</td>
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<tr>
<td>ASQ</td>
<td>Administrative Science Quarterly</td>
</tr>
<tr>
<td>ATCDE</td>
<td>Association of Teachers in Colleges and Departments of Education</td>
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<tr>
<td>ATTI</td>
<td>Association of Teachers in Technical Institutions</td>
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<tr>
<td>BEC</td>
<td>Business Education Council</td>
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<tr>
<td>B/TEC</td>
<td>Business and Technician Education Council</td>
</tr>
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<td>BLAISE</td>
<td>British Library Automated Information Service</td>
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<tr>
<td>CAD</td>
<td>Computer Aided Design</td>
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<td>CAL</td>
<td>Computer Assisted Learning</td>
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<tr>
<td>CAM</td>
<td>Computer Aided Manufacture</td>
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<tr>
<td>CBA</td>
<td>Cost Benefit Analysis</td>
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<tr>
<td>CBI</td>
<td>Confederation of British Industries</td>
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<tr>
<td>CDP</td>
<td>Committee of Directors of Polytechnics</td>
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<tr>
<td>CDT</td>
<td>Craft, Design, Technology</td>
</tr>
<tr>
<td>CEA</td>
<td>Cost Effectiveness Analysis</td>
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<td>CLEA</td>
<td>Council of Local Education Authorities</td>
</tr>
<tr>
<td>CNAA</td>
<td>Council for National Academic Awards</td>
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<tr>
<td>CNC</td>
<td>Computerised Numerical Control</td>
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<tr>
<td>CQSW</td>
<td>Certificate of Qualification in Social Work</td>
</tr>
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<td>DATEC</td>
<td>Art and Design Committee of the Technician Education Council</td>
</tr>
<tr>
<td>DES</td>
<td>Department of Education and Science</td>
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<tr>
<td>Dip.HE</td>
<td>Diploma in Higher Education</td>
</tr>
<tr>
<td>DOE</td>
<td>Department of the Environment</td>
</tr>
</tbody>
</table>
DTI  Department of Trade and Industry
ESO  Environment Serving Organisation

Faculty  AD  Art and Design
        ECS  Education and Combined Studies
        IES  Industrial Engineering and Science
        ISST  Information Science and Systems Technology
        MPS  Management and Professional Studies

FE  Further Education
21FE  Further Education Form 21 (Course Applications)
FTE  Full Time Equivalent
HE  Higher Education
HNC  Higher National Certificate
HND  Higher National Diploma
INLOGOV  Institute of Local Government Studies, Birmingham University
IMHE  Programme of Institutional Management in Higher Education, Centre for Educational Research and Innovation, Organisation for Economic Co-operation and Development
INSET  In-Service Education for Teachers
MAP  Microprocessor Applications Project
MBO  Management by Objectives
MEP  Microelectronics in Education Programme
MIS  Management Information System
MSC  Manpower Services Commission
NAB  National Advisory Board for Local Authority Higher Education
NAFE  Non-advanced Further Education
NALGO  National Association of Local Government Officers
NATFHE  National Association of Teachers in Further and Higher Education
OD  Organisation Development
OME  Other Major Education Establishment
OR  Operational Research
PGCE  Postgraduate Certificate in Education
PPBS  Planning, Programming, Budgeting Systems
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>RAC</td>
<td>Regional Advisory Council</td>
</tr>
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<td>RSI</td>
<td>Regional Staff Inspector</td>
</tr>
<tr>
<td>SOP</td>
<td>Standard Operating Procedure</td>
</tr>
<tr>
<td>SWOT</td>
<td>Analysis of Strengths, Weaknesses, Opportunities and Threats</td>
</tr>
<tr>
<td>TEC</td>
<td>Technician Education Council</td>
</tr>
<tr>
<td>TUC</td>
<td>Trades Union Congress</td>
</tr>
<tr>
<td>WAB</td>
<td>Welsh Advisory Board for Local Authority Higher Education</td>
</tr>
<tr>
<td>WJEC</td>
<td>Welsh Joint Education Committee (RAC for Wales)</td>
</tr>
</tbody>
</table>
FIGURES, DIAGRAMS AND TABLES

The convention is employed for the present purpose of using figure as a generic term to cover all three forms.

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Structural Corroboration and Four World Hypotheses</td>
<td>9</td>
</tr>
<tr>
<td>2.</td>
<td>The Main Schools of Organisational Analysis</td>
<td>10</td>
</tr>
<tr>
<td>3.</td>
<td>Major Approaches to Management Theory</td>
<td>126</td>
</tr>
<tr>
<td>4.</td>
<td>Distinctions between Models of Management</td>
<td>127</td>
</tr>
<tr>
<td>5.</td>
<td>Standard Process Model of Management Control</td>
<td>169</td>
</tr>
<tr>
<td>6.</td>
<td>The Strategic Contingencies Theory and Routinization</td>
<td>177</td>
</tr>
<tr>
<td>7.</td>
<td>Tentative Outlines of Two Models of Power Attainment</td>
<td>178</td>
</tr>
<tr>
<td>8.</td>
<td>Patterns of Organisational Action based on Values and Interests</td>
<td>181</td>
</tr>
<tr>
<td>9.</td>
<td>Diagramatic Representation of the Basic Elements of Contextualist Analysis</td>
<td>191</td>
</tr>
<tr>
<td>10.</td>
<td>Becker and Kogan Model of Levels and Modes</td>
<td>202</td>
</tr>
<tr>
<td>11.</td>
<td>Relationships of Sources, Bases and Types of Power</td>
<td>226</td>
</tr>
<tr>
<td>12.</td>
<td>Projections of 1981 Full Time and Sandwich Students (Great Britain)</td>
<td>248</td>
</tr>
<tr>
<td>13.</td>
<td>Roles and Relationships Within and Between Levels in the College</td>
<td>499</td>
</tr>
<tr>
<td>15.</td>
<td>Economic Short Course Activity Measured in Student Hours</td>
<td>639</td>
</tr>
<tr>
<td>16.</td>
<td>Comparative Analysis of SSRs for AFE and NAFE in 1982/83 and 1983/84</td>
<td>641</td>
</tr>
<tr>
<td>17.</td>
<td>Comparative Analysis of SSRs for 1983/84 by Course/Faculty Group</td>
<td>642</td>
</tr>
<tr>
<td>18.</td>
<td>Costs per Student (Total Gross Expenditure)</td>
<td>643</td>
</tr>
<tr>
<td>19.</td>
<td>Costs per Student (Full-Time Teaching Staff Costs)</td>
<td>643</td>
</tr>
</tbody>
</table>
CONVENTIONS

Bibliographical References
References are noted at appropriate points in the text together with page numbers in the majority of instances. A list of references, arranged in alpha-numerical order is provided at the rear of the dissertation (pages 716-725).

Direct Quotations
Direct quotations appear in italics.

References to the Researcher
Given the significance of the researcher as participant observer in the study he is referred to in the third person as Researcher and the following indication (R) is given when reference is made to the position held by him in the organisation.
The study is concerned with the introduction of corporate planning into a college of higher education.

The period of study, 1974-1984, is shown to be one of increasing environmental turbulence, not least in terms of changes in the currency of ideas and perspectives on planning, characterised as a shift in emphasis from philosophy and technology to context. Context has claimed increasing attention and the study itself is preoccupied with contextual realities, notably their cultural and micropolitical dimensions.

It takes the form of a participant observer longitudinal study covering the period before, during and after the introduction of corporate planning. For each of the three periods a description is provided, based on minutes, reports, discussion papers and similar documentary evidence, which is followed by interpretive analysis. The analysis is conducted with a set of interpretive frameworks - Contingency, Contextualist and Garbage Can which overlap in their concern with the cultural and micropolitical dimensions of process. The perspective provided by the set and the appreciative setting brought to his task by the Researcher are made explicit at the outset. An assessment of the impact of corporate planning in terms of intention, achievement and pathology is provided at the conclusion of the study.

Variability in process and performance outcomes is explained by both technical inadequacies and contextual realities, which account for the majority of underachievements. The study confirms the importance to the reflective practitioner of understanding the micropolitical and cultural dimensions of organisations and provides an interpretive framework seen to have considerable power in application, especially to highly professionalised organisations in the public sector.
The core of the interpretive set is provided by Pettigrew's version of contextualism which highlights the interactions between context, process and outcome. The study strongly supports the conclusions drawn by Pettigrew about the process of strategic change.
A NOTE OF GUIDANCE TO THE READER

The study may be regarded as an experiment in reflective practice which has produced results of significance and value to the Researcher which are commended for exploitation and evaluation by fellow practitioners and researchers. The study has been constructed to enable fellow practitioners to share the Researcher’s experiences and reflections upon them as fully as possible and should be regarded as an integrated whole in which linkages between sections are important. Even so, given the length of the dissertation, the reader may prefer in the first instance to sample selected extracts before engaging the complete work. The following sequence is suggested to those readers who may wish to take up this option.

Chapter 1.
Introduction to Part II.
Introduction to Part III.
Chapters 6 and 7.
The 'General Perspective' offered at the end of Chapters 8, 9 and 10.
Introduction to Part IV.
Chapter 13.
PART I: INTRODUCTION

Part I consists of a single introductory chapter which sets out the rationale for the study, tackles fundamental issues of research style, ontology, epistemology, methodology and validation and provides a general indication of the structure and content of the dissertation.
CHAPTER 1: INTRODUCTION

1. RATIONALE

The period of time chosen for the longitudinal study was one which witnessed a growing disenchantment with planning in general and corporate planning in particular. Nowhere was the disenchantment more strongly felt than in the public sector. McLachlan in a foreword to a study of planning in the Health Service during the 1970's expressed the following view:

At present planning in much of the western world, the UK included, is passing through a critical phase because it does not seem to rise to expectations. (Butts, Irving and Whitt, 1981v).

At the beginning of the 1970's expectations were high and interest growing. Ackoff in the preface to his A CONCEPT OF CORPORATE PLANNING observed:

There is no lack of literature on the subject of corporate planning, nor is there a lack of opportunity for managers to hear lectures on the subject. In fact it has become difficult to avoid either. (Ackoff, 1970vii).

Even so, Ackoff was not satisfied that most managers had a clear idea of what planning was or what it should be and offered his text as a means of rectifying the situation.

However popular and pervasive the subject had become by 1970, it was still possible for Argenti to express disappointment in 1974 at the slow take-up of corporate planning in the private sector and to express the view that only a derisory small number of organisations had adopted it. Argenti was not surprised by this fact, being of the opinion that those who were expecting corporate planning to have spread much faster than it actually did must have been expecting a miracle. He also offered his text as a contribution to remedying the state of affairs which he identified. (Argenti, 1974: 1-2).
Ackoff remained dissatisfied in 1981, despite his own efforts and those of the large body of authors, including Argenti, who had entered the field since 1970.

*A good deal of the corporate planning I have observed is like a ritual rain dance; it has no effect on the weather that follows, but those who engage in it think it does. Moreover it seems to me that much of the advice and instruction related to corporate planning is directed at improving the dancing, not the weather.* (Ackoff, 1981: ix).

It is not intended at this point to explore further the causes of disenchantment since the review of the literature in Chapters 2, 3 and 4 is preoccupied with shifts in the currency of ideas and perspectives on corporate planning. Even so, it should be noted that it was the disaffection with corporate planning, especially in the public sector, which provided the springboard for the present study. What is being attempted is a pathology of planning in a public service organisation during a period in which opinion shifted over what might be considered a pathological state. For much of the period the prevailing orthodoxy tended to favour those inclining towards the rational-comprehensive model, with the onus of proof falling on the 'incrementalists' to defend their heresy. In recent years support has been growing for the view that the pathological state is more appropriately ascribed to the proponents of corporate planning given their inability and/or unwillingness to recognise the overwhelming congenital resistances of organisations to such a transplant. Put another way, the 'rationalists' appear to be on the defensive and the 'incrementalists' seem to have acquired the initiative.

Such swings in the pendulum are by no means unusual and the Researcher has been influenced by the movement in both directions. Trained as an economist, he shared the enthusiasm displayed in the early 1970's for both the philosophy and technology of corporate planning. The output of INLOGOV proved particularly influential. As he gained more
direct experience of planning systems in action, notably in Higher Education and the NHS, he became more aware of and preoccupied with context, situational factors, contingencies. The deceptive simplicity of the prescriptions promoted by management consultants and others, including academics, became more obvious and the neglect of context more obtrusive. Over the period of study, as will be demonstrated, this neglect has been remedied and increasing attention given to context. Such increased attention has exposed the shortage of research into the operation of planning systems within specific organisational contexts and has generated an interest in longitudinal studies.

(Thomas, 1982: 10).

Circumstances conspired to place the Researcher in a highly favourable position to undertake a study as participant observer of the introduction and operation of a corporate planning system in a College of Higher Education. The attractions were great since many of the difficulties normally identified with undertaking this form of research were absent.

Saunders (1975: 81, 85, 86) was among those authors deploiring the neglect of the 'formulation process' in the literature on business policy:

We seem quite knowledgeable about, and tolerant of the process limitations in producing hardware, such as automobiles. Why do we not also concern ourselves with the limitations on strategy, introduced by the process through which that strategy is 'produced'? In calling for research on strategy making in 'live' organisations Saunders acknowledged that researchers would have to cope with three kinds of problems.

a) Finding access to the kind of organisational activities that must be looked at.

As a senior member of staff at a College of Higher Education the Researcher had a major involvement in corporate decision making.

b) Managing the time commitment for such a study. Obviously we need a substantial time period for our observations; several years.
To the extent that the Researcher was deeply involved as participant in planning activities no additional time needed to be set aside for observation. The college represented a live case study within which the Researcher was a continuously active participant. The time demands of fieldwork did not therefore represent a major problem.

c) Building the support from our colleagues in more precise, better understood areas, for such an effort. In general, I find that my own colleagues are not knowledgeable about, and not very sympathetic to, the 'messy' nature of our field.

In terms of such support the Researcher enjoyed a double advantage. Acceptance for registration at the University of Bath provided him with access to a School of Management with a special interest in the practical realities of management. The Centre for the Study of Organisational Change and Development in the School of Management has acquired a particular reputation for hard nosed, reflexive ... action research. (Overington, 1981). Formal acknowledgement has already been given to the specific support obtained from Professor R. E. Thomas as supervisor throughout the research period.

The Researcher also benefited from contact and discussion with colleagues from the Faculty of Management, particularly during the period when he was Dean of Faculty. During that period he sought, with the support of senior colleagues in the faculty, to develop an enhanced critical self-awareness both within the faculty and across the college. These efforts were largely associated with the introduction of a corporate planning system.

Given the complete identification of the Researcher, initially as Dean of the Faculty of Management and later as Assistant Principal, with the introduction and operation of the planning system, the opportunity also presented itself for critical reflection by the Researcher of his role and personal and managerial effectiveness. The more he reflected on the operation of the planning system in context, the more he became
aware of his own interventionist role and its micropolitical ramifications. Almost of necessity, therefore, the research required the kind of reflections recommended by Schon (1983) for the 'reflective practitioner'.

It should be emphasized, of course, that the rationale presented above has emerged in the course of conducting the research. Ethnographic research is by its nature iterative and opportunistic (Pettigrew, 1973: 55). At the time the research was first registered the Researcher had in mind a study located on the objective wing of the Functionalist Paradigm (Burrell and Morgan, 1979: 30). As the research progressed, however, it soon became evident that the Researcher would need to mobilise the insights available at the subjective limit of the quadrant (see page 10 below). It also became evident that the Researcher would need to explore and make explicit the 'appreciative system' (Vickers, 1965: 67) which informed his observations of, and actions within, both organisations.

2. PERSPECTIVE

However favourable the set of circumstances presented to the Researcher, fundamental problems of research design had to be tackled. These are examined under the general heading 'perspective', which embraces issues of research style, ontology, epistemology, methodology and validation.

2.1 Research Style

By research style is meant the traditions of different methods associated with, or appropriate to, particular subjects or areas of research (Wilson, 1979: 4). It would appear from this definition that the choice of research style is largely determined by the subject being researched. Such a view is taken by Pettigrew (1973: xv, 52-53, 268, 275) who assembles a number of authorities in support of his position.
Their aid is invoked to establish:

a) the need for compatibility between problem definition, study design, the kinds of data gathered and the investigator's role; and
b) the appropriateness of participant observation and the value of longitudinal research designs for the study of social processes in organisations.

Pettigrew concludes his study (Ibid.: 275) with a reaffirmation of his belief in the value of longitudinal studies.

It is hoped that this research has been able to demonstrate the value to social scientists of analysing man's behaviour over time. This has been a neglected strategy. A major consequence is that many theories lack processual development. However, it is impossible to construct and test theories of social process unless the researcher has a longitudinal research design.

The above arguments were decisive for the Researcher who found himself confronted by many of the problems tackled by Pettigrew. As will be demonstrated, both the early and more recent works of Pettigrew exercised a key influence on the research style adopted for the present study.

2.2 Epistemology and Ontology

2.2.1 Perspective Advocated by Pettigrew

It is a measure of the confidence which Pettigrew had in his chosen research style that he did not find it necessary in 1973 to draw special attention to or directly confront the epistemological and ontological issues surrounding his choice. That is not to say, however, that they were ignored by him, rather that their resolution emerged at various points, generally by implication rather than explicit statement.

In his most recent work these issues have been directly addressed. More specifically, in CONTEXTUALIST RESEARCH: A NATURAL WAY TO LINK THEORY AND PRACTICE (1983(a)) he sets out to develop an epistemology, ontology and methodology appropriate to the study of organisational
change. Although he makes the distinction between quantitative and qualitative research, thereby highlighting the differences in convention which attach to them, he also points out that all research involves the application of skills, knowledge and the person in a variety of differing problems in varying contexts, and in that sense it is a craft activity involving skills of individual judgement within a system of collective rules and communication. (Ibid.: 1). The way in which a researcher practices his craft is seen therefore to depend on the academic subculture to which he belongs, notably the root assumptions held about the nature of knowledge, the means by which knowledge may be obtained and the nature of the phenomena to be investigated. For the purpose of establishing the context in which qualitative researchers conduct artful enquiry Pettigrew draws on the work of Pepper (1942) reinterpreted by Payne (1975 and 1982). The aim is to demonstrate that there are ways other than that favoured by positivists, namely multiplicative corroboration, for validating claims to additional knowledge. Pepper advocates the use of structural corroboration and four world hypotheses. The choice of hypothesis is seen to influence attempts to corroborate claims to knowledge as follows:
<table>
<thead>
<tr>
<th>HYPOTHESIS</th>
<th>PREOCCUPATIONS</th>
<th>TRUTH THEORY</th>
<th>ROOT METAPHOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Formism</td>
<td>Classification of similar objects and phenomena into categories and types.</td>
<td>Correspondence. Test: Similarity between description and object of reference.</td>
<td>Similarity</td>
</tr>
<tr>
<td>2. Mechanism</td>
<td>Law-like relationship between classes of phenomena which are divided and linked together according to machine-like principles.</td>
<td>Cause and Effect. Test: Whether outcomes match predictions.</td>
<td>Machine</td>
</tr>
</tbody>
</table>

(derived from Pettigrew 1983(a): 8 and 9)

Pettigrew demonstrates with the aid of Payne how organisational analysis has tended to rely excessively on Formism and Mechanism and thereby neglect Contextualism, regarded for many purposes as a more appropriate choice.

Valuable though the work of Pepper and Payne is shown to be in providing an epistemological foundation for contextualism, Pettigrew is less concerned with epistemological maps than with the potential contributions of contextualism to theoretical and practical developments in his chosen research area, namely the study of organisational change. These are given detailed consideration in Chapter 5.

2.2.2 Schema Provided by Burrell and Morgan

For the present purpose, however, it is felt necessary to go a little
further by considering epistemology and ontology within the schema provided by Burrell and Morgan (1979). The view is taken that the present research is located within the Functionalist Paradigm with a strong orientation towards the Action Frame of Reference (Ibid.: 30).

The view is also taken with Burrell and Morgan that their schema should be used as a heuristic device rather than as a set of rigid definitions (Ibid.: xii) and it is as a working tool that it will be employed for making explicit the Researcher’s approach to his subject and the assumptions which inform enquiry design.

2.2.2.1 Subjective-Objective Dimension

Assumptions about social science are first considered by Burrell and Morgan along four dimensions which are subsequently combined into a single subjective-objective dimension. The subjective approach defines
one limit and encompasses a nominalist ontology, antipositivist epistemology, voluntarist approach to human nature and ideographic methodology. The objectivist approach defines the other limit and encompasses a realist ontology, positivist epistemology, determinist approach to human nature and nomothetic methodology (Ibid.: 1979: 3). While defining the limits of the dimension in terms of the combinations described above, the authors allow for intermediate positions. Such latitude is important for the researcher operating within the Functionalist Paradigm who wishes to employ the insights offered by conceptual tools and models of organisational analysis located at, and possibly spanning, the boundaries between the functionalist and other paradigms. Such is obviously the case with the Action Frame of Reference and Pluralism, two schools of organisational analysis which are to play an influential role in this research. The identification of methodology and view of human nature are not considered problematic. The nature of the research requires an ideographic methodology and an intermediate view of human nature - that is, neither wholly voluntarist nor wholly determinist. The identification of ontology and epistemology is more problematic within the context of the Burrell and Morgan schema given their insistence that the four paradigms should be regarded as mutually exclusive (Ibid.: viii, 23). The problem facing the Researcher is one identified by Louis (1983: 154), namely that of finding room for an intersubjective perspective. The neglect of this problem is seen as unfortunate by Louis:

... particularly in light of current interest in studying symbolic, cultural, and political phenomena in organisational settings - phenomena in which meaning springs neither from the mind of the individual (subjectively) nor from a concrete thing itself (objectively), but from direct interactions and subterranean negotiations among members of particular social settings (intersubjectively).
Coping with intersubjectivity involves rather freer movement between the Functionalist and Interpretive Paradigms than Burrell and Morgan appear to allow. Ritzer, to whom Louis refers (Ibid. 1983: 154), is more tolerant in this respect (Ritzer, 1980). His Social Definition Paradigm has as its basic subject matter the way individuals define their social situations and the effect of this definition on ensuing action.

The basic premise here is W. I. Thomas' dictum: if people define things as real, they will be real in their consequences. The crucial object of study is intrasubjectivity and intersubjectivity and the action that results (Ritzer 1980: 27, CH3).

Adoption of the Social Definition Paradigm and use of the observation method in research are seen by Ritzer as linked. Observation is recognised as the technique best suited to the demands of social definitionist research because it allows the researcher to examine process over time in a natural setting (Ibid.: 125).

The ontological position adopted by the Researcher, therefore, is that reality is conceived neither as purely objective nor purely subjective; rather, reality is inter-subjectively defined on the basis of shared meanings. These shared meanings form the basis of an epistemology which, while subjectively orientated, is not firmly set against the utility of a search for laws or underlying regularities in the world of social affairs (Burrell and Morgan 1979: 4).

2.2.2.2 The Regulation - Radical Change Dimension

Assumptions about society and related sociological and organisational theories, according to Burrell and Morgan, fall within a second dimension. A sociology of regulation defines one limit and is based on a view of society in which order, integration, consensus and stability are natural states. A sociology of radical change establishes the other limit and is based on a view of society in which social conflict, disintegration and coercion prevail.
In so far that the Researcher adopts a managerialist perspective, the research will be primarily concerned with regulation. Certainly there is no intention to examine in detail the deep-seated structural forces (Ibid.: 17) deemed to be at work in modern industrial society. Even so, at the micro-level, the generation of conflict and its resolution will be a major consideration. Burrell and Morgan consider the micro-politics of organisation in the context of Pluralism and the Action Frame of Reference, both of which, though located within the Functionalist Paradigm, appear on the fringe of Radical Organisation Theory (Ibid.: 30, 209-217). In terms of the Burrell and Morgan schema, therefore, it is the intention of the Researcher to operate primarily within the Functionalist Paradigm with a strong orientation towards the subjective end of the quadrant (see page 10).

2.3 Methodology

The Researcher subscribes to the view that the choice of research methods hinges on the subject to be researched. Since organisational process is the subject to be researched, the choice of a longitudinal study involving participant observation is seen to be largely self-selecting.

2.3.1 Sources of Information

The sources employed have been:

a) Documented records in the form of minutes, reports, discussion documents, plans, etc.

b) Participant observation.

c) Semi-structured interviews.

Of the three greatest reliance has been placed on (a) and (b) with (c) used selectively to obtain supplementary information and clarification rather than as a major source of information.

The research methods employed correspond to the sources of information.

a) Desk Research

Free access was available to all documents regarded by the Researcher as
relevant to his studies.

b) **Participant Observation**

The Researcher was able to conduct his research as participant observer in a generally unobtrusive manner. Being an active participant in the management of the college he faced no problems of access and there was little awareness of the precise nature of his research.

Participant observation is the chief method employed in ethnographic research. The term ethnography derives from social anthropology and means literally, an anthropologist's 'picture' of the way of life of some interacting human group. (Walcott, 1975: 112).

Among the most well known expositions of ethnography is that provided by Geertz (1973: Ch. 1). What defines ethnography as an enterprise for Geertz is not so much the techniques and received procedures associated with it but the kind of intellectual effort it is: an elaborate venture in ... 'thick description'. (Ibid.: 6).

Thick description is distinguished from thin description; the object of ethnography being to achieve thick description. Thin description is essentially concerned with neutral observation, that is in so far as any description may be regarded as neutral given the process of selection involved. Thick description aims at interpretation, in providing meaning. It is sorting out the structures of signification ... and determining their social ground and import (Ibid.: 9).

The quality of interpretative analysis depends very much on the ethnographer since the skills required, according to Geertz, are more those of a literary critic than of a cipher clerk (Ibid.: 9). Much depends on the vantage point of the ethnographer and the knowledge and insights which he brings to his observation. The problems facing the ethnographer are not to be underestimated.

What the ethnographer is in fact faced with - except when (as, of course, he must do) he is pursuing the more automatized routines of data collection - is a multiplicity of complex conceptual structures many of them superimposed upon and knotted into one another, which
are at once strange, irregular and inexplicit and which he must contrive somehow first to grasp and then to render. (Ibid.: 10).

c) Interviews

Since the integrity of information obtained by interview within the College of Higher Education could not be assured given the Researcher's senior position and particular responsibility for corporate planning, the decision was made at an early stage to rely as far as possible on documentary evidence and participant observation. Such a decision gave rise to a problem of authenticity. However neutral or impartial the Researcher might aim to be, he like any other observer could not, by definition, avoid applying a selective perception to events and recollections of them. The means chosen to apply a test of authenticity was to invoke the aid of three colleagues at the college in order to establish how accurate, reliable and impartial they considered the Researcher's version to be. The three were chosen on the basis of their relative vantage points within the organisation and their knowledge of an involvement with the planning system (see Chapter 11). At the end of the study the contents of Part III, the longitudinal study, were presented to them and they were asked to respond to a set of questions (see Appendix Z) which aimed to elicit their assessments of the extent to which the descriptions and interpretations provided by the Researcher matched their recollections. These were further discussed and the results are examined in Chapter 11.

In addition a few semi-structured interviews were undertaken with personnel from outside the college who were able to provide information not otherwise available.

2.3.3 Conceptual Sources

The approach adopted has been eclectic and the net has been cast widely, generally within the Functionalist Paradigm, for concepts, metaphors and models which illuminate and explain organisational process and provide a basis for action. The field of Organisational Analysis has become a vast
eclectic enterprise and the Researcher, like others in the field, has attempted to bring together insights drawn from many disciplines: Business History, Industrial Economics, Management Science, Political Science, Policy Studies (both Business and Public Administration), Sociology, Social Anthropology and Social Psychology. The insights generally appear at second rather than first hand since they have been incorporated into analytical frameworks developed by Pettigrew and other authorities on whom the Researcher intends to rely.

2.4 Validation/Appraisal

As Geertz indicates, ethnographic research raises serious problems of verification. It is for this reason that he considers the term appraisal to be more appropriate for so soft a science (Geertz 1973: 16).

He judges that:

*It is not against a body of uninterpreted data, radically thinned descriptions, that we must measure the cogency of our explanations, but against the power of the scientific imagination to bring us into touch with the lives of strangers* (ibid.: 16).

As the critics of observation techniques have pointed out, all the information reported in observational studies is filtered through the eyes of the researcher and they wonder how much of the data reported by observers happened only in the mind of the researchers (Ritzer, 1980: 129). Given the crucial importance of the ethnographer, an explicit examination of the Researcher's perceptions, as participant observer, and the role played by him is incorporated into the study (Chapter 6). It is intended as an aid to appraisal as well as an exploration of personal and managerial effectiveness (see pages 5-6 above). Participant observation is not the only source of information however. Heavy reliance is placed on documentary evidence and a test of authenticity is applied with the aid of three assessors. In terms of an appraisal of the generality of findings Pettigrew is again invoked (1973: 269). Quoting Erikson (1966: vii), Pettigrew believes that: *Human events themselves are neither general nor particular until some student arranges them to fit the logic of his own approach.*
Of the devices employed by Pettigrew to increase the general quality of his findings the following have been used by the Researcher:

a) strong theoretical content;
b) careful interaction of theory and data;
c) findings are reported in such a way that they can be discussed and evaluated along with research in similar fields; and
d) sustained participation in the research setting.

The view is taken that as the nature of phenomena under investigation, together with the objectives of the study ... must determine what approaches are taken and what materials are gathered by what method (Pettigrew, 1973: 268) so too must they influence the criteria for validation/appraisal.

Burrell and Morgan (1979: 396) recommend paradigm based assessment, that is, they argue for evaluation of analysis by criteria consistent with the fundamental paradigm on which it rests. The present research is located predominantly on the subjective wing of the Functionalist Paradigm (see page 10 above) and has as its preoccupation the analysis of organisational process and the interpretation of human interaction. It has, therefore, to rely on establishing intersubjective and intra-subjective realities which may be explored and exchanged as shared meanings. The aim is to identify regularities in how people perceive, interpret and modify data to establish meaning and perspectives in organisational settings.

The Researcher would wish to be considered among those described by Handy (1981: 410) as organisational interpreters who are assessed by society not so much on the scientific validity of their work but on whether leading practitioners find it interesting and meaningful.

The research has been undertaken very much with practitioners in mind and the emphasis has been on finding concepts, metaphors, models which prove powerful in application and provide a basis for action. The latter is an objective strongly advocated by Mangham (1979: 3):
A great deal of the work of sociologists, psychologists and philosophers (consists of) providing illuminations and frameworks for the understanding of organizational phenomena. For others, understanding, whilst necessary, is definitely not sufficient; for them metaphors and models are used to clarify thinking and to facilitate the making of predictions about future events and situations. The model or metaphor is only deemed to be worthwhile to the extent that it operates as a guide to action, enabling the individual to comprehend what has happened and is likely to happen before he commits himself to a particular course of action. For such a person, and I would number many managers amongst this group, metaphors and models must be chosen carefully for appropriateness and potential usefulness.

The Administrative Science Quarterly has recently given a great deal of attention to evaluating the usefulness of administrative research (ASQ, 27 and 28). Dunbar (1983: 130) advocates the use of two tests of usefulness after Weiss and Bucuvolas (1980) and Davis (1971): a truth test and an utility test. A truth test asks whether:

a) the research is internally consistent;
b) it adheres to accepted standards for empirical research; and
c) its results are compatible with users' experience and expectations.

For research to have utility it is required to:

a) make feasible recommendations for action; or
b) challenge the status quo by proposing alternative perspectives.

This study aims to pass both tests.

3. STRUCTURE AND CONTENT
The dissertation falls into four parts, the first of which is the present introduction. A brief indication will be given of the contents of Parts II, III and IV.

3.1 Part II: Literature Search
Given that it is the general disenchantment with corporate planning, particularly in the public sector, which has provided the major stimulus for the study, attention is first given in Part II to the changes in the
currency of ideas and shifts in perspective on planning during the research period. Reference has already been made (page 3 above) to the swings in the pendulum and their influence on the Researcher. What is attempted in Chapters 2, 3 and 4 is a review of the literature on corporate planning with a view to highlighting the change in emphasis given to the philosophy and technology of planning and the organisational context in which both are practised. Chapter 2 addresses the problems created by the babel of semantic confusion (Denning, 1971:1) surrounding corporate planning and seeks clarification by concentrating attention on philosophy, technology and context and by reviewing the types of decisions made during the corporate planning process, the way they are made and the location of decision-makers within the organisational hierarchy. Chapter 3 reviews some of the best known texts on generic corporate planning and is followed in Chapter 4 by an examination of changes in the currency of ideas on corporate planning in the public sector which narrows the focus of attention from Policy Studies, through Local Government to Education. The opportunity is taken when discussing the above to draw attention to shifts in perspective in organisational analysis and the growing interest in the micropolitics of organisations and organisational cultures. Part II concludes with an examination of the literature on organisational context. Having drawn attention to the significance of context an appropriate analytical framework must be found for analysing it. The three alternative approaches considered in Chapter 5 - Contingency, Contextualist and Garbage Can - provide the 'interpretive set' to be employed later in Part III.

### 3.2 Part III: Longitudinal Study

The first chapter of Part III sets out the chosen interpretive set and subjects the Researcher to close scrutiny. The chosen set consists of the three interpretive frameworks, Contingency, Contextualist and Garbage Can, examined in detail in Chapter 5 and adapted by the Researcher to provide a framework of analysis intended to represent both relatively 'hard' and relatively 'soft' approaches to organisational analysis, although the
versions chosen ensure that they are not mutually exclusive. The second part of Chapter 6, which in total seeks to make explicit the analytical and ethnographic perspectives employed for the longitudinal study, draws upon the conceptual framework developed by Schon (1983) to subject the Researcher to close examination. Consideration is given to the Researcher as Reflective Practitioner, Participant and Observer and an assessment made of the influence of the research project on role performance, modes of reflection and outcomes.

The second chapter, Chapter 7, presents a synoptic view of the ten-year period and provides a summary description of the major sources of uncertainty and turbulence with which college managers had to cope and the means devised by them, notably corporate planning, for coping. The opportunity is taken to outline the major changes which occurred in Higher Education during the period of study and thereby provide a sector-wide context within which to place the fortunes of the college.

The following three chapters of Part III constitute the main body of the longitudinal study. Chapter 8 covers the academic sessions 1974/75 to 1976/77, that is the period of time from the contemplation and achievement of a merger to the introduction of corporate planning, or the 'before' phase. Chapter 9 covers the academic sessions 1977/78 and 1978/79 during which the need for corporate planning was acknowledged and a system designed and inaugurated and which is viewed as the 'initiation of change' phase. Chapter 10 covers the academic sessions 1979/80 to 1983/84 during which the planning system became fully operational, that is the 'after' phase. Each of the three chapters falls into two sections. The first consists of a description based on documentary evidence and giving prominence to events at a number of levels in the organisation. The second section applies the interpretive set to the description in order to derive an interpretation which encourages examination of contextual realities, notably
their cultural and micropolitical dimensions, as well as technical performance. While every attempt is made to keep the description as neutral as possible and capable of confirmation by reference to the documentary evidence available, it is acknowledged that it cannot be impartial since it must reflect, to a degree, the author's perceptions and preoccupations. Even so, a conscientious effort has been made to avoid bias in the selection of events. In order to test how far this has been achieved the final chapter of Section III is given to independent assessments provided by 3 colleagues at the college of the authenticity of the longitudinal study.

3.3 Part IV: Evaluation and Conclusions

Part IV consists of two chapters. Chapter 12 is given to an evaluation of corporate planning at the College of Higher Education and to this end use is made of the conceptual framework developed in Chapter 6, the findings which emerge from the review of the literature in Chapters 3 and 4 and the interpretations provided in Chapters 8, 9 and 10. Before attempting a pathology attention is first given to approaches to evaluation, intention and achievement. The final chapter sets out the major conclusions drawn by the Researcher on completion of the study. The aim is not so much to collect, in summary form, the conclusions reached during the course of the study, which are provided at appropriate points in the text, but rather to reflect upon the total enterprise which the study represents and to consider the significance of the findings for other practitioners and researchers.
INTRODUCTION
As has been indicated in Chapter 1, the view is taken that there has been a major shift in perspective and a significant change in the currency of ideas on corporate planning since the early nineteen seventies. The shift may be characterised as a change in the prominence given to three aspects of corporate planning: philosophy, technology and context (embracing both the internal and external environments of the organisation into which planning is introduced). A review of the literature reveals that in the early nineteen seventies the rational comprehensive model provided the most widely accepted ideal towards which organisations were expected to progress, but which, it was acknowledged, was unattainable, by definition, in its pure form (Leach and Stewart, 1982: 9). There were influential critics of the rationalist philosophy but they seemed at a disadvantage in the face of the enthusiasm of the proponents of planning for the rationalist ideal and their confidence in the systems and techniques associated with it. The importance of context was acknowledged and caveats and cautions issued against adopting an over-mechanistic approach to planning, but systematic analysis of context, particularly its behavioural and micropolitical aspects, was largely, though not entirely, neglected. During the past fifteen years the technology has been viewed with increasing scepticism, the philosophy has ceased to enjoy uncritical acceptance and context has claimed increasing attention and interest. Chapters 3 and 4 chart the shift in perspective in the private and public sectors. Although preoccupied with the private sector, Chapter 3 can be said to cover generic corporate planning since the majority of the texts examined make reference to public sector organisations and demonstrate
the relevance of corporate planning to them. Chapter 4 examines changes in the currency of ideas on planning in the public sector by gradually narrowing the focus from Policy Studies, through Local Government to Education. The development of Policy Studies in the field of public administration is seen to parallel the emergence of Business Policy in the field of management, with both signalling a similar shift in perspective. Consideration of corporate planning in Local Government permits an examination of the ideas and influence of J. D. Stewart and his colleagues at INLOGOV (of particular significance for the Researcher as will be demonstrated in Chapter 6). It will be shown that despite their continuing commitment to purposive rationality there has been a significant shift in emphasis towards the analysis of contextual factors. The introduction of corporate planning, and its associated philosophy and technology, into the education sector, notably higher education, is seen to arouse early controversy. The commitment and confidence of the proponents in the early seventies is equally strong but they are quickly confronted by a direct challenge based on empirical studies of context which emphasise the anarchic properties of HE institutions and their resistance to technical and economic rationality.

It can be seen, therefore, that over the period of time covered by the study, the reflective practitioner (Schon: 1983) would have to contend with important changes in the notions about corporate planning having strongest currency in the private and public sectors. Such changes could be expected to influence management practice and reflections upon it. It follows, therefore, that the review of the literature for the present purpose has an added significance since it establishes a context of ideas about the management process likely to influence the ideology, style, actions and reflections of the reflective practitioner.
In view of the babel of semantic confusion which surrounds corporate planning, however, the two chapters reviewing the literature are preceded by a chapter on the semantics of corporate planning which seeks to provide a conceptual framework and appropriate vocabulary for the examination of the philosophy, technology and the organisational context of corporate planning.

To the three chapters described above is added a fourth which reviews the literature on context. Having established the significance of context means must be found for analysing it. The approaches reviewed in Chapter 5 also provide the 'set of interpretive frameworks' later employed in Part III.
CHAPTER 2: THE SEMANTICS OF CORPORATE PLANNING

1. SEMANTIC CONFUSION

The field of corporate planning has been aptly described by Denning (1971: 1) as a babel of semantic confusion, a view shared by Steiner and Miner (1977: 19), and much space could be given to distinguishing idiosyncratic from common usage among a selection of leading authorities. These authorities should not, of course, be ignored and their aid will be sought in seeking acceptable definitions for use throughout the remainder of the dissertation. But an elaborate search is not attempted given the view expressed by Denning (Ibid.: 1) and shared by the Researcher that:

It probably matters less whether the reader agrees with the definitions given than that he should understand - if only to disagree with - what is being said, not on grounds of semantics, but on the grounds of substance.

Eliasson (1976: 95) found that a library search on planning is liable to come up with everything written on the management of organisations. What is required, therefore, for the present purpose is not so much a precise definition, distinguishing corporate planning say from strategic planning or long range planning, but rather a clear indication of what aspects of the management of organisations are to be considered under the heading corporate planning. Consideration will first be given to the types of decisions made during the corporate planning process, the way they are made and the location of the decision-makers in the organisation hierarchy.

2. CORPORATE PLANNING AS DECISION-MAKING

2.1 Decision Set

Eddison (1973: 14) draws a distinction between planning and decision making in general.
Planning is concerned with 'sets' of decision.

The first distinguishing feature of corporate planning, therefore, is that it is concerned with an interrelated set or system of decisions (Higgins, 1980: 7).

The second distinguishing feature is that the set or network of decisions relate to the corporate enterprise as a whole. The fundamental idea behind corporate planning is the suggestion that senior executives should try to look at their organisation as a corporate whole - they should, in other words, try to see the wood, not the trees. (Argenti, 1974: 3).

The third distinguishing feature is that the decisions are future-orientated and have a strategic focus. What is significant is not so much the specific time horizon associated with a set of decisions - that is whether they are long-term or short-term - but rather their strategic importance for the 'desired future' of the enterprise. Such a view is taken for example by Denning (1971: 2-5) who distinguishes between operational, project, and strategic planning. They are defined by Denning as follows:

**Operational Planning**  
the forward planning of existing operations in existing markets with existing customers and facilities.

**Project Planning**  
the generation and appraisal of, the commitment to and the working out of the detailed execution of an action outside the scope of present operations, which is capable of separate analysis and control.

**Strategic Planning**  
the determination of the future posture of the business with special reference to its product-market posture, its profitability, its size, its rate of innovation, and its relationships with its executives, its employees and certain external institutions.

While all three are interrelated and have a place in corporate planning, the main preoccupation of corporate planning is strategic.
Denning (Ibid.: 4-27) identifies three basic strategic planning activities: environmental appraisal, corporate appraisal and strategy formulation. Of the three, strategy formulation is regarded as the most problematic because it involves generating strategic alternatives (an essentially imaginative and creative act), evaluating and choosing among alternatives (generally in the absence of agreed criteria and with heavy reliance placed on subjective values) and formulating the preferred strategy as a set of decisions relating to both ends (purpose/mission, objectives and goals) and means (strategy, policies and programmes).

2.2 The Approach to Decision Making

Corporate planning involves a structured, systematic and deliberative approach to decision making. A number of authors emphasise the quality of thought (Argenti 1974: 12-13) and intellectual activities (Denning 1971: Preface) necessary for corporate planning. Such an approach requires organisational systems and processes which encourage deliberative decision making and mobilise the necessary intellectual effort. Friedman (Denning 1971: 61), who has a preoccupation with planning for change, views planning as reason acting on a network of ongoing activities through the intervention of certain decision structures and processes. ..... 'Introducing' planning, then, means specifically the introduction of ways and means of using technical intelligence to bring about changes that otherwise would not occur. Friedman believes that the study of planning involves forms of thought as an important category of analysis. (Ibid.: 61).

This view is shared by the Researcher and specific attention is given to the part played by reason and rationality in corporate planning in section 3.2 below.

2.3 Levels of Decision Making

It would appear from the emphasis given in 2.1 above to the strategic
orientation of corporate planning, that the 'decision space' in which it is to be placed is largely predetermined. That is, we should expect corporate planning to be the concern of top-managers responsible for strategic decisions in the organisation rather than the concern of managers responsible for administrative and operational decisions.

[The classification originating with Ansoff (1968: 17-19) has acquired general currency, see for example Thomas (1980)]. There is, in fact, wide agreement among leading authorities that corporate planning is primarily, though not exclusively, the concern of top management. (Denning, 1971: 2; Argenti, 1974: 13-15). There is also widespread agreement that corporate planning should not be an exclusively 'top down' process. The benefits of iteration/interaction within the organisational hierarchy are acknowledged and corporate planning systems are expected to permit and mobilise 'bottom-up' contributions. (Denning, 1971: Preface and p6; Eliasson, 1976: 56; Steiner and Miner, 1977: 168; Thomas, 1983: 92).

The interaction between levels in the organisation also affects the distinction between ends and means. Hussey (1974: 113) draws attention to the fact that:

In general terms it is correct to say that within an organisation strategy set by one level in business becomes the objective of the level beneath it.

3. PHILOSOPHY OF PLANNING

The term philosophy is meant to embrace beliefs, convictions and values held about planning and attitudes towards it. Three elements are distinguished: ideology, rationality and instrumentality. While there is an obvious overlap between the three elements the distinction is regarded as useful for highlighting beliefs which are frequently implicit but which need to be made explicit.
3.1 Ideology

Planning is identified with a holistic perspective and those sympathetic to the synoptic view are considered to have collectivist tendencies. It follows that those who favour the co-ordination of activities through the operation of market forces regard the holistic tendencies of planners with suspicion and adopt a critical approach to 'grand design' planning. Faludi (1973: Chapter 8) is particularly sensitive to the ideological issue and the fact that people hold alternative images of society and act accordingly. (Ibid.: 154).

He confesses to a qualified holistic stance and acknowledges the holistic predisposition of town planners as a professional group. (Ibid.: 157). Ham and Hill (1984: 18-21) also give prominence to the values which inform the perspectives of policy analysts, notably those of key figures such as Lindblom and Wildavsky (two authorities also considered in some detail by Faludi) located on the liberal-pluralist wing of the political spectrum.

Although these ideological disputes are most often linked with socio-economic planning at the macro level they also figure prominently in literature on planning at the institutional level, particularly in the public sector.

The ideology need not, of course, have a political connotation. It may derive from a particular view of the world or weltanschauung. Systems theorists, particularly those who employ cybernetic models, recognise the importance of their world view. One of the most obvious examples is Ackoff (1970, 1981) whose writing on planning frequently has an evangelical idealism. His advocacy of interactive planning with its emphasis on learning, adaptation and control derives from a particular view of the world - a world of turbulence and discontinuity caused by the transition from the Machine Age to the Systems Age.

Ackoff believes that as the two ages draw further apart the strain will increase and managers will be required to handle even greater
discontinuities. (Ibid.: 1981: 4, 6). Interactive planning, which is described as an effective pursuit of an idealized state, is advocated as the best means of coping with discontinuity.

3.2 Rationality

In much the same way, the rational-comprehensive model (though generally acknowledged to be unattainable in its pure form) has been advocated as the ideal towards which planning should aspire. Against this idealised prescription is counterposed descriptions of incremental planning as practised in reality. Several authors employ those two models for defining the limits of a spectrum along which a number of alternative models may be placed. The focus of attention tends to fall, however, on the limiting cases with mixed scanning holding the most prominent intermediary position. See for example Hambleton (1978: 284-286 and Ham and Hill (1984: Chapter 5).

What distinguishes these models is the thought processes they entail, the perspectives and preoccupations of participants and the organisational support systems which they require.

3.2.1 Thought Processes

Rationality entails acceptance of certain conventions of thought and action. It requires premeditation, deliberation, calculation, logical reasoning, coherence and intelligibility, all of which are intended to assist analysis, discourse, argument and choice. While complete or comprehensive rationality can be contemplated, it can rarely be achieved. Friedman (Denning, 1971: 66-68) in relating different forms of thinking to planning distinguishes between rational and extra-rational thought. Extra-rational thought relies on tradition, intuition and wisdom and is not derived from coherent, logical structures, nor based on specific technical expertise. It is nevertheless crucially important in the planning process, being the source of most political decisions.

Friedman divides rational-thought into two categories, bounded rationality and non-bounded rationality. The latter he characterises as utopian and
ideological thought. In such thinking there is a picture of an ideal social order, often in considerable detail, and almost always as a final state in perfect equilibrium outside historical time. Bounded rationality he further subdivides, drawing upon Diesing (1962), into functionally rational thought (which is rational with respect to means only, with ends assumed given) and substantially rational thought (which is rational with respect to both ends and means and hence ends are frequently modified in the course of implementation). Rather than focus on particular obstacles to rationality such as the cognitive limits of decision-makers, the value content of decisions, the inadequacy of information or the costs of search, Friedman prefers to think of rationality as bounded by context:

thought and consequent action intended to be rational are contingent on environmental conditions - the social context of planning - which represent the medium in and through which planning decisions are made. This environment for decision is often discussed in terms of so-called obstacles to planning, but it seems preferable to speak of it simply as the specific set of structural conditions under which planning must occur.

..... In short, to be 'bounded' means that a decision can be no more rational than the conditions under which it is made; the most that planners can hope for is the most rational decision under the circumstances.

This particular characterisation of bounded rationality is regarded by the Researcher as helpful since it avoids the semantic issues surrounding the concept as presented by its originator Simon (1976). Spender (1980: 59-60) for example finds the concept in its original form tautological and hence of limited value. He argues for the recognition of:

alternative rationalities each as logical as the other but standing on different correspondence rules. This drives us to two conclusions: first every rationality is limited, so Simon's arguments add nothing to our understanding of rational behaviour in organisations; second, so long as rationality is logical and is complete enough for conclusions
to be drawn and acted upon no one rationality is any more limited than another.

Further attention will be given in section 3.2.2 to alternative rationalities but for the present it is worth remaining with Spender since he relies heavily on the conceptual frameworks developed by Thompson (1967). Spender is concerned with strategy making in business as viewed from the practising manager's standpoint and is therefore preoccupied with the exercise of judgement by managers when coping with uncertainty. Managerial judgement is viewed as a process of generating logical closure in the face of uncertainty. (Ibid.: 87). The original treatment by Thompson of the notion of logical closure is rooted in systems thinking. Rationality is identified with a closed system of logic and closure of the organisation and derives from a desire for certainty and determinateness (Thompson 1967: 1-3). Thompson believes that:

there are strong human tendencies to reduce various forms of knowledge to the closed-system variety, to rid them of ultimate uncertainty. If such tendencies appear in puzzle-solving as well as in everyday situations, we would especially expect them to be emphasised when responsibility and high stakes are added.

Responsibility and high stakes are, of course, the lot of managers, particularly those at the strategic level of decision-making, and Thompson believes it to be no accident that management literature centres on concepts of planning and controlling. Open systems thinking acknowledges indeterminacy and the absence of closure and allows for surprise and the intrusion of uncertainty: in contrast to the rational-model approach it focuses on variables not subject to complete control by the organisation and hence not contained within a closed system of logic. (Ibid.: 7).

While Thompson advocates open systems thinking he nevertheless acknowledges the compulsion to seek closure and advocates a synthesis of the two approaches. His highly influential work is based on a
conception of complex organisations as open systems, hence indeterminate and faced with uncertainty, but at the same time subject to the criteria of rationality and hence needing determinateness and certainty. (Ibid.: 6).

His point of departure is the 'newer tradition' developed by Simon, Cyert and March which he seeks to extend. He accepts the view that: the organisation has limited capacity to gather and process information or to predict consequences of alternatives. To deal with situations of such great complexity, the organisation must develop processes for searching and learning, as well as for deciding. The complexity, if fully faced, would overwhelm the organisation, hence it must set limits to its definitions of situations; it must make decisions in bounded rationality. (Simon, 1957). This requirement involves replacing the maximum-efficiency criterion with one of satisfactory accomplishment, decision making now involving satisficing rather than maximising. (Simon, 1957).

Closed system thinking is seen as most appropriate at the technical level in an organisation, where desired outcomes are easily identified and beliefs about cause-effect relationships are known and shared. In such a setting the criteria for evaluation are instrumental and economic: the focus being on effectiveness and efficiency.

Technical rationality, however, is only one among a number of alternative rationalities.

3.2.2 Perspectives and Preoccupations

Diesing (1962: 1-2, Chapter 6), another widely quoted author, draws attention to the predisposition in many social theories to treat rationality as identical with efficiency. The efficient achievement of a single goal is technical rationality, the maximum achievement of a plurality of goals is economic rationality, and no other types are admitted.

He considers that such a conception of rationality limits its scope rather severely and proceeds to develop three additional rationalities: social, legal and political. Political rationality is the rationality
of decision making structures, and has as its preoccupation the context
in which decisions are made. Diesing is particularly concerned with
the political process of determining ends, a process which involves
bargaining and negotiation and which extends beyond the confines of
the ends-means calculus of economic rationality.
Economically rational man is generally characterised as completing the
following stages when making decisions:
1. The decision-maker is faced with a specific problem which can
be isolated from other problems or which can be considered meaningfully
in comparison with all other problems.
2. Relevant goals or values can then be selected and ranked
according to their importance.
3. All possible approaches for achieving the goals or values are
known or can be discovered.
4. The consequences and costs of each alternative approach can be
predicted.
5. The consequences of each approach can be compared with those of
all the alternative approaches (comparison of means).
6. The decision-maker can then choose the approach which most
closely and efficiently matches the predetermined goals.
(Patten and Pollitt, 1980: OU/D336, Block 2 Paper 8: 9-10).
This characterisation forms the basis of the rational-comprehensive
model of planning. By the same token it provides the main target for
the critics of the rational-comprehensive model who reject economic
rationality and champion alternative rationalities.
Dreitzel (1972: 171-172) believes that the positivistic fashion in
social science research has contributed much to this development of a
computational concept of rationality and questions the role played by
social scientists in developing techniques grounded in such a concept.
He is particularly concerned with the technocrats, that is with experts
such as planners, the images they have of themselves, and the objective
functions they serve. This brief reference is made to Dreitzel because
he exploits the conceptual framework developed by Diesing in an
interesting manner and demonstrates how alternative rationalities are linked to ideology and instrumentality, perception and self image, and ontology and methodology in the social sciences.

Steiner and Miner (1977: 213-215) emphasise the frame of reference, in terms of the values and beliefs, on which the decision-maker draws. It is obvious that there is no universal standard for judging rationality. What is rational depends upon the evaluator. They demonstrate how, for example, different disciplines look upon rationality in diverse terms, the economist being concerned with profit and the behavioural scientist with human psychological needs, each having a particular perspective and set of preoccupations.

3.2.3 Organisational Support Systems

Systemic and systematic approaches to planning require facilitating organisational support. The more comprehensive the approach, generally speaking, the more elaborate the support system. It is the impracticality and costliness of the rational-comprehensive model which has made it most vulnerable to the attacks made upon it by critics such as Lindblom (1957); Braybrook and Lindblom (1963). Even when it is acknowledged that the rational comprehensive model represents an unattainable ideal it has also to be conceded that limited search and the application of the satisficing criterion incur costs which have to be set against benefits. A rationalist approach, however bounded, requires support systems designed for the purpose.

3.3 Instrumentality

Corporate planning is regarded as having a general instrumentality as well as being instrumental for particular purposes.

3.3.1 General Instrumentality

It will be evident that those who adopt a holistic perspective or systems view and who advocate a rationalist approach to decision-making are likely to favour planning for its general instrumentality. In
much the same position are the proponents of corporate planning who advocate it as a general approach to management. Hussey (1974: 261), for example, views corporate planning as a complete way of running a business. This continuing process involves many other aspects of management besides making plans. (Ibid.: 4). For him:

Corporate planning includes the setting of objectives, organising the work, people, and system to enable these objectives to be attained, motivating through the planning process and through the plans, measuring performance and so controlling progress of the plan, and developing people through better decision-making, clearer objectives, more involvement, and awareness of progress. (Ibid.: 6).

Steiner and Miner (1977: 7) view it as:

a process that varies from firm to firm but, increasingly, has become inextricably interwoven with the entire strategic management process. In effect, strategic planning is a new way to manage.

Other writers find a more partial approach acceptable (Higgins, 1981: 2) and advise that the amount of planning undertaken should be determined by the state of development of the organisation.

3.3.2 Planning and Control

Taylor and Hussey (1982: 1–5) highlight the traditional emphasis placed on planning as a central control system. Despite this traditional emphasis Argenti (1974: 16) found it necessary to point out that corporate planning includes not only the systematic taking of strategic decisions but the checking of strategic results also; perhaps it should be called 'Corporate Planning and Control'. Argenti sees a corporate plan as a set of instructions to the managers of an organisation describing what role each constituent is expected to play in the achievement of the organisation's corporate objectives. Eliasson (1976: 13) is in no doubt, though he admits to adopting a rather narrow definition of corporate planning, that:

The ultimate purpose of planning is to identify and pin point responsibilities in precise terms and to exercise remote control and impose pressure without inhibiting initiative and reducing
flexibility ..... to study planning and control separately is like reading a language you don't understand.

3.3.3 Provision of Corporate Focus

Denning (1971: Preface) is at pains to point out the liberating and emancipating qualities of corporate planning which he sees as multiplying the effectiveness of a high-quality executive group and increasing the probability of wise decisions being reached and effectively implemented. He is acutely aware of the needs of top managers faced with the different responsibilities of present day management in our rapidly changing world, a concern shared by Argenti (1974: 26) who views corporate planning less as a device for dramatically improving results than as a defence against the rising penalty of error. Hussey (1974: 19), who is particularly cautious about the claims made for corporate planning, believes that:

All that corporate planning can do in the strategic decision area is to help eliminate some of the worst alternatives and to give the top management a better chance of being right.

The kind of focus provided by corporate planning depends, of course, on the general state of the economic and business environment and the attitudes of management. A turbulent environment provides both threats and opportunities and a planning system may be employed to avoid threats and/or exploit opportunities. Taylor and Hussey (1982: 11-16) consider the contribution which planning can make to innovation in the contexts of growth and retrenchment and draw attention to the importance of creative adaptation to change, organised entrepreneurship, and organisational development and renewal.

3.3.4 Organisational Learning

For an organisation to adapt creatively to a changing environment it must possess a capacity to learn.

A new and increasingly popular concept is that planning should be viewed as a social and organisational learning process. (Ibid.: 17).
 Appropriately it is to Schon (1971) that Taylor and Hussey first turn when exploring this concept of planning since it was BEYOND THE STABLE STATE which so persuasively argued the case for developing institutions which are learning systems. *If we are to avoid the perpetual disruption that goes with insurgency and invasion as the sole means of breaking dynamically conservative systems, then we must learn to develop learning systems.* (Schon 1971: 201).

In association with Agyris (Agyris and Schon 1978) Schon explores in detail the conditions necessary for organisational learning. The chief problem which they identify is the tendency for organisations to be trapped in a vicious circle of *single-loop learning*. This has to be broken or unfrozen if *double-loop learning* is to be achieved and a virtuous circle of creative adaptation established. The ultimate objective, however, is *deutero-learning*: the development of systems for learning to learn.

*When an organization engages in deutero-learning, its members learn, too, about previous contexts for learning. They reflect on and inquire into previous contexts for learning. They reflect on and inquire into previous episodes of organisational learning, or failure to learn. They discover what they did that facilitated or inhibited learning, they invent new strategies for learning, they produce these strategies, and they evaluate and generalize what they have produced. The results become encoded in individual images and maps and are reflected in organisational learning practice.* (Ibid.: 27).

As with Ackoff (1981), the view they offer is idealised and interventionist and they acknowledge the difficulties of operationalising their conceptual framework.

While the cybernetic approach has long struck sympathetic and resonant chords among planners, see for example Faludi (1973) and more recently Hambleton (1978: Chapter 10), it is not necessary to subscribe to elaborate cybernetic models to recognise the contribution which planning might make to organisational learning. In itself, the habit
of explicitly:

a) stating the intended destination or desired future of the enterprise;
b) charting the route over which it is to be steered;
c) agreeing the standards by which its performance is to be evaluated; and
d) undertaking regular reviews which form the basis for reappraisal,

may create significant learning opportunities for members of the organisation.

3.3.5 Political Arena

Obtaining agreement on the above among members of an organisation who identify themselves with one or more conflicting vested interest groups, may prove very difficult. Writers focusing on the micro-political aspects of organisations identify planning systems not so much for their ability to achieve instrumental or economic rationality but for their potential in providing arenas for bargaining and negotiation. What matters for them is the exercise of power and the way corporate planning systems may be employed to promote the interests of an individual, interest group or coalition in competition with others. As Taylor and Hussey (1982: 23) point out, however, planning in highly politicised organisations is likely to be incremental.

The philosophy of planning has been treated at some length because of the importance attached by the Researcher to the beliefs, convictions and values held about planning and attitudes towards it. Though by no means a comprehensive survey, an attempt has been made to separate the main strands in the tangle of beliefs surrounding corporate planning. The view is held that before reaching a verdict on the success or failure of corporate planning it is necessary to establish what might be regarded as reasonable expectations of it.
Providing definitions for the technology of planning and context is regarded as less problematic.

4. TECHNOLOGY OF PLANNING

The technology of planning simply consists of planning systems, such as Planning Programming Budgeting Systems (PPBS) for example, and the range of techniques employed in the process of planning such as Forecasting, Scenario Building, Position Audit, Impact Analysis and Gap Analysis. The major texts on corporate planning give great prominence to its technology.

5. CONTEXT

By context is meant the internal and external environments of the organisation. Before considering the characteristics of each regarded as significant for the present purpose, attention needs to be given to boundary delineation. What is particularly significant is the degree of autonomy enjoyed by the organisation in determining its own future. (Thomas, 1980: 70). Only if it is sufficiently independent of the wider system of which it forms part to exercise a significant degree of control over its own future can it be regarded as capable of meaningful corporate planning. Viewed in this light the college of higher education may be classified as a semi-autonomous organisation, sufficiently independent of its wider system to make corporate planning a meaningful activity.

5.1 Internal Environment

Attention will be focused on structure, process and behaviour viewed from two standpoints. First there are what might be termed the designed or intended properties of the organisation, that is the anatomy, physiology and associated behaviour prescribed for and expected from the organisation and its members. Then there are what might be called
the emergent properties of an organisation which emerge from the inter-
action between actual behaviour, structure and process and which may
diverge significantly from the original design specification. The
dynamics of an organisation may be seen in terms of the tensions which
develop between the intended and emergent forms.

5.1.1 Structure and Process

The view is shared with Greenwood et al (1976: 6-7) that structure and
process are best considered together. Organisations are:

*not understood simply by delineating their formal structural features.*
Such a project does not tell us how these features actually link
together in operation. It does not tell us about the process or
organisation functioning. ..... 

To use an analogy, when we look at structural features ..... what we
are examining are parts of a machine. It is important though that we
are looking at the part, as existing in a machine that is operating.
In looking at process we are standing back, and trying to get an over-
view of the way the machine works as a whole.

The view is also taken with Greenwood et al (Ibid.), Hinings et al (1980)
and Greenwood et al (1975a, 1975b) that the structural features most
relevant to the study of corporate planning are differentiation and
integration. Differentiation is defined as:

*the reduction of an overall task into its component areas of work, the
division of labour.* (Hinings et al, 1980: Appendix A).

Integration involves:

*the co-ordination of activities into an effective unity.* (Ibid.).

The more differentiated an organisation becomes the more likely are the
problems of integration to increase:

*the motive lying behind specialisation is effective effort and economy,
but with each further division of work the organisation becomes more
difficult and costly to co-ordinate.* (Ibid.: 10).

5.1.2 Behaviour

According to Child (1984: 3-4) there are three main aspects to
organisation structure, each of which has the effect of programming
behaviour in ways designed to assist the attainment of corporate objectives.

The basic structure, which takes the form of job descriptions, organization charts and the constitution of boards, committees, working parties, task forces and teams promote the organisation's interests by formally allocating people and resources to the tasks which have to be done, and by providing mechanisms for their co-ordination. Operating mechanisms consist of devices such as standing orders or operating procedures which set out the ways in which tasks are to be performed and define standards of performance. They also include reward and appraisal systems, planning schedules and systems for communication. Decision mechanisms are provided to assist decision-making and its associated information processing requirements and include arrangements for relevant intelligence to be collected from outside the organisation..... programming of decisions and indication of decision rules and provision of procedures for past audit. However well designed the organisation may be in terms of both internal and external contingencies, including, as Child would insist the particular distribution of control, power and rights (Ibid.: 9 and Chapter 8), the members can rarely be relied upon to behave entirely according to the design specification. How far they stray depends on the ability of the organisation to provide meaningful psychological contracts Handy (1981: 39-45) and reconcile conflicting interests.

5.1.3 The Emergent Properties of Organisations

Organisations operate within dynamic settings and become dysfunctional if they fail to respond to incompatibilities between structure, process and behaviour. The fact that they remain functional for long periods without major redesign suggests that they are being continuously reconstituted in the interaction between structure, process and behaviour. Such is the view of Ranson et al (1980: 1-17) who conclude that:
the production and recreation of structural forms through time should be conceived as the outcome of a complex interaction of interpersonal cognitive processes, power dependencies, and contextual constraints.

The view is taken that the most powerful insights into the complex interaction are to be found in studies of the cultures and micro-politics of organisations. No explanation will be complete, however, without reference to serendipity. Chance or the aleatory dimension (Hoyle, 1982: 87) is seen to have a significant influence on the emergent properties of organisations.

5.2 External Environment

While no direct reference has yet been made in this chapter to the contingency approach to organisation analysis, it will be evident from the references made, for example, to Thompson (1967) and Greenwood, Hinnings et al. (1975a, 1975b and 1980) that its influence is significant. Thompson's concepts of domain and task environment (1967: Chapter 3) and the attention which he gives to dependency and its management are regarded as particularly helpful. All organisations must establish a domain which consists of claims which an organisation stakes out for itself. For a health agency, for example, these claims would relate to diseases covered, population served and services rendered. Domains are seen to range considerably among common institutions such as universities or oil companies.

Dependency on the environment derives from patterns of exchanges in inputs and outputs:

the organisation's domain identifies the points at which the organisation is dependent on inputs from the environment. The composition of that environment, the location within it of capacities, in turn determines upon whom the organisation is dependent ..... similar distinctions can be made on the output side of the organisation. (Ibid.: 26-27).

Anxious to avoid the notion of environment as a residual catch-all, Thompson simplifies his analysis by adopting the concept of task environment used by Dill (1958) to denote those parts of the environment
which are "relevant or potentially relevant to goal setting and goal attainment". Essentially the task environment consists of four major sectors:

a) customers/clients,
b) suppliers of inputs,
c) competitors for both markets and resources, and
d) regulatory groups (eg. governmental agencies, unions and inter-firm associations). Thompson (1967: 27-28).

By narrowing the focus, attention is concentrated on those organisations in the environment which make a difference, that is the relevant "organisation set" (Ibid.: 28).

The management of interdependence is seen by Thompson as a difficult enough task for the managers of complex organisations in conditions of relative stability. The more turbulent the external environment becomes, as it evidently has over the past decade, see for example Child (1984: 269-272), the more difficult the task.

Steiner and Miner (1977: 41) believe that:

The most important single influence on organizational policy and strategy is the environment outside and inside the organization. The more complex, turbulent, and changing is the environment, the greater is its impact on human attitudes, organizational structures and processes. Since today's environment has rarely been exceeded in complexity, turbulence, rapidity of change, and significance of change, all organizations, large and small, for their survival must pay more attention than ever before to their environments when formulating and implementing policies and strategies.
While the texts reviewed in this Chapter have corporate planning in the private sector, particularly as practised by large business corporations, as their major preoccupation, reference is generally made in them to non-profit organisations in the public sector. It could be argued, therefore, that the Chapter would be better described as a review of texts on generic corporate planning.

1. Taylor (1972: 22-38)

Taylor presents us with a useful starting point since the aim of his paper published in 1972 was to review the present state of the art, and likely future trends in the development of Corporate Strategy or Business Policy in business practice, and as a topic for consultancy, teaching and research. He was in no doubt about his subject:

Whatever terms we use, it seems to me that we are concerned with the application of rational, systematic or scientific approaches to the work of top management, i.e. individuals, Boards of Directors or Executive Committee whose job it is to manage a total business or profit centre.

In assessing the 'state of the art' Taylor describes the emergence of Corporate Strategy and Business Policy as a 'discipline' during the 1960's and the growth of interest in systematic approaches to Corporate Planning among large business firms and consultants. He draws particular attention to the world-wide reputations built by major consultancy organisations such as McKinsey by specializing in Organisation Structure, Corporate Planning and Long Range Planning, and also to the growing body of literature, including new academic journals, much of it emerging from universities, business schools and research institutes in response to the outburst of activity in Corporate Planning. Taylor identifies two new trends in the
literature: a preoccupation with modelling (no self-respecting article is without its flow diagrams) and a concern for the behavioural aspects of implementation (the behavioural scientists have tried to improve the implementation of plans by encouraging discussions about the effect on motivation, of different styles of leadership, and by emphasising the need for "change programmes" ...).

He reaches the following conclusions on planning in practice:

1. Corporate planning is rapidly becoming accepted in industrialized countries throughout the world as fundamental to good management in a large progressive organization.
2. Corporate planning is at an early stage of development.
3. Outside the financial area, planning is largely informal and short-term.
4. There is ample evidence of planning failures and false starts.
5. Corporate Planning often requires a fundamental change of attitude on the part of management.

Despite this low key assessment Taylor finds that:

The prospects for Corporate Strategy and Corporate Planning look good, both as an area of business practice and as a field for consultancy, teaching and research.

His enthusiasm is reflected in the future developments which he predicts, the most significant of which relate to top management who are expected to employ increasingly sophisticated systems and techniques. He holds high hopes of bringing the operational researcher and social scientist into partnership and recognises the links between Organisational Development and Corporate Planning. As professional management spreads outside large manufacturing industry, he believes that interest will be focused on the use of PPBS and Cost-Benefit Analysis in government and in large service organisations.

While there is no mistaking Taylor's enthusiasm for Corporate Planning his is not a mechanistic, packaged approach which neglects the behavioural aspects. Indeed he ends his article with the following caution:
The problems of top management are ill defined and difficult to research, and they are not susceptible to ready-made solutions. The teacher, consultant or researcher in Corporate Strategy will continue to be concerned in facilitating a process rather than selling a package.

Even so the rationalist philosophy is assumed without question and the major emphasis is on the technology of planning, including management techniques derived from the behavioural sciences. As will be seen in the discussion of Taylor and Hussey (1982) at the end of the Chapter, there has been a significant shift of emphasis in Taylor's thinking since 1972.

The views held by Taylor were largely shared by other leading authorities and further consideration will be given to the orthodoxy current in the early 1970's by examining a selection of key texts on corporate planning published at the time. The selection of these and other texts has been influenced by their appearance on the reading lists recommended to management students at the University of Bath, and elsewhere, and for their practical orientation; that is, they are generally written as much for the practitioner as for the student of corporate planning.

2. DENNING et al (1971)

Denning seems to have been particularly well qualified to edit such a text by bringing to his task many years experience as teacher and practitioner. His declared aim, in fact, is to help practising managers develop a needed bridge between theory and practice. A number of references have already been made to Denning by way of illustration and it is not intended to repeat them at this point.

What is of particular interest for the present purpose is the way the book is structured and the messages delivered by the impressive collection of expert contributors, including the editor. The Preface
and Introduction, written by the editor, serve to clarify the semantic confusion which surrounds corporate planning and underline the vantage point adopted, namely that of top management. They also serve to set out Denning’s philosophy which is holistic and rationalist, with emphasis placed on the value of the planning process, per se, rather than on the production of plans.

He finds that many of the articulate protagonists of more and better planning assume that the major value will be a better technical solution to a measurable problem. Yet the practitioner of planning, whether in industry, government, or education, will usually argue that the process of planning in itself provides the major value. (Ibid.: Preface).

This is especially the case for Denning whose concept of corporate planning is a set of intellectual activities which when taken together, comprise a managerial system. (Ibid.). He also considers planning to be as much a political activity between individuals and groups acting as centres of power as a technical activity. (Ibid.). The reference to planning as a political activity is particularly striking and is further underlined in the critical role identified for the planner in the creation and maintenance of a political arena where the bargaining process can be carried out within stated and explicit criteria. (Ibid.: 34). The objective, however, is to keep the political process within acceptable limits in the cause of rationality:

While a clear strategy and a relevant information and presentation system do not solve the political problems which require value-orientated decisions determined by a process of bargaining, it is suggested that where they exist, the ability of top management to take rational decisions and to explain them will be substantially increased. (Ibid.: 34).

Further consideration is given in Part One of the text, which is primarily concerned with the problems of definition and role, to the
political framework with which planning is placed. **Friedman's** political model (Ibid.: 60-81), though concerned with planning at the macro level, is commended by the Editor to planners across a broad spectrum of institutions.

Parts Two, Three and Four, which make up the main body of the text, are concerned with the practicalities of planning in terms of strategic appraisal and formulation, the employment of specific techniques and the organisation of the corporate planning function. The contributions make up a comprehensive and sophisticated whole and contain sufficient caveats and cautions to encourage a critical and highly practical approach to corporate planning.

The final two parts consider corporate planning in different industries and companies and examine a few selected case histories in depth. While the Editor concentrates attention throughout the book on the need to develop a relevant managerial process which will help top management to do its job he is also anxious to stress the individuality of particular organisations: *the moment one moves to any specific industry or company different aspects of the job assume different degrees of importance and different key factors emerge as determinants of success.* (Ibid.: 253).

What emerges in total, therefore, is a powerful advocacy of corporate planning as managerial system, without which top managers will find it difficult to cope. The systematic, deliberative approach is seen not only as a means of mobilising the creative energies of managers and reducing the risks attached to poor management decisions but also a means of keeping political forces within bounds in the cause of rationality. Adaptation of systems to situational needs is regarded as essential.
Reference has already been made in Chapter 1 page 2 to the considerations which prompted Argenti to produce his text. These warrant further examination. Argenti believed that:

while the rate of corporate planning is slower than desirable, it is not unreasonably slow, its spread is continuing and an enormous number of organisations of all types and sizes will adopt some form of corporate planning over the next two or three decades. That is why it seems to me that the time is ripe for a book on corporate planning in which the really important conclusions about the subject are brought together into a coherent whole. (Ibid.: 1-2).

He was particularly anxious to clear up several rather serious misconceptions and misunderstandings that had arisen within the subject not least of which was the preoccupation with the growing battery of techniques and the neglect of the main purpose of corporate planning.

I happen to believe that it is a thousand times more important to apply the basic fundamental principles of corporate planning systematically than it is to be able to manipulate the tools of its technology and I suggest that many of those who believe they are doing corporate planning are really only applying such techniques. (Ibid.: 4).

The first half of his book is devoted to the fundamental principles of planning which he refers to as the philosophy of planning. This is distinguished from the technology of planning, a portfolio of techniques selected by Argenti as likely to prove useful to those who will be studying and using corporate planning within the next decade (Ibid.), which makes up the second part of the book. In so far that the principles advocated by Argenti are converted into systems, the Researcher, in the light of the definition offered in section 2 above, considers the first part to be as much concerned with the technology as with philosophy of planning. Argenti, on his own admission, sets out in Part 1 to present a single coherent view of the principles of corporate planning. (Ibid.). This view is transformed into a
comprehensive planning system which the author wishes to see implemented as described, particularly in terms of sequencing. (Ibid.: 32-33). Emphasis is placed on a holistic perspective combined with a systematic deliberative approach to strategic decision making. Managers are required to view the organisation as a corporate whole and to avoid becoming preoccupied with, and buried under, the complexities of corporate planning technology. Planning is regarded as a careful, deliberative, systematic and formal approach to strategic decision making:

it should be noted that all organisations make strategic decisions and have done so since the dawn of history. Corporate planning is nothing more than a particular way of taking these decisions. Strategic decisions can be taken carefully or negligently, deliberately or haphazardly or systematically. When an organisation declares that it is 'introducing corporate planning' it seems that it will in future clarify its objectives and make its strategic decisions in a more deliberately systematic manner. (Ibid.: 17).

The need for such an approach is examined in detail by Argenti who is particularly concerned with the rising penalty for error in an increasingly complex and turbulent environment (Ibid.: 26), and well aware of the many 'roadblocks' to planning. (Ibid.: 27-29).

The planning system which he advocates is hierarchical. He therefore begins with the determination of objectives and ends with feedback and review. His treatment of corporate objectives is interesting for its conceptual framework. Argenti distinguishes between purpose, ethos and strategy. (Ibid.: Chapter 3). The organisation's purpose is to generate a specific benefit for an identifiable group of beneficiaries. Its ethos is the manner in which it behaves towards other groups, including its own employees, while generating this benefit. The means or strategy adopted consists of the activities it chooses to carry out in order to generate benefit or to ensure that its behaviour accords with its chosen ethos. The concept of ethos is particularly interesting
since it acknowledges the claims of stakeholders, other than target customers/clients, and the pressures originating in the internal as well as the external environment.

The most prominent features of the remainder of Part 1 are the emphasis on the design of strategic structure, the use of gap analysis, the conduct of internal and external appraisal, evaluation of alternative strategies and procedures for review, notably continuous gap analysis.

The section ends with a consideration of the organisational implications of introducing corporate planning followed by two case studies. Argenti accepts that planning systems can range from regular meetings among top managers to consider strategic decisions to an elaborate exercise conducted by a major corporate planning department.

He believes that the strength and formality of the planning procedure required needs to be related to the level of awareness of the importance of planning among the senior executives. (Ibid.: 125).

He also accepts Ackoff's view that corporate planning should ideally be undertaken by senior executives of their own volition without the need for a corporate planner to constantly prod them. Such an ideal is attainable only if the roadblocks have been removed and under normal circumstances prodding will be required. The tasks identified for the corporate planner by Argenti (Ibid.: 125-129) constitute a formidable list requiring an exceptional mix of abilities.

In introducing the two case studies Argenti explains the prominence which he is to give to the key personnel involved, their perceptions of the situations in which they find themselves and their interactions with others.

How a given company reacts to certain events may be less relevant than how certain senior executives react to each other's reactions to these events. (Ibid.: 140).

Decisions taken at the strategic level are based more upon personal opinion than upon facts and figures..... One of the major contributions
that a corporate planning system can make is to bring these opinions and feelings into the open for rational discussion and perhaps quantification before being accepted as bases and assumptions for strategic decisions. (Ibid.).

Argenti is in no doubt about the contribution which corporate planning can make to the management of organisations in the non-company sector. My own opinion is that the greatest need for it lies in the non-company organization, in governments, in educational institutions, in professional bodies, in charities, in international agencies and so on. (Ibid. 137). He sees no reason why the system he advocates should not be applicable to all types of organisation.

Part 2 consists of the presentation of a collection of techniques regarded by Argenti as particularly relevant to his preferred system. He deliberately excludes some of the newer and very advanced techniques (Ibid.: 4) believing them to be far beyond the practical requirements of the vast majority of corporate planners for at least the next decade, but appears to be reasonably sanguine about the instrumentality and acceptability of the portfolio chosen by him.

4. HUSSEY (1974)

Another influential text published in 1974 was Hussey's CORPORATE PLANNING THEORY AND PRACTICE. Hussey's approach is committed, hard headed, highly practical and brooks no half measures. Part 1 explores the concept of corporate planning as a complete process of management, a total approach to the running of a business. (Ibid.: ix). Hussey warns against an over-selling of its benefits and exposes the tendency to understate difficulties. Although a committed proponent of the approach, from which substantial benefits are expected, he does not wish those contemplating its introduction to be under any illusion as to what they are letting themselves in for. (Ibid.: 19). The whole-
hearted support of the Chief Executive is, for example, regarded as an essential prerequisite. It is the deliberative, systematic approach which matters, however, and organisations are encouraged to design systems to meet their own particular needs. (Ibid.: 21). The text is liberally illustrated with figures and diagrams to aid them in their choice.

Part 2 provides an analysis of the key elements in a dynamic external environment and suggests the most appropriate responses to them. Attention is given to the sources, nature and pace of change, their variable impacts and threats and opportunities which they present. Qualities of restlessness and creativity are highly rated among managers. (Ibid.: 38). The difficulties of formulating realistic planning assumptions in the face of change and uncertainty are acknowledged. The future is perceived as moving shadows in the fog. Planning assumptions enable objective thought to take place about the nature, shape and size of those shadows in the fog, so actions can take place which have a rational basis. (Ibid.: 52). The final two chapters in Part 2 are given to forecasting and to an examination of the pattern of obligations to major stakeholders, which involves a consideration of business ethics and morality.

Part 3, which represents the major body of the text, gives a comprehensive and highly practical guide to the making of a strategy with useful advice on format and presentation. The orientation is towards the large business corporation and due attention is therefore given to such matters as acquisition, divestment and international operations as well as corporate appraisal, objective setting, gap analysis, contingency planning, and other familiar techniques. Hussey warns against undue rigidity and a compulsion to tie up loose ends. Ragged edges are to be expected in the real world.

Part 4 is devoted to Operational and Project Planning as defined by
Denning (see p2-3 above) and is an equally practical guide with emphasis placed on the disciplines which planning cycles and other routinised procedures impose on managers to the benefit of the organisation. The conversion of plans to actions is acknowledged to be difficult:

Moving from plans to actions and controlling against results is not an easy task in any company and may become extremely complex in large or diversified organisations. It is also an area which may meet usually strong opposition from managers because life for them would be easier if the implementation was left to them on a purely informal basis. (Ibid.: 243).

The value of built-in disciplines and routines is again demonstrated but coupled with a warning against empty, mechanistic and bureaucratic operation of systems. (Ibid.: 253).

Part 5, the final part, offers guidance on the introduction of planning into an organisation, produces a catalogue of thirteen reasons why planning sometimes fails and considers a selection of quantitative techniques regarded as particularly relevant to planning and amenable to computerisation. Generous advice is offered on the introduction of planning systems: adequate forethought and preparation are regarded as essential; the medicine, given its potency, is to be applied within a strict regimen rather than haphazardly; planners are to be selected with great care; explicit guidelines and support systems are needed; and managers throughout the organisation, led from the front by the Chief Executive, have to be implicated in and committed to corporate planning.

While the causes which Hussey offers in explanation of why planning sometimes (Researcher's emphasis) fails seem convincing, the analogy he employs to describe the complete catalogue seems rather out of tune with what has come before. The catalogue is compared with a motor-car manual containing a check list of faults. Once recognised, the
Fault can be corrected and the engine brought to life.

Although few people would throw away a car that will not start, it is unfortunately true that many companies will discard their investment in corporate planning when this fails to fire. And it is doubly unfortunate when the cause of failure is preventable and often as trivial as the neglected ignition key. *(Ibid.: 308).*

This seems an uncharacteristically simplistic view given the caveats and cautions issued throughout the text and the attention drawn to behavioural influences. It was a blemish which Hussey himself recognised when preparing the second edition of his *INTRODUCING CORPORATE PLANNING* published in 1979. In the introduction he writes:

The benefits of good planning have been demonstrated by careful research: as have many of the pitfalls that lead to bad planning. For me the strongest emphasis that comes out of the research is the need to give equal attention to careful analysis and the behavioural issues around planning. Internal political issues loom very large, since planning may not only change the power and influence structure of the organisation, but may also be seen as a threat by the inadequate. Most planning failures come to grief over these human behavioural issues. They are much harder to correct than a faulty analysis. So a message which I would emphasize, which did appear in the first edition but which has now been strengthened, is to treat the 'people' issues in planning with great thought. *Hussey (1979: vii).*

In the same year the book, written by Hussey in collaboration with Langham, *CORPORATE PLANNING: THE HUMAN FACTOR* appeared. This shift in emphasis was further developed and confirmed in the text written by Taylor and Hussey which appeared in 1982 but which was prompted by series of workshops arranged for experienced practitioners during 1975-77. The workshops convinced the authors of a need to pay much more attention to the behavioural and micropolitical aspects of planning and these appear as the constant themes throughout their book. *(Taylor and Hussey, 1982: ix).*
5. **STEINER AND MINER (1977)**

The message from the workshops was being confirmed at around the same
time, that is the mid-1970's, by the findings of researchers and
consultants and it was this growing body of evidence which gave impetus
to the development of the field of study or discipline known as
Business Policy. Two important works were published on either side
of the Atlantic in 1977 which sought to place strategic planning within
a wider framework of analysis and which drew heavily on insights
originating in a variety of disciplines. The first to be considered
is Steiner and Miner's *MANAGEMENT POLICY AND STRATEGY: TEXT, READINGS,
AND CASES*. Although acknowledged to be an eclectic enterprise, the
authors were able, in the final chapter, to point to the emergence of
a discipline:

*The core of the discipline is the organization-environment interaction
as reflected in the decision-making process, the development of
strategies and policies, and in planning. Policy implementation is
at the interface with the management and organizational behaviour
areas and the development of knowledge in this regard no doubt will
continue to be shared with these disciplines. At the same time
certain areas of study that have not previously had a secure
disciplinary home appear to be finding this home in the policy/
strategy context. Among these are subject matter areas that have
been variously labeled business and environment, business and
government, business and society, social responsibility, management
consultation, entrepreneurship, and behavioural decision theory. All
of these areas have major contributions to make to our understanding
of the total process surrounding policy and strategy. (Ibid.: 782).*

In a number of respects the Steiner and Miner text represents a
mainstream, orthodox treatment bearing many similarities to those
already considered, particularly Hussey's work: it is presented as a
new concept of management which takes a top-management perspective;
it adopts a deliberative, systematic, rationalist approach rooted in
systems thinking; much the same portfolio of techniques is examined,
and it is comprehensive and highly practical treatment, supported with case materials. In other respects, however, it signals an important shift of emphasis. Particularly striking is the treatment of context, with frequent use made of the contingency approach, and the number of chapters specifically devoted to people and the behavioural aspects of planning. Also, more extensive use is made of research findings, readings and cases.

Part 1 makes explicit the objectives of the text viewed as a course of study, sorts out semantic problems and places policy making and strategy formulation at the centre of organisation management. The specification of learning objectives in terms of knowledge, attitudes and skills provides an interesting indication of the authors' approach. (Ibid.: 9-11). Within an otherwise orthodox collection of objectives on knowledge, the following appear:

4. To understand better the uniqueness in settings and operations of different industries and individual companies.
5. Top managers of organisations have attitudes, values, and ways of thinking that are unique to them and which also have a distinctive impact on all processes and decision making. It is important that students understand and have an appreciation for this phenomenon.

A holistic, generalist approach is expected from students and practitioners which is pragmatic, results oriented and realistic. The practitioner is expected to use scientific research findings and theories, recognised to have great potential power, with discrimination. The mind of the professional manager is deemed to understand both the power and the limitations of technology pertinent to his decision making and is able to bridge the gap between the two. Above all the practitioner is expected to be ready for anything. The skills expected are predominantly analytical and no specific reference is made to inter-personal and micropolitical skills, an obtrusive omission given the attention paid to people in the text. It may well be, of course, that it was intended that these should be highlighted in the
course of discussion of case material.

Part 2 is concerned with the contexts, external and internal, within which policy is determined and the forces which shape the formulation and implementation of strategy. The location and treatment underline the general importance attached by the authors to context. Chapter 6 is the first of a number explicitly devoted to 'people' and explores managerial and organizational styles in some depth.

Part 3, which predictably forms the main body of the text, examines in detail the formulation of business policy and strategy with the emphasis on a systematic, deliberative approach. The roles of people in the process claim three important chapters in this section. The first of the three explores the role of individuals in what is recognised to be a political process:

Policies are developed in an organizational context and thus evolve out of a political process that extends well beyond the boundaries of mere decision making. (Ibid.: 225).

Even so, the authors appear to be reluctant to go as far as Bauer (1968) in arguing that bargaining, not decision making, is at the heart of the policy process. (Ibid.). Particular attention is given to cognitive, emotional and motivational aspects with the emphasis placed on demonstrating that individual differences do matter. (Ibid.: 239). The second of the three chapters focuses on the group aspects of policy formulation, including negotiation, the necessity for which appears to be reluctantly conceded. The final chapter in the trio examines how decisions are actually made in practice giving particular attention to intuition, incrementalism, and manager perceptions, and seeking to establish links between alternative approaches to decision making and environmental contingencies.

Part 4 deals with the implementation of policy and strategy. The complexities of implementation are described and a contingency approach
advocated for bringing organisational structure and process into line with strategy. Caution is advised, however, in using the contingency approach:

Although there has been a great deal of research there are few prescriptive guides that managers may employ to be assured that they have the "right" structure and mix of procedures. Each case must be designed in the light of the unique circumstances surrounding it. (Ibid.: 622).

The human factor is regarded as particularly significant for implementation:

Unfortunately effective implementation is not entirely a matter of decision-making factors; concrete, clear, explicit and comprehensive role statements do not guarantee that policies will be implemented. The people who make up an organization vary widely in terms of their motives, values, capabilities and so on. Often they cannot or simply do not wish to implement a policy or do what is required to implement it. There is no certainty that job behaviour will match the requirements that have been established. (Ibid.: 641).

Attention is given to participation and policy implementation, the issue of organisational commitment, and the means by which it may be encouraged and authority legitimised.

Part 5 considers policy and strategy in different contexts and ends with a general review of contingency approaches. One of the contexts chosen for specific attention is the Not-for-Profit Organisation (Ibid.: Chapter 18), which is acknowledged to be more complex and problematic for purposes of strategic planning than its counterparts in the business sector, though there are many areas where the systems advocated offer a common utility.

6. THOMAS (1977)

The parallels between the Thomas and Steiner and Miner texts are striking: both emerged from courses and programmes designed to prepare
men and women for senior roles in management; both were addressed to
a wide audience of students and practitioners; each identified the
emergence of a new discipline altogether wider and more fluid than
the systematic approach of corporate planning (Ibid.: 2); each was
openly eclectic, drew heavily on research findings and case material,
and covered much the same ground; and both emphasised the significance
of context, notably the increasingly turbulent environment, and people.
There are important differences of emphasis, however, which possibly
reflect cultural differences in the teaching and practice of
management between the US and UK, and attention will be focused on
them. Before highlighting these differences it is worth pointing out
that Thomas shares their conviction over the need for a systematic,
deliberative approach. He appears to be less sanguine, however, about
the extent to which the appropriate pre-conditions can be created for
the introduction and operation of corporate planning systems. His is
a less sanitised view of organisations which throws into higher relief
the untidy side of reality and which treats the more wayward elements
of human behaviour, particularly their political aspects, as facts of
life rather than unfortunate aberrations. From the outset he wishes
the reader to recognise that:

Business policy has to do with power and politics both within the
teleprise and between it and other institutions in its environment.
(Ibid.: 2).

Thomas takes seriously the criticism that:

the preoccupation with longer-term corporate plans and the technical
details of their compilation has been carried out to the point of
ignoring three factors which any enterprise must accommodate, namely,
the role of entrepreneurial behaviour, the political processes of
policy evaluation and decision, and the relationship of corporate
planners to policy decision-makers in practice. (Ibid.: 6).

He believes that certain preconditions have to be met before an
organisation can proceed with implementing the stages in systematic
corporate planning set out in the orthodox model.

Such conditions relate to three variables which are discussed more
fully later, namely,

(i) The culture of the organisation as reflected in its tolerance
of change, diversity and internal flexibility;

(ii) The information and expertise available to learn about the
changing environment;

(iii) The decision processes and the lead-time for making and
implementing strategic decisions. (Ibid.: 11).

Thomas is concerned that there should be a greater awareness of
conflict in organisations:

One of the main mythologies of management is their preoccupation with
unity and loyalty, and their denial of internal politics; this is
compounded by an understandable distaste for introducing "party
politics" in a wider sense and their consequent confusion of it
with internal political processes. (Ibid.: 31).

He believes the political dimension to be conspicuous by its absence
from existing courses on business policy. Consequently frequent
reference is made throughout the text to the micropolitical aspects
of strategic management. The findings of the "Carnegie School" are
invoked when the interplay between policy, strategy and structure
is being explored, with particular emphasis placed on power relation­ships, the inevitability of conflict, and bargaining among coalitions.

The significance of bargaining is also highlighted during an
exploration of contemporary views of enterprise objectives. Attention
is drawn to the importance of manager perceptions and self-image in
the treatment of policy appraisal. Indeed, management style and
enterprise ethos, though given prominence throughout the text, are
deemed sufficiently important to merit a chapter of their own
(Ibid.: Chapter 5). Although convinced of the efficacy of the
deliberative approach, Thomas is only too well aware of the
controversies over its adoption in principle and its implementation in practice. These are spelled out in a particularly hard nosed treatment of policy determination which takes seriously the views of those who argue that organisation can do little more than 'muddle through', and which acknowledges the widespread disenchantment felt over earlier excursions into long range planning. This disenchantment he attributes to the generation of unrealistic expectations, a failure to grasp the nature and demands of corporate planning, the 'academic' nature of the exercise for senior management, and the preoccupation with short-term pressures. Thomas is anxious to remedy the tendency to focus too narrowly on product market strategy and is concerned to give greater prominence to: the relationship between corporate planning, organisational change, and management development (to which he later devotes a full chapter) and to the political aspects of power interactions and changes of emphasis between power groups. (Ibid.: 145).

The title of the final chapter is appropriately Business Policy in a Negotiated Environment. In it Thomas takes stock of the existing state of the subject in the light of his review of issues and practices and suggests how students of business policy might proceed. He remains committed to:

the application of a rational, systematic approach to the process of policy-making drawing wherever possible on relevant concepts, theories and practices available in the literature on corporate planning, corporate and business policy, and related areas of study. (Ibid.: 219), but is more cautious than his transatlantic colleagues about the emergence of a coherent freestanding discipline. Recognition is given to the theoretical advances achieved by 'the Carnegie School', Ansoff, Eliasson and others but consideration of them leads to the conclusion that: on the question of subject development, we are still
at the early natural history stage, collecting samples called case studies with little or no appreciation of the ecology of their environment. (Ibid.: 239). As for content, he argues for a strengthening of the eclectic enterprise in breadth and depth, with greater use made of the insights offered by economics, sociology and political science. Thomas believes that:

management studies in general, and policy studies in particular, are sadly deficient in their use of political science. Yet we stress the political aspects of managerial roles in future. (Ibid.).

7. ELIASSON (1976) AND HARRIS (1978)

Each of the texts so far considered adopts, to varying degrees, a normative stance. Eliasson's study of corporate planning, viewed as remote guidance and the interaction of comprehensive numerical planning with business judgement the end result being a well defined numerical plan, and control system (Eliasson, 1976: 5,189) in over 60 UK and European firms, constitutes a major descriptive analysis of what was happening in large business corporations in the early seventies. His findings confirm those of Argenti about the incidence and nature of Corporate Planning among business corporations and constitutes a revealing pathology. However, given the rather narrow perspective adopted by Eliasson and the restricted universe from which his sample is taken, it is not intended to examine his text in detail. Reference will be made to it at present for two purposes only: first for some of the conclusions he reaches about planning systems and the political realities of operating them and second for his review of the literature with particular reference to the contribution of Operational Research to planning. 

Eliasson finds that:

In most business firms planning is predominantly informal and communications largely oral and dependent on memory rather than on
All purpose, integrated, corporate planning systems are probably an absurdity that will never find useful applications. (Ibid.: 95). The planning system is more and more becoming a system of negotiations the final compromise of responsibilities being recorded in the planning document. This gives the numbers a meaning quite different from what one would expect if planning was a more analytically oriented information handling instrument. (Ibid.: 196).

Organisations are discovered to be pluralistic, subject to conflict and relying on high-level bargaining and negotiating skills to reconcile conflicting interests.

In his review of the literature Eliasson assesses the contribution made by Operational Research to corporate planning. He considers the contribution to have been significant, particularly during the 1960's when OR:

..... found very fruitful applications in restricted business applications, where uncertainties can be handled elsewhere, and where risks are controlled by repetitive experience. (Ibid.: 67).

The problem lay with less sophisticated systems theories at more aggregate levels applied with much less success (Ibid.), which meant that:

So far major decision problems of the unstructured unique type in Ansoff's sense, have not been comfortably introduced neither in the comprehensive planning system nor in the computer or - for that reason - theory. (Ibid.: 69).

Harris (1978: 9-17) sets out to explain the reasons for the diminishing significance of OR and model building in corporate planning and takes his colleagues to task for failing to give due attention to political and psychological variables. He finds that while most existing theories of corporate planning acknowledge that corporate planning seems to be multi-dimensional, few incorporate the dimensions that involve the political and psychological pressures brought to bear in the corporate planning process. (Ibid.: 11).
He exposes the limitations of OR by distinguishing four classes of problem within a four quadrant model relating Understanding (High and Low) to Degree of Change (Small/Incremental and Large). Much of the development of OR he identifies with the High Understanding - Incremental Change quadrant. Elsewhere in the model it has limited utility because:

OR models fail to incorporate the relative nature of perception or the psychological aspects of planning. Because of variations in personality, intelligence, education, social environment, past experience, etc., each individual perceives a given set of events in different ways and will then evaluate his perceptions against an individual-organisational scale of values which again varies from individual to individual. The consequences of this differential perception is that the objective existence of a problem will vary as to the precise nature, location and cause of the problems. Perhaps OR models have been overconcerned with prescribing models of rationality rather than accepting that psychological variables can affect the behavioural dispositions to the planning process. (Ibid.: 13, 14).

Harris is concerned that:

so little empirical research has been concerned with describing the highly political nature of the policy formulation processes as they exist in reality. Instead, research into the field of corporate long-range planning has tended in the past to be concerned with determining the extent to which formal strategic planning processes have been adopted and the sophistication of the methods employed. (Ibid.: 14).

He wants strategic planning to be more than an analytical routine and wishes to see the neglect by operational researchers of the highly political process by which plans are agreed corrected. (Ibid.).

8. ANSOFF (1979)

Ansoff is generally acknowledged to be one of the most creative thinkers in the field and the three main works published by him
(i.e. 1965, 1976 and 1979) may be seen as a major contribution to the literature. His preoccupation remains the same from 1965-1979, namely that of developing an applied theory of the strategic behaviour of an organisation (i.e. the process of interaction with the environment), but his perspective shifts significantly in the face of the rapid change in the shape of the strategic problem. (Ansoff, 1979: 2-5). He acknowledges that at the time when CORPORATE STRATEGY was published in 1965, the problem was primarily confined to the commercial linkages of an organization to the environment. These linkages changed slowly, so that adaptation of the internal configuration was not a major problem. The internal power structure, particularly in business, was stable and concentrated in the hands of the management. The socio-political impact of the environment on strategic behaviour was minimal.

Today, in addition to commercial linkages, socio-political interaction with the environment and competition for scarce resources have become of major importance. The new conditions of turbulence increasingly require an internal cultural shift. Power is increasingly shared by other groups. (Ibid.: 5).

It is the attention given to the process of changing internal configurations and dynamics (Ibid.: 4) in response to changes in levels of environmental turbulence which represents the major development in Ansoff's thinking. He seeks to demonstrate that the extent to which an Environment Serving Organisation (ESO) is likely to survive, succeed or fail in the face of increasing environmental turbulence is dependent on the degree to which the internal configuration, (i.e. strategic thrust, culture, managerial capability and logistic capability (Ibid.: 17, 199), is in alignment with the level of turbulence. The analytical framework which he develops and the insights
which emerge from that framework are seen by the Researcher as particularly relevant to a pathology of corporate planning.

Ansoff is concerned, as other authors have been, with the gap between theory and practice. More specifically Ansoff distinguishes between theoretical insights which describe why and how organisations do behave and practical technology in the form of prescriptions as to how organisations should behave. He finds that:

theory and practical technology are, at best, vaguely related. As a result the former provides little guidance for the evaluation of the latter ..... and ..... technology progresses through fits and starts by trial and error. Frequently, when new technology is used in settings to which it is inherently inapplicable it is the technology that gets blamed for the failure. (Ibid.: 1).

For each of the five levels of turbulence, that is, the state of knowledge at which Environmental Serving Organisations ..... must start response in order to respond effectively to environmental changes (Ibid.: 56), identified by Ansoff there is an appropriate response, or strategic thrust. The ability to deliver the appropriate strategic thrust depends on strategic capability, which in turn is greatly influenced by the competence and strategic leadership provided by general management. The more turbulent the environment the more sophisticated the response expected and the more sophisticated and elaborate the systems and techniques required to support general management in delivering that response. (Ibid.: 79). By the same token the less turbulent the environment the more modest the technology required to cope. Ansoff is anxious to establish that despite his identification of the increasing environmental turbulence faced by ESO's he is not advocating the general adoption of say a creative as opposed to a reactive thrust. The former is appropriate to a high level of environmental turbulence, the latter to a comparatively low level of turbulence. (Ibid.: 76). The key to survival and success
in all ESO's, whether non-profit or for-profit organisations, is their ability to get properly tuned in to their environments. (Ibid.: 67), 144).

Given the absence of market forces it could generally be expected that non-profit organisations would be subject to comparatively lower levels of environmental turbulence. This Ansoff acknowledges, but what he finds most striking are the features common to both types, hence his adoption of the description Environment Serving Organisations, rather than those which distinguish one from the other:

We shall find that, at the extremes, the firm and the non-profit are clearly different from one another. But we shall also find a great deal of overlap in the middle range of the common variables. We shall also find that the current societal trend is to increase this overlap. (Ibid.: 10).

Ansoff identifies a major escalation of environmental turbulence over a twenty year period which for the not-for-profit organisation has meant a transition from centuries-old introverted perspectives to opening of the doors to the environment. (Ibid.: 31).

In particular there has been mounting pressure to emulate the efficiency of the business firm:

The explosive growth of expenditures for government and social welfare has reached a level at which inefficiency can no longer be tolerated. (Ibid.: 30).

Having identified the pressures mounting on all ESO's in the external environment, Ansoff proceeds to examine the means by which the organisation should seek to cope, namely by bringing the internal configuration into alignment with the level of turbulence. What is particularly striking about the model which he develops is the emphasis given to organisational behaviour. The key questions for which he is seeking answers are as follows:

What are the patterns of organizational behaviour in a turbulent environment?
What determines the differences in the behaviour?
What factors contribute to success and to failure?
What determines the choice of a particular mode of behaviour?
What is the transition process by which organizations move from one mode to another? (Ibid.: 2).

Finding answers to the above questions leads Ansoff to focus attention on the distribution of power, aspirations and culture, and strategic leadership, with particular emphasis placed on the perceptions, motivations and capabilities of general management.

ESO's are seen to be multiple power centres:
Thus in a modern ESO a number of actors and groups of actors have distinctive aspirations for strategic behaviour. A central assumption of this book is that these aspirations influence the choice of behaviour as a function of the power possessed by the various aspirants and the power dynamics among them ..... Thus, increasingly, strategic behaviour is determined through interaction of multiple power centres, each of which seeks to impress its own set of aspirations of the ESO. (Ibid.: 16-17).

Power is identified as the ability of a group or an individual to affect any aspect of strategic behaviour of an ESO and is regarded as important since it affects the performance levels to which the ESO aspires, the behaviour level it chooses, and the process by which it changes levels of behaviour. (Ibid.: 97). Ansoff develops a model of power structure and process which is presented as a nine-box matrix linking three types of process (coercive, consensual and bargaining) to three forms of power distribution, or power structure (autocratic, decentralized and distributed) and which allows him to predict which combination or box represents a normal, feasible, infeasible or crisis condition (Ibid.: 103). Bargaining is identified as the normal condition for most non-profit organisations.

The distribution of power is seen to exert a pervasive influence on all aspects of organisational behaviour including performance and behavioural aspirations. Consideration is given to performance
aspirations, particularly at the levels of performance below which an
ESO is triggered into operating or strategic change. (Ibid.; 110).
Patterns of aspiration behaviour are seen to provide a scale of
aggressiveness which ranges from satisficing through goal seeking to
maximising and which may be linked to the power process. (Ibid.;
113-116). Changes in aspiration levels are seen to be a function of
the environmental conditions and ambitions of controlling power groups.
(Ibid.; 117).
Performance aspirations are identified as teleological goals, that is,
goals which measure success by the results of organizational activity
and are generally presented as value-free. (Ibid.; 118). Given
growing recognition of the fact that strategic behaviour is not value
free Ansoff turns his attention to behavioural aspirations and the
strategic culture - i.e. the norms and values of a social group which
determine its preference for a particular type of strategic behaviour.
(Ibid.; 119). Ansoff is able to identify 5 cultural states which
may be matched to the 5 strategic thrusts and for which he uses the
same nomenclature. In multi-culture organisations, such as a hospital
or university, several distinctive work-determined strategic cultures
are at work seeking to impress their behavioural aspirations on the
rest of the ESO. Several outcomes are possible, the key determinant
being the distribution of power:
The success of different units in imposing their behavioural aspirations
on the ESO depends on their power. In performance-oriented ESO's the
power accrues to units which are seen to be important to the ESO's
The diffusion of power presents particular problems for general
management which exists to provide strategic leadership:
The very reason for its existence is to provide guidance and control
to the firm in a manner which will assure its survival and success.
(Ibid.: 125). Yet strategic leadership is no longer the exclusive
privilege of general management and increasingly competes with a
variety of political influences. (Ibid.: 128).

In this respect there is a growing convergence between the non-profit and for-profit ESO. The semantic distinction traditionally made between administration in the former and management in the latter reflects differences in distribution of power which no longer apply: the for-profits increasingly resembles the non-profits in power distribution, and many non-profits: who are under increasing pressure to become more effective to their clients, as well as to be more economically effective ..... need vigorous strategic leadership because their historical role is being eroded, and they must either realign themselves with the environment or face extinction. (Ibid.: 129).

The responsibilities identified for strategic management in Chapter 9 are daunting. They are expected to conceive a vision of the organization's future, to communicate and inspire others with the vision, and to influence the firm to follow the vision. (Ibid.). The way the vision is conceived and its implementation assured is influenced by the perceptions, motivations and skills of general managers. Their cultural perspectives act as perception filters which affect both the nature of environmental scanning undertaken and the significance attached to the information collected. (Ibid.: 146-147). Their capacity to scan the environment depends on the technology employed, or forecasting filter. Ansoff is generally concerned about the inadequacy of the technology available to support decision leadership:
The part of the technology which deals with logical reasoning is reasonably advanced. What is missing are both the understanding and the technology of psycho-socio-political aspects of strategic decision leadership. (Ibid.: 137). He attaches considerable importance to political skills:
As a practitioner the strategic leader will need skills in the conduct of political processes: bargaining, conflict avoidance, conflict resolution. (Ibid.: 133). He also believes that the greatest
challenge to strategic leadership occurs in effecting a change in the
culture of an ESO. (Ibid.: 140). The solution, however, is not to
develop a single cultural stereotype. Ansoff believes it safe to predict that:
increasingly ESO's will move from a single cultural stereotype to a
multi-manager concept. Increasingly the roles which general managers
are expected to play will be differentiated according to the task and the
individuals will be selected, trained and promoted to serve roles which make use of their distinctive personalities and personal aspirations. (Ibid.: 143).
The variability which he observes in managerial performance at the strategic level is explained in terms of: (a) the constraints imposed by the power structure, law, tradition and social pressure, (b) the rewards attached to the managerial role, and (c) the manager's personal strategic culture, ambitions and risk propensity.
The remainder of the text is devoted to the completion of Ansoff's quasi-theoretical model which is then employed to explain transitional behaviour from one level of turbulence to another, and which forms the basis for the five key axioms offered at the conclusion.


It would appear from the above that by the end of the 1970's there had been a marked shift in perspective with the mechanistic prescriptions of the early part of the decade largely discredited and increasing attention being given to contextual factors, particularly the perceptions of managers and the micropolitical skills required of them in the resolution of internal conflicts and in negotiations with key influencing agents at the interface with the external environment. At first glance such is the view of Higgins who is only too well aware of the gap between principle and practice which he explains as follows:

In part, of course, the gap between principle and practice could be accounted for by the unrealistic expectations of some prominent academics and consultants and the author believes very strongly that
at various periods in the last three decades some authoritative figures in these categories have over-reached themselves in their claims for the computer particularly in the MIS context, for OR modelling and for cybernetics and 'total systems' approaches generally. Nevertheless, it is the case that systems techniques and technology are currently developed beyond the capabilities or wishes of many organizations' managements to utilize them. (Ibid.: 215).

What is surprising, in the light of the shifts in perspective so far identified, is that a consideration of the managerial and organisational aspects should be left by Higgins to the last chapter, which amounts to barely twenty pages of text and which suggests an addendum rather than a core contribution. A detailed examination of the complete text reveals it to be very much in the tradition of the early seventies with an emphasis on systems and techniques, a strong prescriptive component, and a generous allocation of cautions and caveats. There is no lack of awareness of the 'people' issue and the conclusions reached and recommendations made are highly practical. What is lacking is an extended treatment of themes recognised to be important. One short paragraph is devoted towards the end of the book, for example, to Taylor's advocacy of the 'policy analysis approach' identified with Dror. More specifically, his:

views on a number of issues including comparison of the systems analysis and policy analysis approaches; the exclusion by formal planning systems of such factors as 'the political aspects of policy making', the encouragement of 'innovative and creative thinking' and 'attempts to change the organizational climate'. This is a valuable critique and, although the present author has argued for recognition of all these factors within the planning system, it is often the case in practice that they are either ignored or not given due weight by some, not least system designers and planners; hopefully the latter will broaden their perspectives appropriately. (Ibid.: 232).

Higgins quickly moves on to a consideration of the advances in technology envisaged over the next decade and concludes with a sympathetic reference to Ackoff and Beer and the cybernetic approach.

As has already been pointed out THE REALITIES OF PLANNING had its origins in a series of workshops held for practitioners between 1975 and 1977, but as the authors are quick to explain, and as the period of gestation confirms, it is in no way regarded as "the book of the conference". (Ibid.: ix).

The main contribution of the workshops was to help us to define what we feel are some of the important realities of modern corporate planning, around which we have structured many of our subsequent writings. It is this work which makes up the core of the book, supported by a few important contributions from others to cover areas in which we had less experience, or to provide case study examples to flesh out some of the points. (Ibid.).

Among such contributors brought in to strengthen the text is Pettigrew who provides a chapter on 'Strategy Formulation as a Political Process' in Part 2, which is devoted to the politics of planning.

The major preoccupation of the authors is with the gap between some of the more traditional text book concepts of corporate planning and the realities of actual practice. Among the most important realities which they identify at the very outset (Ibid.: x) are:

a) **The limited impact of corporate planning because a majority of managers do not properly understand it, and top management generally sets too low an expectation from it.**

b) **The neglect of behavioural issues.** Not only does corporate planning affect the balance of power within an organisation, and therefore is a political process, it also has to stimulate creativity, motivate, be responsive to the style of the organisation, and to both satisfy and make use of the growing desire of managers to be involved in the development of the organisations for whom they work.

c) **Excessive reliance on a consultant's proprietary package and "cook-book" solutions.**
d) Confusion over what is meant by corporate planning given the different stages of development achieved by individual organisations as dictated by their particular circumstances.

e) The need to achieve a greater compatibility between the demands of the planning system, particularly as they relate to the growing pressure from internal and external stakeholders for greater involvement, and organisational style, as determined by top management.

Part 1 is addressed to 'New Concepts in Planning' and in it Taylor and Hussey argue for a multidimensional and multidisciplinary approach which takes into account the specific needs of a particular organisation. Five dimensions or styles are examined in detail, all of which have a utility for the planner and provide him with different perspectives or 'conceptual lenses'. (Ibid.: 42). These are not elaborated at this point since they have already been explored in section 3.3 of Chapter 2 (see pages 35 to 40). What needs to be pointed out, however, is the identification of the multidimensional and multidisciplinary approach with Policy Analysis and Strategic Management. Dror (1971) and Ansoff (1976) are quoted with approval. Dror's advocacy of Policy Analysis rather than Systems Analysis is commended, and Ansoff's adoption of a more comprehensive approach to strategy-making in the form of 'strategic management' is applauded, notably his concern for:

a) internal arrangements as well as Product-Market Strategy;
b) the problem of implementation and control; and
c) social and political factors inside and outside the organisation. (Ibid.: 10-11).

Taylor's view of the organisation as a culture makes very different assumptions from the 'classical rational' view of planning. He advocates the adoption of the following new assumptions:

1. Setting of goals in an enterprise is part of a complex social process. Emphasis is placed on iteration, notably between ends and
2. Organisations contain many sub-cultures and value systems competing for dominance. It follows that: One of the tasks of top management is to maintain a balance between these various sub-cultures so that the organization will remain stable but innovative.

3. Strategy tends to emerge in an irregular way over time through a complex interaction between the various factions and in response to changes in the environment. Mintzberg's (1976: 15) research findings are quoted to confirm that strategy formulation is best thought of as 'a pattern in a stream of decisions' rather than a preconceived plan; is 'not a regular, nicely sequenced process' but rather 'bumpy and ad hoc', and generally has to be undertaken 'slowly and by stages'.

4. Control in human affairs is often not achieved so much through formal procedures and budgets, as through the operation of group norms and self control. Hence the importance of the 'psychological contract'.

5. A major strategic problem for management appears to lie in updating the 'dominant ideas' in the enterprise. Taylor attaches considerable importance to sensitising the organisation and raising the general level of awareness among managers. (Ibid.: 37-39).

Even so, he remains committed to 'rationality' and does not advocate a return to 'muddling through'. (Ibid.: 44). But the commitment is one that needs to be combined with a healthy scepticism about corporate planning (Ibid.: 49), a scepticism encouraged by the promises of the early years of corporate planning which were never kept. The reality of what could be planned was at variance with the heavenly delights offered by many of the early practitioners. (Ibid.). Such unrealistic expectations derive from the failure to recognise the chaotic conditions prevailing in even the 'best' organisations and the serious neglect of the 'people issue'. One method recommended for developing planning approaches to cope with the people issue is a carefully structured organisational development approach to strategy, which encourages
individual creativity and wide involvement. (Ibid.: 64).

Part 2, devoted to the 'Politics of Planning', concentrates on two major aspects of corporate planning viewed as a political process:

a) the relation of the enterprise to the political events in the business environment in which it operates; and

b) the internal issues of power and influence within the firm itself. (Ibid.: 65).

Attention is drawn to the political skills required to negotiate the external environment during the 1980's, the need for a 'foreign policy' and a need to plan politically.

A manager can only plan with confidence managerially to take decisions which are under his own control. For decisions which are made by other groups or individuals outside his control he must plan politically to influence their decisions. To avoid "strategic surprise" in the 1980's it is important that senior managers should take a realistic view of their power position. (Ibid.: 69).

Pettigrew's chapter on 'Strategy Formulation as a Political Process' which originally appeared as a journal article in 1977, has the power position of managers within the organisation as its major preoccupation. The conceptual framework developed and issues raised by him were obviously seen by the editors to have considerable practical significance, hence its inclusion in Part 2. Indeed Pettigrew provides much needed elaboration of the issues of power distribution, power resources, the creation of legitimacy for ideas, values and demands and the management of meaning. Most significantly, however, he demonstrates how strategy formation is contextually based. Strategy may be understood as a flow of events, values and actions running through a context. The key elements of context, or segments, as he identifies them are:

a) time;

b) the culture of the organisation;

c) the organisation's environment and its stability/instability;

d) the organisation's task, structure and technology; and
e) the organisation's leadership and internal political system.

(Ibid.: 94).

Part 3, which is concerned with 'Planning and Innovation', focuses attention on approaches to strategic portfolio analysis and examines the use of the Directional Policy Matrix in the company in which it was initiated, namely Shell Chemicals, and three other large organisations.

Part 4 considers 'Planning as a Process of Organisational Change' and consists of a chapter written by Hussey followed by two illustrative case studies. The chapter written by Hussey confirms the shift identified in 1979 from the position adopted by him in 1974. He is particularly concerned with the neglect of organisational planning and organisational development, both regarded as essential accompaniments to the introduction of corporate planning, and also the predilection of companies to adopt 'standard planning "packages"', which he regards as rarely making sense even when backed by a reputable consultancy, or when they have obviously worked in another company.

(Ibid.: 163). He reaffirms the advice given in earlier texts against the introduction of a planning system which will cause unforeseen and unplanned organisational changes. More specifically:

a) The chief executive needs to be totally committed to and fully understand the implications of what he is subjecting the organisation to.

b) The chief executive must implicate and win the support of managers, many of whom are likely to regard the innovation as threatening:

Some approaches to corporate planning are likely to prove shattering to managers used to operating under completely opposing management styles: whether it is the planning process or the managers that shatter depends on the relative power and influence of the people concerned. (Ibid.: 164).
c) The system employed must take account of business complexity and organisation structure.

d) There needs to be a good "fit" between organisational style and planning approach and style.

The final section, Part 5, is given to 'Choosing a Future' which is an examination of the use of scenarios and social forecasting techniques and a consideration of the impact of high inflation rates on corporate strategy.
CHAPTER 4: CURRENCY OF IDEAS AND PERSPECTIVES ON CORPORATE PLANNING IN THE PUBLIC SECTOR

Before narrowing the focus to Local Government and Education attention will first be given to developments in the field of Policy Studies or Policy Analysis. The emergence of this 'new discipline' has close parallels with the development of Business Policy, being an eclectic enterprise which seeks to place a number of the central concerns of public administration within a broad multidisciplinary framework of analysis.

1. POLICY STUDIES

There is no shortage of literature in this rapidly expanding field, but a comprehensive review is not contemplated.

1.1 Ham and Hill (1984)

One of the most recent texts to appear is THE POLICY PROCESS IN THE MODERN CAPITALIST STATE by Ham and Hill (1984) which is regarded, for the present purpose, as representative of the preoccupations of teachers, researchers and practitioners in the field and as providing an acceptable account of the genesis and development of the field of Policy Analysis (a term which the authors prefer to Policy Studies).


While acknowledging the long-standing interest in policy studies and
hence the dubious claim to being called a new discipline, Ham and Hill nevertheless emphasize the steady growth of interest in the field and the greatly enhanced scale of the enterprise, particularly since the late 1960's.

The public policy movement claimed to offer a new approach to the problems of government, not least when compared with public administration whose perceived failings provided the stimulus for the development of policy analysis courses in American universities in the late 1960s. Many of the master's programmes in public policy took as their model the masters in business administration programmes run by the business schools. The emphasis was on quantitative methods combined with organisational analysis and the development of management skills through case-study approaches. Ethics and values also found a place in some programmes. Ham and Hill (1984: 2).

They go on to point out how the UK kept close to the US in these developments and the output which resulted by way of journals, publications, and the creation of specialist centres within universities. What the literature reveals is a shift of emphasis from the examination of the institutions and structures of government to a behavioural focus (Ibid.: 4). It also reveals a willingness to employ insights derived from a wide variety of disciplines.

Ham and Hill (Ibid.: 10-11) find it useful in studying the policy process to draw on ideas and insights from a number of academic disciplines, particularly political science and sociology and endorse Wildavsky's view that:

Policy analysis is an applied sub-field whose content cannot be determined by disciplinary boundaries but by whatever appears appropriate to the circumstances of the time and the nature of the problem. (1979, p.15).

Wildavsky's emphasis on policy analysis as a problem-centred activity is also noted. The analyst is expected to engage in action hence:

Policy analysis is therefore concerned with both planning and politics. (Ibid.: 6).
1.2 Open University: D331 (1974) and D336 (1980)

Rationality and power are themes which pervade the Ham and Hill text and policy analysis in general. They are also the themes chosen by Patten and Pollitt (1980) for the Open University's third level course D336, Block 2, MAKING POLICY. This course is selected for special attention for three reasons: it succeeded D331 which appeared in 1974 and hence reflects a shift in perspective over 6 years; the approach adopted by the Open University's course teams in this, as in a number of other fields, is pluralist, with a strong practical orientation; and both D331 and D336 provided the Researcher with valuable insights which led his reading and thinking in a number of fruitful directions.

D331, a third level course in Public Administration first published in 1974, combined formal study of four alternative approaches to public administration, supported by selected case studies and readings illustrating the great complexity and variety of actual administrative situations, with an inquiry undertaken by the student designed to test the validity and power of these approaches in specific contexts. The four approaches adopted are:

- the formal structural approach,
- the administrative process as a decision-making and goal attaining system,
- the administrative process as incrementalism, and
- the historical approach. Murray (D331, Block 1, 1974: 6).

They provide in combination a very comprehensive conceptual tool-kit and the strengths and weaknesses of each approach are examined in detail by the course team. Attention will be confined in this brief review to the first three approaches.

The renewed interest in formal structure, after a considerable period when it was fashionable to deny to the formal structure a significant effect on the conduct of administration derives, according to Murray (Block 2, Paper 1, 1974: 6-7) from a number of factors including the
growing concern with administrative efficiency. Due coverage is
given to key concepts associated with formal structure such as
differentiation, integration, chain of command, span of control,
authority, responsibility, hierarchy, and so on, with attention drawn
to the alternative emphasis which may be given in turn to descriptive,
comparative and prescriptive orientations. The body of theoretical
writings about formal structure which is commonly treated as central
to administrative theory is identified by Murray (Ibid.: 90) as the
one which derives from the aim of achieving managerial efficiency.
This is seen to account for the orientation adopted by Self (1972)
whose ADMINISTRATIVE THEORIES AND POLITICS is a recommended set book
for the course. Self provides the critical component necessary for
a balanced view of the formal and other approaches and an
enthusiastic review by Vickers, which endorses the necessity to cover
the variety and complexity of context by taking account of variations
in the function, structure, ethos and motive culture of organisations,
is quoted at length Murray (Ibid.: 116-117). As Vickers points out
in the review, the last chapter of Self's book called 'The Dilemmas
of Administration' gives a clear indication of the pitfalls of
prescriptive solutions and leads the author to:

A sober, though not disparaging assessment of the contribution to be
expected from such techniques as policy and programme budgeting and
cost-benefit analysis, and to an admirable statement of the
differences between business and various sections of the public
sector. (Ibid.).

PPBS is given detailed consideration in Block 2, Part 2, which views
'The Administrative Process as a Decision-Making and Goal Attaining
System'. The focus is on process, the approach adopted is a systems
approach, and the concern is with action.

This concern for action is at the heart of the view that the right
approach to the study and practice of administration is to recognise
that organizations are dynamic entities, concerned with making decisions and attaining goals. Put more formally, this approach might be defined as follows:

(a) all organizations are concerned with setting goals or objectives, specifying the problems that must be overcome if they are to be achieved, considering the various solutions that might be adopted to each problem, selecting the most appropriate solution for each problem, implementing those solutions by programmes of action, and reviewing the results achieved to see if objectives have been met;

(b) the best way to study an organization is to study how it undertakes the various activities listed in (a) above;

(c) the best way to reform an organization is to correct defects in the way it conducts the activities listed in (a) above.

Bourn (D331, Block 2, Paper 2, 1974: 7).

The rationalist philosophy which permeates the approach is subjected to critical analysis, as is the associated technology which includes PPBS, MBO, CEA and CBA. Examples are provided of the practical application of the approach and the use of associated techniques which include the implementation of the Bains Report and the reorganisation of central government as well as the introduction and implementation of PPBS in the UK and US. It is on the last of these that attention will be focused and, more specifically, on the evaluation of the US experience as undertaken by Garrett (1972) and which appears as Reading A in the main text. (Ibid.: 81-89).

While Garrett is able to identify positive benefits emanating from the introduction of PPBS into US public administration by way of a major improvement in the quality of information, the development of an overview of total government effort, the new prominence given to the efficiency partisan, and the educational impact of a more analytical and rigorous approach to decision making, it is the general disillusionment with PPBS which is most striking, a disillusionment made all the greater by the inflated early expectations claimed of it. The negative factors offered in
explanation include: the hostility and suspicion of politicians; the insensitivity of the abrasive young technocrats intent on applying the calculus of efficiency embodied in CBA with scant recognition of the political calculus and complexities of social programmes; the retention of traditional accounting procedures with output budgeting as an overlay; the mismatch of programme and organisational structures; and the adoption of quantification as a substitute for rather than an aid to analysis. While Garrett is more optimistic about the 'second generation' systems being introduced in the US, and finds the Canadian experience very encouraging, he is largely unimpressed, as are the critics he quotes, by the early applications in the UK, notably the Treasury feasibility study for PPBS in the Department of Education and Science published in 1970.

The general conclusion reached by Garrett is that strategic planning is more complex in government than industry because of:

a) the problems of specifying objectives and quantifying results;
b) the unpredictability of the expenditure implications of existing commitments;
c) the separation of funding and control;
d) the conflict between efficiency and political expediency; and
e) the preoccupation with planning and the neglect of implementa­tion and control.

With particular reference to the lessons to be learned from industry if corporate planning is to have any hope of success in the public sector, Garrett identifies the following (Ibid.: 64-65):

a) First, and most important, the top management group has to be persuaded of the value of the exercise and has to be convinced of the credibility of the corporate planners ......
b) Secondly, the links between planners and managers should run through the organization to the lowest levels of management ......

c) Thirdly, a plan should have an organizational expression, so that its elements are clearly the responsibility of managers who can be held accountable for producing results and so that planning and control are integral parts of a single management system.

d) Finally, before undertaking corporate planning on any scale, an organization must have a management information system which supplies accurate and timely information about its current operations.

In his final overall review of the approach Bourn (Ibid.: 42-43) commends it for the emphasis placed on process, the recognition given to interdependencies within a total system, the attention given to the organisation and its environment and the importance attached to planning, implementation, control and feedback, but also warns against the temptations to believe in a rational model which can never be attained in real life, to make unrealistic criticisms, and to under-value the incrementalism of political process.

The next approach to be considered views 'The Administrative Process as Incrementalism' and is found in Block 2, Paper 3, written by R. G. S. Brown. The choice of author is significant since Brown is less concerned with providing normative prescriptions of how policy makers ought to behave than with providing convincing descriptions of how policy is made. Even so he aims to test both the descriptive and normative powers of the incrementalist approach. Brown considers the main hypothesis of incrementalism to be that:

administrative policy making characteristically involves a continuation of past policies with the least possible (i.e. incremental) modification to suit changing circumstances.

(Brown (D331, Block 2, Paper 3: 7).

The chain of reasoning supporting the hypothesis is presented as follows:

- rational decision making is impossible ..... 
- decision makers have to 'make do' with decisions that will 'get by'.
- The easiest decisions and those most likely to 'get by' are those which follow past precedent as closely as possible.
In a pluralist society the public administrator has to take account of the existing power structure. In innovation is unlikely since it is hard to attract political support for a policy that is too radical for established interests.

(Ibid.).

Lindblom (1958, 1964) is identified as the leading proponent of incrementalism and against his perspective is set Dror's (1964, 1968) picture of decision-making man. Dror, while recognising the service performed by Lindblom in exposing the unreality of the rational-comprehensive model, believes him to have thrown out the baby with the bathwater. Incrementalism is accepted by Dror as an accurate descriptive model but rejected as a prescriptive model except in fairly rare circumstances, namely stable conditions when past experience offers a reasonable guide to the future. When circumstances are changing rapidly incrementalism is regarded by Dror as dangerously inadequate. He believes that decision makers should aim to be rational in so far as it is economically worthwhile to do so and acknowledges the place of extra-rational contributions in decision making. (Ibid.: 13-14). Brown identifies his own position as falling along the Lindblom-Dror axis with the emphasis placed on the reconciliation of pressures and interests. He finds Lindblom: too close to laissez-faire for the 1970's. A capacity for planning, and for influencing others to accept the policies that planning suggests, seems increasingly necessary as a constituent of the policy-making process.

but warns against the over-simplified models of reality with which planning necessarily deals and the essentially tentative nature of emerging policies until properly tested (Ibid.: 44-45). Brown's knowledge of the Health and Social Services, on which he frequently draws for purposes of illustration, leads him to emphasise the importance of the nature and context of decision-making. Such an
emphasis is also made by Vickers (1965), extracts of which are included as a Reading G (Ibid.: 83-97) and from which Brown approvingly selects certain key concepts. The most important, and the one given widest general currency since the term was coined by Vickers, is the **appreciative setting** of policy makers, that is, the mixture of fact, value and experience which predisposes them to see a situation in a particular way and to reach a view about what action, if any, is needed. Appreciative settings are seen to change only slowly hence the view expressed by Vickers that:

> the major limitations on the policy maker today are not physical or technological but institutional and cultural (quoted Brown, Ibid.: 15).

Brown believes that Vickers could be regarded as providing a bridge between Lindblom and Dror:

> By temperament, he is clearly disposed towards peaceful and piecemeal change and to that extent may be regarded as an advocate of incrementalism as a positive strategy. On the other hand, he recognises the occasional need for a more drastic (and therefore more risky) approach. Even within the framework of peaceful change, he is concerned to improve the quality of policy making in order to keep up with the effects of rapid changes in technology and society. He advocates the development of judgemental skills, in an appropriate institutional setting, to help overcome cultural and institutional inertia. (Ibid.: 18).

In his final evaluation of incrementalism Brown finds it to have considerable theoretical power, despite its inability to account for spontaneous and sudden change. He also finds that it has impressive descriptive power in that:

> a large amount of policy making in Britain can be described fairly accurately and helpfully on an incrementalist model. This is true even of policies that are supported by a good deal of analysis. (Ibid.: 41).

He is reluctant to commend it as a prescriptive model, however, since
the normative strength of incrementalism is seen to:
rest partly on a view of the underlying satisfactoriness of the present situation. This is in the last resort a matter of ideology and personal beliefs.

(Ibid.: 42).

As a rider Brown points out how institutions can be created whose organisational arrangements may hinder or favour an incrementalist approach. He predicts for example that however rationalist the planning system intended for the reorganised National Health Service might be in conception, the organisational arrangements would ensure that it would be incrementalist in operation. (Ibid.: 43).

D331 has been treated at some length in order to indicate that the debate over rationalist and incrementalist approaches was well established in 1974 and that the major issues surrounding the introduction and operation of corporate planning were generally well rehearsed at the time. What D336, the replacement for D331, did six years later was to refine the debate and narrow the focus on to certain key issues, notably context, rationality and power. For the present purpose selective reference only will be made to Paper 8 of Block 2, which bears the title 'Power and rationality: theories of policy formulation'.

Patten and Pollitt find the reality of policy-making more subtle, complex and resistant than a 'rational' objectives/options/outputs model seems to allow. (D336, Block 2, Paper 8, 1980: 16). While not wishing to argue that PPBS and corporate planning have been unmitigated failures, certain benefits being acknowledged, Patten and Pollitt believe that they are based on dubious normative assumptions linked to economic and technical rationality:

It is evident that, when these assumptions have been applied to the real world, there have been difficulties and failures as well as successes. These difficulties are of special interest. They seem to
indicate that there is something else in real-world policy-making, apart from economic and technical rationality: not that we should necessarily throw the rational-comprehensive model overboard (not that we should necessarily retain it either) but that for an adequate description of how policy is actually made we need to take other features into account. (Ibid.: 18).

The features identified include:

1. The existence of power relationships. Policy-makers have to take into account the distribution of power, both within their own organization (department, government, local authority) and beyond it.
2. The importance of 'values', and the fact that economic and technical rationality take them as 'given' saying little of their origins, nature, etc.
3. The difficulty of making a clear separation between facts and values, means and ends.
4. The difficulty (related to both 1 and 3) of arriving at an agreed statement of objectives and priorities.
5. The extremely demanding nature of the rational-comprehensive model (and approaches derived from it) in terms of the abilities of policy-making organizations to collect and process very large quantities of data. In particular, there is the requirement that senior policy-makers should be able to understand and make creative use of this data despite its complex, probabilistic nature. (Ibid.: 18-19).

In conclusion they summarise the various elements identified by them as relevant to the study of policy making as follows:

1. The cognitive and motivational psychology of individual policy-makers (what kind of 'modified rationality' do they display?)
2. The effects of 'group dynamics' - the fact that much policy-making activity takes place in committees or other face-to-face groups where group norms and values are likely to have significant influence.
3. The structures of policy-making organizations (including both the formal 'organization' chart and decision routines, rules and other 'standard operating procedures').
4. The distribution of power and interests within policy-making organizations.
5. The more general distribution of power in the political system as a whole. (Ibid.: 46).
2. LOCAL GOVERNMENT

Hambleton (1978: 55-57) identifies the period 1967-74 as one in which corporate planning takes off in UK local government. Prior to this, and particularly from the mid-1960's, there had been various moves towards a more purposeful approach to local government policy making but these lacked an intellectual focus. It is Hambleton's view that:

The gap was filled by the Institute of Local Government Studies (Inlogov) at Birmingham University which has been enormously influential in the development of corporate planning. Since 1967 some 7,000 senior local government officers and members have attended various management courses at the Institute. In the early days teaching emphasized the PPBS approach and drew heavily on the latest American ideas.

Hambleton also points to the role played by management consultants, in particular the studies of McKinsey and Co. Inc. for Liverpool and Hull and Booz-Allen and Hamilton for Islington and Stockport, in disseminating new ideas and encouraging emulation. But it is on Inlogov that attention will be focused for the present purpose. A selective examination of the output of Inlogov and its general reception by academics and practitioners provides an illuminating account of the shifts in perspective and changes in the climate of opinion during the period from the early 1970's to the present day.

As Hambleton (Ibid.: 56) indicates, the climate at the time the Bains Committee (1972) was set up to produce advice for the new local authorities on management structures at both member and officer level was one of considerable optimism. The optimism is reflected in the enthusiasm and proselytising zeal displayed by J. D. Stewart and his colleagues at Inlogov in promoting the cause of corporate management and corporate planning.

2.1 Eddison (1973 and 1982)

Eddison's (1973) LOCAL GOVERNMENT: MANAGEMENT AND CORPORATE PLANNING, a highly influential text the first edition of which sold out very
rapidly, combines the above characteristics with a strong concern for practicalities. The author's intention is quite clear, however. He intends his book to:

be a stimulus to new approaches, an agent for change, not for change's sake but as a means of improving local government's contribution to the way society operates. 

The intention is to bring together a series of ideas and developments, not so that a solution may be prescribed for local government problems, but so that those people in practice who are aware of the possibilities may build on, may adopt or draw on the ideas here presented to improve local government effectiveness.

(Ibid.: xiii, 1).

While Eddison aims to avoid prescriptions there is never any doubt about the approach which he favours and commends.

The case for planning the affairs of a local government authority as a whole is a strong one. Establishing it in principle, however, leaves untouched the problems of creating the reality. There are both conceptual and operational problems. The object is to create frameworks for thinking about planning, for developing it; but especially it is to help those involved in the business of public planning to establish more effective ways of shaping and implementing plans and policies.

(Ibid.: 11).

The framework of thinking on which Eddison draws most heavily is the systems approach and the technology given greatest prominence is PPBS and MBO. The emphasis is on the corporate planning process, which is recognised from the outset by Eddison as difficult to achieve in practice.

Talking about corporate planning, proclaiming its implementation or adopting the label do not add up to achieving the process. Many 'new' approaches on techniques come and go without making any significant impact in the management processes, indeed many of them remain isolated from them altogether. Corporate planning runs the danger of becoming the thing no self-respecting local authority should admit to being without. The concept is inherently attractive. The great
temptation is to leap into the mechanics and organisational structure for corporate planning. The intention is not to prevent anyone from doing that but to sound a note of warning. Our policy-making institutions have not yet displayed any great understanding of the nature of planning itself. It is only on the basis of understanding the nature and limitations of plans that any kind of plan is likely to be successful. (Ibid.: 9).

This cautionary note is one reiterated throughout the text. He is anxious, for example, that PPBS should not be viewed as a technique, as a set of mechanisms even magic mechanisms for better if not perfect decision making (Ibid.: 43). He prefers it to be seen as an approach to decision making ... a way of presenting information in a systematic way so as to expose policy choices, making as explicit as possible the costs and consequences of these choices (Ibid.). He is well aware of the fact that a change in management structures does not necessarily bring about a change in the management process (Ibid.: 147), and devotes an entire chapter to the problems of Breaking in to change (Ch. 9).

While recognising the realities, notably that any change will have to be heaved into place against the gravitational pull of vested interests, fear, indifference and the pressures of the everyday business of carrying out the duties of local government (Ibid.: 184), Eddison adopts a positive approach in chapter 9 by suggesting ways in which a local authority interested in change (for the right reasons) might break into it. His aim is not to set out a series of steps to follow but to highlight some dangers, some opportunities, some ways of bringing about change, real change as distinct from illusory change which often manifests itself on formal organisation charts and committee terms of reference whilst what is actually happening on the ground remains unchanged (Ibid.).
Anyone interested in effecting change is left in no doubt that it is a complex operation not merely in mechanistic, system terms but much more because it concerns an intervention in very strong, established forces (Ibid.: 185). Questions of perception of change and perceptions of motives for change are raised and concentration on the processes of management rather than its structures is advised if change is to be effected (Ibid.). Training is regarded as an important element in assisting change. It needs to be thought of much more as assisting the development of new patterns of thinking and much less as the cramming in of new management techniques and rules of management (Ibid.: 186). The use of the simpler, less elaborate techniques such as Position Statements and Issue Analysis is advocated as a means of gentle break-in. But above all key personnel must be ready to take up the challenge and spark off a process of learning by the local authority. Through the learning linkages, which will cross formal organisation boundaries, the base will be set for the changing organisation (Ibid.: 193). The exhortation to boldness, risk, experiment and constraint evaporation which concludes chapter 9 is not entirely unexpected given the contents of the preceding chapter, Characteristics of an Emerging Planning Format (ch. 8), which seems to epitomise the climate of optimism which prevailed at the time the book was written. It is openly speculative and is based on an impression that, quite apart from any effects of major local government reform, there is a growing mood of change in the local government air - maybe it pervades the whole public sector (Ibid.: 174).

Eddison makes no apology for exaggerated expectation and optimism and sets out to share his hopes and fears for the future. Behind it all lies a hope that instead of regarding the future simply as more of the past we shall develop approaches which at the very least move us to plan for future avoidance, but more hopefully to get to the stage where
we envisage desirable futures and then work backwards to thread our way through the policy making systems - to understand them, to redesign them for two purposes. First to try to secure that we reach our desirable futures and secondly to ensure that we don't if those futures turn out to be incompatible with later futures (Ibid.). This hope was fuelled by a belief that the gap between the proponents of the new approach and practitioners in the field was closing. Eddison listed the following factors in support of the view that the gap was closing and a new mood of change developing:

a) A broader perception of and a more purposeful interest in policy making.
b) The emergence of the 'learning organisation'.
c) More widespread adoption of systematic processes.
d) A greater willingness to experiment.
e) The appearance of a new breed of local politician different from the accepted stereotype.
f) An increasing ability to cope with constraints previously held to be insurmountable.
g) The extension of training, particularly in management skills.
h) The growing scope for inter-agency co-operation.
i) A recognition of the legitimate resource claims of the public sector, including those necessary to develop planning systems.

By the time the second edition appeared in 1975 there was evidently less ground for optimism but chapter 8 remained surprisingly intact. Eddison has indicated to the Researcher that had the time been available he would have wished to undertake a major recasting in order to reflect a shift of perspective in his thinking. All he was able to do in the circumstances was to update the text to take account, for example, of Bains (1972) and Paterson (1973) and to place greater emphasis on
organisational climate and organisational development, particularly
the development of organisations as learning systems. Eddison's
growing interest in the 'softer', human and behavioural aspects of
management and his increasing reservations about the 'harder' systems
approach identified with Inlogov led him to move to Bristol in 1974.
As the result of teaching and consultancy work undertaken from his
Bristol base in the UK, Australia and New Zealand a radical change
has occurred in Eddison's thinking on corporate planning, which is
most dramatically represented in a seminar paper delivered by him to
the New Zealand Institute of Local Authority Management at Auckland in
November, 1982. While acknowledging the provocative intent and
polemical flavour of the paper, Eddison has indicated to the Researcher
his willingness to stand by the general statements and propositions
offered although they may sometimes appear to be over-stated.

In the paper Eddison draws attention to the number of management
techniques, fads and fancies that have been bandied around over the
last 25 years or so - things which were introduced with great fanfares
and enormous claims for what they would do for us.

Corporate planning and the modification of organisational structures
are selected for particular critical attention. First corporate
planning.
As an idea I have no quarrel with it; indeed, I regard it as important,
but as a working reality in public sector organisations, it does not
exist. In practice it comes unstuck because essentially it is a
bureaucratic device or idea which is imposed on forces and deeply
entrenched patterns of behaviour which conspire to frustrate it. That
is what has happened in Britain, what is happening in parts of
Australian local government and will happen anywhere unless we confront
the issue of developing the organisation itself through the people in it.
(Eddison, 1982: 1-2).

The emphasis placed in the last sentence is further underlined in his
critical assessment of the fad for changing organisational structures.
He takes the view that nine times out of ten changing the structure of an organisation is about as useful as re-arranging the deckchairs on the Titanic. While not wishing to suggest that techniques or changes in organisational structure are totally irrelevant, he nevertheless believes that they are grossly over-emphasised and used as an excuse for not confronting the real issue – how can we make our organisations effective in the way they develop and use their human resources positively and constructively? (Ibid.: 2).

For those interested in improving their organisations and making the best use of staff his advice on the most fruitful route is: not into traditional management techniques nor into many of the mechanistic devices with which you may be tempted (though these may have a subsidiary role). The area needing most attention, since it is sorely neglected, is the organisation climate itself. ..... It can be stimulated by programmes or organisational development but more important is the need to recognise every day opportunities for influencing the climate positively rather than negatively. (Ibid.: 3).

2.2 The Bains Report (1972) – Interpretation, Implementation and Appraisal

Although the extent of Eddison’s disaffection may have been dramatic the experience itself was by no means unique from the mid-1970’s onward, as Hambelton (1978) indicates. Hambleton, who is intent on demonstrating the value of corporate planning if intelligently used, believes that the main cause of disillusionment has been too much emphasis on structural change and the introduction of new procedure all of which may create the impression but not necessarily the reality of corporate planning. (Ibid.: 61). Consultants reports are seen to be mistakenly adopted as instruction manuals spelling out the steps to be taken and rules to be followed. In much the same way the Bains Report (1972) through no fault of its own, has also sometimes been used almost word for word as a recipe book for corporate planning which Hambleton views as the very reversal of the learning approach.
which corporate planning stands for.

2.2.1 Greenwood, Hinings et al (1976, 1980)

Hambleton is more charitable to Bains than other observers who feel that the committee must share at least some of the blame. Greenwood et al (1976), for example, find the main fault of Bains to be: its concern with a description of machinery rather than thinking of relationships and operations. It has led to local authorities assuming that the existence of the machinery means corporate management. When, after a year or eighteen months, the magic solution to all problems has not occurred, corporate management is deemed to be a failure. (Ibid.: 19).

This weakness and others is further examined in the final report of a research study conducted by Inlogov (Hinings et al, 1980) of which the above forms part. The aim of the study was to examine the impact of the 1974 reorganisation of local government on the management structures and processes of local authorities during the period 1974-78, the major preoccupation being to understand the process by which such structures develop and change. (Ibid.: 1). Hinings et al take the view that the 1974 Reorganisation sought to improve the effectiveness of local government by transforming the framework within which it operated and by endorsing a set of ideas and principles which were said to guide existing 'best' practice. (Ibid.: 3). The ideas and principles intended to shape the thinking of local government about its internal structures and processes were enshrined in the Bains Report (1972).

According to Hinings et al (Ibid.: 2):

The Bains Report embodies two aims, both of which received the official support of central government. The first was to facilitate the diffusion of ideas: to codify and commend a series of ideas and practices which had been developed in local government during the previous decade; the point of Bains was to spread the message and to influence local government management at a critical point in its development. Secondly, it was to suggest models of management structures which might facilitate the ideas of corporate management in the reorganised local authorities.
Hinings and his colleagues find two major weaknesses in the Bains Report: its preoccupation with structure, process remaining implicit, and the neglect of context. Reference has already been made to the first criticism which is further elaborated in the final report (Ibid.: 264).

Corporate management as put forward in the Bains report was primarily structural, process remained implicit. Yet the idea of corporate management is about a particular process of managing a local authority. A corporate structure has no meaning unless there is a corporate process to support it.

While Hinings et al acknowledge that the Bains Study Group was required, in view of its remit, to operate at a high level of generality ignoring the major differences within types of local authority (Ibid.: 4) they are concerned with the neglect of context. They believe the special mix of situational circumstances to be of crucial significance.

Authorities range widely in size, political control, urban and rural situation, commitment to change, feelings about corporate management. To understand how and why local authorities implemented (or not) the prescriptions of corporate management it is necessary to examine differences in situational circumstances. (Ibid.).

They feel that:

the systems of management designed in 1973 were probably over-influenced by Bains and under-influenced by the specific situations in which they were located. The Bains report itself did not directly discuss these local features and yet authorities should have taken them into account. (Ibid.: 13).

The research team's concern for the special mix of situational circumstances is of course central to the contingency approach adopted by them.

Before leaving this major research study attention will be drawn to a number of features, in addition to those already considered, relevant to the thesis currently being explored. First (Ibid.: 13-15) there is the attention paid the dynamic forces at work in context: the dramatic
change in the financial circumstances of local government soon after 1974; the change in the political climate with the large swings to the conservative party; and the change in the currency of ideas, especially the growing disillusionment with corporate planning. Second (Ibid.: 15-18) there is the concern with social system characteristics: the difficulties of translating the objectives enshrined in the structure into working practice; the importance of set of values as well as set of practices; the significance of conflict among competing interest groups; and the necessity for power in order to turn aims, grounded in values and interests, into action. Finally there are the conclusions reached in the final chapter which underline the complexity of situational circumstances and the formidable obstacles to organisational change.

There cannot be tablets of stone delivered from any place which lay down a 'correct structure' and mode of operation applicable to all local authorities. Only general guidelines are possible based on careful analysis of actual practice. (Ibid.: 272).

Despite the rejection of prescriptive blueprints in favour of a judicious blend of a variety of elements based on knowledge and understanding of the consequences of such blending (Ibid.: 236) the research team maintain an allegiance to the rationalist approach and advocate greater attention to the content of process which involves exploitation of the philosophy and technology of corporate planning.

2.2.2 Impact of Bains

Much of the disillusionment with corporate planning following the 1974 reorganisation has been attributed to the failure of the Bains principles to deliver. While there may be differences of opinion over how properly or improperly Bains was interpreted and applied there is general agreement on the astonishing impact made by Bains on local authorities. Eddison's (1975) second edition had this to say:
The impact of the Bains report ..... and the subsequent publication of the Paterson report ..... marked a further advance in thinking at local authority level. How penetrating the effects of these reports are remains to be seen ..... But there was hardly a report of the old local authorities preparing the ground for the new which did not at least pay lip service to the desirability of striving for a corporate approach. (Ibid.: 145).

Hambleton (1978: 56) reports that:

The Bains recommendations on structures had an astonishing impact. In 1974 every new county council had a Policy Committee, a Principal Officer and a Management Team and almost all district councils followed the same pattern. In more than a few authorities the Bains report was accepted as a blueprint. This is disturbing for it implies a mechanistic approach paying insufficient attention to local needs, problems and political realities.

These realities were of course becoming more evident as Hambleton was preparing his text and account for the growing disillusionment described by him. So strong was the disillusionment in certain authorities that they decided to abandon corporate management. One such authority was the Birmingham District Council which passed the following resolution on 6th July, 1976:

That the system of corporate management adopted following the report of the Steering Committee approved by the City Council on 13th July, 1973, has not been conducive to the best administration of the Council’s affairs and should be replaced and that the Finance and Priorities Committee be directed to devise and implement without delay a revised system of management and officer structure.

2.2.3 Haynes (1978): Analysis of the Birmingham Experience

The above resolution opens an article by Haynes analysing the Birmingham experience. Haynes locates the pedigree of corporate management and planning in two themes of organization and administrative theory:

(a) the rational-comprehensive approach to decision making;
(b) the recognition of the systemic relationship which should exist between an organization and its environment. (Ibid.: 26).
He is primarily concerned with (b) and the conceptualization of the organization as a dynamic 'open' system. (Ibid.: 27). It is his view that:

Advocacy of corporate management, and in particular corporate planning, was underpinned by the fundamental need for local authorities deliberately to expose themselves to environmental pressures for change and to devote a greater proportion of their resources to the analysis and interpretation of their environments. The task was to devise more 'organic' forms of management organization, adapting managerial processes to an innovatory role which would increase the capacity of local authorities for achieving effectiveness in changing conditions. Corporate management provided a means of relating the activities of the authority as a whole to the changing needs and problems generated by a turbulent field environment. (Ibid.: 29).

Haynes finds the lack of compatibility between environmental characteristics and organisational structure to be pronounced in Birmingham at the time of reorganisation, which would identify the city as ripe for corporate management. The prime cause of its failure to deliver is identified by Haynes as cultural maladjustment. (Ibid.: 32). By culture he means the values, attitudes, goals, expectations and prejudices of the participants and failure to recognise its importance implies for him a basic failing in the whole approach to organisational innovation and reform. (Ibid.). The results of the research undertaken by Haynes in Birmingham suggested that:

the value system which had evolved over many years in Birmingham, which displayed all the characteristics of one conducive to the operation of a highly differentiated organization, remained firmly entrenched after the introduction of the new management arrangements. The basic lack of correlation between the organisation's culture and its procedural, structural apparatus led to serious weaknesses in operational effectiveness. This provided evidence for those who distrusted the philosophy and theoretical legitimacy of the system, enabling them to attack it on more practical operational grounds provided by inadequacies in the system's introduction and implementation. (Ibid.: 35).
Haynes believes that:

The case study of Birmingham reinforces the contention that any attempt to reform a hitherto static, mechanistic organization and to create in its place a flexible, adaptive organismic entity must involve innovation in three areas:

(a) The procedural – the actual philosophy and process of management adopted;
(b) The structural – the structural mechanisms and devices which form the supportive framework within which the management process is to be carried out; and
(c) The cultural – the values, beliefs, goals and expectations held by the human members of the organization.

Taken separately, each of these elements draws on specific areas of organization and administrative theory. However, in attempting to change the whole character of an organization as well as its structures and fundamental procedures, these elements must be fused together to form a comprehensive, fully-integrated approach to organizational innovation and reform. For such reform to be effective it is imperative that the complex interrelationships and mutual dependence which exists between all three elements be clearly recognised.

(Ibid.: 35-36).

The rejection of corporate management and a more organic organizational framework in Birmingham is seen by Haynes as the result of a less than comprehensive and fully integrated approach to the management of change and organizational innovation. (Ibid.: 36).

The alternative approach advocated by Haynes in this article and further developed by him, see Haynes (1980), is Organisation Development. OD represents for him an 'educational strategy' which concentrates 'on the people variable'. It is a comprehensive approach to organizational innovation concerned with values, attitudes, interpersonal relations and organizational climate as well as the structural and procedural aspects of organizational change. (Haynes: 1978: 36).

2.3 Reappraisal at Inlogov

In view of the widespread disaffection with corporate management and corporate planning and the increasing awareness of complexity it was
both inevitable and desirable that the staff at Inlogov, led by J. D. Stewart, generally identified as providing intellectual focus to these innovations, should undertake a public reappraisal of their position. This they have attempted in APPROACHES IN PUBLIC POLICY edited by Leach and Stewart (1982). Attention will be focused for the present purpose on the Introduction and chapters 1, 2 and 12 written by the editors.

The introduction establishes that the main focus of the text is on the processes by which policy is derived, maintained, analysed and justified. (Ibid.: 1). The editors recognise that alternative perspectives might have been chosen focusing on the politics, technology or content of policy making, each of which has a legitimate claim for attention, but it is on meta policy-making that they concentrate. The book is acknowledged to be both descriptive and prescriptive in nature. While there are differences of view among the contributors on what constitutes improvement and the means by which it may be achieved, they share the same arena of debate and discussion and address themselves to a number of recurring themes. These are:

(a) the restrictiveness of the rationality/incrementalism paradigm;
(b) the significance of the differing contexts of policy processes;
(c) the interrelationship of political and management processes;
(d) the distinction between hard and soft data; and
(e) the multi-dimensional nature of the process of evaluation and assessment. (Ibid.: 3-4).

Chapter 1, written by Leach, presents a spirited defence of the rational model. That such a defence is seen to be necessary is recognised by Leach as significant.

Ten years ago, in the field of British local government at any rate, it would hardly have seemed necessary to advocate the centrality of the rational model in the development and evaluation of policy. It
was firmly installed as the basis for discussion. Indeed, in retrospect, it was often too uncritically accepted, as an unqualified piece of conventional wisdom. In recent years the model and its range of associated techniques have come in for increasing criticism. However, concepts may often develop a renewed vitality from being subjected to criticism. Certainly the utility of the rational model has now to be reargued and re-emphasised from more fundamental premises. (Ibid.: 8–9).

He rehearses and responds to the major criticisms directed at the rational-comprehensive model, particularly by the incrementalists, and makes no effort to conceal the extent to which the model has been misused and distorted. These abuses and distortions do not, in his view, invalidate the model. Indeed, the case for its advocacy rests on the perception that there is very little else available which is appropriate to cope with the complex and turbulent environment within which most public sector organisations operate. (Ibid.: 7).

He prefers the epithet purposive to comprehensive, accepts the boundaries of rationality and wishes to see the rational model used flexibly by practitioners aware of situational constraints and the need for more context appropriate approaches to policy making and justification. (Ibid.). Such a view is incompatible with the adoption of any kind of off-the-shelf model. Deciding the bounds of rationality in any given situation, and designing the most appropriate form of rationality to fit these constraints, are demanding and creative skills. (Ibid.: 14–15).

The basic position adopted by Leach in support of purposive rationality is as follows (Ibid.: 7):

(a) It provides a central and essential conceptual framework, not so much for providing an accurate description of how policy is made in practice, but rather as a mode of thought which can be used to 'open up' critical discussion about processes of policy-making.
(b) In addition to its value as a heuristic device the rational model also acts as a countervailing force to the well-documented tendencies within organisations and departments to perpetuate existing policies and resist innovation and change.

(c) Above all, however, purposive rationality provides a basis for discourse. The language and basic tenets of the rational model are widely accepted within public organisations as an appropriate way to talk about policy-making and policy justification. Although policy may be made and justified in practice in ways which owe little to the rational model, battles can be fought using the generally accepted terminology of rationality.

Position (c) is explored in greater detail by Stewart in chapter 2. Stewart believes that the rules of behaviour which operate and the modes of thought applied take place in different domains of policy making. It is critical, therefore, to the development of thought about policy and policy-making that the domain to which that thought is applied be understood. (Ibid.: 24).

Stewart identifies three domains (Ibid.):

(a) **Policy Derivation** - This domain centres on the working out of new policies or of changes in policy .... is concerned with the processes by which policy alternatives are worked out and involved both exploration and discovery of what is discovered.

(b) **Policy Adoption** - This domain centres on the processes by which a policy moves to acceptance and involves both formal procedures and bargaining.

(c) **Policy Justification** - This domain centres on the processes by which a policy is treated by those who initiate, those who approve and those who are governed by it and involves both the rules and the standards by which policies are justified. Though it is recognised that the domain boundaries are not as clearly delineated as the above
classification might imply they have their own points of focus and hence different frameworks for study are appropriate. (Ibid.: 25).

The rational model is considered by Stewart to be appropriate almost exclusively to the domain of policy justification and heuristics that go beyond the rational model are recommended for policy derivation and policy adaptation. That is not to say, however, that the rational model does not exercise an influence on (a) and (b).

Because the domain of justification sets certain requirements for the way policy is described and the way it is argued, it influences policy in its making. If policy is not originally derived through or adopted because of the rational model, the fact that the model is relevant to the justification of policy cannot be disregarded. The rational model has a role in providing a framework that can be used to prevent, argue about and check upon policies derived and bargained for through a variety of ways, precisely because of its role in the domain of justification. (Ibid.: 26).

The ability of the rational model to survive, indeed to continue to thrive, though recognised as being impossible to apply in any pure form and impractical to apply even in a more limited form in many actual working situations, is explained by its crucial role in providing a framework for discourse and justification.

The main body of chapter 2 is taken up with an examination of the heuristics appropriate to the domain of policy derivation, with emphasis placed on variety and exploration. Attention is given to:

the constraints and opportunities provided by alternative mixes of situational circumstances, the dynamics of context, the significance of dominant interests and values as sources of conflict and consensus;
the role of new frameworks of thought in finding new alternatives;
the need to devise convincing policy stories to serve as integrative and legitimating devices; the contribution of judgement; the problems of measuring output and the merits of understanding achievement.
The title of the final chapter, also written by Stewart, 'Choice in the Design of Policy-Making Systems', is indicative of the perspective currently adopted at Inlogov, further confirmation of which may be found in Stewart's most recent major work on local government LOCAL GOVERNMENT: THE CONDITIONS OF LOCAL CHOICE (1983). Stewart and his colleagues are clearly anxious that practitioners should be encouraged to make, and aided in the making of, informed choices appropriate to context. Such choices will involve trade-offs and the position adopted on the continuum between two extremes (Comprehensive/Selective, Uniformity/Diversity, Intervenes/Permits, Participatory/Directive, Certainty/Flexibility, Incremental/Radical, Political/Neutral, Centralised/Devolved, Quantitative/Qualitative - (Ibid.: 239-242) will be a matter of informed judgement.

The concluding observations made by Stewart seem to the Researcher to represent a definitive statement of the current view from Inlogov. Although manifestly chastened by the experience of the past ten years, the belief in purposive rationality, applied in the appropriate domain, remains strong, as does the commitment to the Institute's mission in promoting change. But the emphasis has changed. As Stewart puts it:

*The emphasis of this book has moved towards policy processes: that accept the reality of the political process rather than an illusion of political neutrality; that accept the impossibility of the comprehensive ideal and the necessity of selectivity; that match the complexities of the planning context by a diversity of organisational perspectives rather than the single perspective functionalism; that can use the 'soft' data of opinion and thought as well as the 'hard' data of quantitative analysis. In the richness of the variety of policy context choice has to be made. A variety of response is required if choice is to be adequate. It is the richness of choice brought by the varying responses that is*
nearer reality than the simple choices between the comprehensive rational and disjointed incrementation. Policy processes cannot be restricted by such a simple choice. (Ibid.: 242).

3. EDUCATION

The general thesis developed on shifts in the currency of ideas and perspectives on corporate planning holds equally well, as will be demonstrated, when the focus of attention narrows to education in general, and higher education in particular. As might be expected from researchers and practitioners in the education sector, however, there is a stronger tendency throughout the period under review for current orthodoxies and fashions to be questioned, for contrary perspectives to be offered, for proponents and opponents to argue their cases vigorously, and for strenuous attempts to be made to reconcile management theory and practice.

The selective review of the literature offered below includes three sources considered particularly appropriate by the Researcher for the reflective practitioner. The view is taken that an academic holding a senior managerial post in a College of Higher Education and taking a lively interest in current thinking about role performance in a turbulent environment, ought to have at least a nodding acquaintance with one or more of the following: the Study Conference Reports of the Further Education Staff College (normally referred to as the Coombe Lodge Reports), the Educational Management and Administration Journal, and the International Journal of Institutional Management in Higher Education. Before turning to these three sources, however, reference will be made to a number of texts regarded as important indicators of changes in perspective during the period under consideration.

3.1 Brierly (1972)

Derek Brierly was Director of the Northern Ireland Polytechnic when his PLANNING AND EDUCATION was published. It was intended primarily for
educationists interested in planning and planners interested in education. (Ibid.: vii). It bears the familiar hallmarks of other texts produced on planning in the early seventies: caveats abound, cautions are issued against offering or seeking magical solutions to profound problems through mastery of special techniques (Ibid.), the planning process is valued above the production of plans, and yet at the same time high expectations are raised over the insights provided by the systems approach and the techniques of planning associated with it. Brierly is anxious that the education service should not trail behind other parts of the public service in exploiting new technologies and developing new professional competences. He regards the efforts of the education service to plan itself as puny and amateurish. The education service is by now more planned against than planning. (Ibid.: 10). His remedy is a highly participative form of planning, based on a systems approach which he enthusiastically endorses as a new style of thinking about life. The new sciences, conspicuously those of management and society, and the technologies that go with them are not just desirable additions to our range of knowledge but our best hope of salvation. (Ibid.: 33).

Raising the level of participation in planning needs to be accompanied, therefore, by a new way of thinking giving prominence to the setting of objectives, the systematic analysis of ends and means, and the design of appropriate organisational structures. Without proper attention to techniques great participation can be counter-productive. Without an appropriate organisation plans cannot be implemented. Without improved communication the whole process will be ineffective. (Ibid.: 3).

As a result the majority of the chapters are devoted by Brierly to the vocabulary and technology of planning with PPBS dominating.
3.2 Fielden and Lockwood (1973)

On the evidence of the study conducted by Fielden, Lockwood and colleagues into planning and management in British universities, the state of the art was much more advanced in the university sector than in the public sector of HE in the early seventies. The terms of reference given to the study group based at Sussex University were to examine the existing planning, management and budgeting systems and practices in a sample of British universities and, having considered any other management techniques and innovations of relevance, to produce recommendations in the form of a handbook of good practice which universities may find helpful in solving some of their problems. (Ibid.: 11). Appreciating that many suggestions would be inapplicable to particular universities, the study team stopped short of producing a handbook while still providing views and information about planning and management in universities and making various recommendations on specific procedures and approaches designed to improve practice, in accordance with the terms of reference.

The terms of reference, as the authors make clear, largely determined the approach to be adopted and the preoccupation with resource management. They recognise that universities can be analysed from several points of view among which three are specifically identified - as organisations, as institutions or as communities. They concede that the three, and probably other views of organisations coexist in an uneasy balance in each individual university. In their report they look at universities primarily as organisations, whilst attempting to retain sympathy with the other views. Studying them as such implies that they exist to achieve concrete ends which are capable of rational analysis. (Ibid.: 19).

One of the many strengths of the report is the way in which the authors make explicit the assumptions and principles which guide their review.
and colour their recommendations. A clear indication is given, for example, of the philosophy of planning which lies behind the particular planning process and associated technology which they recommend. The philosophy has a holistic ideology, a preoccupation with technical and economic rationalities while acknowledging the existence and relevance of political rationality, and regards the instrumentality of planning in terms of integration and participation. While context is not neglected, indeed frequent reference is made to the need to relate recommendations to the particular circumstances which apply at any one time at the institutional level, it is not a major consideration since the preoccupation is with principles and practices having general applicability and transferability. The authors take the view that universities are sufficiently similar for ways of looking at the management function to have relevance to them all and for the concepts underlying information systems, planning processes, committee structures, etc. to have validity in each. The principles underlying a range of practices ... can be applied in most universities. Even so, they are not in any sense to be regarded as blueprints and it is the function of the management in each university to assess the value and validity of these recommendations in relation to their particular circumstances. (Ibid.: 23). The view which is taken of planning is derived from the general perspective adopted of universities as organisations. Before turning to their recommendations on planning, therefore, a brief resume will be offered of this perspective.

3.2.1 Universities as Organisations

3.2.1.1 Corporate enterprise which requires corporate management

While both the similarities and dissimilarities between universities and other enterprises are acknowledged, in the last resort universities are
to be regarded as organisations which have corporate responsibilities, and which possess powers to manage the activities of their members in order to carry out those responsibilities. (Ibid.: 20).

3.2.1.2 Institutional Efficiency

It is acknowledged that the usual criteria of economic efficiency are difficult to apply because of the problems surrounding the assessment of output and the allocation of inputs to various activities in circumstances where there are joint effects. The problems are not regarded as insurmountable however, and attention is diverted from a precise measurement of performance to a search for policies and practices likely to improve efficiency either directly or indirectly.

Five are identified:

a) Institutional flexibility: the authors believe that the efficient university will be the one which creates the ability to adjust to change (rather than being adjusted by change). (Ibid.: 24).

b) Improved provision of information: it is believed will lead to improved decision-taking whether judged from the viewpoint of economic efficiency or political rationality. (Ibid.: 25).

c) Participation of members: the belief in the contribution of participation to efficiency is acknowledged to be an act of faith based on a combination of hypotheses and experience ... The major problem of matching the needs of the institution with those of its members, of achieving university objectives by motivating the enterprise of staff and students, requires a participative form of management. (Ibid.).

The authors are careful to point out, however, that participation is by no means a panacea (eg. it can increase frustration and stress for it undoubtedly increases the complexity of decision-taking) and that they have in mind the kind of participation which involves the participants in a considerable amount of work rather than taken membership of committees and the like. (Ibid.: 26).
d) **Provision of competition and incentives:** efficiency needs to be rewarded and inefficiency penalised, and to be seen to be so. *(Ibid.: 27).*

e) **Exploitation of scope for improvement:** although subject to controls which prevent gross inefficiencies, universities are seen to provide reasonable scope for improving efficiency.

### 3.2.1.3 Organisation and the individual

The authors indicate that one of the key challenges facing universities, in common with most other organisations, is the attempt to match the needs and practices of the university with the needs and aspirations of its individual members. How to build on the enterprise and initiative of the individual whilst ensuring the harmony and coordinated progress of the institution is one of the central problems. *(Ibid.: 32).* Considerable importance is attached by Fielden and Lockwood to raising the general level of awareness among staff of the complex and evolutionary nature of the institution of which they are part. *(Ibid.)*. An individual is likely to enjoy a clearer view of the nature of the university if aware of the distinction between mission, roles, programmes and objectives. *(Ibid.)*. He also needs to have a clear picture of the organisational structure within which he works and participates. *(Ibid.: 33).* The study revealed that descriptions of internal organisation made available to staff were inadequate and that structures and processes were frequently a source of confusion.

### 3.2.1.4 Principles of organisation

Five key principles of organisation inform the analysis undertaken and the recommendations produced.

a) **Need to build in adaptability:** It is essential that an organisational system should be subject to regular review and should be designed with adaptability in mind. British universities are by their nature best suited to evolution through small continuous adjustment. *(Ibid.: 34).*
b) **Requirement of integration**: structures and processes should be integrated into a single coherent management system. *(Ibid.)*.

c) **Desirability of devolution**: initiative and responsibility should be devolved as close to the point of action as possible. *(Ibid.: 35).*

d) **Use of processes**: as much of the business of the university as possible should be scheduled and integrated by the use of processes. *(Ibid.: 36).* The processes used to illustrate this principle are information, planning and projects.

e) **Need for evaluation**: seen to be self-evident but revealed by the study to be conspicuous by its absence. Ideally all activities should be evaluated: there should be staff and student feedback on the effectiveness of teaching and curricula, research projects should have their output recorded and assessed, there should be feedback mechanisms from graduates and employers about their perceptions of the value of the university's courses in the light of the work experience of the graduates, and so on. *(Ibid.: 37).*

3.2.1.5 **Techniques**

Although the study gives great prominence to the range of techniques being employed in universities and offers advice on best practice the authors warn against the overselling of techniques and place technique third in a hierarchy of the art of management, management science, and techniques or tools. *The art, science and technology of management are inter-related and each is indispensable.* *(Ibid.: 38).* Management is not a technique, neither does it consist primarily of the manipulation of a range of techniques. *It is an art, which relies heavily on the exercise of human judgement; but it is becoming increasingly necessary to ensure that judgement is based on adequate information and is exercised by groups of people who understand the environment in which they operate.* *(Ibid.: 37).*
3.2.2 Planning

3.2.2.1 Need for planning

The authors believe planning to be an essential aid to the efficiency and well-being of a university and advocate its systematic use. Some form of planning, however labelled, is seen to take place in all universities. There is in fact no alternative to planning, just as there is no alternative to change. (Ibid.: 109). The question which arises, therefore, is not whether to plan but rather how much planning and of what sort? The authors draw attention to changes in the external environment which increase the need for planning and believe that the processes employed should be made more open and explicit. ... if a university wishes to maximise its own influence on its future development it will increasingly be necessary for that university to plan; to chart a path which takes advantage of national opportunities and changes ... The tightening of the resource screw will also lead to more planning in universities ... (Ibid.: 109).

3.2.2.2 View of planning

The customary cautions are issued against viewing planning as a collection of techniques capable of solving all problems. Planning will not open up a brave new world, neither will a planning process work perfectly. (Ibid.: 108). The emphasis is on planning as a process which seeks to ensure that more thought is given to decision-taking. More specifically, planning is defined as the continuous and collective exercise of judgement in the taking of decisions affecting the future. (Ibid.: 112).

In view of the fact that foresight is required in most decisions then planning becomes in practice almost identical with the decision-taking part of management (Ibid.) and represents an approach to the total management process.

3.2.2.3 Application of organisational principles to planning

Organisational structure figures prominently in the recommendations presented on the form which planning might usefully take. The
organisational principles described in 3.2.1.4 above are seen to apply with equal force to the conduct planning.

a) **Flexibility**: The approach to planning, and the machinery for planning, should be flexible and kept under regular review. *(Ibid.: 110).*

b) **Participation**: Planning should be participative at its base. Few members of a university can be involved in all facets of planning but most members should be involved in some aspect of planning. *(Ibid.: 111).*

The authors warn, however, against unstructured participation and argue for a carefully structured planning process. *In the absence of a clear framework of policy guidelines and assumptions, participants can waste valuable time and energy.* *(Ibid.)*. The leadership is seen to bear responsibility for providing such a framework.

c) **Integration**: Planning needs to be integrated both in terms of specialisms and levels. *(Ibid.: 112).*

d) **Information, Feedback and Evaluation**: The quality of planning depends to a significant extent on the information fed into the process and planning cannot remain efficient unless feedback is received on the effectiveness of performance. *(Ibid.)*

### 3.2.2.4 Preferred Planning Process

The authors are at pains to point out that the preferred system which they advocate is to be interpreted as an illustration of principles, and not as an unalterable recommended package ready-made for immediate adoption. The approach can be adapted and detailed to suit the philosophy and circumstances of any university. *(Ibid.: 113).* The authors hint at a preference for a system more closely resembling PPBS and explain their rejection of it in terms of what they regard as contextually appropriate at that particular point in time.

The distinctive features of the planning process which they favour are as follows:
a) **Elements**: three are identified, strategic planning, operational planning and budgeting. *(Ibid.: 113-115).*

b) **Contents**: the planning process should be comprehensive and contents should include *all the activities of the university and all categories of resources within the planning function*. *(Ibid.: 115).*

The authors are concerned about the tendency to equate planning with fiscal or logistical planning with its emphasis on quantifiable performance indicators and are anxious to widen its scope to cover areas less susceptible to quantification. In fact they predict that external pressures will require the planning process to widen its scope from a preoccupation with the costs of university activity to a broader interest in its general effectiveness.

c) **Units and Levels**: these depend entirely on the organisational structure of the individual institution. The most familiar structure is likely to consist of three levels: institution (university), area (faculty) and unit (department). In accordance with their definition of planning and principle of integration the authors *strongly recommend* that the planning areas and units should be identical with the organisational and spending areas and units, with the areas and units to which space is allocated and so on. *(Ibid.: 116).*

d) **Cycles**: these are means of structuring the flow of business through the levels over a specified time period, in this case either an annual cycle or a quinquennial cycle. The highly formalised annual cycle is seen to play a crucial role in the effective operation of the planning process. The authors warn against excessive rigidity and of the hostility likely to be engendered by the bureaucratic formalisation of the cycle. They also believe, however, that as long as it is geared to ensure that decisions are taken at the right time by the right people, to obtain integration of the several strands of planning, to
increase the openness of the planning system and so on it will probably meet with wider approval. (Ibid.: 119).

e) Support: it is seen to be self-evident that the preferred system requires many support mechanisms if it is to function effectively. (Ibid.: 120). Two forms of staff support are identified, administrative coordination and analytical and development work and illustrations are provided of the possible arrangements for organising the support. (Ibid.: 120 - 122).

f) Information: given the general importance of information the authors warn against its over-provision which can be as inefficient as under-provision. (Ibid.: 122). They identify a need for it to be sifted and structured if it is to be of use in the planning process. (Ibid.). They also highlight the links between the information system and evaluation.

g) Techniques: are taken to be of secondary importance in that their effective use is dependent on the existence of an efficient process for the taking of planning decisions. (Ibid.: 123). The main advantage in using the techniques (Part Two of the Report is primarily devoted to them, with the fashionable temptation to advocate the use of very sophisticated techniques avoided) lies in their scientific or systematic base. They require specificity of inputs, the need to state assumptions and aims, an understanding of the effects of decisions and the need for feedback. They impose a discipline on decision-taking. Their output also supplies a starting point for discussion on a particular issue. (Ibid.).

3.2.3 The Significance of the Fielden and Lockwood Report

It will be evident from the attention given above to its contents that the report is regarded as particularly significant by the Researcher. Apart from illustrating in graphic form the general confidence, invested in rational planning in the early seventies it also provides a design
specification for top managers, in what are acknowledged to be complex
organisations, amenable to analysis from several perspectives. The
focus is on the intended and designed properties of universities as
organisations and, although due attention is paid to political
rationality and the significance of context, there is no suggestion
that they might be beyond management.

Experience on American campuses suggested otherwise, as became evident
in 1974 with the publication of LEADERSHIP AND AMBIGUITY, a general
report on the American college president prepared by Cohen and March
for the Carnegie Commission on Higher Education, hence the term
'Carnegie School' used below.

3.3 Ambiguity, Organisational Anarchy and Loose Coupling

The Cohen and March study and the elaboration on 'garbage can' theory
published by March and Olsen in 1976, represented a direct challenge
to the rational, analytical perspective and presented a view of anarchic
organisations pervaded with ambiguity in which their emergent properties
were seen to be far more significant than their designed or intended
properties. The implications for the management of American universities
were, of course, profound since what was previously considered
pathological was now being presented as normal.

It is not intended to elaborate further on the output of the Carnegie
School at this point since the garbage can theory is central to one of
the three major interpretive frameworks employed and therefore described
in some detail in Chapter 5. Attention will be confined for the present
purpose, therefore, to the shifts in perspective encouraged by the
garbage can theorists and the controversy that surrounds their work.
The Carnegie School were not alone in drawing attention to the perverse
properties of educational institutions as organisations and in
contrasting intended with emergent properties. Weick (1976), for
example in identifying EDUCATIONAL ORGANISATIONS AS LOOSELY COUPLED

SYSTEMS took the view that People in organizations, including educational organizations, find themselves hard pressed either to find actual instances of those rational practices (i.e. deliberative and sequential involving analysis of ends and means) or to find rationalized practices whose outcomes have been as beneficial as predicted, or to feel that those rational occasions explain much of what goes on within the organization. Parts of some organizations are heavily rationalized, but many parts also prove intractable to analysis through rational assumptions. (Ibid.: 1). Weick presented his model of loosely coupled systems as a sensitising device for exploring those parts.

Such a radical shift in perspective provided encouragement for research into the political and cultural aspects of educational management. Baldridge et al (1978) found the organized anarchy image an exceptionally strong and persuasive concept which helped to expand our conceptions, dislodge the bureaucracy image, and suggest a looser, more fluid kind of organization. (Ibid.: 27). Their major study of American colleges and universities led them to modify the Carnegie School's version.

More specifically the distinguishing features of colleges and universities were seen to be (1) unclear goals, (2) client service, (3) unclear technology, (4) professional staffing, and (5) environmental vulnerability. (Ibid.). The decision and governance processes which most closely matched such characteristics were seen to be political (as opposed to bureaucratic/rational or collegial/participative) with various interest groups struggling for influence over the setting of organizational policy. (Ibid.: 47). Apart from its advocacy of a political model the Baldridge study is also striking for the diversity which it exposes and the significance which thereby attaches to context. Each of the studies quoted is less concerned with abstract theorising than with developing analytical frameworks grounded in and informing
practice. American studies at this time show great concern for the problems of leadership in American colleges and universities. The advice offered corresponds to the analytical model favoured. For Baldridge et al, therefore, the leadership image should be that of the academic statesman, while the management process should look more like strategic decision making instead of scientific management. (Ibid.).

Enderud (1977), working from the basis that the organised anarchy paradigm comes closest to capturing the true nature of a university, recognised that other paradigms provided important insights into patterns of decision-making. He sought, therefore, to combine four paradigms within a single model of unprogrammed joint decision-making. More specifically, he identified four phases of decision making which roughly corresponded to the decision models in the four paradigms.

Phase 1, the *Bull Session*, corresponded to a simplified version of the garbage can model and derived from a view of the university as organised anarchy. Phase 2, *Negotiations*, corresponded to the bargaining-coalition model and derived from a view of the university as a political organisation. Phase 3, *Persuasion*, corresponded to a persuasion or ritual model derived from a view of the university as a collegium or community. Phase 4, *Bureaucratic/Administrative*, corresponded to a simplified model of administrative man and derived from a view of the university as a bureaucracy. (Ibid.: 15). Effective leadership was seen to depend on an understanding of the four-phase model and adaptation to it. Leadership can be seen as a role playing activity where the top leaders will (or must) "show different faces" or play different roles according to phase in the phase model - in order to influence the decision process. (Ibid.: 18). The faces deemed appropriate to each phase were as follows: Phase 1, catalyst and garbage can collector; Phase 2, negotiator or mediator; Phase 3, persuader and witch-doctor; and Phase 4, administrator or bureaucrat.
In sum Enderud sought to provide an outline of a contingency theory of leadership, depending on phase in the decision process. (Ibid.).

Further reference will be made to Enderud's model in the final chapter. Reference will also be made in section 3.7 below to Enderud's influence on other writers, notably Davies (1979b, 1982).

Neither Enderud or his Carnegie mentors wished to see the top managers of universities rendered impotent by ambiguity. Indeed their concern was with providing means of coping with it. Even so, as Lutz (1982) pointed out, the view promoted of universities as organised anarchies and loosely coupled systems, too often encouraged fatalism and defeatism and provided a convenient alibi for evading accountability.

As a descriptive model, the garbage can model has come to be accepted by some administrators as what must be, rather than what is; university administrators accepting the view escape accountability - the very examination of outcomes that stimulated the original model. This fault of the model lies more with the practitioners who are its proponents than with its originators. These practitioners are often the power brokers in higher education. They use the garbage can model to justify their actions (in the name of academic freedom), and thus the model provides a license for whatever outcomes of organization and administration their behaviour produces. (Ibid.: 656). Lutz finds fault with the methods of the garbage can theorists, notably their reliance on case studies and neglect of ethnography and draws attention to the limitations of garbage can theory as a basis for action. The model fails to predict outcomes, and thus leaves us in the garbage can, to climb out as best we can. This is a major fault of the garbage can model. It tells us we are in trouble but fails to help us get out of trouble. (Ibid.: 654). Lutz draws attention to the dangers of trying to force a fit between a single model of process and observed behaviour, and advocates a multi-perspective approach. He rejects the fatalism
implicit in garbage can and loose coupling and refers approvingly to writers such as Padgett (1980) who are seen to offer means of escaping from it by attending to personnel and structure. Just because we don't know everything does not mean we know nothing. Similarly, just because things are not totally predictable does not mean that we should operate as if the world is totally random. (Ibid.: 659). Lutz points out that much activity in a university is organised on a formal routine basis and argues a case for tighter coupling, particularly in the structuring of feedback, to achieve higher levels of accountability. Much more can be achieved by intention and design than is implied by loose coupling. By the same token leaders are less emasculated than garbage can implies.


As has already been suggested in 1.2 (page 83) above the Open University's courses, which generally adopt a pluralist perspective, provide a valuable indicator of changes in the currency of ideas and shifts in perspective. What was true of policy studies is also true of educational management. Brief reference will be made to two courses, one published in 1976 and the other in 1984. Examination of the content of the Units and Readers of the two third level courses, MANAGEMENT IN EDUCATION (E321), and MANAGEMENT IN POST COMPULSORY EDUCATION (E324), confirms the general proposition made about the relative significance attached to philosophy, technology and context. As might be expected from the Open University's pluralist approach, however, each aspect is thrown into high relief in both 1976 and 1984. What is significant is the shift in the balance of content. Given the central position to decision-making in E321, and the significance attached to resource management, it was inevitable that technology should be given great prominence and one of the two readers prepared for the course was devoted entirely to techniques and systems (Houghton, McHugh and Morgan, 1975). Care was taken to explore the philosophies
attached to the techniques and the implied views of man and the management process which they represented. Indeed the first Unit of the course put these issues in perspective by considering MANAGEMENT IN EDUCATION - DISSIMILAR OR CONGRUENT? Both congruencies and dissimilarities were found, highlighting the significance of context. The concern of the designers of the course was to provide a functional, multi-disciplinary analytical framework on which the individual manager might draw to suit his own predilections and circumstances. Colin Morgan, the author of Unit 1, offers the following advice: the manager must make his own synthesis of theory pragmatically and give priority according to a determination of the needs he defines within a particular situation. I believe, also, that all approaches have some validity to all organizations, though none has total applicability. (E321, Unit 1: 19). Even so, as the schema outlining the major approaches to management theory indicates, purposive rationality and a functional approach to management predominate. (Ibid.: 16).
The schema produced by Rob Cuthbert for Part 2 of Block 3 of E324 provides a revealing snapshot of the shifts in emphasis which had occurred between 1976 and 1984.

Figure 4: Distinctions between Models of Management

<table>
<thead>
<tr>
<th>Analytical-rational model</th>
<th>Pragmatic-rational model</th>
<th>Political model</th>
<th>Model that stresses ambiguity</th>
<th>Phenomenological/interactionist model</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extent or nature of agreement in the organization about objectives</td>
<td>consensus</td>
<td>broad agreement</td>
<td>conflict</td>
<td>fluid</td>
</tr>
<tr>
<td>Nature of evaluation of managerial performance</td>
<td>analytical 'objective', preordained</td>
<td>limited, analytical</td>
<td>political</td>
<td>based on sensible foolishness</td>
</tr>
<tr>
<td>Concept of organization structure</td>
<td>given, objective fact, constructive</td>
<td>negotiated order</td>
<td>organized anarchy</td>
<td>socially constructed, constituted</td>
</tr>
</tbody>
</table>

(E324, Block 3, Part 2: 62).

Again, however, the choice is left to the user. Cuthbert argues that all of the models offer valid perspectives on the management process. Whether those perspectives are also relevant and useful depends on the situation and the user. Table 1 suggests which models are relevant and useful in different contexts, but this is necessarily a subjective judgement. We can find managers, teachers, and consultants using very different models successfully in apparently very similar circumstances. 'Usefulness' is not an objective criterion, it depends on the attitudes, values, beliefs, skills and experiences of the user. (Ibid.).

The major test applied to any single theory within a multiple perspective, therefore, is contextual relevance. The development of Corporate Strategy is located by Cuthbert among Pragmatic Rational Models which
are shown to possess considerable value in use.

The Reader for the course (Boyd-Barrett et al, 1983) is equally, if not more revealing, about the shift in emphasis and the increasing prominence given to context. Two sections out of six directly address the relationship between philosophy, technology and context, including the currency of ideas. Section 3, for example, bears the description IDEOLOGY, STRATEGY and the INSTITUTIONAL ENVIRONMENT.

3.5 Coombe Lodge Reports

For anyone holding a post with managerial responsibility in Further Education, whether in the Advanced (AFE) or Non-Advanced (NAFE) sector, the 'Coombe Lodge Reports' provide a rich source of information and ideas and a convenient means, since most college libraries take out an annual subscription for the reports, of keeping up to date with current thinking.

As readers are reminded each time they consult a Coombe Lodge Report the study conferences amount to an ongoing high-level delphi exercise to which the leading thinkers and decision makers in the world of further education are invited. The reports carry their views and ideas to most of the colleges in Britain and to many abroad. Although the Deed of Trust provides for a college that will primarily concern itself with improving the efficiency and effectiveness of establishments of further education this brief has not been narrowly interpreted and there is hardly a 'live issue' impinging on the management of further education establishments that has not been considered over the years. For the present purpose, however, attention will be focused on the way in which, during the period since the reports have been published in collected volumes, they have described and interpreted current and anticipated changes in the environment and the approaches suggested for coping with them. The treatment is chronological.
Raising the general level of awareness of environmental turbulence and improving the capacity of education managers to cope effectively and efficiently with change appears as a major preoccupation in the reports. The pressure on resources is a recurring theme which appears as a gentle warning note in the early volumes but which becomes progressively more strident throughout the 1970's. The introduction to Vol. 1 No. 20 (1968) warns that:

*The introduction of a limit on the rate of increase in local authority expenditure has highlighted the need to examine closely the use of available resources in further education.*

and advises that:

*It is now all the more important that the best use is made of resources so that the size and quality of the further education service can continue to expand despite adverse conditions.* (Ibid.: 1).

Two of the visiting speakers at Study Conference 68/36, Professor T. E. Chester and S. J. Noel-Brown, a management consultant, considered the need for and means by which productivity might be improved in colleges. It was left to Dr. R. Bailey, Principal of the Bournemouth College of Technology, to look forward to THE 1980 COLLEGE. He presented the following view:

*The greatest single factor in the field of internal organisation over the next five years at least will be financial restriction, extending beyond the current three per cent limit. The financial constraint will increase the need for advanced planning and for colleges to justify in depth increases in expenditure ..... Principals will need to be managers and administrators trained in the basic management techniques ..... The staffs, through academic boards, will take over a far greater responsibility for their own affairs.* (Ibid.: 7).

This view is reported to have provoked a strong reaction from the audience which is identified as falling into two groups: the optimists who found the view too pessimistic and the cynics who believed that further education would continue to develop in the same muddled way.
To some degree all factions were proved correct and it is striking how many themes and issues, particularly in the areas of AFE financing, resource management and accountability and control, which were ventilated in the early 1970's and recycled for examination throughout the decade, were not decisively tackled until the early 1980's.

THE ORGANISATION OF THE EDUCATIONAL ENTERPRISE was chosen as the subject for two study conferences reported in Vol. 3 No. 14 (1970).

Among the guest speakers was Professor R. E. Thomas, who, while emphasising the problems unique to further and higher education and the increasing complexity of managing FE and HE institutions, identifies a number of problems shared by business and industry which might warrant a common response. He approaches his task with the assumption that there is no single best method because all situations are unique. (Ibid.: 3) and identifies three approaches to the structure and style of administration in educational institutions: mechanistic/bureaucratic, supportive/participative, and inter-disciplinary/analytical. The second approach is seen as a reaction to the weaknesses and problems of the first. Thomas favours the analytical or clinical approach, as he describes it, with due attention given to the diagnosis of specific contextual circumstances. He distinguishes the multiple roles which managers are required to perform: legislative, executive, representative and judicial. He examines the differences, a la Ansoff, in the levels of decision-making: strategic, administrative, and operational. He also distinguishes explicit and implicit objectives, responsibilities and constraints (self-imposed or externally imposed) with which managers have to contend. Thomas endorses the observation by Gilchrist and Marples:

that a manager's competence is as much a function of his motivation, the discretion of his superiors, the support of his colleagues and the peculiarities of his situation, as of his intelligence and his formal learning. (Quoted Ibid.: 4).
It is evident from the set of key questions posed to his audience that Thomas considers some form of strategic planning to be a major aid to effective diagnosis and the selection of an appropriate regimen.

According to Birch (Vol. 4 No. 20, 1970: 1-8), there was little of it in evidence at the time:

One can say of the Loch Ness Monster - everybody has heard of it, a few claim to have seen it but nobody has run it to earth. Similarly most educational administrators presumably subscribe to planning as a worthwhile activity, a few claim its efficacy in action, but hard evidence of the existence of coherent and consistent plans whether at national, local or institutional level is often difficult to come by. (Ibid.: 1).

Birch advocates the use of a systematic, deliberative approach summarised by him in the following flow diagram:

**Flow Diagram**

```
Position Audit
Where and what are we today?
Curriculum
Teaching Method
Resources/Capacities/Utilisation
Strengths, Problems, Weaknesses

Environmental Research
What is ahead?
Curriculum Development
Changes in:
Pedagogical Techniques
Educational Technology
Economic Factors
Forecasts of demand on various assumptions

(1) Needs, opportunities, constraints identified.
(2) Alternative strategies and programmes developed and identified.
(3) Priorities determined.

Long term plan.
```
Birch acknowledges, however, that whilst the procedural roles embodied in the above may tell decision-takers what to do and in what sequence they do not answer why or how. Even so, Birch is satisfied that if they prompt a search for answers to these latter questions — if they generate enquiry into the concepts of and the relationships between the steps in the procedure, encourage research and develop methods of analysis and initiate appropriate data collection they have probably done their job. Birch is, of course, chiefly associated with work on the development of performance indicators and integrated management information systems and initially identified, therefore, with those inclining to the 'hard' approach to organisational management. It is interesting to note that Birch changed his perspective quite dramatically over the years. The paper by him on MANAGEMENT INFORMATION SYSTEMS AND MANAGERIAL CONTROL (Vol. 13 No. 3, 1980: 94-104) for example is particularly interesting for the amount of attention given to the 'softer' aspects of managerial control in a paper ostensibly devoted to the 'hard' approach associated with MIS and performance indicators. Birch makes it clear at the outset that the concept of the ultimate MIS as a comprehensive data base is a romantic aberration based on a false picture of the decision-maker and a misunderstanding of the nature of the control process. The correct picture of the manager as decision-maker is seen to be one which emphasises satisficing, information overload, the political dimension, dependence on the tried and true, and ambiguity over ends and means. The FE Staff College has, of course, always ensured a pluralist approach through its staff appointments and Turner's paper 'The Organisation of Change' delivered to Study Conference 72/76 on THE MANAGEMENT OF CHANGE (Vol. 5 No. 13, 1972: 2-5) takes the 'softer' approach. Turner is concerned that colleges should be in a fit state to cope with a permanently changing environment.
The introduction of change is useless unless the organisation is in the right state of health. Individual efforts or sudden innoculations of change in small areas are unlikely to have any effect if the organisation is not in a healthy state. It will experience something comparable to tissue-rejection. So the problem is not the creation or dissemination of new ideas - there are plenty enough of them - but of studying the mechanisms for the implementation of change. (Ibid.: 2)

Turner proceeds to this task by listing ten qualities identified by Miles (1969) as constituting a fit state for implementing change. These are then applied to further education colleges which are found to have many peculiarities inimical to change: for example goal ambiguity, variable input, vulnerability to external pressures, classroom isolation and low levels of interdependence of teachers, and hierarchical management structures.

The strategies advocated by Turner for improving the fitness of colleges for change involve various forms of organisational, manager and staff development emphasising interpersonal relations, information flows, attitude change, critical self-awareness, and the role of the external consultant/analyst. The vogue for corporate planning at the time of local government reorganisation and the hostility which it aroused among education officers is reflected in the reports. Begley and Nelson (Vol. 6, No. 3, 1973: 118-140) describe in some detail the introduction of PPBS into Liverpool Polytechnic at the insistence of Liverpool Corporation, one of the local authorities advised by McKinsey and Co. The authors set particular value on the ability of PPBS to objectify decision-making and to expose the arbitrary exercise of power. The likely implications for further education of the adoption by local authorities of corporate management and corporate planning systems is explored by Harrison (Vol. 6, No. 18, 1974: 865-371). He adopts a particularly hard-headed approach, drawing on his experience as Chief Education Officer for Sheffield which emphasises
contextual factors, particularly the extent to which issues are politicised:

it seems to me rather naive of administrators if they think that by producing a perfect system of objectives and evaluation they will arrive at the answer to the rationality of a corporate organisation's activity. The political pressures are bound to increase in the new authorities, and political issues, which include education, will be discussed. We cannot pretend that education is not a political matter. (Ibid.: 868).

Harrison, while recognising the merits of the corporate approach, is anxious that local authorities and colleges should not become the slaves and servants of received doctrine, which can be totally meaningless. (Ibid.: 870).

During 1975 ten study conferences were held which were planned as an integrated project to review the whole field of further education policy in terms of changes in aims and objectives, in process of government and management, in resources and the student profile over the next five to ten years. (Vol. 8, No. 14, 1975: 898). The review included a Delphi Exercise described by Spencer (Ibid.: 933-937, 948-950). It appears that syndicates had little difficulty in reaching general agreement on what the future had in store:

There was unanimous agreement that the demands to be placed on FE colleges for education and training would increase very considerably in the period under consideration, but there was likely to be relatively small increases in resources of all kinds. The inevitable conclusions were drawn that all activities had to become progressively more efficient and effective: this provided a unifying feature to virtually all ... discussions. (Ibid.: 938).

One of the expected consequences of the above was the growth of formal management controls. Performance indicators were already being used on a progressively larger scale and were beginning to have an astringent effect on resource provision — especially academic staffing. (Ibid.: 939).
Volume 9 largely confirms these expectations. The Foreword to Vol. 9, No. 15 (1976: 526) puts the matter succinctly:

The financial environment of the public sector in the late 1970's places every emphasis on resource management. Given the simultaneous need to allocate and utilize resources efficiently and the lack of output measures in further education, given relatively infinite demands and absolutely limited resources - then a rational system has a number of prime requirements. These must include: a measurement of the intensity of use of existing resources, an assessment of what we are doing, aid in allocating resources in the future and in future planning.

The imminence of a new decade with a fresh administration at the national helm was deemed a particularly appropriate moment for a look at .... priorities in further and higher education (Vol. 12, No. 4, 1979: 148) in the 1980's. This, the first in a series of reports devoted to an exploration of what the 1980's was likely to bring (see for example Vol. 12, No. 11 and Vol. 13, Nos. 3, 12 and 13), seems to establish a climacteric for education. Certainly the opening paper of Vol. 12, No. 4 presented by Sir James Hamilton, Permanent Secretary at the DES, suggests that radical changes are in prospect, not least in the management and co-ordination of AFE. He acknowledges that the problems of management and control in higher education are long-standing and that Governments of both parties have wrestled with them. In the circumstances he expects that his audience would not be surprised to learn that the retention of the status quo is unlikely to be an option. He identifies the key failings of the existing arrangements as follows:

1. The present arrangements for pooling LEA expenditure on advanced FE violate the principles of accountability - it has been said that pooling is "like living out of somebody else's cheque-book".

2. The amount of resources we devote to higher education in the maintained sector is open-ended. It is a sum which emerges from a series of separate decisions taken by the individual LEAs and the 400-odd institutions engaged in the provision of higher education...
in that sector.

3. Thus there is little or no provision for national planning, for settling priorities or for allocating resources accordingly - a lack made the more glaring because in the university half of the binary system, this mechanism does exist. (Ibid.: 157).

He then proceeds to offer some personal views on the framework he would like to see developed.

The clear message coming out from Coombe Lodge at this time was that the 1980's would prove to be a difficult decade. 1980's: THE DIFFICULT DECADE was in fact the title given to a collection of papers originating at two study conferences held early in 1980. (Vol. 13, No. 3).

The 1980's will not be an easy decade for the further education service. Colleges face a period of nil growth, a period of retrenchment, a period of changes brought about by technological developments and by the economic state of the nation. (Ibid.: 84).

Among the problems considered were the resource prospects for NAFE and AFE, generally seen to be grim, the pressures on managers and the qualities of leadership required of them, and managerial control, a subject considered to be of increasing interest as economic belts grow tighter. (Ibid.).

Since the main purpose of the Staff College is to provide support for senior managers in further education the range of techniques and approaches suggested and the organisational arrangements offered for consideration are revealing. The series ASPECTS OF COLLEGE MANAGEMENT PARTS I, II AND III (Vol. 12, No. 12, 1980; Vol. 13, No. 1, 1980; and Vol. 14, No. 4, 1981) contains the following collection of papers—Marketing (Cuthbert), Alternative Organisational Strategies (Ferguson), The Organisation as Bureaucracy (Turner), A Cybernetic Approach to Organisational Management (Cuthbert), Leadership Styles in Institutions of Higher Education: A Contingency Approach (Ajayi), and Developing a
Corporate Strategy for College Management (Cuthbert). Attention will be confined to the last two which appear in Vol. 14, No. 4.

Ajayi's paper, as its title suggests, emphasises the significance of context and the variety of leadership styles and organisational models appropriate to different situational circumstances. Of particular interest are the three models of governance of institutions of higher education which he considers: the bureaucratic and the collegial models (identified as the more commonly used and traditional), and the political model (seen to be of more recent origin). He intends his reflections on these varied approaches to contribute to an understanding of the governance process, to the diagnosis of institutional problems and to the choice of leadership style for each situation. (Ibid.: 213).

The general conclusions reached on the application of the contingency approach are:

The bureaucratic model is the most accurate approximation of how the administrative organisation of an institution functions, particularly in the absence of crisis or severe stress. ... The collegial model has everyone's endorsement as the way an educational institution ought to function in the absence of differences of opinion which do not lend themselves to resolution through reasonable discussion. ... The political model addresses itself primarily to substantive issues which evade the solutions of bureaucratic authority or collegial consensus. Scarce resources and competition for status are facts of organisational life. Their existence speaks for the usefulness of conflict-resolution theory in understanding and coping with these aspects of institutional functioning.

The three models are in no way mutually exclusive. Each focuses on a different aspect of institutional life and each offers significant insights into organisational processes - including the choice of leadership styles. (Ibid.: 220).

Cuthbert's paper on corporate strategy is wide ranging in terms both of the philosophy and technology considered. While no attempt is made to hide the incrementalist and phenomenological critiques, or to gloss
over the practical difficulties attached to the introduction of corporate planning, Cuthbert is nevertheless strongly convinced of the instrumentality of a deliberative and systematic approach in the turbulent environment faced by college managers.

Among the specific approaches considered by Cuthbert is PPBS which he believes to have fallen into disrepute because, though intended as a management aid it was converted into a management substitute. Cuthbert believes that what is needed is an approach which is sufficiently specific to provide guidelines for management, but sufficiently flexible to permit an appropriate degree of managerial discretion. (Ibid.). Such an approach is found in the work of Uyterhoeven et al (1967) which was applied in modified form by the Researcher at the College of Higher Education and which, therefore, will be referred to further in Chapter 9.

The problems of managing when the system goes into reverse are explored in Vol. 14, No. 3 (1981); Vol. 15, No. 4 (1982) and Vol. 15, No. 11 (1983). The first contains a timely paper by Ferguson on The Management of Stress and a very forthright contribution by Thomas on Policy Planning in a Steady State. Thomas is in no doubt that it is up to each institution, whatever its degree of sovereignty, to do its own planning and policy making in order to cope with the totally changed situation which now confronts tertiary education and proceeds to explore some of the issues and practical steps that institutions must take in what will be a ruthlessly competitive future scenario. (Vol. 14, No. 3: 164).

The turbulent environment is described in terms of a reducing resource base, unfavourable demographic trends and discontinuities in policy which make for an unprecedented state of uncertainty. (Ibid.: 167).

Such a situation is seen by Thomas as an opportunity for top managers to regain the initiative in the management of their institutions and
the means he advocates is institutional planning on a realistic basis.

By realistic Thomas means:

a) a systematic appraisal of internal strengths and weaknesses and external threats and opportunities;

b) the mobilisation and reconciliation of 'bottom-up' and 'top-down' planning;

c) the matching of staff recruitment, promotion and grading policies to organisational needs;

d) the exploitation of strengths and remedying of weaknesses;

e) the improvement of market intelligence and the development of early warning systems; and

f) the incorporation of the above into rolling programmes overseen by a group of senior managers capable of taking a college-wide view and of distancing themselves from major political battles; and

and draws on his experience at Bath in substantiating the value of such an approach.

The second set (Vol. 15, No. 4) includes two papers presented from either end of the 'hard-soft' spectrum. The first by Sprigg of the Audit Inspectorate defends the hard approach against the barrage of criticism provoked by COLLEGES OF FURTHER EDUCATION - GUIDE TO THE MEASUREMENT OF RESOURCE EFFICIENCY (1981) which exposed the lack of a clear chain of accountability in FE, extreme variations in management systems and managerial competence, and the widespread neglect of performance measurement. A certain sense of incredulity is conveyed by the following paragraph:

Some colleges and some LEAs have misunderstood what the audit was about. We are not trying to make colleges keep records so that they can complete the Pooling return, but because they need management information in order to manage their colleges. How can anyone plan and control without knowing how many student hours are being demanded
or are going to be? How is it possible to staff a college without knowing how many hours lecturers put in? Yet some colleges contrive to do so, in spite of errors in the data they use of as much as 30 per cent. How can an LEA maintain financial control when it has inadequate or false information from its colleges? (Ibid.: 121).

In stark contrast Sprigg holds up as shining examples to be emulated colleges which are properly accountable, which take marketing seriously, have good control of resources based upon excellent information, and where management seriously and continuously reviews its own effectiveness. (Ibid.: 122).

Further reference will be made in Chapters 11 and 14 to the influence exerted by the Audit Inspectorate Reports on the management of the College of Higher Education.

Theodossin in his paper on Managing Education and Management Theory (Ibid.: 132-144) concentrates on finding answers to the following three fundamental questions which a practising manager might put to an academic theorist:

1. What general, theoretical explanations have been given which enable us to understand how people act, react and interact in organisations?

2. In what ways has education in general, and further education in particular, utilised the understanding generated by such theories in confronting the management of institutions?

3. Using the insights revealed by 1 and 2 above, what developments might we anticipate at institutional level during the next few years? (Ibid.: 137-138).

The answers are found not in Grand Theories offering total explanations, but middle range theories concentrating on one particular perspective and offering partial explanations. He groups such theories around four areas of explanation: (1) the environment; (2) organisational structure; (3) group interaction; and (4) the individual.

The systems view, though encouraging an essentially pessimistic perspective, is regarded as particularly appropriate to organisations
operating in a hostile and turbulent environment. Such is the case at the institutional level in further education:

At institutional level, opportunities for modifying the environment are exceedingly limited, apart from political activities such as pressure group formation and lobbying; such possibilities as do exist tend to be long term and to rely on the institution's products, the students. Therefore, broadly speaking, the college is more at the mercy of the environment than the other way round, so that the systems perspective often seems essentially pessimistic. When the environment becomes exceptionally hostile, the institution's best hope is of changing itself in order to meet the outside world's expectations and needs. (Ibid.: 139).

Theodossin proceeds to examine the major environmental demands to which colleges are required to respond and adapt and which add up to the greatest stress that the system has thus far encountered. (Ibid.: 141).

At the structural level Theodossin questions the appropriateness of the traditional hierarchical structure and explores the potential of the matrix structure which is seen as the most practical alternative. While convinced of the need to develop matrix-like structures he is well aware of the deep-seated institutional inhibitions likely to frustrate such a development. The most that he can reasonably hope for, therefore, is limited incremental alterations to structure.

At the group level Theodossin makes reference to the enormous body of literature and selects Organisational Development for special attention. He finds that although OD has long had its advocates there has been limited activity in education which he explains largely in terms of a culture which has tended to highlight individual professional responsibility and individual development at the expense of group development and group responsibility. He sees little hope of an increased interest in team building in the circumstances likely to be found in the near future.
If, as seems likely, the next few years bring increasing concerns with institutional closure, redundancy and redeployment, there is likely to be a corresponding decrease in concern with team building beyond the level of rhetoric and advocacy, because the basic concerns are likely to be whether there are to be teams at all, whether particular individuals are to remain in teams, and whether existing teams are to confront radically different tasks. Amid such turbulence, quality of team performance and group satisfaction are likely to be among the first sacrificial victims. (Ibid.: 145-146).

At the individual level Theodossin refers to the rather belated discovery of self-interest by the world of education management in the early 1970’s and the animosity and extensive comment which the open and public acknowledgement of its existence aroused, not surprisingly, in view of the challenge which it presented to the concept of vocation. Theodossin records the protracted correspondence which raged in Educational Administration during 1976 over the phenomenological perspective and the more recent shift of the debate to the micropolitics of education, again a potent source of destabilisation for those reluctant to acknowledge the darker side of humanity and the significance of manipulative skills. He predicts, however, that it is at the individual level that the important action is likely to be found:

it seems to me that institutions are likely to become increasingly politicised..... The focus of management is therefore likely to shift in two directions:

1. Towards the need for greater political skill in settling internal disputes, and the occasional need for greater political ruthlessness in subordinating staff needs to clients, and hence, market demands.

2. Towards generating more resources for the college, partly as a means of minimising the impact of LEA cuts, but also to some extent as a device for reducing internal political stress and helping to solve some of the problems of individuals.

Overall, the next few years are likely to make us increasingly aware of the politics (with every kind of p) of education, and of the disinclination we have previously exhibited as a profession to acknowledging the political nature of our activity, both between the
The need for critical self-awareness and greater reliance on the creative potential of the individual are themes taken up by Wheeler in Vol. 15, No. 11 (1983), the third report preoccupied with *The Management of Contraction*. He is impatient with those who look for a return to past normality and rejects the view that a reduction in quality automatically accompanies resource constraint. He is for strong leadership and believes that we should try to get rid of comprehensiveness, complexity and corporateness and should aim instead at standardisation, simplification and specialisation. Indeed he argues for the return to entrepreneurial autocracies and the abandonment of the confused, quasi-democratic processes with which colleges are inundated. (Ibid.: 457). Let the managers manage seems to be his battle cry with a prime responsibility falling on them to encourage individual creativity and to expose inadequacy. Despite the pluralism built into the output of the FE Staff College through staff appointments and the broad spectrum of opinion provided by guest speakers, the above review reveals a strong adherence to the deliberative, systematic, analytical approach associated with the rationalist perspective. Increasing prominence has been given over the years to 'softer' approaches but these seem to represent more a concern with providing a balanced view and acknowledging complexity than with attempting a fundamental shift in perspective.

3.6 *Educational Administration: Journal of the British Educational Administration Society*

The tendency among theorists and practitioners of education management to scepticism, contrariness, and disputation are more adequately
reflected in the output of *Educational Administration*, the Journal of the British Educational Administration Society. The tendency is encouraged by the practice of inviting comments on the contents of leading articles which often gives rise to a continuing debate extended over a number of issues. Thus, for example, an article by Stewart (Vol. 3, No. 1, 1974) on Corporate Management and the Education Service is accompanied by observations from Glatter which sets off a debate between Davies and Glatter in succeeding issues. Many such examples could be provided. It follows, therefore, that in terms of organisational analysis and deliberative approaches to management the current orthodoxies in relation to philosophy and technology rarely go unchallenged. Since the subjects considered cover the whole of the educational service and the preoccupations are not dissimilar to those found in the Coombe Lodge Reports, attention will be focused for the present purpose on two major developments highlighted in the Journal, both of which were the subjects of major symposia held by BEAS.

3.6.1 Barr Greenfield and Organisational Theory (Vol. 5, No. 1, 1976)

Barr Greenfield's assessment of the symposium devoted to the phenomenological perspective advocated by him was muted. Despite the controversy which he had obviously provoked he believed that:

Looking at the symposium with what will surely be said are rosy glasses, one might barely discern the breaking of an academic cartel which has acted to inflate the value of received organisation theory and of a particular style of research declared to be consistent with it. (Vol. 6, No. 1, 1977: 81).

Before pursuing this response further, however, it is necessary to consider the symposium proper. The Editor introduces Barr Greenfield's position by quoting from the introductory and final paragraphs of the paper which sparked off the controversy (Vol. 5, No. 1, 1976: 1-3).

The extracts chosen highlight the following:
a) the pitfalls of reification;
b) the rejection of the dualism which conveniently separates
people and organisations;
c) the over-emphasis on structures and the neglect of people and
their particular values, habits and beliefs;
d) the need to better understand organisations before attempting
to change them;
e) the significance of experience and the way in which the inter-
pretation of experience and the attribution of meaning shapes our view
of the world in general and organisations in particular;
f) the rejection of universalist approaches and the reliance on
theories of organisation based on diverse meanings and interpretations
of experience for useful insights.

The response to Barr Greenfield's paper was mixed ranging from the
enthusiastic to the dismissive. Harrison (Vol. 5, No. 1, 1976: 4)
uses the paper as a stick with which to vigorously beat Bains and
Corporate Management. Hoyle (Ibid.: 4-6) offers a less partial
assessment which, while commending Barr Greenfield's efforts to redress
the imbalance produced by the dominance allowed the systems perspective,
is reluctant to see that perspective entirely superseded by the
phenomenological approach. He is particularly concerned with the
epistemological and methodological problems posed by the phenomenological
approach and points out that neither the systems or phenomenological
approach is free from ideological taint; the systems approach informed
by a concern with order, the phenomenological approach with change.
(Ibid.: 6).

P. and J. White (Ibid.: 6-10) two philosophers from the University of
London Institute of Education, subject the text to close scrutiny and
expose a number of semantic and conceptual confusions and inconsistencies
which they find in it.
Russell finds Barr Greenfield's entire approach misconceived. (Ibid.: 10-11). He finds it difficult to believe that the teachers of educational administration, to whom the paper was first presented, could be so dominated by a single simplistic notion of an overall systems science as a total panacea. While Russell is prepared to tolerate the ritual incantations of the early part of the paper he is greatly disappointed by Barr Greenfield's failure to make better use of his own methods by addressing wider and deeper questions. In particular Russell would have wished to see an exploration of how individuals perceive the situations in which they find themselves and how they draw boundaries around the organisations of which they form part. He is in no doubt that organisations are perceived as having an independent existence by their members and that the way the boundaries are drawn will vary culturally and historically in a normal and reasonably predictable way.

It is clear from the earlier extract quoted from Barr Greenfield's response that the most striking impression gained by him was the continuing dominance of the academic cartel and the particular style of research associated with it, despite his efforts. He is particularly disappointed that to all appearances he had succeeded only in provoking a highly personalised controversy, rather than in stimulating a serious and continuing debate about issues fundamental to the study of organisations, particularly educational institutions. The nature of the spirited defence which he provides is in character with the method which he advocates, that is, he emphasises the personal basis of knowledge and ..... the crises of understanding and perception, which are involved in making truth and making theory. (Vol. 6, No. 1, 1977: 87). He concedes that he was ill-advised in employing the word 'new' in a way which suggested that the ideas he was presenting were new. What was new was not the ideas in the paper but his awareness of them
and the audience to which they were addressed. Having been carefully schooled through several years of graduate training and experience in academic positions to see organisations, their problems and theories about them in a certain way what he was attempting, was to startle others with a vision which was new to him and which he had grasped with some difficulty and stress, over a period of three or four years.

(Ibid.). The essence of his vision is that:

What we see as organisations depends in large measure on self and upon all the social processes by which the self is formed; it depends on who we are and upon what others around us are thinking and doing.

(Ibid.)

The heart of the issue is what we are to believe about our organisations and how we should behave toward each other in them.

That Barr Greenfield should have felt it necessary to defend his position so strenuously seems rather surprising today post Burrell and Morgan (1979). The multi-paradigm approach to organisational analysis is now widely accepted and the ontological and epistemological positions adopted by Barr Greenfield are recognised as being appropriate to theorists located in the Interpretive Paradigm. Indeed evidence of the shift in perspective is found in the output of Griffiths, identified at the time as Barr Greenfield's chief antagonist and defender of the established orthodoxies.

While Griffiths has no desire to abandon the Functionalist Paradigm and finds the tools and methods of positivist research adequate, he believes it necessary to view organisation with different spectacles because the theories we have been using have limited our view of what an organisation is and how it operates. (Vol. 6, No. 2, 1978: 80-105).

He believes it necessary to accommodate:

a) the anarchic tendencies of educational institutions (he finds the insights provided by the Garbage Can Model valuable);
b) the processes in the environment which determine exchanges between the organisation and its environment, particularly in conditions of turbulence;
c) the phenomenon of coupling, whether loose or tight;
d) the attitudes and feelings of people in organisations and the way in which they find expression in organisational arrangements, formal and informal;
e) power structures in organisations;
f) the organisational climate or culture and the interactions of people, organisation and environment in specific settings.

In so far that Griffiths can be interpreted as predicting a growing interest in the micropolitics of organisations, events have confirmed his judgement. Such was the growing interest in the subject that the British Educational Administration Society's Tenth Annual Conference was given entirely to it.

3.6.2 The Micropolitics of Organisations (Vol. 10, No. 2, 1982)

Pratt's editorial (Ibid.: 77-85) apart from providing a comprehensive resume of the papers presented and the discussions stimulated by them seeks to place the subject in context. The shift in perspective which he identifies supports the general thesis presented by the Researcher.

But 10 years ago, when our principal concern in this country was with local government reorganisation, we were approaching the problem as primarily one of designing structures for the achievement of specific purposes. The setting of objectives seems to have been regarded by commentators as an essentially managerial process to be carried out within pre-ordained structures rather than as a political process in which interested parties bargained over the rules of the game while it was being played. A chasm opened between the perspective of those who were guided by the principle that public business ought to be conducted more systematically and that of others who were sceptical of the resulting prescriptions, regarding them as not being grounded in reality or, more sinisterly, as being dependent for their implementation upon the imposition, from the top down, of a "managerial" view of reality. (Ibid.: 77).
The advances of the sceptics and the retreats of the managerialists are described in terms of:

a) the emergence of literature recognising that structure, function and process were interactive, that the experience of political bargaining processes provided a major impulse for organisational change and that this experience was a subject worthy of study. (Ibid.);

b) the development of a multi-disciplinary approach to educational administration;

c) the controversy sparked by Barr Greenfield;

d) the shift from Bains' management of politics towards the concern with the "politics of management".

Pratt believes that:

Just as Greenfield set the phenomenological cat loose among the systems pigeons in 1974 ... so, at this Conference, it may be that we have set down some markers for the systematic study of some apparently unsystematic phenomena, the micropolitics of educational organisations.

In view of the variety of insights found in the papers and the wide-ranging nature of the discussions which they prompted, no attempt will be made at a comprehensive summary. Pratt's editorial performs that task admirably. For the present purpose, therefore, attention will be concentrated on selected references regarded by the Researcher as particularly relevant to his study. They are grouped under a number of headings which help to identify the area of discourse.

3.6.2.1 The Nature and Significance of Micropolitics

The domain of micropolitics is described by Hoyle as follows:

Micropolitics embraces those strategies by which individuals and groups in organisational contexts seek to use their resources of power and influence to further their interests. ..... Administrative theory focuses on structures and the associated processes of power, decision-making, communication, etc. But the space between structures is occupied by something other than individuals and their motives. This "other" consists of micropolitical structures and processes. It is characterised more by coalitions than by departments, by strategies rather than by enacted rules, by influence rather than by power, and
by knowledge rather than by status. (Ibid.: 88).

Hoyle proceeds to develop a framework involving the study of interests, interest sets, power and strategies. These are intimately related to the more formal aspects of organisation which is the main focus of much administrative theory, but the political dimension of an organisation constitutes an alternative focus for understanding organisational processes. (Ibid.: 91).

The approaches which Hoyle finds most promising are exchange theory, the "garbage can" model, and the various efforts made at analysing organisational politics. He does not believe, however, that these constitute a coherent body of theory and the questions which he poses are whether such a coherence is likely to be achieved and, if so, what its contribution to the study of educational administration might be. (Ibid.: 96).

Glatter strikes a note of caution and seeks to place the development of micropolitics in context.

Just as the "rational" models of decision-making which predominated in the 1960's and early 1970's were based on an underlying set of values, connected with optimism and a belief in the possibility of progress largely through "technical" means, so the micropolitical approach, which at times comes close to nihilism, is in tune with the cynicism and demoralisation of our age. It also has a close affinity to certain English cultural norms: a tendency to reject "rational" methods of planning, control and regulation (which have often served other Western countries well in a variety of fields), and conversely a preference for loose structures which build in substantial autonomy and laissez-faire, and which frequently promote and sharpen the features most associated with the micropolitical model. (Ibid.: 162-163).

Glatter argues for the incorporation of micropolitics into research and training but, recognising the values which underpin it, care should be taken to keep it in balance with and relate it to other approaches.
3.6.2.2 Rationality and the Aleatory Dimension

Hoyle exposes the tendency among practitioners and theorists to sustain the illusion of rationality despite the evidence of everyday life. He is concerned that greater attention should be given by practitioners to the aleatory dimension of the institution - described by Kogan (1975) as "pluralistic, incremental, unsystematic and reactive" - as they attempt to improve the service in conditions which appear to be perennially turbulent. (Ibid.).

Bailey believes that there is a danger in making too much of this dichotomy of the rational and the irrational. One man's logic may be another man's confusion. (Ibid.: 100). He suggests that what is often described as irrational could better be described as improper.

Glatter warns against becoming mesmerised by the micropolitical approach to the total exclusion of more deliberative and systematic 'rational' approaches.

3.6.2.3 Keywords and Related Issues

Among the 80,000 words estimated by Pratt as having been presented at the conference, the following are identified by him as "Keywords": politics, power, bargaining, negotiation, trade-off, coalition, manipulation, agenda, rhetoric/reality, legitimation, loyalty, dilemma, lobby, irrationality, strategy, initiative, pressure, regulation, concession, dispute, hassle, paradox ..... (Ibid.: 81).

Such a vocabulary provides a meaningful language for Glatter:
The language of power, coalitions, arenas, contests, bargaining, negotiations, interests, ambiguity and so on seems very helpful in distinguishing rhetoric from reality, in "demystifying" organisations in drawing attention to the different purposes which different individuals, groups and institutions have and the various ways they set about attaining them. ..... It shows also how the external environment can affect the power structures within organisations. (Ibid.: 161).
3.6.2.4 Researching Micropolitics

Hoyle acknowledges that empirical studies of micropolitics are extremely rare and that research is likely to prove conceptually and methodologically complex. (Ibid.: 96, 91).

Stewart finds the area full of issues about partiality, bias and the nature of the evidence which ought to be investigated but claims that this does not render the issues inaccessible ... and therefore unresearchable in principle. He believes that the methodological questions are the ones which should be raised and talked about much more. (Ibid.: 83).

Mangham is reported as advocating the use of new techniques, particularly participant observation. The method is recognised to be fraught with difficulties and the researcher is required to be a micropolitician too. (Ibid.: 80).

3.6.2.5 Practical Value of Approach and Ethical Implications

While Hoyle accepts that the importance of the micropolitical world is existentially acknowledged he questions whether it can be captured by the theories and methods of the social sciences, and, if so, will what is learnt be of value to practising administrators? (Ibid.: 96).

The answer to the first question is seen to rest on the ontological and epistemological position adopted.

Hoyle, when addressing the second question believes that micropolitics is more likely to provide a theory-for-understanding than a theory for improving. ..... Studies of micropolitics could well bring the area much more into the arena of discussion, but it isn't easy to see in what ways this might improve the quality of administration or the quality of life in educational organisations for participants. (Ibid.: 97). He finds it difficult to envisage a form of training that would effectively equip practising administrators with micropolitical skills and is aware of the moral dilemmas posed by such training. Indeed, he
identifies micropolitics as the dark side of organisational life ..... 
an organisational underworld which is spoken of in terms of
"organisational mafias", "hidden agendas", "playing politics" and
"Machiavellism". Mangham readily acknowledges this reality and
believes that micropolitical skills have to be learnt.

Skills are important in a power struggle, skills of the salesman, the
agent and of the con man. These are interpersonal skills, among them
'sagacity' (powers of observation linked to prediction), 'acumen'
(crossing the breach between minds), 'timing', 'verbal skills'
(knowing how to communicate as well as when) and 'negotiation'.

Can one teach these skills of micropolitics? To get decision makers
to examine assumptions, definitions and processes and to consider
changing them is itself a political act. Openness as an attitude is
not neutral. There is only one answer but it is itself a dangerous
answer. All must develop these skills, the skills of micropolitics.
People will indeed learn to manipulate but this danger has to be
accepted. (Ibid.: 81).

Others are seen to be more apprehensive and are reported to be still
sitting on the fence at the end of the conference. (Ibid.). Bailey
does not sit on the fence but rather suggests a way of resolving the
dilemma. He focuses on the processes of legitimation and the ways in
which the proprieties are observed. (Ibid.: 100-105).

3.7 Programme for Institutional Management in Higher Education:
Centre for Educational Research and Innovation (OECD)

The Centre was set up in 1969 and the objectives established for the
IMHE Programme were as follows:
a) to promote within participating institutions of higher education
improved management of their affairs;
b) to provide for a wider dissemination of practical methods and
approaches to institutional management. (Le Vasseur et al, 1980: 1).

The output of the Centre, in the form of reports, bulletins, conference
and seminar papers and, since 1977, the International Journal of
Institutional Management in Higher Education, provides an illuminating record of the changing environment confronting institutions of higher education in OECD member countries, the resulting preoccupations of policy-makers, administrators and researchers, and the approaches recommended for coping with change.

3.7.1 Changing Environment

The changes in the environment during the 1970's are described in a report reviewing the first 10 years of the Programme. (Ibid.). A stark contrast is drawn between the heady days of expansion and confidence in the University's role which prevailed when the Programme was conceived and the crisis of confidence developing a decade later in the wake of pressures on public expenditure and demographic trends.

If the seventies were characterized by rapid change due to rapid expansion, there is every indication that the current climate of contraction will pose no less difficult problems of adaptability in the decades ahead. (Ibid.).

Indeed, by October, 1981, a serious crisis had been identified. This was the view of the delegates to the OECD Intergovernmental Conference on Policies for Higher Education in the Eighties reported by Papadopoulos (Vol. 6, No. 1, 1982: 5-7). All in attendance were agreed that the crisis is not only one of confidence, as reflected in public attitudes, but also of purpose, which touches on the very nature and functions of each individual institution and its place in the total system of higher education. (Ibid.: 5).

As the anonymous author of the 10 Year Review indicates, the purpose of the IMHE Programme was to foster the growth of professionalism among those with administrative and management responsibilities within higher education not least by means of increased exchange of information about new approaches to problem-solving between administrators within and across national boundaries. The approaches given greatest prominence in the early 1970's were normative processes, modelling and a systems
approach. Le Vasseur, et al, 1980:44. These may be identified in the review of Research Activities, Reports of Professional Seminars and Special Topic Workshops published in Bulletin No. 16 (1976). The subjects for the first three Professional Seminars held during 1973-75, for example, were as follows: Programme Budgets for University Management and Planning, Models and Simulated Decision Making for Institutional Management in Higher Education, and Information Systems of Higher Education and reflect an American influence. As Legg (Ibid.) points out, however, there were tensions between the 'hard' approaches advocated and the inclinations of institutions. His prediction about renewed interest in and increased reliance on 'hard' approaches are confirmed in Le Vasseur’s 'Look Ahead' at the directions in which it was intended to take the IMHE Programme. (Vol. 5, No. 3, 1981: 179-182). Three major subject areas are identified for renewed attention, which are meant to provide a framework for planning the future activities of the IMHE Programme. (Ibid.: 182). They are:

a) Problems of institutional management in a period of retrenchment, with emphasis on resource redeployment, management structures, staff tenure and the determination of priorities for teaching and research.

b) Relationships with regulating agencies, with emphasis placed on the measurement of institutional performance, frameworks of accountability, degree of centralisation/distribution of decision-making power, and financing.

c) Interaction between institutions and their environments, with emphasis placed on responsiveness to the needs of industry and commerce (i.e. technological change, employable manpower, continuing education and professional updating), the development of a distinctive institutional identity and an acceptable public image, and the general role of higher education institutions in local, regional and national economies.

Le Vasseur recommends systematic, deliberative, planned approaches to tackling the above.
He acknowledges the inhibitions which exist to such approaches, however, noting in particular problems related to personnel policy and financing. He believes that the current climate of financial instability makes the rational management of institutions an extremely difficult, if not impossible, task. (Ibid.: 181).

What emerges from the above is a picture of an increasingly turbulent environment moving through three phases. The first, a period of expansion, generates a search for a more sophisticated technology, linked to a rationalist philosophy, which meets resistance from institutions preoccupied with behavioural and educational issues. The second phase, from the mid 1970's to the early 1980's, witnesses an increasing recognition of complexity, accommodates pluralist perspectives, and looks forward apprehensively to a bleak future. The current phase is identified as a period of crisis in which higher education is faced with growing demands for increased relevance, effectiveness and efficiency and which calls for strong leadership and highly professional managers equipped with a sophisticated technology operating within appropriate organisational structures.

There has been a significant UK involvement in the IMHE Programme and attention will be focused for the present purpose on papers produced by three British Academics strongly associated with it, Lockwood, Davies and Thomas.

3.7.2 Lockwood

Lockwood's view of the state of the art opens an issue of the Journal (Vol. 2, No. 2, 1978: 121-138) devoted entirely to planning. As had already been indicated in section 3.2 above he is a strong proponent of the deliberative, systems approach to planning and his article bears the stamp of someone with extensive experience of planning in a university and contains much hard-headed practical advice. He first
deals with the general disenchantment with planning, a disenchantment proportional to the misplaced euphoria originally generated by it. He then turns to the shocks of the 1970's which appear to undermine the whole basis of planning.

Lockwood is reluctant to allow planners to take all the blame, though he acknowledges that some professionals in the planning field oversold their techniques and technology. (Ibid.: 123). He draws attention to the cautions which he himself had issued in the past over the dangers of an excessive preoccupation with technology and the neglect of the varying capacities within institutions for coping with change. He reaffirms his belief, however, in the instrumentality of the kind of approach advocated in the report produced with Fielden in 1973. (See section 3.2.2 above).

While Lockwood draws attention to the human and political aspects of context - he recognise, for example, that Planning is concerned more with human relations than with technical problems but the development work has largely gone into the latter (Ibid.: 125) and that the extent to which planning can be collective depends partly upon the internal political environment (Ibid.: 124) - and advises that the system developed by a single institution should be tailored to its needs and capacity, he seems to be in no doubt that carrying out planning to the best ability of the institution involves adoption of a rational, deliberative, systematic approach.

3.7.3 Davies

Davies (1979a) uses the definition of planning provided by Lockwood as a basis for developing Some Criteria for Analysing the Functioning of Institutional Planning Systems, the title of a paper delivered by him at the 7th Professional Seminar devoted to the subject CURRENT DEVELOPMENTS IN THE PLANNING AND CONTROL OF CONTEMPORARY HIGHER EDUCATION INSTITUTIONS. As the questions posed indicate, his main
concern is with the organisational, behavioural and political aspects of planning:

The issues which arise therefore are:

1. What overt roles does planning play in the institution?
2. What covert roles does planning play in the institution?
3. Is it intended that the planning process is a bridge between institutional philosophy and practice, and how does this operate?
4. Is the planning process conceived as an instrument for achieving internal institutional change or Does the planning process at present largely function as an instrument of preserving external institutional survival and credibility with funding bodies?
5. Does the planning process attempt to provide a means of subsequently controlling and conditioning events and avoiding ad hoc developments?
6. Is the planning process intended to be a means of reducing the level of sub-unit autonomy and unpredictability in the institution?
7. What are the consequences to and the implications for the institution and various groups of the answers to the above questions? (Ibid.: 4).

Yet the criteria developed around keywords taken from the Lockwood definition do not question the necessity for a systematic, deliberative approach. What they do reveal, however, is an awareness of complexity and the need to take into consideration behavioural, perceptual and political factors.

In another paper, presented at the same seminar, Davies (1979b) directly addresses The Political Context of Planning and Policy-Making in the Contemporary Higher Education Institution. The contention of the paper is that since institutional politics is a forcible factor in planning and policy formation in higher education, there is the need to develop a theory and practice of planning which recognises its inherent tendency towards conflict. His paper:

(1) attempts an analysis of how and why political conflict impinges on the planning process;
(2) considers the organisational implications;
(3) discusses the constituent features of a planning process appropriate to this context;

(4) reviews the consequencies of the above on the leadership style and skills of the senior administrator;

(5) assesses the role which incentive structures might henceforth play;

(6) reviews the role of possible central planning organs as agents of organisational change. (Ibid.: 1).

Davies' treatment of each of the above will be considered briefly.

(a) Sources of Political Conflict

A number of significant pressures originating in both the internal and external environments are identified by Davies as generating conflicts which impinge at each stage in the orthodox planning process. It is clear to him, therefore, that "rational" planning processes cannot ignore the fact that each stage inevitably contains immense scope for inter-group rivalries, coalitions and conflict, and this is enhanced with the shift from continuous growth to steady state to contraction in higher education. (Ibid.: 3). While he does not wish to argue that "rational" approaches based on adequate data are not essential he believes that the contemporary higher education institution needs another set of concepts to inform practice on the politics of planning, and the interface between the apparently logical and the apparently political. (Ibid.: 4).

(b) Organisational Implications

The anarchic properties of educational institutions (vide Cohen and March, 1974) give rise to:

a series of factors, which when operating either singly or together, will severely militate against the capability of management to develop, legitimise, implement and review its plans and policies at anything above a low level of common satisfaction. In short, the conventional bureaucratic, rational and collegial planning models are unlikely to be able to deliver workable plans consistently in the complex environment in which we now live. (Ibid.: 6).
Together they produce an \textit{anarchy trap} and go a long way to explaining why planning systems based on the appeal of logic and rationality may have been less than successful. (Ibid.: 7).

(c) \textbf{Appropriate Planning Process}

Davies advocates the use of Enderud’s (1976) Four Phase Model which he describes in some detail and adapts to his own purposes.

(d) \textbf{Leadership Styles and Skills of the Senior Administrator}

Given the existence of the four phases, Davies stresses the need for key actors, planners and administrators to play roles appropriate to the phase in operation.

\textit{It is paramount therefore that the actor - recognises, through a well developed sense of timing, which phase he is in - or moving into; - has the ability and competence to play these roles; - has the ability to move smoothly from one to the other.} (Ibid.: 18).

These abilities demand high order analytical, perceptual and interpersonal skills.

(e) \textbf{Incentives and the Planning Process}

Davies believes that securing commitment to the implementation of plans depends on:

(a) the degree to which institutional goals are well-formed and articulated;

(b) the degree to which faculty behaviour in support of organisational goals are evaluated and rewarded. (Ibid.: 23).

He finds, however, that the incentive structures in some institutions are stacked against implementations of such policies. (Ibid.).

(f) \textbf{Central Planning Organs as Agents of Institutional Change}

Davies explores the potential within planning organs for steering institutional change and assisting in the process of organisational development. He sees a need for planners to redefine their roles as "helping, consulting and supporting" rather than directing. (Ibid.: 31).

While Davies identifies the planning process as one increasingly likely
to become short-term in nature and politicised he does not believe that this lead to its disintegration: rather, fresh parameters must be recognised, and the elements of ambiguity used to set up a process which is creative and problem-centred. It is not felt that the processes or administrative leadership styles being advocated are sordidly Machiavellian or antidemocratic. On the contrary, they should lead to more openness, acceptance and trust, — and one should never underestimate the effectiveness of academia in neutralising anything it perceives to be malevolent! (Ibid.: 37).

His view of the planning process remains that it exists to establish purposes, select favourable mixes of alternative options, and commit resources to the fulfilment of these purposes. (Ibid.: 23).

Since 1979 Davies has made extensive use of the Enderud Four Phase Model in his consultancy work and his writing. See for example the paper presented with Morgan (Wagner, 1982: 153-188) to the Leverhulme Programme of Study into the Future of Higher Education, The Politics of Institutional Change (see also page 910 and Appendix Y).

3.7.4 Thomas

Thomas also attended the 1979 Professional Seminar and an updated version of a paper presented by him appeared in Long Range Planning (Vol. 13, 1980: 70-78). In it he reviews the relevance of key constituents in modern corporate strategic planning to policy determination in universities at the institutional level. Thomas believes that:

Given the changed scale and context of higher education, whatever their future scale of operations, universities and other semi-autonomous institutions each need to make their own choices as to future activities and uses of resources, whatever the negotiating frameworks through which these choices have to be implemented. (Ibid.: 70).

The essential features of the semi-autonomous enterprise are its freedom to select (i) its main types of activity, (ii) its key decision-making bodies or posts and those who are to occupy them, and (iii) its
broad policy or style or operation. (Ibid.). Thomas wishes to see this autonomy effectively employed to secure for the enterprise some degree of control over its future destiny in an increasingly turbulent environment.

He demonstrates how the adoption by the top managers of a university of a corporate strategic policy approach assists the well-directed enterprise in handling of all forms of environmental turbulence and the evaluation of specific short term policy decisions and ensures survival on terms acceptable to them. (Ibid.; 71). The forces, originating in both the external and internal environments responsible for increased turbulence are identified as are the constraints on the university's autonomy in strategic decision-making. Such evidence is mobilised to confirm the necessity for and to establish the value of corporate strategic planning. It is seen, above all, to provide critical self awareness. Identification of strengths and weaknesses and assessment of threats and opportunities is presented as a major phase in strategic planning.

SWOT analysis and gap analysis are seen to involve important qualitative judgements as well as the analysis of hard data. Indeed, Thomas believes that a university ought to be better placed than almost any other institution to engage in, and profit by ..... wide-ranging speculation. (Ibid.: 77). In other respects, however, notably systems of organisation and government, universities appear better equipped to maintain a status quo than provide for dynamic renewal. Thomas wishes to see organisational arrangements introduced likely to support corporate strategic planning.

There already exist external pressures for periodic review which he would like to see exploited on a more systematic basis:

Fortunately, in the UK the combination of quinquennial visits to each university both by the UGC and by its subject committee, and parallel visits by the research councils, ensure that such reviews occur besides
performing a valuable 'learning' function by comparison and discussion with colleagues and peers in the system as a whole. (Ibid.).

However realistic the reviews, consequent changes in priorities and redistributions of resources have inevitable political implications which Thomas recognises and for which he wishes to see pre-planning arrangements made. Even so, he argues powerfully for the adoption by those in leading roles in universities of the deliberative, systematic approach represented in corporate strategic management. His practical experience leads him to reject the pessimistic view of planning put forward by the incrementalists and the over-optimistic centralized planning dreams of a later wave of enthusiasts. (Ibid.: 78). He sees the planning process as yielding benefits of greater value than any single plan. It becomes an attitude of mind shared in the organization, and providing a means for reconciling and optimizing the diversities of strengths and interests of academics in the interests of the institution and the community it serves. (Ibid.).

Thomas concludes with the following exhortation:
To deny a practical significance to strategic institutional planning is to invite our own destruction as environment oriented organisations of value to our societies through our collective individual independence of exploration, instruction and advice. (Ibid.).

Though not an obtrusive feature of the above, Thomas' awareness of the political dimension is seen in the reference to negotiating frameworks and the suggestion that pre-planning activity may be necessary to cope with power conflicts. His awareness of the political realities is not in doubt, however, as reference to Vol. 4, No. 1 (1980: 61-63) of the International Journal reveals. In a note of comment on a paper by Nediger, Identification of Relative Power Amongst Faculties in Universities (Ibid.: 43-60), Thomas, while questioning the methodological basis of Nediger's conclusions, readily acknowledges the general validity of the messages conveyed and is familiar, from his own experience, with the power games played in universities.
CHAPTER 5: THE ANALYSIS OF CONTEXT

This chapter reviews three approaches to organisational analysis giving prominence to context. They are regarded as representing both relatively 'hard' and relatively 'soft' approaches. Even so they are not considered mutually exclusive and the overlaps between them will become evident during the review.

1. THE CONTINGENCY APPROACH

1.1 Introduction

The view is shared with Burrel and Morgan (1979: 167) that it is more appropriate to refer to a 'contingency view' or a 'contingency approach' than to speak of 'contingency theory'. What distinguishes the approach is an attempt to relate organisational design, change and performance to contingent factors producing good or bad fit.

It is based on the view that there are no general principles or best practices of organisation. Managers and others who are involved in organisational design have to work out and weigh up the situational implications of the contingencies they happen to face. (Child, 1984: 217).

Child (1984), on whom heavy reliance will be placed for the present purpose, shows how the contingency approach derives from the open systems view of organisations. It is a perspective which gives prominence to survival, transactions between the organisation and its external environment, conditions of risk and uncertainty and the dependence of management upon the goodwill and support of employees within and parties outside the organisation. While uncertainty, dependence and risk may be brought under some degree of control they are unlikely to be completely eliminated and it is this lack of control which makes it necessary to regard the context and conditions in which
an organisation's work is carried out as contingencies. That is, they are relevant and variable parameters for which allowance and adjustment in management practice and organisational design have to be made. (Child, 1984: 217).

The choice of relevant parameters is shown by Child to depend on which of two versions of the contingency approach is selected. The one given greatest prominence in the literature, which he labels the 'task contingency' approach, focuses on the tasks to be performed within an organisation and identifies environment, diversity, size, technology and type of personnel as the key contingencies. A more recent version, the 'political contingency' perspective is as much preoccupied with the realities of power as with efficiency. It raises the question of which organisational arrangements are acceptable to management and other groups, and it suggests that unacceptable ones will be resisted and therefore inefficient. (Ibid.: 218). Both versions are seen to carry strong messages about organisational design and conditions under which pressures for organisational change are likely to arise. What follows is devoted to identifying these messages and establishing their relevance for the design, introduction and operation of a corporate planning system.

Firstly attention will be given to those aspects of organisational design considered to be most relevant to corporate planning, namely integration and control. Secondly, these and other aspects of organisational design will be examined in the light of the task contingency approach, to be followed by a similar analysis based on the political contingency approach. At this point reference will be made to a series of articles produced by Hinings and various colleagues (1971, 1974, 1981) which seek to describe and explain power relationships within organisations. Fourthly consideration will be given to the
analytical framework and insights offered by Ansoff (1979). By so doing it is not intended to force a contingency label upon him. In so far that any group may claim such an individual thinker for their camp, the contextualists seem to the Researcher to have as strong a claim as any. His location is, however, much less important than the insights he offers. The decision taken to include Ansoff at this point rather than later is based on his preoccupation with achieving an alignment between internal configurations and dynamics and the level of environmental turbulence, and his attempt to develop an elaborate model to link the two.

The final part of the section considers how far it is possible to establish causal links between contingencies, organisational design, organisational change and organisational performance and identifies those elements of the contingency approach considered to have the greatest relevance for the thick description to be undertaken in Chapter 12.

1.2 Integration and Control

The guide adopted for the examination of these particular elements of organisational design is Child (1984: Chapters 5 and 6).

1.2.1 Integration

1.2.1.1 Centrifugal Tendencies within Organisations

Integration is seen to be crucial but problematic. Organisations have in-built centrifugal tendencies which are reinforced by differentiation of tasks, methods, outlook, vocabulary and time horizons, all of which tend to increase with size. Centrifugal strains are less difficult to cope with under conditions of stability than instability. Increases in the complexity of problems and the rate of change place a premium on integration at a time when it is most difficult to achieve. As Lawrence and Lorsch (1967) have shown increased levels of differentiation
may be deemed necessary to cope with external complexity and turbulence yet this in turn militates against effective integration which is also essential to survival and good performance. In the research conducted by Lawrence and Lorsch success was seen to be contingent on achieving an appropriate balance between differentiation and integration.

1.2.1.2 Signs of Inadequate Integration

Experience suggests that warnings of inadequate integration are provided by the following (Child, 1984: 122, 123):

a) Persistent conflict between departments which is taken for granted and becomes an acceptable feature of organisational life.

b) The judging of integration issues through a proliferation of committees.

c) Excessive reliance and therefore overload on top management.

d) Ritualistic adherence to operating procedures and paperwork.

e) Monopolisation of integration by specialist co-ordinators.

f) Increase in complaints from clients, customers and other external parties which expose inconsistencies in messages transmitted by the organisation and failures to establish an appropriate point of contact.

1.2.1.3 Choice of Integrative Mechanisms

Much will depend on the degree of integration sought, situational difficulties, and the cost of employing alternative integrative mechanisms.

Thompson (1967: 55, 56) offers a choice of 3 alternatives which are picked up by Child (1984: 127):

a) Standardisation by means of rules and standard operating procedures.

b) Plans and schedules. Seen to be more flexible than (a) but nevertheless sharing a common ownership as part of the traditional bureaucratic approach to integration.
c) Mutual adjustment based on the direct exchange of information. A wide variety of interactive mechanisms fall into this category from formal committee structures to self-generating communication networks. Each is seen to have strengths and weaknesses with reliance on the bureaucratic becoming increasingly less satisfactory as instability grows. It is in such conditions that the burden of processing information increases, a preoccupation of Galbraith (1977) who suggests four alternatives to the bureaucratic approach which increase an organisation's capacity to process information (quoted by Child, 1984: 128). The one favoured by Galbraith as offering the greatest potential is the development of lateral relationships at appropriate points within the hierarchy accompanied by a complementary delegation of discretion to the people concerned.

Child advises against excessive reliance on any single integrative mechanism and concludes that the managements of the more successful organisations (i.e. in coping with uncertainty and turbulence) appear to secure integration through a portfolio of mechanisms rather than through simply adopting one approach and not others. (Ibid.: 131).

He also draws attention to the need for integrative mechanisms to achieve compatibility with the managerial culture(s) and distribution of power found within an organisation.

1.2.2 Control

Much the same advice is offered by Child for control strategies. He advocates the adoption of a portfolio of control strategies rather than just one (Ibid.: 139) and emphasises the micropolitical connotations of control.

1.2.2.1 Conflict, Power and Control

While the concepts themselves might not be well understood Child believes that there is nevertheless a growing appreciation of the fact that organizations in which people are employed are fundamentally structures of control and power. (Ibid.: 137). Conflict is seen to
be endemic in organisations and each control strategy needs to be directed towards different issues according to the degree of conflict or consensus involved ... . (Ibid.: 139). While ownership of strategic decision making confers on management an ability to control activities at the operational level such control is inevitably resisted given the in-built conflicts of interest between employees at top management, notably over resource management.

1.2.2.2 The Realities of Management Control

The realities of management control are seen to be less straightforward than the standard process model implies.

Figure 5: Standard Process Model of Management Control

There are difficulties with defining goals, establishing meaningful and acceptable standards of performance, measuring results and developing appropriate reward systems. Account has to be taken of the multi-dimensional aspects of control, notably: the range of matters to be dealt with (tangible and intangible); orientation (feedback or feedforward); philosophy (the level of supervision required or discretion permitted); and the range of criteria to be satisfied (eg. operational efficiency, integration, development, flexibility). Then there are the supporting policies required on recruitment, rewards and
the development of a cultural identity for the organisation.

1.2.2.3 Dimensions and Strategies of Control

Child presents four alternative strategies of control which involve making choices among three design dimensions. The three dimensions are Centralization/Delegation, Formalization/Informality and Supervision/Discretion, each of which is seen to be subject to contingencies among which size, technological complexity and environmental conditions (notably degree of stability/instability) appear to be the most significant, not least because of their impact on information processing. The four strategies presented by Child are:

1. Personal Centralized control.
2. Bureaucratic control.
3. Output control.
4. Cultural control.

(Ibid.: 159).

The more common constituents of each are listed by Child. Attention will be focused for the present purpose on cultural control since it is seen to be the one most appropriate to organisations offering professional services. Cultural control combined with personal autonomy to follow strongly internalised norms of competence and conduct has long been the mark of the professional. (Ibid.: 163, 164).

The rationale of cultural control is one of maintaining control by ensuring that members of an organization accept as legitimate, and willingly comply with, managerial requirements and requires common socialisation into a corporate culture and the ready acceptance of its values and beliefs. (Ibid.: 163).

1.2.2.4 Choice of Control Strategy

Child advises that the choice should be made with reference to the type of activities undertaken by the organization and to other
situational contingencies (Ibid.: 168), the most significant of which appear to be size, complexity and uncertainty. These and others are presented in a table which identifies the control strategies likely to be appropriate to particular contingent circumstances. The table is accompanied by a warning over its limitations, notably its inability to cope with the reality of multiple contingencies (Ibid.: 168). Alternative configurations demand different remedies. Cultural control is seen to provide management's best bet when unpredictability, complexity and the burden of information processing are all very high ... (Ibid.: 167).

1.3 The Task Contingency Approach

As already indicated this is the approach given greatest prominence in the literature. It concentrates on the tasks to be performed within an organisation and identifies environment, diversity, size, technology and type of personnel as the key contingencies. They are seen to have a direct influence on organisational performance so that structures which take due account of them are likely to promote a higher level of effectiveness than those badly matched to the contingencies. Organization structure is seen in this way to modify the effects of contingencies upon performance. (Ibid.: 218).

1.3.1 Environment

Contingencies relate to whether the environment in which the organisation is operating is variable and complex or stable and simple. The distinguishing features of a variable environment are uncertainty, discontinuity and unpredictability. By complexity is meant involvement in diverse sectors of the environment which makes for more extensive scanning and information gathering. Of the two variability is regarded as the more significant and the organisational design features identified by researchers as most appropriate to coping
Arrangements to reduce uncertainty - eg. by means of sophisticated search and information processing activities.

2. A relatively high level of internal differentiation - eg. by the employment of specialist staff for boundary or interface roles.

3. A relatively intense level of integration to be achieved less by formalised than by flexible and participative processes.

1.3.2 Diversity

This relates to an organisation's growth strategy and has links with complexity and size. Organisations which grow by diversifying produce or service range and extending into new markets are likely to become large and operate in a complex total environment. Research findings seem to support the adoption of divisionalisation as an appropriate structural response.

1.3.3 Size

An increase in size is generally accompanied by an increase in the extent of formalization and delegation. This increased bureaucratisation is seen by Child, on the basis of his own and other research, to be associated with high performance, especially in relatively stable environments. In less stable environments structural accommodation to increased size may be less important than coping with uncertainty. The precise trade off is difficult to measure where multiple contingencies apply.

1.3.4 Technology

Child finds difficulty both with the semantic confusion surrounding the term and also attempts to establish causal links between organisational performance and the closeness of fit between technology and organisational design. The findings of Woodward and others
concerned with the physical organisation of workflows is examined without finding a logic of adjustment to contingencies (Ibid.: 224) which accounts for good and bad performance. The most that Child is able to offer on the basis of his own researches is that the allocation of manpower in relation to technological requirements appears to improve performance. (Ibid.: 224).

1.3.5 Personnel

The general argument that organizations which adopt forms of structure consistent with the expectations and perceived needs of their personnel will tend to attract a greater contribution from them towards high performance is taken by Child to be a truism (Ibid.: 225). He gives particular emphasis to perceived needs and attaches great significance to different perceptions among different groups within an organisation which may be socio-cultural in origin, may relate to labour market conditions, may derive from the wider regional or national cultures or may originate with the technology.

1.3.6 Limitations

While Child acknowledges that the task contingency approach remains the dominant paradigm in the field of organisational design and believes it to be supported by a large body of research which appears to testify to its validity and practical utility he is anxious to point out the difficulties and limitations in the contingency approach which the practising manager should bear in mind (Ibid.: 225, 226). These are as follows:

1.3.6.1 Problem of Causality

Child finds that it remains very much an open question as to just how significant an influence on organizational performance the organisational design-contingency match really is (Ibid.: 227). The problem of evaluating research findings derives in part from the heavy reliance on cross sectional data and the neglect of longitudinal studies.
Another source of difficulty is the tendency to treat contingencies virtually as God-given constraints. This ignores the possibility that some organizations may be less dependent than others upon their environments, and in a more secure position with respect to maintaining their target levels of performance. (Ibid.: 227).

1.3.6.2 Presence of Multiple Contingencies at the Same Time
The presence of multiple contingencies presents the organisational designer wishing to adopt the task contingency approach with a serious design problem because the structural implications of each contingency are unlikely to be the same. Obtrusive intraorganisational inconsistencies are likely to arise if organisational design is matched too closely to multiple contingencies requiring structures and systems. That is not to suggest that intraorganisation variations are unacceptable. But where they are tolerated they are likely to promote conflicts and difficulties, not least of which is the achievement of integration.

1.3.6.3 Acceptance of Technical and Economic Rationalities
The task contingency approach sees the viability of an organisation in terms of the achievement of efficiency and neglects political realities. In order to remedy this deficiency Child presents his political contingency view.

1.4 The Political Contingency Approach
1.4.1 Child (1984)
Child draws attention to three main sources of political influence.

1.4.4.1 Managerial Preferences
Since it is senior managers and administrators who most obviously influence the choice of organisational design, their preferences represent an important contingency in itself. Preferences tend to be shown by senior managers for familiar solutions and precedents which reinforce the existing managerial culture and sustain the established distribution of power and status. While account may be taken by them
of task contingencies those inconsistent with managerial preferences may well be ruled out despite their relevance.

1.4.4.2 Market Conditions
These are seen to have a particular significance for the relative bargaining power of management and employees within a place of work. They are also seen to influence the way work is organised and the extent to which employees are subjected to detailed direct control or are permitted responsible autonomy. The former is associated with stagnant or declining product demand, highly competitive conditions, a preoccupation with cost control and a depressed labour market. The latter is linked with buoyant markets, high profits as long as delivery targets are achieved and a tight labour market.

Entry into the labour market can, of course, be controlled as it is by professional groups and crafts. Such control not only maintains a scarcity value for members but also permits, via professional codes of practice, a high degree of autonomy and self-regulation in the organisation of their work.

1.4.4.3 Political Context
This is the wider political context and embraces the economic system and legal framework within which organisations operate.

While Child offers the political contingency approach as an alternative to the task contingency approach other writers, closely identified with the latter, have sought to address the issues of conflict and power relationships within that perspective. This is not surprising given their view of organisations as decision making power systems interacting with their environments in conditions of uncertainty. (Ibid. 1974: 22).

Brief reference will be made to three articles by Hinings and various colleagues which offer interesting conceptual frameworks.
1.4.2.1 Strategic-Contingencies Theory of Intraorganisational Power (1971 and 1974)

The strategic-contingencies theory is an hypothesized theory of why power is differentiated in an organisational power system (Ibid. 1974: 40) and was published in the Administrative Science Quarterly in 1971. Power is seen to be a property of social relationships which are shaped by task differentiation.

... when organisations are conceived as interdepartmental systems, the division of labour becomes the ultimate source of intraorganisational power, and power is explained by variables that are elements of each subunit's task, its functioning, and its links with other subunits. (Ibid. 1971: 217).

The subunit is taken as the subject of analysis and intraorganisational power, which is defined as the determination of the behaviour of one social unit by another (Ibid.: 218), is viewed in terms of inter-relationships between subunits. More specifically, Hinings and his colleagues hypothesise that the power of subunits results from contingent dependencies among them created by unspecified combinations of coping with uncertainty, workflow centrality (immediacy and pervasiveness), and nonsubstitutability. (Ibid. 1974: 22). They have a particular interest in the combinations which bring these contingencies to strategic intensities, which differentiate power. (Ibid.). The four main hypotheses offered are as follows:

Hypothesis 1: The more a subunit copes with uncertainty, the greater its power within the organisation. (Ibid. 1971: 220).

Hypothesis 2: The lower the substitutability of the activities of a subunit, the greater its power within the organisation. (Ibid.: 221).

Hypothesis 3a: The higher the pervasiveness of the workflows of a subunit, the greater its power within the organisation. (Ibid.: 222).

Hypothesis 3b: The higher the immediacy of the workflows of a subunit, the greater its power within the organisation. (Ibid.).

Hypothesis 4: The more contingencies are controlled by a subunit, the greater its power within the organisation. (Ibid.).
It is the combination which matters. Individually the independent variables are each necessary but not sufficient for the control of strategic contingencies. The following diagrammatic illustration is provided by the authors, which in addition to drawing attention to other possible influences on intraorganizational power 'held equal' also demonstrates the impact of routinisation on coping (reduces uncertainty and therefore power) and on substitutability (increases substitutability and reduces power).

**Figure 6: The Strategic Contingencies Theory and Routinization**

The research task arising from the presentation of the theory was seen to be that of determining what combinations of values of the independent variables (hypotheses 1, 2, 3a and 3b) would allow hypothesis 4 to hold.
The findings of research conducted into 7 organisations, with four subunits per organisation, were published in the ASQ in 1974. The study revealed that coping with uncertainty was the most important influence on power with workflow immediacy, non-substitutability, and workflow pervasiveness following in order of significance.

Strongest support for the theory was seen to derive from the evidence that only a combination of high values on all the variables postulated gave dominant first-rank power. With this combination, the activities of a subunit become contingencies for other subunits, upon which they are critically dependent. (Ibid. 1974: 40).

While the strategic contingencies theory sets out to explain why power is differentiated rather than how a power system works within an organisation the authors believe it possible to use it for tracing the processes by which power is won. By way of illustration they offer the following two speculative and tentative models of power attainment (Ibid.: 41):

**Model A**

- division of tasks brings take opportunity to enter area of high uncertainty cope with uncertainty become powerful
- allocation of activities having high immediacy avoid substitutability (e.g. acquire special skills)
- simultaneously extend work links pervasively (undertake activities on which others may depend)

**Model B**

- take opportunity to enter area of high uncertainty cope with uncertainty become activities immediately become powerful
- coping decreases substitutability (e.g. it develops special skills)
- simultaneously extend work links pervasively

Figure 7: Tentative Outlines of Two Models of Power Attainment
In their conclusions the authors also take account of variations likely through time.

The theory indicates that different subunits will travel different routes to power at different times, as the circumstances in and around organizations change. Indeed, resistance to change or advocacy of change may derive from intuitive understanding of its impact upon power.

(Ibid.: 42).

1.4.2.2 Power and Advantage in Organisations (1981)

The paper bearing the above title was produced by Hinings and colleagues in response to critiques of the concept of power as applied to the study of organisations. Although not explicitly set within a contingency perspective it provides a valuable conceptual framework to add to the current section on political contingencies. The authors are preoccupied with the structure of organisational advantage (Ibid.: 137), that is, with the functioning of organisations as political systems in terms of who get what, how and when. Differentiation is identified as a major source of conflict and the difficulties of achieving corporate goals are highlighted. It is now commonplace that organisations, per se, do not have goals. What we call goals are the products of a process of interaction and negotiation within the organisation, and indeed across organisational boundaries. (Ibid.: 133).

The authors are concerned to develop a conceptual framework which copes with less obtrusive forms of conflict and political power as well as manifest decision making and overt conflict, which have traditionally claimed greatest attention. Drawing on the work of Bacharach and Baratz (1962, 1963, 1970), Lukes (1974) and Clegg (1975) they distinguish between one, two or three dimensional studies of power. The first involves the study of overt conflicts of interest. The second adds a focus on overt conflicts and potential issues. The third involves a focus on latent conflicts and real issues. More significant than the
use of open force and the achievement of victory in situations of manifest conflict is seen to be the prevailing or predominant set of values in an organisation. These provide the roles which govern thought and action in organisations and hence determine the distribution of advantage.

The authors develop their conceptual framework on the basis of a distinction made between values, interests and power. Confronted by a choice between an inclusive or restricted definition of values the authors choose the latter. More specifically, values are seen as commitments to key sets of ideas which act as yardsticks or criteria for the operation of an organisation (Ibid.: 137) and each set of ideas is likely to have structural and procedural implications expressed in organizational rules and structures. (Ibid.: 138).

Within organisations there will be groups of people who value differently what the organisation should be doing and the ideals which inform its actions. Such differences are seen to be particularly obtrusive in organisations employing professional groups who tend to hold strong views on autonomy, vocation, colleague control and other matters which are mobilised to legitimate specific purposes. The role of values in legitimating some actions and structures rather than others is seen to be particularly significant. They are expressed in patterns of organisational culture, which encapsulate preferences, desired ends, and structures for an organization. (Ibid.: 138).

While values relate to desires and preferences, interests involve notions of costs and benefits (Ibid.: 139). More specifically, interests are expressed through a motivation to enhance or defend a particular distribution of organizational resources. Defining interests in this way directs attention to the motivations, or lack of them, that they provide to action and to the understanding of the existence and operation of patterns of power and advantage. (Ibid.).
As there are competing sets of values within an organisation so there are competing interests. Hinings and his colleagues favour the distinction made by Alford (1975) between dominant interests (those engrained in the structure; such interests are served by being taken for granted as legitimate and questions about them rarely arise), challenging interests (which tend to arise at points of change when dominant interests are subject to challenge from alternative definitions of interest which get on the agenda and motivate new patterns of action), and repressed interests (those of which, objectively, the structure takes no account). (Ibid.)

The third of the triad of concepts chosen by the authors is power, which is expressed in terms of conflicts of values and interests.

More specifically power is the determination of outcomes by an individual or group in accordance with his/her or its values and or interests in the face of opposition from other individuals or groups with opposing values and/or interests. (Ibid.: 134).

Using the three key concepts the authors proceed to develop a model or typology of patterns of organisational action which categorises the types of situation in which conflict and the exercise of power are likely to arise. The typology is presented in summary form as follows:

**Figure 8: Patterns of Organisational Action based on Values and Interests**

<table>
<thead>
<tr>
<th>Interests</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Consensus</td>
</tr>
<tr>
<td>Motivation to pursue interests</td>
<td>Integrative resource bargaining (a)</td>
</tr>
<tr>
<td>No motivation to pursue interests</td>
<td>Harmony (b)</td>
</tr>
</tbody>
</table>

(Ibid.: 140).

It identifies six patterns of action which depend upon differences of interest (2 possibilities) and the degree of consensus on values (3 possibilities). The model sets out to demonstrate how the degree to
which power will be exercised in establishing and maintaining a given
distribution of organizational advantage will be different depending
on the status of interests and values in the organization. (Ibid.).

Each of the six possible patterns of organisational action is
considered in turn to identify the exercise of power required to reach
a decision in the first instance and then to maintain that position.
For pattern of action (a), for example, it is predicted that conflict
and the exercise of power will be present when decisions are made but
that once decisions are made they are likely to be accepted (although
a distinction is drawn between genuine and manipulated consensus) and
will not require the exercise of power to maintain the position
reached. Even in the three (c, e and f) where power and conflict are
most manifest, however, there are means of keeping conflict below the
surface and avoiding the exercise of overt power.

Anticipated reactions are strongly conditioned by past events, notably
the outcomes of past conflicts, which encourage a degree of fatalism.
Rules and standard operating procedures in this context are seen to
represent the memory of the organisation and means of avoiding
repetitions of past battles and the renegotiation of past decisions and
commitments. The influence of anticipated reactions is seen to be
strongest in pattern (c).

Another means of keeping the exercise of power in situations of
conflicting values and interests covert is the control of the agenda.
The process of exclusion, which ensures that dissident voices are
inaudible, can take several forms: the leaders of the dissidents may
be coopted; dissidents may be kept ignorant of where and when decisions
are to be made or their position may be discredited as lacking
legitimacy and in conflict with the corporate interest (whose legitimacy
is thereby reinforced). Such manipulation is seen to be most likely
Having presented the typology the authors stress the significance of context and the likely variations in conflict and the exercise of power both within and between organisations over time. Certain patterns of action inherited from the past may be more or less likely to produce value consensus or interest satisfaction. Some decisions, for example innovative and instructed decisions, are more likely to highlight differences of interest than others. Manifest conflict is most likely in those 'areas of discretion' where no precedents have been established and accepted and where there is no commonly accepted pattern of organisational operation. (Ibid.: 149).

1.5 Ansoff (1979)

The decision to consider further the insights offered by Ansoff at this point has already been explained (see page 166 above). Consideration will be brief since section 8 of Chapter 3 (see pages 66 to 73) sets out those aspects of the conceptual framework developed by Ansoff regarded by the Researcher as particularly relevant to his study. For the purposes of the interpretation to be conducted in Chapters 8-10 the following insights offered by Ansoff are seen to have a particular value.

1.5.1 Alignment and Correspondence

The ability of an ESO to cope with environmental turbulence is seen to depend on the degree to which its internal configuration in terms of strategic thrust, culture, managerial capability and logistic capability is in alignment with the level of turbulence. The key to survival and success is the ability to get properly tuned in to the environment.

1.5.2 Power and Aspirations

ESO's are viewed as multiple power centres. Strategic behaviour is determined through the interaction of these power centres each of which seeks to promote its own set of aspirations of the ESO. The
distribution of power influences both performance aspirations (notably
the levels of performance which provide a trigger for strategic change)
and behavioural aspirations (notably the degree of aggressiveness
displayed). Changes in aspiration levels are seen to be a function of
environmental conditions and the ambitions of controlling power groups.

1.5.3 General Management and Strategic Leadership
The diffusion of power is seen to create particular difficulties for
general management which exists to provide guidance and control in a
way which ensures survival and success. The exercise of strategic
leadership involves creating and winning support for a vision of the
organisation's future. Such a vision derives from the perceptions,
motivations and skills of general managers. Perceptions of the external
environment are influenced by the technology employed (forecasting
filter) and the cultural perspective (perception filter) adopted.
The technology available to support strategic leadership is seen to be
most inadequate for its psycho-social-political aspects. Skills in the
conduct of political processes, such as bargaining, conflict avoidance,
and conflict resolution are put at a premium. The greatest challenge
to strategic leadership, however, is in achieving cultural change, in
the form of an appropriate cultural mix rather than in a single cultural
stereotype.

1.6 Assessment and Use of the Contingency Approach
It will be evident from the space devoted above to the Contingency
Perspective, that the insights it provides are regarded as having
relevance and value in use for the interpretations to be undertaken in
Chapters 8-10. The perspective is seen to have particular relevance
for the examination of the designed or intended properties of
organisation, since what distinguishes the approach is an attempt to
relate organisational design, change and performance to contingent
factors producing good or bad fit. Implicit in the view that
contingencies are relevant and variable parameters for which allowance and adjustment in management practice and organizational design have to be made (Child, 1984: 217), are the assumptions that causal links can be established between contingencies and performance, and that management has the competence, will and power to achieve good fit by deliberate, systematic means. Both these assumptions, as will be demonstrated, are flawed and make it necessary to move beyond the contingency approach to contextualist analysis and the consideration of organisations as organised anarchies.

1.6.1 Problem of Causality
This takes pride of place among the difficulties and limitations of the task contingency approach which Child advises managers to keep in mind (see pages 173 and 174 above).

1.6.2 View of the Management Process and the Role of Management
In so far that the contingency perspective is preoccupied with the designed and intended, as compared with the emergent, properties of organisations, it must be primarily linked with a rationalist linear view of the management process and a 'heroic' or 'commander' view (Pettigrew 1984: 9) of the role of management. That is, an understanding of contingencies equips managers, acting for the organisation, to apply a well-directed intelligence to achieving intended outcome. The emphasis is on knowledge, capability, will, discretion, intention and the achievement of correct alignment or correspondence by conscious choice.

As will be shown in sections 2 and 3 below, such a view of conscious foresightful action reasonably autonomously constructed (Pfeffer 1982, quoted Pettigrew 1985: 22) whether rationalist or incrementalist, is challenged by the contextualists and garbage can theorists. They treat strategy not as output but process. Strategy formulation is
seen, in varying degrees, to be an iterative multilevel process with
decision outcomes emerging not merely as a product of rational
or boundedly rational debates but also as shaped by the interests
and commitments of individuals and groups, the forces of bureaucratic
momentum, gross changes in the environment, and the manipulation of
the structural context around decisions (Pettigrew, 1985: 441).
Strategies emerge as reconstructions after the fact, rather than just
rationally intended plans (Ibid.). Taking this view, the focus of
attention is on the political and cultural elements of process, the
understanding and tactical skills displayed by managers, informed
opportunism, and the part played chance.

2. THE CONTEXTUALIST PERSPECTIVE

2.1 Introduction

It will already be evident from Chapter 1 that this perspective,
particularly the version developed by Pettigrew, has exerted a
profound influence on the approach to and conduct of the present
study. In Chapter 1 it provided an ontological, epistemological
and methodological underpinning for the study. It is not intended
to consider these aspects of the contextualist perspective further
at this point except, and then only briefly, when they arise as
issues in a critical review of the literature (see section 2.2, below).
Attention will be focused on the analytical framework developed by
Pettigrew and its power in application, which was most recently
tested by him in a major longitudinal study of ICI (Pettigrew, 1985).
Heavy reliance is placed on this text supported by additional papers
based on the same study (Pettigrew, 1983a, 1983b and 1984) together
with an earlier paper on the creation of organisational cultures
(Pettigrew, 1977).
It is intended to place almost exclusive reliance on Pettigrew's version of the contextualist perspective, the one exception being the treatment of vertical relationships within an organisation. In view of the work undertaken by Becker and Kogan (1980) on the education sector and educational institutions, particularly that relating to levels within the internal and external environments and the significance of cultural norms, an indication will be given of how their model may be employed to supplement the treatment of vertical relationships recommended by Pettigrew. Apart from this reference to Becker and Kogan, therefore, in 2.7 below, the material in the remainder of this section will be derived from Pettigrew.

2.2 Critical Review of Existing Dominant Perspectives

Brief reference has already been made in Chapter 1 to the reservations held by Pettigrew over the limited, method-bound frames of reference dominating organisational analysis. It is worth giving further, albeit brief, consideration to these criticisms because they indicate what issues Pettigrew seeks to address and the position which informs his approach to organisational analysis in general and the study of strategic change in particular.

The criticisms which emerge from his review of the literature on Organisation Change and Development, Strategic Choice and Change, and Organisation Theory and Behaviour may be subsumed under two main headings.

2.2.1 Limited Frames of Reference

As with so many other areas in the social sciences the empirical findings and theoretical developments in the field of organisational change are method-bound. For as long as we continue to conduct research on change which is ahistorical, acontextual, and aprocessual, which continues to treat the change programme as the unit of analysis and regard change as an episode divorced from the immediate and more distant context in which it is embedded, then we will continue to develop inadequate
theories of change which are ill-composed guides for action.

(Pettigrew, 1985: 15).

Pettigrew is particularly concerned about the dearth of studies which go beyond the analysis of change and begin to theorise about changing. (Ibid.).

It follows from the above that contextualist analysis should be historical, processual and contextual and thereby provide adequate theories of change and well-composed guides for action.

2.2.2 Rational Linear Problem Solving

The neglect of context and of the role played by powerful groups within them has, in Pettigrew's view, produced a situation in which myths abound and are perpetuated about rational problem solving processes of formulating and then in a linear fashion implementing strategic change conducted by all-seeing and presumably omnipotent chief executives or general managers. (1984: 8).

It is the reliance placed by conventional approaches on highly rational and linear theories of process to drive their models which limits their explanatory power and value as a guide to action. (1985: 16).

Thus as applied to the development of business strategy the rational approach describes and prescribes techniques for identifying current strategy, analysing environments, resources and gaps, revealing and assessing strategic alternatives, and choosing and implementing carefully analysed and well-thought-through outcomes. This rational picture of business problem-solving has as its concern the content or what of strategy - the outcome which is sought - and has nothing to say at an explicit level of how to achieve that outcome. In other words it has no process theory within it of how and why to create strategic outcomes so perceptively and logically derived from the analysis of competitive forces. (1985: 19).

A major preoccupation of the contextualist, therefore, is to rescue research on strategic choice and change from its habitual focus on rational analytical schemes of intentional process and outcome, and
to see decision making and change in a variety of process modes. (Ibid.). Even so, Pettigrew warns against making an 'easy lunch' of the rational/analytical rabbit and acknowledges the rationalist element in contextualist approaches and in those aspects of real life decision processes which can be interpreted in rational problem solving terms. (1983b: 12).

2.3 View of Change and Choice of Process Mode

2.3.1 View of Change

Change is seen as a consequence not just of problem-solving processes, or of the weight of technical evidence and analysis, or even just managerial drives for efficiency and effectiveness, though on the surface the custom and practice of persuasion may dictate that initiatives for change are publicly justified in the above ways. Rather changes are also a product of processes which recognise historical and continuing struggles for power and status as motive forces, and consider which interest groups and individuals may gain and lose as proposed changes surface, receive attention, are consolidated and implemented, or fall from grace before they ever get off the ground. (1985: 27).

Such a view naturally directs the contextualist towards a choice of process modes giving prominence to the political and cultural aspects of change. Before moving on to choice, however, attention needs to be drawn to the reference made in the quotation to the place of rationality in the custom and practice of persuasion and its significance for public justification. This appears to the Researcher to have echoes of Stewart's domain of justification (see Chapter 4, page 107) and will be picked up again in the final chapters.

2.3.2 Choice of Process Mode

Pettigrew issues a warning, which is repeated, against the choice of singular theory of process or of social and organisational change.
But, as has been indicated, the view of change adopted naturally leads to a choice of process modes which give prominence to the political and cultural dimensions of change. Even so, the aim is not to simply substitute planned, rational linear theories with political process theories. The task is to identify the variety and mixture of causes of change, to examine the juxtaposition of the rational and the political, the quest for efficiency and power, the role of exceptional men and of extreme circumstances, the untidiness of chance, forces in the environment, and to explore some of the conditions in which these mixtures occur. (Ibid.: 24).

The conceptual framework which Pettigrew develops is designed specifically to perform the above task. It is founded on the conviction, confirmed by his study of ICI, that theoretically sound and practically useful research on strategic change should involve the continuous interplay between ideas about the context of change, the process of change, and the content of change, together with skill in regulating relations between the three. Formulating the content of change crucially entails managing its context and process. (Ibid.: 19).

2.4 Conceptual Framework

2.4.1 Levels of Analysis

The contextualist sets out to specify some of the language and conditions to link the multilevel analysis and processual analysis of organisational phenomena in what may be called a holistic, contextualist analysis. (Ibid.: 35). The key to contextualist analysis lies in tracking the interactions between levels through time. (Ibid.: 37).

2.4.1.1 Vertical (Multilevel) Analysis

The vertical level refers to the interdependencies between higher or lower levels of analysis upon phenomena to be explained at some further level, for example, the impact of changing socioeconomic
context on features of intraorganisational context and interest
group behaviour. ... (Ibid.: 35, 36).

2.4.1.2 Horizontal (Processual) Analysis

The horizontal level refers to the sequential interconnectedness
between phenomena in historical, present and future time. (Ibid.: 36).

2.4.2 Prerequisites

A wholly contextualist analysis is required to satisfy the following
prerequisites (Ibid.: 36, 37):

a) A clearly delineated, but theoretically and empirically
connectable set of levels of analysis.

b) A clear description of the process or processes under examination.

c) A motor, or theory, or theories to drive the process, part of
which will require a specification of the model of man underlying the
research ...... strong emphasis will be given both to man's capacity
and desire to adjust social conditions to meet his ends, and the part
played by power relationships in the emergence and ongoing development
of the processes being examined.

d) Recognition that processes are both constrained by structures
and shape structures, either in the direction of preserving them or
altering them.

2.4.3 Diagramatic Representation (Figure 9)

context  process  outcome
variability  variability  variability

outer context 1

inner context 2

3

(Ibid.: 37).

The figure demonstrates, in simplified form that there are three basic
elements to contextualist analysis; the process component, the context
component, and the outcome component of the process under investigation. (Ibid.: 38). It is the task of the contextualist to posit and establish relationships between context, process and outcome, especially relationships between variability in context, variability in process, and variability in outcome.

2.4.4 Process Modes: Political and Cultural

The theoretical core which drives Pettigrew's version of contextualism is developed by combining a political and cultural view of process. This is described in some detail by Pettigrew in the texts already referred to and at the risk of considerable oversimplification an attempt will be made to summarise its main features.

2.4.4.1 Organisations as Political Systems

a) Focus of attention: directed at the factors which facilitate and hinder change and to the reasons why political energy is often released within the firm at even the prospect, never mind the reality, of change. (Ibid.: 42).

b) Evolution of political processes: they evolve at the group level from the division of work within the organisation, and at the individual level from associated career, reward and status systems. (Ibid.).

c) Formation of interest groups: they tend to form around the particular objectives, responsibilities, and intentions of functions or business areas ..... differences between groups at hierarchical levels or around collectivities ..... and issues of the day. (Ibid.).

d) On-stage and back-stage decision-making: issues may reach centre stage or may be supressed and left in the wings. Pettigrew shares the concern shown by Hinings et al (see page 179 above) over the neglect of hidden conflict and the covert exercise of power and refers to similar authorities, notably Lukes (1974) in an analysis of what he refers to as overt and unobtrusive power. (1984: 3-6).
Overt power is employed in situations of overt confrontation, with the aim of defeating opposition. Unobtrusive power is used before overt confrontation occurs with the explicit aim of preventing it. The former will tend to rely on resource interdependencies, while the latter will usually employ more symbolic sources of power. It is not inconceivable, however, that resources such as expertise and information may be used to prevent opposition from arising, while symbolic power such as myth may be used to discredit active opponents. (Ibid.: 5).

e) Competing rationalities: interest groups are likely to have different rationalities - i.e. goals, time orientations, values and problem-solving styles which provide the motive forces for their actions and reactions, along with the language and styles of behaviour to express those actions. (1985: 42). Change processes in organisations may be seen in terms of shifts among competing rationalities. The emergence of a dominant rationality is always subject to intra-organisational and environmental changes. (Ibid.: 43).

f) Impact of change: change invariably produces, to a greater or lesser degree, a shift in the existing distribution of resources and of power. Politics therefore breeds in organisations in times of change as political energy is released to defend the status quo or to promote a new order. Political activity is likely to be at its most volatile not so much at the implementation of changes but during decisions to go ahead with change. (Ibid.).

g) Power resources and their use: the nature and extent of political activity depends not only on the relevant stage in the change process but also the awareness of the actors of the implications of the changes proposed, their access to power resources, and their tactical ability to use both awareness and power resources to good effect in
the prevailing circumstances. Differential access to material and structural resources influences the amount of leverage conferred through dependency relationships .... Those who successfully possess and control these scarce resources are the powerful. Among the most important power resources are the control of information, political access, expertise, assessed stature and credibility, the control of equipment, the control of rewards, punishments, symbols and legitimacy, and the ability to cope with uncertainty, prestige and status .... These power resources if possessed, controlled and successfully mobilised enable actors to prevail in the face of competition and conflict. (1984: 3).

2.4.4.2 Politics as the Management of Meaning and the Concept of Legitimacy

References already made to the symbolic use of power and the control of symbols and legitimacy encourage a view of politics as the management of meaning. Such a view provides the overlap for Pettigrew between political and cultural analyses of organisations. A central concept linking political and cultural analysis is legitimacy. The management of meaning refers to a process of symbol construction and value use designed both to create legitimacy for one's actions, ideas and demands, and to delegitimise the demands of one's opponents. (1985: 44). The concepts used for analysing the processes of legitimisation and delegitimisation, namely symbolism, language, belief and myth, are also the family of concepts central to cultural analysis.

2.4.4.3 Cultural Analysis

a) Nature and significance of culture: in order for people to function within a given setting, they must have a continuing sense of what reality is all about in order to be acted upon. Culture is the system of such publicly and collectively accepted meanings operating for a given group at a given time. (Ibid.).
b) **Culture as a family of concepts**: treated as a unitary concept, culture seems to Pettigrew to lack bite. He therefore recommends an approach which explores the role that symbolism, language, belief, and myth play in creating practical effects. *(Ibid.)*

Of the four symbol is the most inclusive category not only because language ... and myth are forms of symbolism but because symbolic analysis is a frame of reference, a style of analysis in its own right. *(1977: 12, 13).* The definition favoured by Pettigrew is the more neutral anthropological one such as is provided by Cohen (1974).

Symbols are objects, acts, relationships or linguistic formations that stand ambiguously for a multiplicity of meanings, evoke emotions and impel men to action. *(Ibid.: 13).* The potency of a symbol, particularly in times of change is often associated with its ambiguity. *(Ibid. 14).*

Language is to be seen not only as a platform for expressing thoughts, categories and concepts, it is also a vehicle for achieving practical effects ... Socially built and maintained, language embodies explicit exhortations and social evaluations. By acquiring the categories of language we acquire the structured 'ways' of a group, and along with the language, the value implications of those ways.

Within an organisation's vocabulary may be found institutional and political coordinates. *(Ibid.).*

As has already been demonstrated, different interest groups within an organisation have sets of beliefs about the social world and how it operates which amount to competing ideologies or rationalities. Reference has also been made to the relationship between ideologies and the processes of legitimation and power acquisition. Ideologies are likely to play a significant role in the early, formative years of an organisation because they have the potential to link attitude and action and are likely to contain justification for such pragmatic
concerns as how is the organisation to be structured, what are its goals, activities, and in what way are the process of recruitment and leadership to be handled? (Ibid.: 15, 16).

Myths are reconstructions of the past which contain a narrative of events often with a sacred quality which explore in dramatic form issues of origin and transformation. In so doing they anchor the present in the past, offer explanations and, therefore, legitimacy for social practices and contain levels of meaning which deal simultaneously with the socially and psychologically significant in any culture. (Ibid.: 18). Myths may be used to justify the past and reinforce the solidarity and stability of an organisation or may be used to expose the gap between the desired and present condition of the organisation and to further sectional interests.

c) The creation of organisational cultures: new organisations (such as institutions created by merger, for example) present particularly interesting case studies for cultural analysis since they provide a setting for the study of the processes by which new beliefs, rules and a culture develop and are translated into structural and expressive forms. Of particular interest is the way purpose, commitment and order are initially given to an organisation and the role played by a leader, or management team, in their achievement, notably through the management of meaning. (Ibid.: 6).

The problems which initially confront an organisation (goal setting and attainment, adaptation to and control over the environment, internal integration and social control and problems of generating and maintaining the commitment of the organisation's members) are usually tackled by designing appropriate structures, systems of roles and technologies and through the acquisition and use of various resources. In making such choices the organisation's leadership
system is laying down some of the cornerstones of that organisation's culture. But culture is both constituted and constituting and may act as a determinant or constraint on the way further attempts to handle issues of purpose, integration, control and commitment are handled. *(Ibid.: 19, 20).*

By commitment is meant the willingness of participants to give energy and loyalty to an organisation, to be affectively attached to its goals and values and thereby to the organisation for its own sake, apart from its purely instrumental worth .... the role of commitment mechanisms is partly at least to disengage the person from some of his pre-existing attachments and to redirect his system of language and beliefs and the patterning of his social relationships towards the organisation's needs and purposes. *(Ibid.: 21, 22).* One such mechanism is the creation of a vision for the organisation which will state the beliefs, perhaps implying a sacredness of quality to them, use a distinctive language to define roles, activities, challenges and purposes and in so doing help to create the patterns of meanings and consciousness defined earlier as organisational culture. *(Ibid.: 22).* The impact of a vision is likely to be affected by the credibility of its source, the form and processes by which it is communicated and its stylistic components, notably the language in which it is expressed. A vision endorsed by the organisation becomes an ideology. Myth also plays a part in generating and sustaining commitment.

The mechanisms generating commitment are also relevant to control and the relationship between commitment and control is a subtle one. Drawing on Perrow (1974), Pettigrew considers four types of controls, personal, bureaucratic, remote and unobtrusive. *(Ibid.: 27).* Of the four the first and last are likely to feature most obviously in a new organisation. By personal controls is meant obtrusive, direct
surveillance through personal contact and unobtrusive controls refers to socialisation into the various goals, ideologies and operating styles of the organisation. (Ibid.: 27, 28).

2.5 Empirical Studies

Contextualist analysis is both informed by and illuminates the empirical study of organisations. As Pettigrew has pointed out (1983a: 16), while it may have the appearance of an intendedly rational strategy his version of contextualist research has largely emerged from a distillation after the fact of his studies into decision making processes. Indeed he would wish to claim no more from it than an inarticulate reflection from practice, an idealised view never to be completely realised, and certainly to be tuned according to the vagaries and surprises of different contexts. (Ibid.). In view of the importance of the ICI study to Pettigrew's highly articulate reflections from practice, brief reference will be made to two sets of findings regarded by the Researcher as particularly significant for the present study, namely those which relate to patterns of change and to the role of management.

2.5.1 Patterns of Change

Pettigrew identifies a distinctive pattern of change in ICI which is to be considered further in Chapter 13 when his findings, together with his adaptation of Johnston's (1975) four stages in the natural process of change will be related to the Researcher's analysis of change in the College of Higher Education. For the present purpose attention need only be drawn to the conclusions reached on the pattern and timing of strategic changes. The ICI study is seen to provide confirmation both of the waxing and waning of particular strategies in the firm, and for changes to tend to occur in radical packages interspersed with longish periods of both absorbing the impact of revolutionary action, and then coming to terms with the
fact that further changes are eventually necessary. Crucial to the timing of such radical actions are real and constructed crises ..... changes in leadership and power, and the transformation of organisational ideologies. (1985: 447).

2.5.2 The Role of Management
The insights provided by contextualist analysis are intended to provide the basis for managerial action and an indication has been given, as appropriate, of their practical significance for management, in the course of describing contextualism. What follows is an attempt to highlight some important empirical findings linking theory and practice.

2.5.2.1 Shared Perspective
The manager and the contextualist both see the world of practice in terms of uncertainty, complexity, instability, uniqueness, and value conflict. Both maybe interested in the multiple meaning of events, the placement of acts in contexts, the recognition that situations of practice can be unique and that practice has to do with finding problems through detailed immersion in contexts, as well as solving problems so found. (1983a: 25).

2.5.2.2 Value of Understanding Context
He who understands the political and cultural system of his organisation, and the impact of changing economic and social trends on the emergence and dissolution of old issues, values, and priorities, and the rise of new rationalities and priorities, is at least beyond the starting gate in formulating, packaging and influencing the direction of organisational change. (Ibid.: 23).

2.5.2.3 Managerial Process and Action
This is identified as the real problem of strategic change and involves signalling new areas for concern and anchoring those signals in issues
for attention and decision, of mobilising energy and enthusiasm in additive fashion to ensure that new problem areas found and defined eventually gain sufficient legitimacy and power to result in contextually appropriate action. (1985: 453).

2.5.2.4 Exploiting Natural Processes

Success in achieving strategic change is seen not in terms of interventions which seek to impose outcomes on the organisation but rather as keying into the natural processes of inertia and change going on in an organisation and its context. The practice question is thereby posed less in terms of how can this change project or proposal through whatever form of political agility or 'authentic' process be foisted on this system, and more in terms of how can existing processes be speeded up, the conditions that determine people's interpretations of situations be altered, contexts mobilised to achieve practical effects, along the way to move the organisation, perhaps additively, in a different direction? (1983a: 24).

2.6 Problems

As with any analysis of process, contextualism is not without its problems. Two receive special attention from Pettigrew.

2.6.1 Linking Process to Outcome

Political and cultural explanations of outcome can too easily end up as tautologies. There is a need to go beyond, for example, the inference that the power enjoyed by an individual or group derives from the possession of particular power resources and to demonstrate how the possession and tactical use of a power resource is connected to the achievement of a practical outcome. This is a formidable task since back-stage as well as front-stage decision-making has to be taken into account. (1985: 45).

2.6.2 Measuring Success and Failure

This is seen to be an intractable, hotly debated, issue. Pettigrew identifies the problems associated with the use of survival as a
measure of success and considers illusory or pseudo success which may take the form of apparent successes which prove, over time, to be empty of meaning, slipstreaming or tagging along, or fortuitous outcomes arising from an unforeseen constellation of circumstances. Finally there is the question of whose concept of success or failure does the analyst take, and when does he ask the question? Pettigrew suggests in answer to his own question that the analyst has to scrutinise with care the stated attitudes and underlying perspectives of each of the interested parties, and to let the data speak for themselves through as many channels and contexts, and over as long a period of time as possible. (Ibid.: 50).

2.7 Becker and Kogan (1980)

While the model developed by Becker and Kogan might be regarded as an alternative conceptual framework in its own right, it is not intended to assign that role to it. For the present purpose it is employed to supplement the contextualist model described above, particularly as it relates to the identification of levels within the higher education system and the interactions within and between them. Although described as a structural model (Kogan: 1984) it shares many of the preoccupations and methods of contextualist analysis, as will be demonstrated from the brief description offered below.

2.7.1 The Neglect of Context

Becker and Kogan believe that the neglect of context and failure in particular to appreciate the dominant norms of individuals or departments, has been responsible for many wasteful, frustrating, ineffective and counter-productive attempts to institute new policies. (1980: 3). They draw attention to several examples of change introduced into the public sector, including the reorganisation of local government and the NHS, where functions have been carefully specified in the operational mode but in which the values underlying
the work at different levels have been taken for granted, and hence ignored. (Ibid.: 180). They deplore the resulting dislocation between what people hold in esteem and the tasks they are required to perform and conclude that sound governance lies in knowing and taking account of the tribal customs in the hinterland, not brushing them aside or trampling them underfoot. (Ibid.: 3, 4).

The model which they develop sets out to clarify basic structures and to illuminate underlying processes in higher education.

2.7.2 The Model

The conceptual framework is presented as a structure of thought, a kind of conceptual mapping, rather than as a model in the positivist sense. It is to be regarded as a system of notation within which to spell out ideas and findings, hunches and categorical assertions about the workings of the enterprise and of its component elements, about the interactions between the parts and about their respective relationships with the whole. (Ibid.: 20). In essence it is an eight cell matrix linking 4 levels in the Higher Education system to 2 modes of organisational - in this instance academic - life.

The complete model is illustrated, as follows: (Ibid.: 19).

![Figure 10: Completed Model of Levels and Modes](image-url)
2.7.2.1 Structural Levels in the Higher Education System

Levels, of which there are four, are to be seen as denoting different functions within the system, and not as categorizing particular entities: the same individual or corporate group might be identified as performing a role at one level, and at another time, a different role at another level. (Ibid.: 21).

a) Central Level: Consists of various national and local authorities who have overall charge of the system, that is they collate the demands of society on the HE system in terms of consumers (potential students and employers) and sponsors (the tax paying public and elected representatives) and ensure that the demands are met to an acceptable degree.

b) Institutional Level: the individual institution is defined by law (e.g. as embodied in its Instrument and Articles of Government) and by convention (i.e. through its various decision-making bodies) is expected to assume responsibility for maintaining and developing a collective character, style and reputation, incorporating but reaching beyond those of its constituent basic units, to respond to internal and external demands by the initiation of new units and new programmes, and to collate values and monitor procedures in constituent units.

c) Basic Unit Level: the precise nature of the basic unit is likely to vary between institutions and may be a subject-based department or a school of study. It is likely to have academic responsibility for identifiable courses or groups of courses, its own operating budgets and some discretion in disposing of them, some choice in recruiting students and professional colleagues, and to engage in collective research activities. Its main responsibility is to respond to and maintain academic norms within its particular field of relevance.
d) **Individual Level**: consists of students and teaching and non-teaching staff. Teaching staff claim most attention because of their role in shaping academic, institutional and curriculum policy. Their values are separable from, though comprising part of the basic unit.

### 2.7.2.2 Modes

While conceptually distinguishable the two modes are not sharply separated in practice. The distinction is essentially a matter of perspective and is not intended to imply the existence of two separate systems.

a) **Normative Mode**: relates to the monitoring and maintenance of values within the system as a whole. *(Ibid.: 13)*.

b) **Operational Mode**: refers to the business of carrying out practical tasks at different levels within the system. *(Ibid.)*.

Put another way the operational mode consists of what people are institutionally required to do and the normative mode of what they count as important (i.e. priorities, preoccupations and loyalties).

### 2.7.2.3 Linkages

a) **Between modes at different levels**: for the normative mode relationships involve appraisal and judgement while those for the operational mode relate to the allocation of resources, responsibilities and tasks.

b) **Between modes at each level**: they may be in-phase (dynamic equilibrium) or out-of-phase (iminent breakdown). The removal of tension and the restoration of equilibrium involves some form of developmental change. Of the two the normative mode is expected to exercise dominance over the operational since, as a general rule, when there is a clash between what people do and what their basic values are, then the values will affect the actions more strongly than the actions affect the values. *(Ibid.: 18).*
2.7.3 Applications of the Model

Both the model and its applications are acknowledged by the authors to relate to the existing state of higher education at the time of writing and they set out to identify sources of tension at each level and the problems of achieving dynamic equilibrium. They have a major preoccupation with evaluation of performance, patterns of accountability and their conversion into procedures for action. Institutions are viewed as mixes of \textit{hierarchy and collegium} (\textit{Ibid.: Chapter 5}) and the authors find a variety of mixes whose relative proportions change over time. It is at the basic unit level that they find the greatest strengths and resilience for it is here that values are set, operations are shaped and relationships with the outside world largely determined.

3. ORGANISATIONS AS ORGANISED ANARCHIES

3.1 Introduction

As there was an overlap between the Contingency Approach and Contextualist Analysis, so there is an overlap between the latter and studies of organisations which treat them as organised anarchies. The version to be employed for the present purpose is that devised by the Carnegie School, the originators of 'garbage can theory', and reliance will be placed on the texts produced by Cohen and March in 1974 and by March and Olsen in 1976. They directly address the issue of the intended and emergent properties of organisations, more specifically institutions of higher education, and seek to develop a conceptual framework grounded in empirical research linking theory and practice, and offering managers of HE institutions a guide to action or inaction. It is the emphasis on inaction and the view of top managers as primarily victims, together with the context-specific nature of their empirical findings, which draws reservations about
the garbage can theory from Pettigrew. He believes their view of
the anarchic properties of organisations to be overstated and that
there is greater consistency and continuity of action, clearer
beliefs in self and group interest and action derived from those
interests, and generally firmer cause-effect attributions in
connecting perceptions, information, interests and preferences to
actions and outcomes than is implied by the garbage can theorists.

(1985: 22, 23). Even so Pettigrew acknowledges the valuable insights
provided by the Carnegie School and contextualism shares many of their
methods and preoccupations not least of which are the focus on context,
the challenge to the rational linear view of decision-making and the
concern to provide managers with a contextually-based understanding
capable of guiding their actions, or inactions. It was the wish to
provide the presidents of American universities with such an under­
standing, in a changing and turbulent environment, which prompted
the report on LEADERSHIP AND AMBIGUITY prepared by Cohen and March
(1974). The conclusion they reached was that for a president to be
most effective as a leader he needed to be aware of the ambiguity
which generally surrounded decision making, together with the
ambiguity of his own role and to regard the university as an organised
anarchy. All organisations are seen to confront elements of ambiguity
in decision making but for some it is a dominant condition. In
particular, ambiguity is a major feature of decision making in most
public and educational organisations. (March and Olsen 1976: 12).

3.2 Characteristics of an Organised Anarchy

An organised anarchy is seen to exhibit the following general
properties:

1. Problematic goals. It is difficult to impute a set of goals
to the organization that satisfies the standard consistency
requirements of theories of choice. The organization appears to
operate on a variety of inconsistent and ill-defined preferences. It
can be described better as a loose collection of changing ideas than as a coherent structure. It discovers preferences through action more often than it acts on the basis of preferences.

2. **Unclear technology** Although the organization manages to survive and (where relevant) produce, it does not understand its own processes. Instead it operates on the basis of a simple set of trial-and-error procedures, the residue of learning from the accidents of past experiences, imitation, and the inventions born of necessity.

3. **Fluid participation** The participants in the organization vary among themselves in the amount of time and effort they devote to the organization; individual participants vary from one time to another. As a result, standard theories of power and choice seem to be inadequate; and the boundaries of the organization appear to be uncertain and changing.  

(Ibid.: 3).

This view, it is acknowledged, creates considerable problems for describing, understanding and managing an HE institution. It needs a theory to drive it. The one provided is the 'garbage can' theory.

### 3.3 Garbage Can Theory

#### 3.3.1 Objective

It attempts to capture some of the features of organizational behaviour that appear as pathologies within familiar notions of choice and tries to make them understandable in theoretical terms. *(March and Olsen, 1976: 26).*

#### 3.3.2 Requirement: Three Clusters of Interrelated Theoretical Ideas

The three identified are as follows:

1. **A modified theory of organisational choice**

   Such a theory will need to be contextual in the sense that it reflects the ways in which linkages in the complete cycle of choice are affected by exogenous events, by the timing of events, by the varieties of ways in which participants wander onto and off the stage. It will need to be structural in the sense that it reflects ways in which stabilities can arise in a highly contextual system. *(Ibid.: 22).*

2. **A theory of organisational attention**

   Such a theory should treat the allocation of attention by participants as problematic ..... and ..... must attend to the elements of rational
choice in attention allocation, to the importance of learning to the
modification of attention rules, and to the norms of obligation that
affect individual attention to alternative organisational concerns.
(Ibid.).

3.3.2.3 A theory of learning under conditions of organisational
ambiguity

The complete cycle is implicitly a theory of learning. What happens
when the cycle is incomplete? What is a possible perspective on the
development and change of belief structures? (Ibid.).

The authors tackle each one in three stages. First they consider the
established rational, analytical approaches. Second, they expose
their limitations in the face of ambiguity. Third, they provide an
alternative theory of process capable of coping with ambiguity. In the
brief outline which follows (again at the risk of serious over­
simplification) attention will primarily be given to the third.

3.3.3 Decision Making in Organised Anarchies

3.3.3.1 Choice Opportunity viewed as garbage can

The key to understanding decision processes is to regard a choice
opportunity (i.e. any occasion on which an organisation is expected
to make a decision) as a garbage can into which various problems and
solutions are dumped by participants. (Ibid.: 26).

3.3.3.2 Streams

A decision is an outcome or an interpretation of the following four
relatively independent streams which flow into the garbage can:

a) Problems Problems are the concern of people inside and outside
the organisation. They arise over issues of lifestyle; family;
frustrations of work; careers; group relations within the organisation;
distribution of status, jobs, and money; ideology; or current crises
of mankind as interpreted by the mass media or the nextdoor neighbor.
All require attention. Problems are, however, distinct from choices;
and they may not be resolved when choices are made.

b) Solutions A solution is somebody's product. A computer is not
just a solution to a problem in payroll management, discovered when
needed. It is an answer actively looking for a question. The creation
of need is not solely a curiosity of the market in consumer products;
it is a general phenomenon of processes of choice. Despite the dictum
that you cannot find the answer until you have formulated the question, you often do not know the question in organisational problem solving until you know the answer.

c) **Participants** Participants come and go. Since every entrance is an exit somewhere else, the distribution of "entrances" depends on the attributes of the choice being left as much as it does on the attributes of the new choice. Substantial variation in participation stems from other demands on the participants' time (rather than from features of the decision under study).

d) **Choice Opportunities** These are occasions when an organisation is expected to produce behaviour that can be called a decision. Opportunities arise regularly and any organisation has ways of declaring an occasion for choice. Contracts must be signed; people hired, promoted, or fired; money spent; and responsibilities allocated. (Ibid.: 25, 26).

3.3.3.3 **Confluence**

While the streams are relatively rather than entirely independent of each other, the confluence which produces organisational choice is regarded as somewhat fortuitous. It is a highly contextual event, depending substantially on the pattern of flows in the several streams. (Ibid.: 27).

3.3.3.4 **Organisational Structure**

Attention is focused on those aspects of organisational structure that specify rights to participate in a choice opportunity. Such rights are necessary, but not sufficient, for actual involvement in a decision. (Ibid.). They are better viewed as invitations to participation which may or may not be accepted. Invitations extended to individuals constitute a decision structure while those extended to problems or solutions constitute an access structure. In both cases three modes of organisation participation rights are distinguished, unsegmented, hierarchical, and specialized, (Ibid.: 27-31) on the basis of which predictions may be made about the confluence of streams. Hierarchy, specialization, the distribution of information, agenda-building, and the allocation of authority are viewed as devices for regulating the
connections between the four streams. (Ibid.: 32).

3.3.3.5 Implications

For the present purpose, interest lies less with the results of the computer simulation used to explore complex interactions within the garbage can model, which revealed eight major properties of garbage can decision processes, than with the general insight provided into organisational phenomena traditionally regarded as isolated and pathological. What emerges most significantly is that although the processes within the garbage can are understandable and in some ways predictable, events are not dominated by intention. The processes and outcomes are likely to appear to have no close relation with the explicit intention of actors. (Ibid.: 37). It is also evident that the garbage can process is better at exercising problems than at resolving them. Indeed it may be better regarded as a model of argumentation than as a model for decision making. The manifest processes of choice are procedures for exercising problems as much for solving them. The argumentation or exercise of problems often has an effect. It helps form the normative background against which individuals and groups act. (Cohen and March, 1974: 93).

3.3.4 Attention

Explanations of how attention is allocated under conditions of ambiguity, that is who is attending to what and when, have two major components.

3.3.4.1 Set of Structural Constraints

These are contained in the written and unwritten rules of an organisation which are conspicuous features of any choice situation. Such rules, viewed as attention structures, may be placed into the same three categories as decision and access structures, and their operational significance explored in much the same way. The instrumental justification for an attention structure hinges on the benefits to be gained from collective decision making. These are generally assessed
in relation to interdependencies, distribution of competences and
distribution of values and resources. (Ibid.: 42, 43). Variations
in each result in variations in attention structures. Ambiguity has
the effect of significantly reducing the instrumental justification
for attention structures and of throwing into high relief symbolic,
educational, and traditional factors (Ibid.: 43) which influence the
discovery and communication of meaning. The primary meanings
associated with attention structures are those connected to personal
identity and status and those connected to ideology and causal maps
of the world. Access to choice under conditions of ambiguity becomes
more significant for what it tells about a person’s position than
for the instrumental contribution to be made.

3.3.4.2 Distribution of Attention

Three themes are employed to interpret the allocation of attention to
decisions within structural constraints.

a) Attention as rational action: from this perspective attention
is treated as a scarce resource and consideration is given to its
opportunity cost. Some people will not be there by choice; they have
better things to do. (Ibid.: 45). The decision how best to allocate
scarce time in a rational manner will involve calculating the marginal
gain to be gained, in terms of the individual’s values and self
interest, and the opportunity cost involved. It is predicted that
people who attend to a decision will be disproportionately those (a)
for whom the outcome makes a difference, (b) who anticipate that their
attention will make a difference. (Ibid.: 46). Much will also depend
on competing arenas and competing objectives. (Ibid.). It can be
seen that even a relatively rational view of attention makes decision
outcomes highly contextual.

b) Symbols associated with the decision process: involvement in
decision processes depends not only on the outcomes which it is
expected to produce but also the pleasures which may derive from the process itself. The distribution of attention cannot be understood without some serious concern for the way in which it is connected to the educational, ideological, and symbolic role of choice situations in organizations. (Ibid.: 45). The decision process provides opportunities for the allocation and acknowledgement of status, the collection and earning of goodwill, the exercise and reinforcement of ideology, the exchange of information and for training. Such a view helps to explain the absence of distress at the failure to achieve substantive outcomes. Because the main concern and pleasure are in the symbolic content of the debate and the education rather than in the implementation of the policy. (Ibid.: 47).

c) Attention as obligation: the first two views are seen to underplay the importance of duty, tradition, and routine. Particularly under conditions of ambiguity, self-interest becomes less clear as a base for action and less powerful as a theory of action. We need to consider the extent to which attention is a duty accepted by virtue of one's role and managed by routine classificatory rules. (Ibid.: 45).

According to this view time is not so much allocated by decisions as by socialization into and acceptance of roles and by the connection to routine procedures. (Ibid.: 49). Such a view helps explain the tendency to adopt a short-term perspective, provides a major source of decoupling in the decision cycle and accounts for an important element of stability.

To the above analysis is added two complications, the potential for augmenting attention within a fixed time budget (eg. by representation, barter or threat of attention) and the problem of interdependence among participants. One person's time allocation is a factor in another person's allocation. (Ibid.: 52)
3.3.4.3 **Implications**

Complexity is very much in evidence. Attention is seen to involve simultaneous claims in many different arenas and calculating both substantive and symbolic costs and benefits. *(Ibid.: 52)*. This makes prediction extremely difficult but helps explain the acceptance of routine rules. Organisational actors allocate attention in large part according to standard operating procedures associated with concepts of duty, role and obligation. Their behaviour becomes less complex than the situation through the imposition of standard attention rules. Since the rules are contingent ones, the result is still heavily dependent on the flow of events within the broader context. *(Ibid.)*.

The analysis also exposes limitations on attempts to improve administrative action by means of deliberate executive action.

3.3.5 **Learning**

3.3.5.1 **Processes of Organisational Intelligence**

Two are identified: rational calculation and learning from experience. The limits of rationality are seen to have been much better rehearsed in the literature than the cognitive and evaluative limitations on organisational learning. While it is accepted that organisations adapt their behaviour in the light of their experience the problem lies with how that experience is interpreted. A model of the learning process requires some ideas about the imputation of meaning and structure to events. *(Ibid.: 59)*.

3.3.5.2 **Adaptation under Conditions of Ambiguity**

Four broad categories of ideas are identified. These are information exposure, memory and retrieval; earning incentives; belief structure and the micro development of belief. *(Ibid.: 59, 60)*. Only one is treated in depth, namely belief structure, and the elaboration is designed to illustrate the kind of considerations that are regarded as important. The focus of attention is on the basic properties of the
process by which conceptions of reality might be affected by experience in an organisational setting. (Ibid.: 61). The concern is with how people in organisations come to believe what they believe, rather than the ultimate validity of different beliefs.

3.3.5.3 Belief structure: seeing, liking and trusting

The interdependencies explored are those which produce consistency. An organisation is considered to consist of individuals characterised by varying patterns of interaction, degrees of trust, degrees of integration and orientation to events. (Ibid.: 63). Explorations of variations in each throw up four propositions about seeing and liking (Ibid.: 64, 65), and six propositions that reflect the dynamics of balancing within the organisation of life for each participant. (Ibid.: 66).

Taken together these propositions suggest a view of reality forming that emphasises the impact of interpersonal connections within the organization and the affective connection between the organization and the participant on the development of belief, as well as the interaction between seeing and liking. (Ibid.).

3.3.5.4 Implications

Again the analyst is confronted by complexity. The conceptual framework developed is seen to assist in the interpretation of some of the more subtle aspects of changes in belief over time. An understanding of the factors affecting learning from experience is regarded as important for the improvement of policy making in an organisational context as well as a necessary part of the full cycle of organisational choice under conditions of ambiguity.

3.4 Theory and Practice

As has already been indicated the context in which the garbage can theory was developed and to which it was originally applied was higher education in the USA and Scandinavia and both the 1974 and 1976 texts seek to link theory and practice by reference to illustrative case
material. For the present purpose attention will be restricted to insights having particular significance for the Researcher.

3.4.1 Correspondence Between Context and Models of Choice

As has been indicated the garbage can theorists have a preoccupation with decision making under conditions of ambiguity and find it necessary to expose the limitations of the rational, analytical orthodoxies in order to establish that conditions normally regarded as pathological are in fact normal. They have no desire, however, to dispense entirely with alternative perspectives and illustrate conditions under which three models of choice are likely to provide a useful understanding of organisational events. It is assumed that each has its own place depending on the nature of the organisational situation and the kind of phenomena we wish to understand. (Ibid.: 83). The following advice is offered on matching models to context.

3.4.1.1 Rational decision (entrepreneurial) models

These models emphasise the intellectual aspects of choice and the linking of means to ends. They are regarded as particularly appropriate for a situation in which relatively few participants of the organization are activated and where the definition of the decision situation (i.e. which values, beliefs, and procedures are relevant) is stable and not too complex. (Ibid.: 85).

3.4.1.2 Conflict resolution (coalition-bargaining) models

These models emphasise the socio-political aspects of choice and the resolution of conflict. They are regarded as particularly appropriate to a situation where several relatively part-time participants are activated, where the group of participants is relatively stable, where there is agreement over the issues involved in the choice, but where there is disagreement over the values that should be used to resolve the issues. (Ibid.).
3.4.1.3 Artifactual (non-decision) models

These models view outcomes as the unintended product of processes having dynamics of their own. "Decision" in these models is a post factum construct produced by participants or onlookers. Events happen, and if they are afterwards described in a systematic fashion as decisions, it expresses more man's ability to form post factum theories of his own behaviour than his ability to make goal oriented decisions through established structures and processes. (Ibid.: 83).

The models are regarded as particularly appropriate in a situation where both activation and definition of the situation are changing, where several participants are activated (in generating solutions, testing solutions and reacting), where the definition is complex, involving many values and decision-making variables, so that the situation is difficult to analyze and it is difficult to see and compare the consequences of the existing alternatives.

3.4.2 Management of HE Institutions

3.4.2.1 Choice of Model

Given the pervasiveness of ambiguity within them, HE institutions are regarded as particularly appropriate contexts for artifactual decision models. They are seen to display the five distinguishing properties of decision-making in organised anarchies.

1. Most issues most of the time have low salience for most people. The decisions to be made within the organization secure only partial and erratic attention from participants in the organization. A major share of the attention devoted to a particular issue is tied less to the content of the issue than to its symbolic significance for individual and group esteem.

2. The total system has high inertia. Anything that requires a coordinated effort of the organization in order to start is unlikely to be started. Anything that requires a coordinated effort of the organization in order to be stopped is unlikely to be stopped.
3. Any decision can become a garbage can for almost any problem. The issues discussed in the context of any particular decision depend less on the decision or problems involved than on the timing of their joint arrivals and the existence of alternative arenas for exercising problems.

4. The processes of choice are easily subject to overload. When the load on the system builds up relative to its capabilities for exercising and resolving problems, the decision outcomes in the organization tend to become increasingly separated from the formal process of decision.

5. The organization has a weak information base. Information about past events or past decisions is often not retained. When retained, it is often difficult to retrieve. Information about current activities is scant. (1974: 206, 207).

3.4.2.2 Conspicuous variables relevant to the study of decision-making in universities

Four are identified:

a) **Time**: this is the time taken to reach a decision, which is regarded as an independent variable, itself a critical feature of a decision affecting both process and outcome.

b) **Slack**: incorporates both organisational slack and managerial slack. Interest is focused on the effects of different degrees of slack on the activation and definition processes.

c) **Style**: represents the alternative ways in which organisations react to choice opportunities. Three are identified which correspond to the three model sets described above, namely entrepreneurial style, political style and non-decision style. The choice of style has particular significance for the achievement of legitimacy.

d) **Load**: relates to external demands made on participants. Interest is focused on the consequences of variations in the average attention load on participants.

3.4.2.3 Leadership

Leaders, notably college presidents in the USA, are provided with eight tactical rules on the basis of garbage can theory. More specifically
they are advised to:

a) spend time
b) persist
c) exchange status for substance
d) facilitate opposition participation
e) overload the system
f) provide garbage cans
g) manage unobtrusively and

3.4.2.4 Planning

The mismatch between belief, models of choice and the imperatives of context are seen to be particularly obtrusive in relation to planning. At best plans are seen to represent lists of what Santa Claus might bring, at worst fantasies neither believed in or intended to be believable. (Ibid.: 114).

Organised anarchies are seen, by definition, to be antipathetic to corporate planning in any meaningful sense. That is not to say, however, that the planning process lacks utility. Such utility as planning provides, however, relates to plans viewed as symbols (which compensate for the absence of 'real' feedback data), advertisements (i.e. a prospectus addressed to resource providers), games (played mainly in the domain of justification) and excuses for interaction (provide an arena for exchange of ideas on a host of problems and issues, including views about the organisation's future). (Ibid.: 114, 115).

3.4.3 The Emergent Properties of Decision Making and the Role of Chance

Frequent reference has been made to the several ways in which sense and order are achieved after the event, how intention follows rather
than precedes action and how outcome emerges from the particular constellation of circumstances prevailing at any one time. The role which chance plays in producing the constellation is seen less in the sense of a purely random element than in the sense of a critical branch which represents one among a family of possible scripts which might be followed. (1976: 132, 133). In assigning a role to chance, therefore, attention should be focused on elements that produce branching within the possible scripts.
PART III: LONGITUDINAL STUDY

INTRODUCTION

As the title indicates, the study is concerned with the impact of corporate planning on the management of a College of Higher Education during a period of increasing uncertainty and environmental turbulence. The period of study is divided into three phases considered to represent the 'before', 'initiation of change' and 'after' phases. The change referred to is, of course, the introduction of a corporate planning system, an innovation of sufficient magnitude to qualify for the description strategic change. Particular attention is given to the circumstances surrounding the establishment of the college as a merged institution in 1975, the experience of the first two formative years and the introduction and operation of the corporate planning system. Each of the three central chapters (8, 9 and 10) falls into two sections, a description followed by an interpretation. It is intended that the description should be as neutral as possible and capable of confirmation by reference to minutes, reports, discussion papers and similar documentary evidence. Even so, description involves selection and has to be presented in a form amenable to interpretative analysis. The basis of selection is as follows. In the College of Higher Education the corporate planning system was designed to be hierarchical and iterative, requiring interaction between different levels within the organisation and between the organisation and its external environment. As a result, therefore, attention is focused on the roles of the Board of Governors, Senior Management, the Academic Board and its Sub-Committees, including the Faculty Boards, their interactions within the organisation and their relations with key influencing agents in the external environment. This approach also commends itself to the Researcher because of its compatibility with the chosen interpretive set. The three interpretive frameworks which make up the chosen set - Contingency, Contextualist and Garbage Can - are intended to represent both relatively
'hard' and relatively 'soft' approaches to organisational analysis, although the versions chosen ensure that they are not mutually exclusive. Indeed the review conducted in Chapter 5 demonstrated that there were overlapping boundaries between them. This is particularly the case if the hard/soft dimension is seen to relate not only to ontology, epistemology and methodology, which Schon distinguishes in terms of Technical Rationality versus the Epistemology of Practice (Schon: 1983), but also to the designed or intended and emergent properties of organisations. The Contingency Approach is identified with efforts by managers to regulate organisational performance by intention and design, that is by achieving good fit between the organisational arrangements which determine the way tasks are performed and the realities of context, which may relate not only to task contingencies but also to sources of conflict and the exercise of power. Considerable responsibility is seen to fall on organisational designers since there are no blue­prints available and success hinges on the exercise of judgement in the achievement of good fit. Even so, the manager is not portrayed as victim. In so far that appropriate correspondences are attainable and as long as managers possess the requisite insights, skills and authority, good fit may be achieved by deliberate, systematic means. Taken to its extreme form Garbage Can Theory presents a view of managers, particularly the top managers of higher education institutions, as victims. Everything is post factum. Outcomes are seen to emerge from the particular constellation of circumstances which surround a decision opportunity and to be unpredictable. Such a view offers little scope to intention and technical rationality. The contextualist rejects both views while acknowledging the valuable insights provided by each. Managers are regarded neither as heroes nor victims. Organisations are not considered to be beyond management.
Many outcomes are seen to emerge by default rather than design and it is acknowledged that versions of reality are frequently constructed post factum. But these features of organisational life simply reflect the complexities confronting managers rather than entirely disable them. What is required above all, therefore, is an awareness of complexity and an understanding of context, notably its micropolitical and cultural dimensions. Armed with such knowledge and a willingness and ability to exploit it, managers may intervene with purpose. Such interventions as they may choose to make are to be regarded not so much as the determined impositions of managerial will but rather as the skilful exploitation of forces latent or already at work in the organisation. Managers, aware of the interactions between context, process and outcome through time are more likely to be alert to the opportunities created in the internal and external environments, both fortuitously and by design, to nudge the organisation in a particular direction.

The three interpretive frameworks which constitute the chosen set are seen, therefore, to offer both distinctive and shared insights. The latter will be particularly evident when the political and cultural dimensions of process are under examination.

The central chapters are preceded by two and followed by one. The first, Chapter 6, makes explicit the perspective to be adopted in conducting the longitudinal study and falls into two sections. Section A presents the chosen interpretive set, that is the Researcher's adaptation of the three frameworks examined in detail in Chapter 5. Section B subjects the Researcher to close examination and draws upon the model of the reflective practitioner developed by Schon (1983). Consideration is given to the Researcher as Reflective Practitioner, Participant and Observer and an assessment is made of the influence of the research project on role performance, modes of reflection and outcomes. The second, Chapter 7, provides a synoptic view of the ten-year period and focuses on the major
sources of uncertainty and turbulence with which college managers had to cope and the means devised by them, notably corporate planning, for coping. The opportunity is taken to outline the major changes which occurred in Higher Education during the period of study.

The concluding chapter of Section III, Chapter 11, takes into account independent assessments of Chapters 6-10 by three members of staff, including the Principal, the aim being to test for partiality.
CHAPTER 6: PERSPECTIVE

SECTION A: THE CHosen INTERPRETIVE SET

1. INTERPRETIVE FRAMEWORK 1: CONTINGENCY

The focus of attention is on the designed and intended features of organisation. The interpretive framework directs attention to the following.

1.1 Organisational Purpose

This is reflected in the range and nature of tasks performed.

1.2 Organisational Design

Particular interest will be taken in the formal properties of structures and process which relate to differentiation and integration, and accountability and control.

1.3 Task Contingencies

Four are considered: environment, size, technology and personnel.

1.4 Political Contingencies

As has already been indicated (see Chapter 4, page 152) the study of the politics of organisations is acknowledged to be conceptually and methodologically problematic (Hoyle, 1982: 96). An indication has been given in the introduction to Part III that shared insights and common ground are most likely to be found when the political dimensions of process are under examination. In view of the above the opportunity will be taken at this juncture to present a vocabulary of organisational politics which is not exclusive to the contingency perspective but is transferable between all three interpretive frameworks. Even so, the terms and concepts do not have equal currency and it will become evident from their use which are considered to be most relevant to each interpretation.

The generic vocabulary presented below is derived from the sources considered in Chapter 5, supplemented by the work of Bacharach and Lawler (1980), Baldridge et al (1978) and Hoyle (1982).
1.4.1 Political Model of Decision-Making

The decision-making process, particularly as it involves policy decisions, is seen to resemble a political struggle, that is, interest groups are formed, power strategies and influence tactics are employed, coalitions are constructed, pressure is brought to bear, and viable compromises are negotiated. Over time a pattern of decision-making emerges which both reflects and is responsible for the creation of power structures, which tend to remain in existence until undermined by events.

The use of such a model to map the events surrounding strategic decision-making is likely to direct attention toward: the process of goal setting and conflict over values; change processes and the adaptation of the organisation to its internal and external environments; sources of conflict and means of conflict resolution; the role of interest groups and the mobilisation of influence; and the processes by which authority and influence are translated into policies and actions.

1.4.2 Power and Conflict

The study of the politics of organisations is primarily concerned with the exercise of power in resolving conflict. Power is embedded in social relationships involving dependence and the use of sanctions and rewards. Power may be overt and reveal itself in open conflict or may be covert or unobtrusive in which case it is likely to be found 'back stage' or 'excluded from the agenda'.

1.4.3 Definitions of Power

The following are considered a useful and complementary set of definitions:

a) the probability that one actor within a social relationship will be in a position to carry out his own will, despite resistance, and regardless of the basis on which this probability rests. (Weber, 1947).

b) the realistic capacity of a system-unit to actualize its interests within the context of a system-interaction and in this sense exert influence on the processes of the system. (Parsons, 1956).
c) the determination of outcomes by an individual or group in accordance with his/her or its values and/or interests in the face of opposition from other individuals or groups with opposing values and/or interests. (Hinings et al, 1981: 134).

1.4.4 Authority and Influence

These represent the content or contextual manifestations of power. Authority is officially legitimised power which derives from an individual's or a group's formal position within an organisation. Authority is exercised when position in the organisation confers the right to make a final decision. It relies on the last resort on the ability to apply sanctions, is unidirectional and involves a zero-sum outcome. Influence derives from several possible sources and is legitimised to the extent that it is acknowledged and allowed to influence outcomes. Influence may be exercised by anybody irrespective of position, is multidirectional and involves a non-zero sum outcome.

Of the two, influence is regarded as the more significant in organisational politics. Even so, the formal aspects of structure and the authority conferred by them remain important.

1.4.5 Bases and Sources of Power

The bases provide the means for exercising power and the sources indicate how the bases are acquired. Four bases and four main sources are identified by Bacharach and Lawler (1980: 36) which are linked to authority and influence as follows:

**Figure 11: Relationships of Sources, Bases and Types of Power**

<table>
<thead>
<tr>
<th>Source</th>
<th>Type</th>
<th>Bases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Structure</td>
<td>Authority</td>
<td>Coercion</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Remunerative</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Normative</td>
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<tr>
<td></td>
<td></td>
<td>Knowledge</td>
</tr>
<tr>
<td>Personality</td>
<td>Influence</td>
<td>Normative</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Knowledge</td>
</tr>
<tr>
<td>Expertise</td>
<td>Influence</td>
<td>Normative</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Knowledge</td>
</tr>
<tr>
<td>Opportunity</td>
<td>Influence</td>
<td>Coercion</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Knowledge</td>
</tr>
</tbody>
</table>
What is particularly striking about the above is the pervasive presence of knowledge.

1.4.6 Limits of Power

By definition, authority is circumscribed since it is lodged in the formal structure of the organisation. Structure both confers power, by providing access to power bases, and constrains it by delineating the limits of authority. The three main dimensions of circumscription seen to apply to authority are **domain** (the number of units or individuals under the control of a superior), **scope** (the range of behaviour or activities controlled), and **legitimacy** (beliefs in the appropriateness of the authority structure). Of the three legitimacy is regarded as the most important since compliance with authority is seen to depend, above all, on perceptions and beliefs. While legitimacy has equal relevance for influence it is less easy to assess given the absence of official sanctions and problems of cognitive evaluation.

1.4.7 Interests, Interest Groups and Interest Sets

Conflicts of interest and values are built into organisations by differentiation. But in addition to the interests attached by workplace location and role (regarded as particularly significant for managers) other forms such as personal (e.g. autonomy, status, territory), professional (e.g. commitment to particular forms of practice) and political (e.g. commitment to an ideology or membership of a party) interests may be identified.

Although individuals may seek to promote their own interests they are likely to do so more effectively in collaboration with others who share a common concern. When the collaboration is relatively enduring, as is likely to be the case with formal organisational groupings, it is possible to speak of an interest group, which may be distinguished from interest sets, a looser association of individuals who collaborate only infrequently when a common interest arises. The latter are likely to
transcend formal boundaries.

Interested parties are found outside the organisation as well as within it and may exert a powerful influence on outcomes. Reference has already been made to Thompson's 'organisational set' (see Chapter 2, page 44) among which regulatory groups will be shown to exert considerable authority and influence over HE institutions.

1.4.8 Coalitions

These are alliances of interest sets or groups which band together to achieve a common goal. The inducement to join forces, rather than rely on the leverage which they already possess, is likely to depend on technology, work resources and uncertainty; environmental uncertainty and boundary spanning; the coincidence or conflict of interest between ideology and functional goals; opportunities for communication; and retaliatory capacities. Given the characteristics of HE institutions, notably their unclear technology and their dependence on professionals, it is expected that they will display interest group politics rather than coalition politics. (Bacharach and Lawler, 1980: 88).

1.4.9 Bargaining

Bargaining is identified as a primary means of resolving conflict, although it may also be employed as an integrative device to tackle a mutually troublesome issue or joint problem. Tacit bargaining is acknowledged to be as important as explicit bargaining with both characterised as a game of information exchange and manipulation. Bargaining tactics, according to this description, consist in impression management and information manipulation aimed at adjusting degrees of dependence; more specifically in reducing dependence on an adversary and increasing the dependence of an adversary. Impression management and the willingness to make concessions are likely to be linked to the aspiration levels of the protagonists. The higher the aspiration levels, the tougher the bargaining is likely to be.
2. **INTERPRETIVE FRAMEWORK 2: CONTEXTUALIST**

The focus of attention is on both the intended and emergent features of organisation. The interpretive framework directs attention to the following.

2.1 **The Interactions Between Levels Through Time**

*Vertical analysis* requires the examination of interdependencies between the central level (represented by the local education authority, the DES, the Welsh Office, HMI, the Regional Advisory Committee, and validating bodies such as CNAA, the University of Wales and BTEC), the institutional level (represented by the Board of Governors and the Academic Board), the basic unit level (represented by the Faculties) and the individual level (consisting of students and teaching and non-teaching staff).

*Horizontal analysis* tracks the interactions between the above over a given period of time, in this instance 1974 to 1984 subdivided for the purpose of analysis into three sub-periods.

2.2 **Process of Strategic Change**

This is the major preoccupation of contextualist analysis which is concerned with the relationships between context, process and outcome, especially relationships between variability in context, variability in process, and variability in outcome.

2.3 **Political Process Mode**

As has already been indicated the contextualist draws on the generic vocabulary presented in section 1.1.4 above. He has a particular interest in:

a) unobtrusive power;

b) competing ideologies;

c) conflict surrounding the contemplation of change and decisions to introduce change;

d) power resources and their use; and

e) the management of meaning and legitimacy.
2.4 **Cultural Process Mode**

This mode shows an interest in **legitimacy** which is seen to provide an important conceptual link between political and cultural analysis of organisations. Cultural analysis proceeds from a view of **culture as a family of concepts** and invites an examination of the role played by **symbolism, language, belief and myth** in creating practical effects. New organisations present rich settings for cultural analysis. Of particular interest is the way **purpose, commitment and order** are initially given to an organisation and the role played by **leaders** in their achievement.

2.5 **Patterns of Change**

In seeking to identify discernable patterns of change consideration will be given to:

a) **incrementalism and purposive rationality**;

b) **the impact of real and constructed crises**;

c) **changes in management personnel**;

d) **shifts in power**, and

e) **transformations in organisational ideologies**.

3. **INTERPRETIVE FRAMEWORK 3: GARBAGE CAN**

The focus of attention is on the emergent features of organisation. The interpretative framework directs attention to the following.

3.1 **Incidence and Levels of Ambiguity**

Particular interest will be shown in the degree of ambiguity surrounding **mission and goals, technology, participation and leadership**.

3.2 **Choice Opportunities Viewed as Garbage Cans**

An assessment will be made of how far the decision-making process corresponds to the garbage can metaphor. More specifically, attention will be given to:
3.3 Participation and Attention

Consideration will be given to:

a) decision, access and attention structures; and

b) the distribution of attention and the extent to which it is determined by rational action, symbolic significance or obligation.

3.4 Belief Structures

Belief structures are seen to be particularly relevant to adaptation and learning within organisations. Particular significance is attached to the way members of an organisation attach meaning and structure to events. For the purpose of identifying belief structures the organisation will be viewed as a collection of individuals and groups characterised by varying patterns of interaction, degrees of trust, degrees of integration and orientation to events.

3.5 Conspicuous Variables

Four variables are identified as having particular relevance for the study of decision-making in HE institutions:

a) the time taken to reach a decision;

b) organisational slack;

c) style of decision-making (or non-decision-making); and

d) the load on potential participants and the subsequent effect on attention patterns.

3.6 Organisational Leadership

All three interpretations will have implications for top management and these will be explored for each time period. In so far that organised
anarchies are seen to demand styles of leadership which differ significantly from other organisational settings special interest will be taken in the apparent self-image of the Principal as reflected in actions or in-actions.

SECTION B: THE RESEARCHER

4. THE RESEARCHER AS REFLECTIVE PRACTITIONER

In view of the significance of the roles of the Researcher as ethnographer and key participant in the change process being studied, it is felt necessary to subject both roles to general scrutiny before proceeding with the longitudinal study. The kind of critical reflection to be attempted has been both encouraged and assisted by Schon's REFLECTIVE PRACTITIONER (1983). In many ways what is being attempted in the dissertation might be described as an extended reflective conversation with an unique and evolving situation characterised by turbulence and uncertainty. This is by no means fanciful given the correspondence between the contextualist perspective and 'reflective practice' as described by Schon. Certainly this is the view of Pettigrew (1983 (a): 3-7, 25) who draws very strong parallels between his own version of contextualism and Schon's approach. The obtrusive correspondence between Schon's method and the present research study will be further considered in the concluding chapter of the dissertation. Attention will be limited for the present purpose to those elements in Schon's analytical framework which are seen to help tackle the task in hand.

As Schon has pointed out the reflective manager's professional life is concerned with an organisation which is both the stage for his activity and the object of his inquiry (Ibid.: 242). It is therefore difficult to separate his role as active participant from that as reflective observer/researcher. Despite the inevitable overlap between the two, merit is seen in treating them separately with the emphasis in the one instance on the Researcher's predisposition to acquire roles and perform
them in particular ways and emphasis in the other on his predisposition to perceive and reflect upon organisational life through particular interpretive lenses. Merit is also seen in examining the extent to which the research project itself had an influence on role performance and modes of reflection. The convention of referring to the Researcher in the third person is employed as an aid to reflective conversation.

5. THE RESEARCHER AS PARTICIPANT

5.1 Background

The following aspects of the Researcher's background are regarded as significant.

He was brought up in a Welsh Nonconformist family where the work ethic and the public service ideal figured prominently in the scale of values. Their influence is reflected in a willingness to accept positions of responsibility, both within and outside the working environment, and to devote considerable energy and commitment to them. The positions generally combined leadership, representational and administrative roles. They also frequently satisfied what might be described as the 'tribune of the people syndrome', that is a propensity, frequently shared by people of similar background, to assume responsibility for protecting and representing the interests of others. Among other important attributes nurtured by upbringing and education were achievement motivation and an earnest belief in the power of intellect, energy and will to solve problems, however daunting they might at first appear.

5.2 Early Career in the College and Involvement with the Merger: 1963-1975

The Researcher was appointed to the College of Technology as a Lecturer in Economics in September 1963 and moved up through the ranks to become a Principal Lecturer in 1973. This advance was achieved in recognition of contributions made to departmental administration, course and curriculum development and research.
From the outset of his career he took an active interest in the corporate life of the college being a member of its Academic Board and Board of Governors and holding office from time to time in the college branch of the ATTI. Although not originally one of the staff representatives on the Merger Working Party he became involved as the result of his election to branch office, during the final stages of discussions. He had been fully implicated in discussions on the merger, however, both in the branch (see Appendix S1, a discussion document prepared by him) and at the Joint Academic Board. During this critical period he was also Secretary to the County Liaison Committee of the ATTI and led negotiations with the Authority over the implementation of new national conditions of service, applicable to the Colleges of FE and the proposed new College of HE. These followed upon a period during which difficulties were experienced with the Authority over the creation of appropriate negotiating machinery and the granting of exclusive negotiating rights to the ATTI. They were eventually overcome, as were other difficulties, some involving the proposed College of Higher Education, all of which served to enhance the authority and influence of the ATTI in the County.

5.3 Head of School: 1975-1977

Following upon the merger the Researcher was appointed Head of the School of Business and Legal Studies in the Faculty of Management and Administration. In addition to the duties acquired with the post he continued to take responsibility for general faculty administration, an arrangement made with the Principal of the College of Technology when he was originally appointed Principal Lecturer, which allowed the new Head of the Department of Management to concentrate his energies on course development and promotion. While Head of School he continued to be heavily implicated in the corporate life of the college as member of the Academic Board and Board of Governors. With the national merger of the ATTI and ATCDE he became Secretary of the College Co-ordinating Committee of NATFHE and remained Secretary of the County Liaison Committee.
5.4 Dean of Faculty: 1977-1980

This appointment was won in the face of strong competition from another Head of School in the faculty who had industrial experience which the Researcher lacked (having started his career as a schoolteacher). Although convinced on the basis of his administrative experience and knowledge of the faculty and college that he was the man for the job, he nevertheless felt a strong need to prove his worth. Starting from the premise that a Faculty of Management and Administration should practise what it preached he proceeded to introduce, with the advice and support of his senior colleagues, including his defeated rival, a series of innovations and reforms designed to establish a deliberative, open, participative and self-critical style of management. Not only did the new Dean believe that he should practise what he preached in his own patch, he also believed that a Faculty of Management had a duty to lead by example and contribute to college-wide organisational and management development.

The manifestations of these intentions at faculty and corporate level will be described in sufficient detail not to require further elaboration. What is striking is the way in which the need to find convincing responses to CNAA created opportunities for the Dean to take the college in the direction he was already taking his faculty. The process of finding solutions brought him into co-operative working relationships with colleagues who had previously viewed him chiefly as critic and adversary. The enthusiastic endorsement by CNAA in February, 1979 of the Sub-Committee Structure and Planning Cycle, greatly enhanced his stature with senior colleagues, notably the Principal who was invited to become a member of CNAA National Council and discovered as the result of his membership of panels undertaking institutional reviews that, while having strong currency, the philosophy and technology of corporate planning were rarely as firmly established or as extensively
institutionalised as in his own college.

As soon as he became a senior manager, the Researcher relinquished all union offices and duties of his own volition and directed the same energy and commitment to his managerial role.

5.5 Assistant Principal 1980-

As will be demonstrated (see page 570) the Researcher was considered to be largely self-selecting for the academic post created following the death of the previous holder (who had also been Clerk to the Governors and Head of Administration). There was an obtrusive correspondence between the job description prepared by the Principal and the portfolio which the Dean of the Faculty of Management (R) had on offer. A major responsibility included in the job description was the development and oversight of the corporate planning system. His roles, responsibilities and task performance, particularly in the context of corporate planning, will therefore be subject to scrutiny in the chapters which follow. For the present purpose attention will be turned to the values and theories in use which informed his perceptions of the organisation and of his own roles within it.

6. THE RESEARCHER AS OBSERVER

6.1 Reflective Practice

It will be evident from the nature of the present research study that the Researcher developed a strong propensity to reflect critically upon the organisational settings in which he operated and on his own and the performance of others within them. The reflective interest in corporate planning was sharpened by his membership from 1978 of the Local Area Health Authority which he identified as an organised anarchy before becoming familiar with the terminology of the Carnegie School. What was particularly striking was the discrepancy between the design specifications of the reorganised NHS, on which the Researcher conscientiously did his homework prior to and during his first years of
membership, and its mode of practice. Nowhere was this discrepancy more evident than in the field of planning. An elaborate, interactive corporate planning system, based on PPBS principles, was devised by McKinsey and Co. for the DHSS/Welsh Office, which greatly impressed the Researcher on first acquaintance but which manifestly failed to achieve its purposes in the field. Inclined initially to find fault with organisational behaviour, notably an obtrusive absence of purposive rationality, the planning system escaped largely unscathed apart from its obvious tendency to over-elaboration. It soon became increasingly evident to the Researcher, however, that this innovation as with those introduced into local government, took inadequate account of context and the ability of managers at the operational level, constrained as they were by complex cultural and micropolitical forces, to deliver according to designers' expectations.

Given his involvement with two live organisational settings, both amenable to reflective conversation, in which corporate planning was intended to play a prominent role (in the case of the College of Higher Education as the result of his own intervention), the Researcher's original intention was to undertake comparative longitudinal studies of the two enterprises. A major literature search on NHS management and analysis of documentary evidence in the form of minutes, reports and discussion documents generated within the Health Authority was completed before the Researcher became fully aware of the daunting scale of a comparative study and the need to confine attention to a single organisation. Even so, the work done on the NHS was not wasted and, as will be indicated in the concluding chapter, the set chosen for interpreting context during the ten year period in the College of Higher Education could equally well have been applied to a parallel period in the Health Authority.

Such insights as were acquired by the Researcher did not arrive in a
single flash of inspiration but were the result of a cumulative process deriving from reflection on personal experience, a review of the literature and the conduct of the present research study whose form and content represent the outcome of that process.

What is attempted below is an indication of the values, beliefs and theories in use which the Researcher was predisposed to bring to his observation of and reflections upon strategic change.

6.2  Appreciative Setting

The Researcher brought the following tacit norms and appreciations to his reflections and judgements.

a)  A belief in the power of intellect, energy and will to solve problems by deliberative, systematic means.

b)  A commitment to an open, participative, self-critical style of management based on the conviction that:

   (i)  the collective knowledge, insights and experience of staff represented a resource which should be mobilised in the collective interest;

   (ii) those presuming to occupy managerial roles should prove their worth to the organisation as enabling and supportive resources, with rank counting for little; and that

   (iii) both managers and managed were likely to benefit from the levels of accountability associated with open, self-critical decision making.

c)  A belief in the merits of open creative conflict not as a permanent feature but as an occasional necessity. That is, under normal circumstances conflict should be anticipated and resolved by an alert management before getting out of hand. Occasionally, however, it needed to be brought out into the open for resolution. Whether open or tacit, the Researcher believed bargaining to be an important feature of organisational life.
d) A belief in the merits of well designed management systems for improving decision making and containing conflict. While recognising that talented and committed managers were capable of making almost any organisational arrangements work, the Researcher believed that well designed systems, incorporating standard operating procedures and corporate planning, could greatly aid problem-solving and decision making by routinising a significant proportion of business, thereby releasing management attention for more strategic issues. He also believed that well designed systems created important arenas for mutual adjustment and bargaining.

e) A complete identification with the organisation of which he was a member and an abiding concern for its reputation in the external environment, notably with key influencing agents.

f) A predisposition to take an holistic view of problems and therefore to draw the widest possible boundaries around them. This inclination to adopt a wider corporate view developed long before the Researcher joined senior and top management and originated with his commitment to corporate planning and his experience of reconciling conflicting interests and establishing a common front among colleagues as branch, co-ordinating committee, and liaison committee officer.

g) A preference for a proactive, interventionist style of management rather than an unobtrusive style.

h) A preoccupation with the reduction and regulation of uncertainty and with raising levels of accountability and control.

i) An economist's view of effectiveness and efficiency as moral imperatives.

6.3 Preferred Theories and Strategies

The appreciative setting described above developed within the Researcher an initial preference for the following.
a) An holistic, systems view of organisations.
b) Technical, economic and political rationalities.
c) Models which aided closure by demonstrating means of coping with uncertainty.
d) Technologies and strategies which promoted purposive rationality.
e) Hierarchical, interactive planning systems which encouraged high levels of participation, combining strong 'bottom-up' and 'top-down' contributions.

6.4 Framing

The notion of framing employed for the present purpose draws on two ideas developed by Schon (1983). The first relates to an experimental approach to problem solving which involves reflective conversation with a situation, back talk and reframing. The second relates to the overarching theory or general conceptual framework employed by a profession to guide practice. Such a theory does not give a rule that can be applied to predict or control a particular event, but it supplies a language from which to construct particular descriptions or themes from which to develop particular interpretations. (Ibid.: 273).

An indication has already been given in Chapters 1 and 4 of how the Researcher initially shared the enthusiasm for the philosophy and technology of corporate planning advocated by Inlogov. Eddison's system's approach, exploiting the most useful aspects of PPBS while warning against an over-mechanistic interpretation, had a particularly strong appeal for the Researcher and greatly affected his early thinking. Much of this, and the ideas of other proponents of corporate planning such as Argenti, influenced initial experiments conducted in the Faculty of Management and were incorporated into the design of the Sub-Committee structure and Planning Cycle. Although not unaware of the significance of context and the magnitude of the changes he was advocating (which his collaborators and advisers in the Faculty of Management were quick
to point out), the Researcher's intention was to reform patterns of
decision making, and change management styles across the college to
match more closely the demands of purposive rationality and thereby
bring the enterprise under firmer corporate control. He understood
that it would take time to internalise the reforms but expected
beneficial results to materialise sooner rather than later.
Events proved him wrong and it required interventions from the external
environment to overcome powerful in-built resistances to strategic
change. Such strong back talk from the college, echoed in reflections
on the management of the Health Authority, encouraged a reframing which
has been characterised in this study as a shift of attention from the
philosophy and technology of corporate planning to the contexts into
which they are introduced.
A literature search confirmed that there had been a general shift in
this direction as achievement failed to meet the exaggerated claims
made for the early mechanistic approaches to corporate planning. The
problem remained of finding means of interpreting context which would
assist the practising manager in conducting a reflective conversation
with his situation. The set examined in Chapter 5 and selected for
present use represent the most appropriate means found by the Researcher.

6.5 Role Construction

There were several forces at work encouraging the Researcher to seek
out posts of leadership and responsibility: his family and social back­
ground, positions held at school and university, the 'tribune syndrome',
and a desire to compensate for the lack of industrial/commercial
experience by displaying a flair for practical administration. This
concern for practicalities also derived from the subject which he
taught, namely Applied Economics. Required to demonstrate the strengths
and limitations in application of economic analysis to his students,
among them practising managers, he was anxious to translate his own
training into practical accomplishments. There was above all, however, a compelling urge to be at the centre of events and to make things happen according to his assessment of a situation. Irrespective of whether his assessment was entirely shared by those whose interests he sought to serve, the Researcher's services were valued and readily utilised.

His unplanned career progression within the college may be seen largely in terms of a coincidence of interest between the organisation's needs and the portfolio of knowledge, skills and experience which he had on offer at various points in time. In many respects the Researcher represented the archetypal solution in search of a problem. Progression to Principal Lecturer followed upon contributions made to teaching, course and curriculum development, research and departmental administration, all areas in which the Researcher had a strong professional interest and which provided him with opportunities for problem solving. The Head of School post was an extension of his previous role with even greater emphasis placed on academic leadership and administration. Although regarded as a quasi-managerial role the Researcher did not allow it to compromise his voluntary duties as 'tribune'. Given his view of the college as a negotiated order he saw a necessity for generating countervailing pressures and high aspiration levels in the process of impression management. Above all he believed that the rank and file had a right to expect high standards of managerial competence from those who presumed to hold managerial responsibility and was openly critical at Academic Board and other arenas of senior management when they failed to meet those expectations. His views did not change when he joined (some would say when he was astutely co-opted to) senior management as Dean of the Faculty of Management, a job which he very much wanted, believing that he had a clear grasp of the faculty's problems and the direction in which it
needed to be taken. In terms of managerial performance and levels of accountability he saw a need to more than match the standards he had applied to others. The innovations which he sought to introduce at faculty and corporate levels should be seen in this light.

The Researcher was more ambivalent about the Assistant Principal’s post when it became vacant than he had been over the Dean’s post. This was not surprising in view of the circumstances surrounding the vacancy, namely the sudden death of the Assistant Principal who had become a close friend and colleague. There was also the fact that he had experienced a hectic three years as Dean and had been looking forward to reaping the benefits of intensive course and curriculum development once the peak load had been dealt with. He faced a daunting in-tray in the new post as a result of the time taken to finalise new management arrangements and to make an appointment. Once again, however, there appeared to be a strong correspondence between the needs of the organisation and the portfolio he had on offer. The nature of the job description and the decision to make an internal appointment greatly shortened the odds in his favour.

The level of expectation of his own performance increased in proportion to his rise in the hierarchy. Not only did he have a great deal to prove to himself and others he also had power resources to acquire which derived more from performance than rank. As will be demonstrated circumstances conspired to increase his strategic importance to college management, a fact recognised by the Principal with whom he developed an increasingly strong partnership, and widely acknowledged within and outside the college.

7. THE INFLUENCE OF THE RESEARCH PROJECT ON ROLE PERFORMANCE, MODES OF REFLECTION AND OUTCOMES

The project did not have a major influence on outcomes because the final shape of the study did not emerge until the end of the research period
and the task of writing-up began. The Researcher did not become familiar with the most recent work of Pettigrew (1983 (a), 1983 (b), 1984 and 1985) and Schon (1983) until very late in the project. The fact that their ideas and findings corresponded so closely to those emerging from the Researcher's own observations and reflections proved a major, if unexpected, bonus, which allowed him to take his research in a direction which he had contemplated in outline from the outset but which he was unsure of accomplishing. As Pettigrew has pointed out this is by no means an unusual experience for contextualist researchers. Serendipity it would appear has a key influence on research as well as organisational outcomes.

It would be misleading to imply, however, that since the pieces of the jigsaw did not finally come together until the stage of writing-up began, the research project had no influence on role performance, reflections upon it and outcomes. The project made the Researcher sensitive to his performance as planner, particularly the technology employed, which spurred him to experiment with innovations designed to satisfy potential expert critics as well as advance the cause of corporate planning. Such was the case for example with the experiment tried with senior management in December, 1981 (see Appendix I). The same was true of the submission prepared for the March, 1982 CNAA visit, particularly the supporting statistical analysis provided in appendices. The corporate strategy produced for the Academic Board in April, 1983 consciously sought to overcome technical weakness thought to be obtrusive in earlier efforts, including that included in the CNAA submission. It was ironic, therefore, that it should have been subjected to major criticisms on technical grounds.

The experience with the 1983 corporate strategy as with earlier problems in implementing the Planning Cycle, served to highlight the micro-political and cultural complexities of context, of which the Researcher
had become increasingly aware without subjecting them to systematic reflective conversation. The research study, particularly as it developed in its final stages, encouraged extended reflective conversation, and brought the past into much clearer focus. The insights provided by the set chosen to interpret context had less of an influence on intentional behaviour than in increasing the Researcher's consciousness of the political dimensions of his own behaviour and in raising his tolerance of incremental change, seen to be as much dependent on external interventions, serendipity and imaginative opportunism as on deliberative management.
1. **INTRODUCTION**

The College of Higher Education came into existence in September 1975 following the merger of a College of Education administered by a County Council, a College of Art administered by a County Borough, and a College of Technology jointly administered and financed by the County Council and County Borough. While some prior consideration had been given by the parent LEAs to possible forms of association between the colleges, it was Government policy embodied in the White Paper EDUCATION: A FRAMEWORK FOR EXPANSION (December 1971, Cmnd. 5174) and DES CIRCULAR 7/73 (March 1973) which led to the creation of the College.

The features of the White Paper which drew most attention were the substantial growth contemplated for the public sector of HE, the rationalisation of teacher training, the introduction of a new two-year qualification (the Diploma in Higher Education) and the wholehearted acceptance of the colleges of education in the family of higher education institutions in accordance with the recommendations of the James Report (1972). The primary concern of Circular 7/73 was seen to be the organisational arrangements for achieving the last objective.

It was generally recognised from the outset that it would take a number of years for the college to settle down and develop a corporate identity. The merger, of necessity, generated a considerable amount of turbulence of its own and the Board of Governors and staff would have wished for a period of relative stability to allow a concentration of time and effort on the development of appropriate organisational structures and processes. Circumstances conspired, however, to produce conditions of increasing external turbulence.
The present chapter sets out to provide a summary description of the major sources of uncertainty and turbulence with which college managers had to cope and the means devised by them, notably corporate planning, for coping. It falls into four parts: the first reviews the state of higher education throughout the ten-year study period and the remaining three examine sources of turbulence and college management and development during each of the three time periods selected for detailed attention in Chapters 8, 9 and 10.

2. HIGHER EDUCATION: 1974-1984

2.1 Demand and Supply

As Prof. Gareth Williams has pointed out (THES, 18th November, 1983: 13) the numbers game was the main subject of higher education policy debate between 1963 and 1981. He divides the playing of the game into three periods.

1961-71: During this period demand for higher education was outstripping forecasts to such an extent that Education Planning Paper No. 2 (1971) forecast 835,000 full-time students by 1981 (i.e. c 50% more than the Robbins forecast).

1972-80: At the very time this most optimistic of forecasts was being published, the bubble had burst and this second period was in several respects the mirror image of the first (Ibid.). Throughout the 1970s forecasts of student numbers were subject to regular downward revision as the full implications of demographic trends and participation rates were taken into account.
Table 12: Projections of 1981 full-time and sandwich students (Great Britain)

<table>
<thead>
<tr>
<th>Date of projection</th>
<th>1981 projected student population</th>
</tr>
</thead>
<tbody>
<tr>
<td>December 1972</td>
<td>750,000</td>
</tr>
<tr>
<td>November 1974</td>
<td>640,000</td>
</tr>
<tr>
<td>February 1976</td>
<td>600,000</td>
</tr>
<tr>
<td>February 1977</td>
<td>560,000</td>
</tr>
<tr>
<td>January 1978</td>
<td>560,000</td>
</tr>
<tr>
<td>March 1979</td>
<td>544,000</td>
</tr>
</tbody>
</table>

Source: Adapted from various government publications by the O.U. (E324 Block 1, Part 4: 65)

The basic forecast on which the creation of the colleges of higher education was based in the White Paper EDUCATION A FRAMEWORK FOR EXPANSION (1972) was 750,000 full-time students by 1981.

1981: The actual number of home and overseas students in 1981 was 542,000 and little significant growth was envisaged before demographic trends produced a substantial fall in numbers by the end of the decade. Meanwhile the number of overseas students entering the country was reduced from 59,000 to 50,300 between 1979 and 1981 as the result of the introduction of full cost fees. By 1981 as a consequence of cuts in public expenditure, the centre of the policy debate in the university sector had shifted from numbers to the 'unit of resource'. The concern for maintaining average expenditure per student and quality led to a reduction in the intake of students into the universities, who were thereby diverted into the public sector.

Out of a total of 451,000 home students in 1979, 255,000 (57%) were in the University Sector and 196,000 (43%) in the Public Sector. By 1984 the numbers were respectively 256,000 (49%) and 269,000 (51%) out of a total
of 525,000. The transfer to lower cost provision suited the government which, while chiefly preoccupied with reducing unit costs, became increasingly aware of the political sensitivities attached to the reduction of access. This was a sensitivity which the public sector institutions (represented by NAB) sought to exploit. They were only too pleased to enrol the students diverted from the university sector as long as the 'unit of resource' did not fall to unacceptably low levels. They argued for requisite funding and pointed out the substantial differential advantage in the unit of resource enjoyed by students in the university sector.

2.2. The Management and Funding of Higher Education

2.2.1. The AFE Pool

The AFE Pool was established in 1959 to share the costs of advanced further education in the maintained sector. Contributions to the Pool were made by each Authority on the basis of school population and non-domestic rateable value. Claims on the pool were made on the basis of AFE provision, seen to meet a national rather than a local need. Until 1980 the pool was open-ended and retrospective. Colleges could expand provision and spending confident in the knowledge that cost would not fall on the local education authority but on all L.E.A.s contributing to the pool. There was no incentive, therefore, for an L.E.A. to control the expansion of advanced work in its H.E. institutions. Even so, apprehension grew among local authorities (some of which did treat the money as their own), and central government alike, as pool contributions rose by leaps and bounds. With the pressures on government expenditure in the mid 1970s, it became inevitable that reforms would be introduced. These were considered in the first instance by the Labour Government which was voted from office in 1979 before it could implement reforms based on the work of the Oaks Committee (1978). The incoming Conservative Government quickly acquired statutory powers to
predetermine the size of the pool, with the result that as from April 1980 it became a 'capped' AFE pool. Under the new system the DES was able to calculate by how much the collective estimates of Polytechnics and Colleges would exceed the predetermined pool allocation. The necessary adjustment in funding could either be cut by L.E.A.s from College budgets or paid out of the maintaining authorities' own rates. Various technical devices were employed to aid adjustment to the new regime and provide mitigation and these were retained and refined when the management and funding of AFE was placed in the hands of new national advisory bodies in 1982. Initial allocations were made by NAB and WAB on the basis of 'notional unit costs' (see Appendix J). This method was replaced by per capita funding based on full-time - equivalent (FTE) student targets allocated, by programme, to each institution.

2.2.2. NAB and WAB

The capping of the Pool and the stiffening of the criteria applied to new advanced course approvals (Further Education Circular 1/80) were the immediate steps taken by the Government to bring AFE under control. It was recognised, however, as it had been by the previous government, that more fundamental reforms were required involving the creation of new central planning machinery.

A number of discussion documents were published by interested parties in the Summer of 1981 which considered alternative models. The choice was seen to lie between leaving the providers of AFE in the hands of local authorities, but subject to direction from a new central body, or to create a new sector of higher education comprising all the major non-university institutions which would be financed directly from Exchequer funds disbursed by a central body appointed by the Secretary of State. The DES was thought to favour the latter but settled for the former.

The Welsh Office on the other hand appeared to favour 'minimal modification'
of existing arrangements and the creation of a separate body for Wales. The Welsh Advisory Body for Local Authority Higher Education (WAB) came into existence in July 1982, 6 months after the National Advisory Body (NAB) for England. It was expected that rationalisation of course provision and the allocation of the capped Pool would be the first preoccupations of the new bodies. NAB set about its task with great vigour. Letters were sent out in July 1982 asking Colleges in England to review academic provision assuming a 10% reduction in resourcing in real terms between 1982/83 and 1984/85. A timetable was set out for the preparation by Colleges of academic plans and their consideration by L.E.A.s, RACS and NAB during the period September 1982 to July 1983. They were to provide the basis for the formulation of advice to government in the distribution of the AFE Pool in 1984/85. Responses were to be given by NAB to the Colleges in August. The exercise sent a tremor through public sector H.E. and feelings ran so high in some local authorities (e.g. Birmingham) that they refused to co-operate. In contrast, WAB was very reluctant to undertake such an exercise believing that AFE was underdeveloped in Wales. Indeed, the WAB Board initially refused to conduct a matching 5% exercise in 1983 but was eventually forced to toe the line. A letter was sent out to Welsh Colleges in August 1983 seeking responses on intended AFE course provision in 1984-85 on the basis of local 1982/83 funding or a cut of 5% in real terms on the 1982/83 base. As will be demonstrated, it was not possible to process results in time to apply the 'student target' methodology to the allocation of the 1984/85 Pool for Wales, and a second exercise was conducted in the Summer of 1984 which provided the basis for the 1985-86 allocation. Both NAB and WAB, at the Government's instigation, used the student target methodology to expand programmes such as Electronic Engineering and Computing,
given a high priority, at the expense of programmes such as Humanities, given a low priority. This reflected the intention of the Government to give a stronger steer to Higher Education by diverting students from the Arts, Social Sciences and Humanities to Science and Technology, especially High Technology.

2.3 The Role of Intermediaries

The changes described above represented a significant increase in the direct intervention of government in the management of Higher Education. Traditionally governments had tended to rely on intermediaries such as HMI/RSI, RACs, Validating Bodies and Professional Bodies to indirectly steer the system in a preferred direction.

Prior to the creation of NAB and WAB, AFE course development was controlled by the RSI (who were primarily concerned with the balance of national provision of full-time courses) and the Regional Advisory Councils (whose primary concern was the provision of part-time courses in a region). The fact that it was necessary for FECL 1/80 to be circulated in 1980 suggests that existing criteria had been liberally rather than restrictively applied. This was more true of part-time than full-time courses where RSI were seen to favour the Polytechnics. Colleges of Higher Education in Wales found it particularly difficult to secure approval for new degree courses and the restriction on Combined Studies degrees was lifted only as the result of developments permitted in England.

The influence of validating bodies increased during the period under consideration and their requirements became more exacting. Few courses escaped external scrutiny during the period under consideration and course teams were expected to display increasing levels of competence in the design and delivery of courses. Ability to secure validation for a full term without condition became the ultimate accolade for a college and the course team responsible for preparing a submission. Protracted, conditional, short-term, validations damaged reputations and delayed recruitment to courses whose starting dates had to be deferred.
For the most part, validating bodies such as the University of Wales, BEC and TEC and the various examining professions concerned themselves with courses only. The CNAA, however, also concerned itself with the general environment provided for students on CNAA validated courses and conducted quinquennial institutional reviews as well as course reviews. The need for a College and its L.E.A. to provide a periodic account of its stewardship to such an influential external body was salutary and time consuming and required a major review of systems and performance which set a premium on critical self-awareness.

3. COLLEGE MANAGEMENT AND DEVELOPMENT 1974/75 TO 1976/77

Within the context of the longitudinal study, this represents the 'before' phase, that is the period of time during which a merger was achieved and the College operated for two years without the assistance of a formal corporate planning system.

3.1 Major Sources of Turbulence and Uncertainty

These were as follows:

3.1.1 The Merger

Although contemplated prior to the appearance of the 1972 White Paper EDUCATION: A FRAMEWORK FOR EXPANSION, the timing and nature of the merger were prompted by it and FECL 7/73. Initial preference was declared for a confederation but the DES required a full merger. This was accomplished within a relatively short period and with a minimum of dislocation. Although differences existed between, and among, LEA councillors and officers, senior academic staff, and general academic and non-academic staff, on such matters as the general character of the college and its governance, the outcome was sufficiently accommodating to secure general acceptance. The college was organised into four faculties, each further sub-divided into schools. The Instrument of Government provided for a Board of Governors, enjoying the status of a sub-committee of the County Council's
Education Committee and the Articles of Government provided for an Academic Board and Faculty Boards having strong elected representation. The Principal appointed was previously the Principal of the Collège of Education.

3.1.2. Cuts in Public Expenditure

Hopes that the new merged institutions would be protected from cuts were quickly dashed. These amounted to reductions in Estimates in successive years (76/77 and 77/78) of £102,500 (3.1%) and £100,000 (3.5%).

3.1.3. Competitive Environment

The new H.E. institutions and their L.E.A.s were left largely to their own devices in developing a role in what was frequently a highly competitive market. This was especially true of the College of Higher Education which was located in a densely populated F.E./H.E. region. Within its own local authority the College had to contend with 4 Colleges of F.E. who kept a very close eye on the amount of NAFE retained by it and who aspired to move up-market into AFE in selected areas. Within the wider catchment area (identified as travelling time of not more than an hour) students had access to 9 institutions, 5 in the university sector and 4 in the public sector. While the College was obviously not in direct competition with each one to the same degree, there was at least one market segment in which it shared a common interest without necessarily competing for students. The strongest competition naturally came from the public sector, consisting of two polytechnics and two institutes of higher education within travelling distances of 15 to 60 minutes.

3.1.4. Course Approvals

Reference has already been made to restrictions placed by RSI on degree development outside the polytechnics and the difficulties this created for colleges seeking to expand their H.E. portfolios.
3.1.5. Initial Teacher Training Targets
The need to diversify was particularly strong in colleges providing initial teacher training; that is if they survived rationalisation. At the time of the merger there was every expectation that two departments would be closed in Wales, and it was not known which they would be. The College was relieved to find in January 1977 that it was not to be one of the two but was later allocated a reduced intake following the successful resistance by one of the L.E.A.s to closure.

3.1.6. BEC and TEC
The creation of the Business and Technician Education Councils to take charge of technician education had a profound effect on the design and delivery of courses, notably Higher Diplomas and Certificates, and kept staff busy in both interpreting and satisfying expectations.

3.1.7. CNAA Institutional Review
This took place in March 1977 and represented the first external evaluation of the College since the merger. It aroused considerable apprehension since the fate of existing CNAA courses (degrees in Fine Art and Graphic Design and the Diploma in Management Studies) and courses in prospect to be validated by CNAA, hinged on the outcome of the visit.

3.2. College Management and Development
3.2.1. Structures and Processes
As might be expected, the development of appropriate organisational structures and processes was a major preoccupation at all levels following the merger.

The Board of Governors reported directly to the Education Committee. This placed the chairman in an influential position which he used to promote the interests of the College while taking care not to offend his colleagues at County Hall. He was a frequent visitor to the College, took an active interest in its management and ensured that protocol was observed over
resourcing, the determination of administrative or organisational arrangements, major policy issues and the general direction in which the college was to be developed. These were identified as the legitimate spheres of interest of the Governors with the Academic Board assuming responsibility for the planning, co-ordination, development and oversight of academic work. Seen to be the supreme academic policy-making body in the college, the Academic Board devolved a great deal of responsibility and initiative to the Faculty Boards. Executive responsibility was vested in a Senior Management Team (Principal, 2 Vice Principals, 4 Deans of Faculty, a Dean of Administration and a Director of Studies) which, while lacking formal status, met frequently and played a major organisational role.

3.2.2 Planning

Planning was partial, incremental and largely reactive. Considerable ambiguity remained over mission and role following the merger and frequent attempts were made to seek clarification from the L.E.A. It was to this end that the Principal produced a discussion paper GUIDELINES FOR A COURSE DEVELOPMENT PLAN for the Board of Governors in October 1976. The title indicates the orientation of planning at this time, namely course development, and the paper was based on 'bottom-up' exercise in which faculties declared their course development aspirations and the bids for resources linked to them. Despite the depressing financial climate and the known prejudices of RSI, the competitive bidding was very ambitious and degree-centred. The financial depression deepened within a few months and the college was informed of an intended reduction of £100,000 for 1977/78 to add to the £102,500 applied in 1976/77. The cuts provided a second strand of planning, closely linked to course development. It was
quickly recognised that staffing would need to be reduced significantly by a combination of retirement and voluntary redundancy (4) and redeployment within the educational service (10) with the Faculties of Education and Science and Technology most directly affected, the former by bringing forward adjustments made necessary by reductions in teacher training and the latter by the removal of lower category courses from the College. By linking cuts to course provision the college was set on a path which significantly changed the balance of AFE to NAFE over the 10 year study period (i.e. from 65/35 to 80/20). Of the two faculties most directly affected, the Faculty of Science and Technology became the most aggrieved having lost a battle which had been fought from early discussions over the merger. The outcome was seen by the Dean to confirm his worst suspicions over what he considered to be a misguided preoccupation with full-time degree courses and an intention to sacrifice science and technology because of the proportion of NAFE undertaken and the number of part-time students enrolled. The Principal proved unable to allay these suspicions.

It was into a highly unsettled environment that the CNAA intruded in March 1977, therefore, and the visiting party had little difficulty in identifying the areas in which the college was most vulnerable. They found an excessive preoccupation with managerial problems and a neglect of academic leadership; more specifically, they considered that senior management had assumed responsibilities which should properly have been undertaken by the Academic Board. They identified deficiencies in planning and were particularly critical of what they considered to be an unrealistic approach to degree development. They also expressed concern over the general level of resourcing. This diagnosis formed the basis for 10 recommendations to which the College and L.E.A. were expected
to respond positively if the college was to be approved for new course development. The most important recommendations related to resourcing and systems development, notably the creation of an academic sub-committee structure and a corporate planning framework.

Finding an appropriate response to the CNAA became the major preoccupation of the Board of Governors, Senior Management and the Academic Board once the report of the visit was received in July 1977.

4. COLLEGE MANAGEMENT AND DEVELOPMENT 1977/78 and 1978/79

The second phase covers the period of time during which the need for a corporate planning system was accepted and one was designed which linked into a new academic sub-committee structure. This may, therefore, be regarded as the 'initiation of change' phase.

4.1. Major Sources of Turbulence and Uncertainty

To those identified in 3.1. above were added downward revisions of the projected student population in Higher Education, the introduction of quotas on overseas students and the intention by government to reform the management and funding of AFE. Of all influences on the management of the college, however, that of the CNAA was most significant. By the time the CNAA had returned for a follow-up visit in February 1979, considerable time and effort had been put into tackling the issues raised in the 1977 Report. These proved to have been well spent since the second report was highly complimentary and the embargo on new course development was lifted.

4.2. Resourcing

The response to the CNAA's observations on resourcing was swift and decisive. A Working Party set up by the Academic Board on 6th October, 1977 produced recommendations by 28th October, which involved an increase in funding of £393,000 over 3 years. These were approved by the Board and taken
to a special meeting of the Governors on 4th November together with a strong case for the recognition of the college as a polytechnic-type institution for all purposes and commitment to a major building programme to rehouse the Faculty of Art and Design as soon as possible.

A flurry of activity followed involving discussions at County Hall and between representatives of the Authority and CNAA. The upshot of this activity was acceptance in principle by the L.E.A. of the gap of £393,000 in college resourcing, the allocation of £80,000 to the college (£135,000 requested) in 1978/79, to be regarded as the first tranche of extra funding which became known as 'CNAA money', and renewed efforts to get a building programme underway. The CNAA was informed by an L.E.A. delegation of these developments at a meeting held in London in January 1978 and appeared to be impressed by them. Officers of the CNAA were insistent, however, that the improvements in resourcing needed to be accompanied by the organisational developments recommended in the Report.

4.3. Organisational Developments
These were achieved less quickly. A second working party set up by the Academic Board on 6th October, 1977, to tackle academic organisation made heavy weather of its task. It eventually produced a framework acceptable to the Board on 26th January, 1978 but a considerable amount of work remained to be done to make it operational. This task was given to 3 trial sub-committees but their deliberations were also protracted and their reports were presented on 6th May, 1978. These required reconciliation. Responsibility for producing a final set of proposals was given to the chairman and a group of senior managers. The paper presented to the Academic Board on 20th October, 1978 was chiefly the work of the Dean of the Faculty of Management and Administration (R) who believed strongly in corporate planning and who had conducted planning
and other managerial experiments in his own Faculty. The paper provided a rationale for corporate planning and proposed a planning and programming system which linked a three-phase annual Planning Cycle to an academic structure consisting of the following three sub-committees interposed between the Faculty Board and the Academic Board: Planning and Resourcing, Course Administration and Staff Development and Research. These proposals were adopted but did not become fully operational until the academic session 1979/80. In order to give the new system the best chance of success, a two-day 'teach-in' was held in July, 1979 involving 40 members of staff. Although not operational in February 1979, when the CNAA follow-up visit took place, the visiting party were greatly impressed by the reforms and especially complimentary about the planning cycle. The CNAA's endorsement greatly enhanced the standing of the proponents of corporate planning and weakened the case of the critics and sceptics. Even so, it continued to be regarded in some quarters as an unnecessary, elaborate, bureaucratic device likely to stifle initiative.

5. COLLEGE MANAGEMENT AND DEVELOPMENT 1979/80 TO 1983/84

The final phase covers the period during which the planning system became fully operational, that is, the 'after' phase.

5.1. Major Sources of Turbulence and Uncertainty

These were as follows:

5.1.1. Control of Public Expenditure

Successive governments were concerned to get public expenditure under control and as has been demonstrated in 2.2. above, the Conservative Government elected to office in June 1979 took immediate steps to regulate spending on higher education on both sides of the binary line. Not only was the college affected by the capping of the AFE pool but it also had to take its share of the cuts imposed on the County's educational service
in the wake of reductions in local government income. These amounted to a mid-year reduction of £105,000 (3.1%) in Estimates in 1979/80. Pressure was sustained throughout the period under consideration but impinged less seriously than might otherwise have been the case because of savings automatically generated by staff accepting voluntary redundancy and substantial investments made in staff and equipment to create a centre for micro-electronics and micro-computing.

While the Local Authority was more concerned that the college should keep within its budget than achieve agreed standards of effectiveness and efficiency, there was a growing awareness within the College of the increasing preoccupation of central government and its agencies with performance indicators. Staff were alerted to the kind of indicators favoured by the Audit Commission, and to significant gaps in college performance, notably its Student Staff Ratio. They were also warned of the Value for Money Studies being conducted in F.E. and H.E. and the possibility that the college might be examined. It was, in 1984, and the exercise identified the college as a high cost institution with a considerable amount of organisational slack which could be applied to increasing student recruitment or reducing staffing by 20%.

5.1.2. The Management and Funding of Higher Education

The primary objective of the reforms described in 2.2. above was also to improve effectiveness and efficiency in AFE. The public sector was seen to provide lower cost access to those students unable to secure entry to the university sector and capacity could be regulated via NAB and WAB to increase provision in priority programme areas such as Electronics and Computing and curtail the growth of Humanities. The activities of WAB had the following impact on the college: both funding methodologies employed highlighted its high cost nature and the allocation of student targets by programme underlined the value of the
The WAB planning exercise of 1983 also encouraged senior management to send strong messages to staff over gaps in performance, notably resource utilisation performance, which proved unpalatable and aroused considerable resentment.

5.1.3. Competitive Environment
The decision by the UGC to advise its members to protect quality and the unit of resource and to restrict access greatly benefited the public sector. Within the public sector, however, there was fierce competition, especially among colleges of higher education who were generally below polytechnics among student preferences, for a share of the increased market. The early failures of the College to claim a comparative share of the market exposed deficiencies in marketing which became a major preoccupation.

5.1.4. Local and Regional Economies
The immediate catchment areas served by the college were seriously affected by both the general recession and major structural changes in employment (see Appendix V, Table 1). These were thrown into high relief in 1980 with the 'slimline' exercise in the steel industry which reduced employment by almost 5,000 within the space of a few months. The crisis intensified efforts made by the County Council and the Welsh Office to attract high technology industry to the area. The college, which was increasingly recognised as a key element in the infrastructure, was heavily implicated in these efforts. Major investments were undertaken to equip the college to meet the demands of 'sunrise' industries. In addition, support was given to developing courses providing retraining opportunities for redundant steel workers at both operator and professional levels.

5.1.5. Microtechnology
The College was alerted in November 1978 by the Dean of the Faculty of
Science and Technology to the profound changes likely to follow in the wake of the micro-electronics revolution. The Faculty had particular strengths in Electrical and Electronic Engineering and Instrumentation which he wished to see developed and exploited. His case was greatly strengthened by the County Council's industrial development policy and he became heavily implicated in efforts to attract high technology to the County, which included a visit to the United States. Major investments in staff and equipment followed in anticipation of demand. This represented a 'venture capital' approach out of line with normal practice in F.E./H.E. where staff appointments normally followed upon expansion rather than in anticipation of it.

As with all venture investments, it entailed a risk that outcomes would not match expectations - in this case that the high tech industrial expansion would be less than anticipated with the result that the derived demand for education and training would fall below expectations. Despite this risk the Dean was impatient with both the scale and pace of development and pressed for stronger corporate support. This was not available unconditionally since the expansion in activity to match capacity seemed slow in coming and apprehension grew over the assymetrical development of the faculty, a concern increased by claims for increased managerial and administrative support, seen as likely to create a college within a college. The latter was resolved by a review of college management which led to the splitting of the Faculty of Science and Technology in two.

Fears over recruitment levels were confirmed as numbers of students from the 'sunset' industries continued their secular decline and numbers from the 'sunrise' industries failed to match expectations.

5.1.6. The Influence of Other External Bodies

The recruitment problems described above were compounded by delays in securing validation for two major course developments, namely a B.Eng. degree validated by the CNAA and an H.N.D. in Computer Studies validated...
by BTEC. For the most part the college established a good record for external validation at a time when expectations were rising across the board and it was not always easy to see how far and in what direction the goalposts were being moved. Delays in course development and difficulties with external validation were seen to reflect badly on all levels within the college but particularly at faculty level. This was the case for example with Art and Design who secured limited conditional approval only from the CNAA in 1984 for their two B.A. degrees. This disappointment followed upon earlier critical assessment received from the specialist HMI. In general, however, HMI assessments tended to be complimentary and showed enthusiasm for certain developments, such as Computer Aided Manufacture.

The CNAA's interest, of course, extended beyond courses to the institution and a second quinquennial review was held in March 1982 which proved less traumatic than the first and encouraged the college to conduct a rigorous critical self-examination. The visit confirmed the assessment offered and the panel recommended full five-year approval.

Relations with the University of Wales, with which the Faculty of Education dealt almost exclusively, were good and a number of important new courses were validated by the University during the period under consideration. The B.Ed. degree was one such course which needed to be kept under continuous review as the result of the recommendations of the Advisory Council for the Supply and Education of Teachers and the responses to them of the DES and Welsh Office. During the period under consideration, major changes occurred which, with some exceptions, allocated the training of primary school-teachers to the public sector and secondary school-teachers to universities. This rationalisation highlighted the need for lecturers to have 'recent and relevant' experience of teaching in primary schools. Further demands emanated from government to improve teacher training and
the classroom performance of teachers to which colleges were expected to respond.

5.2. The Planning Cycle and Academic Sub-Committee Structure

One of the principles informing the design of the corporate planning system was the acceptance of change as a normal phenomenon and hence to be managed, controlled and phased rather than suffered.

Its introduction was intended to improve environmental scanning and to prompt action in anticipation of, rather than in response to, events. It was recognised, however, that it would take time to internalise the philosophy of corporate planning and master its technology, not least because of contextual realities. While no targets were set for making the system fully operational, it was intended that it should be in good working order for the CNAA Institutional Visit expected in the academic session 1981/82. The visit took place in March 1982 and the opportunity was taken when preparing documentation to conduct a comprehensive, self-critical review of the development of the college and its current condition. The present was interpreted in the light of the past. Explanations were offered for past reliance on 'bottom-up' initiatives in planning and the intention to match these with stronger 'top-down' contributions in future. As has already been indicated, the report on the visit generally confirmed the College's own critical self-appraisal which pointed up weaknesses in the operation of the Planning Cycle and Academic Sub-Committee structure. These were elaborated upon in the report which was used internally to reinforce desired reforms and with the L.E.A. to improve resourcing. The latter objective was achieved but not the former, since the Sub-Committees of the Academic Board were unhappy with the operation of the Planning Cycle in 1982/83. This regression prompted remedial action which led to significant improvements in 1983/84.
5.3 Faculty and Corporate Strategies

The most significant improvement was in the form and content of faculty strategies which until 1984 had attracted considerable criticism from the Sub-Committees. The improvement followed upon the adoption of more explicit and prescriptive guidelines seen to be necessary because of obtrusive differences between faculties in the interpretation of the original guidelines. The Faculty of Management, as might be expected, displayed the greatest sophistication in the use of the technology and showed the greatest willingness to experiment, notably with the conversion of strategic objectives into action plans. The Faculty of Art and Design showed least understanding of the planning process and until 1983/84 produced very slim, bland statements. The Faculty of Education made strenuous efforts to comply with the guidelines but was inclined to concentrate on strengths and opportunities and to understate weaknesses and threats. Its documents were initially stronger on description than analysis but gradually became more sharply focused, with greater attention given to weaknesses and threats. The Faculty of Science and Technology complied selectively with the initial guidelines and used the strategies to send strong messages to the body corporate on resourcing and priorities.

Three statements claiming the status of corporate strategies were produced during the period under consideration. The first COLLEGE DEVELOPMENT AND RESOURCES was produced by Senior Management in response to the mid-year cuts of 1979/80 and presented to the Board of Governors at a special meeting held in November 1979. The document was directly addressed to the Governors and the L.E.A. and aimed to reach an understanding on the developing role of the college and the way its future might be planned in the context of growing resource constraints. It represented the most explicit single statement of policy up to that time.
and was well received by staff although they had no hand in its preparation.

Senior Management were also primarily responsible for producing the second major statement contained in the documentation presented to CNAA for the March 1982 visit, but the Academic Board and its sub-committees were involved on this occasion. It represented a conscious effort to advance the technology of corporate planning and formed the centrepiece of the submission to CNAA, which was well received by all interested parties. The fact that it would be presented to several audiences - the CNAA, the Board of Governors and L.E.A., HMI and staff within the college - was taken into account in its preparation.

By comparison the third statement, PROPOSALS FOR A CORPORATE STRATEGY FOR THE THREE YEAR PERIOD 1983/84 TO 1985/86 was intended specifically for internal consumption and presented to the Academic Board on 28th April, 1983. This was also intended to advance the technology of corporate planning in terms of form and content, notably a stronger 'top-down' component. Although highly self-critical and containing strong messages, these did not register at the time and the strategy secured approval with minor modifications. It was only when the response to the WAB letter of August 1983 was being prepared did the full significance of the strategy, approved in April, dawn on staff and it became subject to critical scrutiny. The most systematic and critical evaluation came from the Faculty of Management which attacked the apparent intention to make an educational virtue out of a tame acceptance of the pressures being imposed on Higher Education by the Government.

Although staff resistance was mobilised during October and November 1983 to the cuts implied in the first WAB planning exercise, the Academic Board was disinclined in January 1984 to re-examine the corporate strategy on receiving the critical responses of the Faculty of Management. The time lag also exposed the problems of internalisation by the
5.4 Philosophy, Technology and Context

As has already been indicated, it was acknowledged from the outset that the time taken to internalise the philosophy of corporate planning and master its technology would largely be governed by contextual realities. The philosophy which informed the introduction of corporate planning set great store on purposive rationality, participation and interaction, environmental scanning and critical self-awareness. It was seen to have a strong managerialist orientation and therefore viewed with varying degrees of enthusiasm. Despite the legitimacy conferred by the CNAA and Audit Commission on the corporate planning system, it enjoyed qualified acceptance because of its lack of consonance with deep-seated cultural forces and its effect on vested interests and the distribution of power resources. Difficulties were also experienced with mastering the technology. The designers and managers of the system, while seeking to progressively advance the technology, sought to keep it as simple and user-friendly as possible and to avoid an elaborate esoteric vocabulary, though some key words and concepts quickly gained common currency. It was recognised after a single round of the cycle that the information system was over-elaborate. This was rectified and a handbook prepared to assist with the operation of the Planning Cycle. It also became evident at an early stage that the effectiveness of the sub-committees depended very much on the quality of servicing which they received. Steps were therefore taken, as circumstances permitted, to improve servicing. Above all, however, over time, the value of the planning system in providing arenas for mutual adjustment, bargaining, negotiation and the containment of conflict became more widely recognised.

It will already be evident from the introductory chapter and the literature search of the importance attached in this study to contextual realities. Within the present synoptic view they have been considered as sources of
turbulence and uncertainty. Reference has also been made, en passant, to their cultural and micro-political connotations but it is not intended at this juncture to treat them further. Consideration of contextual realities constitutes the major preoccupation of the longitudinal study.
CHAPTER 8

ACADEMIC SESSIONS 1974/75 TO 1976/77

PERIOD OF TIME FROM THE CONTEMPLATION AND ACHIEVEMENT OF A MERGER TO THE INTRODUCTION OF CORPORATE PLANNING

SECTION A: DESCRIPTION

1. THE MERGER

1.1 The Colleges Involved

The College of Education was long established as one of the leading teacher training institutions in Wales and like its counterparts was much influenced by the Oxbridge and Grammar School traditions. Staff were recruited chiefly from the grammar schools and considerable importance was attached to tutorial support for students. While the expansion of the nineteen-sixties significantly increased the scale of operations, the college remained a relatively close-knit academic community of 700 students and 56 academic staff. The college operated on a single site which had been significantly developed to accommodate the expansion of students and had close ties with the University of Wales with which it enjoyed a good academic reputation.

The College of Art, which provided courses for 300 full-time students, emerged from a long-established County Borough Technical College from which it was hived off as a free-standing institution in 1959. Against considerable odds and chiefly as the result of inspired recruitment of a number of highly talented artists and designers to the staff the college was able to develop Dip.AD courses in Art and Design which eventually became CNAA degrees. In view of the national standing won by the college it was allowed a significant degree of administrative autonomy by the County Borough. It was not generously funded, however, and much of the
accommodation, including the main building inherited from the Technical College, was adapted rather than purpose built.

The College of Technology was, however, purpose built as a regional college and opened in 1958 to provide predominantly advanced courses to students largely drawn from the county. The intention was that the non-advanced work would be concentrated in the 4 Colleges of FE which would act as feeders for the College of Technology. Even so, in certain specialist areas such as metallurgy, instrumentation and production engineering the college was given responsibility for low level courses also. A nucleus of academic staff was creamed off from the colleges of FE to get the college underway and to these were added recruits from industry and the academic world. Wherever possible a combination of high academic qualifications and relevant industrial experience was sought and over the years the college acquired a strong reputation among HMI and validating bodies for the quality of its staff. An extension was opened in 1968 to accommodate increased student demand, and to provide improved library and student union facilities. The character of the college did not change significantly, however, until the early nineteen seventies. Up until that time it was seen as concerned primarily with science and technology courses with an additional provision for advanced courses in management, business and professional studies. The arrival of a new principal and a new head of department in the academic session 1971/72, both with strong entrepreneurial tendencies, heralded a rapid expansion in the Department of Management and Business Studies which quickly established it as the largest single department in the college.

At the time of the merger the College of Technology catered for 520 full-time and sandwich students completing Higher Diplomas and Professional Qualifications in the main but including 120 A Level students (80 being from overseas) preparing for Maths, Computing and Science subjects, and provided a wide range of part-time courses at the Higher Certificate,
Professional and Technician levels to some 1,700 students.

1.2 Government Policy and the Response of the Local Authorities
As has been indicated in Chapter 7, the merger took place primarily in response to government policy. Interim proposals submitted to the DES in November 1973 favoured a confederation rather than a single institution but the final plans, required by the DES in April 1974 accepted the necessity for creating a college with one principal, governing body and academic board. This decision was reached following discussions held in late November 1973 with representatives of the DES (officers and HMI's).

The same discussions revealed that strict control was to be exercised over the expansion of degree level work. In their view the college would be expected to offer B.Ed. degrees and degrees in Art and Design, but that with these exceptions its normal highest level of work would be Dip.H.E. or H.N.D. They did not envisage any degree work in Science, Technology or any field other than Education or Art and Design. Such work outside the university would be confined to the Polytechnic.

As a meeting of representatives of the LEA, college managers and college staff held on 7th May, 1974 the Director of Education declared, in a Background Paper submitted by him, the intention to proceed with a merger as quickly as possible and to appoint a principal and a board of governors by the end of 1974; offered initial thoughts on academic and administrative structures; and expressed preference for an institution concentrating on advanced courses, including degrees and diplomas validated by the University of Wales and the CNAA.

Exchanges during the meeting revealed that discussion in detail was required on certain aspects of the proposals and that there were other important issues yet to be considered. It was therefore agreed to set up a Joint Working Party consisting of 6 members of the County Council, the 3 college Principals and 2 teaching, non-teaching and student representatives from each of the three colleges.
1.3 The Contemplation of the Merger in the Colleges

The prospect of a merger generated considerable uncertainty and anxiety in each of the colleges for the kinds of reasons highlighted in Appendix S1.

Of the three, the College of Education seemed the most vulnerable. Staff were chiefly preoccupied with producing a Dip.H.E. programme leading to B.Ed. to start in September 1975, which would secure the teacher training programme and help protect the college against closure. They were also concerned to promote resource-based diversification, notably through the development of full-time degree programmes, which would compensate for the loss of students entering teacher training. The College of Art was the most antipathetic to a merger. A resolution of the Academic Board (28th February, 1974) emphasised the achievements of the college in establishing itself as one of the eighteen Art and Design degree centres in Great Britain, and the only one of its kind in Wales and the West of England. Given the predominance of degree-level work, the Board identified the impending arrival at an accessible distance of a relocated constituent College of the University of Wales, possessing a School of Architecture, as an opportunity for a much more satisfactory marriage. The Board was particularly concerned over the increased competition for resources which their degrees in Fine Art and Graphic Design might face in a merged institution.

The White Paper and Circular 7/73 aroused great interest in the College of Technology and prompted considerable discussion and activity. The merger held many attractions: it could lead to the creation of a polytechnic-type institution; it could make resources released from teacher training available for redeployment in areas currently under pressure following rapid expansion; it could provide an opportunity for staff to become involved in degree-level work.

Considerable interest was shown in the Dip.H.E. and a number of study
groups were set up in anticipation of a merger with interest shown in making contributions to the Dip.H.E. leading to a B.Ed. (notably in Science and Maths) and in devising escape routes for students intent on careers other than teaching. When representatives of the three academic boards came together early in 1974 to discuss the Dip.H.E. sensitivities over legitimate interests and territorial rights quickly came to the surface and meetings proved volatile and difficult to manage, not least because of speculation over which of the three principals was most likely to become head of the merged institution and the loyalties displayed by staff to their own colleges and leaders. Representatives of the College of Education were anxious to secure validation for the Dip.H.E. leading to a B.Ed. in time for a September 1975 start and therefore found the persistent preoccupation of the representatives from the College of Technology with the principles of course and curriculum design unhelpful. Lacking a strong interest in the Dip.H.E. the representatives of the College of Art supported the general position adopted by the College of Education. The Dip.H.E. which achieved validation from the University of Wales for a September 1975 start was essentially a College of Education proposal with contributions from the College of Technology confined to the areas of Mathematics and Science.

While the staff at the College of Technology generally adopted a positive view towards a prospective merger their enthusiasm was tempered by anxieties which became the focus of attention at branch meetings of the ATTI (see Appendix S1 and S2). The branch, alerted by guidance circulated from Head Office, sought to be implicated in discussions on institutional reorganisation from the outset and mobilised staff interests across the three colleges in order to prompt responses from the Authority. The Joint Working Party on Reorganisation was set up as the result of such pressures.
1.4 The Joint Working Party

Despite attempts made by staff (see Appendix S2) to persuade the Chairman, who expressed an initial sympathy, to adopt a structured approach, the issues highlighted in the Director's paper of 7th May became the agenda for meetings and were considered on a one-off basis rather than within a more comprehensive framework. As a result meetings (there were 7 in all) became arenas for reconciling countervailing pressures with staff adopting a determined though not always united stance.

The issue which most divided staff was the general character of the merged institution. Representatives from the College of Technology favoured a predominantly HE college with a flexible lower limit which permitted the retention of 'A' Level work. Those from the College of Education were concerned that the retention of lower category courses would have a detrimental effect on the ability to develop degree courses and attract students to them. Staff from the College of Art, though in favour of an HE orientation, wished to retain the Foundation Course, the importance of which was emphasised as a 'feeder' into the degree courses. The 'feeder' principle was accepted as a valid exception to the general rule and attempts were made to obtain agreement on a cut-off point for lower category courses over a period of time, subject to the one general exception. Assurances were given by the Director of Education on redundancy and the intention of the Authority to maintain the existing capability in Mathematics and Science but these were undermined by indications that 'A' Levels were to be withdrawn from the college within a few years.

Few difficulties were met in agreeing a faculty and schools academic structure at an early stage. Further work on the schools structure and administration was left until the Principal and his senior colleagues had been appointed. The Principal, previously the Principal of the College of Education, was appointed in December 1974 and the two Vice-Principals,
four Deans, a Dean of Administration and Director of Studies (all appointed from among existing staff) had been appointed by early April 1975. This Senior Management group were asked by the Working Party to produce detailed proposals on the schools and administrative structures and these were approved at the last meeting held on 20th June, 1975.

A number of possible organisational models were identified for administration which involved varying degrees of centralisation/decentralisation related alternatively to sites or faculties. Fears of over-centralisation were voiced early in the deliberations of the Working Party and these were heeded. The structure adopted was site based with each site carrying responsibility for selected aspects of college administration as well as day-to-day operations relevant to the faculties on site. The Dean of Administration was given overall responsibility for administration and also acted as Clerk to the Governors.

The other major issue, namely the drafting of the Instrument and Articles of Government, produced a major disagreement between staff and representatives of the LEA. Staff invoked the letter and spirit of Circular 7/70 to challenge the initial allocation of 15 out of 33 places on the Board of Governors to county councillors. Supported by the DES (to which formal objections had been submitted by staff) the final version produced a Board of 36 members of which 12 were county councillors, 5 were academic staff (Principal plus a representative from each faculty), 1 representative of non-academic staff, 3 teacher representatives (one each from the Primary, Secondary and FE sectors), 3 students, 2 representatives from the University/Profession Institutes, and 2 specialists co-opted on the basis of their interest in HE.

2. **THE BOARD OF GOVERNORS**

2.1 **Status and Role**

In terms of status within the Authority, the Board of Governors retained that enjoyed by the Governors of the College of Education (a sub-committee
of the Education Committee in its own right) rather than that afforded
the Board of the College of Technology (which reported, as did the
Colleges of FE, to a Vocational Sub-Committee).
In effect the Board of Governors took charge of resourcing, determined
and supervised the overall administrative and organisational arrangements,
and assumed responsibility for the general direction of the college in
line with the role and place assigned to it in the local education
system by the LEA.
The Academic Board assumed responsibility for the planning, co-ordination,
development and oversight of the academic work of the college while
delivering these functions, as far as possible, to faculties.
While it was clearly established from the outset that the Board of Governors
and Academic Board operated in distinct spheres of interest issues of
protocol did arise from time to time which reflected an inherent tension
in the relationship, particularly during the early years.
There was also the fact that staff governors (elected by their peers and
requiring endorsement from NATFHE) acted as a representative group
rather than individuals and continued the determined, non-deferential
stance displayed at meetings of the Merger Working Party.

2.2 Chairman
The first meeting of the Board of Governors took place on 15th June, 1975
and two senior county councillors were appointed Chairman and Vice-
Chairman, the former previously a member of the old County Council and
the latter a member of the old County Borough. The Chairman had been
Chairman of the College of Education for 6 years, was strongly identified
with the Principal and its staff, and in the habit of visiting the college
regularly and taking a direct personal interest in its management. This
style of operation was carried over into the College of Higher Education
and as a result a considerable amount of the Board's business was processed
through the Chairman and Vice-Chairman whose reports to monthly meetings of the full Board were generally approved without question.

It was primarily through the Chairman that matters involving County Hall were dealt with and he ensured that he was suitably involved in, and appropriately briefed on, such matters.

2.3 The Completion of Organisational Arrangements

2.3.1 Academic Organisation

The Articles of Government provided for an academic organisation which consisted of an Academic Board and Faculty Boards. Once the basic structure had been approved senior management were given the responsibility for producing proposals for making the structure operational but the Governors required that the proposals should be approved by them in the first instance. Once approved they formed the basis for discussion within the wider constituency of academic staff. The proposals produced by senior management proved generally acceptable except for the representation of academic staff on Faculty Boards which was strengthened at the insistence of staff and with the approval of governors.

2.3.2 Management Structure

The management structure of the college was largely completed during June and July 1975 with the appointment of Heads of School, who were placed on the Principal Lecturer salary scale, with automatic promotion through the bar, and an allocation of remission from teaching duties related to the size of the School (5 standard hours for all Heads of School out of a required conditions of service 16 hours per week, plus 1 hour for every two members of staff in excess of ten). Most Schools contained 8-15 members of academic staff and the intention was that Heads of School should act as academic leaders rather than assume the traditional role of a Head of Department in a College of Further Education. All appointments were made from existing staff within the college.
The task of maintaining a stable and appropriate management structure, particularly at senior management level, was complicated by the early departure of one of the vice-principals to become principal of one of the Authority's Colleges of FE after two terms of the first academic session. No replacement was appointed and it became necessary to reallocate his duties, notably the co-ordination of academic staff development and student support services, among other senior staff. A special sub-committee was appointed by the governors in March, 1976 which reported to the May meeting and which recommended the appointment of two Assistant Principals, involving redesignations for the Dean of Administration and the Dean of the Faculty of Education, and the creation of a new post, based in the Faculty of Education, of Senior Tutor. There were procedural difficulties in implementing these proposals, notably over designation and salary scales, and it was necessary to seek advice and clearance from CLEA and the Burnham Committee. Reports and revised proposals were presented periodically to the governors but the matter was not finally settled until July, 1978, with the outcome mainly influenced by the negative responses from Burnham and CLEA and the report on the institutional review conducted by the CNAA.

2.3.3 Consultative Procedures

The Chairman, supported by his Board, was keen that there should be full consultation with staff and students on matters affecting the life of the college (Minutes, 23rd June, 1975) and cultivated both informal and formal links with representatives. Initial consultations over the distribution of academic staff between faculties proved highly successful with one case only going to appeal. Those over grades and distribution of non-academic staff were more protracted and required final resolution at County Hall because of cost considerations and the involvement of NALGO. Draft proposals for formal consultative machinery in the form of three
JCC's for academic staff, non-academic staff and students were approved by the Board as a basis for discussion on 25th September, 1975. The arrangements for non-academic staff and students were quickly finalised, but those for academic staff were delayed until the national merger of the ATTI and ATCDE had been accomplished with the creation of the National Association of Teachers in Further and Higher Education (NATFHE).

2.4 Finance

When presenting the Estimates for 1976/77 at the December, 1975 meeting of Governors the County Treasurer brought the bad news that a £30,000 adjustment had been made to meet the Government's nil growth requirement. The apprehension generated by this news quickly turned into alarm as it became known early in 1976 that the Authority was seeking more substantial cuts, which were eventually disclosed at £102,500. These were to be achieved by a unilateral adjustment to conditions of service of academic staff in all colleges which was estimated to save £41,500 and a further contribution of £61,000 from the college.

The special meeting was held on 9th April to discuss a report from the Principal on College Estimates for 1976/77 in which he presented his proposals for achieving economies. The major saving was to be achieved by the removal of lower category courses and the remainder by the aggregation of a number of economies, which though in themselves modest, together produced a substantial sum. The Report was accepted as a basis for discussion with the Authority and attempts were made to seek assurances against further reductions in 1977/78 which the Director of Education was unable to give. Discussion at the meeting focused on the place of lower category courses in the overall course provision, possible methods of staff redeployment and the need for a joint approach by the Authority and Governors to avoid confrontation with staff, a situation considered unimaginable. Signs of possible conflict had been conveyed to each governor in the form of a letter sent by the strongest of the three
college branches of NATFHE which opposed the cuts and which sought assurances on full consultation as policy decisions were made.

Hopes that the Authority could honour the 'standstill' budget portrayed in the 1977/78 Estimates placed before Governors in December, 1976 were dashed by the County Treasurer who warned that substantial cuts were in prospect. It soon emerged that cuts of £100,000 were required and that they could only be achieved by redeployment of staff out of the college into schools and colleges of further education and the implementation by the Authority of the CROMBIE CODE (Colleges of Education Compensation Regulations, 1975) allowing for voluntary redundancy on favourable terms. The Principal presented proposals to the January, 1977 meeting of the Board which involved the non-replacement of 4 lecturers retiring or resigning, and the redeployment into other county education establishments of 10 lecturers.

Staff quickly mobilised to resist the cuts and NATFHE organised a mass lobby prior to the January, 1977 Board meeting and distributed letters to each member arguing against cuts and complaining about the absence of consultation over redeployment procedures. The cuts were confirmed but steps were taken to implicate NATFHE in the retirement and redeployment exercise which was successfully completed by the end of the academic session.

2.5 Accommodation Problems

The rehousing of the College of Art and Design in a new building had been in prospect for some fifteen years before the merger. Courses were spread between a main site in the centre of town and several annexes distributed around and about, mainly in old school buildings in varying degrees of dilapidation. Steps were taken soon after the merger to transfer minor works funds to the Faculty of Art and Design in order to deal with the more blatant health and safety problems found in the annexes. Concern over the accommodation used by the
Faculty was confirmed in a report from CNAA presented to the Board in January, 1976 which consisted of reviews of the two degrees in Fine Art and Graphic Design. It became clear to the Principal and Chairman that a major building development was required to rehouse the Faculty and such a recommendation was presented to the Board in June, 1976, with an estimate that it would take some five years to complete.

2.6 The Role of the College and its Relationship with the LEA

The deliberations of the Merger Working Party exposed many ambiguities over role and mission which were unresolved at the time of the merger. The periodic reports which the Board was required to send to the Education Committee (one per term during the first session and half-yearly thereafter) took the opportunity to point up the difficulties which such ambiguities presented.

The third report submitted in July, 1976 revealed that the Authority had yet to produce a corporate view of the role of the College of Higher Education. It was reported that representatives of the Governors and the Authority had met in an attempt to arrive at a closer definition of the college's role within the local education system but that it had been left to the Principal and the Director to prepare a joint report for submission to the Board of Governors which would enable more detailed development plans concerning the educational character of the college to be made.

The discussion paper which emerged in October, 1976 was not a joint report but GUIDELINES FOR A COURSE DEVELOPMENT PLAN prepared by the Principal which explored possible avenues for course development and also addressed itself to the likely need to redeploy staff within the college and/or the authority. A special sub-committee of the Governors was set up to consider the Principal's 'plan' which was also referred to the Academic Board for its response.

Further references were made to the formulation of a development plan in the reports submitted to the Authority in January and July, 1977.
2.7 Developments in the External Environment

2.7.1 Teacher Training Targets and their Allocation

It was recognised at the September 1975 meeting that the targets prescribed by the DES for the college would become an integral part of a development plan for the college under preparation by the Principal. The targets were announced by the Secretary of State on 24th January, 1977 and to the great relief of Governors and staff the college was given a target of 500 for 1981/82. Other colleges in the Principality were less fortunate and the planned reduction of 850 places required the closure of two teacher-training units. A campaign was quickly mobilised by their authorities against the decision and representatives of the county council became implicated in the lobbying of the DES organised by the Welsh Joint Education Committee. The Board of Governors, anxious that any reconsideration forced upon the DES might put the college at risk, planned, at the February 1977 meeting, to alert local MP's and County Council representatives on the WJEC to the possible danger. The final decision was confirmed in a letter received from the Welsh Education Office in July 1977 which announced a reduction of 50 in the original target of 500 fixed for the college in 1981/82, an adjustment necessary to permit the survival of one of the units rescued from closure as a result of the campaign mounted at the WJEC and elsewhere.

2.7.2 The Management of the Public Sector of Higher Education

Though not an obtrusive issue during the first two years, the Governors were kept informed, as they occurred, of developments in national policy for the management of higher education in the public sector. They were alerted at the June 1977 meeting, for example, to the setting up of the working group under the Chairmanship of Mr. Gordon Oakes, Minister of State at the DES to consider The Management of Non-University Higher Education. Copies of the DES Report on Education (No. 40, May 1977),
which provided the background to, and explained the work of, the Oakes Working Group, were distributed to each governor.

2.7.3 The CNAA Institutional Review

The external body which impinged directly on the college was the Council for National Academic Awards. Reference has already been made (page 282) to the CNAA quinquennial reviews of the degrees in Fine Art and Graphic Design and the concern expressed in their report over buildings and facilities, which prompted a number of initiatives from the Chairman. Given such concern it was recognised that an Institutional Visit in March 1977 from a panel representing the Council of the CNAA, the purpose of which was to establish whether the college provided an environment suitable for CNAA-validated courses, was likely to prove critical for the future of the college. The Chairman and Board took an interest in the preparations for the visit and the comprehensive report prepared by the college for submission to CNAA prior to the visit was approved in draft form by the Governors before final completion and dispatch. The initial impression gained of the visit was generally favourable and the verbal report presented by the Principal to Governors on 24th March, 1977 gave little indication of the far-reaching conclusions and recommendations which were to be contained in the written report which arrived at the college in July (see Section 6 below).

3. THE ACADEMIC BOARD

3.1 Sources of Tension

Reference has already been made to the latent tensions between the Academic Board and the Board of Governors as each sought to assert the authority seen by them to derive from the Instrument and Articles of Government and to establish appropriate spheres of influence. No less significant was the potential for conflict within the Academic Board as the representatives of each faculty, imbued with pre-merger loyalties
and perceptions, instinctively inclined to partisan positions. Equally significant was the division between senior managers and ordinary members of the Board. The former were left in no doubt that they faced high expectations, that their managerial performance would be subject to constant scrutiny and that there was an obtrusive absence of deference to rank, notably among the 'tribunes'.

In the early years of the merger, therefore, the Academic Board was frequently a competitive, charged and testing forum for senior managers.

3.2 Course Development

Establishing a viable College of Higher Education was seen from the outset to depend, above all, on developing an appropriate mix of courses, notably advanced courses. Course development, therefore, became a major preoccupation reflected in the deliberations of the Academic and Faculty Boards. Corporate planning during the first two academic sessions was seen very much in terms of establishing an appropriate course mix. The first meeting of the Board, enjoying interim status only, in November 1975 was called to consider proposals from faculties for courses to start in September 1976 and September 1977. The majority were advanced courses and therefore required approval from the Regional Advisory Committee (for Wales, the WJEC) and/or the Regional Staff Inspector to whom they would be submitted by the Authority after clearance from the Academic Board. It was recognised at that first meeting that submissions to RAC and RSI represented the preliminary stage of a development plan and that even if a 'bid' was approved a course would only be offered by the college if certain criteria of course coherence were met and adequate resources were available.

A set of workable criteria was produced by the Director of Studies for screening the 25 course proposals submitted to the Academic Board but they were given scant attention in what became a competitive bidding
situation both within and between colleges, with new degrees as the ultimate goal. By the same time the following year the bidding had become very degree-oriented. While these bids were being conceived and processed the college was required to discard lower level courses in order to achieve the economies required of it by the Local Authority.

3.3 Resourcing

3.3.1 Cuts in College Estimates

When the properly constituted Academic Board met for the first time in February 1976 the major item on the agenda was the proposed cut of £102,500 in the 1976/77 College Estimates. A paper was tabled from Senior Management which made clear that the savings required of the college could only be made through the staffing budget, with part-time lecturer hours as the prime target. The paper, which openly declared a preoccupation with tactical options, also raised the issue of course portfolio and the vulnerability of low category courses. In the last resort two main options were identified, a scaled down 'status quo' or a college of a different nature (by implication offering a higher proportion of advanced courses). The paper was given a critical reception, particularly because of the absence of a more clearly defined strategic framework, and the Academic Board resolved that:

the paper submitted to this meeting be referred back to the Senior Management Team for re-drafting in a form more likely to assist discussion at the Academic Board on the future character of the college.

A revised document was produced for the next meeting of the Board held on 1st April, 1976 bearing the title College Development and Estimates 1976/77. While acknowledging the need to put the cuts exercise into a general planning framework the introduction recognised that it fell short of a detailed long-term development plan, considered to be premature in prevailing circumstances. Even so, the paper was given higher marks for content and presentation than the first draft. The reductions planned for
September 1976 were placed in their financial, local and regional contexts and linked to course provision. Options for achieving economies were considered with the focus of attention on their ramifications for course-mix and redeployment/retraining and long-term implications. The paper concluded:

Little or no growth seems to be possible before 1980, so that the general policy should be one of replacing low category courses and declining areas by courses of higher category in possible areas of expansion. The Faculties of Science and Technology and Education should be given an opportunity of exercising their vision and practicality in developing substantial vocational courses involving research and consultancy over the next few years - but, in the event of failure in these endeavours, the model of a college within which some existing sections will be operating with much reduced involvement, may be inevitable.

The paper aroused serious misgivings and staff pressed for the addition of an introductory section which would highlight for the Governors the problems associated with an FE/HE strategy in the County which left the college as other than a 'comprehensive' institution. Questioning was combative and frequently rhetorical. Members wished to know if, for example:

a) it was intended that the college should become an 'elitist' institution concentrating on degree-level work or its equivalent;

b) it could be contemplated that the college might exist without a major capability in science and technology;

c) a detailed plan existed for the redeployment of staff, …… …

The Faculty put under greatest pressure as the result of the proposals was the Faculty of Science and Technology and the sharpest questioning came from its representatives, including the Dean.

The Board was in the final stages of completing a major planning exercise in December 1976 when it was confronted by another cuts crisis. The first stage of the planning exercise centred on the paper GUIDELINES FOR A COURSE DEVELOPMENT PLAN presented by the Principal to the Governors on 28th October, 1976 (see page 282) as his contribution to providing a
closer definition of the college's role within the local education system. In the paper the Principal drew attention to the vulnerability of colleges and institutes of higher education because of the ambiguity which continued to surround their role, cuts in public expenditure, the bias in favour of polytechnics and the recent downward revision in student projections produced by the DES.

In the face of such uncertainties the paper considered the future of the college in terms of establishing a balance between three main types of educational provision:

a) non-advanced courses provided chiefly for the 16-19 age group;

b) professionally oriented courses of advanced and non-advanced categories for the post-18 age group; and

c) a variety of vocational and non-vocational courses to provide a system of continuing education for the community.

A more detailed examination of each group suggested which courses could legitimately be retained for the first type of provision, established the second as the major concern of the college with emphasis placed on the need for a determined effort ... to achieve some first degree commitment in each Faculty of the college but not at the expense of the development of a comprehensive range of advanced professional courses or the provision of an adequate and responsive service to local industry, and explored a number of avenues for continuing education dependent on the support of the Authority. The paper concluded with a brief section outlining a possible approach to staff development which indicated that it should form one of the constituent elements of a development plan, suggested how a staff audit might be linked to projections of future staffing requirements and emphasised the need for redeployment and retraining.

For the second stage of the planning exercise, conducted by the Academic Board on 8th December, 1976 a supplementary paper was considered which
quantified the aspirations of faculties for the period 1977-81, together with their resource implications, and outlined a strategy considered to have the best chance of success in terms of securing RAC and RSI approval and making the best use of existing or redeployed resources. The supplement also spelled out in detail the major constraints likely to inhibit development (including the need to achieve a 10:1 student staff ratio for the college). Their identification did not, however, deter faculties from submitting ambitious competitive programmes for development which largely ignored resource constraints, despite obtrusive gaps between their projections and what the future was likely to bring. Even as the Board was deliberating it was being overtaken by events and had to be hastily reconvened on 15th December, 1976 to find economies of £100,000 for 1977/78. In order to prepare for the 15th December meeting the Principal had asked:

a) the Dean of the Faculty of Education to conduct a feasibility study into the extent to which it was possible to bring forward to 1977/78 the redeployment of staff anticipated for 1978/79 and 1979/80;
b) each Dean to investigate the effects of reducing or removing the Burnham FE Category IV courses offered by his faculty;
and had conducted his own investigation into the feasibility of making reductions in extra-Faculty services.

It was reported on 15th December that redeployment could be brought forward, subject to certain reservations, in Education. Consideration of reports on Category IV courses led to the passing of the following resolution:

The Academic Board requests the Faculty of Science and Technology to draw up a programme to phase out 'A' Levels over two years (understood to mean one further intake of students) together with the redeployment of teaching staff in the relevant areas of study.

Details were provided to the Academic Board by the Principal on 20th January, 1977 of the specific proposals which he intended to put before the Governors later in the month on how the £100,000 reduction in expenditure was to be achieved. The Faculty of Science and Technology
reluctantly accepted the removal of 'A' Level courses and pressed for the creation of a Foundation Course for engineering which would act as 'feeder' in much the same way as that for Art and Design. The idea was pursued with the Director of Education, who proved unsympathetic.

3.3.2 The Distribution of Revenue and Capital Allocations

The dependency of the Academic Board on Senior Management for resolving resource allocation problems was initially evident in the annual round of reconciling bids and allocations for Revenue and Capital expenditure. The task was accomplished on 17th May, 1976 for the 1976/77 financial year without demur from the Academic Board, with the Faculties of Art and Design and Science and Technology being the major beneficiaries under both heads. They were again major claimants and beneficiaries the following year but on this occasion (5th May, 1977) the Academic Board refused to accept the recommendations on revenue allocation which were referred back to Senior Management with the request that:

the case presented at the meeting by representatives of the Faculty of Art and Design be borne in mind when the decision was being arrived at. It was further agreed that, in future, when matters involving the allocation of funds were presented, they should be accomplished by information relating to the principles on which the allocation was based.

Members of the Board were impressed by the merits of the case presented for Art and Design not least because of projected course developments and believed that the reconciliation should be based on a calculus of rationality rather than what appeared to be expedient even-handedness.

3.4 Academic Committee Structure

Members of the Academic Board were at their most assertive over matters of academic organisation. One of the first matters to be settled on 25th February, 1976 was the composition and role of Faculty Boards. While the more radical proposals, such as the annual election of a Chairman, in preference to an ex officio Dean, were lost, elected representation was strengthened as was each Board's right to approve the Dean's two nominees (for which support from Board of Governors in the form of a reference back to the Academic Board for reconsideration was
Several attempts were made by senior management to obtain the agreement of the Academic Board to extend the academic committee structure beyond faculty boards, but without success. A comprehensive set of proposals was presented to the Academic Board by the Secretary to the Board and the Director of Studies on 7th October, 1976 and discussed at length at that meeting and one called a week later to continue the discussion. The Academic Board refused, however, to approve the creation of permanent standing sub-committees for Course and Curriculum Development, Learning Resources and Staff Development preferring these activities to be co-ordinated at the executive level. Preference was also given to the expedient of setting up cross-faculty working parties or internal course-validating committees as needs demanded.

4. SENIOR MANAGEMENT

The group identified as Senior Management (see page 256) though unmentioned in the Articles of Government, quickly acquired significant role, not least because of the expectations of staff who wished to see the managers manage, that is to accept responsibility for the many difficult decisions which had to be made in the early, turbulent years.

Regular monthly meetings, chaired by the Principal, were called with additional meetings arranged as necessary. Initially preoccupied with organisational structures and processes and course development, meetings from the second term of the 1975/76 session became dominated by cuts in estimates which remained the dominant issue for the whole of the period under consideration and severely strained corporate loyalties, notably among the Deans.

Following the receipt of the CNAA Report (see section 6 below) in July 1977 Senior Management became heavily engaged in producing responses and actions designed to meet the major criticisms contained in the report.
The minutes of the Faculty Boards reveal significant differences between the faculties in modes of operation and management styles.

The two faculties which originated in the College of Technology accorded the Dean of Faculty and Heads of School a significant role as a management team. They were expected by their staffs to provide academic leadership, co-ordinate the work of the faculties and promote their interests in the appropriate arenas within and outside the college. As between the two faculties the Dean played a more dominant role in the Faculty of Science and Technology. In the Faculty of Management and Business Studies the Dean and Heads of School were seen to operate more conspicuously as a management team accountable in some measure to staff for their stewardship.

Meetings of the Faculty Board were largely conducted as dialogues between the team and staff in which issues relating to individual schools, the faculty as a whole and the college were freely discussed. The Faculty Board showed a strong interest in college management and was quick to draw attention to gaps in performance. Of the two faculty boards that for Science and Technology met most frequently, twice in 1975/76 and nine times in 1976/77, with Management and Administration meeting once in 1975/76 and five times in 1976/77.

The Faculty of Education adopted a more collegial mode of operation. It was the only faculty to set up a permanent sub-committee structure and to hold annual general meetings at which elections to sub-committees were held and to which an annual report was presented by the Dean of Faculty. The Dean was viewed very much as head of the faculty and chairman of the Faculty Board and regarded as somewhat apart from his Heads of School who operated largely as team leaders representing the interests of their schools. Heads of School and individual members of staff were free to present initiatives and make formal representations to the Faculty
Board which they frequently did by correspondence or the presentation of discussion documents or reports. A number of important initiatives, such as the international exchange programme, originated in this way. In many respects the Faculty Board operated much as the Academic Board of the College of Education had functioned and enjoyed similar status and authority. It met twice in 1975/76 and on ten occasions in 1976/77. The Faculty Board of the Faculty of Art and Design operated in a much less structured manner. Even so, it met frequently (nine meetings were called in 1976/77) and provided the major corporate focus of the faculty and its agendas and mode of conducting business reflected the importance of the schools as operational units, the role and status of the Heads of School and the influence exerted by interested individuals. The Dean was subject to considerable pressures from the schools as Chairman of the Faculty Board and as the faculty’s senior manager. Considerable latitude was permitted for the inclusion of items on the agenda, reflecting both strategic and domestic concerns.

5.2 Initial Preoccupations

The Faculty of Art and Design wished above all to retain as much as possible of the identity won by the old College of Art. It did not wish to be submerged in a bureaucratic organisation which would cramp its style, diminish its status, and deny it the resources necessary to extend its degree provision.

The Faculty of Education was preoccupied with shoring up defences against a number of threats in the external and internal environments. It quickly established a Dip.H.E. leading to a B.Ed., which was its major concern during the run up to the merger, but had to wait until January 1977 to discover whether it had a future, however diminished, in teacher training. In any event it was known that there would be a significant reduction in student numbers and that there was a need to diversify to compensate for the contraction in teacher training. Efforts were concentrated, therefore,
on developing new degrees, generally involving some measure of co-operation with other faculties, which exploited known academic strengths.

A corporate policy giving greater prominence to advanced courses, especially degrees, was regarded by the Faculty as crucial to its own future and that of the college as a whole. The other major concern was, of course, the anticipated reduction in staffing the scale and timing of which depended on success with diversification and the general financial climate.

The Dean of the Faculty of Management and Business Studies lost no opportunity to publish an expansionist manifesto which drew the attention of the college to the great scope for development available to the Faculty if given the necessary resources. In his view standstill was not an option, the choice lay between expansion and contraction, and there was no doubt as to which option he preferred, and which his Faculty Board fully supported. The expansionist theme dominated the faculty's contributions to the planning exercises conducted by the Principal and Senior Management. Another preoccupation of the Faculty Board which was present from the outset, but which became more obtrusive with the appointment of a new Dean (R) in May 1977, was the development of management systems. The academic base of the Faculty, giving prominence to general management, personnel management and industrial relations, naturally coloured staff perceptions of the adequacy of organisational arrangements and the performance of senior colleagues with managerial responsibilities.

While the merger generated, in varying degrees, threats to all four faculties, sensitivities and anxieties were most acute in the Faculty of Science and Technology which from the outset faced the prospect of losing certain low level courses, notably 'A' Levels and certain TEC national diplomas and certificates, the retention of which was regarded as necessary to support a sufficiently large body of academic staff to cope with the
specialist requirements of advanced courses. The negotiating powers of the Colleges of FE, allied with county policy on the distribution of advanced and non-advanced courses as between the Colleges of FE and the College of HE, left the Faculty with only one of the three TEC courses (namely Instrumentation, the two lost being Metallurgy and Plant Engineering) which matched previous craft course provision. The phasing out of 'A' levels was accelerated by cuts in college estimates. The signals transmitted by the Faculty, therefore, were of betrayal and disaffection - in short, a faculty at odds with the rest of the college whose entire future was being undermined. So serious was the Faculty's concern over the future of science and technology in the college that a special meeting was arranged with the Principal on 17th November, 1976.

The Principal was able to offer little comfort on the loss of low level courses and expressed a wish to see at least one degree course in each faculty. The Dean regarded the prominence given to degree development as misplaced and viewed the trend towards advanced full-time courses as diminishing the status of the crucially important service given to local industry in the form of vocational and professional part-time courses.

5.3 Shared Preoccupations

However distinctive their modes of operation, management styles and initial preoccupations the faculty boards also shared many concerns.

5.3.1 Course Development

The Faculty of Art and Design sought to promote degree courses in 3D Design, Fashion and Photography. These were subject to RAC and RSI approval and involved discussions with specialist HMI. Information reached the Faculty Board in July 1977 that the first had been approved, a final decision had yet to be reached on the second with the third turned down.

The Faculty of Education was concerned to diversify course provision in the way most likely to protect the security of employment of academic staff. Efforts were made to provide alternative study routes for students not
wishing to proceed to the B.Ed., following completion of the Diploma in Higher Education. Overtures were made to the Faculty of Management and Administration to extend the Dip.H.E. into Business Studies and Administration but these made little headway due to the priorities fixed by that faculty. Even so there was collaboration between the two faculties in the development of two free standing degrees (i.e. not linked to Dip.H.E.), a BA in Applied Behavioural Studies, sponsored by the Faculty of Management and seen as a potential source of redeployment for staff in Education, and a BA West European Studies, sponsored by the Faculty of Education, having the same potential attraction. Neither, in fact, succeeded in securing approval though the former went as far as the National RSI Committee.

Once the teacher training targets for 1980/81 were known considerable interest was shown in in-service training for teachers since, within the full-time equivalent figure, 20% was supposed to be accounted for by INSET, an activity which had tended to be neglected in the past.

As has been indicated in 5.2 above, the Dean of the Faculty of Management and Administration pursued an unashamedly expansionist policy. In a paper presented to the first meeting of his Board on 24th June, 1976 he listed 18 areas of potential development which, if realised, would require 50 additional members of staff. A further paper was presented on 11th November, 1976 representing the Faculty's contribution to the planning exercise initiated by the Principal. Potential developments were considered at degree level (the prospects for a BA Applied Behavioural Studies were regarded as reasonable following discussions with HMI, but the future of a B.Sc. Systems Management seemed less promising, though development work was proceeding), at professional level (with bright prospects identified for Accounting, Banking, Insurance, Administration and Social Work), for the Dip.H.E. (with cross-faculty co-operation presenting difficulties), and for the consolidation of
part-time course needs. As it transpired the doubts over the B.Sc.
Systems Management were justified and while the BA Applied Behavioural
Studies reached the final hurdle of the RSI National Committee it was
turned down in favour of a competing proposal from the Polytechnic.
The resource implications of bringing new courses on stream were estimated
at 7½ extra staff for 1977/78, 6 for 1978/79, 6 for 1979/80 and a further
6 in the two succeeding years.
The Faculty of Science and Technology was involved in course development
on two fronts. The first related to Technician Education Council courses
which were being developed and allocated on a county-wide basis through
a consortium of colleges (FE and HE) chaired by an Assistant Director of
Education. The principle was adopted that, with a few exceptions,
the national level courses should be provided at the Colleges of Further
Education and the higher level awards at the College of Higher Education.
Controversy surrounded the exceptions to be allowed and the Faculty of
Science and Technology pressed that the College of Higher Education be
allocated national awards in Instrumentation, Plant Engineering and
Metallurgy. It succeeded with the first two but failed with the third
and progress, or lack of it, was reported to the Board from time to time.
The second area of development related to degree courses, over which the
Dean of Faculty had strong reservations but despite which a number of
proposals were worked on and brought to the Board by working parties
created for their preparation. As a result two proposals, one for a
B.Sc. Technology and another for a B.Sc. Data Processing were among
10 bids approved by the Board on 4th November, 1976 for submission to
Academic Board and from there to RAC and RSI. The remainder consisted
of professional and diploma qualifications in specialist technologies.
Neither of the degree proposals succeeded beyond RAC and RSI.

5.3.2 Cuts in Estimates
The cuts were seen in each faculty as a serious threat to existing and
intended courses and the Deans and Heads of School were expected to
mobilise strong cases to combat the threat.

The Faculty under greatest threat because of the pressure to remove lower category courses was Science and Technology. Feelings ran high at the meeting of the Faculty Board held on 4th November, 1976 and it was resolved to seek an urgent meeting with the Principal, involving the Board in the first instance and then the whole Faculty. The Principal was left in no doubt at a meeting arranged on 17th November of the strength of feeling among staff. He was subjected to close questioning following the presentation by him of an opening statement which explained the corporate role of the Academic Board, the responsibility of faculties to initiate development, his wish to see the development of a balanced Institution with a degree course/courses in each faculty, and his concern over difficulties experienced in reaching agreement with the Authority on the role and future development of the college. During questioning he held out little hope for reversing decisions on course rationalisation.

Within a month the fate of the lower category courses had been sealed by the need to find savings of £100,000 in the 1977/78 College Estimates. The Faculty Board, at the meeting held on 19th January, 1977, accepted the inevitability of the loss of 'A' Levels other than Computer Studies but mounted a rearguard action to establish a Foundation course, made up of Pure and Applied Maths and Engineering Science pitched at 'A' Level standard, which would feed students into the Higher National Diplomas. Following protracted discussions with the Director of Education it was made known to the Board on 11th July, 1977 that the proposal had been turned down.

In his 1976/77 Sessional Report the Dean presented the Faculty as victim of circumstances beyond its control, spelled out the damaging effects of the removal of lower category courses and questioned the orientation of the college towards higher category courses, particularly degrees. It was his view that adequate degree course provision for Science and Technology was being made by Universities and Polytechnics and that priority
should be given to providing a comprehensive service to local industry by educating and training technicians, technologists, engineers and scientists. He ended his introduction to the review as follows:

*It is better that we use resources to do what we can do well rather than compete in areas where we can never be anything but second rate. Furthermore, such a diversion can only lead to a deterioration of our main service.*

He also expressed concern that if the role of the Faculty was not explicitly declared now it was likely that essential members of staff would leave through disillusionment.

5.3.3 Redeployment and Retraining of Academic Staff

The two faculties with the strongest interest in redeployment and retraining were Education and Management, the former as a potential exporter and the latter as an importer of staff. It was feared within the Faculty of Education that a significant reduction in staffing would become necessary sooner or later and the Board accepted the need on 6th October, 1976 to conduct a staff audit linked to projected student numbers. The same meeting revealed a reluctance by staff to accept redeployment to other faculties, even on a servicing basis. The necessity for an accelerated programme of redeployment followed the announcement of the reduction of £100,000 in College Estimates for 1977/78 and its implementation became a matter for the Board of Governors and the Authority, with staff interests being represented by the Co-ordinating Committee of NATFHE.

In view of its expansionist ambitions the Faculty of Management became increasingly impatient with the lack of progress on redeployment and retraining and pressed for a corporate staff development programme. Strong disappointment was expressed at the meeting held on 4th March, 1977 that an outline redeployment plan had been deferred and that no senior member of staff had been given responsibility for personnel matters.

In the absence of a college policy the Dean (R), newly appointed to the Faculty in May 1977, determined to take a faculty initiative. The first
part of a draft paper on Staff Development, prepared in consultation with Heads of School, was presented to a meeting of the Faculty Board held on 30th June and approved in principle while a complete policy and operations document was approved for implementation at the 19th October meeting.

5.3.4 Publicity and Promotion

The Faculty of Management was also the most vocal in its criticisms of the co-ordination of college publicity and promotion, a concern shared by all faculties. A report prepared for the Faculty Board on 11th November, 1976 by a faculty lecturer in Marketing, exposed the difficulties being experienced as the result of a lengthy and elaborate chain of communication for placing advertisements and the absence of a corporate promotional strategy. He recommended that the Faculty should seek control over its own advertising budget, despite the fact that this would decrease, even further, the likelihood of developing a corporate strategy.

The Academic Board agreed that improvements were necessary and requested a report from the Publicity Committee (chaired by the Vice Principal with representation from each faculty) which was slow to respond.

5.3.5 CNAA Institutional Visit

The visit had varying significance for the faculties which is reflected in the amount of attention claimed by it at Faculty Boards. The visit had particular significance for the Faculty of Art and Design and hence appeared regularly on the Faculty Board's agenda, once the date of the visit was known. The college needed to convince CNAA that it provided a suitable environment for CNAA-validated courses not only to secure the future of the existing degrees in Fine Art and Graphic Design but also to make possible the provision of new degrees which were to be submitted to CNAA for validation.

The Faculty of Education considered the visit to be of marginal significance in view of its exclusive involvement with the University of Wales by whom it was considered to be highly regarded.
Apart from the Faculty of Art and Design, the Faculty of Management was the only faculty offering a course validated by CNAA, namely the Diploma in Management Studies. Members were only too well aware, therefore, of the importance of an Institutional Visit. Other than exhortations from the Dean for full commitment and support on the day of the visit, however, little preparation was undertaken at faculty board level and final details of the agreed programme were distributed by Heads of School. The importance to the Faculty of Science and Technology of the visit was recognised since the Board favoured CNAA validation for its degree proposals. Information on the visit was provided as it became available and a detailed briefing on the programme for the inspection was given by the Dean at the meeting of the Board held on 4th March, 1977.

6. THE CNAA INSTITUTIONAL REVIEW, MARCH 1977

6.1 The Significance of the Review
The importance of what was generally referred to as 'the CNAA visit' was recognised at all levels. For the faculties currently offering or aspiring to offer CNAA-validated courses a favourable outcome was necessary for survival and development. For senior management the visit represented an 'inspection', a review of their stewardship and leadership, and an evaluation of their success in getting the college into shape in accordance with approved general principles. For the Governors and the Authority the visit represented the first major appraisal by a prestigious national body of "their" new college.

6.2 The Visit

6.2.1 Preparations
Clear guidance was given by the Council on the information it required prior to the visit and the kind of timetable it wished to have organised for the panel (see Appendix A for guidance circulated within the college). The task of gathering the information and assembling a document was given to the Director of Studies, working under the guidance and instruction of
the Principal. A draft was produced early in January 1977 which exactly matched guidance from CNAA. This was approved by the Governors on 27th January, 1977 with the knowledge that amendments and additions would be necessary prior to submission to CNAA. The final main document was essentially a compendium of descriptive information, presented in summary form and accompanied by 5 supplementary papers. The last section headed COLLEGE DEVELOPMENT PLAN contained two parts, an amended version of the Principal's first planning document Guidelines for a Course Development Plan (see pages 287-288) together with an assessment of PROVISION OF RESOURCES.

In view of the cuts made in College Estimates for 1976/77 and 1977/78 and the known emphasis placed by CNAA on adequate resourcing, the college was seen to be most vulnerable in this area.

Details of the visit were circulated to Faculty Boards and general exhortations made by the Deans for staff to rally to the common cause by displaying loyalty and commitment on the day.

6.2.2 The Visiting Panel

This consisted of the Assistant Chief Officer and Registrar of CNAA (Chairman), three Principals of HE institutions, the Deputy Director of a Polytechnic and an Assistant Director of one of London University's Colleges, and four Heads of Department. They were accompanied by 5 CNAA officers.

6.2.3 Programme for the Day

Following a short private session the visitors spent 1½ hours with the Principal and his senior colleagues with attention focused on the role of the Academic Board, the absence of a sub-committee structure, the roles and academic leadership responsibilities of the Deans of Faculty and Heads of School, course and curriculum development, arrangements for internal validation and monitoring of students, staff recruitment, redeployment and retraining, and planning and policy formulation.
A number of these issues were further explored when the party split into groups in order to visit various parts of the college, where they examined general facilities and talked to selected groups of staff and students. After a lunch attended by representatives of the LEA (senior councillors and officers) and HMI the afternoon was given to a meeting between the visiting party and full Academic Board at which the agenda matched the briefing provided by CNAA. Attention focused on staff development and research, library facilities, the formulation of a development plan and relations with RAC, RSI and validating bodies.

The visit concluded with a private meeting after which the Principal was informed by the Chairman of the general impressions gained. The Principal was pleased to learn that the visiting party would recommend to Council that the college be approved for a further 5 years for existing courses. An indication was given, however, that recommendations would also be made that certain reforms would need to be introduced before proposals for new course developments could be considered by CNAA. Details would be provided in the full report to be written on the visit.

6.3 The Report

The report was received in mid-July 1977 and accompanied by a letter from the Chief Officer of CNAA which confirmed that the college was to continue to be approved as a suitable environment for the degree courses in Fine Art and Graphic Design and the Diploma in Management Studies. To the initial good news was added the following:

However in view of the many matters for concern identified during the visit the Council is unable to approve the college as an environment for the conduct of other degree courses without a further visit to consider the progress made in improving the college's academic organisation and in responding to the other matters of concern identified in the report.

It was acknowledged in the report that the visit had taken place in the early stages of the formation of a completely new institution and there was every prospect of the college securing approval as an environment
suitable for the conduct of other degree courses as long as adequate resourcing was provided by the local authority and appropriate organisational development undertaken by the college.

The major recommendations and comments made by the visiting party were summarised in the report as follows:

1. that the Academic Board should assume its full responsibility as the major academic policy and decision-making body in the College, a position which the Principal and his senior colleagues had, to a certain extent, assumed by default during the period of that merger;

2. that the Academic Board should establish a sub-committee structure to deal with course development and validation, academic planning, estimates and resources and research and staff development;

3. that note should be taken that it was usual for the secretary to the Academic Board to be a member of the administrative staff;

4. that the Academic Board should introduce consistent procedures on admission criteria and membership of Admissions Panels, and should issue guidelines on course operation and establish a College-wide system to monitor academic standards;

5. that clearly-defined vertical lines of communication and decision-making be established within the College;

6. that whilst the visiting party was pleased to learn that priorities were being established and areas of strength were being identified, it would be unrealistic of the College to hope to have mounted seven new degree courses by 1979. The visiting party commented on the relatively low level of resource provision in the College and hoped that the County Council would be able to increase the annual budget. The Academic Board might then be able to prepare an academic development plan based on a realistic assessment of its human and physical resources, and the position of the College in relation to the provision of higher education in Wales;

7. that it was hoped that the County Council would support the long-term plan for the creation of a two-site college;

8. that the annual budget allocated for research should be increased;

9. that it was hoped that the Governing Body would continue to support the College's efforts to re-align its academic staffing resources;

10. that the development of the College into an institution offering a range of higher level courses would require:
   a) increases in the numbers of support staff;
   b) improvements to Library resources and accommodation and, possibly, to the salary gradings of certain Library staff;
c) that note should be taken of certain shortcomings in student services and communal accommodation, and efforts made to bring about improvements in these areas.

The recommendations derived from a detailed analysis in the report of a number of organisational weaknesses the most obtrusive being an excessive preoccupation with managerial problems at the expense of academic leadership and deficiencies in planning. The visiting party found a tendency within the college to emphasise the constraints placed upon it by the external environment and while the discussion document prepared by the Principal was considered a good basis for the establishment of an academic plan it was felt that the Academic Board or one of its sub-committees should undertake a detailed review of the physical, financial and staffing resources available, and prepare an academic development plan based on a realistic assessment of the College's ability to establish degree courses in areas in which a majority of its staff did not possess experience at the relevant level.

The visitors were particularly harsh about serious deficiencies in the approach of the college to course planning and development some of which could be remedied by improved organisational arrangement such as the creation of a Course Validation Committee to which external experts could be co-opted, but others which required a better understanding of what was involved in the development of degree courses. One of the most telling criticisms in the Report was as follows:

A substantial majority of the members of staff with whom the visiting party discussed proposed new degree courses during the visits to the Faculties seemed to be unaware of the large gulf which existed between degree courses and Diploma and Certificate courses, and the visiting party felt most strongly that if this lack of awareness was carried through to the internal validation stage the College would experience great difficulty in obtaining external approval for its proposed courses.
6.4 The Impact of the Report

The report was first considered by the Board of Governors on 16th September, 1977 and it was decided to initiate discussions at County Hall and seek the views of Academic Board in preparation for a special meeting to be held on 4th November. The Academic Board formally considered the report on 6th October, 1977 and set up two working parties, one to consider resource implications and the other its implications for academic organisation.

Each of the working parties consisted of one Academic Board representative per faculty, a student representative, and the Principal, ex officio, with the Dean of Administration acting as convenor/chairman of one and the Vice Principal of the other. The Resources Working Party with the Dean of Administration in the chair and the Dean of the Faculty of Management (R) acting as secretary met on two occasions. It calculated that the following additional sums would be required over a three-year period:

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<tr>
<td>Human Resources (Academic and Non-Academic Staff)</td>
<td>75,500</td>
<td>73,300</td>
<td>62,100</td>
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<tr>
<td>Physical Resources (Books and Journals and Equipment and Materials)</td>
<td>60,000</td>
<td>65,000</td>
<td>57,000</td>
</tr>
<tr>
<td></td>
<td>135,500</td>
<td>138,300</td>
<td>119,100</td>
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Total increase over 3 years = £393,000

The above recommendations were accepted by the Academic Board on 28th October as a basis for discussion with the Governors.
The Academic organisation Working Party made slow progress, being anxious to avoid any impingement on the proper operation of the Faculty Board and its initial report which recommended the following sub-committee structure:

a) two major committees - Policy and Planning and Resources;
b) three additional sub-committees - Course Monitoring, Development and Validation, Research and Development, and Student Services;
c) two committees, reporting to the Academic Board but having direct access to the Governors and the Authority - Publicity and Health and Safety;

was referred back for the provision of details on composition, terms of reference and mode of operation.

At the special meeting of Governors held on 4th November, 1977 the Principal, supported by representatives of the Academic Board, pressed strongly for the adoption of the Resource Working Party's recommendations and also the acceptance by the Authority of:

a) the college as a polytechnic-type institution for all purposes;
b) the need to proceed with the proposed major building project for the resiting of the Faculty of Art and Design as soon as possible.

The recommendations of the Principal and Academic Board were accepted by the Governors and it was left to the Chairman and Vice-Chairman to make representations in the appropriate places. The need for such representations to the Authority acquired an additional urgency when it became known at the meeting of Governors held on 19th November that further cuts in educational expenditure were envisaged for 1978/79, to which the college would be expected to make a contribution. By the December meeting the Chairman and Vice-Chairman were able to report that they would be meeting the Chairman and Vice-Chairman of the Education
Committee early in the New Year and leading a delegation to meet representatives of the CNAA in London on 12th January. The nature and outcome of the two meetings were made known to the Governors on 17th February in a written report prepared by the Chairman and Vice-Chairman, which disclosed the following.

a) Meeting with Representatives of the County Council, 11th January, 1978

It was reported that as a result of the meeting it was probable that the Chairman and Vice-Chairman of the Education Committee would recommend that an amount somewhat in excess of 50% of the £135,500 requested for 1978/79 should be added to the college's estimates for that year. In addition, it was anticipated that the remainder of the £393,000 asked for (on current prices and subject to revision after more systematic analysis) would be provided in a programme extending over a period which could range from two to four years depending on the financial climate over the next few years.

b) Meeting with Representatives of the CNAA, 12th January, 1978

Included in the delegation accompanying the Chairman and Vice-Chairman of Governors were the Chairman and Vice-Chairman of the County's Education Committee, who were able to confirm the commitment of the Authority to the College and the provision of additional resources to meet CNAA requirements.

The impression was gained from the meeting that:

the representatives of the CNAA considered the position on the provision of extra resources, given the current financial situation, as being reasonable. They were adamant, however, that those deficiencies referred to in their report should be remedied if the college wishes to ensure offering the Council's degrees in the long-term.

It was thought that the college and the CNAA should proceed in a spirit of co-operation, that there should be a continuing dialogue which might extend to the list of priorities for allocating extra resources.

The immediate outcome of the discussions with the Authority was an
additional allocation to the College of £80,000 for 1978/79, regarded as the first tranche of extra funding to be provided over a number of years, which came to be known as 'CNAA Money'.

7. INTER-RELATIONSHIPS AND INTERACTIONS

The Board of Governors, the Academic Board and the Faculty Boards tended to operate within their own spheres of influence and decision-making. Although a formal system of reporting from one to the other existed, the amount of time devoted to discussing items appearing on reports was limited and when it did take place it tended to be controversial.

7.1 The Board of Governors and the Academic Board

The Chairman of the Board of Governors, while encouraging full consultation with the Academic Board on general policy issues, insisted that major issues be considered by the Board of Governors before referring them to Academic Board and that the Governors should make the final decisions, having obtained all necessary advice. It was to Governors, therefore, that the Principal first presented his Guidelines for a Course Development Plan on 28th October, 1976 and it was to Governors that he presented his proposals for achieving the £100,000 cuts for 1977/78, having consulted with the Academic Board.

While it was acknowledged by the Governors that the major responsibility for preparing for the CNAA visit should rest with the Academic Board and Senior Management, they insisted at the meeting held on 25th November, 1976 that the documentation to be submitted to CNAA should be approved rather than viewed (the phrase employed in the minutes of the previous meeting) by the Board prior to submission to CNAA.

Even so the Board was content, each year, to accept the programme of new course proposals approved by the Academic Board with very little discussion. Similarly annual reports on student recruitment and examination results aroused little comment other than approval. Annual estimates
were prepared on an incremental, historical basis with no attempt made
to link budgets to academic or resource utilisation performance. Reports
from Academic Board were only discussed when they raised procedural or
resourcing issues regarded as significant and relevant by the Clerk and
Chairman. One such issue was the composition of the Faculty Boards,
which was exploited by staff governors to secure a reference back to
Academic Board and thereby to improve elected representation. It
otherwise fell to staff governors to create and exploit opportunities
for raising issues. It was a staff governor who, for example, initially
pressed the issue of acceptable procedures for the appointment of
academic staff. Initially raised because of the apparent exclusion of
Heads of School and Course Directors from the appointment process in the
Faculty of Art and Design, the issue became one of the relative positions
of the Principal and Chairman of Governors. A report from the Chairman
and Vice-Chairman dated 13th February, 1976 presented to Governors on
23rd February acknowledged that, as required by Item 7 of the Articles
of Governors:

Under arrangements made by the Governors, after consultation with the
Academic Board, the Principal, in conjunction with the Chairman and
Vice-Chairman of the Governors, shall have general responsibility for
the appointment of ... members of the teaching staff ...

It also confirmed the intention of Governors to consult with the
Academic Board as soon as it was operational. Meanwhile it was thought
that adequate faculty briefing was available through the presence of Deans
at interview. The matter was considered by the Academic Board on 17th
May, 1976 when it was resolved to advise the Governors that:

Within the present Articles of Government, the procedure for the
appointment of teaching staff should match as closely as possible the
spirit of the model Articles of Government issued with D.E.S. Circular
7/70; since these model Articles pointed to a primary role for the
Principal in the making of such appointments, the Principal should,
consequently, determine the composition of the interviewing panel in
agreement with the Chairman and Vice-Chairman of the Governors.
The advice was accepted by the Governors on 30th June, 1976.

Matters relating to conditions of service and employment, in which both the Academic Board and Board of Governors shared an interest, were dealt with through the appropriate channels at college and county levels where staff interests were represented by NATFHE. Although elected as individuals for each faculty, NATFHE was able to ensure that staff governors were generally officers or active members capable of promoting academic policies and defending the professional interests of academic staff at meetings of the Board.

7.2 The Academic Board and Faculty Boards

Minutes of faculty board meetings were automatically presented to Academic Board and the convention was adopted that items requiring attention from the Academic Board should be 'starred'. If there were no starred items and no member of the Academic Board wished to raise an issue, either for comment or elaboration, the minutes were simply received.

The faculty boards were required on matters of academic policy and academic administration to secure formal approval or support from the Academic Board. For example, changes in examination regulations, the ability of students to transfer from one course to another, and amendments to courses and curricula were referred upward. On specific policy issues directly impinging on a faculty, strong representations would be made to the Academic Board. The case against the removal of 'A' levels and for the Foundation Course in Engineering, for example, was vigorously argued at Academic Board by representatives of the Faculty of Science and Technology.

Although the faculty boards tended to be preoccupied with matters of immediate concern to them, they also generated pressures to improve corporate performance. Among the starred items during the period in question were operational issues such as the provision of a library service for staff and students during vacations and the administration
of publicity and promotion. Dissatisfaction with procedures such as that for the processing and vetting of applications from academic staff for attendance at courses and conferences was also ventilated by faculty boards at Academic Board.

The Academic Board was also used by faculties for generating pressure on senior management to take executive action.

SECTION B: INTERPRETATION

8. CONTINGENCY PERSPECTIVE

8.1 Organisational Purpose

Although difficulties were experienced during these early formative years in establishing the precise character, identity and mission of the College of Higher Education, there was little doubt from the outset that the college was intended to be a polytechnic-type institution offering predominantly advanced courses. The merger achieved this intention at a stroke of bringing together two monotechnics and a college of technology which, on its own, offered a wide range of advanced and non-advanced vocational courses in Science, Technology, Business, Management and Professional Studies. What was less clear and controversial at the outset was the precise course mix to be offered by the college in terms of the proportion of advanced to non-advanced and the proportion of full-time to part-time courses.

The design specification indicating the tasks to be performed by the merged institution was therefore drawn up in outline but lacked important detail. In summary the College of Higher Education was in business to:
a) provide a wide range of learning opportunities, in the form of vocationally-oriented courses, to students drawn primarily from the county and surrounding region but also recruited from national and international catchment areas;
b) conduct pure and applied research;
c) offer an applied research and consultancy service to clients on a fee-earning basis; and
d) provide development opportunities for staff in the form of research, consultancy, part-time study and attendance at courses and conferences.

Of the above, (a) was seen to be the prime task, (b) and (c) were regarded as appropriate to a polytechnic-type institution but in need of considerable development given the low levels of activity (confined largely to the College of Technology) at the time of the merger, and (d) was regarded as highly desirable in principle both for its own sake and for its anticipated impact on (a), (b) and (c).

8.2 Organisational Design

8.2.1 Governance

The legal basis for the management of the college was established by the Instrument and Articles of Government, which required approval from the DES, whose advice on drafting was contained in DES Circular 7/70. The circular advised that careful consideration should be given to the character of a college, the most significant feature being the volume and proportion of advanced work being undertaken. The higher the proportion, or the more nearly a College of HE resembled a polytechnic, the greater the level of participation and the stronger the voice expected from academic staff, students and professional and industrial representatives other than elected representatives. The Instrument of Government finally approved, which allocated a third of the seats on the
Board of Governors to county councillors, more closely matched the letter and spirit of Circular 7/70 than the original proposals which provided them with an overall majority. The Board also retained the status enjoyed by the Board of Governors of the College of Higher Education vis-a-vis the LEA rather than that enjoyed by the Board of the College of Technology, in that the latter reported to the Vocational Sub-Committee of the County's Education Committee while the former acted as a sub-committee in its own right.

8.2.2 Organisational Structure

a) Academic

The Academic Board and Faculty Boards were seen to represent the academic policy-making arm of the college and their composition reflected the intention to make them representative and participative bodies. The Academic Board consisted of four representatives from each faculty (the Dean, ex officio, plus 3 elected members of academic staff), the Principal (Chairman), the two Vice Principals, the Dean of Administration, the Director of Studies, the College Librarian, four student representatives and single representatives of the technician and administrative staff.

The executive arm or management of the college was established within a conventional hierarchy. The college, under the charge of the Principal, was divided into four faculties, each with a Dean appointed at a salary of Grade VI Head of Department (the highest). Each faculty, which in essence provided a discrete and related set of courses, was divided into schools based primarily on academic disciplines but also having charge of courses. These were led by Heads of School appointed as Principal Lecturers who possessed an automatic right to progress unimpeded by a bar to the top of the salary scale.
b) Non-Academic

The structures for administrative and technician staff were not settled in detail prior to the merger but were gradually sorted out, not without some difficulty, after the merger. The post of Dean of Administration was established to co-ordinate administrative and technician services and to undertake the duties of Clerk to the Governors. Both the Dean of Administration and the Principal were initially located at the site of the former College of Education which became the administrative headquarters of the college and which handled matters relating to the Board of Governors and the LEA. Administration was not centralised, however. Each site required site-based administration and was also allocated some college-wide responsibilities. The site managers for the other sites were the two Vice Principals who had previously been in charge of them as principals of the College of Technology and College of Art.

The emergence of an acceptable technician structure awaited the outcome of an arbitration award which allowed a more generous grading of posts linked to the level of academic work being undertaken in the college. A new post of College Technical Officer was created, however, to co-ordinate technician services across the college and he was accountable to the Dean of Administration.

8.2.3 Differentiation and Integration

a) Differentiation

The structure allowed for a high degree of differentiation. The three colleges were divided into four faculties and each faculty was divided into 4 or 5 schools. The four faculties were to a large extent self-selecting with the Colleges of Art and Education remaining largely intact apart from the exchange of a small number of staff. The division of the
College of Technology in two (or its amalgamation from four departments into two faculties) represented a natural progression from earlier rationalisation and consolidation undertaken prior to the merger. The creation of a schools structure was a more striking innovation although, again, it reflected formal groupings which existed in the Colleges of Art and Education and which were emerging in the College of Technology prior to the merger. The Heads of School were to be regarded more as academic team leaders than heads of department in the traditional FE mold, and assumed responsibility for co-ordinating the work of relatively small groups of staff clustered around disciplines and a course or courses. Remission was granted to them for administrative duties but they retained a substantial lecturing commitment.

b) **Integration**

Given the degree of differentiation built into the organisational structure, which not only kept the three colleges largely intact but formalised further the divisions within them, it was recognised that integration would be achieved with difficulty. No special organisational provision was made to achieve integration, however, outside the structures described in sections 8.2.1 and 8.2.2 above. Even here, however, integration was seen more in terms of reconciling 'bottom-up' pressures, initiatives and needs than in providing a clear corporate vision. Integration was regarded very much as a function of the executive arm of the college. Although lacking formal status, the senior management team bore the major responsibility for producing a corporate view. Given the conflicts of interest, particularly between the Deans, consensus was often difficult to achieve and a heavy responsibility fell on the Principal who was reluctant, however, to play an obtrusively interventionist and directive role. The division between the managers and the managed was less obtrusive at Faculty Board level than at Academic Board level. Even at this level, however, staff were reluctant to become implicated in
deciding priorities when faced with competing claims from schools.

Efforts were of course made by Senior Management, (see page 291) to improve integration, particularly of course and curriculum development, learning resources and staff development by extending the academic sub-committee structure beyond faculty boards, but without success. Integrative mechanisms worked to greater effect in spheres other than academic policy. The Chairman of Governors was sensitive to the corporate responsibilities of the Board and advised by the Principal and Clerk to the Governors was able to take important initiatives, as he did for example over the condition of buildings in the Faculty of Art and Design.

c) Planning as an Integrative Device

As has been demonstrated above, integration was achieved more by mutual adjustment than by bureaucratic devices such as rules, standard operating procedures, plans and schedules. Even so, given that some form of planning takes place whether planning systems exist or not, and that planning documents were produced during the period under consideration, attention will be given to the forms which planning and plans took at the college.

The first recorded reference to planning is found in the minutes of the meeting of the Board of Governors held in September, 1975 when it was anticipated that the DES targets for initial teacher training would become an integral part of a development plan for the college under preparation by the Principal. As recorded, the minute seems to suggest that a comprehensive strategic plan was in preparation. If so, it was misleading since it soon became evident that plans related primarily to course development and the accommodation of cuts in financial estimates, both of which were seen to have implications for the identity, character and mission of the college.
The first meeting of the Academic Board held in November, 1975 was called to consider course development bids from faculties and an attempt was made to apply a set of criteria to the proposals for the purposes of evaluation. The bids exercise was acknowledged to be a preliminary stage in the production of a development plan. It was highly speculative and strongly degree-oriented. Within a few months planning became synonymous with achieving cuts in expenditure. The paper presented by Senior Management to the Academic Board in February, 1976 (see page 286) showed options to be severely constrained, focused on tactical considerations, and hinted at strategic considerations while avoiding their direct confrontation. In essence it presented a dilemma and provided a strong hint as to its most appropriate long-term solution.

Neither form nor content satisfied the Academic Board, however, who referred it back to Senior Management for redrafting. The revised document, which more successfully met technical expectations, acknowledged the need to put the cuts exercise within a general planning framework but declined to go further than the preliminary stages of producing a long-term development plan. The document offered a much more sharply focused analysis of the external environment and presented the longer-term prospects of the college in stark terms. If development aspirations were to be fulfilled in a period of retrenchment then a significant realignment of resources was necessary both within and between faculties. The implications for the faculties of Education and Science and Technology were seen to be particularly serious.

Drastic action awaited the second round of cuts which were made known in December, 1976. Meanwhile, and in the light of the first round of cuts, attempts were being made at Board of Governors level to seek a more precise understanding with the LEA of the college's role within the local education system. Following exchanges between the two bodies which left the Principal and Director of Education to prepare a joint report, it
eventually fell to the Principal to submit a discussion paper to the Board in October, 1976 bearing the description GUIDELINES FOR A COURSE DEVELOPMENT PLAN which explored possible avenues for course development and also addressed itself to the likely need to redeploy staff. Although possessing elements of a development plan the document was acknowledged by the Principal to lack one critical ingredient, namely quantification, and a supplementary paper, prepared on the basis of information submitted by the Deans, accompanied the original document at a special meeting of the Academic Board called on 8th December, 1976 (see pages 288-289). Essentially the exercise amounted to the quantification of faculty aspirations set against both internal and external constraints and uncertainties, not least of which were anticipated cuts in college estimates. A week later the Academic Board was reconvened to consider the implications of making a cut of £100,000 in the 1977/78 budget and accepted the need to phase out 'A' level courses and to redeploy staff from this area and also from declining areas in education. More specific proposals based on these decisions were received by the Academic Board in January, 1977 prior to their presentation to the Governors.

8.2.4 Accountability and Control
Responsibility for academic development and performance was largely delegated to the faculties and few formal corporate control mechanisms were built into the organisational structure. Such control as was exercised by the Principal over his senior colleagues was achieved at meetings of Senior Management by seeking to resolve conflict and achieve consensus in a way which created expectations and obligations rather than established clear lines of accountability and control. The Faculty Boards and Academic Board were seen more as agencies for co-ordinating and reconciling 'bottom-up' initiative than for setting goals, prescribing standards of performance, measuring results, and applying rewards or sanctions on the basis of results. The Board of Governors was recognised
to have a significant overall control function, particularly with regard to resource allocation and adherence to the County Council's policies, standing orders and operating procedures. The Chairman, as has been indicated, was sensitive to the ultimate responsibility held by the Board, advised by the Principal, for the general direction of the college. But as long as the proprieties were observed, including the presentation of annual reports on recruitment and examination results (which were received approvingly rather than discussed) a very large measure of discretion was permitted the professionals in determining academic policy and monitoring performance. Budgets were produced on an incremental and historical basis and no attempt was made to link budgets to resource utilisation or academic performance. The half-yearly reports presented to the LEA were employed for transmitting appropriate messages from the college to the County Council rather than to provide rigorous accounts of stewardship.

8.3 Task Contingencies

8.3.1 Environment

The external environment in which the college functioned was both variable and complex. The merger represented a major discontinuity at the local level which was matched at national level by the emergence of a new sector in higher education, the Colleges and Institutes of Higher Education. Apart from the uncertainties over role and status at both the local and national levels the college was confronted by uncertainties over student targets, notably from initial teacher training, finance, course and curriculum development and the possible rationalisation of advanced courses between the colleges of HE and polytechnics. The merger also brought together three colleges operating in distinct market segments each with its own client groups, competitors, validating bodies and professional networks. Of the three, the College of Technology had to cope with the
most diverse and complex environment. The two monotechnics had a large proportion of their student intake fixed for them and dealt with a small number of courses and validating bodies. The College of Technology on the other hand offered a wide variety of courses in terms of level and mode of attendance, served a diversity of client groups, dealt with a host of professional and validating bodies, recruited according to its ability to attract students and faced competition from both the HE and FE sectors.

8.3.2 Size
The college was brought into existence to achieve economies of scale and a realignment of resources. Given that none of the constituent colleges was a major institution of its kind, the merged institution remained a modest size in terms both of student numbers (1,600 Full-Time and Sandwich, and 1,700 Block Release and Part-Time) and staffing (259 Full-Time Academic Staff, 39 Administrative, 46 Technician and 12 Library).

8.3.3 Technology and Personnel
The provision of direct services to clients in the form of learning opportunities is acknowledged to be problematic. As Baldrige (1978: 22) puts it, it is difficult to construct a simple technology for dealing with minds, bodies and spirits. Serving clients is difficult to accomplish, to evaluate and show short-term successes. Considering the entire person is a holistic task that cannot be easily separated into small, routine technical segments. Such a task has to be put in the hands of expertly trained professionals who deal with the complex, non routine problems of clients using a broad repertoire of the skills necessary for the task. (Ibid.). It is characteristic of professional employees both in higher education and elsewhere that they demand work autonomy, are subject to divided loyalties, are confronted by strong tensions between professional values and bureaucratic expectations and seek to submit themselves to peer group evaluation only, rejecting the evaluations of non-colleague managers.
8.4 Political Contingencies

8.4.1 Preference of Interest Parties

a) LEA

The major concern of the LEA appears to have been to achieve a merger with as little dislocation and extra expense as possible, hence the original preference for a confederation. Differences existed within the Authority, notably among influential elected members on the degree of administrative autonomy to be allowed the college. Some favoured a traditional FE orientation, others an HE orientation in line with the Weaver Report (1966), which had changed the governance of colleges of education, and the DES Circular 7/70 which sought to extend the principles of Weaver to further education but which received a mixed reception from local authorities. The first Chairman of Governors, who proved influential both during the merger discussions and the early formative years of operation, naturally inclined to Weaver having been Chairman of the Governors of the College of Education for an extended period.

b) Senior Staff

The prospect of a merger, as has been indicated was viewed with mixed feelings. Each college was seen to be threatened in different ways and yet there were personal and institutional benefits to be won. Apart from a few inevitable losers (of status and position rather than salary, which was protected) most senior staff were beneficiaries from the merger since all appointments were made internally.

c) Rank and File at the Colleges

The threats were generally more real for the rank and file and the prospects more speculative. Organisational arrangements which kept the status quo largely intact for the majority of academic staff while providing selective benefits through improvements to the establishment, notably at Principal Lecturer level following the introduction of the school structure, had considerable attractions. Attempts were made to
distribute benefits and costs as even-handedly as possible across the college and no threats to the professional autonomy of academic staff were implied in the organisational arrangements. From the point of view of non-academic staff the merger seemed to have much less to offer them than their academic colleagues. They therefore pressed, whenever possible, for matching improvements in status and rewards.

d) Professional Associations

Of the three colleges the College of Technology was most strongly unionised, the great majority of staff being members of the Association of Teachers in Technical Institutions (ATTI), and the College of Art the least. The majority of staff in the College of Education belonged to the Association of Teachers in Colleges and Departments of Education (ATCDE), regarded more as a professional association than a union, in contrast to the ATTI whose bias was seen to be in the other direction. In view of the impending merger of the ATTI and ATCDE (to form the National Association of Teachers in Further and Higher Education) officers of the college branches of both association worked closely together from the outset, although not always sharing the same views or bargaining positions. They were able to display a common front when pressing for the implementation of Circular 7/70 but were openly divided over the character and mission of the college. Apart from participation in governance, the major preoccupations of the associations were with conditions of service, college establishment and salaries. The transfer of staff from the Pelham to the Burnham salary scales were seen to confer benefits on lecturers from the College of Education. Adherence to FE conditions of service, particularly in relation to standard weekly class contact hours, recently negotiated between the ATTI and the LEA, entailed benefits for staff from the College of Art but introduced a degree of inflexibility and unionisation into the College of Education which was resented despite the benefits accruing to staff accustomed to
exceptional workloads. Staff at the College of Technology were familiar with working standard FE conditions of service and ATTI branch officers were heavily involved in the negotiations to determine local conditions within a national agreement. They were able to invoke the 'no deterioration' principle in order to negotiate a college year of 36 weeks, which matched that of the College of Education rather than the other two colleges who were accustomed to working the longer FE academic year of 37 weeks.

8.4.2 Dependencies

a) Internal

While there were mutual interdependencies within the formal hierarchy, the high degree of differentiation within the organisation, the related distribution of knowledge and expertise and the need to cope with uncertainties at the point of service, ensured a high level of dependence by managers on their professional staff. Staff enjoyed a high degree of autonomy in providing services to clients and managers were dependent on them for establishing and maintaining the reputation of the college. In a period of active course and curriculum development, much of it speculative, heavy reliance was placed on staff to deliver the goods. From this perspective, therefore, the higher a manager's position in the hierarchy the greater his dependence on those below him. The Chairman of Governors relied heavily on the advice given him by the Principal and the Dean of Administration. The latter, in his capacity as Clerk to the Governors, spent a considerable amount of time briefing the Chairman. The Principal in turn relied heavily on the Deans of Faculty, not only for the operational management of their faculties but also for major policy and development initiatives and the conduct of relations with key influencing agents in the external environment. The Deans for their part were dependent on the Heads of School and their staffs for day-to-day operations and also for a considerable investment of time in course
and curriculum development. There were also, of course, dependencies in the opposite direction which related primarily to the interfacing roles of senior managers. The college as a whole was dependent on the skills of the Principal in handling the Board of Governors and the LEA. Staff in the faculties relied on the Dean and Heads of School to develop effective external intelligence networks and to handle HMI, validating and professional bodies with confidence and skill. Staff also depended on the negotiating skills of Deans at corporate level to ensure an equitable distribution of resources and to win support for desired developments.

b) External

Apart from the general dependence of the college on the support of the LEA most of its activities were subject both to the authority and influence of a number of external regulatory bodies, the most important being HMI, RAC, validating bodies and professional bodies. Collectively these were able to exert a powerful influence on the right to develop new courses, on acceptable standards of course and curriculum design, and on the kind of teaching/learning programmes to be offered to students. The DES and HMI also insisted, of course, on the creation of a single merged institution rather than a confederation.

8.4.3 Rewards and Sanctions

The rewards and sanctions which could be applied by external bodies were critical. Without RSI and RAC approval a course could not get off the ground and without successful validation a course had no currency. There was no guarantee that having obtained approval to offer the course on the grounds of need and ability to resource it adequately, the college would be able to convince a validating body that it was well designed and could be effectively delivered to students. Indeed there appeared to be a general upward drift in the expectations of validating bodies. A faculty's track record in obtaining approval and external validation for its courses became, therefore, a key measure of its success.
It will already have become evident that only limited power may be derived from the authority structure in an HE institution. Managers have few powers of coercion and these are only exercised 'in extremis'. Control over material resources does confer power but a power that is severely constrained by ongoing commitments entered into in the past and the tendency to avoid major discontinuities. Even so, incremental shifts in resources may be seen to signify an intention to reward or admonish and it is the manipulation of symbolic awards which is seen to have the greatest impact. The notice taken of such normative awards as management may wish to confer will, of course, depend on the legitimacy accorded the authority structure. This, in turn, is culturally determined, depending on perceptions and beliefs.

8.5 Alignments and Correspondences

In terms of both task and political contingencies the organisational structure chosen for the college appears to achieve good fit on many counts. The correspondences appear particularly good in relation to size, technology, personnel, the preferences of interested parties and patterns of dependence, all of which point to a highly differentiated organisation and an adaptation rather than a radical reform of existing structures. The most serious doubts arise over integration and control at the corporate level. It is generally accepted that the more highly differentiated an organisation the more effective its integrative mechanisms need to be. In the absence of bureaucratic devices such as standard operating procedures or a planning system, heavy reliance was placed on the achievement of 'mutual adjustment' by the Academic Board and Senior Management. Both were severely handicapped, however, by conflicts of interest between faculties which became all the more acute in the face of successive major reductions in the college budget. Confronted with such divisions the Principal was forced to manipulate
a consensus which he was able to take from his senior colleagues to the Board of Governors via the Academic Board. The need for integration and control was particularly obtrusive in relation to environmental scanning, course and curriculum development and resource allocation. A high level of dependence on faculties, given their specialised knowledge and distinctive networks, was to some extent inevitable, particularly in the early years. In order to reduce that dependence and achieve some semblance of corporate control, however, it was necessary to strengthen the academic sub-committee structure at college level. This was certainly the view brought by the Dean of Administration (also Secretary of the Academic Board) and the Director of Studies to the Academic Board on behalf of Senior Management but which the Board rejected, preferring the existing loosely coupled structure.

9. CONTEXTUALIST PERSPECTIVE

9.1 Strategic Change
The creation of the merged institution was in itself a change of strategic importance to the members of the three previously independent colleges. Once created, an identity, mission and viable mode of operation had to be established for the college and this in an increasingly turbulent environment. The financial cuts, in particular, confronted the college with difficult strategic choices.

9.2 Context

9.2.1 Outer
The outer context consists of institutions such as central and local government, HMI, the RAC, and validating and professional bodies (identified by Becker and Kogan (1980) as the central level of the HE system) together with other forces at work in the external environment such as the levels of economic activity (national and local), demographic trends, and the behaviour of clients and competitors.

9.2.2 Inner
Four levels may be distinguished within the inner context, namely the
institutional level (identified with the Board of Governors, the Academic Board and Senior Management), the basic-unit level (identified with the Faculty Boards and Deans of Faculty) the sub-basic-unit level (identified with the schools and Heads of School) and the individual level (consisting of students and staff). These correspond with the levels identified by Becker and Kogan except for the addition of a sub-basic-unit level. The importance of this level varies between faculties, being most significant where schools assume responsibility for one or two courses only and budgets are managed on a schools rather than a faculty basis.

9.3 Inter-relationships

The process of change may be viewed largely in terms of changes in relationships within and between levels over time.

9.3.1 Government and the LEA

The creation of the college and like HE institutions was the consequence of a policy initiative from the government embodied in the 1972 White Paper and DES Circular 7/73. Despite its title 'Education: A Framework for Expansion' the White Paper, in the face of demographic trends and economic circumstances, became identified with cuts in teacher training capacity, the reform of teacher training by the absorption of the monotechnic colleges of education into polytechnic-type institutions, and the release of resources as a consequence of cuts in teacher training to cope with an anticipated increase in demand from school leavers seeking entry into higher education. The less costly Polytechnics and HE institutions in the public sector were expected to make a major contribution to coping with the increased demand which the university sector alone could not absorb.

It was left to the LEAs to take the appropriate steps to create merged institutions in the light of local circumstances but DES approval was required. Approval was not given for a confederation and in accordance
with advice from representatives of the DES and HMI a single merged institution was created with its own Principal, Board of Governors and Academic Board. The DES did not require radical organisational redesign, however, and no difficulties were presented by the Faculty and Schools structure.

9.3.2 LEA and the College

The preferred organisational structure aroused little controversy among the main interested parties, namely elected representatives advised by their officers, top and senior managers from the colleges, and staff representatives, during discussions over the merger. There was less unanimity in the Working Party over the character of the college and its mode of governance. Staff were divided among themselves over the former but joined forces over the latter to press for an Instrument and Articles of Government in line with DES Circular 7/70 and the assistance of the DES was invoked to achieve a shift in their direction. Once in existence, the college was given a considerable degree of administrative autonomy in line with that previously enjoyed by the College of Education. Even so frictions developed in the early years over the precise degree of autonomy to be enjoyed and rights of access to information and to officers and committees at County Hall. Ambiguities surrounding the identity, character and mission of the college were also regarded as problematic, particularly in view of the cuts in estimates imposed upon the college by the LEA. Despite efforts by the Board of Governors to seek formal clarification of the role of the college in the county's overall education provision it was finally left to the Principal to produce a college view in the form of GUIDELINES FOR A COURSE DEVELOPMENT PLAN, which was presented to the Board of Governors on 28th October, 1976. The need to achieve a further reduction in estimates of £100,000 in 1977/78 forced the pace of change by leading to a rapid phasing out of 'A' level courses and a major
redeployment exercise.

As long as the college kept to the 'bottom line' and adhered to County Council procedures and standing orders the college was subject to little interference from the Treasurer's Department. The college possessed its own Finance Officer, who had previously worked in the Treasurer's Department at County Hall, and he was responsible for producing the College Estimates following advice from, and discussions with, a senior member of the Treasurer's staff. Apart from the cuts which the college was expected to share with the rest of the education system, annual adjustments to the estimates were based on incremental allowances for inflation, together with approved developments. The consideration of Estimates by the Governors at their December meeting was generally a brief free-standing exercise, unrelated to general academic policy, and traditionally followed by a vote of thanks to the Finance Officer and the Treasurer's representative.

While the college enjoyed a great deal of discretion on major issues it was subject to policies and procedures on relatively minor issues which caused considerable irritation. Among them one of the most irritating was attendance at courses and conferences. It was necessary for all applications for financial assistance to be approved in the first instance by the Chairman and Vice-Chairman of Governors, which they invariably did. As this became one of the areas over which control was tightened in the interests of economy, an additional screening process was introduced at County Hall which considerably lengthened the process and reduced the chances of success, although the majority of applications, endorsed by the Chairman and Vice-Chairman, continued to get through.

### 9.3.3 Regulatory Bodies and the College

Regulation and manipulation of the HE system has traditionally been achieved not so much by direct intervention from the DES but through the activities of regulatory bodies such as RAC, RSI and validating bodies involving,
wherever possible, peer-group evaluation. (Kogan, 1984).

The messages coming from RSI and his HMI colleagues were not always taken at face value since they were known to be subject to pressures, not least of which were those generated by the colleges themselves. Despite the strong discouragement given to degree development, therefore, and the clear indication that it was the intention to concentrate such development in the polytechnics, the college devoted a great deal of energy to speculative degree development, only a small amount of which achieved ultimate success.

The verdicts of the validating bodies carried great weight and constituted important signals to the faculty concerned and the college as a whole. The granting, for example, of three year rather than five year approval by the CNAA in 1976 to the degrees in Fine Art and Design and the contents of the report which followed upon the validation raised questions about the stature and performance of the faculty which had previously been taken for granted. Reference was also made, again by the CNAA, to the poor condition of the buildings being used by students and prompted an initiative from the Principal and Chairman of Governors which eventually led to a major building programme. Without such a rehousing project the future of the degree courses was considered to be very uncertain.

The validation of the Diploma in Higher Education by the University of Wales also had important ramifications in that considerable weight was attached to mobilising resources and expertise across the college as a whole and in providing alternative escape routes out of the Dip.HE, other than the B.Ed and teacher training.

9.3.4 The Board of Governors and the Academic Board

The two groups were seen to operate in distinct spheres of interest and there was limited interaction between them. The minutes of the Academic Board were automatically presented to Governors but they tended to be received rather than discussed. Issues of protocol did arise from time to time which reflected an inherent tension in the relationship. All
major policy issues were seen by the Chairman of Governors to be the proper concern of his Board who would generally seek the advice of the Academic Board as well as the Principal and his senior colleagues. Protocol therefore demanded that proposals from the Principal were first received by the Governors and then referred to the Academic Board. Such was the case, for example, with GUIDELINES FOR A COURSE DEVELOPMENT PLAN (18th October, 1976) and the draft submission to CNAA (January, 1977). For the most part the Principal, Senior Management and the Academic Board were allowed a high degree of professional independence in academic matters which they strongly defended. This independence was seen to extend to all but the most senior appointments and the Governors were pressed by the Academic Board into acknowledging the pre-eminent role of the Principal, assisted by the Chairman, Vice-Chairman and senior colleagues in making appointments.

9.3.5 The Board of Governors and Representative Groups

a) Senior Management

Senior Management as a body rarely came into direct contact with the Board. In essence they were represented by the Principal and the Clerk to the Governors, who worked in close association with the Chairman and Vice-Chairman and who attended all meetings of the Board and its sub-committees or working groups. The Vice-Principal also attended Board meetings. Individual members of Senior Management naturally had contacts with the Chairman and Vice-Chairman as the occasion demanded.

b) Staff

Academic staff representatives, one for each faculty, although elected as individuals were generally endorsed by NATFHE and saw themselves playing an important collective representative role. Few opportunities were missed to represent staff interests vigorously and their representations were taken seriously. On occasions when attempts were being made to resist cuts a token display of sympathy was generally made
but the County Council's policies were invariably endorsed by the Board. When potentially serious conflicts emerged, as for example with redeployment, steps were taken to implicate the College Co-ordinating Committee of NATFHE in the exercise. From the outset, in fact, great importance was attached by the Chairman of Governors to the creation of appropriate joint consultative machinery for academic staff, non-academic staff and students. Apart from his personal contacts with staff and student representatives, which he cultivated, the Chairman saw the three joint consultative committees as a means of keeping elected members in touch with matters of concern to staff and students and a device for minimising open conflict. In view of the token representation of non-academic staff on the Board (a single member, seen nevertheless to play an important representative role) the JCC assumed greater significance for them than for academic staff.

c) Students
Students had three representatives on the Board, their own JCC and direct access to the Chairman via the college president of the Students Union. Relations depended very much on the personalities and dispositions of the persons elected as sabbatical site and college presidents.

9.3.6 Academic Board and Senior Management
The Academic Board was seen to represent the corporate policy arm of the college and senior management its executive arm. Apart from executing policy, however, senior management were deeply implicated, as key members of the Board, in policy formulation and much was expected of them in terms of corporate leadership and the reconciliation of conflicting interests. Even so attempts to strengthen the academic committee structure at corporate level were resisted with members preferring ad hoc, loosely coupled forms of inter-faculty co-operation to a set of permanent sub-committees.
9.3.7 **Academic Board and Faculty Boards**

The absence of permanent sub-committees of the Academic Board protected the direct line relationship between the Board and Faculty Boards. The Academic Board provided the forum in which the college as a corporate body articulated its expectations of the faculties and vice versa. Protocol required that all important issues were referred to the Board. In so far that academic policies originated chiefly in the faculties and that development relied very much on bottom-up initiatives, the faculties were able to generate considerable pressure for corporate support, systems improvement and executive action to which the Academic Board and Senior Management were expected to respond.

9.3.8 **Faculty Boards, Deans and Heads of School**

As has been indicated in section 5.1 the faculties differed significantly in modes of operation and management styles. The Deans and Heads of School in the Faculties of Management and Science and Technology operated very much as a management team and were accountable in some measure to staff for their stewardship at Faculty Board. The Faculty of Education followed a more collegial mode of operation with the Dean's role as chairman of Faculty Board assuming greater significance. The Faculty Board of Art and Design provided an important forum for communication and discussion, the nature of which reflected the importance of schools as operational units and the influence of the Heads of School.

9.4 **Political and Cultural Analysis of Context and Process**

9.4.1 **Cultures, Ideologies and Stereotypes**

Each college before the merger and each faculty after the merger represented a distinct culture and associated ideology susceptible to stereotyping. The pre-merger stereotypes were confirmed at an early stage during joint academic board discussions on the Dip.H.E. Staff
from the College of Education claimed ownership of it and resented the strong interest shown by staff from the College of Technology in its design and delivery and also their technological approach to course and curriculum design which was regarded as dubious in principle and unhelpful in practice, given the great urgency to secure validation and to get the course underway. The acrimony and bad feeling generated during the discussions simply confirmed each college's stereotype of the others.

The wrangling over the Dip.H.E., in itself, confirmed the worst suspicions of the staff from the College of Art and Design who saw it as a foretaste of life in the merged institution. They showed little more than a bystander's interest in the Dip.H.E. but felt greatest sympathy for their colleagues in education whose course they believed it to be. This apparent aloofness confirmed the view of the College of Art held by staff from the College of Technology, namely one of exclusiveness, self-promoting individualism, and an obtrusive lack of commitment to a merged institution. Their stereotype of the College of Education was also confirmed, namely that of an insular monotechnic with an inflated opinion of the academic level of its courses and a reluctance to acknowledge the findings of the James Report (1972), in particular the need to link teacher trainers and trainees to a wider community of students, staff and academic disciplines. The adoption of a resource-based as opposed to a market-oriented approach to course development, together with an apparent lack of rigour in curriculum design, confirmed suspicions held over the professional standing of teacher trainers and the comparatively modest standards applied by the University of Wales as a validating body.

In much the same way the monotechnics had their fears of being absorbed fully into the FE system, with its connotations of managerialism, intervention, standardisation, instrumentality, confrontation, bargaining
and unionism rather than professionalism, confirmed by the behaviour of staff from the College of Technology.

These crude selective perceptions served to reinforce the cultural divisions which existed prior to the merger and which survived after it. The divisions were deep seated and had their origins in the history, traditions and patterns of development of the three colleges (see Section 1.1). The impact of cultural differences on organisational arrangements is best illustrated by the Faculty Boards. With none providing an example of a pure case each can be accommodated to varying degrees along a Hierarchy - Collegium - Anarchy continuum.

The two faculties originating in the College of Technology showed, in varying degrees, a preference for Faculty Boards which, while acknowledging the significance of hierarchy and the managerial responsibilities of the Deans and Heads of School, encouraged a mutual accountability between managers and managed and provided an appropriate setting for bargaining. Put another way the Deans and Heads of School were seen as colleagues having managerial roles to perform which inevitably gave rise to conflicting expectations and vested interests which could be resolved through explicit and tacit bargaining. The managerialist/bargaining model had greater currency in the Faculty of Management than in the Faculty of Science and Technology which developed a stronger hierarchical orientation in its operations. Even so, it continued to be influenced by cultural norms established over the years in the College of Technology.

The Faculty of Education both in terms of self-image and mode of operation showed a strong preference for collegium. The manifestations of this preference have already been described above, as have their roots in the historical development of the college and its pattern of staff recruitment.
The Faculty Board which displayed the strongest anarchic tendencies, in line with the stereotype held of it in other parts of the college, was Art and Design. Agendas and minutes, during the period under consideration, are obtrusively ad hoc and reveal a high propensity for producing garbage cans.

9.4.2 Conflict

Reference has already been made, en passant, to the tensions and conflicts present at and between various levels in the organisation. This section seeks to throw these into higher relief by identifying the major sources of conflict and the means employed to reconcile conflicting interests.

a) College/LEA Interface

It will be evident from the description provided of the attitudes within the three colleges to the merger and the stereotypes which each had of the other two that the merger produced a situation of high potential conflict. It will also be evident that the officers, elected members and senior college staffs steering the merger were very well aware of this potential and were anxious to minimise dislocation and conflict. The organisational structure chosen and the decision taken to staff the new structure entirely from within the three colleges (the post of Principal was advertised nationally and outsiders short-listed but the post went to the Principal of the College of Education) provided maximum accommodation of the status quo with a number of benefits to academic staff thrown in for good measure (notably the creation of Schools and the appointment of Heads of School). Such an important concession, although removing a major source of potential conflict, did not accommodate all the pressures coming from within the colleges. The major source of pressure was the ATTI branch of the College of Technology. Long established as a forum for discussing major policy issues the branch initiated an extended debate on the proposed merger and was instrumental
in mobilising an alliance with staff in the other two colleges to promote common interests within the Merger Working Party (which came into existence largely as a result of pressure from the branch and against the initial wishes of the Director of Education). The preparations made for participation in the Working Party were very thorough. As a result of a detailed discussion held on 20th June, 1974 (see Appendix S1) a precise brief was agreed for the college representatives which they were to take to the first meeting of the Working Party on 1st July (see Appendix S2). The chairman appeared to be sympathetic to the adoption of a systematic, well structured approach but meetings quickly became preoccupied with single issues considered on a one-off basis rather than within a more general framework of analysis.

As has been indicated (see page 275) conflicting interests were most difficult to reconcile on the general character of the merged institution and it was impossible to hide differences between staff representatives from the three colleges. Even so, strong pressures were generated to retain a flexible lower limit of non-advanced courses, including A levels, which would protect staff in science and technology. Staff were able to demonstrate an united front on the Instrument and Articles of Government and their persistence not only achieved hard won concessions on the composition of the Board of Governors but also provided a clear indication of high aspiration levels and the tough bargaining stance likely to be adopted post-merger. The corporate bargaining position of staff was strengthened by the creation of NATFHE from the merger of the ATTI and ATCDE at national level and the formation of a NATFHE Co-ordinating Committee at college level. While academic staff representatives (1 for each Faculty) were elected to the Board of Governors as individuals, steps were taken to ensure that, as far as possible, they were endorsed by NATFHE and could speak with one voice,
as necessary, at Board meetings. On key issues such as organisational arrangements, financial cuts and redundancy and redeployment the Board of Governors became an important bargaining forum at which the interests of staff were vigorously defended and promoted by staff governors. Vocal campaigns were mobilised against financial cuts which demonstrated the strength of feeling in the college and assisted the Principal and Chairman of Governors in securing important concessions from the LEA. Such representations were not entirely defensive or negative, however, and the officers of the NATFHE Co-ordinating Committee played an important role, once the proprieties had been sorted out (see page 281) in the processes which led to the successful implementation of the CROMBIE CODE and the redeployment of staff to other parts of the educational service. The Board of Governors was generally inclined to accommodate representations from staff whether these came from the Principal representing Senior Management and the Academic Board or the staff governors representing the rank and file. The Chairman of Governors identified himself strongly with the college as did other elected representatives but this loyalty did not extend to openly challenging policies agreed at County Hall, particularly when budgets and general financial policy were involved. That is not to say that lobbying did not take place in the appropriate political circles. Once budgets had been agreed, however, it was expected that all committees would toe the line and this expectation was invariably fulfilled.

b) Academic Board and Senior Management

The Faculty and Schools structure served to institutionalise a high degree of differentiation and thereby create interest groups and sets having strong vested interests linked to workplace and role. The Academic Board served as an arena for resolving conflicts and tensions between the faculties and also between 'the managers' represented by Senior Management and 'the managed' represented by staff members elected to the Board. Both
divisions originated with the same dilemma, namely that of achieving integration and a corporate awareness without diminishing the operational independence of the faculties. The preferred solution was to resist attempts to create an academic committee structure and to require the managers to manage, that is take the most difficult decisions. The difficulties were particularly acute for the Deans since they were both members of Senior Management and the leaders of their faculties. As has been demonstrated this was an unequal contest in which faculty loyalties inevitably claimed priority, especially in the early formative years of the merger when establishing the legitimacy of role as Dean of Faculty was far more important than securing corporate recognition for a Senior Management Team. As might be expected the conflicts of interest between faculties were most acute over resource allocation and patterns of development, notably course development, both of which were, of course, closely related. Proposals for course development took the form of speculative competitive bidding from the faculties which largely ignored resource constraints but which made public ambitions and relative combative strengths. The emphasis was very much on degree and advanced professional course development, an orientation to which the Dean of Faculty of Science and Technology was openly unsympathetic but with which he had eventually to comply on grounds of expediency. His was also one of the two faculties, the other being Education, hardest hit by the cuts. The means chosen to achieve the cuts, particularly the discarding of non-advanced courses, took the faculty and the college in a direction prominently signposted during the merger talks but successfully resisted at the time, primarily because of the collective support mobilised in the College of Technology. Such loyalties were difficult to sustain in the face of cuts, particularly when past allies were in a faculty seeking to promote an ambitious expansionist programme via the redeployment of resources within the
college. Nevertheless the Dean of Science and Technology and his Faculty Board put up a determined rearguard action which was finally defeated by a formal resolution of the Academic Board (see Section 3.3.1, page 289). The same section also describes how the Principal, in papers presented to the Academic Board and the Board of Governors, linked the achievement of cuts to the pattern of future course development and the general character of the college as part of an ongoing planning exercise.

The planning papers produced by the Principal were highly political documents which confronted the LEA and Faculties with dilemmas to which tentative solutions were initially offered. As the problems were exercised, however, so an inevitability began to surround the solutions. The technical quality of the first planning document did not impress the Academic Board which regretted the absence of a more clearly defined strategic framework and referred it back to Senior Management for redrafting. Succeeding papers did address issues more comprehensively and explicitly and difficult corporate decisions were eventually taken by the Academic Board, guided by the Principal.

The Academic Board was generally disposed to accept the advice of Senior Management over difficult decisions such as the distribution of revenue and capital allocations. There were no major difficulties in distributing the lion's share to Art and Design and Science and Technology for 1976/77. In the face of cuts the distribution the following year proved more problematic with the Board reluctant to accept, in the face of strong representations from Art and Design, the apparent expedient of evenhandedness (see page 290).
The Academic Board, prompted by the Faculty Boards, took an active interest in the general management of the college and pressed for executive action from Senior Management when dissatisfied with the rate of progress being achieved. Such was the case, for example, with publicity and promotion and also with staff development and redeployment. It was easier for faculty representatives to find common cause over the management of the college by the Board of Governors and Senior Management than over issues such as course development and resource allocation which sharpened their competitive instincts.

c) Faculty Boards

The faculties represented the dominant interest groups in the college and it was at this basic unit level that a corporate identity and common purpose was easiest to achieve. Faculty loyalties were most prominently on display at the Academic Board to which strong messages were sent from the faculties, normally via Faculty Board minutes. Reference has already been made to the varying styles of operation among the Faculty Boards and the means employed to generate pressure, particularly in the face of cuts and accompanying rationalisation. It has been shown how the Faculty of Science and Technology came to feel betrayed and to find itself at odds with the rest of the college. Backed by his Faculty Board the Dean was able to call for a direct confrontation between the Principal and faculty staff over the future of science and technology in the college (see page 298 above).

Although faculty loyalties were deep seated and came strongly to the fore at Academic Board and other arenas where they were competing for advantages, the strength of corporate identity and loyalties did vary. As the faculty most at odds with the rest of the college, Science and Technology displayed the strongest common front. For bargaining purposes the Faculty of Management ensured that it got its act properly together but no attempt was made to disguise conflicts of interest between schools
or between the 'managers' (Dean and Heads of School) and the 'managed'. The open exercising of dilemmas enhanced rather than undermined faculty solidarity and the policies which emerged generally enjoyed the full support of the Faculty. It was left to the Dean and Heads of School to resolve sensitive issues, particularly the determination of priorities, in which the 'managed' preferred not to be directly implicated. As the other Faculty most under threat, the Faculty of Education also displayed a resolute common front but its collegial mode of operation increased the significance of the sub-unit level; that is, the schools represented the dominant interest groups and these needed to be organised into a coalition for advancing shared interests. The same was true, but to an even greater extent, of the Faculty of Art and Design where the competition between schools for resources and development was much in evidence. Even so, the Faculty was able to exploit its past under-resourcing and degree-orientation to secure significant accommodations from the Academic Board, Senior Management and the Chairman of Governors.

9.4.3 Power Resources and their Use
A general indication has already been given, when describing patterns of dependence in section 8.4.2 above, of the major sources of authority and influence and constraints upon their use. In particular, emphasis was placed on the significance of knowledge, expertise and information in a highly differentiated organisation. Attention will be focused for the present purpose on selected key individuals and groups.

a) Chairman of Governors
Within the prevailing political culture, which bestowed on committee chairmen considerable authority and influence, the Chairman of the Board of Governors, which enjoyed the status of a sub-committee of the Education Committee and therefore reported directly to the County Council
(all County Councillors being members of the Education Committee), played a critical interfacing role between the college and the Authority. This role was considerably enhanced by his past identification with the College of Education, which was now transferred to the College of Higher Education. With his allegiance was also transferred the time and attention which he wished to give to college matters. It was primarily through the Chairman, therefore, that matters involving County Hall were dealt with and he ensured that he was suitably involved in and appropriately briefed on such matters. As has been indicated a great deal of business was proceeded through the Chairman and Vice-Chairman, whose reports were invariably approved with little discussion at the monthly meetings of the Board of Governors. His frequent attendance and intrusive involvement in college administration placed a heavy burden on the Clerk of Governors (also Dean of Administration) and Principal which although resented for the time claimed was not without its benefits. The Chairman, being fastidious over the proper conduct of business naturally relied on the briefing he received, particularly from the Dean of Administration, and was therefore amenable to influence. There was also the advantage that a matter once proceeded through the Chairman and Vice-Chairman could be acted upon since it invariably secured the approval of the Governors and was duly minuted. Independence over academic matters, however, was jealously guarded by the Principal and was a source of tension from time to time. Such was the case over appointments procedure (pressed by the Academic Board rather than the Principal himself) which the Chairman lost and the CNAA draft submission (which the Chairman insisted on processing through the Board in the first instance) which he won.

The Chairman being aware of his exclusion from academic policy sought nevertheless to secure for himself sources of information and advice
other than the Principal and Dean of Administration. The Joint Consultative Machinery was one such source. Another was the direct contacts and relationships cultivated with student and staff representatives. In all this the Chairman had a preoccupation with effective and fair stewardship which would get the college properly established with the minimum of conflict, thereby enhancing his standing, stature and influence with colleagues at County Hall. This he succeeded in doing, despite the misgivings held by officers and political colleagues over his involvement with the college and the kind of role he was playing. Even so, it was known that his fastidious attention to the proprieties would ensure that the college was properly managed.

b) Principal

The Principal relied less on the authority which his formal position within the hierarchy bestowed upon him, and which he recognised to be severely constrained, than on the influence he was able to exert at the interface between his senior colleagues and Academic Board and the Governors and LEA. That influence was greatly enhanced by the divisions between faculties and the reluctance of the Deans and their staffs to become implicated in decisions which involved compromising their primary allegiances to faculties and acknowledging corporate responsibilities. He chose, however, to use his influence unobtrusively, and was disinclined to adopt an obtrusively interventionist role.

The pressures on him were considerable given his origins in the College of Education, by the far the most straightforward to manage, and his success over his rivals who had responsibility for managing two more complex enterprises. He was well aware of the resentment felt in the College of Technology over his appointment given the view held there that the purpose of the merger was to emancipate teacher education by bringing it out of splendid isolation into the real world of FE/HE. He needed time, therefore, to acquire the expertise necessary to understand FE/HE
and Art and Design, to acquire stature and credibility and to exercise
some control over rewards, punishments, symbols and legitimacy. While
learning and acquiring, he would need to depend heavily on his senior
colleagues whose rivalries and divisions made the achievement of a
corporate view more difficult but which enhanced his interfacing and
agenda setting roles. The tactical skill displayed by the Principal
in exploiting the power resources available to him has already been
demonstrated in the way in which he handled the cuts crises. His
tactic of linking the achievement of cuts to future course development
and the general character of the college as part of an ongoing planning
exercise served to contain serious conflicts and to take the college
in the direction which he wanted with the support of a majority of staff
and the LEA.

In relying on solutions to emerge by unobtrusive guidance rather than
by conspicuous intervention the Principal laid himself open to the
charge of being over-reactive and insufficiently pro-active. Given
the limited power resources at his disposal and his preference for
unobtrusive rather than overt conflict resolution such a charge is
difficult to sustain. Even so there were voices in the college, calling
for a more obtrusive and deliberative approach to corporate management,
which were given a significant boost by the CNAA Institutional visit
of March 1977.

C) **Dean of Administration**

The Dean of Administration exercised considerable influence by virtue
of the three strategic roles combined in his office, namely Clerk to
the Governors, Secretary to the Academic Board and Head of Administration,
to which was added, following the early departure of one of the Vice-
Principals, the personnel management of academic staff. The office
was largely built around its incumbent who had been a Senior
Education Officer at County Hall prior to becoming the Vice-Principal
of the College of Technology and who was regarded as having particular knowledge and skills for handling elected members and officers. He also enjoyed high stature and credibility in academic matters having taught at a polytechnic and possessing a Ph.D. His major power resources derived from his role as Clerk to the Governors. Of necessity he was the member of staff who worked most closely with the Chairman of Governors and, given his understanding of the administrative and political cultures at County Hall and the Chairman's dependence on him for briefing and advice, he became the gatekeeper on transactions between the college, the Governors and the Authority. An important element in the gatekeeping role both at Board of Governors and Academic Board was the influence he exerted over the preparation of agendas and the writing of reports and minutes at which he was highly skilled. For the most part the Dean of Administration was content to exercise influence 'back stage' but in one respect he felt at a sufficient disadvantage to seek a remedy. As Dean of Administration he formally enjoyed equal status with Deans of Faculty and yet his roles required him to exercise authority from time to time over his colleagues. Steps were taken early in the life of the merged institution to remedy the situation by upgrading his post to Assistant Principal but the inclusion of this reform in a wider package of proposals, which ran into difficulties at national level, delayed his upgrading for two years.

d) Deans of Faculty

In terms of the authority and influence at their disposal the Deans were potentially the most powerful individuals and group within the college. They were the only senior managers with troops behind them, on whose behalf they spoke and acted and whose support they could mobilise. They controlled information, interfaced with key influencing agents in the external environment, coped with uncertainty
and exercised considerable influence over symbolic rewards and legitimacy within their own spheres of influence. As Chairmen of Faculty Boards they were in a position to influence agendas and thereby to promote or stifle initiatives. By the same means they were able to influence the messages being sent to the Academic Board. They were also constrained, of course, by their dependence on staff (see section 8.4.2 above). More significant perhaps were variations in:

a) personality and legitimacy of authority and influence;

b) levels of awareness of power resources and tactical skill displayed in their use;

c) the cultures which they inhabited and the extent to which they accepted or sought to change them; and

d) management style, notably the levels of participation encouraged and the use made of, and relationships established with, Heads of School.

Such variations have been amply illustrated already and will become even more obtrusive later in the chapter.

e) Heads of School

As will be demonstrated in Chapter 10, page 506 and Appendix R, considerable ambiguity continued to surround the role of the Heads of School eight years after the merger. The roles assigned to them varied significantly between faculties. Even so, the schools represented important management units and interest groups within each faculty which could be used as effective power bases given the appropriate level of awareness and tactical skills. These were most prominently displayed in the Faculty of Management with the result that the Dean and Heads of School were seen as a management team sharing responsibility for policy initiatives and executive action. In this faculty, as in others, the Heads of School were seen to be confronted with the kind of dual loyalties which faced Deans at Senior Management and Academic Board
level but the pressures for identification with corporate interests was much stronger for Heads of School. In the Faculty of Science and Technology the Dean played a more dominant and the Heads of School a more subservient role. In the Faculty of Education the Dean was more distanced from his Heads of School by the collegiate culture and acted more as figurehead than the leader of a management team. In the Faculty of Art and Design the Heads of School were the dominant influence by virtue of their control of single major courses, such as the degree in Fine Art or Graphic Design, or small groups of courses, and the disinclination of the Dean to play a strong managerial role.

f) Officers of the Co-ordinating Committee of NATFHE

In view of the importance which has already been attached to the influence exerted first by the ATTI in association with the ATCDE and then by NATFHE, a brief examination will be undertaken of the power resources available to the union officers seen to represent staff interests across the college. Their major resource was the ability to generate pressure on behalf of a membership which represented the vast majority of staff in the college. This was particularly potent in a traditionally paternalistic culture where a reputation for good industrial relations was taken for granted and open conflict viewed with concern. The elected members and officers of the Authority had been given an indication of the quality of organisation and the bargaining skills of the ATTI at County Liaison Committee level during local negotiations over the national Conditions of Service Agreement. Staff from the College of Technology Branch of the ATTI played a significant role in the negotiations and the Secretary of the Liaison Committee (R) also became the Secretary of the College Co-ordinating Committee of NATFHE. In terms of impression management the officers of the Co-ordinating Committee displayed high aspiration levels and a tough bargaining stance. This tactic produced important concessions
on the composition of the Board of Governors in terms of the balance between elected members and others and also in securing academic staff representation for each faculty. The pressure generated during the run-up to the merger was sustained after the merger and great care was taken to ensure that the membership fully approved of and were therefore totally implicated in the bargaining stances adopted. The tactic was one of sustained countervailing pressure and proved to be highly effective in so far that sounding out and accommodating NATFHE became an important preoccupation of the Chairman of the Governors and Senior Management. The implication or co-option of the Co-ordinating Committee officers in tackling sensitive issues like the CROMBIE voluntary redundancies and redeployment of staff was seen to have important benefits for both sides. Such participation was, of course, preceded by strong representation over cuts which, although significant in demonstrating the strength of feeling across the college and the ability of NATFHE to mobilise it effectively, did not prevent the implementation of the County Council's Policy, with the exception that the resistance to the achievement of economies across the county by unilateral modification of conditions of service proved so strong that the device had to be abandoned by the Authority.

9.4.4 The Management of Meaning and Legitimacy

It will be evident that there were a number of ideologies and interests competing for dominance during the period before and after the merger and that meaning emerged and degrees of legitimacy were acquired as authority and influence were exercised in context. Although the significance of hierarchy was acknowledged and authority was seen to confer important powers, each of the faculty cultures described had a non-deferential egalitarian component. That is staff generally regarded each other as colleagues with some playing a managerial role, others a representational role, which conferred responsibilities upon them, with
the majority free to practice their craft as they wished. Legitimacy and assessed stature derived more from performance than rank. Even so, much was expected from those who presumed to hold high office and their performance was closely monitored. This was particularly true of the Deans who nevertheless started with the advantage that faculty staff had little choice but to acknowledge their legitimacy as leaders in a highly competitive environment. However limited their skills as advocates and negotiators the Deans were in post and had to be supported. In much the same way the Principal commanded loyalty across the college although he did not enjoy the advantage of having troops directly under his control. That is not to say, however, that his appointment did not continue to be resented in some parts of the college, particularly those to which he was thought (unfairly) to lack commitment. Like the Deans his performance was under constant critical scrutiny. Other members of Senior Management lacked the advantages enjoyed by the Principal and Deans and found it more difficult, therefore, to acquire stature and legitimacy. The Dean of Administration by virtue of his strategic roles and performance of them had least difficulty in acquiring stature and legitimacy, although even he was sufficiently concerned about his line relationship with Deans to seek redesignation as Assistant Principal. The problems were more acute for the Vice-Principal and Director of Studies. The former had been Principal of the College of Art, a post to which he was appointed at the age of 32, and had developed a highly individual and colourful style of management which brought him and the college public prominence. A painter in his own right, he moved in the appropriate artistic circles and could claim many distinguished friends. He was the best known academic in the college. Yet his new post distanced him from staff, who were placed under the management of a Dean of Faculty (previously a Head of Department appointed by him) and
presented him with a portfolio of responsibilities made up of site management, buildings, health and safety and promotion and publicity, all of which had a strong administrative component which in the past he had been accustomed to delegating to others.

The Director of Studies had to establish credibility in the most difficult area of all, namely the co-ordination of course and curriculum development. The Deans of Faculty who were accustomed, as heads of department, to assuming responsibility for course and curriculum development and for handling relations with the LEA, RAC and RSI, including the preparation of the appropriate documents, found this responsibility taken over by the Director of Studies whose intrusion they resented and who was at a serious disadvantage in terms of his general knowledge of systems and detailed knowledge of courses. His original appointment to a newly created post of Director of Studies in the College of Education had aroused a certain amount of resentment among staff, not least the Vice-Principal who became Dean of Faculty, with the result that he was not entirely accepted in his own faculty and strongly identified with the Principal. Lacking legitimacy in his own right the Director of Studies came to rely increasingly on the support of the Dean of Administration who as Secretary to the Academic Board had overall responsibility for co-ordinating academic activity (largely delegated to the faculties), the most significant aspect of which in the early years of the merger was course and curriculum development.

9.4.5 Language, Belief and Myth

As has already been indicated there were several ideologies and associated vocabularies competing for dominance before and during the early years of the merger. Reference has also been made to the stereotypes which were current and the way in which behaviour tended to confirm
Attention will be focused for the present purpose on the beliefs and vocabulary which began to assume increasing currency during the early years, although by no means universally accepted. This was the set of beliefs originating in the College of Technology and identified most strongly with the Faculty of Management, and those members of its staff active in the ATTI and NATFHE. According to their view the college was a negotiated order in which purposive rationality needed to be more widely and rigorously applied and in which high-order bargaining skills were necessary to exploit the countervailing pressures in the system. The proponents of this view were also those who advocated a market-orientated rather than a resource-based approach to course and curriculum development. The vocabulary favoured was political and managerial and roused antagonism from those who resented the industrial connotation and the intrusion of such a vocabulary into a community of scholars and artists.

The ideological and linguistic differences reflected and served to perpetuate the divisions highlighted in stereotypes. The stereotypes emphasised negative, critical perceptions. Favourable, positive perceptions designed to bolster self-regard and competitive standing were cultivated in myths, which turned the weaknesses of stereotypes into strengths. The two faculties originating in the College of Technology emphasised the high reputation won with employers, validating bodies and HMI and the strong vocational relevance of courses. They wished to be judged in comparison with the Polytechnic with whom they felt they could more than hold their own in selected areas of activity. The other two faculties emphasised their achievements in developing degree-level courses, and identified themselves with the university sector. All four faculties took pride in the quality of their staffs and their ability to hold their own among peer groups. This was particularly true of the Faculty of Art and Design which strongly
cultivated an exclusive image. In terms of outward appearances which confirmed exclusiveness, however, the Faculty of Education eclipsed its rivals. Staff were very much better catered for in terms of personal staff rooms, a staff common room and catering facilities. No other site could offer an imposing dining room, white tablecloths and a waitress service, quite apart from the quality of the food which was also superior. Some of the older members of staff were able to look back nostalgically to the days when a pastry chef produced superior confectionary for each afternoon's tea break. When high quality hospitality needed to be offered to visitors, therefore, it was to this site they were brought as were meetings of the Board of Governors and Academic Board in view of the superior boardroom found on site. Attempts were made in the early life of the college to rotate meetings between sites but within a short period of time the practical advantages of holding them in the main boardroom proved decisive.

9.4.6 Purpose, Commitment and Order

Although, in accordance with the wishes of the DES, a single corporate body was created de jure, rather than a confederation, in actual fact the structures and modes of operation adopted more closely resembled a confederation. That is, no attempt was made to impose a strong corporate identity upon the merged institution, rather, every effort was made to take on board the purposes, commitments, loyalties and organisational arrangements familiar to the constituent parties in the hope that a new corporate identity would emerge over time. The mission and goals were set down in sufficiently general terms to allow faculties to pursue their own self-determined purposes, subject to external constraints. And, as has been demonstrated, it was these external constraints and adaptations to them which proved decisive in shaping the future of the college, the most significant being cuts in expenditure and the controls exercised by RSI and validating bodies over course development.
In terms of commitment, the primary loyalties of staff were to the faculties. The highly differentiated structures and processes served to strengthen these loyalties rather than weaken them. The aspects of organisational design most neglected were integration and control with heavy reliance placed on mutual adjustment as opposed to bureaucratic devices such as standard operating procedures and corporate planning systems. Reliance on mutual adjustment was consistent with the unobtrusive style of leadership adopted by the Principal who, as has already been demonstrated, was acutely conscious of his own vulnerability and the micro-political realities of the situation. Although relying largely on a corporate purpose and commitment to emerge through a process of mutual adjustment over time, the Principal did not lack a corporate vision. As has been indicated, he was able to take advantage of the cuts exercise to take the college largely in the direction which he desired.

9.5 Pattern of Change

Given that the main interest lies with the strategic change generated by the introduction of corporate planning rather than that produced by the merger, only a brief check will be made against the aspects listed for attention in section 2.5 of Chapter 6.

9.5.1 Incrementalism and Purposive Rationality

The changes introduced by the merger were incremental in scale and character. Such an outcome was by design rather than default. The intention was to achieve maximum accommodation for all interest groups and preserve as much of the existing colleges as possible in the new institution. Attempts were made to introduce a stronger element of purposive rationality into the management of the college both at faculty and corporate level but, with a few exceptions, these made little headway.

9.5.2 The Impact of Real and Constructed Crises

The impact of the cuts crises was considerable. They served to accelerate
changes in the character of the college as non-advanced courses were discarded and growing importance was attached to increasing the proportion of advanced work, particularly degree courses. The same changes served to reinforce battle lines and to increase the sense of isolation felt by the Faculty of Science and Technology. The loss of staff also affected morale in the Faculty of Education which shared a sense of betrayal, albeit less acutely. The voluntary redundancy and redeployment exercise also confirmed the representative role of the NATFHE across the whole college, enhanced its bargaining position and also its status as a positive force capable of working with college management to tackle sensitive issues. Within the general framework of retrenchment, demonstrations of concern were periodically escalated into constructed crises, as was the case when the Principal was invited to meet the staff of the Faculty of Science and Technology.

9.5.3 Changes in Management Personnel

Two changes occurred during the period under consideration. Within a year, one of the Vice-Principals, previously the principal of the College of Technology, left to take up another post and his duties were redistributed among senior staff in such a way as to enhance the authority and influence of the Dean of Administration in particular. In April, 1977 the Dean of the Faculty of Management left to take up a vice-principal's post and was succeeded by one of his Heads of School (R). As has already been indicated he showed a much greater interest than his predecessor in contributing to the development of college-wide systems, notably in the fields of staff development and corporate planning.

9.5.4 Shifts in Power

In general terms the cuts crises served to shift the balance of power as between the Principal and the Deans, although the latter continued to possess significant power resources. Both the Principal and the Dean of Administration, given their crucial interfacing roles with
the Authority, via the Chairman and his Board of Governors, had their authority and influence greatly enhanced by the crises. The influence of the officers of the NATFHE Co-ordinating Committee was more confirmed and reinforced than significantly enhanced by the crises.

9.5.5 Transformations in Organisational Ideologies
No single ideology had succeeded in securing dominance by the end of the period under consideration. Even so, as has been suggested in section 9.4.5 above, one ideology began to assume increasing currency and received a boost from the CNAA Institutional Review.

9.6 Alignments and Correspondences
In so far that the College of Higher Education was designed to accommodate its three highly individual constituents with the minimum of conflict and dislocation, cultural and micropolitical realities predominated. At the outset, therefore, structures and processes were designed to be compatible with inner context in such a way as to produce an outcome acceptable to all interested parties. Deficiencies in integration and control were tolerated and were expected to be remedied once the organisation had been given an opportunity to settle down. Such an opportunity was denied to it, however, in the face of pressures on public expenditure at national level which were translated into cuts in estimates at local authority and institutional levels. The cuts served to strengthen the hands of the Authority and the Principal in taking the college in a particular direction and to weaken the resistance of those opposed to an advanced-course orientation.

Judged by its ability to achieve painful adjustments in courses and staffing in the face of external threat, while at the same time containing serious potential conflict, the correspondence between context and process appears to have been largely appropriate. A dynamic equilibrium was maintained in the face of considerable inner and external turbulence. Whether the correspondence was achieved more by luck than judgement or vice versa is difficult to establish. In view of the political awareness
and skills that have been attributed to the Principal in a number of sections above, the outcome could hardly have been entirely fortuitous. Even so, serendipity seems to have had a role to play in matching emergent to intended outcomes.

10. **GARBAGE CAN PERSPECTIVE**

10.1 **Incidence and Levels of Ambiguity**

10.1.1 **Mission and Goals**

While there was little doubt from the outset that the college aspired to be a polytechnic-type institution offering predominantly advanced courses, considerable difficulties were experienced in the early formative years in establishing its precise character, identity and mission. This was not surprising in view of the high degree of differentiation built into the organisation and the consequent reliance placed on bottom-up initiatives taken at faculty and school levels. There was also the problem of reaching an understanding with the Authority over the role of the college within the county's overall education provision. In pressing for recognition of its polytechnic-type character and status the college was implying a level of autonomy and resourcing which the Authority was reluctant to conced, faced as it was by financial pressures from central government. There was also the fact that the authority lacked an integrated, corporate view of its total educational provision with the result that a considerable amount of ambiguity surrounded the FE/HE sector in particular. Given these circumstances it was expedient for the Authority to maintain ambiguity with considerable leeway allowed for bottom-up initiatives from the colleges which could be accommodated or resisted as circumstances permitted.

Despite a number of attempts at joint authorship, responsibility ultimately fell on the Principal to produce a blueprint for the future of the college. This was more concerned with reconciling the pressures generated by the cuts crises than in offering a grand design and gave considerable prominence to the constraints and uncertainties which masked the future.
It was in any case a characteristic of the Principal's unobtrusive style of management that solutions were allowed to emerge, with guidance, rather than imposed following conspicuous intervention.

Ambiguity over mission and goals was more pervasive at corporate level than at basic-unit level. The faculties, as has been demonstrated, had a clearer view of aspirations which were converted into bargaining positions at academic board and senior management levels. They were not unaware, however, of the considerable uncertainties surrounding their futures and the need to develop a capacity for flexible and rapid response to changes in the external environment.

10.1.2 Technology

The technology of learning, as has been demonstrated by a number of authorities (see for example Baldridge, 1978 quoted on page 321 above), is acknowledged to be problematic and inherently ambiguous. It is not intended to labour the point but rather to focus attention on developments in the external environment aimed at limiting discretion and thereby ambiguity over the delivery of courses to students. During the period under consideration validating bodies were beginning to take an increasingly proactive interest not only in the design of courses and curricula but also their delivery in the form of teaching/learning programmes and patterns of assessment. Among the major validating bodies with which the college had to deal the Technician and Business Education Councils were the most prescriptive in terms of philosophy and technology with great emphasis placed on vocational relevance, integration and the avoidance of traditional discipline-based programmes, skills development, notably problem-solving skills, and the development of student or resource-centred as opposed to didactic or teacher-centred approaches to learning. Although not nearly as prescriptive as TEC and BEC other validating bodies such as CNAA began to expect adherence to certain philosophies and associated technologies which reflected thinking
about best practice in the public sector of HE. In due course there
developed interlocking networks of peer groups among the various
validating bodies spanning the university and public sectors which
considerably raised expectations. Failure to meet these expectations
and thereby to secure validation had serious consequences for a
college. It was not always easy to discern, however, what exactly
these expectations were since they varied over time (the problem of
'the moving target') and with the predilections of the group undertaking
the validation (the problem of 'playing God'). Anticipating the likely
responses of validating bodies in conditions of considerable uncertainty
became an art in itself which was practised with varying degrees of
success across the college.

11.1.3 Participation and Leadership

Given the pluralist nature of the college beliefs varied over desirable
levels of participation and styles of leadership.
The organisational structure was designed to encourage staff participation
in decision-making at all levels within the organisation but as will be
demonstrated in later sections of this chapter participation was
inevitably fluid and selective. A particular sensitivity attached in
the early years of the merger to becoming involved in decisions over
priorities and resource allocation having staffing implications. Even
so, the Board of Governors, the Academic Board and Faculty Boards were
recognised to be important bargaining arenas for which participation needed
to be mobilised and briefs prepared.
Although there was a reluctance to accept the political, bargaining
model of the organisation, representational, advocacy and negotiating
skills were recognised to be important for effective leadership. The
Principal, the Dean of Administration and the Deans of Faculty were
seen, in particular, to have important interfacing roles. But there was
no common understanding of a single appropriate style of leadership.
Indeed, the degree of differentiation built into the organisation and the inherited cultural differences between faculties, quite apart from conspicuous differences of personality, sustained a pluralist perspective and a tolerance of a diversity of leadership styles.

10.2 Choice Opportunities Viewed as Garbage Cans
One of the problems in employing the garbage can perspective is that to some degree all decision processes, however strongly or weakly structured may be regarded as a confluence of problems, solutions, participants and choice opportunities. There is no difficulty, therefore, in finding correspondences from applying the garbage can metaphor to those strategic decisions given greatest attention so far. What is more difficult to establish is the degree to which confluences are fortuitous or are amenable to regulation and management. By the same token it is difficult to establish how far outcomes emerge post factum or follow upon intention. The view is taken that outcomes rarely emerge as intended or are entirely fortuitous and that serendipity generally has a more or less significant role to play. Such a view appears to be borne out, for example, by the application of the garbage can perspective to the deliberations of the Merger Working Party and to the responses to the cuts at Board of Governors, Academic Board and Faculty Board levels.

10.2.1 Merger Working Party
The activities of the Merger Working Party are amenable to close analysis employing the garbage can perspective. For the present purpose attention will be confined to a few selected aspects. It is interesting to note that it was staff representatives (who were largely instrumental in bringing the Working Party into existence) who pressed at the outset for a comprehensive, rational approach to decision-making (see Appendix S2). Their advocacy of purposive rationality had its origins as much in political expediency as in belief in the rational comprehensive ideal, per se, for it served as the best way of making available crucial information and bringing out into the open the major options and their
ramifications. Despite an initial favourable response from the
Chairman of the Working Party meetings quickly assumed a highly
selective and incremental character which were used by all participants
in varying degrees as garbage cans to exercise their major pre-
occupations and press their group interests. The final outcome,
though primarily under the control of elected members, advised by the
Director of Education and the Principal, emerged with important
concessions having been made to staff. Viewed in this way the outcome,
though unpredictable until the day the Instrument and Articles of
Government were finally approved by the DES, was neither fortuitous or
engineered, rather it emerged as a negotiated order settled in an arena
having many of the characteristics of a garbage can.

Much the same description might be applied to the outcomes arising from
the cuts crises.

10.2.2 Board of Governors

Into the choice opportunities forced upon the Board by the cuts flowed
problems unresolved since the merger and solutions and participations
arising from the concerns of identifiable interest groups. The
Principal, Dean of Administration and Chairman of Governors exploited
the crises to confront the Authority with problems of identity, mission,
administrative autonomy, and the handling of voluntary redundancy and
redeployment. Staff governors, in addition to articulating a collective
resistance to cuts, thereby demonstrating the strength of feeling in the
college, exploited the crises to assert the negotiating rights of the
NATFHE Co-ordinating Committee in all matters relating to redeployment,
voluntary redundancy and conditions of service. While lobbying and
written and verbal protests over the cuts themselves failed to deflect
the elected representatives on the Board from a loyal adherence to
County Council policy, objections over the failure to observe appropriate
procedures for handling voluntary redundancy and redeployment struck
home. Elected members were particularly sensitive about their reputation
as employers and did not wish to be hoist for procedural improprieties. In any event the Chairman of Governors, advised by his clerk, was predisposed to implicate staff representatives in such matters. As has already been indicated the involvement of the NATFHE Co-ordinating Committee in the voluntary redundancy and redeployment exercise, on which the achievement of cuts depended, was crucial to its success.

10.2.3 Academic Board

Although it was to the Board of Governors that the Principal was expected to bring his proposals for the achievement of cuts, in the first instance, the means employed by him to link mission, identity and course development to the cuts, in an ongoing planning exercise, ensured that Academic Board and Senior Management became the major arenas for exercising problems and finding solutions. It will already be evident from the analysis already undertaken of the planning documents and their fate, how the Principal ultimately managed to regulate the confluence, with the aid of serendipity, in order to produce an acceptable outcome. Above all he was aided by the divisions and conflicts of interest among faculties and the reluctance of staff to become implicated in making choices which had staffing implications. It was seen to be the responsibility of senior management to manage, that is to take the difficult decisions and also to produce documents of a requisite technical standard. The divisions between staff and senior management and the faculties and the college (with the Deans torn between the two) serve to underline the significance of the Academic Board as a bargaining arena. It is this view of the Academic Board which also helps explain the resistance to the creation of an academic sub-committee structure between the Faculty Boards and Academic Board. The absence of such a structure ensured that meetings of the Board frequently resembled garbage cans with outcomes emerging as tentative negotiated orders, following a lengthy exercising of problems.
10.2.4 Faculty Boards

As has already been indicated, of the four faculties Art and Design most closely resembled an organised anarchy. Agendas for Faculty Board meetings were so loosely structured as to give rise to unpredictable confluences which were subjected to minimum regulation. Even so, agendas were not entirely open-ended and like other faculty boards, that for Art and Design was primarily preoccupied with course development, identity and level of resourcing. Common cause was found in the promotion of new degree courses, the protection of the identity and reputation enjoyed by the old College of Art, and the correction of the under-resourcing which made it vulnerable before CNAA and other validating bodies. Messages on these issues were conveyed to the Academic Board, Senior Management and the Chairman of Governors which largely produced favourable responses. The Faculty of Education was preoccupied with much the same issues, although in its case the resourcing problem related to the level it would be allowed to retain, notably of staff, rather than acquire. Much depended on the target student numbers for initial teacher training allocated by the DES and the announcement made on 26th January, 1977 (see page 283) lifted a great cloud by securing a future, albeit at a reduced level of activity, for the faculty. In the face of this reduction, which had been largely anticipated, the faculty devoted its energies to diversification, notably in the form of new degrees. Initiatives for course development originated in the schools and with individuals who presented formal proposals to the Faculty Board. Given its preference for a collegiate mode of operation heavy reliance was placed by the Faculty on formal procedures for conducting business. Such procedures were not intended to stifle or control bottom-up initiatives on which the Board primarily relied. On the contrary, they were seen as a means of mobilising corporate support. Outcomes emerged, therefore, from confluences of streams originating in both the internal and external environments and chanelled through highly formalised
The remaining two faculties were more conspicuously managed and confluences were therefore subject to greater regulation. Preparatory work undertaken before faculty board meetings sought to ensure that the Dean and Heads of School were able to present a co-ordinated faculty view to their colleagues. As has been demonstrated, both boards sent strong messages to the Academic Board and Senior Management not only on matters of direct interest and import to them, such as cuts and course development, but also on corporate management. Both were critical of the handling of publicity and promotion. The Faculty of Management repeatedly pressed for a corporate policy on redeployment, retraining and staff development and in so doing was openly critical of senior management of which the Dean was a member. Hence, despite the considerable authority and influence available to the Dean the confluence was not entirely regulated by him and outcomes were as much negotiated as managed.

10.3 Participation and Attention

It will already be evident that the organisation was designed to provide decision and access structures encouraging high levels of participation. This was seen to be both desirable and expedient. What could not be predicted, however, was the extent to which rights to participate would be taken up. The remainder of this section is devoted to the distribution of attention considered in terms of rational action, symbolic significance or process pleasures, and obligation, operating at each level in the organisation.

10.3.1 Board of Governors

Patterns of attention varied both within and between the three major groups represented on the governing body, namely county councillors, staff and students and representatives of outside bodies. The status conferred by membership was valued by county councillors who enjoyed v.i.p. treatment in terms of the acknowledgement received from the Chairman at meetings and the hospitality provided after meetings. A
sense of duty and obligation was also attached to attendance at meetings particularly when issues relating to County Council policy were involved. For those County Councillors, such as the Chairman and Vice-Chairman of the Education Committee, who had competing claims on their time, the opportunity cost of attendance needed to be calculated more finely. As far as possible, however, the Chairman ensured that too much was not left to chance.

For staff and students all three inducements applied strongly during the early formative years. The appropriate members of senior management were, of course, required to be in attendance. Even so, membership represented an important acknowledgement of status and provided an opportunity for collecting and earning goodwill. Attendance by staff and student representatives was seen to have low opportunity cost, offered many process pleasures, notably acknowledgement of status, collection and earning of goodwill and exchange of information, and was regarded as a duty.

The allocation of attention was more variable among representatives of outside bodies. Those representing local industry, whether employers or trade unionists, tended to attach sufficient importance to membership to attend on all three counts. Those representing more august national or regional bodies, and who tended, therefore, to be of high rank, found it more difficult to meet their obligations on a regular basis in view of the opportunity costs incurred and process pleasures lost from sacrificed alternatives.

10.3.2 Academic Board

High expectations were attached to attendance at Academic Board and arrangements were generally made, therefore, for substitutes to attend when faculty or other representatives were indisposed. Attendance was most variable from students for whom fewer process pleasures were available given the agendas and nature of discussion. For the majority of staff, however, apart from the occasions when the opportunity cost was
too high (arising mainly from teaching obligations) a sense of duty and the range of process pleasures on offer ensured a high level of attention.

10.3.3 Faculty Board
As the stakes were generally less high at Faculty Board meetings, the inducements to attend exercised varying degrees of influence. For the Dean and Heads of School, of course, there was a compelling duty to attend. For other members much depended on competing claims on their time (failure to fulfill certain teaching commitments might be seen to incur high opportunity costs), the items on the agenda, their sense of duty and the symbolic significance attached to attendance.

10.4 Belief Structures
It will be evident from the attention given to stereotypes, myths and cultural variability that a lengthy process of adaptation and learning was required before the members of the organisation could achieve a common understanding of events and attribute a widely shared meaning to them. As March and Olsen (1976: 63) have demonstrated pluralism and differentiation tend to produce perceptual and attitudinal ambiguity in interpreting events. They also point out, however, that despite ambiguity and uncertainty members of organisations try to make sense of their lives. They try to find meaning in happenings and provide or invent explanations. (Ibid.). The way such consistency is accomplished is acknowledged to be a highly complex process. Attention is confined for the present purpose to those aspects of belief structures regarded by March and Olsen as particularly significant, notably degrees of integration and degrees of trust, which are linked to patterns of interaction and orientation to events. (Ibid.).

Degrees of integration and trust were strongest at school and faculty levels and weakest at Academic Board and Senior Management level. Latent tendencies to alienation and distrust, present prior to the merger, were powerfully reinforced by the cuts crises which, being selective in
their impact, encouraged selective perception. Both the Faculty of Education and the Faculty of Science and Technology felt betrayed but, as has been demonstrated, it was the Dean of the Faculty of Science and Technology who felt most strongly at odds with the Principal and his senior colleagues. The outcome of the cuts tended to confirm some of the worst suspicions held during the deliberations of the Merger Working Party. As a result a deep seated alienation and mistrust took root and coloured the perception of the Dean and his staff for the whole of the period under consideration and beyond. The other faculties were less inclined to place a sinister interpretation on events and cultivated beliefs consonant with their cultures and self-images. They harboured healthy suspicions of each other in the turbulent and competitive environment in which they found themselves but not to an extent which prevented reconciliation and integration by mutual adjustment. As has been demonstrated, the belief was held in some parts of the college that the college represented a negotiated order in which bargaining skills were at a premium. Although according to this view the Board of Governors represented a major bargaining arena every effort was made, notably by the Chairman to promote a perception which emphasised integration and trust. He was not prepared to contemplate serious confrontation, considered to be unimaginable. (see page 280).

10.5 Conspicuous Variables

10.5.1 Decision-time

March and Olsen have demonstrated (1976: 86, 87) how the time taken to take a decision affects both process and outcome. The longer the time taken to make a decision the more participants and issues surround the choice opportunity and the more complicated the situation becomes. In complicated situations participants find it difficult to agree, have a tendency to postpone decisions and avoid early commitment and are disinclined to accept a leadership role and generate solutions. As has
already been indicated, the deliberations of the Merger Working Party became protracted and complicated and a number of issues, notably the character and identity of the college, remained unresolved. This in turn became bound up with problems over the general level of resourcing, the degree of administrative autonomy and patterns of course development in a period of retrenchment. Given the strength of conflicting interests and high levels of participation, there was a great reluctance at each level in the organisation to resolve these matters until deadlines were imposed by the cuts exercises, and choices were severely foreclosed by circumstances.

10.5.2 Organisational Slack
Again, as March and Olsen have demonstrated (Ibid.: 87, 88) the reduction of organisational slack tends to set in train processes designed to reduce inconsistency, and to clarify values and beliefs. Such was the case with the cuts exercise. It would appear from the level of accommodation available prior to the cuts that a significant degree of slack had been built into the organisation at the time of the merger. Certainly, there was a greater preoccupation with avoiding conflict and dislocation by preserving the status quo than with achieving prescribed levels of effectiveness and efficiency.

10.5.3 Styles of Decision-Making
The styles of decision-making or non-decision-making adopted in an organisation are seen by March and Olsen (Ibid.: 89, 91) to derive from the management models adhered to. It will be obvious that the 'entrepreneurial model' lacked strong currency in that a rational-analytical style was not much in evidence, although advocated from time to time, notably by staff critical of management performance. It follows, therefore, that the main choice lay between a political style preoccupied with conflict resolution and deriving from a 'coalition-bargaining model' of the organisation and a non-decision style based on the 'artifactual
model'. Both styles, as has already been demonstrated, were very much in evidence during the early years of the merger but with the latter accorded the greatest legitimacy.

10.5.4 Load

With so much to achieve by way of the development of structures and processes, course and curriculum development and coping with turbulence in the external environment, demands on the time, energy and attention of participants were high at all levels in the organisation during the early years of the merger. Although this high load assisted the process of turning decision opportunities into garbage cans, the stakes were sufficiently high over the strategic decisions surrounding course development, the future of the college, and cuts, to command attention and participation.

In some areas, however, the load on certain key individuals severely inhibited progress. Such was the case with integration and control, the key individuals involved being the Principal and the Dean of Administration. Of the two, the Dean of Administration as Secretary to the Academic Board and Head of Administration had the chief responsibility for systems development and he was only too well aware of the need for integration and control in the face of the high levels of independence and discretion afforded the faculties. These were valued so highly by the faculties that they resisted all attempts made in the Academic Board to introduce a supplementary sub-committee structure. Such time as was necessary to introduce and enforce standard operating procedures and management information systems was not available to the Dean of Administration by virtue of the alternative claims for his attention, not least of which was the Chairman of Governors. The interfacing roles of the Dean of Administration and Principal claimed so much time and energy during the early years of the merger that the faculties
were left largely to their own devices and were subject to very limited accountability and control.

10.6 **Organisational Leadership**

Sufficient has already been written about styles of leadership, notably those practised by the Principal and the Deans, not to require further elaboration at this juncture other than to note that the unobtrusive style adopted by the Principal would be regarded by the garbage can theorists as appropriate to an organised anarchy.

11. **GENERAL PERSPECTIVE**

The three perspectives which form the set chosen to analyse context, have been employed in the first instance to provide insights into the character of the organisation prior to the introduction of corporate planning. In so doing it is intended to highlight the circumstances considered to make such a strategic change necessary and also to identify forces at work in context likely to facilitate or inhibit integration by means of bureaucratic devices such as standard operating procedures and corporate planning systems.

Since Chapter 12 is devoted to a pathology of corporate planning at the College of Higher Education, references to planning will be limited at this juncture and attention focused on the major insights, distinctive and shared, provided by the set. Each perspective is seen to offer powerful insights, with considerable overlap revealed, as anticipated, in the treatment of the cultural and micropolitical aspects of organisation.

In summary, what emerges is the following composite picture:

a) An environment of great complexity in terms of external and internal uncertainty and turbulence, cultural diversity, styles of management, conflicts of interest, distribution of power, and approaches to problem solving.

b) A pervasive uncertainty and ambiguity and the tendency of strategic choice opportunities to become garbage cans.
c) A predisposition on the part of organisational designers to accommodate existing structures, processes and preferences and thereby minimise dislocation and contain conflict. As a result differentiation is extended rather than reduced by the merger. The differentiated structure concentrates power resources at faculty level where they largely remain despite a shift in the balance of power produced by the cuts crises.

d) The cuts crises serve to accelerate the movement of the college toward a character, identity and mission drawn in outline by the Merger Working Party but left ambiguous in certain details, which have to be resolved in the wake of the cuts. The manner of resolution has a profound effect on belief structures creating serious alienation and mistrust in at least one faculty. Given the plurality of cultures, reflected in stereotypes, myths, ideologies and leadership styles, there is a built-in tendency for selective perception and a reluctance to seek for shared meanings.

e) Heavy reliance is placed on mutual adjustment and bargaining for achieving integration, particularly at the institutional level. Such planning as is attempted is improvised to cope with short-term pressures, focuses on constraints, relies heavily on bottom-up initiatives and information, and largely ignores the rationalist philosophy and associated technology.

f) The Principal adopts an unobtrusive style of leadership characterised by back stage interventions and a willingness to see solutions emerge after problems had been well-exercised over a period of time. That is not to say that all outcomes of strategic importance emerge by default rather than design. As has been demonstrated the Principal displays a high level of political awareness and considerable skills in exploiting his own power resources, as well as the divisions among his senior colleagues, to achieve preferred outcomes.
CHAPTER 9

ACADEMIC SESSIONS 1977/78 AND 1978/79

PERIOD OF TIME DURING WHICH THE NEED FOR CORPORATE PLANNING WAS ACKNOWLEDGED AND A SYSTEM DESIGNED AND INAUGURATED

SECTION A: DESCRIPTION

1. THE ACADEMIC SUB-COMMITTEE STRUCTURE

It was not until the Academic Organisation Working Party had produced a third report for the Academic Board on 26th January, 1978 that an acceptable framework was found. Even then, the terms of reference were presented in such broad terms and so little guidance provided on modes of operation that it was decided that the three main sub-committees should act as working parties in the first instance to sort out these matters. The three sub-committees to be set up were Planning and Resourcing, Staff Development and Research, and Course Administration (the original titles were slightly different but these soon became the permanent ones).

Each of the three, acting in the first instance as working parties, consisted of two academic staff from each of the faculties (one to be a member of the Academic Board), two representatives of non-academic staff and two student representatives. Each of the working parties was required to elect its own chairman but was to be advised by a senior member of staff, without voting powers, nominated by the Principal. They were asked to examine terms of reference, composition and modes of operation, with particular reference to the information and administrative support required, and to submit reports to the next scheduled meeting of the Academic Board.

The original deadline proved too ambitious and final reports were presented to the Academic Board on 26th May, 1978. While each report emphasised the importance of an adequate information base and the provision of secretarial and administrative support, there were sufficient differences
between them to require further work. The task of reconciliation and co-ordination was given to a group made up of the three chairmen, plus three senior academic staff, namely the Dean of Administration, the Director of Studies and the Dean of the Faculty of Management and Administration (R). The paper presented to the Academic Board on 20th October, 1978 was chiefly the work of the Dean of the Faculty of Management (R).

2. **THE PLANNING CYCLE**

The paper prepared for the Academic Board was seen to:

represent a response to at least two agents for change: the CNAA Report and a growing desire among a number of staff for what might be termed 'better administrative practice', the latter being informed by an awareness of developments elsewhere and a familiarity with a growing literature on the management of HE institutions.

The main internal developments necessary to meet CNAA requirements were listed, with emphasis on the corporate planning and monitoring function of the Academic Board and its sub-committees. The management principles to be adopted, with the organisation viewed as a means of transforming expectations into specified objectives, were as follows:

(a) Objectives to be client-related and made explicit.
(b) High priority to planning.
(c) Emphasis on resource allocation.
(d) Decision making with the aid of appropriate techniques. Search for and evaluation of alternative means of achieving goals.
(e) Continuous review of ends and means.
(f) Acceptance of change as a normal phenomenon and hence to be managed, controlled and phased rather than suffered.

The major innovation proposed in the paper was an Annual Planning Cycle which operated in three stages and provided a routinised time-table within which the sub-committees of the Academic Board would be required to operate. Stage 1 consisted of a comprehensive review of the previous academic session and enrolments for the current session, to be undertaken in the first instance by the faculty boards and then by the sub-committees,
suitably informed, in order to present a college-wide review to the Academic Board. During Stage 2 faculty boards were required to produce a three-year strategy, rolled forward annually, and the Academic Board was required to produce a college plan with which the faculty strategies could be reconciled. In Stage 3 the college academic plan and faculty strategies were to be converted into programmes of activity which could be costed for the purpose of producing estimates for the following financial year. An illustration was provided of how the time-table would operate over two academic sessions (see Appendix U).

The production of a general statement of academic policy was seen to be crucial to the operation of the planning cycle.

*It will be necessary for the operation of the first planning cycle, for the Academic Board to be presented with a General Statement of Academic Policy by the Principal. The statement will provide a backdrop against which systematic decision making will take place. Without such a statement judgements about the adequacy and effectiveness of existing provisions or proposed programmes cannot be made.*

The specifications for the three sub-committees were set down in detail under two main headings: Terms of Reference and Mode of Operation, and Information (for details see Appendix B). Each was denied executive powers other than certain rights to information. Being almost exclusively advisory, therefore, it was for the Academic Board alone to determine what action, if any, should be taken on the basis of reports received from sub-committees.

The paper, drawing on the experience of Working Party Chairmen, acknowledged the problems of making the new system operational and established the need for Memoranda and Guidelines (see Appendix B). A discussion paper was prepared by the Dean of the Faculty of Management (R) on Staff Development and Research for the Academic Board on 22nd November, 1978 and the approach recommended in the paper was accepted as general guidance for the Staff Development and Research Sub-Committee and the Faculty Boards (for a diagramatic representation of the model devised by the Dean see
The problem of information presentation and forms design was not resolved until after the 'Teach-in' of July, 1979 (see section 5 below) and the format for faculty strategies emerged as the result of experiments conducted by the faculties, notably the Faculty of Management and Administration (see section 4 below).

3. THE CNA VISIT: 27th and 28th February, 1979

The opportunity was taken by the College and CNAA to take advantage of a two-day visit from panels undertaking a review of the degrees in Fine Art and Graphic Design (which succeeded in obtaining five-year approval) to update officers on the steps taken since July 1977 to respond to the criticisms and recommendations made in the Institutional Review. The Chairman of the 1977 visiting party and the Registrar for Institutional Reviews joined the members visiting Art and Design at their private meetings on the second day of their visit and spent the rest of the day in discussions with senior academic staff and the Librarian. At lunch-time the officers were able to have informal discussions with Governors and members of the Local Authority. The College had prepared a progress report for the visit which described the responses made by the College to each of the major recommendations contained in the 1977 Review. This formed a basis for the discussions.

The report received following the visit was highly favourable and Council responded by lifting the embargo on new course developments requiring CNAA validation. As a result the Council's Subject Boards were given the authority to consider proposed courses on their own merits for approval without the necessity for a further Council visit before ratification. The findings of the Council's officers were reported as follows:

The Council's officers were very impressed by the progress which the College had made since the Council Visit in March 1977. The problems caused by the merger of the former institutions appeared to have been
Largely overcome, and the College was now going forward as a unified institution with the support of all those concerned. There was, on the other hand no underestimation of the difficulties which faced the College in the realisation of its agreed objectives.

The report of the 1977 Council Visit had clearly been taken very seriously, and had been interpreted with a clear understanding of the intentions and principles which lay behind it.....

Each of the 1977 recommendations were considered in turn together with the College's response to them. Signs of substantial progress were identified across the board. There continued to be room for further substantial improvement, as the College fully understood, but the Council's officers were much impressed by the determination to effect these improvements ..... displayed by both the maintaining Authority and the College itself. The report was particularly complimentary about the Planning Cycle and the Academic Committee Structure.

A sophisticated annual planning cycle was currently being introduced which involved all parts of the committee structure, including the Faculty Boards. While it was acknowledged that the system might have to be further refined in the light of experience, the Officers were satisfied that what was being introduced was a systematically comprehensive approach which provided a firm basis for progress, and would also assist in the further vertical and horizontal integration of the institution.

4. THE EMERGENCE OF FACULTY STRATEGIES AND A COLLEGE ACADEMIC POLICY

4.1 Innovations in the Faculty of Management and Administration

The spokesman for senior management during discussions with CNAA Officers on the planning cycle and academic committee structures was the Dean of the Faculty of Management and Administration (R) whose commitment to a deliberative and systematic approach was manifest not only in the design of the planning cycle but also in a number of initiatives taken within his own faculty. Reference has already been made to the initiative taken in developing a policy and programme for Staff Development and
Research. This was approved by the Academic Board as a 'pilot scheme' on 6th October, 1977.

Two other initiatives taken early in the Academic Session 1977/78 were the production of a Faculty Calendar and Tasks Schedule for the session and the initiation of a corporate planning exercise adopting a 'delphi' approach. The intention in conducting the latter was to produce an outline plan for the Faculty extending over three years. Details of the framework adopted and the results of the Delphi Exercise, presented to the Faculty Board on 19th April, 1978, are provided in Appendix D.

4.2 Responses of Other Faculties

The need for a more systematic and deliberative approach to course development, including resourcing and staff development implications, was recognised by the Academic Board on 24th November, 1977 when considering faculty course proposals for submission to RAC and RSI. The Dean of the Faculty of Management was able to report to his Board on 20th January, 1978 that Senior Management had agreed to the conduct of delphi exercises in other faculties suitably modified to take account of each environment. He also indicated that it was hoped to produce a collective report, based on the delphi exercises, for the Academic Board in March.

The report was not prepared and other faculties undertook their own delphi exercises with varying degrees of enthusiasm. Its value and significance was lost on the Faculty of Art and Design.

a) Faculty of Education

The Faculty of Education was the most conscientious and the Dean of Faculty presented a paper to his Board on 26th April, 1978 which concentrated attention on course provision. It was accepted as the first stage of a more elaborate exercise requiring the addition of an 'overview' and sections on Student Services and Staff Development and Research.
These were eventually provided on 3rd October, 1978 after prompting from the Board on 12th June. The Dean's 'overview' again concentrated on course provision, highlighting areas of potential contraction and expansion and identifying their resource implications. These were listed in summary form and not accompanied by any form of analysis.

b) Faculty of Science and Technology

The Faculty Board meeting on 18th January, 1978 showed a distinct lack of enthusiasm for plans and planning but indicated a willingness to up-date previous predictions. These did not emerge and it became necessary for the Principal to direct the Faculty to produce a document.

The major item on the agenda for the meeting of the Faculty Board held on 8th December, 1978 was the following request from the Principal:

In preparation for the required statement on Academic Policy to be considered at Academic Board on January 25th, 1979, I would welcome, as soon as possible, and no later than December 15th, 1978, a statement on your Faculty views of the Academic policy you would most wish to see the college pursuing.

A document was produced which fell into five parts contained on four pages of generously spaced text. It was used primarily to challenge what was considered to be the Principal's preferred development path for the college. The first section presented a brief resume of the history of the college and its constituent faculties. The second considered the difficulties of welding these disparate elements into a corporate body ... at a time of financial stringency, a difficulty compounded by the ambiguities surrounding the role and character of Colleges of Higher Education. Two alternative interpretations were offered.

Some are inclined to the view that the College should concentrate almost entirely on full-time degree courses. Others, aware of the improbability of being allowed by national and regional authorities to make more than a token offering in the field of degree work, interpret "higher education" as meaning primarily the provision of courses for 18+ students, mainly from Colleges of Further Education, to complete their studies and become
senior technicians and technologists in industry, (or their equivalents in the business and management area).

The remainder of the document left no doubt about which interpretation the Faculty favoured:

\textit{it is essential to re-emphasise the importance of establishing a college policy which includes a firm commitment to the training and education needs of industry and commerce by promoting a broad range of part-time, block release and sandwich courses. Such a college commitment will ensure the formation of a solid base on which it will be possible to maintain and develop areas of special expertise.}

Not that the Faculty entirely rejected degree development, having co-operated with the Faculty of Education on the BA Combined Studies and having in mind a proposal for an Electronic and Instrumentation Systems degree.

The document concluded with a plea for the college to encourage and support innovation and development whenever it arises.

The college had already been alerted to the fact that major innovations and developments were in prospect in the Faculty in the wake of the micro-electronics revolution. In his Sessional Report for 1977/78 distributed in November 1978 the Dean described the revolution as follows:

\textit{We are now entering the micro-electronics era, and many believe, not only that this will be the most profound revolution we have seen, but that it will happen with unprecedented speed. It will also have a greater effect on education than anything hitherto. Our educational system must free itself of its long time lags, and its massive inertia, and reorientate itself to respond quickly and flexibly to the sociological and technological changes that will soon be upon us. This Faculty, given the resources necessary, can make its contribution to ensure that we take full advantage of the opportunities open to us, and so help in the prosperity of our country. Our purpose for existing, and our policy for the next twenty years must, therefore, continue to be the same, and we hope that the Education Authority and Industry will have confidence in us that, given the tools, we will do the job. 'Per ardua ad astra'.}
The meeting of the Academic Board held on 22nd November, 1978 to consider course proposals suggested a marked reluctance on the part of the rest of the college to give preferential treatment to Science and Technology. Indeed so much acrimony was aroused at the meeting by proposals involving the appointment of the equivalent of c.12 extra academic staff that the Dean felt it necessary to circulate a letter to all members of his staff describing and expressing his concern at the turn of events. Two matters were of particular concern, the apparent bias towards degree courses revealed in the favourable reception given to the proposal for a B.Sc Electronic Systems and the reluctance to approve the appointment of new staff to the Faculty. While the Dean acknowledged current resource constraints he believed that since there was no scope for redistribution of existing resources within the Faculty any new course developments had to be met by the appointment of additional staff.

Once the full significance of the micro-electronics revolution became known within the college, aided by a report of a special meeting given entirely to the subject by the Faculty Board on 7th June, 1979 proposed developments won strong, if qualified, support. The major recommendation of the meeting was that steps should be taken to establish the college as a micro-electronics centre, a development which had implications for the recruitment of new staff, the retraining of existing staff, an active research and consultancy programme, and the provision of additional facilities, including space.

The Academic Board on receiving a report of this meeting on 15th November, 1979 agreed that this development deserved the fullest support, subject to the availability of necessary resources.

4.3 College Academic Policy

The statement regarded as crucial to the operation of the Planning Cycle (see page 375) eventually appeared before the Academic Board on 22nd March,
1979. It fell into three major sections and resembled in style and content earlier documents prepared by the Principal.

The first section considered the **General Aspirations of the College**. Despite the absence since the merger of a more detailed statement from the Authority on the role of the college, its role and character had become more clearly defined by circumstance. As a result the college aspired to:

a) Maintain a range of existing lower category courses for the 16-19 age group in art foundation and in other areas where the college possessed specialist resources of staff and equipment, and where the 'feeder principle' applied.

b) Establish itself as a major resource centre for the county making available **expert knowledge and expertise in a wide range of studies and vocations** and capable of providing bespoke in-service and short courses for clients drawn from industrial, commercial, educational and cultural elements of the community.

c) Make provision for continuing education in line with Model E of the DES discussion document **Higher Education into the 1990's**.

d) Provide a comprehensive range of quality initial, in-service, and post-experience high category courses for students in the 18+ age group drawn from local, regional, national and overseas sources.

e) Develop the amount of research undertaken by staff with a bias towards **applied and action research linked to technological development**.

The second section identified a range of **general and specific constraints** impinging on the college and emphasised that it is only with a full realisation of the relative significance of these constraints that any reasonable expectation of practical policy can be established. The majority had been highlighted in previous documents produced by the Principal.
The final section considered Possible Academic Developments with particular reference to:

a) the 16-19 age group, where prospects appeared to be limited;
b) bespoke and in-service courses, where much depended on identification of and responsiveness to client needs;
c) continuing education, in need of detailed assessment;
d) the provision of courses for the 18+ age group, seen to be the major target, covering as wide a range of subjects, modes of attendance and levels of work as possible, with preference given to advanced poolable courses because of their beneficial resourcing implications.

The Principal's document was accepted by the Academic Board as presenting the essential framework for academic development which could be used by the Faculty Boards in establishing more detailed statistical data. It was agreed that Faculties should consider their development plans in terms of courses envisaged for the long term, (say ten years ahead), the mid term (say, two to five years ahead), and the short term (say, one year ahead) taking account of the need to exploit special areas of academic strengths and to remain responsive to change.

While the document was intended to get the planning cycle underway, too little time was left in the academic session 1978/79 for the sub-committees to get into their stride, once elected, and so attention was focused on completing faculty development plans and preparing for the first full run of the cycle. To this end the Academic Board agreed on 24th May, 1979 that a Teach-in should be held on 5th and 6th July, which all members of the Academic Board, together with non-Academic Board members of sub-committees, would attend, and at which faculty development plans and programmes would be considered. It was seen primarily as a means of commencing preparation for the 1980/81 estimates within the planning cycle.
5. **THE TEACH-IN, 5TH AND 6TH JULY, 1979**

It was recognised by the Academic Board that the introduction of the planning cycle represented a major innovation and that staff would need time to become familiar with it and learn to operate it as intended. The 'Teach-in' format, as a general memorandum to participants pointed out, was adopted in order to highlight the fact that everyone involved with the planning cycle would be in a 'learning situation'.

A considerable amount of preparation was undertaken prior to the 'teach-in' in that faculties were required to submit development plans for the medium and long term together with specific short-term programmes for course development and staff development and research. The latter were submitted in a standard form, agreed before hand, so that the resourcing implications for the financial year 1980/81 were clearly indicated. In this way programmes were linked to the preparation of College Estimates. While there had been some discussion at Academic Board and among senior managers of a common format to be adopted for the presentation of faculty development plans, those prepared for the teach-in varied considerably in form and content, although they all related to the medium-term, adopting a 3 year time horizon.

It was agreed during the teach-in that the format chosen by the Faculty of Management and Administration should be the one generally adopted in future (see Appendix Y).

The programme for the teach-in consisted of plenary sessions for briefing and debriefing and workshop sessions for the three sub-committees to which staff were allocated. It became evident during the debriefing that the three groups were preoccupied with much the same issues, namely, structure, process, relationships (among personnel within committees, notably Chairman, Secretary and Principal's representative, between the sub-committees, and between the sub-committees and the Academic Board), information systems and administrative support. Much of the information
gathered for the teach-in had proved useful but a number of gaps were identified as also was the need for an integrated set of forms. It was left to the Assistant Principal and his 'office' (see page 389) together with the Dean of the Faculty of Management (R) to attend to these matters during the summer vacation.

6. OTHER PREOCCUPATIONS OF THE ACADEMIC BOARD

Apart from the planning cycle the following were the main related issues which preoccupied the Academic Board during the period under consideration:

6.1 Course Development

The set of proposals presented by faculties to the Academic Board on 24th November, 1977 were seen to more realistically represent attainable aspirations, but the Board was nevertheless concerned with resourcing implications and the absence of a planning framework. One important potential development, the BA Combined Studies, had been given a significant boost during a visit to the college by a group of HMI's on 24th October, 1977. Up until the visit RSI had positively discouraged the development of non-vocational general degrees despite representations made to him that Colleges of Higher Education in Wales were being denied opportunities granted to their counterparts in England. The visitors brought the good news that the college could now develop a route out of Dip.HE, other than teacher training, as long as it was not vocationally orientated. The Faculties of Education and Science and Technology responded very positively to the news and joined forces to provide an escape route out of Dip.HE, a BA Combined Studies having a common core and two specialist areas of study, namely Humanities and Environmental Systems. The Board of the Faculty of Management and Administration, when briefing the Dean for the visit at a meeting held on 19th October, 1977, identified higher priorities for the Faculty and displayed open hostility at the outcome when the Dean (R) presented his
report to the Faculty on 21st November, 1979. The Dean (R) and the Board took the view that it was irresponsible of HMI's to appear to give encouragement to a proliferation of general degrees at a time when the employment prospects of graduates lacking vocationally-orientated qualifications, were so poor. It remained the Faculty's policy to provide vocationally relevant qualifications.

6.2 Revenue and Capital Allocations

The allocations for 1978/79 and 1979/80 were approved by the Academic Board on the basis of recommendations from Senior Management. The Faculties of Art and Design and Science and Technology continued to be the major beneficiaries, with the former faring slightly better on revenue. Allocations in both years were supplemented by 'CNAA money'. A further boost was intended for 1979/80 but was eventually offset by cuts in College Estimates required during that financial year.

6.3 Computer Services

The Academic Board received a discussion paper from the Dean of the Faculty of Science and Technology on 22nd March, 1979 which presented proposals for improved college computer facilities and which had been first presented to Senior Management. The main proposals were:

a) The improvement of hardware through the creation of a micro-computer laboratory and the replacement of the ICL 1900 mainframe computer with a minicomputer.

b) The establishment of a staff development and advisory service.

c) The formation of an Inter-Faculty Steering Committee to co-ordinate the development of computer services.

The proposals were accepted and the Computer Steering Committee, chaired by the Dean of the Faculty of Science and Technology and made up of 3 representatives from his Faculty, 2 from Management and 1 each from the other two faculties, plus the College Librarian and Computer Manager, were constituted as a sub-committee of the Academic Board.
7. THE PREOCCUPATIONS OF THE BOARD OF GOVERNORS

7.1 Finance

The original estimates agreed for 1979/80 were based on level funding with an additional sum provided for CNAA development (£63,000 to be added to the full year effect of the £80,000 provided in 1978/79, which amounted to £127,700 in 1979/80) and a sum of £30,000 earmarked for a microcomputer installation. Details of how the additional finance was to be applied were given in the half-yearly report to the County Council, dated July 1979. By the time it was presented on 13th July, 1979 to the Governors for approval, however, the intentions of the newly elected Government on the control of public expenditure were known and the Governors were lobbied prior to the meeting by members of NATFHE who presented a letter to the Chairman stating the total opposition of the site branch (i.e. the site housing the Faculties of Management and Administration and Science and Technology) to proposed cuts in public service provision, indicating their intention to adopt a policy of non-co-operation with cuts, and expressing their hope that both the Board and the County Council would refuse to implement them. When the half-yearly report was considered the Governors resolved to call upon the County Council not to implement cuts in public expenditure and agreed that the resolution should accompany the report.

7.2 The Role of the College and its Relationship with the County Council in the Light of National Developments

Much greater difficulty was experienced with the Authority in securing clarification of role and relationships following the CNAA Report than in obtaining additional resources. Prompted by the Principal the Chairman secured agreement at the meeting of Governors held on 14th April, 1978 to pursue the matter further with particular emphasis given to direct access of college managers to discussions within committees or among managers on matters impinging upon the college, and the application of polytechnic norms to college resourcing.
Discussion was widened at the meeting by a supplementary paper prepared by the Principal on the possible implications of (a) the Oakes Report (Report of the Working Group on the Management of Higher Education in the Maintained Sector, Cmnd. 7130 (HMSO, 1978) (b) the DES Discussion Document Higher Education in the 1990's (DES, 1978) and (c) interim statements of a Working Party investigating the financing of AFE, known as the 'pooling arrangements'. A Working Party was set up to advise the Board on the implications of the Oakes Report which reported on 26th May, 1978 and which formed the basis of a submission to the LEA largely sympathetic to the Oakes proposals and which identified advantages to the LEA from new pooling arrangements.

The responsibility for non-advanced and advanced further education in Wales was transferred from the DES to the Welsh Office on 1st April, 1978. The Education Bill published on 23rd November, 1978, incorporating the Oakes proposals, took account of the fact it would be quite unacceptable for Wales to be treated ..... merely as a region of England and Wales as a whole. (Consultative Document: The Management of Higher Education in Wales, Welsh Office Education Department, November, 1978). The main consequence of this view was that the Bill contained proposals for a separate Advanced Further Education Council for Wales.

The Consultative Document was considered by the Board of Governors on 15th December, 1978 and the proposals contained within it accepted in principle subject to the clarification of certain issues by the Welsh Counties Committee over the role to be played by the Welsh Joint Education Committee. By the 24th April, 1979 the Governors, at a special meeting called to consider the Management of Higher Education in Wales, had withdrawn their support for a National Body specifically for Wales, although they continued to favour the general recommendations of the Oakes Report. This change of heart took place against a background of an overwhelming rejection by the County electors of the devolution
proposals for Wales and an impending general election which sealed the fate of the Education Bill.

7.3 College Management

After protracted discussions, involving references to CLEA and the Burnham Committee (see Chapter 8, page 279) a new set of proposals submitted by the Principal was approved by the Board of Governors on 17th July, 1978. (See Appendix E). The major change was the redesignation of the Dean of Administration and the creation of an Assistant Principal's 'office' which had oversight over general administration, including the servicing of the Academic Board, and also the appointment and conditions of service of academic staff. Final approval was delayed until 6th April, 1979 as the result of difficulties created by NALGO over the duties of the Director of Studies which were eventually overcome by a number of regradings for administrative staff. By this time the planning cycle was being inaugurated and the Assistant Principal's 'office' was seen to play a crucial role in its operation.

7.4 The Continuing Dialogue with CNAA

Concern for the CNAA's good opinion remained with the Governors throughout the period under consideration. The Board was sufficiently confident of its achievement on 12th January, 1979 to agree that a copy of the most recent half-yearly report to the County Council should be despatched to the CNAA as part of the agreed continuing discussion between the College and the Council.

The Governors were so pleased with the interim report given by the Principal on the outcome of the 27th/28th February, 1977 visit of CNAA that it was decided at the meeting held on 9th March to send a special report to the County Council.

The good news was confirmed by the written report presented to Governors on 15th June, 1979 who recognised, however, that its favourable comments
on the present and anticipated future status of the College were dependent on the County Council realising its commitment to enhanced financial support.

SECTION B: INTERPRETATION

A more selective application of the three interpretative frameworks will be undertaken for this, the second, time period since attention is to be focused on the changes which followed in the wake of the contemplation, design and inauguration of the corporate planning system. It follows that if no direct reference is made to an element or aspect highlighted in Section B of Chapter 8, then the existing interpretation holds.

8. CONTINGENCY PERSPECTIVE

8.1 Organisational Purpose

The basic design specification remained as originally intended but with much important detail clarified by force of circumstance. The cuts crises forced the abandonment of a number of lower category, non-advanced courses and encouraged a stronger orientation towards full-time advanced courses, particularly degrees. In responding to the CNAA report the college sought to be regarded by the local Authority as a polytechnic-type institution for all purposes with all that it entailed in terms of level of resourcing. The response to the CNAA report also acknowledged that greater prominence would have to be given to research and staff development. But the key issue remained the course mix, as was demonstrated in the discussion document A College Academic Policy presented to the Academic Board on 22nd March, 1979 (see pages 381-383). This statement was regarded as crucial to the inauguration of the planning cycle and set out to clarify organisational purpose in the wake of the CNAA report. It left in
no doubt that the provision of courses for the 18+ age group was seen to be the major target, covering as wide a range of subjects, modes of attendance and levels of work as possible, with preference given to advanced poolable courses because of their beneficial resourcing implications. The reference to modes of attendance was significant because of the strength of feeling in some parts of the college over the importance of part-time courses.

8.2 Organisational Design

8.2.1 Reforms Advocated by the CNAA

The CNAA report left the college with no choice but to introduce significant organisational reforms if there was to be any prospect of offering new CNAA-validated courses. Although disclaiming any intention to impose a particular style of academic structure upon the college the recommendations were sufficiently specific to contain a strong prescriptive flavour. Certainly this was the view taken in the college. More specifically, it was believed that the following reforms were necessary to satisfy the CNAA:

a) A major enhancement of the authority of the Academic Board, and thereby academic staff, over academic policy through the creation of a sub-committee structure which interposed a corporate perspective between the Faculty Boards and the Academic Board and which corrected the imbalance in authority and influence between Senior Management and the Academic Board.

b) A substantial strengthening of integrative devices for resource allocation, course and curriculum development, student admissions, course operation, the monitoring of academic standards and staff development and research, all of which were intended to generate a stronger corporate identity and influence than the existing highly differentiated structure allowed.
c) The introduction of a corporate planning system which encouraged the production of academic plans based on a realistic assessment of strengths and weaknesses and having a more proactive and less reactive orientation than the college seemed inclined to produce. Such an interpretation was later confirmed by the CNAA to have been correct (see pages 376-377). Not only did the college receive a glowing report for the reforms introduced but specific reference was made to the fact that the 1977 report had been interpreted with a clear understanding of the intentions and principles which lay behind it.

8.2.2 Differentiation and Integration

It was acknowledged within the college that the most serious deficiencies in organisational design related to integration. Steps were taken to remedy the deficiencies but circumstances conspired, in the various ways described in Chapter 8, to prevent the introduction of reforms. It was not entirely unexpected, therefore, that the CNAA Visiting Party should have devoted so much attention to the need for integration at the corporate level. The two major innovations so warmly approved by the CNAA, namely the creation of three Academic Board Sub-Committees and the introduction of a Planning Cycle, served to add two orthodox bureaucratic devices to the existing portfolio for achieving integration, in which mutual adjustment and bargaining predominated. Sufficient detail has been provided on the two innovations for them to require little further elaboration. The opportunity is therefore taken to underline a few of their most distinctive design features. The following appear to be the most striking:
a) the high level of participation expected within an interactive planning system combining top-down and bottom-up initiatives, with heavy reliance placed on the latter;
b) the process by which Annual Programmes were to be derived from Faculty Strategies, rolled forward annually and reconciled to a College Academic Plan;
c) the attempt to routinise planning and control processes within an annual cycle in such a way as to encourage acceptance for standard operating procedures and an improved management information system;
d) the acceptance of purposive rationality and associated technology;
e) the emphasis on critical self-awareness and organisational learning; and
f) the influence of innovations originating in the Faculty of Management.

There is one further feature which deserves special attention and that is the importance attached in the design specification of the Planning Cycle to the top-down contribution essential to effective planning (see page 375). It was claimed that without a general statement of academic policy from the Principal the faculties would lack a corporate framework within which to plan their activities and judge the appropriateness of their own and other strategies and programmes. The circumstances surrounding the presentation of such a statement to the Academic Board on 22nd March, 1979 have been described on pages

9.3 Task Contingencies

8.3.1 Environment

To the sources of uncertainty and turbulence identified were added the following.
a) CNAA Institutional Review

The March 1977 visit was the most important single intrusion from the external environment since the merger. Great uncertainty surrounded the visit itself and considerable time and energy was devoted to preparing for it. While guidance was provided by CNAA on the documentation required and the way the visit was to be considered, there was great apprehension, in the face of inexperience and known divisions within the college, over ability to match expectations and present a common front. Once the ordeal itself was over, responding to the report became the major preoccupation. There was no lack of certainty over the reforms expected and these served to concentrate minds and promote positive corporate action both within the college and at the College/LEA interface. The resourcing problem, as has been indicated, was settled much more quickly than organisational reform.

b) Finance

Pressures on public expenditure continued throughout the period under consideration and the CNAA report came as a life-line to the college at a critical stage in discussions with the LEA over estimates. At the macro-level concern to reduce public expenditure highlighted the weaknesses of the pooling arrangements for financing Advanced Further Education, which were open-ended. Early speculation within the college over the implications of a 'capped pool' were originally optimistic in view of the increasing proportion of advanced to non-advanced work in the college, already high in comparison to like institutions in Wales. Such a prospective reform was also seen to confirm the wisdom of earlier policy decisions on the character of the institution.

c) Management of Higher Education in the Public Sector

Much the same thoughts coloured views within the college of the Oakes
Working Party Report (see pages 3G0-3R9) which was seen to offer prospects of greater independence from and a stronger bargaining position with the Authority. The greatest controversy surrounded proposals for national planning bodies. Originally in favour of an Advanced Further Educational Council for Wales the Board of Governors, influenced by the LEA, reversed its position, due mainly to misgivings over the role of the WJEC and the significance of the 'Welsh dimension'.

d) HMI
As has been indicated, there was a general reluctance to accept at face value the messages transmitted by RSI and HMI since they were known, especially in the Wales context, to be amenable to pressure. One pressure which they strongly resisted for a time, however, was the development of non-vocational general degrees. Even so, considerable uncertainty surrounded their stance in view of developments being allowed in England. A visit to the college on 28th October, 1977 was arranged to make known a change of heart which gave encouragement to the development of a B.A. Combined Studies to be available as an alternative route out of the Dip.H.E., the main route being the B.Ed. Grasped by the Faculties of Education and Science and Technology, the development was seen as a travesty by the Faculty of Management which had strongly supported the vocational-relevance criterion initially insisted upon by RSI.

8.3.2 Size
Considerable uncertainty surrounded the rates at which some courses, notably initial teacher training, would decline and at which others would be allowed to expand by means of a realignment of resources.

8.3.3 Technology
The influence of validating bodies continued to grow although high levels of uncertainty remained over course and curriculum design
8.4 Political Contingencies

8.4.1 Preferences of Interested Parties

While, as has been demonstrated, there were varying degrees of enthusiasm for the Academic Committee Structure and Planning Cycle, there was general agreement that the CNAA had to be placated. The CNAA report served, therefore, to encourage interested parties at all levels in the organisation to sink their differences and find common cause. The granting by the CNAA, after the follow-up visit of February, 1979, of its seal of approval on the organisational reforms served to confirm their legitimacy.

8.4.2 Dependencies

a) Internal

The basic pattern of mutual inter-dependence at and between levels in the organisation remained largely as described in Chapter 8, pages 324-325, with the exception that the interfacing roles, which had increased in importance during the cuts crises, were further enhanced by the CNAA report. Dependency for coping with uncertainties at the interface with the LEA rested on the Principal, Assistant Principal (Clerk to the Governors) and the Chairman of Governors and, aided by a Working Party of the Academic Board, they quickly put together a package for increasing the level of resourcing in the college which, although not funded in full by the Authority, satisfied the CNAA. The CNAA was impressed by the strong Authority delegation assembled by the Chairman of Governors for the visit to London on 12th January, 1978.

Responsibility for coping with the uncertainties surrounding organisational reform eventually fell on three members of senior management: the Assistant Principal (i.e. the redesignated Dean of Administration), the Director of Studies and the Dean of the Faculty of Management and Administration (R). Of the three, the Dean played the dominant role in both design and inauguration of the Planning Cycle with the Assistant
Principal's office, of which the Director of Studies formed part, responsible for systems support services.

b) External

As has been demonstrated with specific reference to the CNAA and HMI, external regulatory bodies exerted a very powerful influence on the fate of the college. The prospect of a 'capped pool' and national planning bodies intent on rationalisation, further increased the importance of establishing a high reputation with all key influencing agencies whose opinions were likely to carry weight in the interlocking intelligence networks of Higher Education. RSI and HMI, for example, were generally involved in, and automatically received reports on, institutional reviews and external course validations. They in turn either took the final decision or advised the RAC on course approvals. As a consequence the standing of a Faculty, School or Course Team increasingly depended on an ability to satisfy the expectations of external agencies, especially validating bodies and HMI.

8.5 Alignments and Correspondences

The major design faults identified in Chapter 8 related to integration and control at the corporate level and these were the gaps highlighted by the CNAA Visiting Party. The steps taken by the college to close the gaps were, as has been demonstrated, directly in line with CNAA expectations and also exploited the results of planning experiments conducted in the Faculty of Management and Administration. Although reforms were required by the CNAA the precise form and content were not prescribed. The college chose to be strongly influenced by CNAA, however, but was careful at the same time to take account of the realities of context, as is demonstrated by the greater emphasis initially placed on integration rather than on accountability and control. The planning cycle itself relied heavily on bottom-up initiatives which were to be reconciled within an accommodating
college academic policy.

From a design point of view, therefore, the integration portfolio was greatly strengthened by the addition of a planning system and standing operating procedures to mutual adjustment and bargaining, which themselves were likely to be encouraged by the three new sub-committees of the Academic Board. Problems remained, however, with accountability and control.

9. CONTEXTUALIST PERSPECTIVE

9.1 Strategic Change

It has already been established that the introduction of the Academic Committee structure and Planning Cycle represented a change of sufficient magnitude to be described as a strategic change. (Pettigrew, 1985: 438).

9.2 Inter-relationships

9.2.1 Government and the LEA

While formal relations remained much as already described in Chapter 8, change was very much in the air and concerned both the Board of Governors and the Academic Board. The major concerns related to the possible 'capping' of the AFE Pool and the creation of national bodies for the planning and co-ordination of AFE. The positions adopted on both issues have been described in section 7.2 above.

9.2.2 LEA and the College

The CNAA report served to test the extent to which the LEA was prepared to accept the obligations of funding a polytechnic-type institution and to allow it the degree of administrative independence normally enjoyed by polytechnics. The first obligation was accepted in part, as is demonstrated by the visit to the CNAA on 12th January, 1978, and the resulting tranches of 'CNAA money' made available. The second advance involved a cultural adjustment of which the system was incapable. Difficulties remained in particular over formal relations at officer
level and the problem of obtaining senior representation at meetings held at County Hall at which college matters were discussed. Even so the college continued to enjoy a high degree of independence, de facto, over academic policy and also over financial management, as long as expenditure adhered to the bottom line. In other matters the Chairman and Clerk to the Governors ensured that the proprieties were properly observed at the interface between the college and the LEA.

9.2.3 Regulatory Bodies and the College

Sufficient has already been written about their influence not to require further elaboration. It should be noted, however, that quite apart from CNAA there were other validating bodies such as TEC, BEC and the University of Wales with which the college had important transactions.

9.2.4 Board of Governors and the Academic Board

The basic relationship, with its inherent tensions, largely remained, as is illustrated by the sensitivity of the Chairman of Governors over the route to be taken by the documentation produced for the CNAA visit. The CNAA report had the effect, however, of bringing the two bodies into a powerful alliance over resourcing and in confirming respective spheres of influence. Although it was a Working Party of the Academic Board which produced the proposals on resourcing it was from the Governors that they were taken by the Chairman, briefed by the Principal and Assistant Principal, to the LEA. On the matter of organisational reform, however, since gaps related to academic policy and decision-making, responsibility for satisfying the CNAA was delegated largely to the Academic Board.

9.2.5 Academic Board and Senior Management

As has been demonstrated, the role developed by Senior Management in relation to the Academic Board had more to do with the reluctance of the Board to create its own sub-committees than with the predilections of Senior Management, although the Deans, certainly, were ambivalent about
the effect of sub-committees on their own position and that of the faculty boards. Since it was identified by the CNAA as a major problem area, however, it had to be tackled.

The problem for the designers was to strengthen participative structures and processes at the corporate level while at the same time avoiding the creation of an alternative power structure. Those members of Senior Management, including the Principal, who had reservations about the prevailing fashion for participation, with the CNAA as standard-bearer, feared that their position could be undermined by powerful committee chairmen who might develop an alternative power structure and thereby generate more rather than less conflict. It was for this reason that the sub-committees were given advisory powers only, with executive authority remaining firmly with the Academic Board, identified by the CNAA as the supreme policy-making body. As it turned out the fears over an alternative power structure proved groundless since so much depended on the extent and quality of servicing received by the sub-committees.

9.2.6 Academic Board and Faculty Boards
The reforms were designed to shift the balance of power between the Academic Board and the Faculty Boards in favour of the former by interposing a tier which would have the generation of a corporate view as its major preoccupation. Members of the sub-committees were expected to concern themselves less with faculty loyalties than with the achievement of a college perspective. The major source of policy initiatives and management information remained the Faculty Boards, however, with the sub-committees assigned responsibility for advising the Academic Board on their corporate significance.

9.2.7 Faculty Boards, Deans and Heads of School
While seeking as far as possible to accommodate cultural differences and differing styles of management, the reforms were nevertheless
intended to eliminate the most serious disparities between faculties by achieving adherence to the norms of purposive rationality and the adoption of a common technology based on that philosophy. The planning cycle timetable and its standard operating procedures were intended to routinise a common approach to planning, programming, budgeting feedback and review. They also aimed to encourage a much more explicit declaration of intention and action and a more self-critical approach to performance review. These required an open and participative style of management combined with the acquisition of new technical skills which were easier for some faculties to accommodate than others, as the interpretive analysis offered in Chapter 8 indicates.

Such difficulties were recognised from the outset, hence the initial desire to implicate staff from all faculties in the design of the sub-committee structure and the use made of the two-day 'teach-in' to inaugurate the Planning Cycle.

9.3 Political and Cultural Analysis of Context and Process

9.3.1 Conflict

a) College/LEA Interface

The period under consideration was one of relative calm when compared with earlier years. Tensions remained over the failure to define the role of the college more clearly and the CNAA report was used to strengthen the case for recognition as a polytechnic-type institution and all that entailed (see Chapter 8, page 307). The CNAA report generated a unity of purpose among Governors, the Academic Board and Senior Management who exploited it to secure concessions from the LEA.

A sense of partnership within the Board of Governors had been encouraged by the successful initiation of CROMBIE and the completion of the redeployment exercise in which the NATFHE Co-ordinating Committee had been heavily implicated. The CNAA report presented a challenge whose importance was generally acknowledged and personnel at all levels in
the college closed ranks to meet the challenge. In much the same way speculation over the management and financing of HE at national level encouraged interested parties to find common cause in the long term interests of the college which were seen to be very much bound up with its ongoing relationship with the LEA.

b) Academic Board and Senior Management

The basic position remained largely as described in Chapter 8 given that the reforms were yet to be introduced. Contemplation of the reforms naturally created differences of view, as is reflected in the length of time taken to reach agreement and the necessity for intervention from three members of Senior Management to bring the matter to a conclusion. Once accepted it was also recognised that the reforms would be more easily accommodated by some faculties than others.

The reforms were intended to reduce tension and conflict both between the faculties and between the Academic Board and Senior Management by bringing conflict out more explicitly into the open at sub-committee level. Presented with a corporate view from a sub-committee, faculty representatives at Academic Board were expected to find it more difficult to win credibility for a blatantly partisan stance. Much hinged, therefore, on the extent to which conflicts could be resolved at sub-committee level prior to discussion at the Academic Board.

As has been indicated above, the reforms were seen by some members of Senior Management as a potential source of serious conflict, if they served to create an alternative power structure. Steps were taken in the design specification to limit that potential threat, which proved, anyway, to be ill-founded. What in fact the reforms quickly demonstrated was the importance of senior managers for both initiating and executing policy. It was soon recognised that much would depend on the quality of information and proposals fed into the sub-committee and the administrative support made available to them.
c) **Faculty Boards**

This was the level, of course, at which integration was most easily achieved and corporate loyalties won, although these loyalties were tested from time to time by conflicts of interest among schools and course teams. Much depended on cultures and associated styles of management, which the reforms were intended to influence. The kind of inhibitions which they were expected to generate have been described in Chapter 8. The general objective as with the other sub-committees of the Academic Board was to bring tensions and conflict out into the open for resolution through rational discourse and mutual adjustment.

9.3.2 **Power Resources and Their Use**

As an indication has already been given of the way in which organisational reforms were intended to shift the balance of power, and given that the extent to which intentions were realised will not be known until Chapter 10, attention will be focused primarily on the effects of the CNAA report and the contemplation of reforms on the distribution of power resources among key personnel.

a) **Chairman of Governors**

The Chairman had a critical role to play at the interface with the LEA in securing an appropriate response on resourcing. His success in securing a response acceptable to the CNAA in such a relatively short period of time greatly enhanced his stature within the college as did his efforts over a major building project. The convention of channelling business through reports presented by the Chairman and Vice-Chairman to the full Board was firmly established and enhanced the gatekeeping roles of the Chairman and Clerk to the Governors.

b) **Principal**

The CNAA report both enhanced the Principal's interfacing and agenda setting role while at the same time increasing his vulnerability and dependence on others. His vulnerability, of course, derived from the
criticisms in the report, particularly those relating to organisational inadequacies. Given his style of leadership he relied on remedies to organisational deficiencies, acceptable to CNAA and to himself and his senior colleagues, to emerge by mutual adjustment rather than by obtrusive personal intervention. This was in fact the means by which the reforms emerged but not without an intervention from three of his senior colleagues, which he encouraged.

He was decisively proactive over the level of resourcing, however, and recognised the importance of taking swift action during the period when estimates were being prepared. The increased stature enjoyed by the Chairman over 'CNAA money' and the building project was shared by the Principal and Clerk to the Governors. Their ability as a team to deliver the goods when it really mattered greatly enhanced their individual and collective credibility across the college.

The Principal was alert to significant developments in the external environment and made sure that both Academic Board and the Board of Governors included them on their agendas. Such was the case for example with the Oakes Report and other developments over the financing and management of higher education likely to influence the long-term future of the college.

c) Dean of Administration/Assistant Principal

In addition to the enhancements already described, the Dean's authority and influence were further enhanced by his redesignation as Assistant Principal and the central role intended for his 'office' in academic administration, including the operation and servicing of the Planning Cycle.

d) Deans of Faculty

The Deans continued to possess an impressive portfolio of power resources despite the shift in the balance of power associated with the cuts exercises. While the organisational reforms were designed to shift the balance further by increasing levels of corporate accountability and
requiring explicit, quantified, declarations of aspirations and intended actions, they also created arenas for the exploitation of power resources by politically-aware and skilful tacticians. For those who identified the reforms with the extension of bureaucratic controls and the over-elaboration of participative decision-making, the proposals represented an undesirable development, however expedient, to placate the CNAA. This was the view taken by the Dean of the Faculty of Science and Technology who appeared to be more conscious of the constraints than the potentialities of the planning system and who displayed open hostility to the reforms in a Faculty Newsletter which he circulated in November 1978 (see Appendix T).

The Dean of the Faculty of Education was less concerned with the administrative and micro-political implications of the reforms than with their source, namely the CNAA, seen to have little relevance for a faculty whose transactions were entirely with the University of Wales, with which it enjoyed a highly satisfactory relationship.

For the two faculties with courses validated by CNAA, achieving a satisfactory response on organisational reforms was of crucial importance. Of the two the Faculty of Management showed the greatest enthusiasm for reform, per se, with the CNAA report identified as confirming the need for the adoption across the college of a corporate planning philosophy such as that already being introduced experimentally within the Faculty on the initiative of the new Dean (R). The nature of these experiments and their influence on the rest of the college have been described in pages 377-381.

As has been indicated, the Dean of the Faculty of Management and Administration played a central role in devising and implementing the reforms and had they failed to satisfy the CNAA his credibility would have been severely dented. Since they received enthusiastic approval from CNAA and were responsible, at a stroke, for removing a major
uncertainty over the future of the college, his authority and influence were greatly enhanced. He became identified with the Planning Cycle and assumed the major responsibility for its inauguration and development.

e) Heads of School

Subject to cultural conditioning and the style of management adopted by the Dean, the reforms potentially enhanced the authority and influence of the Heads of School, particularly if they formed an interest group for dealings with the Dean. Much depended on their awareness of the power resources at their disposal and their ability to exploit them which, as has been demonstrated, varied significantly.

f) Ordinary Members of the Academic Board and its Sub-Committees (including Faculty Boards)

Again the reforms created opportunities for widespread participation by the rank and file in a system which conferred authority on the committees as collective bodies and created opportunities for individuals with power resources and the skill to exploit them, to exert considerable influence on decision-making. Much depended on patterns of participation and attention which are to be considered in greater detail in Chapter 10.

g) Officers of NATFHE

The effects of the reforms on the influence and bargaining power of NATFHE depended very much on the opportunities they were seen to present for furthering the interests of staff. In so far that branch agendas gave time to academic policy a NATFHE view could be agreed intended to influence the positions adopted by participants. Such was the case only when significant staffing and conditions of service implications arose, otherwise there was an understanding that as far as possible academic policy and industrial relations should be dealt with in separate arenas. In terms of raising the general level of public discussion and understanding of academic policy issues within the college, however, the reforms could be seen as a considerable aid to NATFHE, whose Co-ordinating Committee
had as its main concern the generation of a corporate staff view.

9.3.3 Management of Meaning and Legitimacy

a) The CNAA Report

As has been demonstrated satisfying the CNAA involved not only producing improved structures and processes but also interpreting correctly the intentions and principles which lay behind the Report. The CNAA declared itself to be more than satisfied on both counts following the visit made during February 1979 and in so doing legitimised a significant cultural shift in favour of purposive rationality, corporate planning and participative decision-making.

b) Innovations in the Faculty of Management and Administration

It was the intention of the Dean of the Faculty of Management (R) aided and supported by senior colleagues, to promote such a shift both in his own faculty and across the college. He believed strongly that the Faculty should practise what it preached and also that it should make a strong contribution to organisational and management development. The set of initiatives taken on marketing, staff development and corporate planning were intended to demonstrate the transferability of managerial concepts and techniques employed in industry and public administration to a college of higher education and to encourage their general adoption. Aware of the congenital resistances within the college to such a 'managerial' approach it was necessary to lead by example. It was also necessary, in the first instance, to win general support for such an approach within his own faculty. This was accomplished and the innovations, particularly on staff development and corporate planning, won support and involvement. The 'delphi exercise', for example, demonstrated how 'bottom-up' and 'top-down' approaches to planning might be combined within a highly participative decision-making process. As has been demonstrated this orientation was given a considerable boost by the CNAA Report and circumstances conspired to place the Dean of
Faculty at the centre of CNAA-induced activity. The design specification produced by him, with the aid of expert advisers within his own faculty, sought to commit the college to purposive rationality, corporate planning and participative decision-making. However deep-seated the congenital resistance to such an orientation might be, the enthusiastic response won from CNAA gave it the strongest possible endorsement.

c) **Ideology and Vocabulary**

The endorsement of the specific proposals also increased the legitimacy of the ideology, vocabulary and style of management associated with the 'managerialist' perspective described in Chapter 8. The concept of a 'well-managed' college gained currency. The merits of purposive rationality and an open, participative, self-critical style of management were acknowledged, albeit with varying degrees of enthusiasm. In the last resort, however, the reforms were a necessary expedient to satisfy CNAA.

d) **Legitimacy**

In addition to enhancing the legitimacy of a particular ideology, the reforms, and the CNAA's enthusiasm for them, served to enhance the claims of the body corporate over its constituent parts. In terms of legitimate authority and influence the Faculty Boards were seen to dominate prior to the contemplation and introduction of reforms. The Sub-Committee Structure and Planning Cycle legitimised the claims of the college as a corporate body over the faculties and thereby helped redress an imbalance which nevertheless remained tilted in favour of the faculties.

e) **Purpose, Commitment and Order**

The organisational reforms had as a major objective, in accordance with promptings from the CNAA, the achievement of a stronger corporate identity, purpose and commitment. Each level within an interactive planning hierarchy was intended to make explicit its major purposes, the means for achieving them, and the standards to be applied in the measurement of performance. An open, explicit, participative style of decision-making,
allied to a commitment to purposive rationality, was intended to bring conflicts of interest out into the open at the earliest stage and thereby contain them. In other words the reforms also provided a more clearly defined set of bargaining arenas from which negotiated outcomes could emerge enjoying widespread acceptance.

9.4 Pattern of Change

9.4.1 Impact of Crises

It is self-evident that the CNAA visit and subsequent report generated a major crisis to which the negotiations with the Authority over additional funding and the design and inauguration of the Planning Cycle represented the major responses. The side effects have already been described in sufficient detail not to require further elaboration.

9.4.2 Incrementalism and Purposive Rationality

While at first glance the reforms might be seen to represent a conclusive victory of purposive rationality over incrementalism, a closer examination reveals that the shift was by no means decisive. Indeed, the manner in which the reforms themselves emerged was highly incrementalist. The first attempts at producing faculty strategies and a college academic policy, although influenced by the philosophy of purposive rationality, were strongly incrementalist in character.

9.4.3 Changes in Management Personnel

Reference was made to the appointment of a new Dean to the Faculty of Management (R) in May 1977 and to his values and beliefs. Opportunities were created and exploited by him to put these into practice and, as has been indicated, he played a central role in the design and inauguration of the corporate planning system.

9.4.4 Shifts in Power

Frequent reference has already been made to the shifts in the balance of power which the reforms were intended to achieve both directly and indirectly. It required the full operation of the Planning Cycle to discover how far these shifts occurred and discussion of them must
therefore be left to Chapter 10. Even so the process of contemplating and introducing reforms did, in itself, produce certain shifts in the power resources available to key personnel, notably the Assistant Principal and the Dean of the Faculty of Management (R). The Assistant Principal's portfolio was further enhanced by the central role assigned to his 'office'. The Dean's stature was greatly enhanced by successes in designing a system which removed a major uncertainty in the external environment and thereby placed the whole college, including the Principal and senior colleagues, in his debt and under his influence. The need to make the Planning Cycle fully operational further increased dependence upon him.

9.4.5 Transformation in Organisational Ideologies

It will be evident from what has been written above, that the CNAA report had a profound effect on thinking about the most appropriate way to manage at each level within the institution. The ideology which achieved greatest legitimacy was that identified with the Faculty of Management. Circumstances conspired to place the Dean of Faculty in a position of great influence and this he used to promote purposive rationality, corporate planning and a participative style of management. It would be naive to imagine, however, given the cultural and micro-political complexities revealed in Chapter 8 and the present section, that the 'managerialist' ideology was accepted with unalloyed enthusiasm. Acknowledged to be consonant with CNAA thinking it was nevertheless regarded with considerable suspicion. Those most closely involved with the reforms were well aware of these suspicions and therefore placed great emphasis on the time needed to allow staff to adapt to the requirements of the Planning Cycle and to learn to use it effectively. The use made of trial sub-committees and a two day teach-in confirms the reluctance to impose a solution and the wish to secure commitment by involvement and co-option.
9.5 Alignments and Correspondences

In so far that a major threat from the external environment was overcome, the organisation despite (or because of) its cultural plurality and micropolitical complexity proved that it had a strong will to survive and prosper. As has been demonstrated, the CNAA's demands served to close ranks at all levels and the response was swift at the LEA/College interface to the resourcing problem. It took much longer to produce appropriate organisational reforms. This reflected the realities of context and the difficulties of designing processes capable of gaining external approval while at the same time winning internal acceptance. The eventual emergence of a solution depended on an intervention from Senior Management in which the Dean of the Faculty of Management (R) played a prominent part and which allowed him to take the college in the same direction as he intended to take his faculty.

While the reforms proved totally successful in satisfying the CNAA in principle, they had yet to be tested in practice. The alignments or misalignments between the new planning process, organisational context and outcomes will be examined in Chapter 10.

10. GARBAGE CAN PERSPECTIVE

10.1 Incidence and Levels of Ambiguity

10.1.1 Mission and Goals

As has been demonstrated in §1.1 the cuts crises and the CNAA Report forced the college to narrow its options and thereby reduce, without eliminating, the ambiguity surrounding mission and goals. The wish to be regarded as a polytechnic-type institution for all purposes had important implications for the level of resourcing, course mix and staff development and research activity, which were understood at all levels in the institution and at the College/LEA interface.

10.1.2 Technology

Reference to the teaching/learning process were implicit rather than explicit in the CNAA Report. In emphasising the importance of feedback
and review and the monitoring of academic standards the Report assumed a willingness across the college to accept a more structured approach to course and curriculum design, particularly in relation to teaching/learning strategies and assessment. This was understood by the designers of the Academic Committee Structure and Planning Cycle hence the importance attached to the review phase of the Planning Cycle and the responsibilities given to the Course Administration Sub-Committee for internal validation. As will be demonstrated in Chapter 10, however, difficulties were experienced in developing college-wide systems of course monitoring and evaluation and in establishing rigorous internal validation procedures with the result that faculties were much more influenced by the pressures brought on them by the particular validating bodies to which they were accountable than by corporate policies and procedures.

10.1.3 Participation and Leadership

The CNAA Report left no doubt that it favoured the fullest participation of staff in academic decision-making in the best collegiate traditions. It also made it clear that Senior Management should not be allowed to assume responsibilities which were properly the collective responsibilities of the Academic Board. At the same time, however, it wished Senior Management and the Deans and Heads of School in particular to display greater 'academic leadership'. Considerable ambiguity remained after close reading of the report over what precisely was meant by 'academic leadership'. The view taken in the college was that a preoccupation with organisational arrangements and operational management could be defended in the early years of a merger. It was conceded, however, that the laissez-faire regime which had been allowed to flourish in course and curriculum development needed to be brought under stronger editorial control and related to a more explicit planning framework, which acknowledged strengths and weaknesses. It was expected that the reforms proposed would aid this process but it was also recognised that it
would take some time to achieve shared-preoccupations and common style of leadership across the college given cultural diversity, and personality differences.

10.2 Choice Opportunities Viewed as Garbage Cans

The preoccupation of agendas at all levels in the organisation with the production of satisfactory responses to the CNAA, served to regulate confluences and limit the extent to which streams which were not mainstream could be accommodated. Even so, choice opportunities remained opportunities for parading preoccupations, promoting vested interests, transmitting strong messages, negotiation and impression management, as well as for matching solutions to problems. A few selected instances are considered at each level within the organisation. They serve to show, above all, the continuing tendency to exercise problems thoroughly before allowing solutions to emerge.

10.2.1 Board of Governors

a) The Role of the College and its Relationship with the County Council in the Light of National Developments

While the linking of the CNAA Report to the several documents which appeared on the future of Higher Education was not in itself fortuitous, but managed by the Principal, the manner of discussion at Board of Governors encouraged the exercising of a wide variety of issues including the character and identity of the college, the degree of administrative autonomy enjoyed by it in relation to the LEA, the financing and management of the public sector of Higher Education, the spheres of influence of the Welsh Counties Committee and the Welsh Joint Education Committee, the role of the Welsh Office, devolution and the necessity for separate arrangements for Wales. Despite the fact that the outcomes to the above awaited decisions taken elsewhere, their discussion at Board of Governors greatly aided the process of rehearsing arguments which would need to be taken up by elected representatives at the appropriate places outside the college. The process of impression
management worked both ways, however, since tactics were influenced by expectations of the stance most likely to be adopted at County Hall. The wish of all sections at the Board of Governors appeared, post the CNAA Report, to be the creation of a college strongly linked to the LEA but enjoying a high degree of autonomy.

b) The College Management Structure

It took three years to unravel the tangle which developed over the proposed revisions to management structure (see Chapter 8, page 279). Originally conceived of as a second-stage tidying-up operation after the merger, it fell foul of conflicts of interest and status internally and difficulties over conditions of service and salaries externally. Although the eventual solution was approved by the Board of Governors on 17th July, 1978, the matter was not finally settled until 6th April, 1979, NALGO having exploited its bargaining strength over the post of Director of Studies and the creation of an Assistant Principal's office to win regrading concessions from the Authority. This, in fact, became an established pattern with the need to process proposals through the Personnel Committee of the County Council being used as a lever for matching changes in academic management with improvements in administrative management.

10.2.2 Academic Board

a) Organisational Reforms

The manner in which the reforms eventually emerged displays many of the characteristics of a garbage can: the difficulties experienced by the original Working Party and trial-run sub-committees in producing terms of reference and modes of operation in the face of a deep-seated reluctance to weaken the authority and influence of the Faculty Boards; the problems of organising meetings and the time taken to produce results; the involvement of Senior Management and the intervention necessary from the Dean of the Faculty of Management (a solution in
search of a problem) to produce an acceptable outcome.

b) Course Development: the BA Combined Studies

The nature of the intervention from HMI and the differing responses to it within the college are indicative of the ways decisions on course development could acquire the characteristics of a garbage can. Of particular interest is the way RSI and HMI in Wales came to change their attitudes to non-vocational general degrees and the open hostility shown by the Faculty of Management to the BA proposal. The Faculty, influenced by HMI, had adopted a policy of developing full-time post-graduate diplomas intended to enhance the employment prospects of graduates possessing non-vocational degrees. Extra resources were needed to mount these courses and the competition from non-vocational degree development was greatly resented.

c) Building Developments Proposed for the 'C' Site and the Pressure on Space at the 'A' Site

The prospect of a major development on the site which previously housed the College of Education at a time when there were growing pressures on space at the site which previously housed the College of Technology, increased tensions between faculties and within Senior Management. Few opportunities were missed to press the countervailing claims of the 'A' site for building development.

10.2.3 Faculty Boards

Sufficient has been written, notably in sections 4.1 and 4.2 above, to demonstrate how confluences developed and outcomes emerged from discussions at faculty board level. It was intended, of course, that the reforms should promote purposive rationality and discourage garbage cans. Experience prior to and at the 'teach-in' provided an early indication of the kinds of difficulty that the new corporate planning system would have to contend with.
10.3 Participation and Attention

In general terms the analysis offered in Chapter 8 continues to hold good for the period under consideration. Such changes as were likely to occur awaited the full implementation of the reforms. Attention will therefore be focused for the present purpose on the participation and attention structures relating to the contemplation, design and inauguration of the Sub-Committee Structure and Planning Cycle.

10.3.1 Working Parties

The Academic Board delegated the task of devising appropriate responses to the CNAA Report to two working parties having cross-faculty representation and chaired by a member of senior management. The Resources Working Party quickly produced proposals acceptable to the Academic Board and the Board of Governors but the Academic Organisation Working Party found it more difficult to satisfy the Academic Board (see Chapter 8, page 307). At the third attempt an acceptable outline structure emerged and the task of filling-in the necessary detail was handed over in January, 1978 to three trial sub-committees, operating as working parties (see page 373). Although the Academic Board sought a rapid response from them, members were unable to give the task sufficient attention to produce reports before the end of May, 1978. Like their predecessor, the trial sub-committees found greatest difficulty with relationships between the sub-committees and the Academic Board and Faculty Board. The difference between the reports required reconciliation and the task was handed over to a group consisting of the Dean of Administration, the Director of Studies, the Dean of the Faculty of Management and the three chairmen.

10.3.2 Senior Management

In view of the criticisms directed in the CNAA Report at the role played by Senior Management care was taken to ensure that, as far as possible, the reforms were not imposed from the top but genuinely reflected the wishes of the Academic Board, who would ensure college-wide ownership of
them. It was understood, however, that senior management would have an influential voice, particularly on the level of resourcing necessary to close the gap identified by CNAA. Considerable reliance was in fact placed in the Resources Working Party on the knowledge and expertise of the Chairman (Dean of Administration) and Secretary (Dean of the Faculty of Management (R)). Issues were less clear cut for the Academic Organisation Working Party, chaired by the Vice Principal, since there were major concerns over the dilution of the authority and influence of the faculty boards. The three trial-run sub-committees elected their own chairmen and were left largely to their own devices with minimal intervention from Senior Management. In the last resort, however, an intervention became necessary.

Once approved, a great deal of responsibility fell on Senior Management to get the Planning Cycle underway. Responsibility fell on the Principal for producing a College Academic Policy, on the Deans for producing Faculty Strategies and on the Assistant Principal's office for sorting out the administrative support and organising the 'teach-in'.

10.3.3 The Teach-in
The teach-in format was adopted to maximise participation, attention and ownership from the outset, and over 40 staff were involved in the workshops and plenary sessions. Sufficient detail has been provided of the teach-in (see page 384) not to require further elaboration.

10.4 Belief Structures
Sufficient detail has also been provided of belief structures in section 9.3.3 above under the general heading 'the Management of Meaning and Legitimacy' to permit a restriction of attention to integration, interaction, trust and orientation to events.

10.4.1 Integration
The primary objective of the reforms was to promote integration in as many facets of organisational life as possible. The CNAA Report representing as it did a major external threat served in the first
instance to shift attention from sectional vested interests and to encourage commitment to a common cause. More significantly, however, it promoted an ideological shift in favour of purposive rationality, corporate planning and participative decision-making which was given a further boost by the February, 1979 CNAA visit.

10.4.2 Interaction

Given the relatively small size of the college, staff at all levels were in sufficiently frequent contact not to become isolated. Despite the strong sectional interests located in the faculties, there were strong pressures for accommodation and consensus by dint of close, regular personal contacts. The 'bottom-up' approach to the contemplation, design and inauguration of reforms reflected in the use made of cross-faculty working parties and a 'teach-in' sought to maximise interaction and thereby encourage commitment to and ownership of them.

10.4.3 Trust

It was inevitable that faculties should display varying degrees of enthusiasm for the reforms. Introduced to encourage greater identification with the college as a corporate body they simply served to promote further suspicion in those parts of the college where mistrust and alienation had been generated by past events. Its public manifestation is amply demonstrated in Appendix T.

10.4.4 Orientation to Events

Given the varying degrees of integration and trust, it was inevitable that perceptions varied over the merits of the reforms, their likely impact on interpersonal relations, and the stature of key individuals. In general, as has been indicated, the successful satisfaction of CNAA served to encourage positive perceptions on all counts, from which the Chairman of Governors, the Principal, the Assistant Principal and Dean of the Faculty of Management benefited in particular. More jaundiced perceptions prevailed, irrespective of acknowledged achievements with
the CNAA, in the absence of trust.

10.5 Conspicuous Variables

10.5.1 Decision Time

The obtrusive difference in response time over the level of resourcing and organisational reforms is indicative of the speed with which urgent unambiguous issues could be resolved as circumstances required, while less urgent and more complex issues developed into garbage cans, with problems thoroughly exercised before appropriate outcomes emerged.

10.5.2 Organisational Slack

The pressures arising from the cuts, described in Chapter 8, were eased by the appearance of 'CNAA money'. In effect, therefore, the college was allowed to revert to a more accommodating climate from a resourcing standpoint with increased effectiveness and efficiency expected to emerge as a by-product of the corporate planning system, its initial preoccupation being with integration and corporate identity.

10.5.3 Styles of Decision Making

As has been demonstrated, the contemplation, design and inauguration of the Planning Cycle involved the adoption of a rational-analytical approach to management. The reform itself, however, emerged from the operation of the existing dominant styles of decision-making.

Innovations in the Faculty of Management and Administration sought to inject a stronger component of purposive rationality into the coalition-bargaining model. The managerialist version which it favoured received powerful advocacy from the Dean of the Faculty (R) who was placed in a strategic position to foster a college-wide style of decision-making matching that of his faculty. Emphatically endorsed by the CNAA, the style won high status and legitimacy. It remained to be seen, however, given its inherent pluralism and the varying degrees of enthusiasm for the reforms, how far their implementation would significantly alter styles of management across the college.
10.5.4 Load
Finding appropriate responses to the CNAA Report increased the workload at all levels in the organisation. In terms of competing claims on managerial attention, however, apart from the Principal, it was the Assistant Principal, the Director of Studies and Dean of the Faculty of Management (R) who were most directly affected. The load on the Assistant Principal was institutionalised in his 'office', of which the Director of Studies formed part. Of his own volition, the Dean of the Faculty of Management grasped the opportunity to become involved in organisational development and in so doing added major corporate responsibilities to the heavy load which he already carried as Dean of Faculty. The effects of carrying this load were less important during the design and inauguration stage than in the first years of full operation, as will become evident in Chapter 10.

10.6 Organisational Leadership
One of the consequences of developments during the period under consideration was to bring into clearer definition the pole points or limits of the spectrum which could be identified. At one end of the scale the Principal represented the unobtrusive style of leadership appropriate to an organisation with strong anarchic tendencies. At the other end, the Dean of the Faculty of Management and Administration represented a more obtrusively interventionist style of leadership involving the reduction of ambiguity and uncertainty and the promotion of purposive rationality, corporate planning and control, and an open, participative mode of decision-making. Although these represented competing styles they were also complimentary, not least because of the intention of the Principal that they should be so.

11. GENERAL PERSPECTIVE
The three perspectives have been employed selectively on this occasion to interpret events surrounding the contemplation, inauguration and
design of the corporate planning system, prompted by the CNAA Report. Once again the set provide a powerful collection of insights with considerable overlap revealed with respect to the cultural and micro-political dimensions of context and process. The following appear to be the most striking features thrown into high relief.

a) The period under consideration was dominated by the need to produce satisfactory responses to the CNAA Report, which added further uncertainty to an already complex and turbulent external environment. While the need to satisfy CNAA introduced major uncertainties until accomplished, the process of finding solutions involved directly addressing ambiguities over mission and goals, inter-relationships within and between levels in the organisation, styles of management and legitimacy. Although the ambiguities were thrown into sharper focus it did not prevent decision opportunities becoming garbage cans where it was necessary to exercise a problem thoroughly before a solution emerged.

b) The speed with which the resourcing issue was tackled demonstrated the resolve and purpose which could be mobilised in the face of a serious external threat. It also served to reveal the degree of the LEA's commitment to the college and to confirm the respective spheres of influence of the Board of Governors and the Academic Board.

c) Finding an appropriate response on organisational reforms proved more difficult, which was predictable in view of the cultural and micro-political ramifications of strategic change. Although not intended to be prescriptive the CNAA Report was interpreted as providing a clear design specification in terms of both philosophy and technology. The CNAA visit of February, 1979 confirmed how well the implied design specification had been interpreted by the college.
d) The CNAA Report confirmed the major design fault exposed by the contingency interpretation in Chapter 8 (page 327) and thereby directed attention to the strengthening of the portfolio of integrative devices employed in the college. More specifically, the portfolio was to be strengthened by the addition of a corporate planning system and standard operating procedures to mutual adjustment and bargaining, which themselves were likely to be brought into sharper focus by the reforms.

e) The introduction of a strengthened academic sub-committee structure and planning cycle, although treated largely as a technical problem, was recognised to have far reaching cultural and micropolitical ramifications. The deductions made about the CNAA's preferred philosophy and technology served to legitimise a shift towards purposive rationality, systematic corporate planning and control, and the adoption of an open, explicit, self-critical and participative approach to decision making. Such a shift was already in process in the Faculty of Management and circumstances conspired to place the Dean of Faculty (R) in a strategic position to take the college in the same direction.

f) While the enthusiastic welcome given by the CNAA to the organisational reforms greatly enhanced the legitimacy and deference accorded to the 'managerialist ideology' there were sufficient misgivings about philosophy and technology to sustain the existing plurality of ideologies and belief structures. It has been demonstrated, for example, that the reforms served to reinforce tendencies to alienation and mistrust in one faculty while promoting varying degrees of integration and trust in the other three.

g) The awareness of the political ramifications of strategic change varied according to vantage point. There were obvious conflicts of interest over the changes envisaged in the relationships between various levels in the organisation. The faculties had misgivings over the strengthening of corporate accountability and control and some members
of Senior Management feared the creation of an alternative power structure. The major political change intended by the reforms derived from the means envisaged for resolving conflict. An open, explicit, participative mode of decision-making was intended to bring conflicts out into the open and thereby contain them. The planning system was intended to provide a more clearly defined set of bargaining arenas from which negotiated outcomes could emerge. The ability to influence outcomes would depend on a willingness to learn the rules of the game and to develop playing skills. In the domain of justification, in particular, legitimacy would derive from the skilful exploitation of the vocabulary of purposive rationality.

h) Although intended to promote the cause of rationality the reforms emerged by incremental means. Even so, once in operation the Planning Cycle was intended to have a significant impact on organisational leadership. This did not mean, however, that obtrusively interventionist and unobtrusive styles of management were in direct competition or could not coexist. As has been demonstrated both had a role to play in securing the desired outcome.

Of the three interpretive frameworks the contextualist appears, once again, to provide the most powerful collection of insights. This is particularly true when seeking to discern a pattern of change. Attention is strongly directed to the impact of a major crisis, the contest between incrementalism and purposive rationality, changes in management personnel, shifts in the distribution of power resources, and transformations in organisational ideologies.
CORPORATE PLANNING IN A TURBULENT ENVIRONMENT

A PARTICIPANT OBSERVER LONGITUDINAL STUDY OF THE INTRODUCTION AND OPERATION OF CORPORATE PLANNING IN A COLLEGE OF HIGHER EDUCATION, 1974-84

Submitted by
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For the degree of Ph.D of the
UNIVERSITY OF BATH
1987

VOLUME 2 of two volumes
CHAPTER 10

ACADEMIC SESSIONS 1979/80 TO 1983/84

PERIOD OF TIME DURING WHICH THE PLANNING SYSTEM BECAME FULLY OPERATIONAL

SECTION A: DESCRIPTION

1. THE EXTERNAL ENVIRONMENT

1.1 Local Authority Finance

Pressures on public expenditure continued throughout the period under consideration and the college was required to make its contribution to general cuts made in the County Council's Educational Budget as necessary. Those made during the Financial Year 1979/80 generated a strong response from the college (see Chapter 9, page 387). Succeeding claims caused less trauma because of the increasing annual savings automatically generated by staff accepting voluntary redundancy under the CROMBIE CODE, and because of the substantial sums of money invested in staff and equipment for the development of microelectronics and microcomputing in the college. What was taken away in one hand was more than offset by compensations from the other, which included substantial windfalls in 1981/82.

As long as the college kept to the 'bottom line' it attracted little attention from the Treasurer's Department. When external bodies such as WAB and the Audit Commission began to expose the relatively poor resource utilisation performance of the college, notably its SSRs, increasing attention and pressure came from County Hall.

1.2 The Management and Funding of Higher Education

Both the Academic Board and Board of Governors were kept abreast of Government concern over the funding and management of higher education in the public sector. Developments gathered pace in the summer of 1981
with the publication of the following three documents: *Higher Education in England outside the Universities* (DES, July 1981), *The Future of Higher Education in the Maintained Sector* (CLEA, July 1981), and *Higher Education in Wales outside the Universities* (Welsh Office, August 1981). The focus of attention in all three documents was the creation of new central planning machinery.

The DES document identified two possible models. Model A, favoured by CLEA, left the providers of Advanced Further Education in the hands of local authorities but placed the whole of the AFE system under the direction of a central body. Model B, thought to be favoured by the DES itself, involved the creation of a new sector of higher education comprising all the major non-university institutions which would be financed directly from Exchequer funds disbursed by a central body appointed by the Secretary of State. In effect this was seen to involve the takeover of 90 or so of the 396 institutions engaged in the provision of higher education.

The Welsh Office document drew attention to the distinctive features of higher education in the public sector in Wales, emphasising the role played by the Secretary of State and the small size of the sector - a handful of colleges - compared with England, which made for easier consultation and collaboration. Of three options considered that of minimal modification, involving setting up machinery to advise the Secretary of State, was clearly the preferred option.

Consultation was to be completed by 30th November, 1981 but before this deadline had been reached the DES note *The Future Management of AFE and the Distribution of the 1982/83 AFE Pool* (DES, November 1981) had appeared and consultations between the DES and CLEA had produced agreement on interim machinery. This was to consist of a Committee for Local Authority Higher Education, a Board for Local Authority Higher Education and an independent secretariat.
The membership of the Committee and Board of NAB (as it became known) was announced on 28th January, 1982. Details of the separate but matching arrangements to be made for Wales were announced by the Secretary of State for Wales on 19th May, 1982. The Committee met for the first time on 26th July, 1982 and the Board on 28th September, 1982. The composition and terms of reference of the Committees and Board of WAB and NAB were similar. Each Committee, consisting mainly of Local Authority elected representatives together with departmental officials and HMI, the Chairman of the Board, and a reciprocal NAB/WAB representative, was chaired by a Parliamentary Under-Secretary of State (DES and Welsh Office) and had the task of advising the appropriate Secretary of State on the nature and distribution of AFE provision and the related allocation of the AFE pool. They were also expected to contribute to the co-ordination of provision between the local authority and the university, voluntary and direct grant sectors of education.

The Boards, both chaired by distinguished academics (Professor Robert Steel, ex Principal of University College Swansea in Wales) consisted of departmental officials and HMI, LEA officers, and representatives of Principals, Staff, Validating Bodies, the CBI and TUC and had the task of providing expert advice to the Committee. It was anticipated that Boards would need to set up sub-groups as necessary and in Wales three panels were established at the outset: a Finance Panel to advise on the allocation of the AFE pool for Wales; a Course Approvals Panel; and a Teacher Training Panel. The Secretariat established to service WAB, provided jointly by the WJEC and the Welsh Office, was very modest compared with its English counterpart. The differences in scale also had other important ramifications. All the county councils were able to secure representation on the Committee by an arrangement which ensured that 4 representatives were drawn from the WJEC and 4 from the Welsh Counties Committee. Virtually the whole of AFE provision in Wales was
concentrated in nine institutions and there was little that could be hidden from the interlocking intelligence networks operating within the Principality. These circumstances made for a closely knit, personalised operation in which consideration and accommodation were more in evidence than a willingness to take harsh decisions.

1.3 Value for Money Studies of the Audit Commission

During the period under consideration colleges of FE and HE became major targets for value for money studies. A general report on FE issued in September 1981, the Study of Further Education Colleges (Department of Environment, Audit Inspectorate, HMSO) exposed variable managerial performance across the system, identified substantial organisational slack, and gave prominence to a set of performance indicators. These were given further advocacy in a guide, Colleges of Further Education Guide to the Measurement of Resource Efficiency (Department of Environment, Audit Inspectorate, HMSO) a revised version of which was published in February 1983.

The activities and output of the Audit Commission were monitored in the college and staff were alerted to their ramifications (see Appendix J) including the possibility of a value for money exercise. The college did not have long to wait. In December 1983 a programme of 'value for money' exercises was agreed between the District Auditor and the Leader and Chief Executive of the County Council. One of the exercises chosen was resource management in higher and further education with the College of Higher Education and the largest of the County's Colleges of Further Education selected for examination. This was conducted in the early months of 1984. A draft report, produced in June, became the subject of a meeting between representatives of District Audit, the Treasurer's Department, the Education Department and the Colleges in July. The report, based on an investigation of the Financial Year 1982/83 was critical of both colleges and is considered in greater detail in
1.4 The Influence of Regulatory Bodies

The influence of HMI and Validating Bodies continued to be crucial and, as will be demonstrated, problems with satisfying the latter both on new proposals and existing courses had important consequences for recruitment and the allocation of resources.

Of more general consequence was the second Institutional Review conducted by the CNAA in March 1982. The second visit held fewer terrors than the first since there was a much better understanding within the college of what the visit entailed and how best to prepare for it. This understanding, and the confidence which it generated, derived from three sources. First there was the experience accumulated from previous visits, notably that held in February 1979, which produced a report highly complimentary to the college. The second and most important source was the Principal who since 1979 had been a member of the CNAA Council. Not only had this given him an insight into the general operation of CNAA but had also enabled him to accumulate experience as a member of visiting parties to other institutions. It had also enabled him to develop good personal relations with CNAA officers, notably the Registrar in charge of the Institutional Reviews Unit. The Registrar and his colleagues represented the third source since, under his influence, Institutional Reviews had become more explicitly joint ventures. They were not to be regarded as external inspections but as opportunities for sharing and exchanging perceptions.

Despite the more relaxed approach to the visit the stakes were no less high than in March 1977. Indeed in a number of respects there was much more at stake. This was particularly true for the Principal who was highly exposed as a member of the Council and needed to take back a favourable report to the Board of Governors and the LEA in repayment for the support given the college during the quinquennium. There was also the growing prospect of rationalisation and intensification of competition between institutions in the wake of the new institutional arrangements.
for the management and funding of higher education in the public sector.

It was anticipated that the views of validating bodies, not least the
CNAA, would have an increasingly important influence on central decisions
made about the future of the colleges of higher education and polytechnics.

1.5 Changes in the Local and Regional Economies

The local and regional economies were experiencing major structural change
during the period under consideration made all the more difficult by the
general economic recession. Strenuous efforts were made by the County
Council, supported by the Welsh Office and other agencies, to attract
high technology industries to the area which would provide employment
to compensate for losses in the traditional heavy industries. A new
urgency was given to these efforts when the local steel plant was required
to shed almost 5,000 of its employees within the space of a few months
in 1980.

These changes had a twofold impact upon the college. First, steps were
taken to make direct provision in the form of courses for redundant
employees. Second, the crisis served to draw the attention of the
Authority to the importance of the college as part of the general economic
infrastructure of the area and the ability of the Faculty of Science and
Technology in particular to provide an educational provision in micro-
electronics likely to be crucial in attracting new high technology firms
to the area. The result was a major investment in staff and equipment
intended to establish the college as a centre of excellence in micro-
electronics.

2. INTERNAL ENVIRONMENT

Two major developments occurred during the period under consideration
the introduction of the Planning Cycle and changes in management
structure.
2.1 The Planning Cycle

2.1.1 Intentions for Full Operation

It was recognised by the Academic Board that the Planning Cycle constituted a major innovation and that staff would need time to learn to operate it as intended. No targets were set for making the planning cycle fully operational but, in view of the CNAA Quinquennial Institutional Visit anticipated for 1981/82, it needed to be in good working order by the time of the visit.

2.1.2 Early Preoccupations

As has been indicated in Chapter 9 (see pages 384-385) there was considerable concern during the teach-in over information systems and administrative support. These continued to be major preoccupations in the early rounds of the Planning Cycle.

The initial information system, based on 19 forms providing a pyramid of information on courses, staff development and research and the resourcing implications of development and contraction proved too elaborate and was simplified following a major review, which also led to the production of a handbook on the operation of the Planning Cycle (see Appendix U).

The task of servicing the sub-committees, including the distribution and collection of forms, was given to the Director of Studies, who became Secretary to the Academic Board as a result of the changes in management structure finally approved in April 1979.

The Director of Studies was located in the Assistant Principal's 'office', which was intended to play a significant role in the administration of the planning cycle. The Assistant Principal died suddenly in November 1979 and the post remained unfilled until September 1980. It was left, therefore, to the Director of Studies to service the planning cycle for its first run.

Problems remained with administrative support following the appointment of a new Assistant Principal (R), who took charge of the management and
development of the planning system, and the opportunity was taken in July 1982, following the early retirement of the Director of Studies, to reorganise the servicing of academic committees. Senior administrators were appointed secretaries to the Academic Board and its sub-committees, other than the Course Administration Sub-Committee where the Director of Course Development acted as both secretary and Principal's representative. It was intended that these changes should lead to a significant improvement in the servicing of the Planning Cycle.

2.1.3 Impact

As will be demonstrated the Planning Cycle and Academic Committee Structure not only provided a corporate planning system, having a rationalist philosophy and related technology, but also created arenas for negotiation and the exercising of problems. These aspects will be highlighted in Section B and an evaluation of the contribution made by the system to process and performance outcomes will be undertaken in Chapter 12.

2.2 Changes in Management Structure

The following two significant changes took place.

2.2.1 Division of the Assistant Principal's Role

The first followed upon the sudden death of the Assistant Principal in November 1979. The Principal persuaded the Governors that it was necessary to divide the duties previously undertaken by the Assistant Principal between an academic and an administrator. Following protracted consultations between NALGO and the Authority at County Hall the matter was finally resolved in December 1980 when the newly appointed College Secretary and Clerk to the Governors took up his post. There was less difficulty in securing clearance for the Assistant Principal post and an appointment was made on 2nd July, 1980.

2.2.2 Splitting of the Faculty of Science and Technology in Two

As the faculty grew in number of staff and importance to the County's economic development so a growing dissatisfaction was expressed by the
Dean and senior colleagues over the administrative problems which accompanied growth. The opportunity was taken by the Principal in a report presented to Governors on 17th July, 1981 to incorporate the problems of managing the Faculty of Science and Technology within a wider review encompassing two other faculties seeking relatively minor reforms. A special Working Party was set up to consider existing structures and to recommend modifications where appropriate. It tackled its responsibilities with great thoroughness and met on 9 occasions before producing its first major report for the Board of Governors on 29th January, 1982 which recommended that the Faculty of Science and Technology be divided in two. The recommendation was approved and the two faculties came into existence in September 1982. As will be demonstrated, the Dean of the Faculty of Science and Technology was completely opposed to the split and felt so strongly about the implications for his personal position that he invoked the grievance procedure (without success) against the Principal and Board of Governors.

3. THE FACULTY BOARDS

3.1 Introduction

The faculties were slow to respond to the reforms in the way intended and needed more explicit guidance and support than was first thought necessary. While the Planning Cycle perceptibly influenced patterns of decision making, differences between faculties in culture and styles of management were so deep-seated as to make it difficult for them to internalise the philosophy and technology of purposive rationality in the same way. Even so, a more self-critical and open approach to decision-making was encouraged and staff were made increasingly aware of the opportunities for participation offered by the planning cycle.
3.2 Conduct of Business, Frequency of Meetings and Attendance

The introduction of the Planning Cycle did little to change the agendas and reported discussions in the Faculty of Art and Design. The requirements of the Cycle were largely attended to by the Dean, advised by his Heads of School and supported by the Faculty's administrative staff. Even so, the Faculty Board became increasingly aware of the planning cycle and the activities of the sub-committees, as a result of Faculty Board representation on the sub-committees and the extent to which procedures needed to be adhered to secure approval for development and obtain benefit in the distribution of resources. Attendance at meetings, if anything, became more variable (see Appendix F).

The collegiate mode of operation continued in the Faculty of Education with the addition of Planning Cycle items to the agenda at appropriate times of the year. The number and timing of meetings largely coincided with the Cycle's timetable with additional meetings arranged as required (see Appendix F).

Accommodation to the Cycle required least adjustment in the Faculty of Management, which had experimented with planning systems and whose Dean (R) played a major role in its design and development. Frequency of meetings and agendas were highly compatible with Planning Cycle requirements. Attendance patterns changed little with its introduction (see Appendix F).

The frequency of meetings and agendas in the Faculty of Science and Technology were crucially influenced by the Planning Cycle but not to the exclusion of other considerations.

While the Planning Cycle seemed to be viewed by the Faculty Board primarily as a set of obligations imposed upon it by the Academic Board, it was nevertheless used positively to convey strong messages to the rest of the college about self image, role, resourcing and development.

As will be demonstrated many of the statements and documents emanating
from the Faculty Board represented the Faculty as a distinct and separate entity frequently in conflict with the corporate enterprise.

Details of meetings and patterns of attendance are provided in Appendix F as they are for the two faculties created following the split in September 1982.

The changes in mode of operation following the split reflected changes in senior personnel (notably the Deans), who were more sympathetic to its philosophy and who were prepared to exploit its routines.

3.3 Adherence to the Planning Cycle and its Requirements
The Cycle was regarded within the Faculty of Art and Design more as an external imposition to be handled executively rather than a pervasive process to be internalised. The Review Phase presented the Board with few logistic difficulties in view of the relatively small number of courses and the established methods employed for assessing and reporting on student progress. But the opportunity was missed to conduct a systematic review of the Faculty's performance during the previous session. Problems were experienced with the production of Faculty Strategies.

The deficiencies of form and content were so obtrusive during preparations for the March 1982 CNAA visit that the strategy had to be rewritten by the Assistant Principal (R) in co-operation with the Deans and Heads of School. Matters improved significantly in 1983/84 when the Dean and Heads of School produced a substantial document in accordance with new guidelines. While strong on aspiration, the strategy largely neglected implementation, however. Little interest was shown by the Board in corporate strategies.

The Faculty of Education conscientiously observed deadlines and completed documents as required. The focus of attention during the review phase of the Cycle was provided by the Dean's Annual Report which by its nature highlighted the successes of the Faculty and did not encourage the kind of critical self-analysis envisaged for Phase 1 of the Planning Cycle.
The general format adopted for the presentation of the Faculty Strategy each year was in accordance with the Notes of Guidance but documents were stronger on description than analysis and tended to concentrate on strengths (examination successes) and opportunities ('encouraging signs') rather than weaknesses and threats, which, however, became more obtrusive during the period under consideration. As with Art and Design the most significant single advance was made during 1983/84 following the production of new guidelines (see Appendix K) which were produced by the Assistant Principal (R) at the request of the Dean of Faculty, who was sensitive to the criticism directed by the sub-committees of the Academic Board at the previous year's efforts. The Position Statement openly acknowledged internal weaknesses such as the lack of recent and relevant primary school experience among lecturers. Threats posed by the decline of overseas students recruited to key courses, and the discrimination shown by WAB against general humanities degrees, which put the BA Combined Studies at risk, were recognised. The preferred strategy was more sharply focused than in the past giving prominence to resource utilisation performance, improving the student age and geographical mix, and updating the knowledge and experience of staff. The result was a strategy in keeping with the College Corporate Strategy approved by the Academic Board on 28th April, 1983 and 'received' approvingly rather than discussed by the Faculty Board in June 1983.

In terms of the philosophy and technology of planning, the Faculty of Management, as might be expected, displayed the greatest sophistication and willingness to experiment. Even so, it experienced difficulties from time to time (widely shared during the 1980/81 session) in meeting deadlines for the submission of information to sub-committees. The Board did not find it any easier, either, to determine priorities. The importance of devising criteria for establishing priorities and for evaluating competing claims on resources was acknowledged from the outset but members of the Board stopped short from spelling them out preferring
the responsibility to fall on the Dean and Heads of School. This was
done and the Dean went further in January 1982 by declaring his intention
to produce a set of policy statements designed to constitute an explicit
framework for the Faculty and each School within it. Three were produced
between January and June: CRITERIA FOR ASSESSING ACADEMIC DEVELOPMENTS,
FACULTY STAFF DEVELOPMENT and QUALITY CONTROL.
The Review Phase of the Cycle was based on general reports presented
by the Dean (written) and the Heads of School (verbal) which gave prominence
to developments in the external environment as well as reviewing student
and staff performance. The tendency with the latter was to highlight
successes. A close analysis of statistical information was not undertaken.
The production of strategies in accordance with guidelines presented no
technical difficulties and the opportunity was taken to experiment with
form and content from time to time. That submitted by the Dean to the
Faculty Board in January 1983 took the form of an action plan presented
on the basis of the continuing validity of the previous year's general
strategy. It listed a total of 27 actions required on External Relations,
Course Provision, Quality Control, Resourcing, Staff Development and
Research, and Areas of High Contraction and Risk and prompted a wide
ranging discussion. The draft strategy presented in January 1984 adopted
a modified version of the new agreed format (see Appendix K), concentrated
on three major strategic objectives and highlighted the significance of
resource constraints.
The College Corporate Strategy approved by the Academic Board on 28th
April, 1983 did not appear before the Board of the Faculty of Management
until 24th October, an appearance prompted by the conduct of the first,
controversial, WAB planning exercise. Following lengthy discussion it
was referred to a sub-committee which reported on 13th January, 1984.
The report was highly critical and unanimously approved. First, the
Corporate Strategy was criticised on technical grounds - the collection
of wishes, facts and rather obvious statements did not amount to a
bona fide strategy. What was required was a quantified statement of
goals, followed by action programmes. Secondly, great resentment was
expressed over the implied attack on staff for under-recruitment and
weak promotional effort when the major weakness lay at corporate level.
It was the excessive preoccupation with improved resource utilisation,
however, which drew the strongest attack: what was being proposed was,
on the one hand, an improved service whilst at the same time resources
were to be withdrawn or severely stretched, i.e. more work/fewer staff.
Particular objection was taken to the steps suggested for improving SSRs
(see Appendix P). The essence of the case against the Corporate Strategy
was expressed in the final paragraph of the sub-committee's report which
identified the Strategy an attack on the general lecturer who, it was
considered to be performing relatively well under increasing pressure
and concluded as follows: The document seemed to be making an educational
virtue out of what was being politically imposed on the higher education
sector and was considered by the Board to need radical revision. The
report, when it reached the Academic Board, was received without comment.
Discussion of the Corporate Strategy was not reopened, as had been expected
by the Faculty Board. The strike had been made too late.
Despite the reservations held by the Dean of the Faculty of Science and
Technology over the need for such an apparently elaborate system he took
great trouble to explain and provide guidance to his Faculty Board on
16th October, 1969 on the operation of the Planning Cycle.
The difficulties of meeting the deadlines set for the Planning Cycle
timetable, particularly during 1980/81, were most acute on the Faculty
and were explained in terms of the relatively greater administrative
burden carried by it. Even so the requirements of the Cycle were
eventually met and documents completed conscientiously. In certain
respects the Faculty was in advance of others. The Review Phase of the
Planning Cycle, for example, was given greater prominence and conducted more fastidiously by it. This Faculty was also the first to develop an integrated research programme.

The Faculty Strategies produced over the three-year period 1979/80 to 1981/82 complied in varying degrees to the recommended standard format but each was used to transmit critical comment and strong messages to the corporate body. The first approved by the Faculty Board on 18th January, 1980 was critical of the statistical base and performance indicators to be employed and transmitted strong messages on resourcing, notably managerial resources (considered to be totally inadequate for a faculty of its size and complexity), and prioritisation. The next, presented in November 1980 took the form of a brief update setting out the Faculty’s aspirations up to 1982/83. These gave prominence to course developments in microelectronics designed to exploit the fact that the Faculty had been placed in a highly prestigious role of leading the field in microelectronics technology education. The strategy which reached the Faculty Board in January 1982 was affected in both form and content by the organisational review considering the splitting of the Faculty. The opportunity was taken to challenge the split and this, together with other controversial observations, notably on resource constraints suggested a Faculty at odds with the rest of the college.

The Academic Board, conscious of the need to incorporate a compatible strategy into the documentation for the CNAA visit, required its revision. The task was given to the Assistant Principal (R) assisted by a senior Head of School.

These tensions were carried over into the Faculty of Information Science and Systems Technology following the division of September 1982. The strategy presented to the Board in January 1983 was high in rhetorical content (it concluded with a set of rhetorical questions to which no answers were offered by the Faculty Board) and attracted considerable
criticism at corporate level (see Appendix 0). The strategy presented in December 1983 by the new Acting Dean conformed to the revised standard format and contained little that was controversial. Although the College Corporate Strategy (April 1983) had been placed on the agenda for a meeting held in June 1983 it was not considered by the Faculty Board until the December meeting. The response was largely confined to items of clarification with little discussion of the potentially far-reaching proposals contained in the document.

The Dean of the new Faculty of Industrial Engineering and Science had few reservations about the Planning Cycle and invoked its aid in managing his Faculty. The Review Phase was conducted with thoroughness: PC forms were subjected to detailed analysis and attention given to improving review procedures. The strategies presented in 1982/83 and 1983/84 were both substantial documents giving prominence to threats to the more traditional forms of engineering, and established modes of course delivery and the steps needed to combat them. The Dean was particularly active in the field of Open and Distance Learning and succeeded in establishing links with a Canadian college for the exploitation of learning materials in Energy Management and in securing major contracts with the Manpower Services Commission worth £900,000 to set up an OPEN TECH UNIT and a PRACTICAL TRAINING FACILITY. These developments, in prospect and as achieved, were reported to the Faculty Board.

3.4 Course Development
Management of the course portfolio dominated the strategic thinking of faculties.

The prime objective of the Faculty of Art and Design was to achieve a portfolio of advanced courses, other than Foundation, all enjoying mandatory grant status. By the end of the study period this objective had been achieved for all courses but Fashion. A BA 3D Design and a DATEC Higher Diploma in Documentary Photography were successfully validated for a September 1982 start. A proposal for a DATEC Higher Diploma in Film and
Video made very slow progress within the Faculty despite promptings from Senior Management and the Planning and Resourcing Sub-Committee. Little progress was made in 1982 in the face of strong opposition from three of the Faculty's most influential Heads of School and it required an executive decision from the Dean in March 1983 to proceed with the development. After an initial hiccup over approval by the RAC, which the mobilisation of support from specialist HMI and key personnel from the Film and TV industry overcame, the course was approved and secured validation for a September 1985 start. The failure to achieve validation for a Higher Diploma in Fashion to start in September 1984 followed upon an earlier failure to win CNAA validation for a BA degree in Fashion in 1981. The latter exposed the exclusion of the Faculty Board from internal validation procedures which prompted remedial action. As a result, when the established honours degrees in Fine Art and Graphic Design came up for their quinquennial review the right of the Board to examine the resubmissions was firmly established and initial drafts were revised following scrutiny. Even so, neither resubmission had an easy passage through college internal validation procedures. The failure of both to secure other than a limited 2 year conditional approval, following a visit from CNAA subject panels on 16th and 17th February, 1984, was therefore very disappointing and raised fundamental questions about the rationale and delivery of each course as well as college internal validation.

The two major qualifications offered by the Faculty of Education were a B.Ed. and a BA Combined Studies, both of which followed on from a Diploma in Higher Education on a 2 years (Dip.H.E.) and 1 year (pass) or 2 years (honours) or a 2 + 1 basis. The B.Ed. was under continuous review during the period under consideration and strenuous efforts were made to secure 'with honours' designation for the BA, which was eventually achieved in July 1984. Additions to initial teacher training in the form of shortened B.Ed. courses were introduced in co-operation with
the Faculties of Science and Technology and Art and Design  - a B.Ed. Maths/Science (September 1981) and B.Ed. Craft, Design and Technology (September 1983) - both designated teacher shortage areas by the DES. The Faculties of Education and Art and Design were less co-operative over the introduction of a PGCE in CDT and a dispute over its location was finally settled by the Principal in favour of Art and Design. Two other areas of course development preoccupied the Faculty of Education during the period under consideration, In-Service Training (INSET) and New Opportunities in Higher Education.

The INSET provision was initially strengthened with the addition of an array of part-time diplomas validated by the University of Wales, an involvement with the Open University's IT-INSET Project, and an increase in school-based activity. The second significant development occurred following discussions between the Principal and Director of Education in 1983. These centred on the financing of INSET and the past failure of the Authority to exploit the 'open-ended pool' (i.e. the joint financing of all local authorities of full-time INSET courses) as other authorities did. As a result the number of teachers seconded to one-year full-time programmes was increased by 14. A further boost was given to INSET by the Government in the form of special grants for Mathematics, Special Education and Primary School Management to which the Faculty responded. The Faculty wished to more fully implicate other faculties in the programme through the creation of a College INSET Committee but the Academic Board in October 1982 and March 1983 preferred stronger executive action to an extension of the academic committee structure and called for action-centred proposals.

Some forty students, the great majority being women, were recruited to experimental 'Gateway' courses run by the Faculty in the summer terms of 1983 and 1984. They lasted for 10 weeks with students attending for 1 day a week for a programme of core and option studies designed to give
them a strong flavour of Higher Education. The experiment originated with a Faculty Working Party but relied on the energy and drive of a Senior Lecturer in the Faculty for its success.

The Faculty of Management during the period under consideration, completed a fundamental reappraisal of its course provision started in 1977/78 (within a space of 4 years virtually the whole of its portfolio came under internal and external scrutiny) which it then sought to consolidate, established a new provision for postgraduate study and extended its economic short course activity.

The Faculty Board was not directly involved in course validation other than to provide initial approval for new course developments and resubmissions and to receive reports and monitor progress as schemes completed the necessary stages of internal and external validation.

A number of successful developments were achieved in partnership with other HE institutions on both sides of the binary line. Courses in social work and nursing were developed with a neighbouring Institute of Higher Education. A part-time Diploma in Social Studies was developed jointly with the Extra Mural Department of a local University College and the Faculty was invited by the Welsh National School of Medicine to provide an option in Management and Decision Making for a taught Masters Degree in Nursing. A college-based postgraduate programme (Research Diploma/M.Phil./Ph.D validated by CNAA) was developed in conjunction with a neighbouring English polytechnic.

In other areas the Faculty successfully exploited the reputation established with professional bodies, notably the ACCA. Designated an approved centre for setting internal examinations for Level 1 and 2 full-time courses, the Faculty became one of only three centres where the same status was granted for part-time study. The impact on recruitment was considerable.
Along with the rest of the college the Faculty sought to respond to the employment problems created by major changes in the structure of local industry, notably the steel industry. With the support of the Authority it doubled the intake into the full-time Diploma in Trade Union Studies and Industrial Relations, a 1 year Ruskin/Coleg Harlech-type course and also publicised the opportunities available for retraining on full-time professional accountancy and personnel management courses.

The Faculty of Science and Technology was concerned with three main areas of course development: a) the continuing conversion of existing courses and the development of new courses for TEC, b) degrees in Science Education and Electronics and Instrumentation, and c) a batch of new courses in Microelectronics, most of which were developed in partnership with or with the support of local firms, Industrial Training Boards, the DES, MSC and DTI. The conversion to TEC represented a necessary updating of the Faculty's provision. The shortened B.Ed. Maths/Science, developed in partnership with the Faculty of Education, represented a positive college response to a market opportunity (i.e. shortage of teachers in Maths/Science) and a social obligation (i.e. to provide retraining opportunities for redundant steel staff).

The major area of development, however, was microelectronics. Strong messages were sent by the Dean, supported by his Faculty Board, to the Academic Board, the Board of Governors and LEA on the need for a speedy response to, and a major investment in, the new technology. These were sympathetically received at all levels and struck a particularly resonant chord with the Authority which was involved in a major campaign to bring new high tech industries to the county following the 'slimline' of the steel industry in 1980. The Dean was able to report to the Faculty's Advisory Committee in May 1980 that investment in new facilities and approval for the appointment of additional staff placed the Faculty in a strong position to becoming a completely up-to-date and effective
Microelectronics faculty capable of meeting the needs of industry, schools and colleges. The Faculty achieved a major success with a TEC Higher Diploma in Microelectronics designed specifically to meet the needs of local high technology firms and developed in close partnership with them and the EITB. Equally significant but more problematic were a Higher Diploma in Computing and a B.Sc. (later to become a B.Eng.) degree in Electronics and Instrumentation. The problems arose from difficulties in securing validation (several attempts were necessary) and concern over levels of resourcing. So great was the Faculty's general concern over the apparent lack of support from the rest of the college that special representations were made to the Academic Board following a special meeting of the Faculty Board called on 15th October, 1981 to consider a paper from the Dean and Heads of School on CONSTRAINTS LIMITING DEVELOPMENT AND CHANGE IN THE FACULTY. The paper sought to demonstrate how developments were being frustrated by inadequate resourcing across the board. The space problem was given particular attention with solutions offered in the form of an urgent building development on the 'A' site and removal of some of the Faculty of Management's courses to other sites. The content and strident tones of the document did not encourage a sympathetic response and circumstances conspired (notably the weight of agendas) to delay full consideration by the Academic Board until March 1982. Senior Management were asked to evaluate the claims made on general resourcing. The more controversial claims and recommendations, particularly as they affected other faculties, were challenged with the general contents of the paper simply noted. The matter was not allowed to drop, however, but pressure from the Faculty was reduced in some measure by delays in validation and improvements made in accommodation on the home site. Following the split of the Faculty the two developments described above continued to preoccupy the Faculty of Information Science and Systems Technology. The B.Eng. eventually secured approval for a September 1984
start and the HND Computer Studies a September 1986 start.

The major development promoted in the new Faculty of Industrial Engineering and Science was Open and Distance Learning. The contracts won with the MSC for an Open Learning Centre and Practical Training Facility were seen not only as important developments in their own right but also as opportunities for improving the SSR by buying out staff time. Other means were also sought to improve the SSR by increasing commonality of course content. For this reason Mechanical and Production Engineering were combined in a single Higher Diploma. A similar approach was adopted for professional courses in Construction, for which the college acted as a major centre. Discussions with HMI and interested professional bodies led to the approval of a College Diploma, achieving 80% of commonality for lecturing purposes, granting exemptions from national qualifications.

The Faculty had a major servicing role in initial teacher training and INSET and actively promoted developments in Science, Maths and Micro-computing.

3.5 Major Issues: Shared Concerns

The intention is to examine those issues of common concern which figured prominently in the deliberations of faculty boards and on which some form of corporate action was expected.

3.5.1 Computer Services

The issues which most exercised the faculty boards were the inadequacy of provision outside the Faculty of Science and Technology and the related issues of ownership and protocol.

Serious concern was expressed by the Faculty of Education Board in May 1981 at the extent to which developments in microcomputing tended to be dominated by electrical engineers and technologists. The main protagonist produced a discussion paper for the October 1981 meeting but so little progress had been made a year later that it was necessary for the Board to call for another paper, this time from a member of the IES Faculty
strongly involved in teacher training. His proposals for an INSET Diploma in Microcomputers in Primary Schools and a faculty based microsuite were taken up and both objectives were achieved by September 1983.

Pressure from the Faculty of Management over a three year period was necessary before space and finance were made available for a microcomputer suite to become operational in September 1982.

Issues of ownership and protocol exercised the Faculty of Science and Technology and its successor (ISST). The management of computer services was seen to be firmly located within the Faculty and its pre-eminent position was reflected in the composition of the Computer Steering Committee, chaired by the Dean of Faculty. Exception was taken by the Board, therefore, in November 1981 to the appearance of a discussion paper (then in first draft form) prepared by the Assistant Principal (R) for the Academic Board at its request, which constituted the apparent usurpation of control away from the Faculty. The paper, which favoured the creation of a new Computer Services Committee, was seen to have merits but the Board wished to give the final draft prior consideration before presentation to the Academic Board. This facility was not granted and prompted a protest in January 1982.

The issue of protocol continued to exercise Faculty ISST when the Computer Services Committee came into existence and questions were raised over the authority of the chairman, a Head of School (Computer Studies) from the Faculty, and the formal relations between the Committee, the Faculty Board and Academic Board.

The provision of more adequate computer services did not become a major issue for the Art and Design Faculty Board until March 1984.

3.5.2 Recruitment, Course Promotion and Publicity

Each Faculty Board expressed concern from time to time over corporate promotional policy. These concerns were sharpened by the appearance of Further Education Circular 1/80 which introduced more stringent control over the minimum enrolments to be achieved before the first year of a
course would be allowed to run by RSI and RAC. The Board of the Faculty of Management alerted to the growing significance of the 'numbers game' and highly critical of the corporate effort called in May 1980 for reforms, the most significant being the replacement of a representative Publicity Committee by an Executive Committee. It was felt, a feeling shared at Academic Board, that past failures derived from an absence of executive action.

Threatened by shortfalls in recruitment in 1979/80 and 1980/81 the Faculty of Education took matters into its own hands and greatly improved its promotional policy. Much of this derived from the efforts of a Lecturer who was able to exploit work being undertaken for an M.Ed. on patterns of student recruitment to the advantage of the Faculty. He was quickly co-opted into a leading role and produced a succession of annual reports analysing patterns of recruitment and evaluating promotional effort which provided the basis for a better focused strategy. This included the production of a more appealing prospectus, better targeted advertising, a phone-in facility during the period following the publication of 'A' Level results, and a programme aimed at improving relations with and impact upon key influencing agents for higher educational choice (school-teachers, careers officers, FE lecturers, parents) by every available means.

Successive annual reports on recruitment were able to claim successes on several fronts (eg. recruitment into the Dip.HE leading to the BA Combined Studies - 69 in 1983/84) with continuing disappointments on others (eg. proportion of schooleavers and geographical spread of recruits). Such was the preoccupation with recruitment that it was placed on the agenda for each meeting of the Board.

The faculties in Science and Technology, both before and after the split, joined in the criticism of corporate policy. At the meeting held on 14th October, 1983 the Faculty Board of ISST protested over the apparent lack
of control over advertising monies and called for reforms which would put an end to the ad hoc methodology employed. Great importance was attached by both faculties to enhancing goodwill among key influencing agents. Few opportunities were missed to invite HMI, industrialists, representatives of government agencies and colleagues from other colleges to visit the college and inspect facilities. Both Deans were able to report favourably to their Faculty Boards on a visit from specialist HMI in November 1982, who had been greatly impressed by the facilities shown them.

3.5.3 Accommodation

As prospects for a major building project to rehouse the Faculty of Art and Design improved so the Faculty Board took increased interest in its design. Efforts were made in May 1981 to persuade the Academic Board and Governors to support the appointment of an independent consultant architect. Responsibility for design was in fact given to the Assistant County Architect who held full discussions with, and was considerably influenced by, staff, not least the Head of School of Fine Art, who was delighted with the building which opened to students in September 1985. Pressures on space, library, parking and catering facilities on the 'A' site were highlighted from time to time by the faculties located on that site. The need to accommodate the second year of the Certificate of Qualification in Social Work, offered jointly with a neighbouring Institute of Higher Education and starting in January 1980, caused acute anxieties to the Faculty of Management during the session 1979/80. After a protracted diversion involving the acquisition of space in the recently vacated old County Hall a home was found on the site housing the Faculty of Education, identified following a space audit conducted by the Assistant County Architect. Pressure continued to be applied, notably for improving lecture room and staff spaces, but its intensity and frequency diminished as circumstances conspired, through chance and design, to ease the problem.
3.5.4 Course Monitoring and Evaluation (Quality Control)

This was a priority development area identified by the college in the papers submitted to CNAA and one regarded by the CNAA visiting party as requiring attention. The need for more adequate systems was acknowledged in each Faculty but progress was slow as the outcome of initiatives taken by the Dean of the Faculty of Management and Professional Studies and the Course Administration Sub-Committee were awaited. As will be demonstrated, there was a resistance to top-down initiatives and the major responsibility for devising acceptable procedures was left to the faculties. The strongest resistance came from the Faculty of Management which had produced the first initiative in the form of the Dean's Policy Statement on Quality Control. Approved in June 1982 it ran into difficulties over implementation and discussions held between the Dean, Principal, Assistant Principal (R) and NATFHE representatives (among which members of the Faculty were prominent) failed to produce agreement on an acceptable mode of operation. A resolution from the Faculty Board (January 1984) that The responsibility for devising methods to ensure effective monitoring and evaluation should devolve from the Academic Board to individual course teams had a decisive influence on the bottom-up approach eventually agreed.

Variable progress had been made by the end of the period under consideration, with the methods adopted for obtaining student feedback the most controversial issue.

3.5.5 The WAB Planning Exercises

Two exercises were conducted in 1983/84. The first originated with a letter circulated to LEA's and colleges in August 1983 which asked for projections of intended advanced course provision in 1984/85 on the basis of a) level funding at the 1982/83 level or b) a 5% reduction in real terms on the 1982/83 level, to be submitted by 18th November. The Principal felt it necessary to present the letter to the Governors in
the first instance, which he did on 23rd September. This left only a
month to complete the exercise and report back. The task was undertaken
by Senior Management and a report presented to a Special Academic Board
held on 12th October (for details see pages 483-484 below). In it the
Board was advised that a major expansion in student numbers could be
achieved at level funding or with a 5% cut.

WAB was unable to complete the planning exercise in time to influence
the 1984/85 pool allocation for Wales with the result that attention was
turned to projected student targets, by programme, for 1985/86. A
special working party was set up by WAB to evaluate the returns received
from colleges for 1984/85 and to compare them with the earliest available
enrolment figures for the academic session 1983/84. The Working Party
calculated that the colleges in Wales collectively proposed a 30% increase
in numbers (45% if the Polytechnic was excluded) between 1982/83 and
1984/85. Such an expansion was deemed both improbable and undesirable.
For the purposes of determining targets for 1985/86, therefore, college
returns were largely ignored and reliance placed on rolling-forward the
Advanced Courses Early Statistics (ACES) for 1983/84, with adjustments
made for new courses known to be coming on stream. Colleges were
notified of their targets in a letter dated 30th May, 1984 and asked to
submit comments by 31st August, 1984. Advantage was taken of the time
available to conduct full consultations at all levels within the college.
Heavy reliance was placed once again on Senior Management to undertake
the analysis and prepare a considered response (see Appendix L) but on
this occasion considerable discussion at faculty level preceded
consideration at the Academic Board.

The responses of the faculties varied. The Art and Design Board involved
itself with the second exercise only and resolved on 28th June, 1984 to
ask the college to use all its influence to persuade WAB to make an
upward revision to the Faculty's allocation. WAB's response was an
increase of 4%.

The Board of the Faculty of Education involved itself in the first exercise to the extent of providing general support on 29th October, 1983 to the position adopted by the Dean who concentrated on the implications of a 5% cut. He made no secret of his dismay that having absorbed most of the staff cuts (a net loss of 16 in 6 years) his Faculty was now being asked to contribute to an across-the-board reduction. Even so, his projection for 1984/85 represented a willingness to accept a 21% increase in FTE students at level funding or with a 5% cut, with a major contribution coming from recruitment to the BA Combined Studies. The allocation by WAB for the second exercise of a low priority to this programme area required a drastic rethink since the target number allocated to the college did not cater for students already in the college let alone a drastically cut first-year intake. Attention therefore focused on mobilising arguments against a major discontinuity in a single year, especially since the degree was seen to satisfy a major need (see Appendix L). By comparison the targets set for Initial Teacher Training and INSET were regarded as generous.

The Dean of the Faculty of Management's contribution to the first exercise, which highlighted the areas of work and therefore the staff at risk if cuts were required, was discussed by the Faculty Board on 24th October, 1983. Strong objections were raised over the way the exercise had been conducted and the concern it had generated. The following resolution was passed nem. con.

The Board objects to the introduction of a confidential mode into the operation of the Academic Board. Whilst recognising that this procedure may be within the Articles of Government of the College, an explanation is sought as to the need for change in the light of the CNAA's observations on the operation of the College Management System.

The Dean's proposal to increase FTE student intake by 27% in 1984/85 on the basis of standstill or a 5% cut on the 1982/83 base, appears to
have generated little response. The Faculty was happy to support in June 1984, however, his proposal for a 24% increase in the recommended allocation made by WAB for 1985/86. Dismayed by the original allocation the Dean sought to mobilise external support from the RSI as well as within the college. The final allocation made by WAB raised the Faculty's target by 12%.

Both exercises were seen by the Faculty Board of IES to be primarily matters of executive responsibility. The controversy surrounding the conduct of the first exercise did not reach the Board until December 1983 when two of the Faculty's representatives explained their withdrawal from the special meeting of the Academic Board held on 12th October (see pages 483-484 below). In terms of providing alternative to the options considered by the Dean for achieving a 5% cut the Board had nothing to offer. He preferred reliance on natural wastage and the rationalisation of course content to the abandonment of courses in metallurgy and plant engineering which were acknowledged to be vulnerable because of low numbers. When the Faculty Board came to consider the Dean's response to the second stage of the WAB Planning Exercise on the 2nd July, 1984 it had no difficulty in giving it full support since it was primarily directed at arguing the case for an increase in the student targets recommended by WAB for two programmes, important to the Faculty, but not significant in total FTE's.

The Faculty Board of ISST meeting on 10th October, 1983 also strongly objected to the method chosen to complete the first exercise and was the first to pass the resolution described above (formulated at the NATFHE branch). The Dean highlighted the damaging repercussions, including the non-replacement of two staff, if a 5% cut was required.

No difficulties were experienced by the Dean when he presented his intended response to the WAB 1985/86 allocations at a meeting of the Faculty Board held on 29th July, 1984. It was known that the Faculty
would secure strong support from the college for a major upward revision in the FTE student allocation to Programme 6, Electrical and Electronic Engineering. The initial allocation to this programme by WAB was 140 FTE's when it was the wish of the Faculty to provide for 239 FTE's. In view of the priority given to this programme area by WAB and the recent success of the Faculty in securing validation for the B.Eng. in Electronic and Instrumentation Systems it was felt that the college had a strong case (see Appendix L). The final college allocation made by WAB to this programme eventually reached 193 FTE's.

3.6 Major Issues: Faculty Centred

In addition to the shared concerns described above, there were also a number of issues of particular significance to individual faculties to which brief reference needs to be made.

Discussions were enlivened in the Faculty of Art and Design by a critical report from the specialist HMI and policy statements presented to Faculty Board by two newly appointed Heads of School. The very unflattering report made verbally by HMI to the Dean, Principal and Vice Principal following a one day visit was conveyed to the Board on 26th February, 1981. Attempts to secure a written version from HMI failed but the messages were taken seriously and used in support of efforts to improve administrative support. Within the space of six months in 1980/81 two new Heads took charge of the Schools of Fine Art and Graphic Design. Both had radical proposals for the development of the degrees in their Schools which they presented as discussion papers to the Faculty Board in the summer terms of 1981 and 1982. Both challenged prevailing orthodoxies, implied major organisational changes and gave prominence to the new technology, notably telecommunications and computer technology. The papers were given a cautious response, but it was agreed that they should be widely discussed and form part of the preparations for the resubmissions of the degrees in Fine Art and Graphic Design required by
The Board of the Faculty of Education was very much concerned with changes in government policy on teacher training, notably the steps taken to stop the over-supply of newly trained teachers and to manage a swing from secondary to primary teaching and the initiatives to improve teacher quality and the quality of teaching. The B.Ed. was identified as the main route for primary schoolteachers and subject-based degrees followed by a PGCE as the main route (with the exception of shortage subjects) for secondary schoolteachers. Even so, the Faculty Board insisted on making significant bids for secondary places in response to Circular Letter 2/82, distributed by the Welsh Office in May 1982 which sought indications of intended provision. Despite misgivings expressed at the Academic Board, the bids went forward to the Welsh Office but the skeptics were vindicated. The only area for which secondary places were allocated for 1984/85 was CDT, the remainder (77 out of 127) being primary. On quality the Board were presented with a major discussion document by the Dean in June 1983 which set the White Paper Teaching Quality (HMSO, Cmnd. 8836, March 1983) in the context of earlier documents produced by the DES, HMI and ACSET. The need for new rules on the selection and training of teachers and a closer match between their qualifications and the tasks required of them was acknowledged as was the need for recent and relevant primary teaching experience for lecturers. The Faculty Board was also involved with two organisational issues which took some time to resolve, namely the creation of a new School of Special Education and the redesignation of the faculty title to Education and Combined Studies intended to provide a truer representation of its more diversified nature.

As has already been indicated the Faculty of Science and Technology was exercised by resourcing problems and conveyed strident messages to the Academic Board, notably about the funding of the B.Eng. degree and
Higher Diploma in Computer Studies. The cause was taken up in October 1982 by the Board of ISST which was faced with a request from the Planning Resourcing Sub-Committee that an audit be conducted by the Assistant Principal (R), this despite the fact that information already made available to the Sub-Committee was considered to have been provided in much greater depth with regard to completeness and future planning than any other Faculty. The findings and recommendations of the audit which spelled out resource requirements over 4 years was welcomed by the Board in June 1983 though clarification was sought over discussions considered necessary between the Principal and the LEA. One of the difficulties faced by the Faculty was the extended lead time in bringing courses on stream due to problems with validation and the resulting implications for the SSR.

The importance of improving the SSR was thrown into high relief by a COLLEGE LETTER sent by the Principal to all members of staff in the college in May 1983. The letter, together with the Dean's response was considered on 10th June, 1983. In it the Principal highlighted the extent to which failure to recruit students in sufficient numbers would undermine the major advances made on several fronts since the merger. Although distributed throughout the college, the letter was seen to be chiefly directed at Faculty ISST. The Dean in his reply acknowledged the importance of the SSR and of improving recruitment but considered the Faculty to be constrained by factors largely beyond its control, which were listed and made up the main body of the response.

4. THE SUB-COMMITTEES OF THE ACADEMIC BOARD

4.1 Introduction

The original composition and terms of reference of the three major sub-committees are found in Appendix B. Minor modifications were made to membership over the years the most significant being in September 1982
following the retirement of the Director of Studies and the division of the Faculty of Science and Technology in two, which meant that 5 rather than 4 faculties now had representation on each committee.

Little explicit guidance was provided at the outset on the interpretation of role and performance of duties. The expected frequency and timing of meetings within the Planning Cycle was laid down but in other respects a conscious effort was made to avoid prescription. It was the general view that participants needed to learn, through practice, to operate the new system and to influence its development with experience. As it turned out, experience soon exposed the need for more explicit guidance, if not direct prescription, and it became necessary to produce a HANDBOOK: 

THE COLLEGE ACADEMIC COMMITTEE STRUCTURE AND PLANNING CYCLE which was approved by the Academic Board for circulation throughout the college in March 1981 (see Appendix U).

An additional sub-committee, namely a Computer Steering Committee, was later set up which was not among those originally brought into existence within the Planning Cycle. For this reason it is given separate consideration. The work of the three major sub-committees will be considered under five general headings with the focus of attention on the operation of the Planning Cycle.

4.2 Interpretation of Role and General Conduct of Business

Each sub-committee was initially preoccupied with finding a role and establishing a mode of operation. The conduct of business was very much affected by the degree to which faculties complied with Planning Cycle requirements. Few problems occurred in 1979/80 but such serious difficulties were created in 1980/81 as timetable deadlines were missed that Senior Management were asked by the Planning and Resourcing Sub-Committee in November 1980 to ascertain whether these information problems were temporary or recurrent or fundamental. This concern was shared by other sub-committees and led to the production by the Assistant Principal (R), at the request of the Academic Board, of the handbook described in
2.1.2 above (see Appendix U). Despite the appearance of the Planning Cycle Handbook the Staff Development and Research Sub-Committee was still sufficiently concerned in June 1981 over the apparent lack of commitment to the Planning Cycle to pass the following resolution for submission to Senior Management:

In view of continuing difficulties in receiving correct Planning Cycle documentation in accordance with agreed schedules, the Committee would respectfully seek an assurance from Senior Management of a genuine commitment to the College Planning Cycle in terms of agreed administrative support and Faculty and College procedures which would facilitate such commitment.

Such an assurance was given to Senior Management and matters greatly improved in 1981/82 aided by the Handbook and the prospect of a CNAA Institutional Visit. Few serious difficulties were experienced in succeeding years as a result of a failure to comply with the Planning Cycle's standard operating procedures but there were minor lapses which the Committees were quick to point out.

The Planning and Resourcing Sub-Committee was the one to get most quickly into its stride. It focused on resourcing issues, sought general criteria to evaluate faculty proposals, and examined them with great thoroughness. Deans and staff responsible for extra-faculty services were invited to discuss their programmes and costings for 1981/82 in a two-day sitting held in June 1980. The Committee performed its role with increasing confidence. Faculties were called to account for poor presentation, unrealistic forecasts and unsatisfactory responses. Difficult decisions were taken on revenue and capital allocations. Ways of improving the operation of the Planning Cycle were constantly being sought. The performance of the Committee was highly regarded by the Academic Board which frequently paid formal tribute to its work and the quality of its reports. Apart from student representatives, meetings were generally well attended, although faculty representation tended to be variable (see Appendix F).
The Sub-Committee was ably steered by its two Chairmen (the College Librarian held office for the first three years). By their nature many issues generated conflicts of loyalty, particularly for faculty representatives. Members were reminded from time to time, however, of their corporate responsibilities, as they were on 18th March, 1983 for example when:

*The Chairman reminded members that any agreed recommendations of this Committee should not be challenged by them at Academic Board.*

The Course Administration Sub-Committee found difficulty in establishing its role, felt constrained by procedural problems, not least of which was the failure of faculties to deliver information in prescribed standard form on time, and was therefore greatly preoccupied at the outset with remedying systems weaknesses. So great was its dismay in November 1980 with the failure of faculties to deliver on time that a letter of complaint was sent to the Principal indicating the Committee’s dismay and requesting the Principal to meet the Chairman and Secretary to discuss the situation.

Members also experienced difficulty with the Committee’s internal validation responsibilities. Faculties were slow to select staff for the pool from which panels were to be selected. Lead times were rarely observed. Submissions were variable in quality and frequently flawed by the absence of fastidious proof reading. These difficulties were compounded by a heavy load averaging 10 submissions per session. Of the above difficulties the most serious was the very tight timetables into which internal validations became squeezed. Such was the case with the validation of the B.Eng. which generated a major crisis in December 1982 requiring the intervention of the Principal. The Sub-Committee, which arranged for the internal validation to take place under protest, had two grievances. Insufficient time was given to panel members to scrutinise the submissions (amendments were being presented on the day of validation) and attempts were made by the Course Team, led by the Dean of Faculty to determine the final content of the submission irrespective of criticisms
and recommendations made by the panel. The Sub-Committee was in no mood to have its authority challenged and submitted proposals for strengthening procedures, and therefore its authority, which were approved by the Academic Board in January 1983. Despite new guidelines, however, the Sub-Committee continued to be put under pressure to process submissions, regarded as critical to the future of the college, within a shortened timetable. Its inclination was to accommodate rather than to invoke the new guidelines and precipitate a crisis.

Attendance at meetings was highly variable with the student and technician representatives generally absent (see Appendix F). The Sub-Committee had three Chairmen during the period under consideration, a Head of School from Art and Design (1 session), a Senior Lecturer from Education (3 sessions) and a Senior Lecturer from Industrial Engineering and Science (1 session).

The Staff Development and Research Sub-Committee displayed an early willingness to play an interventionist role in promoting the corporate interest. It attached a high priority to systems development and wished to see strict adherence by faculties to standard operating procedures, as well as fastidious completion of Planning Cycle forms. The Committee drew the attention of the Academic Board to the reliance placed by faculties on the initiatives taken by individuals and the generally reactive nature of policies. It also complained to the Board on 4th March, 1982 about the failure of all faculties to implement annual consultation programmes between the Heads of School or Dean and staff in accordance with college policy. This was considered a possible source of embarrassment at the imminent CNAA visit. Concern was felt for the Heads of School who might lack the necessary knowledge and skill in conducting consultations and the Assistant Principal (R) was asked to prepare a discussion document. The outcome of the prompting was a series of workshops for Heads of School held in 1982/83 (see section 7.4 below and Appendix R).
Among the major tasks undertaken by the Committee was the reconciliation of bids each year against the sum allocated in College Estimates to staff development and research. Initially straightforward it became difficult with the cut of £20,000 applied to the 1982/83 budget. Greater emphasis was placed on the contractual obligations of staff in receipt of assistance and reporting procedures were tightened with a recasting of the PC forms. At the prompting of the Staff Development and Research Sub-Committee a half-yearly review was introduced which identified unspent funds and allowed their reallocation within the current financial year. Attendance, initially variable, settled between 9 and 11. Non-academic representatives rarely attended (see Appendix F). The Committee had four Chairmen: a Senior Lecturer from Science and Technology (1 session), a Head of School from Art and Design (1 session), a Head of School from Management (2 sessions) and a Senior Lecturer from Industrial Engineering and Science (1 session).

4.3 Planning Cycle: Review Phase (Phase 1)

4.3.1 The Planning and Resourcing Sub-Committee

This phase figured less prominently in the Sub-Committee's deliberations than the other two phases, mainly because of early difficulties in securing adequate information from the faculties and later preoccupations with Estimates and systems development. Even so, information received was critically evaluated. A review of enrolments in 1980/81, for example, exposed a lack of realism in forecasting and also threw up a significant number of weak courses requiring explanation. A review of expenditure against allocation revealed, at the same meeting held in February 1981, the underspending on Staff Development and Research.

4.3.2 The Course Administration Sub-Committee

Much was expected of this Committee by the Academic Board in the conduct of a review of academic performance but both found it difficult to establish what these expectations should reasonably be. The Committee felt hampered by the inadequacy of the information received from faculties and the Academic Board was dissatisfied with the kind of statistical analysis
undertaken by the Committee and the absence of qualitative appraisals and recommendations for improvement. Long lists of courses failing to cross critical thresholds in terms of numbers enrolled, completion rates and pass rates (the criteria were gradually tightened over the years) were produced but remedial action was left to the Academic Board. Such was the case in February 1981 for example: The Committee wishes to draw the attention of the Academic Board to these courses, and seeks the Board's advice as to how best to proceed with regard to them. No such advice was forthcoming and the Academic Board continued to accept similar reports until session 1982/83.

In February 1983 the Board suggested that the Committee should be concerned with process as well as statistical data and advised it to consider the procedures for course monitoring and evaluation proposed in the Quality Control paper originating in the Faculty of Management. The Committee had not advanced sufficiently to satisfy the Board in January the following year.

4.3.3 The Staff Development and Research Sub-Committee

The Committee was initially inclined to accept the progress reports offered by faculties at face value but became increasingly demanding. Supplementary reports were required on a number of projects at the meeting held in December 1981 and, more significantly, radical revisions were proposed for review documents so that recipients of support and their faculties could be called more directly to account. The conduct of the review was greatly assisted by revisions made to PC forms and the Committee expressed satisfaction with the manner in which they had been completed at its November 1983 meeting.

4.4 Planning Cycle: The Formulation and Updating of Strategies (Phase 2)

4.4.1 The Planning and Resourcing Sub-Committee

The Committee tackled its responsibilities with great thoroughness in 1980/81 and a completely uninhibited analysis of general issues and
individual faculty strategies was undertaken at its February 1981 meeting.
The analysis of the external environment for the period 1982-85 took
account of demographic trends, age participation rate, tuition fees for
overseas students, competition from HE institutions on both sides of the
binary line and led to the conclusion that the college was faced with
increasingly hostile conditions. The Committee advised the Academic
Board to look beyond the Planning Cycle's three year horizon and strongly
recommended the formal designation of a senior member of staff as Planning
Officer and a strengthening of promotional policies and processes. When
considering individual Faculty Strategies attention was concentrated on
proposed course developments and their resource implications. Questions
were raised about recruitment prospects and additional information was
required from faculties who had failed to cost their proposals and to
present them in prescribed form. Faculty representatives on the Committee
were also probed over apparent threats which had been neglected and
development opportunities seemingly ignored.
The Committee continued to be unhappy about the time horizon and was
critical of the strategy contained in the documents submitted to CNAA
for the March 1982 visit on the grounds of its foreshortened time horizon
and the fact that it was largely a summation of current course developments
— already in various stages of preparation. The Sub-Committee joined in
the criticism expressed by the other two the following year over variations
in the form and content of faculty strategies and expressed disappointment
over the neglect of continuity from one year to another. An increasing
preoccupation with resource utilisation performance, notably SSRs, was
more than justified by developments in the external environment (WAB and
the Audit Commission investigation).

4.4.2 The Course Administration Sub-Committee

The Committee concentrated its attention on the course and curriculum
development aspects of faculty strategies. It found it difficult to
comment during the first round of the Planning Cycle in 1979/80 because of the absence of a College Academic Policy and the unwillingness of faculties to establish priorities. In succeeding rounds it became less inhibited. Meeting in February 1981 it criticised variations in form and content and established general criteria for assessing course portfolios and new developments. Portfolios were required to meet identifiable national and local needs. New proposals were expected to fit in with corporate and faculty strategies, and be capable of achieving internal and external validation as well as attracting students in sufficient numbers. While satisfied that the criteria were being met the Committee was less confident about the question of overall curriculum planning for the future which required a more adequate information base.

The kind of curriculum planning included in the documentation for CNAA visit did not draw a reaction from the Committee on 2nd March, 1982. The documentation in general, however, drew favourable comment as did the general direction in which the college was moving.

The assessments offered the following two sessions were more critical.

As already indicated, variations in form and content attracted criticisms from all three sub-committees in 1983. Faculty strategies were subject to detailed scrutiny the following year in a paper prepared by the Chairman and Secretary for a meeting held in February 1984. Many of the comments, such as a tendency towards a self-satisfied stance verging on the complacent, were disparaging and felt by many members of the Academic Board to be gratuitous. It was not so much that the targets were wrongly chosen but that the Committee gave the impression of insensitive nit-picking, an impression heightened by the absence of a general evaluation.

4.4.3 The Staff Development and Research Sub-Committee

This Committee also got into its stride in the second round of the Planning Cycle. Meeting in February 1981 the faculties were criticised for failing to develop a more proactive approach to staff development and research.
In the Committee's view far too much reliance was placed on the initiative of individuals and too few proposals derived from an analysis of faculty and corporate needs. The Committee was pleased to learn, however, at the same meeting that the Assistant Principal (R) was preparing a consultative document on APPLIED RESEARCH, CONSULTANCY AND PROFESSIONAL ACTIVITIES. The absence of a policy and procedures approved by the Authority was considered to be a major inhibition to the development of these activities.

The Committee valued the documentation prepared for the CNAA visit and was in sympathy with the general thrust of the Strategies which gave prominence to staff development and research.

The most trenchant criticisms of faculty strategies the following year came from this Committee (see Appendix O) which sought on 17th February, 1983, without success, to get them amended or completely rewritten.

When the Sub-Committee came to consider Faculty Strategies on 16th November, 1984 it found its task considerably simplified by the adherence of all faculties to the new guidelines (see Appendix K) and applauded the uniform manner in which they were presented. Discussion took the form of an elaboration by each faculty representative of faculty policy on Staff Development and Research, all of which were received without adverse comment.

4.5 Planning Cycle: Programmes and Estimates (Phase 3)

4.5.1 The Planning and Resourcing Sub-Committee

This was the phase in which the Committee came into its own and it quickly demonstrated its intention to take its responsibilities seriously.

Two whole days were taken in June 1980 to complete the exercise which included discussions with Deans and those responsible for extra faculty services. The outcome was a comprehensive report which criticised student projections (seen in many instances to represent aspirations rather than reasonable expectations) and highlighted the immediate problem of resourcing approved course developments in the Faculty of Art and Design.
As a result of the Committee's interventions modest but significant re-
allocations were made.

In view of the difficulties of adjudicating on competing claims on
resources during a period of financial constraint the Committee put a
great deal of effort into establishing priorities and criteria for
Revenue and Capital allocations and in evaluating the resourcing
implications of major new course developments.

For most of the period under consideration revenue allocations were
historically based but set against four categories of priority for course
development with increasing emphasis given to related student numbers.

In an effort to introduce a more sophisticated basis for allocation a
Working Party was set up in January 1983 to tackle the problem and it
proposed a formula based on staff and weighted student FTEs which after
much discussion, exemplification and refinement was approved by the
Academic Board in March 1984. Application of the formula produced
relatively minor changes only in the allocation for 1984/85 which favoured
Art and Design and Management at the expense of the two technology
faculties.

The consideration of capital allocations was complicated by changes in
Local Government Finance for the Financial Year 1982/83 (as a result of
which the Authority required the college to bid with other colleges for
major capital items; minor capital items were to be financed out of an
enlarged Revenue Budget) and the appearance of 'windfall' capital
allocations (see page 511). The need was recognised for procedures for
channelling a 'rolling' major capital programme through the Planning
Cycle system and proposals prepared by the Chairman were approved by the
Committee in March 1982 and the Academic Board in June. The procedures
were first applied in October 1982 to bids amounting to £198,000. They
were converted into a prioritised list of £148,700 employing six criteria
giving prominence to course development and student recruitment. The
allocation for 1983/84, a single item costing £5,750, was not made known until June 1983 and prompted a strong reaction from the Committee which asked the Principal (his own representative on the Committee) to seek urgent talks with the LEA. This he did and aided by judicious scheduling of bids for the following financial year (a general claim of £50,000 - £70,000 with special allocations of £30,000 and £20,000 respectively for three years to support the B.Eng. degree and the Higher Diploma in Film and Video) succeeded in securing £59,500 (c 50% of the submission). The additional sums provided in the Revenue allocation for minor capital items fell far short of the claims generated by the faculties (1982/83: £61,500 against £20,000; 1983/84: £109,500 against £24,000; 1984/85: £70,250 against £25,000). The problem of reconciliation was solved with the aid of the Finance Officer who suggested a set of criteria giving prominence to student recruitment (notably to advanced full-time courses), distribution of benefit across faculties, equity (notably past distributions) and undertakings to validating bodies.

The Committee accepted the principle from the outset that course developments should normally be internally resourced. Only courses designated exceptional developments by the Academic Board could claim additional resources. Such was the case with the B.Eng. and Higher Diploma in Computing with which the Committee had considerable difficulties. When the proposals first appeared before the Committee in November 1981 Senior Management were asked to undertake a detailed scrutiny of their resourcing implications. The Committee was still not satisfied in January 1983 that it had all the information necessary for a proper evaluation and further reports were asked for from the Assistant Principal (R), Technical and Finance Officer. These were made available on 5th May, 1983 and their recommendations accepted on the understanding that Faculty ISST raised its SSR to levels comparable to similar faculties in like institutions.
4.5.2 The Course Administration Sub-Committee

The Committee found itself in difficulties for the first two runs of the Planning Cycle because of incomplete information and poor attendance. Over time it became increasingly less accommodating. In May 1982 a number of course development proposals were referred back for more attention or turned down flatly. The tough stance was maintained in succeeding years and the Committee refused to approve proposals not accompanied by sufficient information to allow detailed appraisal. Those which did and could be internally resourced were readily supported. The number had been reduced to a trickle by May 1984 with the result that attention turned to ways of improving the presentation of information for Phase 3.

4.5.3 The Staff Development and Resource Sub-Committee

The major task confronting the Committee was reconciling bids against allocation. The convention was established of completing Phase 3 in two stages. Programmes were first subjected to general evaluation and individual proposals approved or rejected in principle at a meeting held during the third academic term. Faculties were advised of the outcome and also the anticipated gap between total claims and anticipated allocation and asked to prioritise projects in time for the final reconciliation to be made during the first term of the following academic session.

The task of reconciliation was straightforward for the Financial Years 1980/81 and 1981/82 because of modest levels of activity and the boost provided to the budget by 'CNAA money' (raising it to £75,000). In the following years a major expansion in activity combined with a budget cut (reducing it in 1982/83 to £54,000) made the task extremely difficult. Various criteria were developed to reconcile bids against allocation, prominent among which was the ability of a faculty to demonstrate links between proposals and the priorities identified in their strategies. Following an initiative taken by the Faculty of Management it became a
requirement for all faculties to accompany their bids (submitted in standard form) with a general supporting statement.

The authority developed by the Committee was such that its recommendations were rarely challenged. Its failure to accommodate a request from the Faculty of Education in September 1983 for support for a major programme of secondment into primary schools was challenged, however. While acknowledging the seriousness of the problem the Committee found it difficult to see how the Staff Development and Research Budget could finance the alleviation for updating without seriously threatening the programmes of other faculties and advised staff to accept responsibility for their own updating. The Faculty was unhappy with this response and challenged it at a meeting of the Academic Board on 20th October, 1983. The Board upheld the decision of the Sub-Committee.

4.6 The Involvement of the Sub-Committees in Corporate Planning

As will be demonstrated, the Sub-Committees had a minimal involvement in corporate planning which was seen to be the responsibility of Senior Management.

4.6.1 Corporate Plans

Three statements afforded the status of corporate plans were prepared during the period under consideration. The first COLLEGE DEVELOPMENT AND RESOURCES, was prepared by Senior Management for a special meeting of the Board of Governors held on 29th November, 1979 (for details see pages 507-508 below). It represented the most explicit single statement of college academic policy up to that time, was well received in the college but not formally considered by the Academic Board or its Sub-Committees. The second was contained in the documentation submitted to CNAA for the March 1982 visit and considered by the Sub-Committees, who welcomed its appearance. Only Planning and Resourcing subjected it to critical examination, however, by questioning the short-term horizon and the tendency to produce compendia.
The third was the Corporate Strategy approved by the Academic Board on 28th April, 1983 (for details see pages 477-479). This also received detail examination from one sub-committee only. Planning and Resourcing considered it on 28th June, 1983 and focused its attention on improving SSRs. The remedy was seen to lie with improved student recruitment and the Academic Board was advised to seek ways of improving the college marketing effort. It was also agreed that the Assistant Principal (R) be asked to attend the next meeting in order to discuss Faculty targets and ways of developing better SSRs. Pressures on the Committee's agenda delayed his appearance until 26th June, 1984 by which time the Value for Money Exercise conducted by District Audit had further raised the significance of performance indicators over and above that already signalled by WAB.

4.6.2 The WAB Planning Exercises

Again the only Sub-Committee to concern itself with the above was the Planning and Resourcing Sub-Committee and its involvement was very limited. The existence of the letter sent out by WAB in August was made known at the meeting held on 6th October, 1983 and an indication given that a 5% cut amounted to £220,000. Details were also given of the special meeting of the Academic Board called for 12th October, which was to receive proposals from Senior Management. When the Sub-Committee met on 26th June, 1984 it was brought up-to-date with the most recent developments, including the intended visit of the Chairman and Secretary of the WAB Board to the college on 5th September, but there was no discussion of the student targets proposed by WAB or Faculty responses to them.

4.7 The Computer Services Committee

This started its life as a Computer Steering Committee and did not owe its existence to the Planning Cycle but had its origins in a paper prepared by the Dean of the Faculty of Science and Technology, submitted to the Academic Board via Senior Management in March 1979. The Committee,
chaired by the Dean, was free to devise its own terms of reference and was initially preoccupied with reviewing faculty needs and allocating £30,000 earmarked by the Board of Governors for computer development. This sum was originally thought of as the first tranche of a larger special allocation which did not in fact materialise because of cuts. The task was accomplished following three meetings in 1979 after which the Committee largely fell into disuse. Such was the shared concern over lack of development in June 1981 that the Academic Board called for a paper which, after discussion at Senior Management, was prepared by the Assistant Principal (R) and presented to the Board in November 1981. The report, based on a needs/means analysis recommended the replacement of the Computer Steering Committee by a Computer Services Committee to be chaired by the Head of School of Computing with two representatives from each faculty plus the Librarian and Computer Manager. Explicit terms of reference were provided which required the Committee to offer advice on user needs, systems development, procurement and location of hardware and software, the operation of a tutorial advisory service for staff and significant developments in other colleges.

The Committee, which met for the first time in March 1982, was convened on an ad hoc basis, was subject to variable attendance (see Appendix F) and remained uncertain of its role throughout the period under consideration. Early meetings were preoccupied with preparations for the installation of a mini-computer on the 'A' site. After successful installation in the summer vacation of 1982 faculty representatives, notably those from the 'A' site, pressed for a better needs-related service. Complaints were regularly presented over the absence of simple user guides for academic staff and the inadequacy of technician support. Both were being given management attention in 1983/84 but to little visible effect. One of the major roles assigned to the Committee by the Academic Board was the vetting of proposals for the purchase of major items of computer equipment prior to
their consideration by the Planning and Resourcing Sub-Committee. Problems were experienced in synchronising meetings and in obtaining adequate information from faculties. Even when the proprieties were properly observed the Committee found it difficult to influence the final outcome. Such was the case, for example, with the Faculty of Management's proposals for spending £12,000 on a microcomputer suite. When first considered by the Committee in March 1982 doubts were expressed over the choice of equipment but the ultimate responsibility was seen to lie with the Faculty. The Planning and Resourcing Sub-Committee was made aware of these reservations and others and referred the proposal back for reconsideration. Three options were considered on 5th May, 1982, including the original one and this was the one confirmed, under pressure, as the only one acceptable to the Faculty.

By February 1984 the lack of status of the Committee in the college was such that only 4 were present, including the Assistant Principal (R), attending for the first time as the Principal's representative. It was agreed that a Working Group consisting of the Chairman, Secretary and Assistant Principal should conduct an audit of computer services and review the Committee's role. These tasks were not completed until the 1984/85 session.

5. THE ACADEMIC BOARD

5.1 Role and General Conduct of Business

The new corporate planning system was designed to establish the Academic Board as the supreme academic policy-making body in the college and was welcomed as such by the CNAA, who believed that it would also assist in the further vertical and horizontal integration of the institution (see Chapter 9, page 377).

As will be shown below, the introduction of the Planning Cycle served to highlight the corporate responsibilities of the Academic Board and it
soon became accepted that all significant policy decisions required its approval. Policies rarely originated with the Board, however. The two major sources of initiative were the Faculty Boards and Senior Management. Initiatives from the Faculty Board were generally filtered through the Academic Board's Sub-Committees who were expected to take a 'corporate view' and advise the Board accordingly. Initiatives originating with Senior Management, which were generally presented to the Academic Board as discussion papers, were produced either at the request of the Board or one of its Sub-Committees or in response to a need identified independently by the team or one of its members. Members of Senior Management were expected, by virtue of their membership of the Academic Board and its Sub-Committees to have a major influence on the formulation of policy. The interface with Senior Management was important, however, not only for policy initiation but also for implementation, monitoring and control. It was to Senior Management that the Academic Board looked for the execution of policy and meetings of the Board provided staff with opportunities for monitoring executive action or inaction.

The Academic Board also provided an interface between the Faculties, the College and the external environment, notably the Board of Governors and the Local Authority. On the one hand the Principal was expected by the Board of Governors to seek advice from the Academic Board on the preparation of estimates and the general resourcing of college activities and on the other he was expected by the Academic Board to keep it regularly informed of changes in the immediate and wider external environments having significance for the college.

The frequency, nature and conduct of meetings were strongly influenced by the needs of the Planning Cycle. Meetings were generally well attended, with students being the most irregular, attending in force only when the agenda contained items of special interest to them. Members of Senior Management rarely missed a meeting and the pattern of attendance from
faculty representatives was as shown in Appendix F. Heads of School formed the majority of elected representatives. Agendas were generally a mixture of standard and special items. The main standard items were Faculty Board Minutes (with discussion focused on 'starred' items), Sub-Committee Reports and the Chairman's report (which provided the Principal with an opportunity to report on significant developments in the internal and external environments). For the most part special items were self-selecting on the basis of the attention and discussion which they warranted. Exceptionally, special meetings were called to discuss single issues.

5.2 The Academic Board and Faculty Boards
Constitutionally the Academic Board was required as far as practicable to delegate its functions to Faculties in matters not affecting other Faculties or the college as a whole and faculties enjoyed a high degree of operational autonomy. Only a small proportion of items discussed at Faculty Board were 'starred' for special attention from the Academic Board. They generally fell into one of three categories: matters outside the Planning Cycle requiring the approval of the Board (eg. changes in organisational arrangements), claims for resources (the Board was used as an arena, both within and outside the Planning Cycle for pressing the claims of faculties for greater revenue and capital allocations, better accommodation and improved support services), and significant faculty developments having wider corporate ramifications (eg. the 'Microelectronics Revolution', the Finniston Report, relations with the Regional Management Centre, Open and Distance Learning).

5.3 The Academic Board and the Planning Cycle

5.3.1 Systems Integrity
Since the Planning Cycle and Academic Sub-Committee Structure were largely designed to enable the Academic Board to play its full role as the supreme academic policy making body in the college, the Board had a vested interest in maintaining the integrity of systems and improving
their performance. Representations from the sub-committees, on both
counts, were therefore taken seriously by the Academic Board. Despite
improvements in operation, it continued to be necessary for sub-committees
to invoke the aid of the Academic Board in clarifying or improving
procedures and in obtaining executive action. Among Senior Management
the Principal and Assistant Principal (R) were seen to have a special
responsibility for maintaining the integrity of the Planning Cycle and
the opportunity was taken by them each academic session, especially during
Phase 2, to remind members of the Board of its significance for the
management of the college.

5.3.2 Planning Cycle: Phase 1
The integrity of the Review Phase depended very much on the thoroughness
with which faculties prepared, analysed and presented the statistical
information required of them. It was intended that the Faculty Boards
should identify areas warranting special attention on an exception basis,
and offer explanations for exceptional or sub-standard performance. Fed
with such information the Sub-Committees would arrive at a 'college view'
and advise the Academic Board accordingly. It proved less easy to operate
this model than had been expected, initially because of problems with
information but also because of the mode of operation of the Faculty
Boards and Sub-Committees. As has been indicated (see page 461) the
Course Administration Sub-Committee failed to satisfy the Academic Board
in either 1982/83 or 1983/84 over its conduct of this phase. As has also
been demonstrated, fewer problems confronted the other two Sub-Committees.
For its own part the Academic Board, while welcoming and supporting reforms
for the conduct of the Review Phase, took few direct initiatives, other
than general exhortation to increase the degree of rigour with which
reviews were completed by faculty boards.

5.3.3 Planning Cycle: Phase 2
The Academic Board provided the arena where the 'bottom-up' perspectives
of the Faculty Boards, brought into corporate focus by the Sub-Committees,
were reconciled with the 'top-down' views of Senior Management. It was intended that Faculty Strategies should express the former and the College Corporate Strategy or Plan the latter. In the absence of a strongly articulated top-down view the initiative would rest primarily with the Faculties and the Corporate Strategy would emerge as a compendium of Faculty Strategies. This was largely the position during the early years of the operation of the Planning Cycle and openly acknowledged to be so in the documentation prepared for the CNAA Institutional Visit. (see section 6 below). The intention was also made known to CNAA of introducing a stronger 'top-down' component into corporate planning. To the extent that a College Corporate Strategy, per se, was produced for the first time and that the Sub-Committees of the Academic Board adopted a more openly interventionist stance the intention was, to a certain extent, fulfilled. Even so, the major initiatives continued to originate with the faculties.

5.3.3.1 Faculty Strategies
In the absence of a College Academic Plan or agreed corporate criteria for the assessment of Faculty Strategies, each of the Sub-Committees, during the session 1979/80, saw no choice but to assess the strategies on their own terms. The Academic Board accepted this view and also the judgement of the Sub-Committees that the strategies were consistent with the criteria chosen by each Faculty.

As has been demonstrated in section 4.4, the Sub-Committees proved less accommodating in succeeding years and the Academic Board invariably endorsed their approvals and criticisms. These endorsements were not accompanied, however, by strong resolutions requiring prescribed remedial action, a preference being shown for gentle exhortation. Such was the case, for example, on 18th March, 1983 when questions were raised over the general commitment of staff to the Planning Cycle as the result of the unanimously critical reports received from the Sub-Committees on
variations in form, content and lack of continuity between one year and another. The Chairman emphasised that the preparation of strategies should not become an annual ritual to fulfil the requirements of the Cycle. Following an extended discussion the Board concluded that its effective operation largely depended on the commitment of staff involved ... reaffirmed its support for the Planning Cycle and accepted the recommendations contained in the Sub-Committee reports concerning the faculty strategies. It also agreed that clearer guidelines should be prepared to assist faculties in the preparation of their strategies. Adherence to new guidelines (see Appendix K) greatly assisted the task of the Academic Board and its Sub-Committees in 1983/84. At the meeting held on 14th March, 1984 the Board noted that all Committees welcomed the improved and uniform presentation of strategies. Following consideration of the comments received from Sub-Committees each Dean was asked to speak to his Faculty's strategy and to provide an assessment of its current state of development. The conclusion reached by the Academic Board was that three faculties were close to achieving the course profile considered to be appropriate whilst two (IES and ISST) were still in the stage of course development. All were continuing to consolidate and, where possible, improve the quality of existing courses. There remained a number of shared problems requiring attention across the college, the most important of which were quality control, staff development (notably in Information Technology), resource utilisation (SSRs), open and distance learning and accommodation.

5.3.3.2 Corporate Strategy

As has been demonstrated in 4.6.1 above, three statements afforded the status of corporate plans were prepared during the period under consideration. The first two were primarily directed at audiences other than the Academic Board. While endorsed by the Board, members had no involvement in the preparation of COLLEGE DEVELOPMENT AND RESOURCES
reported to it on 21st February, 1980 and limited influence on the form and content of the strategy which appeared in the CNAA Document presented on 10th February, 1982 (see section 6.1 below).

The document PRINCIPAL'S PROPOSALS FOR A CORPORATE STRATEGY FOR THE THREE YEAR PERIOD 1983/84 TO 1985/86, presented on 28th April, 1983, was addressed specifically to the Academic Board. It had been prepared for the Principal and Senior Management by the Assistant Principal (R) and approved by them prior to submission to the Academic Board. The document was written in eight sections.

Section 1, an introduction, considered the 'state of the art' of planning in the college, reviewed performance in the light of the CNAA submission and identified major changes in the external environment. It was acknowledged that the main weakness of the strategy presented in the CNAA documentation was the level of generality and the absence of targets and specific courses of action for which individuals or groups of individuals could be held accountable. The intention, therefore, was to establish a tighter corporate planning framework leading to the production of college and faculty strategies which would:

a) specify objectives;
b) identify the means by which objectives might be achieved;
c) prescribe the actions necessary to ensure effective implementation of the chosen strategy.

Judged by the intentions declared to the CNAA performance was seen to be variable. On the credit side the achievement of five-year approval from the CNAA, improvements in administrative support, building developments in prospect, course approvals from RSI and RAC and the installation of a new mini-computer were cited. Against these had to be set, however, a disappointing failure to exploit strengths and remedy weaknesses. Concern was expressed over student recruitment, the promotional effort, resource utilisation performance and the tendency for the Planning Cycle to become a meaningless ritual rather than a framework of accountability. The two most significant changes identified
in the external environment were the reliance placed by the Government on the public sector for providing access to HE and the creation of WAB. Section 2 'Assumptions and Scenarios' set down a range of assumptions and scenarios about which the Academic Board was asked to make judgements. The Board was informed that since the strategy selected depended in large measure on the assumptions made about what the future was likely to bring and the probabilities attached to anticipated events, it was necessary to make a choice among a number of scenarios. These were constructed by permutating 'least favourable', 'most favourable' and 'middle ground' versions of assumptions about demographic trends, government policy, the policy of the LEA and the general level of economic activity.

Section 3, devoted to 'Corporate Objectives', distinguished between a primary objective and seven secondary objectives on which achievement of the primary objective was seen to be dependent. The primary objective was to secure the future of the college post-1985 as a major higher education institution in Wales. The secondary objectives may be found in Appendix P which also lists the options identified for achieving them.

Section 4 was given to an assessment of the external environment and was virtually identical to that offered in Chapter 3 of the CNAA submission (see Appendix H3) except for the appearance of WAB. It was pointed out that WAB could be regarded both as a threat and an opportunity - the choice being a matter of perception. Cash limits and the application of increasingly stringent SSR's presented a serious threat to those colleges unable to achieve prescribed resource utilisation norms. Those capable of establishing reputations for efficient resource management and high quality provision, however, could benefit from the programme of course rationalisation which was a major part of WAB's brief.

Section 5, an assessment of the internal environment also resembled, with changes in emphasis, that submitted to CNAA (see Appendix H3). The identification of weaknesses, however, was more sharply focused:
problems with validation, weak SSRs, inadequate promotional effort, failure of the Academic Board and its Sub-Committees to exert the degree of influence intended on policy formulation and implementation, and the failure of applied research and consultancy to get off the ground.

Section 6 examined the options available for achieving seven main objectives and are presented in full in Appendix P since they aroused such strong hostility from one Faculty Board (see pages 436-437 above).

Section 7 suggested a framework for selecting a preferred strategy. The Academic Board was asked, on the basis of the analysis provided and the options identified, to determine the following:

1. Key assumptions adopted together with an evaluation of their sensitivity.
2. Selected options.
3. Policy implications.
5. Contingency planning.

Section 8 indicated how the Corporate Strategy was intended to influence the conduct of Phase 3 of the Planning Cycle by the Faculty Boards.

While it had set out to provide a more explicit corporate framework for faculties the Corporate Strategy did not go so far as to prescribe targets for them. It was left to Faculty Boards to recast their programmes for Course Development, Staff Development and Research and Marketing, Promotion and Goodwill in the light of the agreed Corporate Strategy and to specify targets for each programme, together with an indication of the person(s) responsible for their achievement.

The document was approved by the Academic Board with only minor textual modification and referred ... to the Deans of Faculty and Faculty Boards for appropriate action. When the belated critical assessment of the Faculty of Management was received on 19th January, 1984 it was simply noted and not discussed.
5.3.4 Planning Cycle: Phase 3

The Sub-Committees exercised the greatest influence in Phase 3 of the Planning Cycle and, as has been demonstrated, the Academic Board relied heavily on the groundwork completed by them and was generally ready to accept their recommendations both on the allocation of money and on the improvement of systems. When the Sub-Committees ran into difficulty or felt that they were not securing the positive responses which they expected, the matter was referred by the Academic Board to Senior Management. Such was the case with the resourcing of the Electronic and Instrumentation Systems degree and the BEC/TEC HND in Computer Studies, for example. The Planning and Resourcing Sub-Committee became increasingly less inclined to rely on the resourcing projections supplied by the faculties, particularly on staffing, and required the Assistant Principal (R), as a matter of routine, to conduct a staff audit with Deans to authenticate estimates. In this the Sub-Committee had the full support of the Academic Board.

When a Sub-Committee appeared to be at odds with a Faculty Board the Academic Board invariably backed the Sub-Committee.

5.4 Other Major Preoccupations

5.4.1 Environmental Scanning

Given its level of turbulence the Academic Board was naturally watchful of developments in the external environment and was aided in this task by the Chairman's report. Among the developments reported by him or of sufficient importance to merit a special agenda item or special Board meeting the following were the most significant.

A close watch was kept on developments in the management and funding of HE. A special meeting was called on 22nd September, 1981 to determine the Academic Board's preference among the alternative models proposed for Wales. Preference was expressed for minimal modification as described in the Welsh Office document but concern was expressed over levels of
institutional representation and the degree of autonomy allowed college managers.

Details of College Estimates, as determined by the Local Authority, were awaited with great interest each year and attempts were made at key points in the financial calendar to assess the prospects of the college by interpreting information emerging from County Hall. The Principal's antennae were well directed and the Academic Board duly alerted. Such was the case with the District Auditor's Value for Money study and he warned the Board in March 1984 that since it related to the 1982/83 Financial Year it was bound to produce an unflattering report on resource utilisation performance.

As a major teacher training institution in Wales it was necessary to keep track of all major developments in government policy for ITT. Consideration of Circular Letter 2/82 (see page 454), for example, merited a special meeting at which the preferred responses of the Faculty of Education were discussed. Despite major reservations expressed by members of the Academic Board over the incompatibilities between the position taken up by the Faculty of Education and the guidance being offered by the Welsh Office, particularly in relation to the Secondary and Middle school age bands, the Board nevertheless approved the proposals without modification for submission to the Secretary of State.

5.4.2 Academic Development

Normally considered, as appropriate, within the Planning Cycle, some developments were considered sufficiently novel or important to merit special attention. Such was the case with the following, the first two of which were subject to reports by working parties set up by the Academic Board.

The Working Party set up in October 1981 on Open and Distance Learning presented an interim report in March 1982 and a final report in October 1982. The Board was given a comprehensive review clarifying terminology,
reporting piecemeal development within the college, addressing fundamental
issues such as educational justification, nature and size of the potential
market and resourcing implication, and offering 10 recommendations. The
report was welcomed but following extended discussion it was left to each
faculty to consider it within the context of its own strategy with
particular reference to staff resources and training. While leaving
initiative largely with faculties the Board nevertheless kept prompting
Senior Management (April, June and October 1983) to develop a corporate
policy, but to no avail. All the Board could do, as it did in January
and March 1984 when welcoming the MSC funded developments in the Faculty
of Industrial Engineering and Science, was to emphasise yet again the
need for Senior Management to monitor progress on a college basis, a
responsibility which Senior Management accepted but did not act upon.
The Working Party set up to examine Continuing Education struggled after
three poorly attended meetings to produce the report presented by it to
the Academic Board in June 1981. The Board recognised the significance
of the development, accepted the need for an Adult and Continuing Education
Committee but asked for an action programme before proceeding further.
It took a year for the response to appear and even then was viewed more
as a progress report than one which could be acted upon. Given the lack
of progress the subject ceased to claim corporate interest.
With INSET the Academic Board resisted attempts by the Faculty of
Education to set up a College Committee and called for stronger executive
action (see page 441).

5.4.3 Organisational Development

The Academic Board was implicated in varying degrees in the organisational
changes which took place during the period under consideration. Its
permission was required for the changes in the titles of the Faculties
of Education (to Education and Combined Studies) and of Management (from
It was kept informed rather than consulted on the changes in management structure which followed upon the death of the Assistant Principal in November 1979 and which resulted in the division of the Faculty of Science and Technology in September 1982. These were major changes requiring authorisation from Governors. Minor adjustment, however, such as the transfer of staff between schools, were seen to require the sanction of the Academic Board.

5.4.4 The WAB Planning Exercise
The two exercises conducted during the academic session 1983/84 warranted special meetings of the Academic Board. The first, held on 12th October, 1983 considered a paper prepared by the Principal on behalf of, and following consultation with, Senior Management. The paper represented the first stage in the preparation of a response to the circular letter sent out by WAB in August, the final version of which was to be agreed at a meeting of the Board of Governors to be held on 21st October, 1983. It was divided into four sections. The first explained why the exercise was being undertaken and the means chosen to complete it. The second section drew attention to the poor resource utilisation performance of the college and the need to improve Student/Staff Ratios irrespective of WAB. Section 3 presented the student projections for 1984/85 based on 1982/83 funding. These showed a 37% increase in full-time equivalent numbers over 1982/83. Section 4 projected student numbers for 1984/85 on the assumption of a 5% reduction in funding and considered the means by which the reduction might be achieved. The projected student numbers for 1984/85 remained the same for both level funding and a 5% cut.

Of the various means considered for achieving the cut of £219,000 only one was seen to be capable of producing such a large figure - a reduction in academic staffing. A preference was expressed for adjustment achieved by natural wastage and voluntary redundancy but there was a clear intention to identify the areas where staff were surplus to requirement. Indeed,
each faculty had been required to indicate how target staff reductions were to be achieved and these exposed the areas and therefore the staff at greatest risk. It was this threat which provoked the anger of staff although it was the impropriety of procedures, notably the lack of consultation and discussion at faculty level, which provided the basis for protest. This was made at the beginning of the meeting but did not prevent consideration of the paper and the proposals based on level funding were approved. When the Board came to consider the 5% cuts, however, four members withdrew from the meeting (on the instructions of their NATFHE branch). Those remaining approved the submission of the same student projections for the 5% cut as for level funding but asked that the Board's grave concern be conveyed to the Governors over the implications of what was proposed. As originally intended by Senior Management, the document prepared for Governors conveyed the same basic messages but differed considerably in emphasis. Attention was drawn to: the place of the college in the general economic infrastructure of the area and the position established as a centre for microelectronics following major investments in staff and equipment; the likely pressure on resources and threats to quality from the expansion envisaged; the distress and disruption likely to be caused if staff reductions were not properly negotiated and sensitively handled; and the general magnitude of the threat facing the college, the only significant provider of Higher Education in the County. The final version approved by the Board of Governors was further amended (see pages 516-517 below).

The second special meeting held on 6th July, 1984 was called to consider the response prepared by Senior Management to the student targets allocated by WAB to the college for 1985/86. More time was available for internal consultations and the Academic Board was therefore faced with a relatively straightforward and uncontroversial task. The report presented was seen to represent the basis of a strong response to WAB and it was agreed that a copy of the final document (see Appendix L), to be prepared
by the Assistant Principal (R) and appropriate senior colleagues, should be circulated to all members.

5.4.5 Recurrent Operational Problems

When these became sufficiently obtrusive they were generally afforded special item status. Such was the case, for example, with Publicity and Promotion and Reprographic Services.

In response to growing concern among the faculties (see section 3.5.2) the Vice Principal, who had managerial responsibility for Publicity and Promotion, was asked by the Board in November 1980 to prepare a policy document which, on receipt a month later, was referred back for more detail. The Assistant Principal's (R) aid was sought and a new document produced which was approved by the Board in February 1981 (see Appendix G). Despite its formal adoption, difficulties continued to be experienced and were drawn to the attention of the Academic Board from time to time.

The provision of adequate photocopying facilities aroused strong passions among staff, notably on the 'A' site which was subject to staffing and equipment failure problems in 1980/81. These were relayed through the Sub-Committee structure. The problem was taken up by the Academic Board in February 1981 via the Planning and Resourcing Sub-Committee but by the time a needs/means study had been produced for presentation in October 1981 problems were less acute. Within six months the service had settled down and was being managed successfully on a day-to-day basis under previous arrangements rather than those recommended by the Working Party.

6. THE CNAA INSTITUTIONAL REVIEW (MARCH 1982) AND REPORT

Given the significance of the Review (see Section 1.4) it is accorded a separate section and the treatment will be similar to that undertaken in Section 6 of Chapter 8.
6.1 **Preparations**

Preparations, under the direction of the Principal, started in October 1981 and the Assistant Principal (R) was given responsibility for preparing the documentation. A crucial all-day meeting of Senior Management was held on **14th December, 1981** with the purpose of agreeing a corporate planning framework and considering contingencies for a set of threatening scenarios going the rounds of HE at the time and likely to be of special interest to CNAA should one of them materialise.

The framework for discussion devised by the Assistant Principal (R) is described in Appendix I. It was intended to clarify the self-image of each faculty, while at the same time seeking a corporate self-image and also to explore the main theme of the submission to CNAA, namely critical self-awareness. Of the three scenarios posed, the second involving a 5% prospective cut was explored in greatest detail with the Deans being required to spell out how they would achieve savings. By the time of the CNAA visit the financial climate had become far less threatening and contingency planning largely forgotten (although the fact that it had been attempted was made known to CNAA during the visit).

The college was visited on **21st January, 1982** by CNAA officers (Registrar and Assistant Registrar, Institutional Reviews Unit) and agreement reached without difficulty on the arrangements for the Review and the kind of documentation to be prepared for it. A complete draft was in the hands of Senior Management before the end of January and the final version was presented to the Academic Board on **10th February, 1982** (for an outline of contents see Appendix II). Final preparations for the visit included a 'dummy run' conducted by the Principal, Vice Principal and Assistant Principal (R) which took the form of a visit by one of the three to special meetings of the Faculty Boards when answers to key questions arising out of the documentation were sought, developed and rehearsed. The opportunity was taken in preparing the documentation to review the
development of the college since the merger and to prepare a new corporate strategy. In view of their significance these are given more extended consideration.

6.1.1 Interpreting the Past

Critical self-awareness was seen to involve placing the present condition and future aspirations of the college in the context of past developments and the opportunity was taken at a number of points to interpret the present in the light of the past, most significantly in the consideration of Academic Policy (this appeared in Chapter 3, the central and most substantial section of the Main Document - see Appendix H2). The development of academic policy since the merger was seen to fall into three phases.

During Phase 1, covering the period from September 1975 to the first quinquennial review of March 1977, the college had been preoccupied with developing advanced courses, particularly degrees. The programme made known to the CNAA in 1977 had raised doubts about the general awareness within the college of the implications of what was being contemplated. While it was acknowledged that such doubts were well founded, the college believed that the CNAA visitors had misunderstood the speculative nature of proposals. Within the college the proposals were thought of more as bids, reflecting optimistic aspiration, rather than strong prospects. It was known that, in view of the reluctance of RAC and RSI to approve new degrees outside polytechnics, the college faced long odds. And so it proved.

Developments during Phase 2, covering the period from March 1977 to September 1980, were seen to be directly influenced by the reports received from CNAA following the visits of March 1977 and February 1979. As a result energy had been applied to reaching an understanding with the LEA on an appropriate level of resourcing and in devising a participative corporate planning system. The difficulties of achieving a corporate
view in the face of strong cultural differences between faculties was acknowledged to be problematic, hence the care taken to avoid a centralist, prescriptive, mechanistic approach likely to stifle initiative and reduce responsiveness to changing circumstances. The faculties were acknowledged to be the major sources of academic initiative and their strategies the basis for corporate planning. The absence of a College Strategy and the reliance on Faculty Strategies, though an acknowledged weakness, was a price deemed necessary given cultural diversity (The achievement of a corporate identity was more likely to be won through an acceptance and harnessing of diversity than by imposing an artificial uniformity), the energy and resources absorbed by course and curriculum development and the increase in the degree of uncertainty facing HE as the result of demographic trends and changes in government policy.

Phase 3, covering the period from September 1980 to March 1982 witnessed a growing concern for matching the predominantly 'bottom-up approach' with a stronger 'top-down contribution'. It was admitted that the absence of a more clearly defined and explicitly stated corporate strategy, from which criteria may be derived for evaluating competing proposals and ensuring internal consistency, has become increasingly obtrusive ....

Even so caveats were attached to the call for a stronger top down contribution.

6.1.2 Corporate Strategy
The remainder of Chapter 3, to which the above constituted the first part, was intended to meet the need for a more explicitly stated corporate strategy and represented a conscious effort by Senior Management, and particularly the Assistant Principal (R), to advance the technology of corporate planning. The contents (tabled in Appendix H2) are here given selective elaboration.

6.1.2.1 Strategic Thinking and Self Image
This section identified the guiding principles which had informed strategic thinking and the College's assessment of its own performance in relation to each. Seven guiding principles were identified.
1. To broadly maintain the range of services offered by the three independent colleges prior to the merger, within a polytechnic-type institution.

2. To establish the College in the eyes of the local community as a valuable and easily accessible resource centre.

3. To maximise the goodwill enjoyed by the College from those clients directly served by it and also by other individuals and agencies capable of influencing its future.

4. To establish the reputation of the College in selected areas as a specialist centre capable of attracting part-time students from a wide catchment area (i.e. within one hour's travelling time) and full-time students from home and abroad.

5. To create and take advantage of opportunities which arise from time to time to co-operate with other colleges in both the Non-Advanced and Advanced (on both sides of the binary line) sectors of FE, to the mutual advantage of the College and its partner(s).

6. To increase the amount of research and consultancy undertaken in the College.

7. To create a working environment for staff which promotes their professional and personal development, increases their identification with and value to the College, and improves their job satisfaction.

While successes were highlighted no attempt was made to hide gaps between performance and aspiration where they existed. Similarly the general assessments made of the external and internal environments sought to highlight difficulties rather than evade them (see Appendix H3).

6.1.2.2 Client Orientation

Clients were divided into two groups, external and internal. Three outputs were provided for the first group in the form of learning opportunities for students, research, and consultancy and one for the second in the form of professional and personal development opportunities for academic staff. While it was accepted that the college was primarily a teaching institution concerned with providing a wide range of learning opportunities, generally in the form of advanced poolable courses, to students attending on their own behalf or sponsored by their employers, it was hoped over the following three years to establish and develop an Applied Research and Consultancy service made available to clients on
economic terms. The development of such a service was seen to be necessary for the attraction of high calibre academic staff to the College and essential for its continuing credibility as a major resource centre and integral part of the economic infrastructure of the County.

6.1.2.3 Effectiveness and Efficiency

The college intended to promote Effectiveness and Efficiency by:

1. Giving a high priority to improving quality control, particularly of courses, through:
   a) fastidious completion of the review stage of the planning cycle;
   b) systematic evaluation of course condition in terms of the need to undertake maintenance, enhancement, major revision or replacement (the impact of microtechnology being an obvious case in point);
   c) positive response to complaints, critical examiners' reports, etc., and also to exceptionally favourable comments from clients, examiners, etc.;
   d) supportive staff development programmes.

2. Achieving the following target Student Staff Ratio during the session 1982/83:
   - Faculty of Art and Design  8:1
   - Faculty of Science and Technology  9:1
   - Faculty of Education and Management and Administration  11:1

3. Increasing the income generated from economic courses and applied research and consultancy by 50% over the following three years.

6.1.2.4 The College and its External Environment

Four ways were identified for promoting college interests.

1. All staff share a responsibility, through their professional performance and personal relations, for maintaining the goodwill enjoyed by the College from those clients directly served by it and also by other individuals and agencies capable of influencing its future.

2. Staff should be encouraged to participate in the work of local branches and national committees of professional bodies and become involved in the activities of regional and national educational agencies and fraternities. The personal networks established by individuals are regarded as valuable links with the external environment.

3. The College should create and take advantage of opportunities to co-operate with other colleges in both the NAFE and AFE sectors, and on both sides of the binary line, to the mutual advantage of itself and its partner(s).
491.

4. The highest priority should be given to the effective implementation of the Promotional Policy approved by the Academic Board in February, 1981.

6.1.2.5 Resourcing

The section on resourcing made explicit a policy framework which had been emerging over the previous five years. All developments, other than those identified by the Academic Board as 'exceptional', were expected to be financed by redistribution of existing resources. Resources should be applied to preserving the polytechnic nature of the college and avoiding assymetrical development. Staff development should be generated more directly to meet the existing and anticipated needs of the college. Priority was given to building developments on the 'A' and 'C' sites and a 20% increase called for in the promotional budget.

6.1.2.6 Faculty Strategies

These were presented in standard form, in accordance with the wishes of the Academic Board. Each was edited by the Assistant Principal (R) to ensure compatibility between strategies and also with the Corporate Strategy. Even so variations with the standard format were accepted, as is shown in Appendix H2.

6.2 The Visit, 16th March, 1982

The visiting panel consisted of the Assistant Chief Officer (Chairman), the Registrar and Assistant Registrar Institutional Reviews Unit, 2 Principals (both from Colleges of HE), 3 Heads of Department (two from polytechnics and one from a College of Librarianship), a Principal Lecturer in Art History from a polytechnic and an industrialist. After an initial private meeting the panel spent an hour with the Principal and senior colleagues exploring the development of the college as outlined in the documentation and examining the relationship between the executive responsibilities of senior management and the operation of the academic committee structure and the Planning Cycle. This was consistent with the main purpose of the visit which was to review with the college its own self-appraisal as contained in the documentation it
had submitted to the Council and at each stage of the visit the visitors explored the operation of systems and followed up issues highlighted in the documentation. For the remainder of the morning they divided into groups to meet with Faculty Boards where attention was focused on interactions between them and the Academic Board and effectiveness of communication in both directions. Immediately after lunch (attended by members of the Board of Governors and officers and senior elected members of the Authority) the visitors again divided into groups, this time to meet with the Sub-Committees of the Academic Board and the Students Union Executive. At the Sub-Committees attention focused on modes of operation and impact on decision making. Following a brief private meeting the panel then met with the full Academic Board and spent an hour in a wide ranging discussion which again pursued issues raised in the documentation but also followed up matters picked up earlier in the day, such as patterns of communication and decision making and the provision of support services, notably library services. After a further brief private meeting a verbal report was given by the Chairman and other two CNAA officers to the Principal, Vice Principal and Assistant Principal (R).

6.3 The Report
A draft was received in July 1982 and the final report in November. It confirmed the verdict conveyed to the Principal and his colleagues on the day of the visit, namely that the college was to receive the full five years approval, and offered the following general conclusion:

The visiting party was impressed with the continuing development of the College as an academic community. It endorsed the College's own appraisal of its achievements and developments and would urge the College to act upon its findings to ensure that adequate guidance was being given to the Faculties through strong leadership and further development of institutional policies. It was evident that the support from the Welsh Office and Local Authority was considerable and that they had confidence in the way the College was continuing to develop and play its part in the development of higher education courses within the region.
6.3.1 Main Recommendations

(1) The College should continue in approval and the next institutional review should take place in the academic year 1986/87.

(2) The College should pay particular attention to the fostering of academic leadership throughout the institution to ensure that its policies are implemented and its priorities established.

(3) The Academic Board should be encouraged to focus upon the operation of its academic and committee structures in terms of processes, in particular lateral communication, rather than on mechanisms.

(4) The Academic Board should consider the implications of delegating its responsibilities for academic policy and for the monitoring and maintenance of standards of courses leading to the Council's awards.

(5) The Academic Board should look for ways of developing an appropriate academic administration.

(6) The Academic Board should consider enhancement of the library provision and service in order to more effectively underpin its academic development.

6.3.2 Findings

These generally confirmed the college's own critical self-appraisal. The most critical and favourable were as follows:

The Visiting Party wished to see the Planning Cycle promote better communication and stronger academic leadership. It was felt that there was an over-emphasis on systems and procedures. The view was also taken that the responsibilities delegated to Sub-Committees and the leadership necessary to ensure that institutional initiatives occurred were possibly not yet fully understood, and thus the Academic Board was not encouraging its Committees to exercise their responsibilities.

The Panel considered the Planning and Resourcing Committee to be most effective, and it was impressed by the way in which the Sub-Committee was exercising its collective leadership role, in particular, by the way in which it was examining policies and trying to establish priorities.

The Staff Development and Research Sub-Committee on the other hand was considered insufficiently proactive and the visitors wished to see it exercise its responsibilities for ensuring that policies and priorities were established and implemented in accordance with the College's Academic Plan.
Greatest concern, however, was expressed over the monitoring and
evaluation of existing courses. Too much was left to the faculties and
there was an absence of an overall plan to monitor the work of each
Faculty or to provide guidelines to the Faculties to ensure the effective
monitoring and evaluation of their courses. The Course Administration
Sub-Committee was encouraged to devise guidelines which in addition to
statistical criteria, included criteria necessary to ensure consideration
of qualitative data and judgements in terms of the quality of the
relationship between staff and students. A number of critical observations
were made on the level and quality of administrative and technical support.

6.4 Response to the Report

Since the report endorsed the college's own appraisal of its strengths
and weaknesses attention will be focused on the response at each level
of the organisation to the more critical observations.

6.4.1 Faculty Boards

There is no record of the Report having been discussed by Art and Design
and was simply distributed for information to members of the Faculty of
Education's Board. A Working Party was set up in ISST to provide detailed
comment but did not report. It was formally discussed by the Boards of
Management and IES and its findings generally welcomed. Difficulties
were found in interpreting academic leadership. Support was given to
the proposals for strengthening course monitoring and evaluation. Views
differed between the two faculties over the delegation of more authority
to Sub-Committees. Faculty IES was more apprehensive than Management
whose Board noted ... evidence of the growing confidence of the Committees
and the Chairmen and wished to see them play a more positive role. The
Board believed that in view of the expectations of external bodies the
college had no choice but to operate this kind of (planning) system ... and its effective working should, therefore, be a matter of common concern.
6.4.2 Sub-Committees

The members of the Planning and Resourcing Sub-Committee, who were naturally pleased with the plaudit they had received, discussed the Report on three occasions and were largely preoccupied with improving communications, especially between Sub-Committees. Problems were experienced in interpreting parts of the report and doubts expressed over the initiatives which might be taken at Sub-Committee level. It was thought that initiatives should properly flow upwards from Course Tutors and Heads of School. It was only in certain cases that such a lack of initiative led to the Academic Board taking the lead.

The criticisms of course monitoring and evaluation were taken very seriously when the Course Administration Sub-Committee considered the Report in February 1983. A thorough review of practice within the college and elsewhere was set in motion and a major discussion paper containing 10 recommendations (see Appendix M) was presented to the Academic Board on 28th April, 1983. This was referred, without discussion, to the Faculty Boards for their consideration. They had not offered responses to the Sub-Committee by November, for which they were strongly criticised, and it became necessary for the Academic Board to intervene in January 1984. Even then it was April before a final report could be produced. The recommendations (see Appendix N) were less prescriptive than in the original report and placed a greater onus on faculties to devise their own arrangements, but with the expectation that the 'four viewpoints' would be incorporated in annual written reports. These were accepted by the Academic Board in May as an important first step. The Board expressed disappointment, however, that appropriate operational procedures had not been included in the report.

The Staff Development and Research Sub-Committee, when it considered the Report in February 1983 welcomed in particular the emphasis given to academic leadership and the adoption of a more proactive approach by the Academic Board and its Sub-Committees. The Committee was not prepared to
accept the criticism of its apparent lack of proactivity and believed that the visitors had not properly understood the evidence which pointed to failures of executive action by senior managers. The importance of implementation was underlined in the following recommendations presented to Academic Board:

a) Steps should be taken by the Chairman, Secretary and Principal's representative to promote the policies of the sub-committee more vigorously in the Academic Board and to keep in regular touch with the Chairman and Secretary of the Academic Board in order to monitor the rate of implementation of policies. Ultimately the sub-committees had to rely on the authority of the Principal, as Chairman of the Academic Board, to ensure that policies were implemented.

b) The achievement of a more proactive role depended in large measure on the success achieved with implementation. Failure to get policies implemented had proved discouraging in the past and the whole sub-committee system and planning cycle would be discredited if the response of the executive did not become sharper.

The Committee also recommended that individual members of sub-committees should play a more significant role in strengthening communications with Faculty Boards and staff within their faculties. They should become more active in representing the 'college view' as developed by the sub-committees whenever the opportunity presented itself but particularly in meetings of the Faculty Board.

6.4.3 The Academic Board

The Report was first discussed on 13th January, 1983. Following a wide-ranging general discussion which focused attention on the development of a corporate identity, the nature and location of academic leadership and communication within the academic structure, it was decided to ask for observations from Faculty Boards, Sub-Committees and the managers of educational support services before drawing up a final response for presentation to Governors. The observations were considered at the meeting of the Academic Board held on 28th April, 1983 and it was left to the Principal to prepare the formal response, copies of which were to be circulated to members of the Board (see Appendix Q). He was able
to report on 16th June, 1983 that it had been well received by the
Governors who had welcomed the developments highlighted in the Report
and had given generous support to the resource implications recommended.

6.4.4 The Board of Governors

The Board, which was the first to formally receive the Report in November
1982, was so pleased with its contents that it wished to give it wide
distribution within the Authority. The Academic Board was asked to produce
a response and one (see Appendix Q) was considered in May 1983. The
observations of the Academic Board were endorsed and the need to improve
support services, especially the library service, recognised. It was
agreed to prepare a case for the County Council but a preliminary meeting
was arranged by the Principal with the Chairman and Vice Chairman of the
Education and Personnel Committees to discuss the resourcing implications
of the Report before processing it through the normal channels. The value
of these discussions was confirmed by a sympathetic response from the
Authority reported to the Board in June 1983. In its half-yearly report
to the Authority in April 1984 the Board acknowledged improvements made
to the library service and the creation of a specialist accommodation
service for students.

7. SENIOR MANAGEMENT

The introduction of the Planning Cycle, as will be demonstrated below,
had a considerable influence on the mode of operation of Senior Management.
Meetings became more frequent (between 10 and 15 per session) and were
more formal (called by the Principal and accompanied by agendas and reports).
Discussion covered all issues regarded by the Principal as having corporate
significance and he sought to implicate his colleagues fully in corporate
decision making. Each meeting of the Academic Board was preceded by a
meeting of Senior Management which considered in detail matters arising
from previous minutes and matters arising from reports of Sub-Committees
and minutes of Faculty Boards. There were also main agenda items for which Senior Management assumed a major responsibility. The aim was to prepare thoroughly for the Academic Board, to agree on how issues were to be tackled and who would speak to them. Although there was no attempt at regimentation, the Principal preferring to use his position to steer his colleagues towards consensus, every effort was made to resolve conflict within Senior Management and to avoid its open display at Academic Board. Plain speaking and frank exchanges at meetings of Senior Management were frequently the means of defusing a potentially volatile situation. As will be shown, the Academic Board relied heavily on Senior Management to do the necessary preparatory work on most major issues and to provide a positive lead. It was also left to senior managers to negotiate with key influencing agents in the external environment. Given the importance of their interfacing roles both within and outside the college their contribution to the operation of the Planning Cycle will be considered in terms of these roles. But first consideration needs to be given to the general influence of the planning system on roles and relationships.

7.1 Roles and Relationships

The introduction of the Planning Cycle served to make more public and explicit the responsibilities falling on Senior Management and to generate pressures for a greater degree of corporate solidarity among senior managers than had previously been evident. These pressures had existed since the merger as had the general responsibility for the effective management of the new college which had been placed in their charge, but lacking a formal status, de jure, a certain ambiguity surrounded both the status and role of Senior Management, de facto. The Planning Cycle served to highlight the corporate executive responsibilities of Senior Management who were expected to: monitor and interpret the external environment, develop and maintain beneficial relations with key influencing agents such
as the LEA, WAB and Validating Bodies, accept responsibility for policy initiatives and systems development, and ensure implementation.

Although more obtrusively identified, roles and relationships required interpretation and development. Such a need was highlighted during consideration by the Academic Board in January 1983 of the elusive concept of 'academic leadership' as identified in the CNAA Report.

Discussion exposed the crucial involvement of Senior Managers in policy-making and the pervasive presence of Deans at all levels of decision making. These were highlighted in notes prepared by the Assistant Principal (R) for the meeting, which contained the following table.

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<th>Level</th>
<th>Activity</th>
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<td>Executive Arm</td>
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<td>1. Strategic</td>
<td>Policies and Priorities</td>
<td>Academic Board</td>
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<tr>
<td>(Corporate)</td>
<td>Implementation</td>
<td>and Sub-Committees</td>
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<td>Monitoring</td>
<td>Senior Management</td>
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<td>2. Strategic</td>
<td>Policies and Priorities</td>
<td>Faculty Boards</td>
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<td>(Faculty)</td>
<td>Implementation</td>
<td>Dean and Heads of School</td>
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<td></td>
<td>Monitoring</td>
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<tr>
<td>3. Operational</td>
<td>Policies and Priorities</td>
<td>Faculty Boards</td>
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<tr>
<td>(Faculty)</td>
<td>Implementation</td>
<td>Deans, Heads of School and</td>
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<td></td>
<td>Monitoring</td>
<td>Course Tutors</td>
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Within such a framework it was inevitable that the Deans in particular should be subject to conflicting pressures and loyalties which were difficult to reconcile. As a result the distinction within Senior Management between 'top' management (the Principal, Vice Principal and Assistant Principal) and 'senior' management (the rest) became more evident with the former attempting to hold the latter increasingly to account, particularly for resource utilisation performance.
7.2 Interfacing with the External Environment

7.2.1 The Board of Governors and the LEA

This interface was, of course, of particular importance to the Principal who was both accountable to the Governors for the performance of Senior Management and also chief spokesman and negotiator for Senior Management and the Academic Board in discussions with the LEA on resourcing and development. On occasions, particularly when the college was required to produce a rapid response for the Authority, as was the case, for example, with the 'windfall expenditures' of 1981/82, the Principal acted executively taking advice selectively from colleagues. It was also necessary for him to keep his own counsel when major changes to the organisational or managerial structure were in hand and his was the last word on staffing bids submitted to the Authority. But apart from these exceptions the Principal sought, as a matter of course, to involve and implicate his senior colleagues in corporate decision making and policy formulation. Reports were brought to Senior Management on College Estimates, Capital Allocations and Staffing and Building Programmes as soon as the information became known.

In the early years of the period under consideration there was more bad news to report than good but the mix changed in later years. The cuts of £105,000 required from the college during 1979/80 drew a vigorous, corporate response from Senior Management in the form of the discussion paper COLLEGE DEVELOPMENT AND RESOURCES prepared for a special meeting of the Board of Governors called for 29th September, 1979 (see section 8.1 below). The pressures were sustained the following two years although the actual outcomes were less severe since as the Authority took away with one hand it provided funds for capital investment and additional staffing for microelectronics development on the other (see section 8.3 below). The fact that savings from CROMBIE voluntary redundancies were also coming on stream proved helpful. Waves of apprehension were created throughout HE by the NAB 10% cut exercise of 1982 but Wales escaped this
trauma as WAB was even reluctant to conduct a more modest 5% exercise.
Although funding from the Wales AFE pool was reduced in real terms the
LEA provided sufficient 'topping up' to keep the college largely unaffected.
The level of resourcing during 1983/84 apart from the capital allocation
did not present problems.

7.2.2 **WAB**
Although it was through the LEA that formal relations were to be conducted
with WAB (which became an euphemism for the financing of AFE and the
programming of student numbers, as well as an acronym for the Board,
Committee and Secretariat) in practice responses were prepared by the
college since the FE colleges did little advanced work. In preparing a
response to August 1983 WAB letter, Senior Management deliberately chose
to convey starker messages to staff within the college than they intended
for the Board of Governors. As had been demonstrated this provoked a strong
response because of the prominence given to the implications for staffing of
a 5% cut and the indications given of where the axe was likely to fall. The
task confronting Senior Management in preparing the second response to WAB
was less traumatic and allowed Senior Management and staff to work in
common cause, namely to achieve a better allocation (see Appendix L).

7.3 **Interfacing within the College**
Attention will be concentrated on four areas where the fulfilment of
expectations was critical to the operation of the Planning Cycle.

7.3.1 **Systems Integrity**
The successful operation of the Planning Cycle required the commitment and
support of Senior Management. To some extent Senior Management had no
choice but to give the innovation their public support since it was regarded
as their creation. But, as has already been indicated, there were varying
degrees of enthusiasm for it, particularly among the Deans. The Deans, by
virtue of their dual roles, being at one and the same time heads of faculty
and members of the Senior Management team, were subject to conflicts of
interest and loyalty. Even so, the Academic Board and its Sub-Committees
relied heavily on Senior Management to uphold the integrity of the Planning Cycle and to generate pressure on the Deans to adhere to the prescribed timetable and to submit information in standard form. There were occasions, particularly in the early years of operation, when the level of commitment of Senior Management to the Planning Cycle was directly challenged, and prompts were necessary from time to time on executive action. Senior managers did not simply respond to prompting from the Academic Board, however. The Principal and Assistant Principal (R) were seen to have a special responsibility for maintaining the integrity of the Planning Cycle and sought to ensure commitment to it. Both were highly critical at a meeting of Senior Management held on 7th March, 1983 of Faculty Strategies. The view was taken of one strategy that it was descriptive and lacked analysis ... ritualistic ... lacked stipulation of policies and targets ... failed to attend to discussions with DATEC and to secure an improvement in SSR's. Another strategy was described as plaintive.

7.3.2 College Academic Policy

There was no reluctance on the part of Senior Management to produce individual policy statements and discussion papers either of their own volition or when prompted by others. The provision of an overall corporate policy or strategy proved more problematic. As has been indicated above (see pages 468-469) three documents, addressed primarily to different audiences but viewed as plans were produced by Senior Management during the period under consideration and readily endorsed by the Academic Board. Both Chapter 3 of the CNAA Document (March 1982) and the College Corporate Strategy (April 1983) represented attempts to advance the technology and were discussed in detail but neither impinged or was internalised to the extent expected. The Corporate Strategy secured an easy passage through the Academic Board in April 1983, so easy in fact that options were converted into actions by the Secretary of the Board on the basis that there had been no demur. This did not register at the time and the final version, as has
been demonstrated, was little discussed by Faculty Boards.

7.3.3 Implementation

Not only did staff rely heavily on Senior Management for the initiation of policy they were also highly dependent on them for executive action. Meetings of the Academic Board in particular provided staff with opportunities to call Senior Management to account for their failure to implement decisions taken by the Board, which they found necessary from time to time, not only on strategic issues but also on operational and domestic matters. Whatever their expectations, staff were generally tolerant of Senior Management's performance and there was little acrimony at the Academic Board. Meetings inevitably had their moments of tension but these were very much the exception rather than the rule.

7.3.4 Resourcing

The management of resources was seen to be the responsibility of Senior Management with the Principal advising the Board of Governors on, and negotiating with LEA on behalf of the Academic Board and his senior colleagues for an appropriate level of funding. Senior Management became increasingly concerned with resource utilisation and the need to raise the general level of awareness throughout the college on the need to improve performance. The explanatory paper produced by the Assistant Principal (R) on PERFORMANCE INDICATORS (see Appendix J) was presented to Senior Management in November 1982 and approved for circulation throughout the college. The paper aimed to serve two purposes: to acquaint staff with the growing significance of performance indicators and to seek to demistify them; and to alert staff to the possibility of a 'value for money' exercise in the college. At the same meeting the Assistant Principal drew the attention of his colleagues to the following comparative SSR performance of faculties on AFE courses in 1980/81 and revealed in published statistics. They were:
Concern for SSRs intensified in January 1983 when details became known of the AFE Pool allocation for Wales for 1983/84 which revealed the need for substantial 'further funding' for the college (£1,052,188 out of a total allocation of £5,290,484). Given that it was the intention of WAB to phase out further funding the college was seen to be highly vulnerable unless it could significantly improve its SSRs. Calculations presented by the Assistant Principal (R) on the SSR for 1981/82 and the Staffing Establishment for 1982/83 to his colleagues on 8th February, 1983 showed the college to be over-staffed (an excess of 9 within a total of 253 on the Establishment Calculation alone). Means of improving SSRs were discussed in succeeding months but no targets were agreed, and they were absent from the April 1983 Corporate Strategy despite the prominence given to improving resource utilisation performance. Rather, it relied on presenting the means, already specified in PERFORMANCE INDICATORS (see Appendix J), by which faculties might improve their SSRs.

During 1983/84 external pressures on the college to improve its resource utilisation performance intensified and constantly impinged on Senior Management. Substantial further funding was again necessary for 1984/85 to prevent the college falling below the safety net established by WAB. The two WAB planning exercises relating to student targets for 1984/85 and 1985/86 in effect drew from the college a public admission of the amount of organisational slack available in that the same bids were made for a dramatic increase in students irrespective of whether level funding or a 5% cut applied.

To WAB pressures were added the 'value for money' exercise conducted by the Audit Commission. Once it was known that the exercise related to the
Financial Year 1982/83 it was recognised that the report was bound to be unfavourable, and so it proved. The report, the first draft of which was presented to the Authority in mid-June 1984, showed scope for substantial improvements in a number of key performance indicators, especially the SSR. It was suggested that in order to achieve comparability with similar colleges in England and Wales the college needed to increase student recruitment or reduce current staffing by 20%. This represented a notional over-funding of c.£650,000. The report was not entirely critical, however. Recognition was given to the improvements achieved during 1983/84 academic session and it was acknowledged that the 'directorate' were well aware of the problem and intent on addressing the discrepancy between plans and achievements. The Planning Cycle and its associated information system drew favourable comment. The fact remained, however, that despite the introduction of the Planning Cycle and the general level of awareness among the directorate of the performance indicators favoured by District Audit, there had been few tangible results by 1982/83. The report had a significant impact on relations between the college and the LEA during 1984/85.

7.4 Interfacing within Senior Management

The concern for improved resource utilisation performance had the effect of sharpening patterns of accountability within Senior Management. More specifically the Principal and Assistant Principal (R) took every opportunity to raise the level of awareness among senior colleagues of the problems which would attend failures to raise SSR. The transfer by WAB to an FTE student target methodology generated pressures within the college to improve the realism of forecasting and also made it a relatively simple task to calculate notional FTE staffing by feeding a target SSR into the more precisely estimated numerator. The Assistant Principal was able to demonstrate to his colleagues on 1st March, 1984 how far the college was likely to fall short of the 11.7 SSR suggested by HMI for polytechnics.
The basic style of management did not change significantly, however, and the Principal continued to steer his colleagues towards consensus rather than direct them from the chair. Without the full commitment of the Deans certain innovations were very difficult to achieve. Such was the case, for example, with the development programme envisaged by the Principal and Assistant Principal (R) for the Heads of School. After a lengthy period of gestation three Heads of School Workshops were conducted by the Assistant Principal (R) during Terms 2 and 3 of 1982/83 and it was decided by Senior Management on 15th June, 1983 to assess their outcome before proceeding further. The report on the workshops prepared by the Assistant Principal was considered on 11th November, 1983 (see Appendix R). It exposed marked differences between faculties in terms of role, relationships, levels of awareness and management styles, which could not be explained by cultural differences alone, and recommended discussions between Heads of School and Senior Management intended to achieve greater compatibility within and between faculties. It was agreed that further discussions should be held within faculties and written responses made which would contribute to the development of a corporate approach. These did not appear and no collective view emerged.

8. THE BOARD OF GOVERNORS

8.1 Introduction

While the formal role of the Board remained as previously described, the inherent tensions present at the time of the merger largely disappeared during the period under consideration. Generally the Board was content to support initiatives taken by the college and not to question the direction in which it was being steered by the Principal and the Academic Board. Course developments were never challenged and innovations such as the Microelectronics Centre, the Open Tech Unit and the Practical Training Facility welcomed and supported. The Board was also content to endorse
the self-image developed by the college which emphasised its importance
as a major resource centre within the County's economic infrastructure
providing a regional resource of significance. Such was the view conveyed
to the LEA in the half-yearly report submitted by the Board of Governors
in January 1980 and reiterated on all appropriate occasions.
A new Chairman took office in June 1979 and remained in the chair for the
period under consideration. He continued to play a crucial interfacing
role but did not choose to exploit it in the same way as his predecessor.
Unlike his predecessor he had a full-time job as well as a diversity of
interests in local government, generally linked to education. He
therefore visited the college less frequently. Even so, he remained a key
figure in college management whose authority and influence was generally
acknowledged and the convention of channelling business through reports
presented by the Chairman and Vice-Chairman to the full Board was retained.
As a communications Engineer he had a strong personal interest in the
development of microelectronics and microcomputing.
The major preoccupations of the Board of Governors were as follows.

8.2 Role of the College
In view of the ambiguity which continued to surround the role of the college,
Senior Management found it necessary to send strong messages to the LEA via
the Board of Governors. Such was the intention in the discussion paper
COLLEGE DEVELOPMENT AND RESOURCES prepared for a special meeting of the
Board of Governors on 29th November, 1979 in response to the 3% mid-year
cut (£105,000) in estimates. The paper was directly addressed to the
Governors and the LEA and was intended to promote an understanding with
the LEA on the general role of the college and the way its future might
be planned.
The introduction identified a situation requiring strong support from the
LEA and firm direction by the college managers. The paper went on to
consider those elements regarded as particularly significant and suggested
a number of policy decisions which would help maintain the college in the short-term and at the same time establish a platform for further development in the mid and long terms. It took the form of sets of responses to four key questions.

The first asked *How well equipped is the college to face the challenges which lie ahead?* and the composite picture which emerged, based on the views of external agencies such as HMI and Validating bodies, was of a college capable of meeting the highest professional standards applied by Validating Bodies, enjoying a growing reputation in industrial, academic and professional circles and currently establishing a firm base for future development. The answer to the second question, *What are the main problems and opportunities which can be identified and how should the college respond to them?* reviewed the major threats presented by the national and local environments, suggested means of coping and identified five main opportunities to exploit. Three sources of difficulty (£105,000 cut, capped AFE pool, and interpretation of CROMBIE) were identified in response to the third question *What are the major financial issues currently facing the college?* The fourth represented the key question *What policies should be adopted by the Board of Governors and the Authority to ensure the long term future of the college?* The answer spelt out the academic, financial and staffing policies which would secure the intended objective and emphasised the importance of the adoption by the LEA of a corporate view which took into account links between the County Council’s policies on training, discretionary grants and the location of courses. The special meeting was inquorate because only two county councillors out of a required minimum of five, were in attendance. Even so the Chairman allowed discussion, advising that any decisions made would have to be presented to the next meeting as recommendations. These strongly supported the recommendations in the document and were adopted at the Board meeting held on 14th December, 1979.
For the remainder of the period under consideration the Board was largely content to endorse the role and self-image developed by the college for itself.

8.3 College Management

Two major changes in college management were approved by the Board during the period under consideration: the division of the Assistant Principal's post in two and the splitting of the Faculty of Science and Technology. Sufficient has been written about the former not to require further elaboration. Given the sensitivities which attached to the latter a little more detail needs to be provided on the way in which the Governors were implicated in the decision. The Principal was careful in the first instance not to isolate the problem presented by the asymmetrical growth of Science and Technology but rather to incorporate its examination within a wider review encompassing two other faculties seeking relatively minor reforms. The report presented by him to the Governors on 17th July, 1981 also steered a very careful course in describing how very considerable pressures had fallen unevenly on the Dean, some Heads of School, and other academic and support staff. A considerable burden had fallen on the Faculty's academic leaders as the result of the very significant role of the Faculty as an aid to the County Council in encouraging the advent and development of high technology industry in the region. In consequence the well recognised danger existed of over-dependence upon a very small number of individuals for a development of general significance. The expansion of the electronic and associated fields within the Faculty had relied upon the energy and foresight of the Dean and some of his senior colleagues to whom great credit was due. But a sudden, even temporary, lack of availability of the present senior academic staff within the Faculty would bring great problems in the development of this field. In was therefore of the utmost urgency to consider the restructuring of the Faculty so as to distribute responsibility across a wider body of staff.

A special Working Party was set up and its conclusions have been described
in 2.2.2 above. The outcome was not acceptable to the Dean of Faculty who invoked the grievance procedure. The matter was not resolved quickly and the Dean did not formally accept the new post until February 1983. He had been formally in post for only a few months when he applied for a 2½ year full-time secondment to an important national post co-ordinating educational developments in the new technologies. He was highly successful in the post, which he was able to retain after taking advantage of an early retirement opportunity offered at the college.

The grievance was not the only sensitive matter involving a senior member of staff to be resolved during 1982/83. In April 1982 it had been necessary to suspend the Vice Principal on full pay pending investigations by the Police into alleged misappropriation of college property (valuable books). A case was brought to court and the Vice Principal found not guilty. He was formally reinstated by the Governors without further disciplinary action on 14th October, 1982.

8.4 College Funding

While the College Estimates were formally presented to the Board of Governors for their approval each year, as were any proposals for changing them during the course of a financial year, they were initially agreed and finalised in discussions between the Principal, Chairman of Governors, the College Finance Officer and a senior member of the Treasurer's Department, generally the Deputy Treasurer. The overall budget was fixed in accordance with the County Council's financial policy and the detailed estimates within the budget prepared by the Finance Officer (following discussions with the Principal) in accordance with established conventions for presentation, and agreed with the Deputy Treasurer. Given the representation of County Councillors on the Board of Governors there was little chance of the County's financial policy being challenged. By the same token heavy reliance was placed on officers for the preparation and presentation of estimates and each year congratulations, accompanied by a vote of thanks, were presented to the College Finance Officer and the Deputy County Treasurer.
The approach to budgeting within the Authority was historical and incremental and the performance of the college was judged by its ability to keep its expenditure within the prescribed limits, which it invariably did.

Although details have already been provided of college funding at appropriate points in the present chapter, it is thought useful at this stage to draw the information together in a brief chronological summary. It relates to financial years.

1979/80: Apart from the mid-year cut of £105,000 the item which claimed most attention was the special capital allocation of £30,000 for microcomputing facilities.

1980/81: Proved less turbulent with a modest mid-year saving of £7,000 required. While no new 'CNAA money' was made available (a balance of £202,300 being identified as outstanding in the 1980/81 Estimates), finance was provided for the appointment of three new staff in microelectronics to service the Microprocessor Application Project.

1981/82: Saw the Authority claim £120,000 in savings, in accordance with the County Council's financial policy, with one hand and provide an additional £300,000 (£150,000 for microprocessor capital equipment and £150,000 for additional staff, primarily to develop and provide courses in microelectronics) for development with the other. And when the opportunity arose to invest further large sums of money before the end of the Financial Year in the new technology as a result of slippages elsewhere in the County's capital programme, an additional £298,000 was made available.

1982/83: A standstill budget allowed for a transfer of staffing resources from Education and Science and Technology by means of CROMBIE savings of £74,000 provided by voluntary redundancies of 5 staff in April and September 1981 were available to set against the full year cost of new appointments (11 academic and 2 technicians) estimated at £135,200.

1983/84: Despite threats of a 1% cut, a standstill policy prevailed. Within the standstill the college was generating savings estimated at
£45,400 as a result of CROMBIE.

1984/85: A reduction of 1% was called for but this involved finding a balance of £11,840 only in view of the fact that a further £40,000 was available following voluntary redundancies.

8.5 Accommodation

The major preoccupation was with the major building for rehousing the Faculty of Art and Design on the 'C' site. Its significance for the 1982 CNAA visit was well understood and high hopes were attached to the case being presented at the Welsh Office by a deputation from the County Council on 12th March, 1982. The Principal was in the happy position of being able to report successful outcomes to both the CNAA and Welsh Office visits at the meeting of Governors held on 26th March, 1982. The Welsh Office had agreed to a phased development financed out of the County Council's own capital allocation but was not prepared to grant it special status as a project of regional or national importance, which would have involved the provision of additional Welsh Office finance. Despite this disappointment the County Council had decided to go ahead with the building, Phase 1 of which was intended for occupation in September 1985 and estimated to cost £1.5 million. Monthly progress reports were received from the Assistant County Architect and the development itself was visible to members as they attended meetings on the 'C' site. The County Council was reluctant to proceed with Phase 2 without special funding from the Welsh Office and a scheme was approved in the summer of 1983 for submission as a project of regional and national importance. Lack of progress with the submission prompted the Board on 4th May, 1984 to seek urgent discussions with the Authority. Not only was this done but the Minister of State at the Welsh Office responsible for Higher Education was invited to visit the college on 29th June, 1984. The visit was reported to the Board of Governors on 12th July, 1984 who were informed that he had been invited to review the facilities for Art and Design as a preliminary to the presentation by the
County Council of a formal submission to the Welsh Office on Phase 2. The scheme was eventually approved.

Pressure on space at the 'A' site became acute at the beginning of the 1982/83 academic session and the Chairman and Vice Chairman were invited on 12th November, 1982 to review the problem at first hand, with the library as the main area of concern. As a consequence a further site meeting was held on 23rd November, 1982 attended by leading members of the Group, including the Leader and senior officers, and the Chief Executive, together with college representatives, including the Chairman of Governors.

The visit, called at short notice, with the result that the Director of Education and the Education Committee were unrepresented, was prompted by the prospect of spare money being available during 1982/83 to partly finance the project. Within days hopes were dashed by the Government's announcement of a reduction in the County Council's allocation for 1983/84.

The absence of representatives of the Education Committee at the site meeting held on 23rd November, 1982 caused great resentment, notably on the part of the Vice Chairman of Education (a member of College Governors) who regarded the action of the Chairman of Governors in by-passing the Education Committee's members and officers as a serious breach of protocol and confronted him with the accusation at a meeting of the Board held on 17th December, 1982. At his insistence a major excision was made in the section of the minutes of the previous meeting held on 26th November, 1982 which reported the site visit. The excision related to the membership of the site visiting party and their actions in seeking a report.

Not wanting to threaten the major project on the 'C' site the Governors displayed caution on the 'A' site development. Even so, it remained a sensitive issue. The half-yearly report prepared for the County Council in April 1984 drew attention to the fact that the Governors ... noted with concern the low level of priority given to the building development at 'A' in the Council's Building and Development plans. This observation was not well received by the Education Committee and it was thought necessary
to reassure the Committee at the meeting of Governors held on 12th July, 1984 that comments on both building and capital equipment were not meant as criticism of the County Council but were natural expressions of disappointment that delays, however caused, had affected expected development.

8.6 Responses to Changes in the External Environment

8.6.1 Employment and Economic Development

As has been indicated in 1.5, deepening structural unemployment increased the direct interest of the LEA in the college and strong support was given by Governors to efforts made to provide courses for redundant workers and to develop the capacity to meet the needs of high technology industry. When difficulties were anticipated, as in the case of Welsh Office approval for a one-year teachers certificate in Maths/Science designed mainly for redundant steel staff, the Board, meeting on 18th April, 1980 decided to make a preemptive strike. Representations were made to the Secretary of State for Wales and the support of local MPs mobilised. But to no avail. Even so the Welsh Office was sympathetic and advised the exploitation of other possibilities. One possibility which emerged was the Special B.Ed. in Mathematics and Science, a shortened-course (by one year) validated by the University of Wales. The opportunity was grasped by the college and the first students joined the course in September 1981. Support was also given in May 1980 to a doubling of the intake to a one-year full-time Diploma in Trade Union Studies and Industrial Relations operated on Coleg Harlech and Ruskin College lines in order to provide places for redundant steelworkers. This required an extra member of staff. The major effort, however, was put into establishing the college as a major microelectronics centre capable of providing first class support, in the form of modern facilities and up-to-date teaching to the high technology firms which the County Council was seeking to attract to the County with every means at its disposal. Significant successes were achieved with the standard bearer being a new government-supported British company making silicon chips with establishments in the United States and
Bristol. Such was the involvement of the college with this company that the Dean of the Faculty of Science and Technology, together with a colleague from the Faculty, joined a small party in February 1981 to visit its establishment in Colorado Springs. A detailed report on the visit was presented by the Dean and his colleague to the Board of Governors in April 1981. Links with this company were further strengthened the following month when one of its founders, a senior executive director, appeared as guest speaker at the College Annual Prize Giving Ceremony. At this time the claims of the college were also being pressed with the Welsh Office known to be considering the designation of a 'centre of excellence' in microelectronics likely to attract special funding. A letter was sent to the Welsh Office, a local M.P. was briefed to ask questions in the House of Commons, the Under Secretary of State at the Welsh Office with responsibility for Education was invited to the college and his visit on 21st April, 1981 was followed by a further meeting three days later at the Welsh Office when he received a deputation from the County Council. A decision was slow to emerge and by September it became known that the policy in its original form had been changed in favour of more direct involvement with industry. Even so, the Secretary of State visited the college in October in order to compare provision with what he had seen on a recent visit to the United States and it was reported to the Governors that he had been very impressed by what he had seen. Despite the absence of special status the Governors continued to support bids for external funding and succeeded in securing joint County Council/EEC finance for a Scanning Electron Microscope installed in 1984 at a cost of £200,000.

8.6.2 The Management and Funding of Higher Education

The Principal kept the Board abreast of developments as they occurred. The three consultative documents published in the summer of 1981 were considered by the Board on 25th September, 1981. Its members confirmed
their wish to maintain strong links and harmonious relationships with the Local Education Authority bearing in mind that the college needed to operate successfully as a constituent part of the education service in the County, but with the minimum interference.

When the details of WAB were known strong reservations were expressed over the pattern of representation. The Governors were pleased to learn on 22nd October, 1982 that two of their members had been appointed to WAB, one (the Chairman) to the Committee and another (a local industrialist) to the Board. This news served only to temper rather than remove their dissatisfaction, however, with the imbalance of representation on the Board and its panels. At successive meetings reference was made to the continuing dissatisfaction over representation and the efforts being made to secure an improvement. The representations eventually produced a response and it was reported on 24th June, 1983 that membership of panels was to be extended with the result that the Principal would join the Teacher Training Panel, the Assistant Principal (R) the Finance Panel and the Assistant Director of Education FE the Course Approvals and Joint Public Sector/University Panels.

As has already been indicated, the Principal felt it necessary to process the August 1983 letter from WAB through the Governors in the first instance and it was to them that the amended version of Senior Management's document went on 21st October for final approval. Strong representations were made on behalf of NATFHE both before and during the meeting who complained over the failure to convene a meeting of the Staff/Governors Consultative Committee. Following a lengthy discussion of the Principal's paper a number of amendments were agreed which more strongly emphasised general opposition to reductions in AFE funding and the specific threats posed for the college and for the local and regional economic infrastructures. Prominence was given in a specially prepared introduction to the unique
position of the college as the only provider of Higher Education in the County, its role in the general economic infrastructure and importance as a resource to local industry, particularly high technology industry, the quality of provision and the scope for improving resource utilisation performance if allowed to recruit additional students on the scale indicated. Much was made of the considerable investment in staffing and equipment made by the Authority in the high technology areas and the time needed to realise the full benefits of that investment.

The Board of Governors were less directly implicated in the second WAB planning exercise but were briefed on its conduct and presented with the responses of Senior Management and the Academic Board. It fell to the Chairman, however, on 12th July, 1982 to determine the nature of the meeting arranged with WAB officers for 5th September, 1984 to discuss the college's response.

8.7 Relations with Academic Staff and Students

8.7.1 Staff

Once the tensions of the early years of the merger were overcome relations became strained only when cuts were contemplated. The consultative machinery, therefore, fell into disuse, which helps explain the difficulties over getting a meeting convened in October 1983 to discuss the first WAB planning exercise. Discussions intended to resolve the issue of formal rights to joint consultation proved difficult and protracted and were finally resolved in March 1984.

The other notable difficulty which strained relations involved a dispute at County level between the Liaison Committee of NATFHE and the County Council over the latter's attempt to achieve substantial savings in expenditure on FE/HE by means of a unilateral change in conditions of service to apply from September 1984. These changes, which were directed chiefly at Lecturers 1 and 2, had a much greater impact on the Colleges of FE than on the College of Higher Education but were resisted equally
strongly by both sectors in a bitter confrontation between NATFHE and
the County Council involving strikes, a threat to disrupt examinations
and the issuing by the Authority of new contracts the signing of which
was necessary to retain employment for September 1984.
The dispute was first raised at Board of Governors by the Principal on
23rd March, 1984 who indicated that failure to achieve an early settlement
could have a serious long term effect on recruitment to certain courses.
The Principal's concern was shared by Governors, the majority of which
were unhappy over the conflict, particularly when it achieved national
significance, and wished to see a settlement.
The dispute ended towards the end of the academic session when the
Authority withdrew the offending new contracts.

8.7.2 Students
Relations with students became strained in June 1983 when it was reported
by the County Council's Principal Auditor that the Students Union was in
serious financial difficulty. The muddle, created by £30,000 overspending
and the absence of audited accounts for 1982/83, was being sorted by
25th November, 1983 when the Governors released an instalment of £12,000
previously withheld from the Union. One of the conditions laid down in
the Survival Plan, however, was a reduction in the number of Sabbatical
Presidents from 4 to 3 as from September 1984. Originally accepted by
the Students Union it came to face strong opposition from them and
although the Governors threatened tough action they eventually gave way.
The Chairman who was unhappy with existing arrangements expressed an
intention on 12th July, 1984 to give procedures a full overhaul in the
near future.
SECTION B: INTERPRETATION

The selective approach adopted for Section B of Chapter 9 will be continued for this, the final, time period. Attention will be focused on the changes which accompanied the full operation of the planning system and the extent to which they followed upon intention or rather emerged as the consequence of a particular constellation of circumstances not amenable to regulation or the imposition of managerial will.

9. CONTINGENCY PERSPECTIVE

9.1 Organisational Purpose

The planning system generated pressures and created opportunities for making more explicit to a number of constituencies and audiences the character, identity and mission of the college. The opportunities were most conspicuously exploited in response to interventions from the external environment. Faced with a 3% mid-year cut in estimates senior management took the opportunity in the discussion paper COLLEGE DEVELOPMENT AND RESOURCES, presented to the Board of Governors on 29th November, 1979 (see pages 507-508) to confront the LEA with fundamental issues over the character and role of the college on which it was felt necessary to reach a more explicit understanding. The messages conveyed in the paper were strongly welcomed within the college and were further reiterated in the half-yearly report presented to the Authority in January 1980. The opportunity created by the CNAA Institutional Visit in March 1982 was exploited, notably in the papers submitted to CNAA in preparation for the visit, to address strong messages about organisational purpose to a number of key audiences in both the internal and external environments and included an evaluation of major developments since the merger. Character, identity and mission were given prominence in the discussions which took place in preparation for the CNAA visit and featured prominently in the documentation.
Threats from the external environment in the form of pressures for rationalisation, improved resource utilisation performance and cuts in funding, influenced both the timing and content of the **College Corporate Strategy** approved by the Academic Board on 28th April, 1983 (see pages 477-479). On this occasion the messages conveyed were slow to register with staff until they were reminded of the links between the approved Corporate Strategy and the response produced by Senior Management during the WAB 5% cuts exercise conducted during September - November 1983.

As has been demonstrated the college was given a great deal of freedom during the period under consideration to shape its own destiny with the Board of Governors content to support the initiatives presented to it and not to question the direction in which the college was being steered by the Principal and the Academic Board.

**9.2 Organisational Design**

Detailed consideration of the process and performance outcomes produced by the planning system will be left to Chapter 12. Attention is focused for the present purpose on the refinements undertaken during the period under consideration on the one hand and the most striking developments in integration and control on the other.

**9.2.1 Refinements**

While the basic organisational structures and processes remained largely as intended by the reforms, a number of important changes occurred which were intended to strengthen the corporate planning system.

a) **Division of the Assistant Principal's Post**

The separation of the Clerk to the Governors and Head of Administration responsibilities from the academic responsibilities previously undertaken by the Assistant Principal increased the amount of management attention available for corporate planning and control. In effect the new Assistant Principal (R) became the college planner and co-ordinator of management information.
b) Servicing of Academic Committees and the Planning Cycle

The opportunity was taken with the early retirement of the Director of Studies to introduce reforms which brought academic administration more into line with advice offered in 1977 by CNAA, notably the appointment of an administrator as secretary to the Academic Board. Details of the ways in which support for the Planning Cycle was improved are provided on page 431.

c) Splitting of the Faculty of Science and Technology in Two

The assymetrical development of the Faculty of Science and Technology was seen to create many problems for the effective operation of the Planning Cycle. Its division in two was intended to improve operational management and also to ease the administrative burden created by the demands of the Planning Cycle.

9.2.2 Differentiation and Integration

The period under consideration witnessed a perceptible shift in the balance between differentiation and integration in favour of the latter. The Sub-Committees and Planning Cycle provided a corporate focus which had previously been absent. The standard operating procedures of Planning Cycle imposed routines and disciplines upon the faculties which underlined their corporate obligations and the Sub-Committees were quick to expose failures by the faculties to observe them. Although planning was predominantly 'bottom up' in orientation, the process of rolling strategies forward each year and reconciling them within a corporate framework in itself aided integration. The process, initially impaired by a failure of faculties to internalise philosophy and technology, was greatly improved when they began to adopt a common format for strategies, addressed the same issues within them and displayed a similar self-critical approach.

For as long as the bottom-up component predominated college plans were unlikely to be more than compendia and early attempts, including that
submitted to CNAA in 1982, were criticised for this feature.

The failure of corporate plans to provide a stronger integrative thrust was explained in the review of organisational development presented to the CNAA (see pages 487-488) who were also advised that the need for a stronger 'top-down' contribution had been identified. As has already been indicated in section 6.1 above, the opportunity was taken to present an integrated view of the college in the documents submitted to CNAA for the March, 1982 visit with the knowledge that they would be distributed to a number of constituencies and audiences.

Of the three major documents attributed the status of a corporate plan or strategy during the period under consideration, the last, approved by the Academic Board on 28th April, 1983, was the one specifically directed to constituents within the college and had two major objectives. The first was to advance the technology of corporate planning by providing a much clearer policy framework within which faculties were expected to develop their own strategies and programmes, demonstrating much more explicitly than in the past how they would reconcile them with the corporate strategy in terms of analysis and formulation.

The technology did not advance so far as to set specific targets for the faculties, however, and this was regarded as a serious omission by critics of the corporate strategy. The second objective was to alert staff in the college to the growing threats in the external environment to which the college was especially vulnerable because of its relatively poor resource utilisation performance; hence the emphasis placed on improving the Student Staff Ratio by increasing student recruitment. Both messages failed to register immediately and their full impact awaited interventions from the external environment in the form of the WAB 5% cuts planning exercise and the Audit Commission's value-for-money study.

The addition of standing operating procedures and a planning system to
the portfolio of integrative devices not only extended the portfolio but also enhanced other elements within the portfolio, namely mutual adjustment and bargaining. The Sub-Committees in particular provided important new arenas for mutual adjustment and bargaining which helped the process of reconciling conflict and achieving a corporate consensus before issues arrived at the Academic Board for a final decision. This was particularly true, as has been demonstrated, where resource allocation was involved, whether for revenue, capital or staff development and research.

9.2.3 Accountability and Control

Greater emphasis was placed in the design specification on integration than on control, which was not surprising in view of the sensitivity of interest groups over the balance of authority and influence held at faculty and corporate levels. It was widely recognised, however, that adherence to the Planning Cycle time-table and the production of explicit strategies and programmes would in themselves greatly increase corporate accountability. The Sub-Committees, anxious to establish their authority from an early stage, were particularly concerned over the fastidious adherence of faculties to standard operating procedures, particularly over the presentation of information and were quick to invoke the aid of the Academic Board and Senior Management in defending the integrity of the Planning Cycle.

While the participative, open mode of decision-making promoted by the planning system encouraged corporate accountability it did not necessarily increase control, particularly over the faculties, who retained a high level of discretion. Of the three phases of the Planning Cycle, the first, the Review Phase, was most concerned with control. It was during the review of the previous academic session that a faculty’s judgement, made public in strategies and programmes, was tested. And yet, as has been demonstrated, this proved to be by far the most problematic of the
three phases. Further consideration will be given to this feature at appropriate points below and a more extended treatment provided in Chapter 12.

9.3 Task Contingencies

9.3.1 Environment
The external environment in which the college functioned became even more variable and complex during the period under consideration. In view of the detail already provided, attention will be confined to a few selective observations.

a) CNAA Institutional Review, March 1982
As has been demonstrated, the second review proved much less traumatic than the first. Even so the review and the report which followed upon the visit had a significant impact on the self-image of the college (confirmed by CNAA) and its mode of operation.

b) The Management and Funding of Higher Education
WAB impinged upon the college by determining the allocation made from the AFE Pool in Wales to the LEA. For as long as the distribution of the 'capped' pool was made on a historical basis attention was drawn to the further funding from the pool necessary to compensate for a high cost provision (or low resource utilisation performance as reflected in the SSR). When the funding methodology shifted to a student target basis, allocated within eighteen programmes, the relationship between FTE staff (the SSR denominator) and FTE students (the SSR numerator) became even more obtrusive, as did the 'topping up' required from the Authority to cover the difference between actual unit costs per student in the college and the unit allocation distributed by WAB.
Apart from the public exposure created by WAB, the adoption of the new target-based funding methodology considerably sharpened the planning process in the college by specifying hard FTE numbers for advanced course programmes and therefore forecast levels of faculty activity. The fact that the targets were negotiable at the margin introduced a degree of realism into forecasting which had previously been conspicuously absent. Targets also attached an additional importance to the marketing effort since failure to achieve allocated student numbers was likely to cause considerable embarrassment.

c) The Audit Commission

The Value for Money studies within local government were known to be part of the general effort being made by central government to control public expenditure and promote effectiveness and efficiency. The college had been alerted to the activities of the Commission in the paper produced by the Assistant Principal (R) on PERFORMANCE INDICATORS (see Appendix J). He warned that a visit was inevitable sooner or later in view of the amount of organisational slack identified in studies already published. The visit came sooner rather than later and the study related to 1982/83 known to be unflattering to the college. The report, while confirming worst expectations acknowledged the amount of management attention being given to the problem and the contribution being made by the corporate planning system, which was strongly approved. The report had a significant impact on relations between the college and the LEA involving the linking of the Planning Cycle to the budgetary process.
f) Regulatory Bodies

The influence of HMI and Validating Bodies continued to be crucial and problems with satisfying the latter both on new proposals (B.Eng. and HND Computer Studies) and existing courses (BA Fine Art and BA Graphic Design) had important consequences for the two faculties concerned.

9.3.2 Size

While the overall size of the college in terms of the number of academic staff remained much the same their distribution between faculties changed in such a way as to produce assymetrical growth in the Faculty of Science and Technology. The solution chosen to the problems to which this gave rise was to divide the Faculty in two with the result that the staffing complement of all five faculties numbered between 40 and 50 full-time staff.

9.3.3 Technology and Personnel

The basic position remained as described in Chapters 8 and 9.

While the professional retained complete control in the lecture room, however, increasing interest was being shown in performance as it affected the quality of service provided to students. Prompted by validating bodies and the increasing attention given in public discussion to the quality and relevance of higher education, the issue was given a high priority in the corporate strategy presented to CNAA.

The CNAA visiting party in turn took up the theme of quality control and expressed particular concern over the monitoring and evaluation of existing courses (see page 494). The visitors were encouraged to find that the college recognised the deficiencies in procedures and had attached a high priority to closing the gaps.

It was easier to identify the gaps than to close them, however, and the procedures for monitoring and evaluation had yet to be finalised by the
end of the period under consideration. There was a strong suspicion of top-down review, which smacked of prescription and performance appraisal. The policy finally agreed adhered to the principle of peer group evaluation at the point of delivery and left a high level of discretion to course teams.

9.4 Political Contingencies

9.4.1 Preferences of Interested Parties

Enthusiasm for the Academic Committee Structure and Planning Cycle continued to vary across the college but doubts about their efficacy diminished as they helped cope with intrusions from key influencing agents in the external environment such as CNAA, WAB and the Audit Commission. These intrusions also helped gain acceptance for a stronger 'top-down' contribution to planning, which remained, however, predominantly 'bottom-up' in orientation.

9.4.2 Dependencies

a) Internal

The basic pattern of mutual dependence and the significance of interfacing roles remained largely as previously described except that with the division of the Assistant Principal's role and the election of a new Chairman of Governors (June 1979) the Principal assumed the major responsibility for interfacing with the LEA. During the period in which the County Council was putting maximum effort into attracting high-technology industry into the county, however, the Dean of the Faculty of Science and Technology also assumed a key interfacing role with the Authority, other industrial development agencies and with potential employers. Indeed, so significant was this role that he enjoyed direct access to the Chairman of Governors. In terms of the operation and development of the Planning Cycle the college remained heavily dependent on the Assistant Principal (R) who was called upon to play an increasingly interventionist role. To this dependency were added a further two, both linked to the planning function. The first related to the production of major statistical returns on courses, staffing
and resource utilisation prepared for both internal and external
cconsumption, which made him a gatekeeper for management information.
The second related to the production of major reports for internal and
external consumption, accompanied in the case of the latter by a
significant interfacing role. Such was the case for example with each
of the corporate planning documents, the CNAA submission, responses to
WAB, and the provision of assistance and preparation of responses to
the Audit Commission and the LEA over the value-for-money exercise. In
each instance this meant coping with strategic uncertainties.
b) External
The influence of key influencing agents in the external environment
became, as has been demonstrated, even more critical during the
period under consideration. The fate of the college largely
rested on its ability to satisfy Validating Bodies, HMI, the Welsh
Office, WAB, the Audit Commission and prospective employers as well as
its recognition by the LEA as a crucial part of the county's economic
and educational infrastructure.

9.4.3 Rewards and Sanctions
Ability to satisfy key external influencing agents produced both material
and normative awards, with the one reinforcing the other. A favourable
quinquennial institutional review from CNAA on the one hand, for example,
greatly enhanced the standing of the college with the LEA, HMI and WAB and
thereby had a material effect on course approvals and resource allocation.
Delays in securing external validation for important course developments
such as the B.Eng. and HND in Computer Studies, however, affected the
reputation of the Faculty of Science and Technology in the college and
undermined its case for a further injection of staff and capital, which
the Academic Board and its Sub-Committees were better able, as a result,
to resist.
In much the same way, therefore, normative/symbolic and material rewards
were interlinked internally. Failure to adhere to the Planning Cycle and its SOPs produced strong disapproval from the Sub-Committees who called for support from the Academic Board and Senior Management in defending the integrity of the planning system. Normative disapproval also sharpened critical appraisal and raised levels of accountability over the distribution of resources. As the Sub-Committees developed criteria for evaluating proposals so rewards and sanctions became linked to the ability to satisfy these criteria. Such was the case for example with revenue and capital allocations which became increasingly linked to a faculty's ability to recruit students to target.

9.5. Alignments and Correspondences

It was intended that the corporate planning system should strengthen integration and control. The addition of formal bureaucratic devices to mutual adjustment and bargaining was seen to be particularly necessary for the improvement of environmental scanning and corporate interfacing. The fact that the planning system existed and was operational had a crucial impact on the standing of the college with key agencies such as CNAA, WAB and the Audit Commission. Irrespective of the impact of corporate planning on process and performance outcomes (left for consideration in Chapter 12) it was regarded as significant that systems existed which addressed problems openly with a purposive rationality. While the creation of a fifth faculty had the appearance of extending differentiation it was intended to assist integration by preventing asymmetrical growth likely to create a college within a college. By the time of the split the Planning Cycle was, in any event, being operated with increasing confidence and impact as an integrative device. As far as systems development was concerned, interest focused on the balance between 'top-down' and 'bottom-up' contributions to planning. The review of organisational development prepared in 1982, both for the CNAA and for
internal consumption, identified a need for a stronger top-down contribution. Circumstances, notably WAB interventions, conspired to increase the pressure on top management, in the persons of the Principal and the Assistant Principal, to take a firmer grip on the planning process and strengthen the 'top-down' component.

As has been demonstrated, while the planning system had a significant impact on accountability it had a mixed impact on control. Given the power resources located in the faculties, the ambiguous technology and the professional predispositions of personnel, strong resistances emerged to developments, such as monitoring and evaluation of courses, which threatened professional autonomy and faculty independence. For much the same reasons the Review Phase of the Planning Cycle proved the most difficult to operate in accordance with design specification. These issues will be further examined in Chapter 12.

10. CONTEXTUALIST PERSPECTIVE

10.1 Inter-relationships

10.1.1 Government and the LEA

Apart from the pervasive impact of efforts to control public expenditure, Government relations with the LEA had important implications for the college in four areas.

a) Industrial Development

The impact of major structural changes in employment was as much a concern of the Welsh Office as of the County Council. The Secretary of State gave the highest priority to attracting new high-technology industries into the region and was able to claim, in partnership with the County Council, a number of major successes. The importance of the educational infrastructure was recognised by both partners and major investments were undertaken in staff and equipment in order to establish first class educational and training facilities in microelectronics.

As has been demonstrated, the County Council spent large
sums of money in improving college facilities, especially during the financial year 1981/82. It hoped to be rewarded for its efforts with the designation of the college as a 'centre of excellence' in microelectronics and strenuous efforts were made to court ministers and the Welsh Office. The Under-Secretary of State visited the college on 21st April, 1981 as a preliminary to receiving a deputation from the County Council three days later. The Secretary of State himself visited the college in October of the same year in order to compare provision with that which he had seen in the USA. In the end the Welsh Office decided against designating a single centre within the educational sector, having been influenced by industrialists to adopt an alternative approach. The Secretary of State did, however, provide critical support for the development of a new degree in microelectronics at the college. This was seen as a major vote of confidence in a non-polytechnic institution.

The County Council was equally active in supporting efforts by the college to cater for the growing numbers of unemployed. When the attempts to run a one-year certificate for teachers of Maths and Science ran into difficulties with the Welsh Office, for example, steps were taken to prompt questions in the House of Commons and to generate political pressures for approval. Although failing in its initial objective the college was approved for a shortened B.Ed. in Maths/Science directed primarily at casualties from the steel industry capable of training as teachers in this shortage subject area.

b) Major Building Project on the 'C' Site

The County Council sought to have the project approved as one of regional and national importance in order to obtain special funding from the Welsh Office. The imminent visit of CNAA in March, 1982 raised the tempo and a strong deputation presented the Authority's case at the Welsh Office on the 12th March, 1982. While the project was approved for funding out of the Authority's own capital programme it was not accorded regional and national importance. Even so Phase 1 went ahead and as it progressed
efforts redoubled to secure special status for Phase 2. The Minister of State at the Welsh Office was invited to the college in June, 1984 to see for himself the need for further development as a preliminary to presenting a formal submission on Phase 2. Last minute adjustments by the Chancellor to the Capital Programme for 1985/86 just kept the project off the Welsh Office's approved list but the situation was remedied for the 1986/87 programme with Phase 2 to proceed as a scheme of regional and national importance funded by the Welsh Office.

Welsh Office support for the project was seen to be crucial in securing the long-term future of Art and Design in the college.

c) Management and Funding of Higher Education in the Public Sector

As has been indicated, the prospect of the take over of major higher education institutions in the public sector by the DES drew a strong response from both the LEA and Board of Governors. After a period during which opinions varied over the most appropriate management arrangements for Wales, the WAB solution was accepted, but with reservations. These centred on early hiccups over confidentiality and channels of communication, and the inequitable representation on panels.

The county councillors had seen to it that the sharing of seats on the Committee of WAB between the Welsh Joint Education Committee and the Welsh Counties Committee ensured representation for each county council.

The initial representation on the Board, and particularly the Board's panels was seen to be too selective and pressures were generated by the County Council, prompted by the Board of Governors, to widen representation. As a result the Assistant Director of Education FE, the Principal and Assistant Principal joined enlarged panels.

Both funding methodologies adopted by WAB, as has been indicated in 9.3.1 (b) above, served to increase the County Treasurer's interest in the resource utilisation performance of the college. As long as the County's net position on contributions to and receipts from the AFE pool was
satisfactory there appeared to be limited concern. As soon as the methodology moved to student targets, however, the extent of 'topping up' by the Authority and the college's SSR performance were thrown into high relief. The latter was brought into discussions on estimates for the first time in November and December, 1984.

d) Audit Commission Value for Money Studies

The value for money study undertaken at the college in 1984 was one of a number of similar studies being undertaken of the County Council's services by the Audit Commission. The purpose of each was to compare the County's performance, using standard resource utilisation indicators with the performance of a set of County Councils having a similar profile. As has been indicated the college was shown, on the basis of its 1982/83 performance, to be a high cost institution and the report indicated that savings of £650,000 per annum were available if the college could match the average performance of its set. The impact of the report on relations between the LEA and the college is discussed below and in Chapter 12.

10.1.2 LEA and the College

It will be seen from the sections dealing with finance that during the period under consideration the college was not subject to serious financial pressures. The requirement in 1979/80 to find £105,000 did arouse alarm and despondancy and prompted Senior Management to confront the Governors and the Authority with fundamental issues over the role of the college and the way its future might be planned. During following years, however, major investments were undertaken in the college, particularly in the microelectronics area with a view to establishing a centre of excellence. These followed upon the increasing recognition given to the role of the college within the County's economic infrastructure at a time when it was seeking to attract high technology industry to the area.
In general the LEA was highly supportive of the college, as is demonstrated by the efforts made to secure centre of excellence status, the inclusion of Phase 1 of the building project in its capital programme and the purchase of the Scanning Electron Microscope, and interfered little in its day-to-day operations. Although WAB related formally to the LEA, all the major transactions with WAB were dealt with by the college, hence the initiatives taken by Senior Management, Academic Board and the Board of Governors which the LEA permitted and supported. The same was in fact true of all major developments in academic policy. It was not until the WAB planning exercise and the Audit Commission report that the LEA began to take a direct interest in the corporate planning system developed in the college and to consider linking it to budgetary processes. Target SSRs were first linked to College Estimates in 1984/85 and explicitly declared in the Strategy presented to Governors in October 1985 (see Appendix W).

10.1.3 Regulatory Bodies and the College
As has been demonstrated the influence of regulatory bodies such as HMI, Validating Bodies and WAB were pervasive. The CNAA Institutional Visit in 1982 gave the college a major boost of confidence while the validations undertaken by the CNAA's subject panels on the B.Eng., BA Fine Art and BA Graphic Design were problematic. Generally speaking, however, the college performed well with Validating Bodies and enjoyed a good reputation with HMI.

10.1.4 Board of Governors and the Academic Board
The basic relationship as previously described in Chapters C and 9 largely remained but with fewer tensions. The Chairman who took office in June, 1979, and who remained in the chair for the whole of the period under consideration, was much more relaxed about protocol and visited the college less frequently than his predecessor with the result the Principal and Academic Board exercised even greater control over academic policy. There was no dispute over the route to be taken for the documents submitted to CNAA in 1982, for example, as there had been in
1977. Copies were sent to all governors for information but they were not submitted to the Board for formal approval.

As has been demonstrated the Principal and Academic Board enjoyed strong support from the Board of Governors on all major academic developments. They generated pressures at the LEA level and beyond when thought necessary. Such was the case, for example, over courses for redundant steel employees, the creation of centre of excellence for microelectronics, and building developments.

The Principal played a crucial interfacing role between the Board of Governors and the Academic Board and Senior Management and exercised considerable discretion over the route chosen for key issues. Wherever possible the Academic Board was given first bite and its opinions were invariably canvassed on all major issues. There were occasions, such as the consideration of the WAB letter of August 1983, however, when the Principal saw advantages in routing an issue through the Governors before presenting it to Academic Board. As it turned out this proved to be a controversial decision which aroused great passions, not least because of the resulting tight timetable which prevented discussion of the 5% cuts exercise at faculty boards prior to consideration by the Academic Board. For the second WAB planning exercise in July 1984 the Academic Board and Senior Management took the initiative and the Governors were content to endorse their responses to WAB.

All Academic Board decisions having resourcing implications required endorsement by the Governors. The annual programmes for Staff Development and Research, for example, were considered by the Chairman and Vice-Chairman in the first instance prior to their approval by the full board. Programme details were never contested and the route provided a useful control device for the Finance Officer for keeping track of expenditure in relation to initial allocations. In fact, the device of routing business through the Chairman and Vice-Chairman in the first instance
continued to be highly expedient.

10.1.5 Board of Governors and Representative Groups

a) Senior Management

While the position remained largely as described in Chapter 8, the Dean of the Faculty of Science and Technology came into much closer direct contact with the Chairman and the Board than would normally be the case, as the result of developments in microelectronics on the one hand and the review of the faculty structure on the other. Both developments provided the Dean with a high level of exposure which worked to his advantage in the first instance but which did not produce the outcome he wished for in the second.

b) Staff

The period under consideration was one of relative calm and neither the staff governors nor the NATFHE Coordinating Committee found it necessary to confront the Board or the LEA, except at the beginning and end of the period, with issues on which staff felt especially aggrieved. Strong representations were made on the mid-year cuts forced upon the college in 1979/80 and it was the prospect of cuts in response to the WAB 5% planning exercise which aroused such a strong reaction in October 1983. Tagged on to the resentment over cuts was the refusal of the Principal to arrange for a special meeting of the Staff Joint Consultative Committee to be called in accordance with approved procedures. As the JCC had fallen into disuse there was some confusion over the nature and interpretation of approved procedures and it became necessary to renegotiate its composition and terms of reference once the dust had settled. As has been demonstrated (see pages 516-517) staff succeeded in generating sufficient pressure to secure important additions to the Principal's document, but without changing the basic message which was that a major increase in student numbers could be accommodated without an increase in resourcing. In the county-wide
dispute between NATFHE and the County Council the Board of Governors displayed considerable sympathy for staff at the college (see pages 517-518).

c) Students

Relations continued to depend on the personalities and dispositions of the sabbatical presidents, college and site, and the full-time officers of the Students Union. Much responsibility fell on the latter for the management of union affairs and it was their mismanagement which created the financial crisis of 1983. Although the Board of Governors sought to insist upon a reduction in the number of sabbatical presidents as part of the rescue package the Students Union held out and carried the day. Even so, the procedures were given the full overhaul promised by the Chairman.

10.1.6 Academic Board and Senior Management

As has been demonstrated, the introduction of the planning system served to make more public and explicit the responsibilities falling on Senior Management for the initiation and execution of policy and to highlight their several interfacing roles. By the same token it served to clarify relationships between Senior Management and the Academic Board. Senior Managers were key members of the Academic Board and its Sub-Committees and much was expected of them by way of academic leadership and action. They were expected to uphold the integrity of the Planning Cycle. They were expected to tackle problems which the Committees themselves had been unable to resolve, notably over resourcing. Such was the case with the B.Eng. and HND Computer Studies course developments when the Assistant Principal (R) was called in by the Planning and Resourcing Sub-Committee to conduct a staff audit. He was also the senior manager who acquired the general brief of preparing reports, discussion paper and plans both for internal and external consumption.
The Board proved very willing to rely on Senior Management to perform the major interfacing roles with external bodies and to support their initiatives. Such was the case for example with the paper COLLEGE DEVELOPMENT AND RESOURCES presented to Governors in November, 1979 without prior consideration by the Board. The document was warmly welcomed as an important statement in lieu of a college academic plan. In much the same way, although subject to discussion and approval by the Board, the responsibility for subsequent corporate strategies and submissions to CNAA and WAB was seen to rest primarily with Senior Management.

While the Board were content to rely on Senior Management for the kind of initiatives described above, indeed expected this degree of academic leadership from them, they were less satisfied with, though generally tolerant of, their record on implementation. Following the 1982 CNAA visit particular attention was given by the Board and its Sub-Committees to failures of executive action with the Staff Development Sub-Committee being particularly vocal in its criticisms (see pages 495-496). Senior Management took these criticisms seriously as is demonstrated by the kind of preparation undertaken before meetings of the Academic Board when items from the previous meeting requiring executive action were given particular action. Attention to implementation also helps explain the extent to which the Principal and Assistant Principal became the watchdogs of the Academic Board and thereby developed a 'top management' role within Senior Management.

It was the Principal in his capacity as Chairman who took the opportunity to present regular personal reports to the Academic Board on significant changes in the internal and external environment.

10.1.7 Academic Board, Sub-Committees and Faculty Boards

It was between these levels that relationships were expected to change most as a result of the introduction of the planning system. In view
of the attention already given to these relationships when considering integration and control and the intention to treat them in further detail in Chapter 12, attention will be confined, for the present purpose, to a number of brief general observations.

a) The Academic Board and Sub-Committees took their corporate roles seriously and were intolerant of failures by the Faculty Boards and Deans to comply with the Planning Cycle, calling upon the Principal to uphold the integrity of the Cycle when they thought it was being undermined.

b) As the Sub-Committees gained in confidence so they became more openly critical and demanding of the faculties. Appendix 0 demonstrates, for example, how far the Staff Development and Research Sub-Committee was prepared to go in open criticism of faculty strategies.

c) Criticisms tended to be directed more strongly at process failures than at performance failures, however, and if faculties were disinclined to respond, as was the case with certain aspects of staff development policy and with course monitoring and evaluation, there appeared little that the Sub-Committees themselves could do to prompt a response even with the support of the Academic Board.

d) Greatest influence was exercised over the faculties in the performance of Phases 2 and 3 of the Cycle. Pressure was successfully applied at Phase 2 to get faculties to adopt the same format for their strategies and to address similar issues in an open, self-critical manner. As Phase 3 involved the allocation of resources between faculties it was recognised that failure to meet the wishes of a Sub-Committee would affect the recommendations made by it. The phase of the Cycle performed least satisfactorily by the Faculty Boards was the Review Phase and the Academic Board and the Sub-Committees found it extremely difficult to sharpen up completion of this phase at each level.
e) Both the Academic Board and its Sub-Committees were disinclined to take on a faculty which had made up its mind about an issue. Such was the case, for example, over the purchase of computer equipment by the Faculty of Management and Professional Studies despite opposition from the Computer Services Committee. Similarly the Academic Board accepted the submission prepared for the Welsh Office by the Faculty of Education and Combined Studies on teacher training places despite open criticism within the Academic Board of the unrealistic targets submitted for subject areas at the secondary level.

f) As long as a problem was resolved at Sub-Committee level prior to discussion at the Academic Board the Sub-Committee's recommendations were likely to be upheld by the Board. If a problem remained unresolved when considered by the Academic Board, however, faculty loyalties tended to supersede corporate loyalties.

10.1.8 Faculty Boards, Deans, Heads of School and Staff
Sufficient has been written about the mode of operation of the Faculty Boards in section 3 above not to require further elaboration. Relations between Deans and Heads of School and the general style of management adopted by each Dean varied significantly as was made evident in the report prepared on the Heads of School workshops organised in 1983 (see Appendix R).

10.2 Political and Cultural Analysis of Context and Process

10.2.1 Conflict
Attention has already been drawn, as appropriate, to the tensions and conflicts present at and between various levels in the organisation. This section aims to point up major sources of tension and conflict and the means employed to cope with them.

a) College/LEA Interface
The period under consideration is notable for the absence of conflict and the close co-operation and common interest found between the LEA and the Board of Governors on the one hand and the Board of Governors and
the Academic Board on the other. Even so, discordant notes were struck from time to time and attention will be focused on them. At the very beginning of the period, of course, the college was confronted with the mid year cut of £105,000 and the opportunity was taken once again to seek clarification of the role it was expected to play in the overall educational provision. It failed as in the past to get clear answers to the direct questions addressed in the discussion document COLLEGE DEVELOPMENT AND RESOURCES presented to Governors in November 1979. Some comfort was derived from the general support displayed by Governors, however, and the college became reconciled to the fact that it would have to accept responsibility for shaping its own future within the constraints imposed by circumstances, including the actions of the LEA. Reminders were provided from time to time of the care needed in the conduct of relations with the LEA. Such was the case for example with attempts to improve accommodation on the 'A' site. The action taken by the Chairman of Governors in November 1982 to invoke the aid of the Leader of the Council caused difficulties between the Chairman of Governors and the Vice Chairman of the Education Committee which were made public at the meeting of the Board held on 17th December, 1982 (see pages 513-514 above). It was necessary for the Governors to avoid giving the needs of the 'A' site too much exposure for fear it might threaten the major building project on the 'C' site. When they did raise the issue again in April 1984 the Education Committee did not take too kindly to the criticism implied in the concern expressed over low priority given to building developments at the 'A' site. Steps were quickly taken to put the record straight in a suitably deferential way. Indeed care was normally taken in the half-yearly reports to acknowledge the support received by the college from the County Council. Although the dispute between the County Council and NATFHE in 1984 over the attempt to introduce a unilateral change in conditions of service affected the College of FE more than the College of HE, staff from the
College of HE were known to be heavily implicated. Soon after the dispute had ended with the defeat of the County Council, the Value for Money Report of the Audit Commission fell into elected members hands and pressure was renewed to achieve reductions in staffing levels. As has been demonstrated there were few conflicts between the Academic Board and Board of Governors during the period under consideration, the one exception being the WAB planning exercise of October 1983 when the major tensions were between NATFHE and Senior Management rather than between the Academic Board and Board of Governors. On that occasion staff governors succeeded in winning the support of the Board in tempering the messages conveyed in the Principal's document approved by Academic Board.

b) Academic Board, the Sub-Committees and Faculty Boards

Sufficient has already been written above to highlight the tensions and conflicts inherent in the relations between the Academic Board, its Sub-Committees and the Faculty Boards. Some were amenable to reconciliation through the disciplines imposed by the Planning Cycle, others required mutual adjustment and bargaining in the arenas created by the Sub-Committees who were able to insist on adherence to standing operation procedures on the one hand and commitment to a corporate view on the other. As has been demonstrated the Chairman of the Planning and Resourcing Committee reminded his members on 18th March, 1983 that they were not free to challenge recommendations at the Academic Board (see page 458). Once inter-faculty conflicts of interest had been resolved at Sub-Committee level, the Academic Board was reluctant to re-open the matter and generally gave its full support to the recommendations presented to it. That is not to say, however, that the faculties were tamed by the Planning Cycle. Faculty strategies were used, despite criticisms on form and content, to convey strong messages to the Academic Board which heightened tension and conflict rather than reduce it. Such was the case with the messages sent out by the Faculty of Science and Technology over the general lack of support received from the college and the particular
difficulties over the resourcing of the B.Eng. and the HND Computer Studies. Even so, the planning framework helped contain the conflict and when an issue became too hot to handle it was passed on to Senior Management. Since senior managers were expected to uphold the integrity of the Planning Cycle and to present, as far as possible, a united front to Academic Board, many inter-faculty conflicts were resolved by mutual adjustment and tacit bargaining at the meetings held in preparation for the Academic Board.

In most instances staff were content with these processes but occasionally the route taken for handling a problem aroused suspicion and hostility. Such was the case with the approach adopted to preparing a college response to the August, 1983 letter from WAB. Sufficient detail has been provided of that event not to require further elaboration at this stage.

c) Faculty Boards

The differences in culture and styles of management continued to influence the handling of conflict in much the same way as already described in Chapters 8 and 9. The organisational reforms did, however, produce important shifts by requiring faculties to be much more open and explicit about their operations and to account for unsatisfactory process and performance outcomes.

While the Faculty of Art and Design found it difficult to internalise the philosophy and technology of corporate planning, Planning Cycle procedures impinged sufficiently on the Faculty Board to increase both the amount and kind of attention given to internal course validation and educational policy. Heads of School were required to present course submissions and policy development to the Faculty Board for approval in a way that had not happened before. Even so, the Heads of School remained a dominant influence and the three most influential were able to hold up the development of a Higher Diploma in Film and Video because of the fear
they held that it would introduce a new competitor for already scarce resources. In the remaining faculties the organisational reforms served as much to reinforce as to significantly change styles of management.

10.2.2 Power Resources and their Use

a) Chairman of Governors

As has been indicated in 8.1 above the new Chairman elected in June 1979 was able to spend less time at the college than his predecessor. As a result he relied more heavily on the Principal and did not play an obtrusive gatekeeping role. It was essential to keep him well briefed and maintain his support, however, and it remained expedient to channel business to Governors through reports presented by the Chairman and Vice Chairman. In addition the Chairman was a valuable source of intelligence to the college on developments in HE at the all-Wales level since he was a member of the WJEC and of the WAB Committee.

b) Principal

The Planning Cycle served to strengthen the Principal's power base by:

(i) highlighting his several interfacing roles, (ii) confirming his pre-eminence as Chairman of the Academic Board and therefore his right to direct the planning system in the corporate interest, (iii) providing him with new potential allies in the sub-committees, (iv) creating an ostensibly rational management system which enhanced its legitimacy in the internal and external environments and yet did not require a major change in his preferred leadership style, and (v) generating new opportunities for the unobtrusive exercise of power by influencing agendas and controlling normative rewards and sanctions. As has been demonstrated, each of the above was recognised by the Principal, after initial misgivings
had proved unfounded, and used with considerable skill by him. His power resources were, of course, underwritten by developments in the external environment which enhanced the importance of his interfacing roles and confirmed the need for a stronger 'top-down' contribution to corporate planning and the application of higher levels of corporate accountability to the faculties. He continued, however, to prefer the unobtrusive exploitation of power resources to open intervention.

c) Assistant Principal (R)

When the Dean of the Faculty of Management was appointed Assistant Principal he brought with him the power resources acquired during the design and legitimisation of the Planning Cycle (notably coping with uncertainty, expertise and assessed stature and credibility) but also moved into a role which had less direct authority and influence than that available to a Dean. Such power resources as were to be acquired and exploited, therefore, depended more upon performance than rank. The major roles attached to the post provided ample opportunity, however, for acquiring and exploiting significant power resources. As initially conceived the job description had three main elements: site management of the 'A' site; general personnel management responsibilities for academic staff, including conditions of service, staff development, research and consultancy; and corporate planning and the co-ordination of management information, including the preparation of annual statistical returns such as the Establishment Review produced for internal use and the Student Staff Ratios produced for the Annual Monitoring Survey conducted by the DES/Welsh Office. To these were added a general problem-solving and report writing role, reflected in the frequent reference made to the appearance of reports produced by the Assistant Principal. Reference has already been made in section 9.4.2 (a) above to the extent to which the college became dependent upon the Assistant Principal for certain services and the power resources these conferred upon. In addition, the site
management role gave him control over the allocation of space in a
crowded building and provided him with opportunities for enhancing his
stature and credibility by improving space utilisation and developing
site support services. The personnel management role provided him with
two significant power resources. The first related to the handling of
conditions of service and establishment matters which involved direct
liaison and negotiation with NATFHE. The second related to his role as
the Principal's representative on the Staff Development and Research
Committee which he was able to exploit to influence policy and to send
strong messages to his senior colleagues, notably the Deans, over the
operation of the Planning Cycle. Much of the output of the Committee
was written with his assistance.

d) Deans of Faculty

Despite the shift in the balance of power achieved by the Planning Cycle
the Deans retained major power resources which derived from their
involvement in all major operational and strategic decisions. This
became obtrusively obvious during discussions of academic leadership
following receipt of the 1982 CNAA Report (see page 499).
They therefore continued to enjoy a high level of discretion over agenda
setting, problems selected for management attention, and the conduct of
relations with Heads of School and Staff as well as retaining control
over information and material and symbolic sanctions and rewards.

e) Heads of School

As was demonstrated by the Heads of School Workshops (see Appendix R)
there were varying levels of awareness among Heads of School of the power
resources available to them as well as differing dispositions to make
tactical use of them. The workshops raised their level of awareness but
made less impact on management styles than changes in personnel.
f) Ordinary Members of the Academic Board and its Sub-Committees

Although the organisational reforms did not create the alternative power structures once feared, not least because of the dependence on Senior Management for information and servicing, as the Sub-Committees acquired greater stature and credibility so they made more effective use of the material and symbolic rewards and punishments at their disposal. Initially members were offended by the failure of faculties to observe standard operating procedures and to submit appropriate documentation on time. This propensity to take offence helped create a corporate allegiance among faculty representatives who saw it as their duty to increase the accountability of faculties, including their own. The extent to which a sub-committee operated as a powerful interest group depended very much on the skills and stature of the Chairman, the quality of servicing and the influence of the Principal’s representative, the issues tackled (process outcomes being more amenable to influence than performance outcomes) and the coalitions formed with other sub-committees and top management at the Academic Board.

g) Officers of NATFHE

The position remained much as described in Chapter 9. NATFHE became activated on academic policy matters only when significant staffing and conditions of service implications arose. These were initially missed when a College Corporate Strategy was approved by the Academic Board in April 1983. Its significance only began to register later in the year when references were made to it by senior managers during discussions of the WAB 5% cuts exercise. One faculty, from which a number of NATFHE officers were drawn, belatedly prepared a critical appraisal of the strategy (see pages 436–437) but this came too late to influence the Academic Board. Strong opposition was mobilised by NATFHE in October 1983, however, against the initial response prepared by Senior Management to WAB on grounds both of failure to observe appropriate
consultative procedures and content. At faculty board level a standard formal protest was orchestrated by NATFHE in the form of a resolution passed by the three faculties on the 'A' site. At Academic Board level a number of members, again from the 'A' site, formally left the meeting on the instructions of the NATFHE branch in protest over discussion of the 5% cuts. At Board of Governors level NATFHE organised a strong lobby and distributed a letter of protest to all members prior to the meeting of the Board held on 21st October, 1983. Their efforts succeeded in significantly changing presentation while leaving the basic message to WAB intact. This example illustrates both the strengths and limitations of NATFHE's influence.

The credibility and assessed stature of NATFHE officers depended not only on events in the college but also on events in the county. The dispute in 1984 over conditions of service turned into a cause célèbre claiming national media coverage. After a bitter struggle involving industrial action by staff the Authority was forced to climb down. As an exercise in impression management it proved to the Authority how far NATFHE was prepared to go at local and national level in defence of its members' interests. The College Board of Governors was embarrassed by the dispute and showed sympathy for academic staff.

1C.2.3 Management of Meaning and Legitimacy

a) Legitimacy

The organisational reforms sought to institutionalise a cultural shift in favour of purposive rationality, corporate planning and an open, participative, self-critical style of management. It was acknowledged from the outset that these would be internalised with varying degrees of difficulty and enthusiasm and that time was needed for the organisation to learn to accommodate the philosophy and technology of corporate planning. And so it proved, with events in the external environment having a significant influence on the legitimacy afforded the planning system and willingness to accept its disciplines. In each case, whether
the intervention came from CNAA, WAB or the Audit Commission, the value of the planning system, if only to provide cover, was acknowledged. There was also the fact that the technology directed attention to threats and opportunities in the external environment and the need to satisfy key influencing agents about process as well as performance. In addition to pressures from the external environment there were the internal pressures generated by the Academic Board, its Sub-Committees and top management who shared a common interest in underwriting the legitimacy of the planning system and in enforcing the levels of accountability imposed by it on the faculties. Even so, faculties continued to adopt a selective and expedient approach to the Planning Cycle. This gave rise from time-to-time to expressions of concern at Academic Board over elements of tokenism and ritualism in its operation. An annual warning was given to the Academic Board by the Principal about these dangers.

b) Ideology and Vocabulary

A willingness to at least go through the motions indicated the extent to which the philosophy and vocabulary of corporate planning had taken hold in the college. They did not require justification. Rather the onus fell on deviants to justify their aberrations and their defences needed to be couched in the language of purposive rationality.

c) Myth Making

The historical review of organisational development prepared for the 1982 CNAA visit as well as providing an opportunity for critical self-appraisal also provided the first major opportunity for myth making. Both opportunities were taken as is demonstrated in section 6.1.1.

From the detail provided of the main submission to CNAA (see also Appendix H1 and H2) it can be seen that a conscious effort was made to rationalise past events with the benefit of hindsight and in so doing draw attention to contextual realities and explain the predominance of 'bottom-up' planning during the first two phases of organisational development. Since
the absence of a stronger 'top-down' contribution was acknowledged to be a weakness, an intention was declared to correct the imbalance in phase 3.

d) Purpose, Commitment and Order

The planning system served to encourage more explicit declarations of purpose at faculty and corporate levels. As improvements were made in form and content to faculty and corporate strategies so it became easier to identify the direction in which the college wished to go and the constraints operating upon it in the external environment. Indeed, one of the major influences of corporate planning was to direct greater attention to the external environment and to encourage discussion of the best means of adapting to and exercising some control over it. The 'top-down' contributions in particular offered detailed analyses of the external environment and the threats and opportunities which they presented to the college.

As has been demonstrated in sections 9.2.2 and 9.2.3 above, the period under consideration saw important advances in integration, accountability and control associated with the operation of the Planning Cycle. It is not intended to elaborate further on these advances other than to underline two features. Firstly the new sub-committee structure provided important new arenas for mutual adjustment and bargaining which helped the process of reconciling conflict and achieving a corporate consensus. Secondly while the planning system perceptibly encouraged greater corporate accountability it had less success with control, particularly over the faculties who retained a high level of discretion. It is significant that the review phase of the Planning Cycle was the one least satisfactorily completed at each level in the organisation.

10.3 Pattern of Change

10.3.1 Impact of Crises

Three major interventions from the external environment required responses
from the college during the period under consideration.
The CNAA Institutional Review prompted a major critical self-appraisal
from the college which the visiting party accepted as largely correct.
They were sufficiently impressed with developments since the 1977 visit
to grant full 5 year approval. This gave a great boost to morale in the
college, enhanced the legitimacy of the reforms introduced following the
1977 visit and increased the stature of those most closely associated
with the reforms and the production of the submission to CNAA. As has
been demonstrated, the opportunity was taken in the documents submitted
to CNAA to send messages, some of which had the characteristics of an
emerging organisational mythology, to several audiences.
The WAB planning exercises served to demonstrate the value of
institutional corporate planning systems while at the same time
considerably sharpening up their operation. Forecasting of target
student numbers became much more realistic following public exposure of
the excessively optimistic forecasts initially prepared by the faculties.
The 'top-down' contribution increased in significance as did the role of
top management. The exercises, particularly the first one involving
consideration of a possible 5% cut in funding, also provoked the kind
of response from staff which served as a timely reminder of the
sensitivities which attached to threats of redundancy. Even so, while
micropolitical considerations loomed large the WAB exercises gave the
greatest boost to purposive rationality and concern for the external
environment.
The value for money report of the Audit Commission served to confirm
concerns within the college about resource utilisation performance,
notably low SSRs, and to make these known to the Authority in dramatic
form. There were fears in the college that following the bitter dispute
with NATFHE, the report, which covered the largest College of FE as well
as the College of HE, would be used by the Authority to wreak retribution
on staff in FE and HE. This did not happen but steps were taken to link
the Planning Cycle to the budgetary process in such a way that the
college was required to declare its SSR targets for the three year
planning period. While exposing poor performance the report also
showed enthusiasm for the corporate planning system and style of
management in the college and acknowledged that the problems had been
identified prior to the study and were already being tackled, albeit
with limited success.

10.3.2 Incrementalism and Purposive Rationality
Developments in the internal and external environments greatly increased
the legitimacy of purposive rationality, particularly in the domain of
justification. (See Chapter 4, pages 107-8). In the domains of
policy derivation and policy adoption, however, strong incrementalist
tendencies remained. Adaptations to organisational reform were in
themselves highly incrementalist and there was still an inbuilt tendency
for solutions to emerge after the extended rehearsal of problems and
mutual adjustment rather than by purposive intervention, although the
latter did feature more prominently during the period under consideration
for reasons already established.

10.3.3 Changes in Management Personnel
A number of changes occurred during the period under consideration all
of which proved helpful to the operation of the corporate planning system.
The division of the Assistant Principal's role and the appointment of the
Dean of the Faculty of Management (R) to the academic post placed the
designer of the corporate planning system in charge of its development.
Other elements in his job description, notably the co-ordination of
management information, were complementary to his role as corporate
planner.

The early retirement of the Director of Studies permitted a reorganisation
of the servicing of the Academic Board and its Sub-Committees with a
Senior Administrative Officer from the 'A' site appointed Co-ordinator
and Secretary to the Academic Board.
The secondment of the Dean of Faculty least sympathetic to the Planning Cycle and his replacement by a Head of School more in tune with its philosophy and technology removed many of the tensions and conflicts which had previously originated within that faculty.

10.3.4 Shifts in Power

It will be evident from the discussion of dependencies in section 9.4.2 and of power resources and their use in section 10.2.2 above, that important shifts took place during the period under consideration. These shifts were strongly linked to developments in the external environment which gave increasing prominence to interfacing roles, not least those of the Principal and Assistant Principal. Although the Deans of Faculty retained their hold over major power resources they became increasingly accountable to the Academic Board and its Sub-Committees and thereby had less room for manoeuvre. For the early part of the period under consideration, however, circumstances conspired to provide one Dean of Faculty with additional power resources which he exploited to the full to acquire additional staffing and equipment. The focus of attention on microelectronics developments provided the Dean of Science and Technology with direct access to major influencing agents in the external environment and greatly increased his assessed stature and credibility both within and outside the college. His expertise in the field of microelectronics and control over information and uncertainty were put to good tactical use. If anything he was too successful in the short-run since his success produced an asymmetrical development which threatened to create a college within a college. This was certainly a widespread view within the college. As a result there was strong support, mainly but not exclusively outside the faculty, for its division in two.

10.3.5 Transformation of Organisational Ideologies

While it was acknowledged from the outset that time was necessary to allow such a culturally diverse enterprise to accommodate the philosophy
and technology of corporate planning, there was no question but that such an adaptation was required across the board. As has been demonstrated in section 10.2.3 above, the inherently slow progress of internalisation was successively accelerated by the 1982 CNAA Report, the 1983 and 1984 WAB planning exercises and the Audit Commission Report of 1984, each of which enhanced the legitimacy of purposive rationality and confirmed the value of the planning system both in providing cover and in aiding strategic decision-making.

10.4 Alignments and Correspondences

In terms of ability to cope with threats in the external environment and to satisfy key influencing agents, the planning process proved to be in close alignment with contextual realities. The correspondences, while good in terms of process outcomes, were less satisfactory, however, in terms of performance outcomes. For as long as external agencies were preoccupied with the way the college was managed, that is with process, they saw much that was to their liking and which was generally in advance of what they found elsewhere. This was true of CNAA, WAB and the Audit Commission. When attention was focused, as is the case of the Audit Commission, on resource utilisation performance, however, the results were less flattering. Further attention will be given to the discrepancy between process and performance outcomes in Chapter 12.

11. GARBAGE CAN PERSPECTIVE

11.1 Incidence and Levels of Ambiguity

11.1.1 Mission and Goals

It will be evident from section 9.1 above that the college became less concerned during the period under consideration with clarifying its role with the LEA and more inclined to take its destiny in its own hands. The planning process aided by interventions from the external environment encouraged more explicit declarations, at each level, of missions and goals. Improvements over time in the form and content of faculty and corporate strategies further assisted the process. Mission and goals
were not stated with such precision as to remove all ambiguity, however. Indeed, a certain degree of generality was seen as an essential ingredient of successful planning in an educational environment, encouraging general commitment but also providing room for manoeuvre. This was a factor overlooked by the critics of the April, 1983 Corporate Strategy which sought, in view of the continuing reliance on the bottom-up component, to place the onus for converting general objectives into operational targets on the Deans and their Faculty Boards. Their reluctance to do so and their preference for substantial discretion at the operational level became less tenable in the wake of the WAB planning exercises. Forced to work to student targets specified by course programmes it became increasingly obvious what course mix each Faculty was committed to provide.

Another feature which confirmed the mission of the college as a polytechnic-type institution was the increasing importance attached to research and consultancy. In order to support the B.Eng. in Electronics and Instrumentation Systems, for example, it became necessary to appoint a Reader to supervise and promote research and consultancy activity in this area.

11.1.2 Technology

The position described in Chapters 8 and 9 above continued to apply during the period under consideration. The problems surrounding attempts to increase the rigour of internal validation and to introduce a college-wide system of course monitoring and evaluation underlined the extent to which faculties wished to retain maximum discretion over course development and student and staff performance. In both cases course teams emphasised the unique elements in their operations and were reluctant to afford legitimacy to any developments not based on peer group evaluation. Despite these resistances the Academic Board kept up the pressure on both counts. It backed the Course Administration Sub-Committee when that Committee's authority was challenged over the B.Eng.
validation and persisted with monitoring and evaluation despite the slow responses of faculties.

11.1.3 Participation and Leadership
Again the basic position remained largely as described in Chapters 8 and 9, subject to the developments to which attention has already been drawn. The planning system served in particular to make more public and explicit the responsibilities falling upon Senior Management and to clarify relationships between Senior Management and the Academic Board. It also served to expose differences in styles of leadership and thereby generate pressures for greater compatibility. There was little likelihood of achieving uniformity, however, given the cultural differences which persisted and which were thrown into high relief by the Heads of School Workshops (see Appendix R).

A further significant development also previously referred to (see section 10.1.6 above) was the differentiation of 'top management' and senior management roles in response to internal and external pressures. The Principal and Assistant Principal were identified by the Academic Board as being responsible for sustaining the integrity of the Planning Cycle as well for the 'top-down' component in corporate planning. They also handled the responses to WAB and in so doing increased the level of accountability of the Deans of Faculty to them.

11.2 Choice Opportunities viewed as Garbage Cans
The nature and frequency of meetings and the character of agendas came under the increasing influence of the Planning Cycle as the time-table and standard operating procedures took hold in each faculty. As has already been indicated, discourse was couched increasingly in terms of purposive rationality, particularly in the domain of justification. The degree to which confluences were amenable to regulation with the aid of purposive rationality varied with the kind of decision opportunity presented. In the domains of policy derivation and adoption more wayward
tendencies were manifest. There is no difficulty, therefore, in finding instances, as was done in Chapters 8 and 9, of choice opportunities being used for parading preoccupations, promoting vested interests, transmitting strong messages, negotiation and impression management as well as for matching solutions to problems. While recognising that many examples could be provided at each level, only the most striking instances are selected for attention for the present purpose.

11.2.1 Building Development on the 'A' Site

Although the major project planned for the 'C' site received greatest prominence, the faculties on the 'A' site persistently complained at Faculty and Academic Board of the severe pressures on space on their site and pressed for equal attention. The accommodation of the Joint CQSW course on the 'C' site weakened the case for the take-over of Old County Hall and it was left to the Site Manager (R) to achieve improvements in co-operation with his Dean colleagues by means of better space utilisation. Even so, a formal case for building development on the 'A' site was submitted to the County Council and it was the absence of a response over a six month period from the Assistant Director of Education in charge of buildings and severe pressure on library space at the beginning of the 1982/83 Academic Session which prompted a further initiative from the Site Manager. The Chairman and Vice Chairman visited the site and were so concerned with the shortage of library space that it was decided to take the matter up with the Leader of the Group. As a result a special site meeting was called at short notice involving Group Officers and the Chief Executive but with no representation from the Education Department. At the time the meeting was called there was a prospect of extra capital funds being available to part finance a development during the financial year 1982/83 but hopes were dashed within a few days by the Welsh Office. As has been demonstrated the circumstances in which the site meeting was called caused great offence in the Education
Department and prompted the Vice Chairman of the Education Committee to raise issues of protocol which had as much to do with relationships among senior politicians at County Hall as it did with the issue in hand. In short the garbage can had become a can of worms and it became necessary to give less prominence to the needs of the 'A' site for fear of threatening the major development on the 'C' site. The continuing sensitivity at County Hall to the issue was underlined by the response of elected members to the half-yearly report presented in April, 1984 which was seen to contain implied criticism of the Authority. During the period 1982-84 it was possible to achieve major improvements on the site by the expenditure of an enhanced minor works allocation on converting under-used laboratories to alternative uses. These improvements were accompanied by a reduction in the number of full-time students which eased the pressure on space. It was not possible to discuss course development, however, without representations being made on the inadequacies of staffroom, tutorial and specialist laboratory facililties on the 'A' site.

11.2.2 WAB Planning Exercise, October 1983

It was known early in 1983 that a planning exercise similar to that conducted by NAB was contemplated for Wales and that it was likely to be based on standstill and 5% cut options. The Faculty of Management was alerted by one of its members (also a member of NATFHE's National Council) in April at a meeting of the Faculty Board to the prospect of such an exercise being conducted by WAB. For a while the WAB Board refused to accept the requirement for a 5% reduction and strongly defended the needs of Advanced Further Education in Wales, regarded as underdeveloped in relation to England and Scotland. In the end the Board was forced to bow to the inevitable and a letter went out to the LEAs from WAB in August, 1983. It will already be evident from the accounts given of the way a response was prepared in the college that it quickly became a garbage can into which flowed fears of redundancy,
complaints over failure to observe established consultative procedures, a belated awareness of the contents of the Corporate Strategy earlier approved by the Academic Board in April, differences of view over the kind of messages which should be conveyed to the external environment, and so on. While the major issue in contention appeared to be participation, hence the common resolution passed by the three Faculty Boards on the 'A' site, the real issue was the extent to which government policy on the funding of Higher Education should be resisted at institutional and LEA levels. This was also the major issue underlying the criticisms directed by the Faculty of Management's Faculty Board at the College Corporate Strategy.

11.2.3 Quality Control

The corporate strategy included in the submission to CNAA for the 1982 Institutional Visit attached a very high priority to course monitoring and evaluation and this was strongly endorsed by the visiting party who were critical in their report of this aspect of the Course Administration Sub-Committee's work. The first initiative to develop a policy on quality control originated in the Faculty of Management and Professional Studies. It was contained in the third Policy Statement prepared by the Dean and approved by the Faculty Board on 8th June, 1982. Problems quickly developed within the Faculty, however, over the implementation of the policy, seen to be insensitively interpreted and operated within one school, with the result that the strongest resistances to quick implementation came from this Faculty which also provided some of the NATFHE representatives in discussions with the Principal, Dean and Assistant Principal over implementation. It was feared, on the basis of early experience, that undue pressure would be brought on staff identified by students as providing an unsatisfactory service and that the course monitoring would quickly become indistinguishable from performance appraisal. The most contentious issues were the means
employed for obtaining student feedback, access to the information and the use made of it. Following a period of protracted discussions, over two years, during which the major responsibility for producing a policy and related systems was given to the Course Administration Sub-Committee, a solution eventually emerged which devolved responsibility largely to course teams. The recommendations approved by the Academic Board were correctly recognised as a first step since it was not until the Academic Session 1985/86 that the Faculty Boards began to get to grips with the problem, by which time performance appraisal had become a major preoccupation of the DES.

11.2.4 Computer Services Committee
In terms of ambiguity of role, agenda setting and conduct of business this committee displayed strong wayward tendencies from the outset. These have already been described in sufficient detail to indicate how decision opportunities became garbage cans. While genuine attempts were made from time to time to systematically assess needs and recommend appropriate means, discussions continued to be subverted by excessive preoccupations with territorial rights, conflicting loyalties, irregular meetings and variable participation, confusion over terms of reference and relationships with the Academic Board and Senior Management, inadequate servicing (notably the absence of a Principal's representative), and lack of power resources.

11.2.5 Course Development: Film and Video
Of all the Faculty Boards, Art and Design continued to display the strongest anarchic tendencies. Some advances were achieved by the Board in achieving greater corporate control over decision-making, as is indicated by the increasing interest shown in course approval and validation, but problems remained where opinions were divided and the three most influential Heads of School were implicated. Such was the case with the conversion of the College Diploma in Film and Animation into a DATEC Higher Diploma in Film and Video. While the development
was in line with the Faculty's strategy and strongly favoured by the Dean, the Principal and Vice Principal, it was viewed with great suspicion by the three Heads of School who feared new competition for resources (the development was known to be potentially very expensive) and who preferred to see film and video subsumed with existing degree courses. The development was successfully held up by them until March, 1983 when an uncharacteristically strong intervention from the Chairman indicated that the internal discussions were to end and a submission prepared. Despite a few external problems involving participation by key influencing agents the HND was successfully validated for a 1985 start.

11.3 Participation and Attention

The organisational reforms were intended to reinforce and develop a highly participate style of decision making, seen to be both desirable in principle and operationally expedient. In terms of cultural adjustment this was the least difficult aspect of the reforms since the merged institution brought together cultures with strong participative tendencies, albeit expressed in different forms. Although there were differences in frequency of meetings and patterns of attendance, a strong sense of obligation was developed to the planning system, as representations from the sub-committees over the integrity of the cycle indicates, which was reflected in generally high levels of participation. Attention will be focused for the present purpose on those levels in the organisation, notably the Academic Board, its Sub-Committees and Senior Management, most directly affected by the introduction of the Planning Cycle. The distribution of attention will be considered, as before, in terms of rational action, symbolic significance and process pleasures, and obligations.
11.3.1 The Academic Board

It will be evident from the descriptions of the conduct of business provided in section 5.1 above that meetings of the Academic Board were generally well attended. Members of Senior Management rarely missed a meeting and faculties normally had at least two of their three representatives in attendance. Prior to the division of the Faculty of Science and Technology, it, together with the Faculty of Education and Combined Studies, achieved the best records of attendance with Art and Design and Management and Professional Studies proving less reliable, the latter having only one representative in attendance in 9 out of the 34 meetings and all 3 in attendance on 14 occasions only. With the division of the Faculty of Science and Technology the divided faculties proved less able to secure attendance of all three representatives. Heads of School formed the majority of elected faculty representatives. Attendance at Academic Board can be explained in terms of rational action, process pleasures and obligation. Given the importance attached to the Academic Board as the supreme policy-making body in the college, both before and after the 1977 CNAA visit, a strong sense of duty was attached to membership of the Board from the outset and failure to meet the obligations of membership was frowned upon. Among the process pleasures provided were status (membership being obtained by election), collection and earning of goodwill and the exchange of information. From the point of view of rational action both good and wayward attendance could be explained in terms of opportunity cost. Given the position adopted by Science and Technology towards the rest of the college it was important that it was fully represented at meetings of the Board. The more self-assured Faculty of Management and Professional Studies felt it less necessary to ensure full representation and individuals were left to evaluate the opportunity cost to them of being at meetings or attending to other, chiefly academic, commitments.
11.3.2 The Sub-Committees

The best attended were Planning and Resourcing and Staff Development and Research and the worst attended were Course Administration and Computer Services. A brief examination will be undertaken of each.

a) Planning and Resourcing

This was the best attended of all with faculties sending at least one representative and generally two to meetings. The Faculties of Art and Design and Management and Professional Studies proved the least reliable attenders. The technician and administrative staff representatives attended regularly but the student representatives only occasionally. While the same sense of obligation was attached to membership of the Sub-Committees, absence drew less attention than it did at meetings of the Academic Board. More significance seemed to attach, therefore, to rational action and process pleasures. In view of the role of the Sub-Committee in determining resource allocation and the status enjoyed by it as first among equals, the opportunity cost of non-attendance was regarded as high and the benefits in terms of exchange of information and the collection and earning of goodwill and support were also highly valued.

b) Staff Development and Research

Attendance, originally variable, stabilised at a high level after a few years of operation with faculties regularly having two representatives in attendance. The Faculty of Art and Design, apart from the student and technician representatives who were invariably absent, had the weakest attendance record. Since this Sub-Committee also had a positive role to play in determining the allocation of resources, in this instance a substantial Staff Development and Research Budget, it encouraged attendance in terms of both rational action and process pleasures.

c) Course Administration

Attendance was highly variable during the first three years dwindling to very low numbers on occasions during 1980/81 and 1981/82. For the
remainder of the period under consideration attendance remained variable but improved achieving an average of between 10 and 11 out of a possible 15. The Faculty of Management and Professional Studies had by far the worst attendance record throughout the period being completely unrepresented on 8 occasions out of a total of 23 meetings. No student representative attended a meeting and the administrative staff representative did not begin to attend regularly until the sessions 1982/83 and 1983/84.

The above may largely be explained in terms of the difficulty of the tasks performed by this committee and the ambivalent attitude which therefore developed over membership. It had no largesse to distribute and performed duties which impinged on matters over which the faculties wished to retain maximum discretion and resented interference. These were course development, internal validation and annual reviews of course performance, all of which tended to have a negative connotation and created difficulties for members, which required more positive servicing than that received by the committee. As a result the opportunity costs of attendance were high and the symbolic rewards few.

d) Computer Services

Sufficient has already been written about the problems of this committee to demonstrate how difficult it was to create a sense of obligation in view of its low credibility and the consequently high opportunity cost of attendance.

11.3.3 Senior Management

As has been demonstrated on a number of occasions the success of the planning system was seen to depend very much on the amount of attention and commitment which Senior Management were prepared to give to it. Members of the Academic Board and its Sub-Committees had high expectations of Senior Management in terms of the integrity of the Planning Cycle, the quality of servicing, the preparation of discussion papers and reports, the handling of unresolved problems and the
implementation of policy decisions and were quick to point out failures on each count. As the Planning Cycle acquired increased legitimacy and a common philosophy and technology became internalised, so the sense of obligation falling on Senior Managers increased. Even so, an ambivalence remained, notably among Deans, in view of the inevitable clash which arose from time to time between faculty and corporate interests. There was no doubt, however, where the loyalties of 'top managers' were expected to lie and opportunity cost considerations and process pleasures pulled the Principal and Assistant Principal in the same direction as obligation. Both were active members of Sub-Committees and were responsible for the 'top down' component of corporate planning. In addition the Assistant Principal (R) assumed a general responsibility for the operation of the Planning Cycle which required attention on several fronts.

11.4  Belief Structures
In view of the attention already given to belief structures in 10.2.3 above, attention will again be confined to integration, interaction, trust and orientation to events.

11.4.1  Integration
As has been demonstrated the planning system aided by interventions from the external environment generated an increased awareness of corporate purpose and identity. Although the faculties retained major power resources it became increasingly necessary for them to justify their policies and actions within a framework of corporate obligations. Purposive rationality allied to a corporate perspective was most significant in the domain of justification.

11.4.2  Interaction
The Sub-Committee provided important new arenas for interaction, mutual adjustment and bargaining which were put to good effect. Meetings provided opportunities for exchanging information, exposing vested
interests, neutralising faculty loyalties, and defusing potential conflicts with the result that recommendations to Academic Board enjoyed an authority which the Board was generally prepared to accept without challenge.

### 11.4.3 Trust

Despite the advances described above, the reforms continued to be perceived by some, among them the Dean of the Faculty of Science and Technology, as the imposition of stifling corporate controls over innovative faculties best left to their own devices. This was a minority view, however, and increasing trust was placed in the Planning Cycle and Sub-Committees to produce equitable corporate outcomes. In general, the reforms reduced alienation and promoted trust rather than vice versa.

### 11.4.4 Orientation to Events

Selective perceptions inevitably remained, following the introduction of the reforms, over the extent to which they were more likely to promote than frustrate vested interests. Responses matched perceptions and were equally selective. While the disciplines of corporate accountability were accepted in principle by the faculties they were more resistant to corporate controls and sought to retain as much discretion as possible over their own destinies, hence the difficulties experienced by the Course Administration Sub-Committee over internal validation and resource monitoring evaluation. Hence also the weaknesses manifest in the conduct of the review phase of the Planning Cycle.

### 11.5 Conspicuous Variables

#### 11.5.1 Decision Time

Conspicuous differences remained in the speed with which certain issues could be resolved. Responses to external interventions such as the CNAA Institutional Visit of 1982 or the WAB planning exercises of 1983 and 1984 were rapid, while less urgent issues involving conflicts of interest within the college required to be thoroughly exercised over
an extended period before acceptable outcomes emerged, if at all. Such was the case for example with the resourcing of the B.Eng. and HND in Computer Studies and with the development of procedures for course monitoring and evaluation.

11.5.2 Organisational Slack

As long as the college kept to the bottom line it was not subject to pressures from the Authority and the savings coming on stream annually from CROMBIE early retirements provided a useful buffer. Even so, there was a growing concern within the college about resource utilisation performance, notably poor SSRs. This was made more acute by threats of major rationalisations to be undertaken by NAB and WAB and concern over the failure to recruit students into those areas where there had been major investments in staff and equipment, in anticipation of, rather than following upon development as was normal practice in FE/HE. The Academic Board and Senior Management were regularly alerted by the Principal and Assistant Principal to the need to improve SSRs and these were reinforced by periodic contingency exercises and the circulation of documents such as the paper produced by the Assistant Principal in November, 1982 on Performance Indicators (see Appendix J). The Corporate Strategy of April, 1983 sent out strong messages about SSRs and the disappointing levels of student recruitment. Until these were reinforced by interventions from the external environment, however, they failed to impinge and even then were unwelcome and aroused internal hostilities. Despite these tensions the messages began to strike home, slowly but surely, and increasing prominence was given to improving efficiency at all levels of the organisation. The value for money exercise conducted by the Audit Commission in 1984 encouraged the Authority to take a stronger interest in college finances than had been the case in the past. A new negotiated order emerged in which links were established between the Planning Cycle and the preparation of Annual Estimates. More specifically the college of its own volition
undertook to produce corporate plans which explicitly declared SSR
targets calculated on the basis of WAB allocations to advanced courses,
college forecasts of recruitment to non-advanced courses, and estimates
of staffing levels. It was recognised that failure to achieve student
targets would direct attention to staffing levels. These developments
took place in 1984/85 following discussions of the Audit Commission's
report with the LEA and at Board of Governors. A corporate strategy was first
presented to Governors in this context in October, 1985 (see Appendix W).

11.5.3 Styles of Decision Making

Sufficient has been written both explicitly and implicitly about styles
of decision making in 10.1.8, 10.2.1 (c), 10.2.3 and 10.3.5 above
as to require little further elaboration. What is striking, particularly
from the evidence of the Heads of School Workshops (see Appendix R),
is the importance of the personalities and preferences of the Deans of
Faculty and the deep-seated influence of the cultures brought into the
college at the time of the merger. The Faculty of Education and Combined
Studies, while conscientiously taking on board the philosophy and
technology of corporate planning, continued to practice a collegiate
mode of operation. The Faculty of Art and Design found internalisation
very difficult to achieve and stuck largely to the artifactual model.
The remaining faculties adopted varying mixtures of perposive rationality
and conflict resolution determined largely by the character of
relationships between the Dean and Heads of School.

11.5.4 Load

Attention will be focused, as previously, on the loads falling upon
members of Senior Management. The Deans enjoyed a very large measure
of discretion in the selection of matters to which they gave management
attention. Two had major interests and commitments outside the college
to which they gave a considerable amount of time and which were known
to bring benefits to the college. The Dean of the Faculty of Management
was able to build a network with other HE institutions on both sides of the binary line which made possible the development of postgraduate work in the Faculty. His involvement with the National Health Service kept the Faculty in the forefront of management training in this field in Wales. The Dean of the Faculty of Science and Technology was able to exploit his networks, notably those related to microelectronics and educational technology, to keep his Faculty abreast of latest developments and to attract sponsorship for new courses, staff and equipment. In both cases, however, the load diverted management attention away from the Planning Cycle and its requirements.

The same was true to a lesser extent of the Assistant Principal (R) but primarily for reasons of internal rather than external distractions.

It will be evident from the frequent references made to the Assistant Principal's authorship of a report or a discussion document that he acquired a general problem solving role as well as the major responsibilities described in section 10.2.2 (c) above. Many of the problems related to the development of the planning system as was the case with the production of the Handbook and Guidelines, the devising of a Policy on Applied Research, Consultancy and Professional Activities, and the preparation of College Strategies but his general workload, largely of his own making, limited the amount of attention which he could give to operational detail. There was also his research interest in the NHS (he was a member of the Local Area Health Authority) and in Higher Education which, while not allowed to affect his managerial responsibilities, claimed time and energy.

Given the level of turbulence both in the external and internal environments, the Principal was required to direct his attention and energies to his interfacing roles while delegating a large degree of responsibility for operational management and systems development to others. At times when there appeared a prospect of being free to give
more attention to internal accountability and control circumstances conspired to produce unwelcome distractions. Such was the case, for example, not long after the CNAA visit of March, 1982, when it became necessary to suspend the Vice Principal for 6 months and to endure the pressures of a police investigation into alleged misappropriation of college property. During the same period, of course, attempts were being made to finalise the reorganisation of the Faculty of Science and Technology, after 12 months of protracted discussions and in the face of a grievance presented by the Dean against the Principal and Board of Governors. No sooner had this problem been resolved than WAB sprang into action to be followed within a relatively short period of time by the arrival of the Audit Commission. Meanwhile relations with the Board of Governors and the LEA had to be kept sweet and obligations within local and wider networks attended to, including membership of CNAA Council.

11.6 Organisational Leadership

When considering organisational leadership in Chapter 9, attention was drawn to the contrast in styles between the Principal and the Dean who became his Assistant Principal (R). They were seen by the Principal less as competing than complementary approaches to organisational leadership otherwise the job description would have been drafted in an altogether different form. Circumstances conspired, however, to bring the two top managers closer together within the spectrum of possible styles as the Principal was required to become more obtrusive and the Assistant Principal less conspicuously interventionist.

Although the form and content of the submission to CNAA in 1982 strongly reflected the convictions of the Assistant Principal, they were ones the Principal was happy to share. Most significant in terms of organisational leadership were the sections of the submission
which represented myth making (see 10.2.3 (c) above) and which revealed an intention to introduce a stronger 'top down' component into corporate planning, other things being equal. As has been demonstrated, interventions from the external environment and difficulties within the internal environment compelled the Principal to adopt a more interventionist approach and to openly mobilise the support made available to him by the planning system. Even so, he continued to prefer to manage unobtrusively and to use his 'back-stage' power resources to resolve conflict by covert rather than overt means.

The Assistant Principal, having previously been a Dean of Faculty, was acutely aware of the power resources left behind and the problems of exploiting authority and acquiring influence in his new post. Such power resources as were to be acquired depended more on performance than rank and time was needed to build up a suitable portfolio. There was no shortage of opportunities, and, as has been indicated in 10.2.2 (c) above, advantage was taken of them. During the period in which power resources were being acquired, however, authority and influence needed to be exercised unobtrusively. There was a reluctance to intervene too conspicuously without obtaining corporate sanction. Even so, few opportunities were missed to send strong messages into the organisation about the operation of the Planning Cycle. Membership of the Staff Development and Research Sub-Committee provided one such vehicle for transmitting criticism to senior colleagues over failures of executive action. Other opportunities were provided for promoting purposive rationality and an open analytical approach to problem-solving in the several reports and discussion papers prepared by him, including corporate strategies. But it was developments in the external environment which, above all, demonstrated the need for a stronger 'top management' influence over the organisation and a more conspicuous 'top down' contribution to corporate planning.
12. GENERAL PERSPECTIVE

The power in application of the three frameworks which form the chosen set has been demonstrated for this time period as for the first two. The composite picture which emerges may be summarised as follows.

a) Both the internal and external environments remained turbulent and college managers had to contend with an increasing number of interventions from the external environment.

b) These interventions served to enhance the legitimacy and utility of the corporate planning system by highlighting the contribution made by it to:

(i) improving environmental scanning, directing attention at all levels in the organisation to threats and opportunities and increasing the general level of awareness of issues and problems to be addressed;

(ii) clarifying mission and goals;

(iii) reducing ambiguity surrounding roles and relationships, notably those of Senior Management, the Academic Board and its Sub-Committees;

(iv) increasing the attention given to effectiveness and efficiency; and

(v) providing much needed cover in convincing key influencing agents that the college was being well managed despite its weak resource utilisation performance.

c) Among the most significant changes was the shift in the balance between differentiation and integration in favour of the latter. The Sub-Committees and the Planning Cycle provided a corporate focus which had previously been absent. Standard operating procedures and corporate planning considerably strengthened the portfolio of integrative devices not only by adding to their number but also providing more opportunities for mutual adjustment and bargaining.
d) A further boost to integration was provided by the modification of belief structures. The planning system aided by interventions from the external environment created an increased awareness of corporate identity and purpose and although faculties retained major power resources it became increasingly necessary for them to justify their intentions and actions within a framework of corporate accountability and in the language of purposive rationality.

e) The process of internalising the philosophy and technology of corporate planning varied between faculties according to cultural differences and the technical competence and predispositions of Deans. Although development in the external environment greatly enhanced the legitimacy of corporate planning and thereby generated powerful pressures for greater compatibility in management styles and performance, the faculties retained sufficient power resources to buck the system when it suited them. In circumstances of conflict between faculty and corporate interests, as with quality control for example, decision opportunities developed into garbage cans and it took a long time for solutions to emerge. Garbage cans could also develop, of course, when speedy decisions were required in response to interventions from the external environment, as happened with the first WAB planning exercise of September/October, 1983. Such interventions tended to increase the power resources of top managers operating at critical interfaces and thereby coping with strategic uncertainties. They also encouraged a stronger 'top down' contribution to corporate planning.

f) Despite the raised profile of top management in response to pressures from the internal and external environment, which created load problems and thereby the amount of management attention which could be given to control, a preference was retained by the Principal for unobtrusive leadership and reliance placed upon 'back stage' activity and agenda management to resolve conflict. The Assistant Principal (R),
more inclined to an overtly interventionist style, found it necessary during the period in which power resources were being acquired to exercise authority and influence unobtrusively and await corporate sanction, given with increasing frequency, for more conspicuous interventions.

While all three interpretive frameworks make important contributions to the composite picture offered above it will be evident that the Contingency Perspective improves its position relative to Garbage Can during the period under consideration due to the greater prominence given to design specification and managerial will. Outcomes are seen to more conspicuously relate to intention and although post factum outcomes remain in evidence they are less conspicuous. In so far that the Contextualist Perspective is able to handle both intended and emergent properties of organisations it again appears to provide the most satisfactory collection of insights and the most convincing interpretation of the change process.
CHAPTER 11: AUTHENTICITY

1. INTRODUCTION

Among the problems confronting a researcher-practitioner conducting the kind of experiment in reflective practice attempted in the present study two are particularly obtrusive and derive from the reliance placed, by intention, on documentary sources.

1.1 Authenticity

By definition, the Researcher and others viewing the development of the college over a ten year period will apply a selective perception to formal records of events and recollections of them. Since the intention of the Researcher is to share his experience with fellow practitioners in a meaningful way a test of authenticity needs to be applied in order to establish how accurate, reliable and impartial his version may be taken to be.

Such a test has been applied for the present purpose with the assistance of three colleagues invited by the Researcher, on the basis of their relative vantage points within the organisation and knowledge of an involvement with the Planning Cycle and Academic Committee Structure, to act as assessors. The choice of assessors was discussed with the Principal who undertook to act as one of the three. The other two were the College Librarian and a Head of School from the Faculty of Management, both of whom served as chairmen of sub-committees but who occupied different vantage points within the organisation. The former, occupying a college-wide post, was seen to be close to corporate events and therefore familiar with the preoccupations and actions of senior managers. The latter, being located within a single faculty and therefore more remote from the centre, was expected to provide a more distanced view of events. Of the three the Principal was naturally closest to the action and likely to bring the most informed perspective, possessing a
detailed knowledge beyond that held by the Researcher. Each was asked to respond independently to the questions set out in Appendix Z and the responses were further discussed and elaborated with the Researcher.

1.2 Missing Dimension

The study is acknowledged to be less vivid than it might have been had the psychological dimension been explored, notably the personalities of key actors and interactions between them. The loss of a certain amount of colour was seen by the Researcher as necessary for accomplishing his task while remaining within acceptable bounds of discretion and propriety. Given his position within the organisation he considered it improper to assess personalities, impute motives and analyse interactions, or to canvass opinion on such matters. The cost incurred by such scruples was considered by the Researcher to be contained within reasonable limits by the choice of interpretive set. One of the major strengths of the set was that it encouraged a reading between the lines and allowed analysis of conflict and the roles of key individuals and groups while keeping within acceptable bounds of discretion.

In addition the Researcher believed that experiments in reflective practice should be conducted as far as possible in good faith, that is with colleagues valued as individuals commanding respect and consideration with the onus falling on the reflective practitioner, certainly in the first instance, to reflect critically on his own behaviour and motives. Where reflective practice is conducted over a period of time, as in the longitudinal study, it is possible to trace the way attitudes are shaped and positive and negative charges released by the same persons as circumstances vary. Reflective practice conducted as described helps managers identify the constellation of circumstances most likely to maximise positive and minimise negative charges emanating from individuals and groups.
Reference was made by each of the assessors to the missing dimension, the indefinable chemistry as one described it, of combinations of personal and psychological characteristics, motivation, energy, drive and commitment, good and bad faith. Each recognised the dilemma confronting the Researcher, however, and the necessity for him to keep within the bounds of propriety. Where the assessments point up the significance of this dimension, they are recorded below.

2. PHASE 1

Of the three the Principal had the strongest recollections of this phase with distance presenting greater difficulty for the other two, who found that the version produced by the Researcher largely matched their own without their being able to respond to all the questions asked.

No serious challenge was presented to the authenticity of the account provided by the Researcher which in most respects was seen to provide an accurate representation. In terms of emphasis, however, the following observations were made.

2.1 The Merger

The tensions between and suspicions of the staff in the three colleges is considered to have been understated - i.e. the aggressive 'non-deferentia' style of the College of Technology, the largely disinterested approach of the College of Art and the 'faute de mieux' attitude of the College of Education. This was further illustrated by the reactions following the appointment of the Principal - acceptance with pleasure by Education, resignation by Art and a determined, though unsuccessful, effort by Technology to establish Associate Principal posts for the unsuccessful Principals and thereby limit the influence of the new appointee.

Similarly the views held by staffs was generally less complimentary than described in myths and stereotypes. More specifically the Art
College was held in high regard though considered as an anarchic and badly resourced institution blessed with talented traditional artists. The College of Technology was seen as an institution heavily involved in further education with a militant, union-minded staff most of whom had limited teaching qualifications. The College of Education was seen as a remote, academically biased college with a subservient staff who had illusions of academic grandeur with very limited foundation.

2.2 College LEA/Interface
A need is identified to point up more strongly the influence which the Chairman and other County Councillor governors were expected to exert on behalf of the college at County Hall in a culture in which elected members dominated. The mobilisation of their influence in County Hall should be seen as one of the management instruments being used covertly.

2.3 Financial Cuts
The account of their handling is considered essentially accurate though the problems for management of redeployment of staff are under played. Even so, the observation that cuts exercises were seen as opportunities to move the College forward towards the definition identified when it was established is well made.

2.4 1977 CNAA Visit and Report
The account of the visit and responses to it seem to be wholly accurate in all but one respect, namely the response of college staff to it, particularly where the report was critical of them (see, for example, page 305 above). Many, almost by definition, did not understand its significance whilst others could not accept its accuracy.

2.5 Faculty Management
While the styles were as described, modifications were achieved on particular items through personal interfacing between the Deans and the Principal behind the scenes as part of the hidden management system.
2.6 Principal's Style of Leadership

Two significant observations are offered, one from each of the assessors made from their differing vantage points. The Head of School considered the distinction between obtrusive/unobtrusive and interventionist/non-interventionist to be an over-simplification and to imply a reactive as opposed to proactive stance. He believed that in the opinion of the majority of staff the Principal was very much in control. The College Librarian on the other hand drew attention to the ambiguity surrounding the respective managerial and key interfacing roles of the Principal and the Dean of Administration (redesignated Assistant Principal). As will be demonstrated during consideration of Phase 2 this ambiguity was thought to have an inhibiting influence on the Principal which was removed when the Assistant Principal's post was divided and a new incumbent (R) was appointed.

2.7 Role of NATFHE

The power and influence of NATFHE and the difficulties it created for top management in its efforts to develop a Higher Education institution are considered to have been understated. The proven effectiveness and strength of the ATTI with its power base on one college site and its perceived connection and networking with the controlling political party in the County together with its initial positive attempt to circumscribe the Principal's authority, by urging the establishment of two Associate Principal positions, provided the top management of the College with a further major problem in establishing an integrated College.

2.8 Conflict

The major sources of conflict are considered to be correctly identified and their resolution and containment accurately described. Sources of personal and psychological conflict are seen to have been properly omitted but had considerable significance for the management style adopted during this phase.
2.9 Turbulence
While the main sources of internal and external turbulence are confirmed, the early threats to the future of the college are thought to be understated, notably the possible removal of teacher training and the rationalisation of art and design.

3. PHASE 2
Each of the three assessors had good recollections of this phase and found the Researcher's version authentic. In terms of variations in emphasis the following observations were made.

3.1 Perceptions of and Responses to the Planning Cycle
The strength of hostility and skepticism is considered to have been understated, particularly in the Faculty of Education which believed that an excessive importance was being attached to the recommendations of CNAA, with which it had no dealings. There was overall acceptance of the need for a Planning Cycle though it was considered by many to be over-elaborate and too bureaucratic, especially if the particular Faculty, continuing the tradition of the original institute involved in the merger, had no experience of forward planning. The charges directed at the Planning Cycle (over-elaborate, too bureaucratic) were considered to be more a justification for criticism and opposition than well founded in fact. It provided an alibi for something else and was easy to have a go at.

3.2 The Value of the Handbook
The production of the Handbook is thought to have improved matters but without silencing the critics whose hostility persisted. Greater understanding arose as the result of the Handbook and Guidelines but there were still concerns as to the volume of data and time constraints. As chairmen of sub-committees two of the assessors found the Handbook of considerable practical value in performing their tasks. It was also seen to introduce a sense of coherence of what was going on. Even so,
it was suggested by one of the assessors that the importance of the Handbook should not be over-stated. Of greater importance, in his view, was the decision to improve the servicing of sub-committees and the amount of top management attention given to them. Documentation was less important than the amount and quality of servicing and the management attention and support given the Planning Cycle.

3.3 Legitimacy Conferred by the 1979 CNAA Visit

The importance of the visit was confirmed by each of the assessors but not without qualification. Much was seen to depend on one's vantage point in the organisation and degree of hostility felt toward the Planning Cycle. For the major protagonists it provided important backing but within the College the approval of CNAA was less important than the legitimacy achieved by more effective operation. Many people remained hostile and needed to be convinced of its utility.

4. PHASE 3

For the most part the Researcher's account is considered to be well described ... precise and accurate ... correctly assessed and well illustrated and interpreted and its authenticity readily accepted. Even so, as with previous phases different points of emphasis emerge in particular instances.

4.1 Role of the Chairman of Governors

Is thought to be in need of elaboration because of the danger of his being given a one dimensional profile. He proved to be of considerable value to the Principal as a source of advance information on County, regional and national education matters. The high esteem in which the Chairman was held is confirmed by the other two assessors.

4.2 College/LEA Interface

As in Phase 1 the amount of back-stage activity is considered, of necessity, to have been understated. The fostering of good relations through informal,
back-stage operations aided by the Chairmen of Governors cannot be
described, eg. the effect of the informal illustration to senior County
Councillors of the unemployment effects of the closure of Art and
Design and their consequent support for a major building project.
Another example requiring similar back-stage discussions with senior
politicians and officers, notably the Treasurer, was the Value for Money
Report.

4.3 1982 CNAA Visit
The description of the visit, the preparations for it and its aftermath
is considered to be precise and accurate. Two of the assessors, however,
find the role of the Researcher to have been understated in terms of
preparation of the documentation for the visit and the importance of
the statements contained within it. The general view of staff was that
the Assistant Principal (R) had masterminded the whole operation.

4.4 Changes in Management Structure
The division of the Faculty of Science and Technology was considered to
have been correctly described. Points of emphasis differed, however,
on the division of the Assistant Principal's role and its significance.
Attention was drawn by the Principal to the lengthy discussions held at
County Hall to seek support for the appointment of an academic
administrator, by national advert, to the College Secretary post rather
than a local government administrator from within the authority in
accordance with established procedures. His failure to achieve this
objective because of the Authority's insistence on normal procedures
prevented his strengthening the senior management team as he had
intended.
As has been indicated in 2.6 above the appointment of the new Assistant
Principal (R) was regarded as a particularly significant event by the
College Librarian for several reasons. It removed the ambiguity which
had surrounded the respective managerial and key interfacing roles of
the Principal and Assistant Principal and placed the Principal in sole charge of the total enterprise for the first time, a position which he exploited with an enhanced assurance and confidence. The choice of the Dean of the Faculty of Management (R) as Assistant Principal was also seen to be particularly significant because of the commitment it implied to the Planning Cycle but more especially because of the kind of partnership and chemistry which developed between the Principal and Assistant Principal in the management of the college. The appointment is seen to coincide with a display of greater confidence at the top and a perceptible shift in style involving a more assertive approach, greater clarity of purpose and greater involvement and interest in the Planning Cycle on the part of the Principal. The intention expressed in the documents prepared for the 1982 CNAA visit to strengthen the 'top down' contribution to planning matched expectations in the college.

4.5 Functioning of the Academic Board

While the description and interpretation provided were considered authentic two of the assessors (not the Principal) considered that the Researcher had been generous to the Academic Board because of its tendency to function as a body for processing business originating with the Sub-Committees and Senior Management rather than as a general forum for debate. Rarely were the major issues grasped and debated in a free ranging sense. The dependency on Senior Management for policy initiatives and strategic planning, however, was considered to be inevitable and correctly described. In terms of the tendency of the Academic Board to confirm decisions of the Sub-Committees this was seen by one assessor as less a matter of loyalty than the matching compositions of the two bodies and their tendency to come to the same conclusions.
4.6 Impact on Senior Management

At no stage was the Planning Cycle seen to win complete acceptance, notably among the Deans who were nevertheless *put in a corner and required to make explicit what they were about*. The tendency to ritualism in order to satisfy the Academic Board was confirmed. For one assessor the clarification of roles which did take place had less to do with systems development than with changes in attitudes, expectations and relationships arising from the partnership at the top (indefinable chemistry) between the Principal and Assistant Principal, the amount of management attention given to the Planning Cycle and the way it was *exploited to increase the accountability of the Deans*. The skill displayed by the Principal in exploiting the power resources conferred upon him by the Planning Cycle was seen as significant. *It gave him additional clout in combating the independence of the faculties*. The style of leadership adopted by the Principal was seen to be less influenced by the Planning Cycle than by the confidence and assurance acquired over time, inherent political skills and the changes at top management following the death of the Assistant Principal.

5. **GENERAL VIEW**

5.1 Authenticity of Longitudinal Study

Within the terms of the self-imposed constraints accepted by the Researcher the account provided is considered to be highly authentic. The study is seen to be less vivid than it might have been had the psychological dimension been explored and the personalities of key actors and interactions between them been examined. The assessors recognise, however, the methodological, moral and legal dilemmas which abandoning the constraints would have presented to the Researcher, to the point where the study would not have been possible.
5.2 Significances

The Principal believes the study to have understated the problems facing top management in managing the college during the first years following the merger. Attention is drawn to the antagonism of the largest partner in the merger (the College of Technology), the power of NATFHE, the Senior Management Team acquired at the time of the merger, the age-profile of staff, the no-redundancy policy of the Authority, and the lack of development finance, all of which severely constrained the room for manoeuvre and choice of management style. The above are seen to explain the way in which the political significance and method of operation of the first Chairman of Governors was utilised to strengthen the central management core in the early laager type days.

Attention is also drawn to the length of time needed to achieve management changes that permit the preferred style and operation of management in the college.

Whatever the constraints felt by the Principal, he was seen from the most distant vantage points within the college, including the potentially most antagonistic, to know what he was about (see 2.6 above). A strong impression was held that he had a very clear view of objectives and was very good at achieving them.

From a vantage point closer to the centre the Principal was seen to be constrained by the ambiguity surrounding his role and that of the Assistant Principal/Clerk to the Governors (see 2.6 and 4.4 above). Within the period 1979/80 to 1983/84 (Phase 3), therefore, the Academic Session 1981/82 is seen as a particularly significant watershed in terms of the management of the college and the operation of the Planning Cycle because of the particular constellation of circumstances involving:

a) the pre-eminent position acquired by the Principal (in sole charge for the first time and able to act with confidence on the basis of knowledge and experience acquired since the merger);
b) the appointment of the Assistant Principal (R) and the resulting new top-management partnership;
c) the review conducted and documents prepared for the 1982 CNAA visit;
d) the increased attention and quality of servicing given to the Planning Cycle; and
e) pressures from the external environment as central government began to get public expenditure more effectively under control.

5.3 Researcher's Perceptions and Roles

The account provided in Chapter 6, Section B, is seen to constitute a very honest self-appraisal. In some other respects, however, the study is considered to understate the significance of his role as Assistant Principal, particularly his contribution to the more effective operation of the Planning Cycle at sub-committee level. He raised the level of expectation of how sub-committees should be serviced by his own actions and example. Particular significance is attached to pre-meetings of officers and the preparation of documentation. Significance is also attached to the contribution made by the Researcher to creating within the college a greater sense of direction and purpose and a greater awareness of the potential significance of events in the external environment. He is seen to have achieved a major improvement in the amount of attention given to environmental scanning at a time when stronger and clearer signals were coming from the external environment.

A further element considered significant by the Principal is the physical and mental toughness of the Researcher to take on a more than normal load in terms of quantity and quality of work.

5.4 Perceptions of Turbulence

The perceptions of the Researcher are shared. As indicated in 2.9 above, however, the Principal believes the threat to the future of the college,
in the early years following the merger, from the possible rationalisation of Teacher Training and Art and Design Education might have been more strongly indicated. The view is also held that external turbulence became both easier to interpret and better interpreted. Chapter 7 is considered to provide a particularly valuable synoptic view.

5.5 View of the General Influence Exerted by Corporate Planning

The Researcher's view is largely shared. In particular the Planning Cycle is seen to have provided a timetable and framework for decision making on an annual basis, channels of communication, a filter at corporate level for information and proposals coming from faculties (generally the Deans), and imposed disciplines and constraints on faculties and their Deans. It is also recognised, however, that corporate planning failed to win total acceptance and that it continued to be regarded as a sham by a minority of staff who suspected the whole edifice as a way of pretending that management does not make the final decision.

Attention is also drawn to the significance of the backstage activity necessary to complement formal corporate planning, particularly at the interface between the college, LEA and other key influencing agencies in the external environment.
PART IV: EVALUATION AND CONCLUSIONS

INTRODUCTION

The difficulties which attach to measuring the impact of organisational change on performance are well documented as are the special problems of evaluating the performance of organisations in the educational sector. These are addressed in Chapter 12 and a pathology of corporate planning is attempted after considering problems of evaluation, intention and achievement. That is, account is taken of what might be regarded as reasonable expectations of strategic change, the circumstances considered most likely to promote or inhibit the process of change and the achievement of its intended benefits, and the alternative vantage points from which an evaluation might be taken. As indicated from the outset, a major criterion for evaluation is to be the correspondence or alignment achieved between philosophy, technology and context. In conducting the evaluation use is made of the distinctions and clarifications established in Chapter 2, the findings of the literature search in Chapters 3 and 4 and the interpretive analysis provided by the chosen set in Chapters 8, 9 and 10.

The final chapter does not set out to collect in summary form the conclusions reached during the course of the study - they are considered to be sufficiently obtrusive at appropriate points in the text. Rather, what is attempted is a reflection upon the total enterprise which the study represents.

The study had its origins in the growing disaffection with corporate planning in the UK during the nineteen seventies, notably in the public sector. The Researcher from his vantage point as participant observer in two public service organisations became increasingly conscious of the realities of context and found, on consulting a growing literature on the subject, a major shift in emphasis from the rationalist philosophy
and related technology of corporate planning to a concern with context which reinforced the direction taken by reflections on his own experience. The literature also exposed a shortage of participant-observer longitudinal studies regarded as particularly appropriate for research into organisational process and strategic change. Those who advocate more extensive use of this research style are only too well aware of the practical difficulties involved. By chance the Researcher found a constellation of circumstances highly favourable to the conduct of such research at a time when he felt a growing need to reflect systematically on his own experience as a manager. Schon's REFLECTIVE PRACTITIONER (1983) appeared too late to influence the research from the outset but in essence the study developed into an extended reflective conversation between a practising manager and the unique and evolving situation in which he found himself - one characterised by increasing turbulence and uncertainty. Put another way the study may be regarded as an experiment in reflective practice, seen to have proven value for the Researcher and commended to fellow practitioners. In seeking to make sense of his own experience the Researcher has set out to share these experiences and reflections upon them with other practitioners.

The choice of research style and time period were regarded as largely self-selecting and the Researcher is satisfied at the conclusion of the study that they were correct choices. They incurred one major cost, however, namely the length of the dissertation. The combination of a ten year time period (permitting a 'before', 'initiation of change' and 'after' horizontal analysis) with a multi-level (vertical) analysis and the employment of a set of three interpretive frameworks largely account for the length. The need to conduct a more extensive literature search than normal also added to the bulk as did the concern with validation. The means adopted to mitigate the bias seen to be inherent
in participant-observer studies has been to rely heavily on documentary source material, to subject the Researcher's role to close examination and to invoke the aid of 3 colleagues to act as independent assessors. In doing so, the Researcher has set out to equip readers of the dissertation to undertake their own independent assessment. One important conclusion which may be drawn from the study is that the documentary material generated within an organisation in the form of minutes, reports, discussion papers, etc. form a rich and revealing source of material for use in participant-observer studies. Another major conclusion to be drawn is that the study of context through time, notably its cultural and micropolitical dimensions, though difficult is not impossible. Having established that the focus of attention in the study of corporate planning should shift from philosophy and technology to context, an appropriate vocabulary and set of conceptual tools had to be found for analysing context. The chosen set - Contingency, Contextualist and Garbage Can - adapted by the Researcher to his own purposes, are seen to provide the reflective practitioner with powerful insights. The penultimate section of the final chapter considers the significance of the findings for other practitioners and researchers. They are considered to have particular relevance for Higher and Further Education at a time when increased attention is being given by government to the more effective and efficient management of institutions with the aid of corporate planning and standard performance indicators. The findings also suggest that the research style and interpretive framework employed have potential for wide application, particularly in highly professionalised organisations in the public sector.
CHAPTER 12: CORPORATE PLANNING - INTENTION, ACHIEVEMENT AND PATHOLOGY

1. PROBLEMS OF EVALUATION

1.1 Measuring Performance

The difficulties of measuring performance have been addressed in detail by Child (1984: Chapter 8) when exploring causal links between organisational design and performance. The view is taken with Child that organisational design is only one of the many influences on performance, that performance is affected by external factors outside management's ability to predict and control, and that much depends on the quality of management and its policies.

The role played by the design of structure and systems within this complex of influences on performance is virtually impossible to quantify apart from the aspect of cost. While it is possible to specify processes on which organisational design will have an impact, such as control, integration and information processing, these processes are diffused throughout the organisation and they are also affected by the competence and motivation of the people who are involved. Child (Ibid.: 211).

Without underestimating the difficulty of the task in hand, the problem of evaluation and performance appraisal will be addressed by indicating how intention, achievement and pathology are to be treated.

1.2 Intention

Attempts at strategic change are generally accompanied by public declarations of intent. It does not follow, however, that all that is intended is made explicit or that there is an equal degree of commitment to what is made explicit or remains implicit. Even so, in instances of strategic change such as the introduction of a corporate planning system it may reasonably be expected that design specification and intended outcomes will be well documented. It should also be possible to identify the sources of initiative for change, the perspectives and expectations of change agents, and the interests which the changes are intended to serve.
1.3 Achievement
As has already been indicated above it is frequently difficult to establish a causal link between intention, delivery systems and achievement. Outcomes are frequently achieved despite, rather than because of intentions and actions. Nevertheless the initiators of change and designers of systems have expectations, which, other things being equal, they hope to see realised. These expectations may relate to process (i.e. the way the organisation conducts itself) and/or to performance (i.e. the results it achieves). In evaluating achievement an assessment needs to be made of the reasonableness of expectations and the realism of the assumptions made about contingent forces and constraints. Even the most reasonable expectations can be frustrated by unforeseen circumstances. On the other hand expectations may be so out of touch with reality that they have no hope of achievement on their own terms. Reality in this case is represented by context and context inevitably has a major influence on judgements about the reasonableness of expectations and the realism of assumptions. Much depends on how potentially inhibiting or enabling forces at work in the internal and external environments are perceived.

1.4 Pathology
A pathological state represents a failure to achieve an anticipated state of health, that is to live up to expectations. Such a failure may derive from unrealistic expectations or unwarranted assumptions about context or both. For the present purpose, with the focus of attention on the philosophy, technology and context of corporate planning there is merit in adopting a pathology which combines the relatively hard and relatively soft approaches previously identified. It needs to be preceded, however, by an examination of design specification, intended outcomes and achievements. Attention will then be directed in the hard approach to systems success or failure while the
soft approach will concentrate attention on context, notably its cultural and micropolitical dimensions. While the approaches may differ in emphasis the pathologist remains the same. That is, the perspective adopted is that of top management operating at the interface between the internal and external environments. Consideration will be given to other possible perspectives in the concluding chapter.

2. DESIGN SPECIFICATION AND INTENTION

2.1 Strategic Change

The view has been taken throughout the study that the introduction of corporate planning into the college constituted an innovation of sufficient magnitude to qualify for the description strategic change (Pettigrew, 1985: 438).

2.2 Rationale

2.2.1 Inducements and Pressures for Change

Pressures originated in both the internal and external environments. Models of a well managed institution were explicitly and implicitly referred to in discussions prior to the merger. Among the assumptions generally made were that purposive rationality would guide policies and actions and that managers would be concerned to achieve integration and a strong corporate identity as quickly as possible. These expectations were strongly articulated by staff from the College of Technology in particular, who used the ATTI Branch as a major forum of discussion. They also were chiefly responsible for emphasising, following the merger, the division between managers and managed and for making known in arenas such as the Academic Board, Faculty Board and Board of Governors what their expectations were of those holding managerial responsibility. The strongest critical input came from staff in the Faculty of Management and Professional Studies who expected to see college management adopt
notions of good practice then current giving prominence to purposive rationality and an array of management techniques including corporate planning.

The major initial external pressure came from the CNAA following the March 1977 Institutional Review. In view of the detailed consideration already given to the CNAA Report and the response of the college to it, it is felt sufficient simply to underline some of the most significant points already made. Although the CNAA disclaimed any attempt at prescription, the recommendations were understood to point the college clearly in one direction. The enthusiastic endorsement given by the CNAA in February, 1979 to the organisational reforms following upon its recommendations, confirmed that the 1977 Report had been interpreted correctly and also legitimised a significant cultural shift in favour of purposive rationality, corporate planning and participative decision-making. In legitimising the system, CNAA were also increasing the credibility and assessed stature of its designer, namely the Dean of the Faculty of Management (R), who, for reasons that have been enumerated, was quick to grasp the opportunity provided by CNAA for taking the college in the same direction as he was taking his faculty.

As has been demonstrated, interventions in succeeding years from CNAA (the 1982 quinquennial review), WAB and the Audit Commission provided further confirmation to the college of the value of the corporate planning system.

2.2.2 Perspectives and Expectations of Change Agents
The perspectives of key internal and external influencing agents derived largely from their images of a well managed higher education institution. Within the college the staff most inclined to have a view about managerial roles and performance were the officers of ATTI/NATFHE and
members of the Faculty of Management and Administration, with the latter generally heavily involved with the former. Such was the case with the Dean of the Faculty of Management (R) prior to his being appointed a senior manager. His views did not change with his elevation and the kind of convictions described in section 6.2 of Chapter 6 informed his approach to his own performance as Dean and to the performance of Senior Management of which he had become a member.

The perspective and approach adopted by CNAA changed significantly between the 1977 and 1982 quinquennial visits, not least because of the influence of the Registrar placed in charge of Institutional Reviews. The 1977 visit was conducted very much like an inspection and the report reflected its inspectorial orientation. It also reflected a preoccupation with a collegial approach to management, high levels of staff participation in decision making, and a strong Academic Board more than capable of holding its own with senior managers. The recommended sub-committee structure was seen more as a means for realising the above than as a vehicle for introducing a comprehensive corporate planning system. It was this latter aspect, however, which attracted as much if not more attention during the February 1979 visit, at which the new Registrar was present. He had strong reservations about the CNAA’s past enthusiasms for participation and so called 'democratic college government' which he had seen manifest themselves in very elaborate and perverse management arrangements on some institutional visits. He favoured the introduction of corporate planning systems, tailored to contextual realities, which had a beneficial influence on decision making and which encouraged strong 'bottom-up' and 'top-down' contributions to planning.

The 1982 visit was seen very much more as a joint venture with the CNAA and the college conducting the review in partnership in order to arrive at a shared understanding of organisational development. The visit was preceded by discussions between the Registrar, his assistant, the
Principal, Vice-Principal and Assistant Principal during which agreement was reached on the documentation to be presented and the general nature of the review. CNAA officers were happy to accept the suggestions of top management with the operation of the corporate planning system placed at the centre of attention.

The interest shown by other agencies such as HMI, WAB and the Audit Commission in the planning system served to reinforce existing intended patterns of development rather than to guide them in new directions.

2.2.3 Interests Served by Change

It was, of course, in the general corporate interest that the college should be regarded by key influencing agents in the immediate and wider external environment as a well managed institution. As has been demonstrated, the planning system provided important cover for top management in the face of a number of critical interventions from the external environment and was valued for that alone, quite apart from any improvements made to decision making. Members of Senior Management, notably the Deans, while aware of the cover provided, were ambivalent about the planning system because of its influence on the distribution of power resources.

Although tolerant of cultural differences and sensitive to the dangers of an oppressive uniformity, the system did, however, seek to encourage a greater compatibility in style of management and modes of decision making. In particular it aimed to develop an open, self-critical, participative style of decision making and to raise the level of accountability of managers to the managed and vice versa. It was this latter aspect which roused different responses and perceptions.

For those sensitive to the disciplines and constraints of the planning system it represented a threat and an unwanted shift in the balance of power. For those alert to the power resources which the planning system conferred upon as well as took from them, and who had the tactical
skill to exploit them, the reforms helped to clarify the rules of the game.

Above all the planning system aimed to promote the interests of those concerned with integration, accountability and control and the containment of uncertainty within manageable limits. In this top management and members of sub-committees, required as they were to develop a corporate view, shared a common interest. A similar interest was shared by these two groups, plus NATFHE representatives, in strengthening patterns of accountability, if not control (where conflicts of interest were less easy to reconcile).

2.3 Design Specification

The production by the Assistant Principal (R) of a Handbook on the operation of the College Academic Committee structure and Planning Cycle at the request of the Academic Board (see Chapter 10, page 456) provided an opportunity for the presentation of a more elaborate and explicit version of design specification than that originally placed before the Board (see Chapter 9, pages 374-76). Reliance will be placed on these sources (the contents pages and selected extracts from the Handbook may be found in Appendix U) for a consideration of design specification employing the conceptual framework developed in Chapter 2.

2.3.1 Decision Making

2.3.1.1 Decision Set

The reforms were intended to have a pervasive influence on decision making at each level by linking strategic, administrative and operational decisions within a planning hierarchy which encouraged a dynamic interaction between policies, programmes and executive actions. The major preoccupations of the planning system were strategic, that is with environmental appraisal, corporate appraisal and strategy formulation.

2.3.1.2 Approach to Decision Making

Corporate planning was seen to be synonymous with a comprehensive, structured and deliberative approach to decision making demanding
considerable intellectual effort.

2.3.1.3 Levels of Decision Making

Given the emphasis from the outset on encouraging high levels of participation, corporate planning was not considered to be the exclusive concern of top management. The benefits of iteration within a planning hierarchy were acknowledged and the system was expected to encourage strong 'bottom up' and 'top down' contributions to strategy formulation which would be reconciled and integrated at Academic Board level.

2.3.2 Philosophy

Reference has already been made at appropriate points to beliefs, convictions and values held about corporate planning and attitudes towards it. This section seeks to identify the philosophy explicit or implicit in the design specification by examining ideology, rationality and instrumentality (as distinguished in Chapter 2, section 3) in turn.

2.3.2.1 Ideology

The ideology influencing the design specification was essentially holistic and anti-incrementalist. It had no covert party-political connotation but derived more from a weltanschauung giving prominence to turbulence and discontinuity and the need to adapt creatively to change. A major principle underlying the innovation was the acceptance of change as a normal phenomenon and hence to be managed, controlled and phased rather than suffered (see Chapter 9, page 374). According to this view planning was seen as an aid to learning, adaptation and control.

2.3.2.2 Rationality

No delusions were held over the rational comprehensive model. Rationality was seen to be bounded by technical limitations and contextual realities. Even so, the planning system sought to promote purposive rationality (see Chapter 4, pages 106-7) and gave greatest prominence to technical and economic rationalities. Hence the achievement of greater effectiveness and efficiency figured prominently as intended outcomes.
More implicit than explicit was the significance attached to political rationality.

In terms of perspectives and preoccupations the planning system incorporated a technocratic orientation with clear evidence of the major involvement of an economist in its design.

It was felt from the outset that the successful operation of the planning system would depend very much on the extent and quality of organisational support. This was the main message transmitted by the trial sub-committees and the participants of the teach-in to the Academic Board with particular emphasis placed on the provision of adequate and relevant information.

2.3.2.3 Instrumentality

As is demonstrated in Appendix U the introduction of corporate planning was intended to make a significant difference to the running of the college in both general and specific terms.

a) General Instrumentality: While the innovation was based on a general approach to management it was not intended to provide a complete way of running the organisation on the lines advocated by Hussey (see Chapter 2, page 36). As the Handbook indicated, while the innovation had a key role to play in the running of the college it formed part only of the total administrative framework within which the college was managed. Even so, it was intended to have a pervasive impact on management at all levels by encouraging an open, participative, self-critical and deliberative style of decision making, giving due attention to threats, opportunities and key influencing agencies in the external environment, and promoting a realistic assessment of internal strengths and weaknesses.

b) Integration: The achievement of integration within a highly differentiated organisation was recognised from pre-merger days to present major difficulties. The reforms represented the addition of two bureaucratic integrative devices to the existing inadequate portfolio. They were designed to provide a corporate focus and develop a character, identity and mission for the college to which staff in all faculties
could become committed. By bringing staff together in sub-committees, whose chief responsibility was to interpose a college-wide perspective between the Faculty Boards and the Academic Board, it was hoped to remedy the imbalance between corporate and faculty interests built into the organisation at the time of the merger.

c) Accountability and Control: Implementation and control were considered inherent to the planning process. Prominence was given in the technology, therefore, to the routines and disciplines of standard operating procedures. The Review Phase of the Planning Cycle was intended to compel faculties to review critically and openly their achievements in relation to aspirations and intentions publicly declared in earlier rounds of the Planning Cycle. Phase 3 required faculties to spell out the resource implications of their strategies and programmes.

Explicit attention was drawn in the design specification to the relationships between the policy-making and executive arms of the college and the responsibilities falling upon Senior Management, especially the Principal and Deans, for executive action. It was not intended, however, that corporate planning should emphasise the division between managers and managed, rather the emphasis was on role performance within a meaningful partnership (see page 856 of Appendix U). That is, increased accountability and control were seen to go hand in hand with improvements in integration.

d) Organisational Learning: While the organisation needed time to learn to cope with the reforms, the reforms themselves were intended to promote organisational learning. The open and participative structures and processes were designed to raise the general level of awareness across the college of problems and issues, notably strategic issues, and to improve communication. More specifically corporate planning was designed to achieve a major improvement in environmental scanning and a greatly enhanced awareness of internal strengths and weaknesses. Here again the Review Phase was intended to make a significant contribution by providing
direct feedback for organisational learning, adaptation and control.

e) **Political Arenas:** Although no explicit reference was made in the design specification to the concept of a negotiated order it was obtrusively implicit in the documents, not least in the attention given to areas of potential tension and conflict. Reference has already been made in (c) above to the attempt made to clarify relationships between the executive and policy arms and the recognition given to the difficult yet crucial roles performed by the Principal and Deans. It was also recognised that participants in the policy-making process would be confronted by competing loyalties and conflicts of interest from time to time not least when decisions had implications for the security of tenure and career prospects of colleagues. While such considerations could not be ignored, it was hoped that the Academic Board and its Sub-Committees could handle academic matters with conditions of service and personnel matters dealt with through alternative, more appropriate channels (see Appendix U, page 857).

### 2.3.3 Technology

The technology was chosen to match the philosophy. That is, it reflected a holistic, systems approach to planning and sought to promote purposive rationality with greatest prominence given to the achievement of effectiveness and efficiency. It was accepted from the outset that the technology would need to be modified and developed on the basis of experience. The initial preference was for a system that was relatively simple to operate and did not make excessive demands on participants' time.

#### 2.3.3.1 Planning System

A modified PPBS approach was adopted. It was designed to be hierarchical and interactive with strategies converted into programmes, and programmes transformed into tasks and actions. Iteration was to be achieved through the reconciliation at Academic Board and Sub-Committee levels of 'bottom-up' contributions from the faculties with 'top down contributions from
top management.

The key feature of the system was the planning cycle which imposed a time-table on decision making and divided the planning process into three separate but related phases. Phase 1, the Review Phase, took the form of a general review of performance during the previous academic session, together with an assessment of student recruitment in the current session. The review was intended not only to provide an audit of performance, but also to keep a check on the extent to which forecasts, analysis, policies and programmes publicly declared in earlier rounds of the planning cycle had been borne out by events as well as providing a realistic base for rolling forward three-year strategies in Phase 2. Once reconciled with the college corporate strategy during Phase 2 faculty strategies were to be returned to faculties for conversion during Phase 3 into programmes consistent with the level of resourcing expected from the Authority in the Annual Estimates. It was the link to annual budgets which determined critical lead times. Most programmes required resources hence the earliest time outcomes would be affected was the following financial year. Decisions on courses, staff development and research had therefore to be made about 18 months in advance of implementation.

The Planning Cycle time-table not only ensured that such considerations were built-in to standard operating procedures but also sought to routinise administrative and operational decision making in order to release more management attention for strategic decision making.

2.3.3.2 Range of Techniques Employed

It was intended to experiment with a variety of techniques in order to discover which proved most appropriate and useable. That is, there were no fixed ideas from the outset as to the precise portfolio of techniques regarded as uniquely appropriate to the planning system. It was recognised within the Faculty which gave the lead to the rest of the college, however, that the esoteric vocabulary of corporate planning should be
avoided whenever possible and techniques introduced in a less threatening guise. Even so, terms such as delphi exercise, position audit and environmental analysis used naturally in the Faculty of Management and Administration quickly became part of college vocabulary. Implicit in the operation of the Planning Cycle was the identification of mission, the setting of policy objectives, programme planning and the use of systematic forecasting, scenario building, option appraisal, gap analysis and sensitivity analysis, all of which were intended to be employed as circumstances and the technical capabilities of managers permitted but without necessarily being referred to in planning terminology.

2.3.3.3 Documentation and Processing of Information

Members of the trial sub-committees and participants in the teach-in attached high priority to the provision of adequate information. As a consequence a comprehensive set of forms was devised for feeding information into the Planning Cycle. Within a relatively short period of time it was acknowledged that the information system was over-elaborate and that it was desirable to operate with fewer PC (Planning Cycle) forms, as they became known. This was one of the modifications arising from the Assistant Principal's (R) review presented to the Academic Board in December 1980 and incorporated in the Handbook. The extracts from the Handbook provided in Appendix U indicate how the PC forms were to be used and how the information was to be processed through the system. Particularly significant were the roles given to the Director of Studies, the Assistant Principal and the Finance Officer for collecting and processing information.

Since the PC forms were designed in response to wishes made known by staff during the teach-in and represented the basis on which the Sub-Committees were to perform their roles, their use was prescribed. Less prescriptive was the format to be employed for the presentation of faculty strategies. It was generally assumed that faculties would follow the lead taken by the Faculty of Management and Administration and
attention was drawn from the outset to the failure of other faculties to observe the conventions established by Management. Despite obtrusive discrepancies and the wish expressed at Sub-Committee and Academic Board levels to see the adoption of a common approach a generally permissive stance prevailed for a long time. When a prescriptive standard format was introduced in September 1983 by the Assistant Principal (see Appendix K) it was produced at the request of one of the Deans anxious to avoid the criticism directed at him during the previous round of the Planning Cycle.

2.3.3.4 Organisational Support and Servicing

This aspect also featured prominently in the deliberations of trial sub-committees and in discussions during the teach-in. Responsibility for the administration of the Planning Cycle and Academic Committee Structure was initially placed within the Assistant Principal's office with the Director of Studies acting as co-ordinator. He served as secretary to each of the Sub-Committees and in the early years was also the Principal's representative. On his appointment the new Assistant Principal (R) became the Principal's representative on the Staff Development and Research Sub-Committee and following reorganisation on the early retirement of the Director of Studies the Principal represented himself on the Planning and Resourcing Sub-Committee.

Difficulties over servicing and the conduct of business featured prominently in the review prepared by the Assistant Principal (R) for the Academic Board in December 1980 and exposed the need for a Handbook. It also exposed the need for more adequate pre-agenda preparation and discussion. In his review of the conduct of business the Assistant Principal felt it advisable to:

- arrange a pre-meeting discussion (probably between Chairman, Secretary and Principal's representative) of the agenda and report to be produced for the Academic Board;
- avoid spending too much time arguing over the agenda and conduct of business at the beginning of a meeting;
tackle a task schedule appropriate to the planning cycle time-table; prepare a report with an agreed format for presentation to the Academic Board.

As the contents of the Handbook indicate (see Appendix U) specific steps were taken to make explicit the levels of support, servicing and modes of operation required by the Planning Cycle and Academic Committee Structure.

2.4 Context
As has been demonstrated the design specification was intended to satisfy models of a well managed institution originating in both the external and internal environments. The key influence in the external environment was the CNAA and the chief protagonist in the internal environment was the Dean of the Faculty of Management (R) supported by diverse interest groups.

3. ACHIEVEMENT

3.1 Introduction
Achievement is to be measured in the first instance according to the intentions and expectations identified in section 2 above. That is, no assessment will be attempted at this stage of the realism of expectations or the contextual constraints inhibiting performance. Consideration of these and other influences will be left to section 4.

For the purpose of evaluation the distinction is made between process outcomes and performance outcomes. While in the last resort systems were to be judged by their impact on organisational performance, notably in coping with uncertainty and improving effectiveness and efficiency, great store was set by improving the way policies were formulated and decisions were made according to an image held of a well-managed institution. Considerable emphasis was placed from the outset on improving process with the expectation that reforms would lead to better organisational performance. It was acknowledged, however, that they were
neither necessary nor sufficient for improved performance and that they contained a strong speculative component.

3.2 Process Outcomes

3.2.1 General Influence on the Management of the College

3.2.1.1 Ideology

The reforms failed to achieve the degree of shift intended from a partial and incrementalist outlook to a holistic and purposively rational outlook.

3.2.1.2 Style

Performance varied in terms of achieving an open, participative, self-critical and deliberative style of management across the college. While staff appeared to value the degree of openness and level of participation encouraged by the planning system, the amount of attention and energy which they were prepared to give to strategy formulation, programming and monitoring was less than anticipated. By the same token the amount of initiative which they were prepared to surrender to, or rather expect from, Senior Management was greater than anticipated. This was true at both corporate and faculty levels.

The self-critical and deliberative elements were more in evidence at corporate than faculty level where there appeared to be a reluctance to undertake a sharply focused and hard-edged appraisal of strengths and weaknesses or analysis of threats and opportunities. This failure was associated with the differential rates at which the faculties understood and applied the recommended technology.

3.2.1.3 Approach to Decision Making

It will already be evident from the above that the introduction of corporate planning did not lead to the rapid and widespread adoption of purposive rationality. Policy making remained largely disjointed, opportunistic and incremental although increasingly justified in the language of purposive rationality. Even so, the Planning Cycle did succeed in highlighting the hierarchical and interactive nature of
strategic planning and programming and the importance of the conversion processes transforming strategies into programmes and programmes into tasks and executive actions. Less satisfactory was the balance achieved between 'bottom up' and 'top down' contributions to planning with the former dominating to an extent not originally anticipated and the latter making its intended impact only towards the end of the research period. In terms of agenda setting and corporate preoccupations, the planning system significantly increased the amount of attention given to internal audit, environmental appraisal, strategy formulation, policy implementation, monitoring and evaluation. It does not follow, of course, that increased awareness and attention, in themselves, resulted in improved performance. Consideration of the links between process and performance outcomes is left to section 3.3 below.

The Planning Cycle time-table succeeded in routinising a wide range of administrative and operational activities which needed to be undertaken irrespective of the existence of a corporate planning system. They continued to be regarded as onerous, however, and there was a limited appreciation of the extent to which the Cycle released management attention for strategic issues.

3.2.2 Integration

A major objective of the reforms was to promote integration in as many facets of organisational life as possible. Their achievements in four areas will be considered.

3.2.2.1 Balance between Differentiation and Integration

The addition of the Planning Cycle and its associated SOPs greatly strengthened the portfolio of integrative devices and also facilitated mutual adjustment by creating new arenas for interaction and negotiation. As a consequence there occurred a perceptible shift in the balance between differentiation and integration in favour of the latter. The Sub-Committees and the Planning Cycle provided a corporate focus which
had previously been absent. The time-table and SOPs imposed routines and disciplines upon the faculties which underlined their corporate obligations and the Sub-Committees were quick from the outset to expose failures by the faculties to observe them. As the Sub-Committees gained in confidence they became more openly critical of faculty performance and less inclined to accommodate procedural aberrations.

Although corporate planning was predominantly 'bottom up' in orientation it aided integration in several ways. Faculties were required to roll-forward their strategies annually and to present them for scrutiny to the Sub-Committees who assessed their corporate significance and advised the Academic Board accordingly. Initially hampered by the variety of formats adopted for presenting strategies and the absence of anticipated 'top down' contributions, the task was made less difficult when strategies became more compatible in form and content, addressed the same issues and displayed a more self-critical approach, and more comprehensive corporate strategies were prepared. The latter became increasingly more explicit and assertive as is demonstrated by the corporate strategy approved by the Academic Board in April 1983.

Phases 1 and 3 of the Cycle also had a strong integrative thrust, the former by requiring faculties to review performance in the light of intentions declared in earlier rounds, and the latter by exposing the competing claims of planned faculty programmes on college resources.

3.2.2.2 Character, Identity and Mission

In addition to providing the kind of corporate focus described above, the planning system also generated pressures and created opportunities for making explicit to a number of constituencies and audiences the character, identity and mission of the college. As has been demonstrated the opportunities were most conspicuously exploited in response to interventions from the external environment, notably the financial cuts of November 1979, the CNAA visit of March 1982, and NAB and WAB activities in 1983.
Once it became obvious that the LEA was disinclined to offer an official view of what the role of the college should be, beyond that provided at the time of the merger, the college took its destiny in its own hands. The college enjoyed considerable freedom to shape its own destiny with the Board of Governors content to support the initiatives presented to it and not to question the direction in which the college was being steered by the Principal and Academic Board. In terms of mix of activities (teaching, research and consultancy) and course provision (notably range and proportion of advanced to non-advanced), though not in size, the college increasingly resembled a polytechnic. This was in accordance with the intention declared at the time of the merger (see Chapter 8, page 312).

As successive versions of the corporate strategy became more explicit and assertive so mission and goals became better clarified. Not with such precision as to remove all ambiguity, however.

3.2.2.3 Corporate Commitment and Loyalty

The retention of an appropriate degree of generality was seen as essential to successful planning in an educational environment not least because of the difficulties likely to arise in winning corporate loyalty and commitment if mission and goals were too precisely specified. Faculties and schools continued to have a primary claim on loyalties but the reforms encouraged an identification with and commitment to the college which had previously been absent. This was particularly true of members of the Sub-Committees who fought to maintain the integrity of the Planning Cycle and promoted a corporate perspective with increased vigour. They became more assertive with experience and their growing confidence was reinforced by the reluctance of the Academic Board to reject their recommendations. However disaffected a faculty might be over the recommendations made or decisions reached by the Academic Board and its Sub-Committees it had little choice but to defer to their growing authority and influence. Such
was the case, as has been demonstrated, in the dispute with the Faculty of Science and Technology over the resourcing of the B.Eng. degree and the HND in Computer Studies. Despite the fact that this was the faculty most publicly at odds with the rest of the college, not least over the introduction and operation of the Planning Cycle, staff from the faculty actively participated in the work of the Sub-Committees and showed equal commitment to corporate decisions.

Over time an increased awareness developed across the college, encouraged by the planning system, that the fate of individual faculties was closely linked to corporate performance. Such was the case, for example, with the Faculty of Art and Design which directly benefited from the enthusiastic approval given by CNAA to the institutional reforms received during the February 1979 visit. The preparations for the March 1982 Institutional Review and the conduct of staff on the day of the visit revealed a dramatic improvement in corporate loyalty and commitment over that displayed in March 1977.

3.2.2.4 Relations between Managers and Managed

As has been demonstrated managerial roles and relationships were surrounded by ambiguities and contradictions in the early days following the merger. It has also been demonstrated that these problems were directly addressed in the design specification (see section 2.3.2.3 (c) and Appendix U, page 855) with the intention of emphasising role performance within a meaningful partnership rather than highlighting divisions between the managers and managed.

Experience of operating the planning system served to clarify the complex relationships between the policy-making and executive arms of the college and to expose the extent to which success depended on the contributions made by Senior Management. Indeed, when the Planning Cycle ran into difficulties in the early years of operation Senior Management were required to publicly declare their commitment to it.
3.2.3 Accountability, Implementation and Control

Increased accountability and control were intended to complement and reinforce improvements in integration. It was recognised from the outset, however, that they would be more difficult to achieve. And so it proved in practice. Greatest success, despite variable performance, was achieved with accountability, primarily by means of increased exposure. Implementation proved more problematic because of difficulties over executive action and enforcement. Control by means of material and symbolic rewards and sanctions proved equally difficult. The major successes and failures in relation to the above may be summarised as follows.

3.2.3.1 Successes

The routines and disciplines of the Planning Cycle forced units at each level in the organisation to justify intentions and account for performance. The very act of completing PC forms and submitting policies, programmes and intended outcomes to collective scrutiny generated a climate of corporate accountability.

The Planning and Resourcing Sub-Committee, in determining the distributions from the Revenue and Capital allocations, required strict adherence to SOPs and well prepared bids from the faculties. It had available to it both material and symbolic rewards and sanctions which it was able to deploy. As has been demonstrated the conferment of rewards became increasingly linked to a faculty's ability to recruit students to advanced courses.

The Staff Development and Research Sub-Committee was able to exercise a similar influence through the distribution of an annual budget. Documentation and procedures were tightened over the years in order to underline the contractual nature of awards and to encourage faculties to monitor performance more rigorously.
Although the Course Administration Sub-Committee did not have the same kind of largesse to distribute and took longer to establish its authority, its concern with internal course validation and monitoring and evaluation placed it in a strong position to call faculties to account for their performance in these crucial areas.

3.2.3.2 Failures
Calling faculties to account by increased corporate exposure did not necessarily change behaviour and considerable difficulty was experienced with implementation and control.

As has been demonstrated (see Chapter 10, page 496) the Staff Development and Research Sub-Committee complained strongly about failures of executive action and believed that unless corporate policies were more conscientiously implemented the planning system would fall into disrepute. The Committee was particularly aggrieved over the failure of all faculties to introduce programmes of staff consultations in line with college policy, with the modest achievements of the Heads of School Workshops and the generally reactive nature of faculty staff development and research policies and programmes. Despite sending out strong messages on these and related issues the responses obtained were frequently disappointing.

Difficulties over implementation and control were most obtrusive in the conduct of the Review Phase of the Planning Cycle. This was the phase when past judgements and actions were supposed to be subjected to close scrutiny with sharp critical analysis providing an appropriate platform for Phase 2 and the preparation of plans for the following three years. In practice this proved to be the phase least well completed with tendencies to complacency, ritualism and tokenism strongly in evidence. Despite the increasing importance attached to rigorous internal validation of course submissions in order to increase chances of success at external validation, the Course Administration Sub-Committee was consistently under pressure from faculties because of failures to present submissions
on time and tendencies to special pleading over the esoteric nature of course content.

There were also a number of other areas where despite considerable corporate attention and firm proposals from the Academic Board little progress was made because of failures of executive action. Such was the case with marketing, computer services, continuing and adult education, in-service training and open and distance learning.

3.2.4 Organisational Learning

Consideration will be given to the three major contributions to organisational learning which the reforms were intended to make.

3.2.4.1 Level of Awareness and Corporate Discourse

The corporate planning process made a significant contribution to raising the general level of awareness within the college to contextual realities and exercised a dominant influence over agenda setting and patterns of discourse throughout an academic session at each level in the organisation. The guidelines prepared for faculty strategies and the format adopted for corporate strategies directed attention to opportunities and threats in the external environment and to internal strengths and weaknesses. Environmental scanning claimed increasing managerial attention and no opportunity was lost, by top management in particular, to alert the Academic Board and Board of Governors to new sources of turbulence and uncertainty and their possible implications for the college. Special attention was given to the role played by key influencing agents and the need to fulfill their expectations of the college. Internal audit was more sharply focused at the corporate level than at faculty level. As has been demonstrated, strengths and weaknesses were examined in detail in the documentation submitted to CNAA for the March 1982 visit and the Corporate Strategy approved by the Academic Board in April 1983 made no bones about areas of continuing weakness requiring remedial action. It has also been demonstrated how at faculty level
internal audit tended to be much more bland and accommodating with
great reluctance displayed to undertake sharp-edged, well-focused
critical evaluation.

3.2.4.2 Communication

Designed to be hierarchical, participative and interactive it was
expected that corporate planning would significantly improve
communication between and across levels within the organisation. While
significant improvements were achieved they were not as extensive as
anticipated. Deficiencies in communication were exposed during preparations
for the March 1982 CNAA visit and were picked up by the visiting party
who drew special attention in their report to the need for improvements
in lateral communication. The main problem was that while the planning
system encouraged vertical communication upward it was left to the Deans,
Heads of School, and members of the Academic Board and its Sub-Committees
to relay messages from the corporate to the basic unit level. Too
frequently faculty boards were kept uninformed of important decisions
made at corporate level. Such was the case, as has been demonstrated,
with the Corporate Strategy of April 1983 whose significance was not
appreciated until the first WAB planning exercise of October of the same
year.

3.2.4.3 Attitudes, Beliefs and Behaviour Modification

The impact of the reforms on cultures and behaviours was complex and
variable. On the one hand increasing legitimacy was given to the philosophy
and technology of corporate planning and the vocabulary of purposive
rationality achieved common usage in the domain of justification. By
the same token it was recognised that the planning system was playing a
crucial role in persuading key influencing agents in the external
environment that the college was a well managed institution, despite its
relatively weak resource utilisation performance. On the other hand the
display of deference and granting of legitimacy was not accompanied by
matching behaviours. That is not to say that behaviour was unaffected. Ample illustration has been given of how it was. A strong tendency to regression remained, however, influenced by deep-seated cultural norms brought into the college at the time of the merger and problems of implementation and control deriving from the highly differentiated nature of the organisation. Put another way, the granting of legitimacy did not necessarily ensure adequate internalisation of philosophy and tendencies to incrementalism, ritualism and tokenism were much in evidence.

3.2.5 The Containment and Resolution of Conflict

The corporate planning system was designed to bring a degree of stability into a highly volatile internal environment dominated by tensions between the faculties and between the managers and the managed. It succeeded in achieving a major containment of conflict without necessarily resolving it to the complete satisfaction of the antagonists who nevertheless had little choice but to accept outcomes with as much good grace as they could muster. The means by which conflict was contained and resolved is demonstrated by the following.

3.2.5.1 Character, Identity and Mission

The corporate planning system served to underline the extent to which the college had its destiny in its own hands and provided the arenas for resolving conflict over the direction in which it should be steered. Prompted by interventions from the external environment the planning system provided an ostensibly impartial and objective framework for clarifying mission and goals which once settled could be explicitly defined and publicly declared in corporate strategies. This is precisely what was done in the three major documents produced in November 1979 (primarily for the Board of Governors), January 1982 (primarily for CNAA) and April 1983 (primarily for internal consumption).
3.2.5.2 Resource Allocation

By transferring responsibility for making recommendations to the Academic Board on the distribution of Revenue, Capital and Staff Development and Research budgets from Senior Management to the Sub-Committees the Planning Cycle achieved a major containment of potential conflict. The Planning and Resourcing Sub-Committee quickly established its authority and however aggrieved a faculty might feel over its allocation it recognised the futility of reopening the issue at Academic Board given the Board's reluctance to overturn the recommendations of Sub-Committees. Although the adjustments made were frequently minor and incremental the fact that the Sub-Committees tackled their responsibilities so conscientiously, seeking as they did to match purposive rationality with equity and political realism, took the sting out of potentially serious conflicts of interest. When in difficulty, as the Planning and Resourcing Sub-Committee found itself with the resourcing of the B.Eng. and HND Computer Studies, the aid of top management was formally invoked to help resolve conflict.

3.2.5.3 Course Administration

As has been demonstrated the Course Administration Sub-Committee had the most difficult task because it impinged on areas where the faculties felt they should be in command. Conflict over course development was minimised because of the willingness to accept 'bottom up' initiatives. As long as proposals were well thought through and details presented in approved standard form faculties had little difficulty in securing approval. Much the same was true of internal validation although difficulties did arise from time to time as with the B.Eng. submission. Here again, however, the Academic Board unequivocally backed the Sub-Committee against the faculty and the problem was defused in Senior Management in anticipation of the position likely to be adopted by Academic Board.
The ability of the Sub-Committee to resolve tensions over course monitoring and evaluation was not properly tested since the Review Phase of the Planning Cycle was conducted so unsatisfactorily, not least by the Committee itself, and problems were experienced with introducing a corporate policy and standard operating procedures for monitoring and evaluation.

3.2.5.4 Managers v Managed

Prior to the introduction of the Planning Cycle there was a strong tendency to see the two groups in an adversarial light which derived largely from the circumstances surrounding the merger and the early years of operation. The distinction between the policy and executive arms was emphasised by the managed to expose the responsibilities of managers for managing. 'Let the managers manage' was the watchword, something which CNAA failed to grasp in March 1977 and therefore blamed Senior Management for the absence of a sub-committee structure which would bring the policy and executive arms into a stronger partnership. While the coalition-bargaining model of organisations continued to influence the way in which relationships were perceived, the design specification and the experience of operating the planning system did serve to clarify roles and relationships and to expose the extent to which the successful management of the college depended on developing a partnership within a participative framework. The sub-committees were quick to recognise the importance of the executive arm not only for implementation but also for policy initiatives, advice and support. Even so, a dissonance remained between the view of managers as colleagues required to play a managerial role but sharing the same values and commitments, and the view of managers as a group set apart having distinct vested interests different from those of the rank and file, who therefore found it necessary to bargain vigorously to protect their interests. For most of the time the former view gained the ascendancy and academic and industrial relations issues were segregated and settled in different arenas. During crises when
academic decisions became indistinguishable from issues of conditions of service and security of tenure, as was the case with the first WAB planning exercise of October 1983, the latter view was reinforced.

3.2.6 Plans and Programmes

It will be evident from the approach already adopted that plans and programmes are not regarded as the primary outputs of the planning process. They simply represent the technical vehicles for conducting planning given that it is the planning process itself which confers the major benefits and not the production of planning documents. Even so, the technical standards achieved cannot be ignored and what follows is a brief technical assessment of the quality of strategies and programmes produced in the college during the research period.

3.2.6.1 Corporate Strategies

The production of corporate strategies was not routinised in the way originally envisaged so as to provide a corporate framework within which faculty strategies might be developed and reconciled. For much of the period following the introduction of the Planning Cycle the production of faculty strategies represented the primary planning activity with corporate planning a secondary, residual activity. In other words, planning was an essentially bottom-up activity with the corporate strategy emerging as a compendium of faculty strategies. This was certainly the view of the Planning and Resourcing Sub-Committee which criticised the corporate strategy included in the documents submitted to CNAA for the March 1982 visit on these grounds. And yet technically this was the most sophisticated corporate strategy produced to date with a considerable amount of senior management time and effort put into its production (see Chapter 10, pages 486-91 and Appendices H2, H3 and I). It spelled out mission and goals. It adopted a rigorously self-critical approach to the analysis of internal strengths and weaknesses. It devoted a great deal of attention to assessing opportunities and threats in the
external environment. It selected priorities, declared policies and set corporate targets, albeit at a high level of generality. And it placed the whole within a historical context thereby providing, for the first time, a comprehensive corporate statement linking past present and future. The corporate strategy prepared for submission to CNAA in 1982 had several audiences and constituencies in mind. The next version, namely the corporate strategy approved by the Academic Board in April 1983 was prepared primarily for internal consumption and aimed to alert staff to serious threats developing in the external environment. It was also intended to advance the technology of corporate planning in the college and the opening section was devoted to an evaluation of the existing 'state of the art'. Past weaknesses were acknowledged and an intention declared to establish a tighter corporate planning framework leading to the production of college and faculty strategies which would specify objectives, identify alternative means for their achievement, indicate the basis for selecting appropriate means and prescribe the actions necessary to achieve implementation of the chosen strategy. As has been demonstrated in Chapter 10, pages 477-79 and Appendix P the technology was advanced by supplementing the approach adopted in 1982 with sections examining possible alternative scenarios, giving detailed attention to options available for achieving seven major strategic objectives, spelling out the basis for selecting the preferred implementation strategy and indicating how the faculties were to develop programmes within the corporate strategy by specifying targets for each programme and identifying the person(s) responsible for their achievement. The strategy was later criticised for not quantifying targets for faculties but the authors felt that the shift in the balance between 'top down' and 'bottom up' contributions might already be too sudden. Short of presenting faculties with targets the 1983 Corporate Strategy represented a major advance in the technology.
3.2.6.2 Faculty Strategies

Despite attempts from the outset to provide guidelines for the preparation and presentation of faculty strategies they were either ignored or misunderstood with the result that frequent complaints were received from sub-committees over the variable performance of faculties (see, for example, Chapter 10, pages 462-64). As has been demonstrated it was necessary for the Assistant Principal (R) to edit or rewrite faculty strategies for inclusion in the documentation for the March 1982 CNAA visit and it was not until revised guidelines were produced by him (see Appendix K) for the 1983/84 round of the Planning Cycle did matters improve sufficiently to satisfy the sub-committees (see Chapter 10, page 464). Even then, however, there were significant variations between faculties in the degree of self-critical rigour with which internal audit was undertaken and in the amount of attention given to opportunities and threats in the external environment. Rarely were options considered in strategies with the result that faculty boards were generally faced with foreclosed choices selected by the Dean and Heads of School.

3.2.6.3 Programming

Heavy reliance was placed on the PC forms for programming course and staff development and research activities and spelling out their resourcing implications. Given the cash-limited environment in which the college was operating there was little room for other than incremental adjustments, involving redistributions within existing allocations. The PC forms fulfilled the tasks for which they were designed largely to the satisfaction of Faculty Boards and Sub-Committees and were revised and improved as needs demonstrated.
3.3 Performance Outcomes

3.3.1 The Measurement of Performance in Education

Education presents special problems for the measurement of performance since it is a complex and open-ended operation. It is characterised by joint costs and products, uncertain and unexpected outcomes and little understood processes. Large parts of education defy quantification.

So write Birch and Latcham (1985) in a paper which not only analyses the problem but which also suggests ways of selecting appropriate means of tackling it at a time of growing external pressures on the managers of FE and HE institutions to improve management information systems and to provide a more precise, quantified account of their stewardship.

The Birch and Latcham paper is regarded as a particularly useful reference for the present purpose since in addition to addressing the problem and offering practical solutions it also reviews the state of the art and demonstrates the value of applying a systems model to educational management. Their approach in terms of philosophy and technology is seen to relate closely to that which informed the development of the planning system in the College of Higher Education and they also give due regard to the micro-political dimensions of management. In attempting an evaluation of performance outcomes, therefore, the view is taken with Birch and Latcham that:

a) the identification of a production function for education is fraught with serious technical and behavioural difficulties: missions are open-ended, outcomes are uncertain, joint costs and products abound, the nature of input/output relationships is unknown - that is, the system is pervaded with uncertainty, ambiguity and complexity;

b) while quantification is difficult, partial quantification has value if only as a first step in identifying areas requiring managerial attention;

c) given the difficulties of qualitative assessment heavy reliance
has to be placed on subjective ranking by other professionals who largely
determine what constitutes satisfactory or acceptable levels of performance;
d) practical considerations direct attention to 'proximate goals' and
the measurement of 'intermediate outputs';
e) the effectiveness of a management system depends largely on the
relevance and quality of feedback in which standards, appraisal, monitoring
and evaluation play a crucial role;
f) however sophisticated the management information systems employed
(i.e. critical outcomes identified, standards set and conventions agreed)
there is no point in flagging unsatisfactory performance for management
attention on an exception basis unless managers are ready, willing and
able to take remedial action; and that

g) management's chief task is to cope with complexity and tolerate
ambiguity. Coping with complexity generally involves attenuating variety
and/or increasing responsiveness and adaptive capacity.
It follows from the above that two sets of tests will need to be applied
when undertaking an evaluation of performance outcomes. The first set
will relate to the specification of performance standards. The second
will relate to their attainment. The less precisely specified are
performance standards the more impressionistic will be the measures of
attainment.
Attainment of performance outcomes will be considered in relation to
Survival, Effectiveness and Efficiency.
3.3.2 Survival and Development
By survival is meant not so much the avoidance of extinction (the college
was not threatened at any stage in the period under consideration with
complete closure although questions were raised among county councillors
from time to time about the costs of funding an HE institution) but the
ability to achieve a dynamic equilibrium in the face of external turbulence
and to maintain the college largely intact.
In view of the level of generality at which expectations were pitched
the evaluation of this aspect of performance will, of necessity, be
impressionistic. The impressions are collected under three general
headings.

3.3.2.1 Coping with Uncertainty and Turbulence
The major sources of uncertainty and turbulence have been identified in
sufficient detail not to require further elaboration. As has been
demonstrated they confronted college managers with an increasingly
uncertain and hostile environment.
The planning system was intended to assist managers in attenuating
variety, that is in containing uncertainty and turbulence within
manageable proportions, and in increasing their responsiveness and
adaptive capacity to the opportunities created by change. One of the
major principles informing the design of the Planning Cycle was the
Acceptance of change as a normal phenomenon and hence be managed,
controlled and phased rather than suffered.
The Handbook (see Appendix U, page 850) spelled out how placing key
decisions affecting the future of the college within a planning framework
was intended to promote the systematic analysis of the external and
internal environments so that problems could be tackled and appropriate
decisions taken in good time, that is, taking initiatives in anticipation
of future events rather than falling victim of circumstances. The major
impressions gained in assessing the extent to which the above intentions
were realised are as follows:
a) In significantly raising the general level of awareness within
the college of environmental realities the planning system helped to
contain uncertainty and turbulence and to target the sources requiring
special managerial attention.
b) Although initiatives largely rested with faculties for achieving
creative adaptation to change particularly in the sphere of course and curriculum development, the disciplines imposed by the three phases of the Planning Cycle, made it likely that the faculties of their own volition, or prompted by others, would be aware of changes in the external and internal environment considered to be of strategic importance.

c) The introduction of corporate planning, apart from clarifying managerial responsibilities in the general terms described in section 3.2.2.4 above, served above all to emphasise the interfacing roles of senior management and the reliance placed upon them for environmental scanning. As has been demonstrated top management in particular lost few opportunities to alert staff and governors to new sources of turbulence and to point out their significance for the college.

d) In the last resort, however, the adequacy of the response to external threats and opportunities depended primarily on appropriate executive action taken at faculty level and in most instances, as will be shown below, the faculties responded positively and imaginatively. There were also instances, however, already made obtrusive and to be examined in greater detail in section 4 below, where corporate discourse succeeded in raising the general level of awareness without leading to executive action. Such was the case with Open and Distance Learning, for example. Despite extended discussions which confirmed the potential significance of the development, determined action awaited the appointment of a manager (in this case the elevation of a Head of School to Dean) who was both personally committed to the innovation and regarded it as an important means of securing the future of his new faculty (see Chapter 10, page 439).

3.3.2.2 Satisfying Key Influencing Agents

As Birch and Latcham have demonstrated (see 3.3.1 (c) above) heavy reliance has to be placed for qualitative assessments of institutional performance in education on subjective ranking by members of key
influencing agencies, notably other professionals, who largely determine what constitutes satisfactory or acceptable levels of performance. This was a fact widely recognised throughout the college and given great prominence in corporate strategies. A majority of the guiding principles informing strategic thinking which were declared to the CNAA in March, 1982 (see Chapter 10, pages 488-89) had the maximisation of goodwill with clients, key influencing agents and the community at large as their preoccupation and they continued to guide strategic thinking in succeeding versions of the corporate strategy. In terms of self-image the ability to satisfy key influencing agents was consistently presented as a major strength in appraisals of the internal environment. It was the first listed, for example, in the April, 1983 corporate strategy: *Reputation established, over a number of years, with Clients, HMI, Validating and Professional Bodies and others, as a specialist centre in certain areas and for a commitment to high standards of service across the board.* As has been demonstrated the claim was largely justified, despite evident weaknesses in performance, notably with a small number of course validations and resource utilisation (to be examined further, below). The blemishes were thrown into high relief, however, by the majority of successes which secured a reputation for the college as a well-managed institution. The success of the 1982 CNAA quinquennial institutional review provided a major boost to confidence. Relations with the University of Wales, as the Dean of the Faculty of Education was quick to point out, were highly satisfactory with no difficulties experienced with academic standards. The transfer of higher technician courses to TEC, BTEC and DATEC, again with a few obtrusive exceptions, were achieved successfully. Relations with professional bodies were good with staff encouraged to become involved with local and national committees. Such links were particularly important for the Faculty of Management and Professional Studies which built up a strong reputation with a number of bodies, the
most significant being the Association of Certified Accountants. Students seeking the ACCA's professional qualification accounted for between a third and a half of the Faculty's full-time students and the granting of approved centre status, which enabled the college to set its own examinations for all but the final part, was very important initially for the recruitment of full-time students, and later when the status was extended to part-time tuition, for the recruitment of part-time students.

Staff in the college generally enjoyed a relaxed and cordial relationship with HMI who were regarded more as interested colleagues than 'inspectors'. Steps were taken to ensure that they were informed of interesting developments as they occurred with the result that some specialist HMI became regular visitors bringing others with them. Being implicated in major course developments, external validations and institutional reviews, HMI were able to observe at first hand the performance of staff and received all reports. The Regional Staff Inspector, who had a professional interest in institutional management and contributed to educational journals on the subject, strongly approved of the corporate planning system introduced into the college and the general approach to management adopted. There were occasions, however, when relations became strained as occurred, for example, between the Faculty of Art and Design and the specialist HMI for that area.

The second strength listed in the position audit incorporated into the April, 1983 Corporate Strategy was strong support from the Board of Governors and the Local Education Authority. For much of the period under consideration the college was allowed to shape its own destiny as long as it kept within approved financial estimates and observed procedural proprieties. This it was able to do and no serious difficulties were experienced in keeping to the 'bottom line' and in sharing the agony incurred by the county's educational service as and when cuts were necessary. Indeed, during the early 1980's what was being withdrawn by
one hand was more than likely to be restored and supplemented by another. This followed upon the increasing significance attached by senior politicians, notably the leader of the majority group, to the role the college might play in attracting high technology industries to the county in order to combat the major structural changes taking place in local industry and employment (see Appendix V, Table 1). As has been demonstrated, major investments in staff and equipment were undertaken in 1981/82 and 1982/83 in anticipation of new course developments designed to meet client needs. The Authority needed to be reminded of the risk or ‘venture’ nature of the funding when the Audit Commission produced its Value for Money Report on the session 1982/83. The report exposed on the one hand major weaknesses in the college’s resource utilisation performance (to be considered further in section 3.3.4 below) and thereby generated an interest from officers and elected members in performance indicators which they had previously neglected, while on the other hand it commended the corporate planning system, the significance attached internally to performance indicators and the management attention being given to improving a performance acknowledged to be unsatisfactory. The net result of the report therefore was to raise doubts about efficiency without seriously damaging the image of the college as a well managed institution.

3.3.2.3 Securing a Future

In terms of securing a future the two bodies which needed above all others to be satisfied were the Local Authority and WAB, since between them they determined the funding of the college. There were no signs by the end of the period under consideration that the college was failing to satisfy either although it was recognised that resource utilisation targets would need to be agreed with the LEA and that sooner or later WAB would enter the arena of course rationalisation. The WAB planning exercises gave a major boost to the Planning Cycle which
in turn helped cope with the demands made on college management by the
officers of WAB. As will be demonstrated below, one area in which the
Cycle conspicuously failed to match intention was in improving fore-
casting and producing realistic student targets. The WAB planning
exercises produced a dramatic improvement in both by first exposing the
unrealistically optimistic projections submitted for 1984/85 (a tendency
shared by the majority of HE institutions) and then negotiating directly
with colleges for realistic targets for 1985/86, the first year in which
the revised system became fully operational in Wales. The fact that the
whole sector had submitted wildly over-optimistic projections to WAB
saved some embarrassment for the Deans but the opportunity was not missed
by top management, who had been extremely dubious over the figures fed
to them, to tighten the whole approach to student projections within the
Planning Cycle. As a result increasingly realistic projections were
developed during 1983/84 and 1984/85 which culminated in a final set of
figures presented to WAB officers which proved to be close to the mark
(see Appendix V, Table 2). The disciplines of the Planning Cycle made a
major contribution to the preparations for meetings with WAB officers
who were impressed by the grasp shown by college representatives of
their patch, a performance made all the more impressive by experiences
elsewhere. The impression gained, therefore, was of a well managed
institution. Such a view was reflected in the targets allocated to the
college which assured its future, in the short term at least, as a
polytechnic-type institution offering a broad range of full-time, sandwich
and part-time courses.

3.3.3 Effectiveness

According to Birch and Latcham (1985: 97) An organisation is effective if
it achieves objectives which are appropriate to the needs of society.
The primary aims identified for the college in the corporate strategy
presented to CNAA in March, 1982 and retained in succeeding versions were
as follows. To:

1. **Provide a range of educational services, in the form of courses, research and consultancy, to acceptable standards of effectiveness and efficiency, which meet the existing or anticipated needs of identifiable clients, known to value the provision of such services, and which are consistent with the policies of the County Council and the Welsh Education Office (later to include WAB).**

2. **Extend knowledge and its application through research and consultancy.**

3. **Create a working environment for staff which:**
   a) promotes their personal and professional development;
   b) increases their identification with and value to the college; and,
   c) improves their job satisfaction.

One of the major difficulties in appraising effectiveness on the basis of the above is, once again, the level of generality at which intentions were declared and the questions begged about acceptable standards of performance. They were answered with varying degrees of precision in the strategic objectives enumerated after the statement of general aims. Performance will therefore be primarily evaluated in relation to these stated objectives as critically reviewed in succeeding strategies (i.e. that approved by the Academic Board in April, 1983 and its successor approved in June, 1985 which although falling outside the research period is referred to because of the critical assessment provided in it of past performance (see Appendix W for selected extracts) and the specification of target SSRs.

### 3.3.3.1 Range of Services Provided for Clients

The services provided by the college were seen to fall into three groups: approved advanced and non-advanced FE listed courses for which standard nationally or regionally determined fees were charged; economic courses, generally of short-duration and frequently held in-plant, provided on a full cost basis; and applied research and consultancy provided for clients at a negotiated fee depending on the benefits accruing to the college and the client and what the market was likely to bear.
While the college was seen to be in business primarily to provide the first group of services intentions were declared in corporate strategies to increase the significance of the second and third group within the overall mix. As will be demonstrated in 3.3.3.5 below some success was achieved in raising the level of economic short-course activity but few applied research and consultancy projects materialised.

Prior to the agreement in 1981/82 of a policy with the LEA on Applied Research, Consultancy and Professional Activities (see Chapter 10, page 464) it was assumed that the absence of such a policy seriously inhibited development. After the policy had been approved it became evident that there were more basic inhibitions, notably limited capability and residual status. As with economic short courses, consultancy was seen largely a residual rather than a primary activity to be fitted in as circumstances, particularly the teaching load generated by mainstream courses, permitted.

### 3.3.3.2 Course Portfolio

Securing a future for the college was seen largely in terms of developing an appropriate course mix within the constraints imposed by the LEA, RSI, RAC and latterly, WAB. The college was required by the LEA to concentrate on the provision of advanced courses and was permitted to offer non-advanced courses only as long as they satisfied the 'feeder principle', were located at the college by agreement within the County's TEC Consortium, or were economic courses. It therefore became a strategic objective to increase the proportion of advanced to non-advanced courses and this objective was successfully achieved during the period under consideration as is shown in Appendix V, Table 3. The period covered by the Table coincides with the introduction and operation of the Planning Cycle and was, as has been demonstrated, an extremely dynamic period for course development. Important changes took place in the portfolio of each faculty which, in the majority of cases, coincided with strategic
objectives. The achievements of each faculty will be considered in turn.

a) **Art and Design**
The major objective of the Faculty was to convert existing non-advanced courses other than the foundation course into advanced courses qualifying for mandatory grant status. This objective was achieved, other than for Fashion. To the existing degrees in Fine Art and Graphic Design were added a BA in 3D Design and DATEC Higher Diplomas in Documentary Photography and Film and Video. The failure to advance the Fashion course beyond a National Diploma was a major gap, particularly given the original intention to offer a CNAA degree course.

b) **Education and Combined Studies**
A significant number of the developments in teacher education, whether initial or in-service training, and combined studies were achieved in partnership with other faculties. Such was the case for example with the special shortened B.Ed's in Maths and Science and Craft Design and Technology, two shortage-subject areas for recruiting teachers, which were introduced in order to provide opportunities for mature students, many of which were made redundant by the contraction of the steel industry. The BA Combined Studies, introduced to provide students with an alternative route to teacher training out of the Dip.HE, was a joint venture with Science and Technology as were a number of important developments in in-service course provision, notably in Maths, Science and Computing. The provision of in-service courses was greatly enhanced both in range and modes of attendance during the period under consideration as is shown by the full-time equivalent numbers in Table 4(b) of Appendix V.

c) **Management and Professional Studies**
By the end of the period under consideration this faculty had greatly strengthened its portfolio in terms of range and relevance. Approved centre status had been secured for the ACCA full-time and part-time
accountancy courses up to final stage level. The HND and HNC in Business Studies courses had been successfully converted to BTEC. The existing portfolio of part-time courses, a number of which enabled students to acquire professional qualifications post-HNC, was strengthened with the introduction of the Chartered Building Societies Institute Diploma and the public-administration option of the Institute of Chartered Secretaries Diploma. A complete range of courses was developed in management from supervisory to postgraduate studies which included NEBSS, a Certificate in Management Studies (designed for and in partnership with the Area Health Authority), a radically revised Diploma in Management Studies, a range of qualifications in personnel management including a full-time IPM course run jointly with the Polytechnic, and a postgraduate research diploma leading to an M.Phil or Ph.D. Joint courses were run in Health (a part-time Diploma in Nursing) and Social Work (a full-time CQSW) with a neighbouring HE institute and the faculty joined forces with the Extra-Mural Department of the University of Wales to provide a part-time Diploma in Social Studies. Further co-operation was in prospect with two other constituent colleges of the University, both at postgraduate level. Although under threat from time to time because of the reliance of the mature students recruited to the course on obtaining discretionary grants from their local authorities, the full-time one year Diploma in Trade Union and Social Studies continued to meet a well-established need.

d) Science and Technology

The transfer of technician courses to TEC, first part-time then full-time, was successfully achieved with the range of specialist provision available to students at the higher technician level extended. Higher Certificates were developed for example in Computing, Telecommunications, and Mechanical, Production, Plant, Electrical and Electronic Engineering.
To the existing advanced full-time courses in Mechanical and Production Engineering and Electrical and Electronic Engineering were added a special Higher Diploma in Electronics and Communications and a B.Eng. degree in Electronic and Instrumentation Systems. The former was developed in conjunction with representatives from local high-technology industries with the aim of meeting shortages of key personnel. The latter, despite problems with validation, regarded by those most involved as par for the course, represented a major achievement. Less happy was the experience with the HND in Computer Studies, a development considered to be of strategic importance to the college. The failure to secure validation proved acutely disappointing and embarrassing to the new Faculty of Information Science and Systems Technology, particularly since it was regarded as the faculty serving the 'sunrise' industries whereas the other new faculty created by the split was identified with the 'sunset' industries.

As a result the Dean of the Faculty of Industrial Engineering and Science was preoccupied with rationalisation, consolidation and the exploitation of opportunities for diversification (see Chapter 10, page 445).

Steps were taken to increase the proportion of shared curriculum in the Higher Certificates in Mechanical, Production and Plant Engineering. Efforts were made to consolidate the position of the faculty as a regional centre for advanced courses in Building Studies, Chemistry and Metallurgy. These were highly successful in relation to the first group, sustained the second comfortably but experienced great difficulty with the third because of low recruitment, despite the fact that the college was one of the few remaining centres in the country. The experience with Metallurgy confirmed evidence drawn from other areas such as Plant Engineering that alternative modes of study would need to be offered to students, notably in the form of open and distance learning. The Dean was an enthusiastic supporter of open learning and promoted a major development in this area.
in association with the Manpower Services Commission. Opportunities were taken to exploit special expertise built up in Computer Aided Manufacture which were particularly successful in relation to FE and economic courses on the programming and operation of numerically controlled machine tools. This specialist capability was also instrumental in securing an AEPT course (full-time during the third college term) offered on an economic basis. What emerges from the above is a picture of a college responding positively to changes in its environment and producing a portfolio of courses seen to be capable of meeting the existing and anticipated needs of clients and consistent with the policies of the LEA and the Welsh Office (as interpreted by WAB).

3.3.3.3 Student Places
An equally strong picture which emerges from a number or sources, including Faculty and Corporate Strategies, is a consistent failure to exploit a strong portfolio by recruiting to target, or more accurately to the declared level of aspiration. As has been indicated in section 3.3.2.3 above, it was not until the intrusion of the WAB planning exercises that forecasting became a meaningful activity and student targets achieved a measure of credibility. Despite the requirement placed on faculties when completing the appropriate PC forms to link student projections to past forecasts and actual recruitment, the figures produced were regarded each year with scepticism. The Planning and Resourcing Sub-Committee, for example, regularly commented upon over-optimistic forecasts which appeared to represent *aspirations rather than reasonable expectations* (17th June, 1980). Despite exhorting the faculties to greater realism neither this Sub-Committee or the Course Administration Sub-Committee gave the matter enough attention or pursued it with sufficient determination to significantly improve practice.

The tendency within the college was to see poor marketing rather than imprecise forecasting as the prime reason for the failure to fill the
desired number of student places. Hence the frequent criticisms of promotional effort, and the emphasis placed in successive corporate strategies on improving performance by implementing the policy approved by the Academic Board in February, 1981 (see Appendix G). The April, 1983 Corporate Strategy was particularly strident about the failure to recruit students in sufficient numbers and over the continuing inadequacy of the college promotional effort. College performance on recruitment to advanced courses in 1982/83 was seen by top management to have been particularly disappointing in view of the failure to exploit the opportunities created by the reduction in university places of which rival institutions in Wales were known to have taken greater advantage (see Appendix V, Table 5). The strong message sent out in the Corporate Strategy in April, 1983 was quickly supplemented by a circular letter sent out by the Principal the following month to all academic staff emphasising the importance of increasing student recruitment. It is evident from the consideration given the letter by the Faculty of Information Science and Systems Technology that the Faculty Board regarded itself as the prime target for the letter in view of the investment in staff and equipment which has been made in anticipation of course developments which were late in coming 'on stream' (see Chapter 10, page 455). Recruitment to advanced courses did in fact improve significantly in 1983/84 although not in science and technology (see Appendix V, Tables 4d and 6). Table 6 also shows how the improvement continued and was shared in succeeding years only to be offset by a reduction in recruitment to non-advanced courses.

3.3.3.4 Teaching Learning Programmes and Student Performance

The number and range of student places made available by the college has been taken as a quantitative measure of output (i.e. intermediate output regarded as an acceptable proxy - see Birch and Latcham (1985: 116)).
In seeking a measure of the quality of learning opportunities provided for students attention will be focused on course and curriculum development and student performance.

a) Course and Curriculum Development

Judged by its ability to satisfy external validating bodies, whose level of expectation, as has been demonstrated, was rising throughout the period under consideration, the college proved itself to be efficient in the majority of cases. The general success rate, however, threw into high relief the instances where new proposals or resubmissions were turned down or won qualified approval. The failure to secure approval first for the degree and then the HND in Fashion and for the HND in Computer Studies reflected badly on the college, the host faculty and staff most directly involved. Although it turned out to be a rather protracted affair the eventual success with the validation of B.Eng. in Electronic and Instrumentation Systems was regarded as a major achievement. The critical and qualified revalidation by CNAA of the degrees in Fine Art and Graphic Design in 1984 set in motion major evaluations of both courses within the Faculty of Art and Design. They were initiated by the Dean who took up post in September, 1984 and who had been a member of one of the validating groups.

b) Student Performance

The PC forms completed for the Review Phase of the Planning Cycle sought information on student fallout, course completion, examination successes and employment or further study. It took several cycles to iron out difficulties, to ensure that the PC forms were completed conscientiously by all faculties for submission to the Course Administration Sub-Committee and were accompanied by reports which undertook a general review of performance and reported on individual courses on an exception basis. The Sub-Committee concentrated on a statistical review with faculty representatives asked to account for a failure to achieve critical
thresholds of performance with a further follow-up to the Dean where satisfactory explanations were not available.

As has been demonstrated the Review Phase of the Planning Cycle proved to be the most problematic and the Course Administration Sub-Committee had difficulty in satisfying the Academic Board that it was doing the job properly.

The statistical thresholds employed by the Committee were seen to be crude measures of performance since they were applied to all courses irrespective of level, mode, duration and whether internally or externally examined. Exception reporting, therefore, encouraged special pleading by faculties in mitigation of sub-standard performance (with low national pass rates quoted, for example, to account for seemingly weak results in professional examinations). Once again there was little more that could be done about an explanation in the absence of agreed standards for each course. It was the general dissatisfaction with the conduct of the Review Phase combined with pressures from validating bodies which gave urgency to the development of a new policy and procedures for course monitoring and evaluation. Despite the high priority attached to this development in the Corporate Strategy submitted to CNAA in March, 1982 and the succeeding version adopted in April, 1983 progress was extremely slow with very little to show other than a brief policy statement by the end of the 1983/84 academic session.

The general picture which emerges from the above in relation to the measurement of student performance is that while performance on the majority of courses was considered to be satisfactory it was also seen to be highly variable in a minority of cases. Considerable difficulty was experienced in following-up the exceptions in the absence of agreed standards for an individual course or group of courses and without strengthening the Review Stage of the Planning Cycle which the
introduction of rigorous course monitoring and evaluation was intended to achieve.

3.3.3.5 Applied Research, Consultancy and Economic Course Activity

As has been indicated in 3.3.3.1 above, successive corporate strategies declared an intention to increase the significance of so called 'economic activities' within the overall mix. The determined effort to develop a College Applied Research and Consultancy Service called for in the Corporate Strategy presented to CNAA in March, 1982 involved identification by the Deans of Faculty of members of staff most suitable for participation in such a service and the selection of a team of consultants following an induction programme. The April, 1983 Corporate Strategy called for vigorous marketing of services provided on an economic basis. Neither action was taken and it was left to individual faculties to develop these activities on an ad hoc basis according to opportunities identified within their particular client networks. The levels of activity for consultancy in the first three years of the operation of the policy were as follows:

Figure 14: Income from Consultancy 1982/83 - 1984/85

<table>
<thead>
<tr>
<th>Financial Year</th>
<th>Gross Income £</th>
<th>Mark-up (cost plus) £</th>
</tr>
</thead>
<tbody>
<tr>
<td>1982/83</td>
<td>612</td>
<td>280</td>
</tr>
<tr>
<td>1983/84</td>
<td>10,594</td>
<td>978</td>
</tr>
<tr>
<td>1984/85</td>
<td>5,317</td>
<td>732</td>
</tr>
</tbody>
</table>

The income in 1982/83 derived from destruction testing undertaken for local firms (a long established activity) and a project undertaken, also for a local firm, by the Faculty of Art and Design. This project extended into 1983/84 and together with another of a similar kind, producing promotional material, accounted for £6,700 of the total. Of the remainder, £3,500 derived from work undertaken by the Faculty of Management within the NHS with the residue accounted for by materials testing. The whole of the income other than one project undertaken by the Faculty of Art and Design for the MSC valued at £567 derived from 3 assignments undertaken by
the Faculty of Management within the Health Service.

The level of activity on economic short courses did increase significantly as is demonstrated below, although the general scale remained very modest in relation to total provision. Assuming a conversion factor of 700 hrs. per FTE student, for example, the increase noted below is from \( 9\frac{1}{2} \) to 28 FTEs.

**Figure 15: Economic Short Course Activity Measured in Student Hours**

<table>
<thead>
<tr>
<th>Faculty</th>
<th>1981/82</th>
<th>1982/83</th>
<th>1983/84</th>
<th>1984/85</th>
</tr>
</thead>
<tbody>
<tr>
<td>Industrial Engineering &amp; Science</td>
<td>508</td>
<td>925</td>
<td>264*</td>
<td></td>
</tr>
<tr>
<td>Information Science &amp; Systems</td>
<td>2,926</td>
<td>2,246</td>
<td>2,840</td>
<td>8,026</td>
</tr>
<tr>
<td>Technology</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management &amp; Professional Studies</td>
<td>3,664</td>
<td>5,117</td>
<td>8,912</td>
<td>11,462</td>
</tr>
<tr>
<td></td>
<td>6,590</td>
<td>7,871</td>
<td>12,677</td>
<td>19,752</td>
</tr>
</tbody>
</table>

*The figure does not include the AEPT one term economic course which amounted to 8,640 student hours.

### 3.3.3.6 Staff Development

Effectiveness in providing appropriate learning opportunities for students was seen to be linked to the kind of development opportunities provided for staff. Hence successive corporate strategies gave priority to creating a working environment which promoted the personal and professional development of staff and increased their identification with and value to the college. Put another way there was a desire to strengthen the 'psychological contract' (Handy, 1981: 39) between the individual member of staff and the organisation.

As is indicated by extract 3.7.2 of Appendix W, heavy reliance was placed on the kind of organisational climate created by structures and processes and the level of support provided by the annual staff development and research budget. Table 7 of Appendix V provides a summary of the distributions approved by the Staff Development and Research Sub-Committee on 22nd November, 1983 for the Financial Year 1984/85. It demonstrates the significance attached to support for research, and within the research...
budget the dominant shares claimed by alleviation from lecturing duties and expenditure on equipment and materials. The research programme consisted of 25 projects involving 33 members of staff. The major benefits from the programme were seen to relate to course and curriculum and professional development rather than publications in journals, although in a few instances results appeared in print. Support for part-time study benefited 13 staff, the majority of which were reading for post-graduate degrees.

While steps were taken both at faculty and sub-committee level to ensure that projects were in line with faculty objectives and that the contractual obligations of accepting financial support were understood, no systematic attempt was made to measure benefits in relation to costs. This was not regarded as a serious deficiency by the Staff Development and Research Sub-Committee which acknowledged that the annual allocation represented an act of faith but which sought to improve monitoring and progress-chasing at faculty level. The Committee was more successful in achieving this objective than in securing general adoption across the college of the programme of staff consultations, regarded as central to the effective implementation of the Staff Development Policy approved by the Academic Board. Several attempts were made to secure the implementation in all faculties of the needs/means model (see Appendix C) on which the policy was based, but with little success. It operated as intended in one faculty only, the one in which it originated, namely the Faculty of Management and Professional Studies. Even so, corporate strategies continued to require the adoption of a systematic and deliberative approach to staff development based on the needs/means model and employing gap analysis (see Appendix W, section 3.3.3).

3.3.4 Efficiency

This was the aspect of performance which caused college managers greatest anxiety. There was no inclination to hide the problem and various attempts
were made, chiefly by exhortation and raising the general level of
corporate awareness, to remedy it. Progress was slow, however, and the
gap to be closed increasingly became a matter of external as well as
internal interest.

3.3.4.1 Student Staff Ratio

The focus of attention of the April 1983 Corporate Strategy was the
threat posed by the failure to improve resource utilisation performance
and the first priority for securing the future of the college post-1985
was identified as the achievement of an SSR as good as the average for
similar institutions in England and Wales. The size of the gap to be
closed (known to be a moving target) was indicated as were the options
available for securing an improvement (see Appendix P, pages 1 and 2)
with greatest emphasis placed on student recruitment and promotional
effort.

The comparative performance of the college during the academic sessions
1982/83 and 1983/84 were as follows:

Figure 16: Comparative Analysis of SSRs for AFE and NAFE in
1982/83 and 1983/84

<table>
<thead>
<tr>
<th>Institution</th>
<th>1982/83</th>
<th></th>
<th>1983/84</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>AFE</td>
<td>NAFE</td>
<td>AFE &amp; NAFE</td>
<td></td>
</tr>
<tr>
<td>Wales: College of HE</td>
<td>7.8</td>
<td>8.4</td>
<td>7.9</td>
<td>8.4</td>
</tr>
<tr>
<td>OME 'A'</td>
<td>8.6</td>
<td>9.7</td>
<td>9.3</td>
<td>9.2</td>
</tr>
<tr>
<td>OME 'B'</td>
<td>6.6</td>
<td>8.5</td>
<td>7.4</td>
<td>8.4</td>
</tr>
<tr>
<td>OME 'C'</td>
<td>10.0</td>
<td>8.8</td>
<td>9.4</td>
<td>10.0</td>
</tr>
<tr>
<td>Polytechnic</td>
<td>11.6</td>
<td>9.6</td>
<td>11.5</td>
<td>12.2</td>
</tr>
<tr>
<td>Wales Av. (33 colleges)</td>
<td>8.8</td>
<td>9.2</td>
<td>9.1</td>
<td>9.7</td>
</tr>
<tr>
<td>England: Polytechnics Av.</td>
<td>10.3</td>
<td>10.7</td>
<td>na</td>
<td>11.1</td>
</tr>
<tr>
<td>OMEs Average</td>
<td>9.5</td>
<td>9.3</td>
<td>na</td>
<td>10.1</td>
</tr>
</tbody>
</table>

Sources: Statistics of Education in Wales No. 8, 1983 and No. 9, 1984
(Welsh Office) and the DES Annual Monitoring Survey for 1983/84 (DES
March 1985).
The performance on a course group basis (Group 1 = laboratory or workshop based, Group 2 = classroom based) for 1983/84 was as follows:

Figure 17: Comparative Analysis of SSRs for 1983/84 by Course/Faculty Group

<table>
<thead>
<tr>
<th>Institution</th>
<th>SSRs by Group for 1983/84</th>
<th>AFE</th>
<th>NAFE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Group 1</td>
<td>Art &amp; Design</td>
</tr>
<tr>
<td>Wales: College of HE</td>
<td></td>
<td>6.4</td>
<td>6.9</td>
</tr>
<tr>
<td>OME 'A'</td>
<td></td>
<td>7.7</td>
<td>8.8</td>
</tr>
<tr>
<td>OME 'B'</td>
<td></td>
<td>7.6</td>
<td>7.0</td>
</tr>
<tr>
<td>OME 'C'</td>
<td></td>
<td>8.7</td>
<td>9.8</td>
</tr>
<tr>
<td>Polytechnic</td>
<td></td>
<td>11.9</td>
<td>-</td>
</tr>
<tr>
<td>Wales (Average)</td>
<td></td>
<td>9.3</td>
<td>7.2</td>
</tr>
<tr>
<td>England: Polytechnic Av.</td>
<td></td>
<td>10.1</td>
<td>8.7</td>
</tr>
<tr>
<td>OMEs Av.</td>
<td></td>
<td>8.7</td>
<td>7.7</td>
</tr>
</tbody>
</table>

Sources: (as above)

The figures expose the generally poor comparative performance of the college, particularly for advanced courses, with the greatest scope for improvement arising in Science and Technology and Art and Design.

3.3.4.2 Costs

One of the problems in achieving meaningful comparisons of efficiency is that of comparing like with like. This is a problem recognised by the Audit Commission which for the purpose of conducting its Value for Money studies seeks to compare the performance of one local authority with a set of other authorities having a similar profile. Such was the case with the study done for 1982/83 which reached the following major conclusion on the performance of the College of Higher Education.

Had the college achieved the average performance of the set chosen for comparison in terms of SSR and related ratios the same students could have been taught with 20% fewer staff, or, c300 extra FTE students could have been taught by the same number of staff. A 20% reduction in staffing represented a potential saving of £650,000 before taking into account
any overheads, which was estimated to raise the figure to £750,000.
The Audit Commission report served to confirm a fact already well under-
stood, namely that the college was a high cost provider of higher education.
The proportion of 'further funding' necessary out of the AFE Pool
allocation in Wales had sent earlier warning signals on the need to reduce
costs. Information brought back to the college by the Assistant Principal
(R) from the Finance Panel of WAB in November, 1983 showed that with
further funding fixed at 13.5% of the gross pool allocation for Wales
the proportions as between common and further funding for the LEA would
need to be 76% and 24%.
In terms of comparative unit costs it was not until the autumn of 1985
that figures became available for the session 1983/84. These were
published following a detailed analysis of the 1983/84 Annual Monitoring
Survey Returns for England undertaken at the FE Staff College (Birch and
Kedney, 1985). They confirmed the college to be a very high cost
institution as the following figures show.

**Figure 18: Costs per Student (Total Gross Expenditure)**

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Higher Education</td>
<td>£3,548.93</td>
</tr>
<tr>
<td>Mean for English Colleges enumerated</td>
<td>£2,605.97</td>
</tr>
<tr>
<td>Standard Deviation</td>
<td>£695.55</td>
</tr>
<tr>
<td>Lower Quartile</td>
<td>£2,130.90</td>
</tr>
<tr>
<td>Median</td>
<td>£2,486.60</td>
</tr>
<tr>
<td>Upper Quartile</td>
<td>£3,073.95</td>
</tr>
</tbody>
</table>

**Figure 18: Costs per Student (Full-Time Teaching Staff Costs)**

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Higher Education</td>
<td>£1,847.89</td>
</tr>
<tr>
<td>Mean for English Colleges enumerated</td>
<td>£1,310.47</td>
</tr>
<tr>
<td>Standard Deviation</td>
<td>£264.23</td>
</tr>
<tr>
<td>Lower Quartile</td>
<td>£1,150.24</td>
</tr>
<tr>
<td>Median</td>
<td>£1,296.92</td>
</tr>
<tr>
<td>Upper Quartile</td>
<td>£1,447.43</td>
</tr>
</tbody>
</table>
The exposure of such high teaching costs was totally consistent with the poor SSR performance and the kind of conclusions reached by the Audit Commission in the Value for Money Report - notably that there were too many teaching staff in relation to the number of students recruited.

4. PATHOLOGY

4.1 Introduction

A pathological condition represents a failure to achieve an expected state of health. The present section will therefore focus attention on those areas identified in section 3 above where achievement failed to match intention and expectation. Separate consideration will be given to underachievement on process and performance outcomes and two pathologies will be applied to each. Explanations will first be sought in design and operational faults and then in contextual realities, which will include an appraisal of the reasonableness of expectations and the realism of assumptions made about contingent forces operating in context.

4.2 Process Outcomes

4.2.1 Underachievements

On the basis of the analysis provided in section 3.2 above, achievement most conspicuously failed to match intention in relation to the following:

a) tendency to incrementalism;
b) selective use of purposive rationality;
c) sharpness of internal appraisal;
d) balance between 'bottom-up' and 'top-down' contributions to planning;
e) problems with implementation and control;
f) levels of participation and lateral and vertical communication; and
g) slow internalisation of the philosophy of corporate planning and difficulties experienced with the technology.
4.2.2 Design and Operational Faults

It was intended, according to the design specification, that the Academic Board and its sub-committees should undertake an annual review of the operation of the Planning Cycle and thereby correct faults in the light of experience. Selected reforms were introduced but the recommended practice was not adopted and the only comprehensive review was that undertaken by the Assistant Principal (R) for the Academic Board on 11th December, 1980 and which led to the production of the Handbook. While the Handbook filled an important gap it failed to remove a number of significant weaknesses. The most obtrusive were as follows.

4.2.2.1 Level of Support and Quality of Servicing

It quickly became obvious that the Sub-Committees depended a great deal for their successful operation on the level of support and quality of servicing which they received from their officers, notably the Secretary, Chairman and Principal's Representative. The stronger the top down contribution which they were prepared to make the more self-assured and assertive the sub-committees became. In view of the initial wish to avoid over-prescription and to promote learning by doing, however, there was a tendency for the planning system to be under-supported and serviced which increased the level of dependence on 'bottom-up' initiatives and sources of information.

What was true of the sub-committees was equally true of the Deans. Major discrepancies were revealed in their ability and willingness to understand and internalise the philosophy and technology of corporate planning which were reflected in their variable performance in producing faculty strategies. Only when adequate support was provided did strategies match in form and content the expectations of the Academic Board.

4.2.2.2 Information Systems

Although the review conducted by the Assistant Principal (R) pointed to the need for an improved 'top down' contribution to the management information fed into the planning system, reliance continued to be placed
on information fed upward from the faculties via the PC forms. The early rationalisation and simplification of the PC forms greatly assisted the collection of information, although it took a number of years to iron out snags, notably in the case of information fed to the Course Administration Sub-Committee. The difficulties experienced by this Committee, particularly in the conduct of the Review Phase of the Planning Cycle, derived in large measure from the way information was collected and processed: the reliance on faculties, the limited corporate input in terms of statistical analysis, the absence of explicit, discriminating standards of performance, and the failure to develop a corporate approach to course monitoring and evaluation. In the absence of an information system which threw performance into high relief it was difficult to sharpen internal appraisal and enforce more effective implementation and control.

What was true of Phase 1 was also true of Phase 3. It required the combination of an intervention from WAB and the involvement of top management to secure a major improvement in the forecasting of student numbers. The PC forms had required faculties to link forward projections to forecast and actual enrolments but until they were revised on a programme basis and processed at corporate level to ensure accuracy and reliability, they failed to perform their intended function.

4.2.2.3 Form and Content of Strategies

a) Corporate Strategies

Despite the importance attached to the production of corporate strategies (see Chapter 9, page 375), one was not routinely prepared for each cycle but waited upon pressures from the external environment. It was not this weakness, however, but the dominance of bottom-up contributions which was regarded as the more serious in the assessment offered CNAA in March, 1982 (see Chapter 10, pages 487-88). Even so, a spirited defence was provided for the initial reliance placed on bottom-up initiatives and some reservations
were expressed over the more prescriptive approach and stronger 'top-down' contribution considered appropriate to the third and subsequent phases of development. An explanation was also provided for the choice of a concise general statement (as opposed to an elaborate and extensively documented plan) as the means for providing a corporate framework, or widely understood and agreed set of ground rules, to be employed across the College for strategic decision making.

More was required of the April, 1983 Corporate Strategy, as the introduction on the 'state of the art' made clear. The main weakness of the strategy submitted to CNAA was seen to be the level of generality and the absence of targets and specific courses of action for which individuals or groups of individuals could be held accountable. In order to correct this weakness it was felt necessary to establish a tighter corporate planning framework leading to the production of college and faculty strategies which would:

a) specify objectives;

b) identify means by which objectives might be achieved;

c) prescribe the actions necessary to ensure effective implementation of the chosen strategy.

While it set out to provide a more explicit corporate framework for faculties the Corporate Strategy did not go so far as to prescribe targets for them. It was left to the faculty boards to develop programmes within the general framework provided by the strategy and to specify targets for each programme, together with an indication of the person(s) responsible for their achievement. According to the sub-committee set up to review the strategy in the Faculty of Management and Professional Studies (see Chapter 10, pages 436-37) the collection of wishes, facts and rather obvious statements did not amount to a bona fide strategy. What was required was a quantified statement of goals, followed by action programmes together with a more stronger marketing orientation.
b) Faculty Strategies

Discrepancies in form and content regularly drew criticism from the sub-committees. Despite the existence of a recommended format (see Chapter 10, page 326) giving prominence to internal and external appraisal, the Deans displayed varying degrees of willingness and ability to adhere to it. The most obtrusive discrepancies were in the extent and rigour of analysis of the external and internal environments. The treatment of the former tended to be superficial and there was a general reluctance to move beyond a bland appraisal of internal strengths and weaknesses to the kind of sharply-focused, self-critical analysis provided in corporate strategies.

4.2.2.4 Systems Integrity and Implementation

The impact of corporate planning on process and performance outcomes was seen from an early stage to depend on the maintenance of systems integrity. Without conscientious adherence to standing operating procedures and prompt executive action to implement the recommendations of the Academic Board and its sub-committees the credibility of the Planning Cycle was brought into question. Greater success was achieved with the former than the latter. Familiarity, practice and strong pressures from the sub-committees supported by top management secured eventual adherence to the disciplines of the Cycle. In so far that implementation was dependent upon the amount of management attention given to an issue, performance was much more variable. Numerous examples have been provided of issues given considerable attention and a high priority by the Academic Board and its sub-committees but which failed to prompt appropriate executive action, eg. marketing and promotion, staff development consultations, course monitoring and evaluation, open and distance learning, continuing and adult education, and computer services. The Staff Development and Research Sub-Committee was in no doubt when it considered the Report on the March, 1982 CNAA Visit that the major weaknesses of the Planning Cycle related
to implementation and communication (see Chapter 10, page 496). The Committee believed that much depended on the exercise by the Principal of his authority as Chairman of the Academic Board to secure implementation and that much more could be done by members of the Board and its sub-committees to improve top down communication, particularly at faculty board meetings.

4.2.3 Contextual Realities

4.2.3.1 Reasonableness of Expectations

Care was taken from the outset to pitch expectations at a modest level and to emphasise the fact that time was needed to adapt to and learn to operate such a major innovation. Even so, it was not anticipated that it would take so long to get the system fully operational, that incrementalism would prove more than a match for purposive rationality other than in the domain of justification, that so much would depend on external interventions to establish the legitimacy of the planning system, and that there would be such strong resistance to the widespread internalisation of the philosophy and technology of corporate planning.

4.2.3.2 Realism of Assumptions about Contingent Forces

Expectations were initially pitched with caution since it was understood, at least in general terms, that the rate of internalisation would depend on context and contingent forces. Particular significance was attached to the cultural variations between faculties. These were seen to account in large measure for the pattern of development described to CNAA in March, 1982 (see Chapter 10, pages 487-88). As has been demonstrated, the three phase development identified in the historical review (alternatively considered in Chapter 10, page 549 as organisational myth-making) sought above all to acknowledge the realities of context. In addition to cultural inhibitions, attention was drawn to alternative claims on management attention (more specifically the load generated by course and curriculum development) and to the uncertainties and ambiguities originating in the
external environment while no explicit reference was made to micro-political realities they were clearly visible in the treatment of organisational cultures.

What is revealed, therefore, notably by the contents of the submission to CNAA, is a highly developed general awareness of contextual realities encouraging caution and modest expectations. For a more detailed pathology attention is turned to the insights provided by the interpretive set employed in the study.

4.2.3.3 Cultural Inhibitions

The process of internalising the philosophy and technology of corporate planning varied between faculties according to cultural differences and the technical competence and predispositions of Deans. The latter were also influenced in turn by cultural and historical conditioning. The vocabulary and technology of corporate planning were esoteric and therefore threatening to the Deans and staffs of the faculties of Art and Design and Education who were, in any case, highly suspicious of the managerialism which they associated with the stereotype held of the old College of Technology. While both faculties originating in the College of Technology understood the role that corporate planning was intended to play in a well managed institution, they had quite different selective perceptions of it. The staff in the Faculty of Management led by the Dean were enthusiastic proponents and had little difficulty with internalisation. The staff in the Faculty of Science and Technology led by their Dean were much more sceptical and hostile and viewed the development as a further corporate intervention likely to stifle innovation and increase bureaucratic control. The Dean's predisposition to mistrust and alienation was a legacy of early decisions on the rationalisation of courses and redeployment of staff made in the wake of cuts in college estimates.
4.2.3.4 Legitimacy

It is not surprising, therefore, that the face of cultural plurality, selective perception, and differing belief structures, difficulties were experienced with internalisation. The successful operation of the corporate planning system required a significant cultural shift and the transformation of organisational ideologies. Despite the fact that developments in the external environment greatly enhanced the legitimacy of corporate planning and thereby generated powerful pressures for greater compatibility in management styles and performance, the faculties enjoyed sufficient room for manoeuvre to buck the system when it suited them.

4.2.3.5 Micropolitics

The ability of faculties to buck the system depended in large measure on the power resources at their disposal, which were exploited by the Deans with varying degrees of tactical skill. The predominantly 'bottom-up' orientation of planning and the heavy reliance placed on Deans for implementation and executive action endowed them important sources of influence in addition to the authority conferred upon them by their managerial position. The ability of Deans to influence outcomes depended more on the unobtrusive than on the overt exercise of power. Agendas both at faculty and corporate level were greatly influenced by them. Even so, the introduction of corporate planning did change the rules of the game, particularly with regard to the containment and resolution of conflict, and Deans were required to understand the new rules and develop playing skills. In the domain of justification, in particular, legitimacy derived from the skilful use of the vocabulary of purposive rationality.

4.2.3.6 Garbage Cans

As has been demonstrated the introduction of corporate planning and the seal of approval given to it by CNAA served to reduce ambiguity and assist clarification in a number of important areas including mission and
identity and roles and relationships. The college continued to display those features of an HE institution identified with an organised anarchy, however, and failures of executive action and the time taken to resolve certain issues can be explained in terms of choice opportunities becoming garbage cans. In circumstances of conflict between faculty and corporate interests, as with course monitoring and evaluation, for example, a choice opportunity developed into a garbage can and it took a long time for a solution to emerge. Indeed there was a tendency for choice opportunities to become garbage cans when it was necessary to exercise a problem thoroughly before resolving it.

Many of the problems relating to incrementalism, implementation, control, communication and the rate of internalisation may be explained in terms of participation and patterns of attention, notably managerial attention, which in turn were influenced by alternative claims on participants' time and energies, that is load. The Planning Cycle, particularly in its early stages of development suffered from inadequate managerial attention and support. Its designer (R) both as Dean of Faculty and Assistant Principal had alternative claims on his time within and outside the college which prevented him from making the necessary contribution to its development at a critical stage. The major responsibility for servicing the Planning Cycle fell upon the Director of Studies who lacked the expertise, authority and influence to perform the task without major support. This was to have been provided by the Assistant Principal of whose office the Director of Studies formed part. Following the sudden death of the Assistant Principal in November, 1979 the Director of Studies was left largely to his own devices for the remainder of the Academic Year. Under the new management arrangements introduced for 1980/81 the Director of Studies reported directly to the Principal but worked with the Assistant Principal (R), who had general oversight of the Planning Cycle among his responsibilities. Once again, however, the level of support which he was
initially able to provide the Director of Studies in the servicing of
the Planning Cycle was severely limited by other claims on his time,
involving the production of a succession of reports for the Academic
Board and the preparation of the documents for the March, 1982 CNAA Review.
This lack of attention is regarded as largely responsible for the
deficiencies described in 4.2.2.1 and 4.2.2.2 above. Had the quality of
support been better and the top-down contribution to information processing
been more adequate it is likely that there would have been fewer teething
troubles and higher levels of accountability and control.
While the levels of attendance by academic staff at meetings of the Academic
Board and its Sub-Committees was good the variability of attendance at
Sub-Committee meetings is revealing. Best attended were the Planning and
Resourcing and Staff Development and Research Sub-Committees, both of
which had control over the distribution of finance and both of which
enjoyed strong top-down contributions. The least well attended were the
Course Administration and Computer Services Committees, neither of which
were treated as seriously, were less authoritatively serviced, and had
less largesse by way of financial and symbolic rewards to distribute.
The attendance record of representatives from the Faculty of Management
and Professional Studies is particularly revealing (for details see
Appendix F) as it suggests that staff from this faculty took a
highly selective and utilitarian approach to participation in the
planning system, despite its declared commitment to it.
The problems with the conduct of the Review Phase and with downward
vertical communication may be seen largely in terms of the amount of
attention which the Dean and faculty representatives were prepared to
give to these aspects of planning in the light of other claims on their
time and the sensitivities involved. Rigorous conduct of the Review Phase
and the production of more sharply self-critical position statements
involved exposure of inadequacies in professional and managerial performance
which were best kept in low rather than placed in high profile. Such pressures are seen to account for the tendencies to ritualism and tokenism found in the operation of corporate planning in the college.

4.2.3.7 Organisational Leadership

The tendency to exercise difficult problems and to allow solutions to emerge over time rather than produce outcomes by direct intervention was consistent with the Principal's preferred unobtrusive managerial style. That is not to say that all outcomes of strategic importance were allowed to emerge by default rather than design. When key relationships, generally having resourcing implications, with the LEA and other influencing agents were involved, decisive interventions and rapid executive actions occurred. When choice opportunities were exercised as garbage cans the confluence producing the final choice was rarely fortuitous. More often the streams were carefully regulated over the period of time it took to reach a decision. This was especially the case with matters of high potential conflict such as the division of the Faculty of Science and Technology in two.

The value of the planning system for containing and resolving conflict was quickly recognised by the Principal, who had quite serious initial reservations about its introduction. The Academic Board and the Sub-Committees became valuable allies in the effort to change the balance of power between the faculties and the corporate enterprise. Despite the Principal's preference for unobtrusive leadership and reliance on 'back stage' activity and agenda management to resolve conflict, it became necessary on occasions to adopt a more overtly interventionist stance. This generally happened, as has been indicated, in response to major interventions from the external environment such as the WAB planning exercises. On such occasions an active partnership developed between the Principal and the Assistant Principal (R) with the two increasingly performing a distinct 'top management' role within Senior Management.
The Assistant Principal (R), more inclined to an interventionist style, found it necessary during the period in which power resources were being acquired to exercise authority and influence relatively unobtrusively and await corporate sanction, given with increasing frequency, for more conspicuous interventions. The above helps to explain the tendency to incrementalism, opportunism and muddling through with purpose evident in strategic decision-making.

4.3 Performance Outcomes

4.3.1 Underachievements

On the basis of the analysis provided in section 3.3 above, it would appear that achievement most conspicuously failed to match intention in the following instances:

a) the level of activity achieved in applied research, consultancy and economic short courses;
b) student recruitment;
c) course validation;
d) staff development;
e) student staff ratio and unit costs.

4.3.2 Design and Operational Faults

The faults already identified in 4.2.2 above have relevance for the present section in that the objective of improving the decision making process was to improve organisational performance. As has already been acknowledged improvements to process are neither a necessary nor sufficient condition for improved performance. In so far that the introduction of corporate planning was intended to improve organisational performance, however, an attempt must be made, though speculative and impressionistic, to seek explanations for underachievement in the first instance in design and operational faults. To those identified in 4.2.2 above may be added the following.
4.3.2.1 Performance Standards

As has been pointed out by Birch and Latcham (1985) (see page 622 above), the effectiveness of a management system depends largely on the relevance and quality of feedback in which standards, appraisal, monitoring and evaluation play a crucial role.

The design specification acknowledged the significance of the above as the three phase approach to the Planning Cycle indicates. It was intended, for example, that projections undertaken for the following three years in Phase 2 of the Cycle should be grounded in the realities of a comprehensive and rigorous review undertaken during Phase 1. The failure to conduct the review as intended, and hence to sharpen awareness of and responsibility for performance, derived in large measure from the absence of performance standards. Their absence in turn may be explained by the deficiencies described in 4.2.2.1 and 4.2.2.2 above in the level of support, quality of servicing and inadequacy of information systems.

The absence of standards and targets made it difficult to measure performance in other than general, impressionistic terms and therefore to raise the levels of corporate accountability and control. Such was the case with student recruitment, student performance, economic course and consultancy activities, and staff development. Such was the case also with corporate and faculty strategies, which were criticised for the level of generality at which they were pitched, and the absence of targets and specific courses of action for which identifiable individuals or groups could be held accountable. When quantities were specified they tended to have dubious status since they derived from a speculative 'think of an appropriate number' approach rather than reflected homework done on the attainable.

Such was the case, for example, with the targets set for SSRs and the 50% target set for increasing income from economic activities in the corporate strategy prepared for the CNAA visit in March, 1982.
4.3.2.2 Management Information Systems

To the weaknesses already described in sections 4.2.2.1 and 4.2.2.2 and further elaborated above may be added two others. The first relates to a decision made following the first review of the Planning Cycle to discontinue the collection of information at faculty and course level on Student Staff Ratio and the associated ratios of Average Class Size, Average Lecturer Hours and Average Student Hours. The decision was made in the interests of simplification, since this task was regarded as the most onerous generated by the original set of PC forms, and in the light of doubts cast about the value of the ratios at levels of disaggregation below college and faculty levels. By removing responsibility for making the calculation entirely to the corporate level, the ratios impinged less directed than they might otherwise have done.

The second weakness relates to the partial linking of planning to budgeting. The attention of the Academic Board and its Sub-Committees was largely confined to the allocation of finance, within cash limits, to programmes prepared on an annual basis. Responsibility for negotiating College Estimates was seen to rest with the Principal, assisted and advised by the Finance Officer and this process was formally separated from the planning system, although the positions taken up in negotiation with the representative of the Treasurer's Department were naturally influenced by planning activity. In other words little formal consideration was given during the negotiation of estimates, other than in the most general terms to the standards of resource utilisation performance. As a result SSRs and unit costs were not linked and the latter were effectively excluded from the planning agenda. Warning signals had been received from the AFE pool allocations, notably the extent of further funding, that costs were high, but it required the appearance of the Audit Commission's Value for Money Report to expose the magnitude of the problem, especially high teaching costs in relation to student numbers.
4.3.2.3 Marketing and Promotion

Identified as crucial to improving student recruitment and thereby the SSR, the failure to implement the policy approved by the Academic Board in February, 1981 (see Appendix G) represented one of the most conspicuous failures of executive action. Concern was regularly expressed at meetings of the Academic Board and Senior Management. Corporate strategies openly admitted underachievement with the April, 1983 Strategy drawing attention to inadequate resourcing, the need to give the activity higher priority, and problems with some features of its general management. This was a euphemism for problems of co-ordination experienced by the executive group working under the chairmanship of the Vice Principal, who had overall responsibility for college publicity. Confronted with difficulties at corporate level, the faculties increasingly took the matter into their own hands with the earliest advances made by the Faculty of Education which worked to the guidelines provided in the 1981 policy document.

4.3.2.4 Course Validation

The variable performance in course and curriculum development and the failure to secure validation for new developments to meet projected starting dates was also identified as a major weakness in the April 1983 Corporate Strategy. The responsibility for these failures, as for the high percentage of success, was seen to rest primarily with course teams but doubts were raised from time to time about the adequacy of internal validation procedures. The involvement of Faculty Boards, for example, was very limited. The Course Administration Sub-Committee's validation panels, whose members were drawn from each faculty, directed their attention primarily to format and presentation with responsibility for content resting with the course team. When differences of view arose over content, as occurred with the resubmissions in Fine Art and Graphic Design, for example, the panel had little choice but to defer to the course team's professional judgement, particularly in the absence of an independent
4.3.3 Contextual Realities

4.3.3.1 Reasonableness of Expectations

As has been indicated expectations tied to organisational reforms have by definition to be speculative in view of the factors other than design specification, managerial will and management competence which affect performance outcomes. This was acknowledged to be the case when the corporate planning system was introduced. Even so a strong conviction was held by its proponents that the more closely the college resembled the image held of a well-managed institution, in which corporate planning was seen to play a significant and pervasive role, the better its performance was likely to be.

The analysis provided in section 3 suggests that this expectation was reasonable despite variable performance. What cannot be conclusively established, however, is how much worse (or better) that performance might have been without corporate planning, other things being equal.

4.3.3.2 Realism of Assumptions about Contingent Forces

Performance was seen to depend in large measure on contingent forces in the internal and external environments amenable to different degrees of managerial regulation. Hence the prominence given in the technology to environmental scanning and internal appraisal. Hence the attention given to satisfying key influencing agents. And hence the tendency to incrementalism in the face of major uncertainties and turbulence.

There was, in particular, an acute awareness of the potential for conflict and of levels of dependence. In considering contextual realities, therefore, attention will be focused on micropolitics. It is taken for granted that in so far that process outcomes influenced performance outcomes, the contextual realities identified in 4.2.3 above have a relevance for performance as well as process outcomes.
4.3.3.3 Performance, Dependency and Conflict

As Birch and Latcham (1985) have pointed out (see page 622 above) performance standards, however well specified, influence outcomes to the extent that managers are ready, able, willing and have the appropriate power resources to take remedial action. Given the patterns of dependence and concern to avoid and contain conflict, there was great merit in declaring intentions in general rather than specific terms. General declarations allowed for different interpretations and the accommodation of potentially conflicting interests. Explicit performance standards and targets, assuming that they were realistically determined, exposed underachievement and located responsibility.

The Deans of their own volition were unlikely to conduct the Review Phase of the Planning Cycle or prepare faculty strategies in a way which overexposed the underachievements of the staff to whom they were expected to provide academic leadership and on whose commitment, loyalty and achievements a Dean's assessed stature largely depended. To win the loyalty of staff he was expected to display a reciprocal loyalty to them. Certain activities were seen to be high in potential conflict and therefore needed to be handled with great sensitivity. Such was the case, for example, with staff development and course monitoring and evaluation. However desirable a programme of routine staff consultations might seem, badly handled they represented a Pandora's box capable of seriously damaging psychological contracts and the stature and credibility of Deans and Heads of School. It could be argued, therefore, that implementation of college policy on staff development proceeded with appropriate caution. Due account needed to be taken of faculty cultures and the competences of Deans and Heads of School before lifting the lid. Account also needed to be taken of the quid pro quo the college was able to deliver by way of support for development programmes, given the resource and administrative constraints which prevailed and the dwindling opportunities for promotion.
While there was widespread agreement on the need for quality control, both in principle and in response to the requirements of external validating bodies, the introduction of course monitoring and evaluation proved highly problematic as the issue acquired the characteristics of a garbage can. On the one hand Senior Management, supported in principle by the Academic Board, was anxious to develop standards and systems which could be seen by the Academic Board to assume the best possible deal for students and which would satisfy CNAA and other validating bodies. A body of academic staff on the one hand, strongly led by the NATFHE branch at the 'A' site, wished, in accordance with NATFHE policy, to resist the introduction of any system which smacked of staff appraisal, wished to maintain professional independence and responsibility and to protect staff from victimisation and unfair pressure, particularly that originating with dubious methods of obtaining student feedback. In view of the dependence placed on staff for the successful introduction of quality control the outcome eventually achieved by mutual adjustment and tacit bargaining was one which recognised staff anxieties and acknowledged their power resources. Course teams were given the primary responsibility for course monitoring, reporting on an exception basis to Faculty Boards who were required, in turn, to satisfy the Academic Board that they were operating acceptable systems with rigour and integrity. By the end of the period under consideration much remained to be done to develop systems and get them fully operational for more than one cycle and in time for the CNAA Institutional Review expected in 1987.

As micropolitical realities discouraged Deans from over-exposing underachievement at faculty level so they constrained the Principal from making weaknesses in resource utilisation performance too obtrusive to the Board of Governors and LEA. Having successfully established a reputation as a well-managed institution with the Governors and LEA, reinforced in the half-yearly reports presented to the Education Committee,
there was little sense in drawing special attention to poor SSRs and high unit costs, although no attempt was made to hide these weaknesses. In any event, the patterns of accountability imposed on the college by the LEA and their implication in the over-staffing of the high technology areas, prevented resource utilisation performance from becoming a major issue until the intervention of the Audit Commission. For as long as annual estimates were prepared on an incremental, historical, basis and no attempt was made to link resourcing to performance, other than ability to keep to the bottom line, there was little external pressure on the college to improve its performance. The absence of any form of management accounting which linked performance indicators to finance, or planning to budgeting, was seen to provide 'top management' with the breathing space in the short-term necessary to improve performance and to provide cover for the day of reckoning, thought to be near at hand. Although the Value for Money Report concentrated on institutional performance it also exposed weaknesses in control relationships between the LEA and the college for which the Treasurer and Director could be seen to be largely responsible. Indeed, in terms of levels of awareness and systems development the college managers were in advance of their officer colleagues, an advantage which the college was able to exploit in negotiations which followed upon publication of the report.

The vulnerability of college managers on resource utilisation performance was also reduced by the degree to which the Authority had been implicated in the decision to expand staff in the high technology areas in anticipation of course development. It was the failure of student numbers to match expectation in these areas (as can be seen from Appendix V Table 4d) which accounted to a significant degree for the poor SSR performance and high teaching costs. Since the risk of such 'venture' investment was known to the Authority at the time it was undertaken there was a limit to how far college managers could be hoist on this score.
Another significant factor affecting patterns of accountability and control between the LEA and the college was the shift in the balance of power which occurred as the result of a change in the Chairman of Governors and the division of the Assistant Principal's post in two. As has been indicated (see Chapter 8, pages 343-345) the first Chairman of Governors spent a great deal of time at the college and played a crucial interfacing role between the college and the LEA. The gatekeeping role which he played in legitimising actions requiring LEA sanction provided him with important power resources which he exploited openly, aided by the Assistant Principal (and Clerk to the Governors) whose knowledge of the LEA culture as a past officer well equipped him to handle the considerable demands of the Chairman, while at the same time furthering the interests of the college as he and the Principal saw them. The new Chairman who assumed office in July, 1979 ceased to play the same gatekeeping role, spent much less time at the college and enjoyed a much more relaxed relationship with the Principal seen to be the chief officer in charge of Higher Education in the county. The shift in the balance of power in the Principal's direction was further promoted by the changed management arrangements following upon the death of the Assistant Principal in November, 1979. Not only did the division of the post lead to a more sensible allocation of duties it also ensured control by the Principal, in partnership with the Chairman of Governors, of interfacing with the Authority. Above all it gave him a dominating influence over agendas and flows of information at Board of Governors and at Academic Board.

4.3.3.4 Power Resources and Executive Action

As has been demonstrated the interfacing roles played by the Principal endowed him with power resources of which he was well aware and exploited skilfully. Even so he remained highly dependent, given his preferred unobtrusive style of leadership, on Senior Management, especially the Deans, for policy initiatives and executive action. In many respects the
college resembled the confederation which had been envisaged prior to the merger and despite the intention conveyed to CNAA in March, 1982 to introduce a stronger 'top down' component, heavy reliance continued to be placed on bottom up initiatives. Cultural and micropolitical realities required that this should be so as discussion of the report on the CNAA visit acknowledged.

As a result Dean's enjoyed a high level of discretion over policy initiatives and the allocation of management attention to them. There were few real sanctions that could be applied. Heavy reliance was therefore placed by top management on mutual adjustment, tacit negotiation and the exploitation of pressures arising in the internal and external environments. The pressures could shift the balance in both directions. At the time the Authority was intensifying efforts to attract high technology industry to the county, substantial power resources became available to the Dean of the Faculty of Science and Technology which he skilfully exploited to obtain major investments in staff and equipment, despite misgivings held by the Principal over the scale of investment. When high tech industrial development failed to materialise on the scale envisaged and courses failed to come on stream on time the balance of power drifted away from him and his assessed stature was undermined by his attitude to faculty restructuring and reluctance to accept the Working Party's verdict.

For the latter part of the period under consideration interventions from the external environment, notably by CNAA, WAB and the Audit Commission, served to shift the balance of power toward top management and to intensify the pressures for improved corporate performance, accountability and control.

4.3.3.5 The Micropolitical Content of Corporate Strategies

Corporate strategies require to be assessed as political instruments as well as technical documents. As has been demonstrated the three versions produced in November, 1979, March, 1982 and April, 1983 were addressed to
specific audiences and intended to convey particular messages. Viewed as exercises in impression management they merit consideration as tacit bargaining devices.

The document on COLLEGE DEVELOPMENT AND RESOURCES presented to the Board of Governors in November, 1979 set out to send strong messages to the LEA on the preconditions for securing a future for the college, at a time when further cuts were in prospect, by posing and answering four key questions (see Chapter 10, pages 507-08). In effect the college was claiming that it was well equipped to face the challenges which lay ahead and required the LEA to assure the future by providing adequate finance and adopting appropriate policies. These were messages which had a strong appeal for staff within the college who strongly approved of the steps taken by Senior Management and who regarded the document as the most explicit single statement of college policy up to that time.

The Corporate Strategy produced for the CNAA Visit of March, 1982 was directed at several targets and addressed a number of audiences. Above all it sought to convey to the CNAA, the Board of Governors, the LEA, HMI and staff within the college the image of a well-managed institution aware of and prepared to make public its own strengths and weaknesses and acutely conscious of the threats and opportunities facing it in the external environment. Critical self-awareness was the watchword and was seen to involve placing present condition and future aspirations in the context of past development. The opportunity was taken at a number of points to interpret the present in the light of the past and thereby create an organisational mythology. This was the first major self-assessment by the college since the merger and was valued as such by each of the audiences to which it was addressed.

The April, 1983 Corporate Strategy was designed for internal consumption and had two major objectives: to advance the technology of corporate planning in the college and to deliver a stark message to staff on the
threat posed by poor resource utilisation performance, notably weak SSRs arising from the failure to recruit students in numbers compatible with current staffing levels. Although it was unquestionably more sophisticated in form and content than its predecessors it was eventually criticised for not going for enough in prescribing targets and specifying actions, that is for its lack of sophistication. In terms of impact on planning activity at faculty level it made very little headway until the first WAB Planning Exercise of October, 1983. As far as the Principal and his senior colleagues were concerned the response to WAB simply underlined the realities and developed the logic contained in the Corporate Strategy earlier approved by the Academic Board in April. It was only at this point that the true significance of the strategy was understood and as a result was subjected to critical scrutiny in the Faculty of Management and Professional Studies. By then discussion of the future of the college had become a garbage can into which flowed a complex stream of issues: the identification of programme targets for WAB, resource utilisation performance, threats of redundancy, consultative procedures, the relative performances of staff and senior management, and the apparently tame acceptance by management of the policies of central government, seen by NATFHE as a direct attack on the FE/HE system.
CHAPTER 13: CONCLUSIONS

1. THE PLANNING PROCESS

1.1 Shifts in Perspective and Changes in the Currency of Ideas on Corporate Planning

Sufficient has been written in Part II about shifts in perspective and changes in the currency of ideas not to require further elaboration. Attention will therefore be confined to an examination of their impact on and significance for the practising manager.

The expectations which managers and others have of managerial performance change over time and are greatly influenced by the prevailing orthodoxies and levels of confidence which surround role performance. Levels of confidence and expectation were high in the early nineteen-seventies. While, however, great faith was invested in the ability of the rationalist philosophy and sophisticated technology of planning to improve corporate management, the realities of context were by no means ignored. Indeed, the literature selected for review was chosen for its practical orientation and stands up well to critical examination. The benefits of corporate planning are not oversold. Warnings are issued against unrealistic expectations. Roadblocks, pitfalls and potential sources of failure are well signposted (see for example Argenti (1974), Hussey (1974) and Steiner (1972)). Despite a liberal distribution of caveats and cautions, however, the overriding impression is one of confidence in the manager's ultimate ability to manage. This is certainly the case, for example, with Eddison (1973) and his dramatic shift in perspective (see pages 92-98) epitomises the changes produced by a growing awareness of complexity and diminished confidence in the ability of managers to cope without substantial organisational and management development.

Although less dramatic than the shift made by their former colleague, the change of stance adopted by J. D. Stewart et al of Inlogov is no
less significant. Their perspective has become less synoptic, more context specific and confers upon purposive rationality a limited, though significant role in the domain of justification. Such a shift would, of course, be approved by Lindblom (1979) whose main quarrel with the rationalists is seen to be their adherence to the synoptic ideal. He is not against the adoption of a deliberative, systematic approach to problem solving, especially if it has a remedial orientation rather than the pursuit of abstract ends, and disjointed incrementalism is offered as a mode of analysis especially suited to any calculated or thoughtfully chosen set of stratagems to simplify complex policy problems (Ibid.: 518). The location of his version of STRATEGIC ANALYSIS (defined as informed and thoughtful choice of methods of problem simplification - Ibid.: 519) along the continuum between the poles of SYNOPTIC ANALYSIS and GROSSLY INCOMPLETE ANALYSIS seems aimed at accommodation and the avoidance of a pole position. Indeed Lindblom is at a loss to understand what the incrementalist fuss has been about. That complex problems cannot be completely analyzed and that we therefore require strategies for skillful incompleteness still seems close to obvious to me. (Ibid.: 524).

However less heated the rationalist v incrementalist debate might appear today, it is one of the many sources of turbulence in the ferment of ideas about strategic management and corporate planning with which practising managers have had to contend over the past fifteen years. Faced with raised performance expectations and increased environmental uncertainties their difficulties have been compounded by shifts in perspective and changes in the currency of ideas on the management process in general and corporate planning in particular. It has not been easy for the reflective practitioner to set up a frame experiment. Neither has it been impossible as this study seeks to demonstrate. The developments over the past fifteen years, particularly in the study of the cultural and micropolitical dimensions of organisations, have made available
analytical frameworks which better equip managers to interpret, understand and act upon unique experiences which may be shared with others. Further consideration will be given to the manager's role in section 4 below.

1.2 Philosophy
This was the term employed in Chapter 2 to embrace the ideology, rationality and instrumentality of planning each of which will now be considered in the light of the findings of the study.

1.2.1 Ideology
In so far that the synoptic view is identified with 'grand design' planning, experience shows process and outcome to be highly incrementalist in the College of Higher Education. That is, outcomes are best understood in terms of incremental adjustments rather than rational/analytic intent. Even so the holistic perspective cannot be totally denied relevance and utility. As will be demonstrated in section 4 those responsible for corporate management and who operate at the interface between the internal and external environments have to seek closure and draw their boundaries as widely as they are able. Their capacity to promote integration depends in part on their ability to combat, as well as exploit, incrementalist tendencies within the organisation.

1.2.2 Rationality
The study leads us to the following conclusions:

a) It is more useful to think of a set of rationalities than a single rationality, the three most significant being technical, economic and political rationalities. Emphasis has traditionally been placed on technical and economic rationalities with political rationality claiming increasing attention.

b) It is more useful to think of rationality as bounded by context rather than by particular obstacles such as the cognitive limits of decision-makers, the value content of decisions, the inadequacy of
information or the costs of search. Used in this sense 'bounded' means that a decision can be no more rational than the conditions under which it is made and acknowledges the fact that every rationality is in some sense limited. It also directs our attention to the correspondence rules which establish the logic of a particular rationality.

c) It is more useful to speak of purposive than comprehensive rationality, which is by definition unattainable. Purposive rationality aims to be context appropriate and calls for demanding and creative skills in deciding the bounds of rationality in any given situation, and designing the most appropriate form of rationality to fit the constraints (Leach and Stewart, 1982: 14-15). The study confirms the importance given by Leach and Stewart (supported by Pettigrew - see page 189 above) to purposive rationality in the domain of justification and for the custom and practice of persuasion.

d) Rationality entails acceptance of certain conventions of thought and action which are intellectually demanding. In so far that corporate planning adheres to the conventions of purposive rationality, therefore, it is likely to make significant intellectual demands on participants. The findings of the study fully endorse the emphasis given by a number of authors (see page 27) to the quality of thought and intellectual activity required for corporate planning, seen to present participants with problems, albeit in a college of higher education. The study also shows that the intellectual effort is frequently worth making and that the warning given by Pettigrew against making too easy a lunch of the rational/analytical rabbit should be heeded (see pages 188-189 above).

1.2.3 Instrumentality

Planning is seen to have both general and specific instrumentalities and a detailed account has been given in Chapter 12 of intention, achievement and pathology in relation to each. The general view which
emerges corresponds very closely to that developed by Denning (1971) in his preface which emphasises the value of the planning process, per se, rather than the production of plans, characterises planning as a set of intellectual activities comprising a managerial system, and which considers planning to be as much a political as a technical activity (see page 48 above). The micropolitical connotations of corporate planning in particular have been thrown into high relief by the study.

The introduction of corporate planning into the College of Higher Education created important political arenas for impression management, bargaining, and mutual adjustment and thereby provided important means for resolving and containing potentially serious conflict. Corporate and faculty strategies are as well understood as political statements addressing carefully chosen messages to specific audiences as they are documents performing a technical function.

1.3 Technology

The following main conclusions emerge from the study.

a) The shift of attention from philosophy and technology to context should not be taken as a justification for the neglect of technology. As has been demonstrated well chosen standard operating procedures, formats and techniques are capable of making significant contributions to deliberative and systematic decision making. Equally, technical deficiencies such as poor management information systems, inadequate servicing and support, and an imbalance between 'top down' and 'bottom up' contributions can limit the contribution made by corporate planning to improving organisational performance. The study largely confirms the view taken by Fielden and Lockwood (1973) of the role of planning techniques which are seen to be complementary but subordinate to the art and science of management. That is, management is neither a technique itself nor does it consist primarily of the manipulation of techniques. It is an art, which relies heavily on the exercise of human judgement,
but it is becoming increasingly necessary to ensure that judgement is based on adequate information and is exercised by groups of people who understand the environment in which they operate (Ibid.: 37).

b) It remains the case, however, as Ansoff (1979) has pointed out (see page 72, above), that while the technology linked to technical and economic rationalities is reasonably advanced that relating to psycho-socio-political aspects of strategic decision leadership is conspicuously underdeveloped.

c) As with philosophy, technology needs to be context related. Much depends on the ability of participants to cope. The simplest and least elaborate versions of techniques such as SWOT, Issue and Gap Analysis frequently make the greatest impact. Even so, there is merit in experimenting with the technology of corporate planning in order to develop planning skills and thereby advance the state of the art.

1.4 Context

The study confirms the need identified in a growing body of literature for an increased awareness of contextual realities. Getting properly tuned in to its environments is seen by Ansoff (1979) to be the key to the survival and success of an ESO. Without such an understanding managers are unlikely to achieve the appropriate correspondences and alignments between internal configurations and external environmental conditions.

The study also confirms the importance of understanding the micropolitical and cultural dimensions of organisational context. Organisations have a considerable propensity for rejecting and neutralising strategic changes such as the introduction of corporate planning systems, unless properly prepared for the transplant. Getting an organisation into a state of fitness to receive the transplant is seen to be a difficult task requiring sensitivity to cultural norms, ideologies and belief structures.
together with the acquisition of power resources and the tactical skills to exploit them. A more detailed treatment of context is left for section 2 below.

1.5 Impact

The authors chosen in the review of the literature in Chapter 3 were not among those guilty of making exaggerated claims in the early nineteen seventies for corporate planning. Indeed, what is striking is the modest level at which claims were generally pitched by them. Argenti (1974: 26-29) sees planning as a means of coping with the rising penalty for error in an increasingly complex and turbulent environment and is only too well aware of 'roadblocks'. Hussey (1974: 19) expects planning at best to help eliminate some of the worst alternatives and to give top management a better chance of being right.

While the proponents of planning in the College of Higher Education displayed a similar caution, the innovation represented a change of sufficient magnitude to qualify for the description strategic change and was highly ambitious. Intention, achievement and pathology have been treated in sufficient detail in Chapter 12 not to require further elaboration.

What follows is an attempt to highlight the main lessons to be drawn from the experience of the College of Higher Education.

a) It is extremely difficult to establish causal links between corporate planning and organisational performance. While the conclusions reached tend to be speculative and impressionistic, they generally have sufficient substance, however, to gain acceptance in lieu of harder analysis.

b) In so far that planning aims to improve organisational performance through improving the quality of thought applied to decision making, a distinction has been drawn between process and performance outcomes. The impact of corporate planning on both in the College of Higher Education
is seen to be mixed with contextual realities accounting in greatest measure for variability of achievement but with design and operational faults also making their contribution to underachievement.

c) The significance of corporate planning for process outcomes is seen to be as great as for performance outcomes in view of the importance attached by key influencing agents to the ability of the College to conform to their image of a well managed institution. In terms of its ability to survive and prosper in a period of increasing uncertainty and turbulence this was probably the major contribution of corporate planning to college management. It provided much needed cover in the face of serious underachievement on resource utilisation.

d) The deduction to be made from the above, using Ackoff's metaphor (see page 3), is that while the aim of the ritual rain dance is to improve the weather, the quality of the dancing has considerable significance for spectators who may themselves be in a position to influence the weather. Even so, the point made by Ackoff is well taken and confirmed by the study. A powerful underlying tendency to ritualism and tokenism is observed which manifests itself most strongly where sensitive behavioural and micropolitical issues arise, as with the conduct of the Review Phase of the Planning Cycle, for example.

e) Despite obtrusive underachievements corporate planning is seen to have produced important selective improvements in process and performance outcomes not least through its impact on organisational ideologies, organisational learning, conflict resolution and shifts in the balance of power.

2. ANALYSIS OF CONTEXT

The analysis of organisational context has been the major preoccupation of the study and the achievements and pathologies of corporate planning have been primarily, though not exclusively, explained in terms of
contextual realities, notably their cultural and micropolitical dimensions. Again, the problems of analysing context and the solutions chosen have been considered in sufficient detail in Chapters 5, 8-10 and 12 not to require a major restatement. Attention will therefore be confined to a brief re-examination of the three approaches which make up the chosen interpretive set and their power in application.

2.1 Choice of Interpretive Set

The chief considerations in making a choice were to encompass both the designed and emergent properties of organisations and to find means of analysing the cultural and micropolitical dimensions of organisational change. The three which make up the chosen set - Contingency, Contextualist and Garbage Can - are intended to represent both relatively 'hard' and relatively 'soft' approaches to organisational analysis, although the versions chosen ensure that they are not mutually exclusive. Indeed, the overlapping boundaries between them are considered to confer synergy upon the set.

2.2 Power in Application

2.2.1 Contingency

This approach has been identified with efforts by managers to regulate organisational performance by intention and design, that is by achieving good fit between the organisational arrangements which determine the way tasks are performed and the realities of context, which may relate not only to task contingencies but also to political contingencies. Considerable responsibility is seen to fall on organisational designers since there are no blueprints available and success hinges on the exercise of judgement in the achievement of good fit. Even so it is assumed that appropriate correspondences and alignments are achievable by design and intention as long as managers are equipped with the requisite insights, skills, authority and influence.

The study confirms the need to take account of both task and political
contingencies when designing and introducing a corporate planning system. The achievement of integration, accountability and control is seen with Child (1984) to be problematic and to require the use of a portfolio of strategies rather than reliance on just one. The chosen portfolio needs, in turn, to be compatible with the managerial culture(s) and distribution of power found within an organisation. Cultural control is correctly presented by Child (Ibid.: 163-4) as significant for organisations offering professional services and he shares Pettigrew's interest in the concept of legitimacy. Not only does Child provide a conceptual framework of immediate practical value to the practitioner he is also quick to point out the difficulties which the practising manager needs to bear in mind and which the study confirms: namely the problem of causality, the presence of multiple contingencies at the same time and the tendency to neglect political rationality. The last, as has been demonstrated, has been attended to by Child and others and the vocabulary and conceptual tool kit developed by them has been usefully employed in the study.

2.2.2 Garbage Can

Despite the reservations shared by the Researcher with a number of writers (see Lutz and Pettigrew pages 124-5 and 205-6 above) over Garbage Can, it has provided a number of important insights into the design, inauguration and operation of a corporate planning system in the College of Higher Education. The tendencies to anarchy produced by problematic goals, an unclear technology and fluid participation are very much in evidence as is the tendency for choice opportunities to turn into garbage cans when problems having strong cultural and micropolitical connotations arise. On such occasions decision-making is delayed as time is taken to exercise a problem thoroughly before a solution emerges. The confluence of streams may be fortuitous or regulated. The tendency in the literature to emphasise the former at the expense of the latter is
not supported by the findings of the study. Certainly some outcomes emerge by default rather than design and versions of reality are frequently constructed post factum but, as has been demonstrated, the confluences are also amenable to regulation by politically-aware and tactically-astute managers.

The distribution of attention by participants in the planning process is seen to be particularly significant. They are likely to be as committed to participation by a sense of obligation and socialisation into a role as they are by rational calculation or process pleasures. Viewed from this perspective standard operating procedures exert their primary influence as standard attention rules linked to concepts of duty, role and obligation.

Garbage Can theorists are also preoccupied with correspondences and alignments and identify the need to match models of choice and leadership styles to context. Although the artifactual or non-decision model is seen to be appropriate to parts of the College most of the time and the whole College some of the time the study shows anarchy to be less pervasive than the artifactual model requires. Conditions are more often seen to correspond to the coalition-bargaining model which tends to support the findings of Baldridge et al (1978) (see page 122 above). The findings of the Carnegie School and the studies prompted by their work such as those undertaken by Baldridge et al (1978) and Enderud (1977) are primarily directed at the top managers of higher education institutions. The recommendations of all three are seen to be relevant to the leadership styles adopted in the college of higher education. Certainly the Principal scores highly on the set of tactical rules provided by the Carnegie School for college presidents. There is no difficulty either in finding instances of unprogrammed joint decision-making where leadership style is seen to adapt or fail to adapt to the four phases identified by Enderud (see page 123). The conflict which
arose over the first WAB Planning Exercise in September/November 1983, for example, may be attributed to an uncharacteristic neglect of Phases 1 and 2. It is this lack of difficulty which limits the value of Garbage Can and its offshoots, namely the ease with which individual instances can be found to exemplify the model. For a more discriminating approach to processual analysis we must turn to contextualism.

2.2.3 Contextualist

Contextual analysis has provided the major interpretive thrust and by relating contingency and garbage can to contextualism the power in application of the set has been enhanced. The study confirms the view taken by contextualists that managers should not be regarded as heroes or victims and that organisations, even highly professionalised organisations with tendencies to anarchy, are not beyond management. Many outcomes do emerge by default rather than design and versions of reality are frequently constructed after the event. But these features of organisational life simply reflect the complexities confronting managers rather than entirely disable them. What is required, above all, from managers is an awareness of complexity and an understanding of context, notably its micropolitical and cultural dimensions. Armed with such knowledge and an ability and willingness to exploit it, managers may intervene with purpose. Such interventions as they may choose to make are more likely to be successful if they are regarded not so much as the determined enforcement of managerial will but rather as the skilful exploitation of forces latent or already at work in the organisation. Managers aware of the interactions between context, process and outcome through time are more likely to be alert to the opportunities created in the internal and external environments, both fortuitously and by design, to nudge the organisation in a particular direction.

Contextualist analysis aims to provide managers with an understanding of the iterative relationship between context, process and outcomes. It
does so by tracking the interactions between levels through time and
by employing a combination of political and cultural process modes to
interpret them. The merits of a historical, contextual and processual
approach to strategic change are amply confirmed by the study. The
understanding obtained of the design, inauguration and operation of the
corporate planning system would be seriously impoverished without a
knowledge of the 'before' phase, namely the circumstances surrounding
the merger and the first formative years of operation. The tracking of
interactions between levels through time serves to highlight the
importance of key influencing agents in the external environment, exposes
sources of conflict and tension at the interfaces between levels within
the internal environment, identifies the location of power resources
and explains their use. Above all, however, contextualist analysis
provides the reflective practitioner with a general understanding of the
process of change together with recommendations on its management. The
next two sections consider each in turn.

3. THE PROCESS AND PATTERNS OF STRATEGIC CHANGE

The study confirms the view taken by Ansoff (1979) that managers of
Environment Serving Organisations, whether located in the public or
private sectors, are increasingly subject to the same pressures and
confronted by much the same problems. Certainly there are supporting
parallels between the findings of the present study and those which
emerge from Pettigrew's study of ICI (1985). Despite the very obvious
differences between the two organisations it is remarkable how appropriate
so many of the conclusions reached by Pettigrew about the process of
strategic change (Ibid.: Chapter 11) are to the present study. What
follows is an attempt to relate the findings of the study to some of the
main conclusions reached by Pettigrew in Chapter 11 of THE AWAKENING
GIANT.
3.1 General View of the Process of Strategic Change

The study supports the following conclusions:

a) Strategic changes are best viewed as streams of activity involving at various times the differential attention of individuals and groups, which occur mainly but not solely as a consequence of environmental change.

b) The change process is rarely a rational linear process accomplished by calculated intention and the exercise of managerial will. Rather it is a slow and incomplete process accomplished in an incremental, intuitive and often opportunistic fashion and depending very much on the existence of a climate of acceptance for change.

c) Change tends to follow upon the perception by a small number of people of a performance gap and the fundamental problem of strategic change is to achieve legitimacy for what may initially appear to be a dissident perception.

d) Changes tend to occur in radical packages interspersed with periods of relative stability during which internalisation is achieved and the culture is prepared for further shocks. The timing of radical spurts is seen to be greatly influenced by real and constructed crises, changes in key personnel, shifts in the balance of power and the transformation of organisational ideologies. In the case of the College of Higher Education each of the above is seen to operate in concert rather than independently with crises originating in both the external and internal environments exploited by key individuals to move the organisation in a particular direction in both the normative and operational modes.

e) To understand strategic change it is necessary to examine the juxtaposition of the rational/analytical and the political, efforts to acquire power and to achieve effectiveness, efficiency, and survival, the role of key individuals, exceptional circumstances and chance, and the way organisational cultures shape perceptions of change.
3.2 Patterns of Change
The Researcher shares the anxieties expressed by Pettigrew (1985: 471) over reducing the change process to a mechanical and over-determined set of phases or stages, and the activities of changing to a set of platitudinous generalities. Even so as the study throws up correspondences to Pettigrew's tentative five stage model these will be briefly considered as will also some of the similarities with Enderud's (1977) Four Phase Model as developed by Davies (1982).

3.2.1 Problem Sensing Stage
The experiments undertaken in the Faculty of Management, notably with corporate planning and staff development, signalled concern about managerial performance and the gap between existing processes and the image held, notably by the Dean of Faculty and some of his colleagues, of a well managed institution. It was necessary for the innovations to be regarded in the first instance as pilot projects to be watched with interest by a sceptical Academic Board and Senior Management. They did serve however to implicate both bodies in problem-sensing and to spread concern about the way the college was managed.

3.2.2 Development of Concern
The perception of the performance gap was accompanied by a desire to move the organisation in a particular direction. More specifically the newly appointed Dean of Faculty (R) wished, for reasons which have been examined in Chapter 6 (see page 235), to secure acceptance across the college for a deliberative, open, participative and self-critical style of management. Not only did the new Dean believe that he should practice what he preached in his own patch, he also believed that a Faculty of Management had a duty to lead by example and to contribute to college-wide organisational and management development. The ownership of concern was matched, therefore, by a strong desire to convince the rest of the college of the need to share the diagnosis and to accept the remedies prescribed.
3.2.3 The Acknowledgement and Understanding of the Problem

Crucial to the acknowledgement of the problem and acceptance of the preferred remedy, notably the introduction of corporate planning, was the report on the CNAA visit of March 1977. The role played by this and other external disturbances confirms the importance attached by Pettigrew to the exploitation of environmental disturbances and crises in order to achieve practical effects.

3.2.4 Planning and Acting

Successful accomplishment of this stage is seen to depend on securing a realistic view of the organisation in relation to its changing environment, identifying a clear mission compatible with anticipated changes in the environment, building commitment around particular change objectives and getting key managers to accept ownership of ends and means. As has been demonstrated this stage proved both lengthy and difficult in the College of Higher Education not least because of failures of executive action.

3.2.5 Stabilising Changes

Given that there were problems in making things happen at all, the task of ensuring their internalisation, that is making them stick, proved even more difficult. Here again, however, external interventions came to the aid of top management. More specifically, the interventions of WAB and the Audit Commission helped to consolidate and advance the technology of corporate planning by greatly improving the realism of forecasting and by linking planning to budgeting. For the first time since the merger the Board of Governors were presented in October, 1985 with a corporate plan which was based on the achievement of specified student targets and a progressive improvement of the Student Staff Ratio (see Appendix W).

The prominence given by Pettigrew to the political sensitivity and cultural awareness required to move the organisation through the early stages of
change matches that found in Enderud's *Four Phase Model* (see page 124) and further confirmed in findings of Davies (1982) who makes extensive use of the Enderud model (see Appendix X). Certainly the kind of advice offered by Davies (Ibid.; 167-8) on planning is entirely consistent with Pettigrew's view of the change process.

4. **MANAGERIAL PERFORMANCE**

4.1 Raised Expectations

The managers of strategic change in ESO's whether profit or non-profit have a daunting task. On the one hand they are confronted with increasing turbulence and uncertainty and on the other more tentative and less assured advice from organisational analysts and management theorist in the face of a growing recognition of complexity. Yet at the same time expectations of managerial performance are rising, not least in higher education.

The present study has attempted to confront these problems by looking at the contribution of corporate planning, itself an innovation of sufficient magnitude to qualify for the description strategic change, to strategic management.

4.2 Coping with Complexity and Uncertainty

As Birch and Latcham (1985) have pointed out (see page 622 above) the education manager's chief task is to cope with complexity and uncertainty and to tolerate ambiguity. Coping is seen to involve attenuating variety and/or increasing responsiveness and adaptive capacity.

4.2.1 Desire for Closure

Means have to be found, particularly by managers operating at the interface between the internal and external environments, for coping with complexity and uncertainty. Despite recognition of the limits of the closed systems model and of rational-linear approaches to problem solving, managers seek closure. The exercise of managerial judgement has been characterised by
Thompson (1967: 87) as a process of generating logical closure in the face of uncertainty. The desire for certainty and determinateness is seen to be particularly strong when heavy responsibilities and high stakes are involved. Responsibility and high stakes are the lot of managers, particularly those at the strategic level of decision-making, and Thompson believes it to be no accident that management literature gives so much attention to planning and controlling. He is, of course, an advocate of open systems thinking which acknowledges indeterminacy and the absence of closure and allows for surprise and the intrusion of uncertainty. Even so, he acknowledges the compulsion to seek closure and advocates a synthesis of the two approaches. Thompson's highly illuminating work is based on a conception of complex organisations as open systems, hence indeterminate and faced with uncertainty, but at the same time subject to the criteria of rationality and hence needing determinateness and certainty. (Ibid.: 6).

4.2.2 The Contribution of Corporate Planning

The introduction of corporate planning into the College of Higher Education may be viewed as an attempt at closure and a means of both attenuating variety and increasing responsiveness. Chapter 12 has sought to evaluate the extent to which achievement matched intention and to suggest pathologies which account for underachievement. The most convincing explanations have their origins in contextual realities, notably the cultural and micropolitical dimensions of context, which suggests that in the search for closure less weight should be given to the correspondence rules of technical and economic rationalities and greater attention paid to political rationality. The introduction of corporate planning into the College of Higher Education is seen to have enhanced the ability of managers to cope, not least by promoting organisational learning and by providing arenas for the containment and resolution of conflict.
4.2.3 Image of a Well-Managed Institution

The introduction of corporate planning is also seen to be significant for the contribution which it made to the reputation enjoyed by the college with key influencing agents, or Thompson's organisation set (1967: 28). Given the difficulties of qualitative assessment in higher education, heavy reliance is placed on subjective ranking by other professionals who largely determine what constitutes satisfactory or acceptable levels of performance. However flawed the idealised image may be, most significantly in the weight attached to rational-linear problem solving, it is not entirely misconceived since purposive rationality and corporate planning, as has been demonstrated by the study, have an important contribution to make to the management of HE institutions.

4.3 Managing Change

4.3.1 Understanding Contextual Realities

The major lesson to be drawn from the present study as from Pettigrew's study of ICI is that successful management of strategic change requires an understanding of the interplay between context, process and outcomes. The contextually aware manager with appropriate power resources and the tactical skills to exploit them is likely to enjoy a head-start over the less aware. He who understands the political and cultural system of his organisation, and the impact of changing economic and social trends on the emergence and dissolution of old issues, values and priorities, and the rise of new rationalities and priorities, is at least beyond the starting gate in formulating, packaging, and influencing the direction of organisational change. (Pettigrew, 1983a: 23).

The study also confirms the significance attached by Pettigrew to managerial choice and action. Any adequate framework for examining strategic change must include ... the role of executive leadership and managerial action in intervening in existing concepts of corporate strategy.
in the firm, and using and changing the structures, cultures, and political processes in the firm to draw attention to performance gaps resulting from environmental change, and lead the organisation to sense and create a different pattern of alignment between its internal character, strategy and structure and its emerging concepts of its operating environment.

4.3.2 Exploiting Natural Processes

Having established the importance of management action the problem remains of establishing what form the interventions should take. The study confirms the conclusion reached by Pettigrew that success in achieving strategic change is seen not so much in terms of interventions which test the strength of managerial will or seek to impose changes on a reluctant organisation but rather as keying into the natural processes of inertia and change going on in an organisation and its context. The practice question is thereby posed less in terms of how can this change project or proposal through whatever form of political agility or 'authentic' process be foisted on this system, and more in terms of how can existing processes be speeded up, the conditions that determine people's interpretations of situations be altered, contexts mobilised to achieve practical effects, along the way to move the organisation, perhaps additively, in a different direction? (1983(a): 25).

4.4 Organisational Learning

4.4.1 Capacity for Learning

The capacity of an organisation to learn depends on the learning abilities of its members who, as has been demonstrated, are influenced by culturally-determined belief structures and selective perceptions which may be modified or reinforced by experience. Managing change involves winning legitimacy for new perceptions and values and thereby transforming organisational ideologies. Learning is also influenced by the vantage point of a member within the organisation.
4.4.2 Vantage Point

In so far that learning involves conditioning it raises fundamental political issues. More specifically, the question arises of the interests served by particular forms of learning. No attempt has been made to hide the fact that the study has been written from the perspective of top management. This is regarded as perfectly legitimate by the Researcher since his primary concern is with the practice of management in an increasingly turbulent and demanding environment. It would be foolish to ignore the fact, however, that perspectives differ at various levels within the organisation and that incompatibilities between them affect both individual and collective patterns of learning. The belated awareness in the Faculty of Management of the form and content of the April 1983 Corporate Strategy, for example, provides a graphic illustration of differences in perception and the opposition generated by the belief that the document represented an act of complicity with a government hostile to higher education.

4.4.3 Reflective Practitioners

The Researcher has long been an admirer of the output of Donald Schon, not least because of the interest taken by Schon in organisational learning. Reference was made in Chapter 2 (see page 38) to the seminal work produced with Agyris (Agyris and Schon 1978) on the conditions necessary for organisational change which exposes the tendency for organisations to be trapped in a vicious circle of single-loop learning. This has to be broken or unfrozen if double-loop learning is to be achieved and a virtuous circle of creative adaptation established. The ultimate objective for Agyris and Schon, however, is deutero-learning: the development of systems for learning to learn. Despite its originality and the powerful insights it provides it is seen by the Researcher to have two serious drawbacks for the reflective practitioner, namely the difficulties of internalising a complex and elaborate conceptual framework
and its interventionist orientation. Schon's REFLECTIVE PRACTITIONER (1983) suffers neither of these drawbacks and is regarded by the Researcher as an important advance since it offers a conceptual framework of immediate practical utility and emphasises the responsibility which falls upon the practitioner for his own professional development.

The close correspondences between contextualism and Schon's view of professional practice have been highlighted by Pettigrew (1983(a): 3-7, 25) and confirmed by the present study. Although the formidable challenges of reflective practice should not be underestimated (the study has amply demonstrated the considerable demands made upon the reflective practitioner in setting up a frame experiment and in finding appropriate interpretive frameworks at a time of major shifts in perspective and changes in the currency of ideas on organisational analysis and management), they have been made much more manageable by contextualist analysis.

5. SIGNIFICANCE OF THE FINDINGS FOR OTHER PRACTITIONERS AND RESEARCHERS

The findings are seen to have particular relevance for practitioners and researchers in Higher and Further Education at a time when increased attention is being given by government to the more effective and efficient management of institutions with the aid of corporate planning and standard performance indicators. The Universities are required to respond positively to Jarratt (1985). Higher Education institutions await the report on Good Management Practice being prepared for NAB. FE colleges await the report of the Joint Efficiency Study being prepared for the DES having already been required by the MSC to take on board a new corporate planning system for Work-Related Non-Advanced FE following the transfer of 25% of the funding of WRNAFE to the MSC.
from local authorities. Expectations of managerial performance will as a result continue to rise and managers will need to be equipped to reflect critically and constructively on their own performance if they are to survive. By the same token, researchers of strategic change in Further and Higher Education will need to understand the iterative relationship between context, process and outcome and, where corporate planning is expected to contribute towards that change, the links between philosophy, technology and context. Since completing the study the Researcher has been provided with opportunities to test its findings as a contributor to management development programmes and also as one of the Case Study Officers for the Joint Efficiency Study (involving a comparative study of a 'matched pair' of colleges of FE). These tests have confirmed the general value of the findings for practitioners and researchers.

5.1 Reflective Practice

The habit of reflective practice is seen as an invaluable aid to management, notably the management of change. For this reason Schon's REFLECTIVE PRACTITIONER (1983) is considered an important addition to the literature. The problem remains, however, as with all management literature, of internalising concepts for practical use. The present study has demonstrated the value in use of the chosen interpretive set for conducting experiments in and habitualising reflective practice. As has been demonstrated, reflection on the micropolitical and cultural dimensions of organisation is considered to be highly problematic and some authors (see page 152 above) doubt whether management development programmes can take them on board. In so far that management and organisational development programmes should aim to encourage and equip managers to assume responsibility for their own and their organisation's development, a means must be found of framing the micropolitical and cultural dimensions. The means employed
by the Researcher in the present study have already proved to have utility for fellow practitioners (attending Study Conferences at the Further Education Staff College).

5.2 Pathologies of Corporate Planning

It is anticipated that pressures will intensify over the next few years for institutions in FE and HE to introduce or further develop corporate planning systems. There are signs that the lessons of the past are being learned, that prescriptive, mechanistic approaches will be avoided and that due attention will be given to contextual realities. The Guidelines produced for LEAs and Colleges by the MSC for the planning and programming of Work-Related NAFE, for example, while promoting purposive, technical and economic rationalities have been interpreted with considerable flexibility in Wales. The findings both of the literature search and the longitudinal study underline the importance of avoiding prescriptive, rational-linear approaches. Even when corporate planning systems are designed to take account of contextual realities, however, the problem remains of evaluating their performance. Acknowledged to be an acutely difficult task, it is one which is addressed directly in Chapter 12. The approach adopted, linking intention, achievement and pathology, is considered to have general applicability in FE and HE.

5.3 Strategic Change

The introduction of corporate planning systems and related reforms (eg. management information systems and performance indicators) are generally of sufficient magnitude to qualify for the status of strategic change. Colleges of FE and HE are already subject to significant strategic change on this and other counts and are in for considerably more of it. How then should these changes be researched and how should the performances of colleges and local authorities be compared? The obvious single response arising from the study is: 'with due regard to
contextual realities'. While these realities have already been spelt out in considerable detail it is worth returning to Pettigrew's model (see Fig. 9, page 191) in order to consider ways of identifying variability in context, process and outcome and the links between them.

What follows is intended to provide a useful check list for a prospective researcher rather than a comprehensive framework.

5.3.1 Context

Analysis of variability involves an examination of inner and outer context, interactions within and between levels (vertical analysis) and a mapping of these changes over time (horizontal analysis).

5.3.1.1 Inner Context

The findings of the study direct attention to the following.

a) **Individual Level**

i) Characteristics of student population and clients for which services are provided.

ii) Age, qualifications and experience of staff and their length of service at a particular institution.

iii) Values and beliefs of academic staff, notably those related to professional independence and patterns of accountability and control and the degree of identification with the dominant ideology of the basic unit or sub-basic unit of which they are members.

iv) Opportunities provided for participation in decision structures, the load on potential participants and the distribution of attention (i.e. the influence of rational action, process pleasures and obligation).

v) Ambiguity surrounding goals, technology and participation.

vi) Power resources and their use, involving patterns of dependency, and the tactical exploitation of power resources such as information, expertise, assessed stature and credibility, and coping with uncertainty.

b) **Basic Unit Level**

This is the basic organisational unit of which individuals form a part
and which they identify, such as a department or faculty. Where the unit is large, and/or has natural divisions, staff may identify with a sub-basic unit such as a school or section. In either case attention should be directed to the following.

i) Single site or multi-site operation.

ii) Distinctive cultural characteristics in terms of beliefs and attitudes, myths and stereotypes, conventions and traditions which constitute the established way of doing things, and vocabulary, reflecting concepts, images and ways of thinking.

iii) Management of meaning and legitimacy.

iv) Dominant ideology and preferred management style - eg. preference for artifactual, collegiate or coalition-bargaining models.

v) Decision and access structures, the load on participants and the distribution of attention.

vi) Power resources and their use, including the degree of authority and influence devolved to or sought by the basic unit.

vii) Interests, interest groups and interest sets.

viii) Nature and incidence of conflict and the means and arenas provided for its containment and resolution (eg. on-stage, back-stage, mutual adjustment, bureaucratic devices, agenda setting).

ix) Patterns of decision making and executive action, notably the time taken in reaching and acting upon decisions and the kind of decision opportunities most likely to become garbage cans.

c) Corporate Level

Four components are identified.

Academic Board and its Sub-Committees

The basic approach remains as for the basic unit level with attention focused on cultural and micropolitical dimensions.

i) Competing ideologies and associated vocabularies, the ascendant image of a well managed institution and the degree of legitimacy afforded it.
ii) Myths and stereotypes.

iii) Management of meaning and legitimacy.

iv) Decision and access structures, the load on participants and the distribution of attention.

v) Power resources and their use.

vi) Origins, containment and resolution of conflict.

vii) Interest sets, interest groups and coalitions.

viii) Ambiguity surrounding mission, goals and leadership.

ix) Decision making, executive action and the propensity for decision opportunities to become garbage cans.

x) Preferred leadership styles of chairmen and their interfacing roles.

Senior Management Team

Irrespective of whether the team is afforded a formal status within the official organisational arrangements it is likely to play a crucial role and attention needs to be given to the following.

i) Composition and changes in membership.

ii) Values and competences, notably in regard to the philosophy and technology of corporate management.

iii) Belief structures, notably degrees of trust, degrees of integration and orientation to events.

iv) Organisational leadership, notably the degree of ambiguity surrounding leadership roles, the coherence of the team, the self-image of the Principal and his preference for obtrusive or unobtrusive forms of intervention.

v) Styles of decision making or non-decision making, that is the willingness to allow difficult issues to be thoroughly exercised before their resolution and the use of on-stage or back-stage methods of conflict resolution and containment.

vi) Power resources and their tactical exploitation, notably patterns of dependency, interfacing roles, control over information and agendas,
expertise, assessed stature and coping with uncertainty.

vii) Load on senior managers.

viii) Organisational slack.

Board of Governors

The nature and role of the Board of Governors is closely linked to the political culture of the LEA, and is best understood in relation to section 5.3.1.2 (a) below. Even so, each Board has features which bear examination.

i) Adherence to the letter and spirit of the Weaver Report and DES Circular 7/70, that is the degree of autonomy granted the Principal and the Academic Board in the determination of academic policy, and the balance of representation on the Board of Governors.

ii) The composition of the Board, notably the distribution of membership between county councillors, staff representatives and others.

iii) The frequency of meetings and the character of agendas.

iv) Relationship between the Chairman of Governors and the Principal and the degree of dependence, one on the other for achieving strategic outcomes.

v) Role played by the Chairman and Vice-Chairman, notably the frequency of visits to the college and the amount of business transacted via reports from them to the full Board.

vi) Role played by staff representatives (i.e. as individuals or a well organised group of constituency representatives?) and the interest groups or coalitions formed with others.

vii) Degree of ambiguity surrounding mission and goals within the LEAs overall educational provision.

viii) Relationships and dependencies between elected members and the dominant political group in County Hall, between the Principal and chief officers, and between the Clerk to the Governors/Chief Administrative Officer and his counterparts at County Hall.
Trade Union Organisation

The FE sector has traditionally been strongly unionised with the majority of academic staff belonging to NATFHE. The way the Union is organised and the role it plays varies considerably between colleges and attention needs to be given to the following.

i) Branch membership, involvement of members in branch activity and the vitality of the branch.

ii) Competing ideologies, notably legitimacy afforded to 'trade union' or 'professional' orientations.

iii) Established role, eg. 'militant adversarial' distanced from college management or 'positive, countervailing influence' seen to have a legitimate role in college management.

iv) Composition of agendas and attention given to academic policy and college management.

v) Assessed stature and credibility of officers.

vi) Aspiration levels, forms of impression management employed in bargaining, and reliance placed on tacit or explicit bargaining.

vii) Power resources and their tactical exploitation.

5.3.1.2 Outer Context

a) County Council/LEA

The approach of an LEA to the management of its colleges is likely to be influenced by the following.

i) Dominant elected member group, their party political affiliations, the interests with which they are most closely identified (eg. industry and commerce, farming or the labour movement) and their preoccupations (eg. maintenance of services or reduction of rate burden?).

ii) Age and work status of councillors and the time devoted by them to Council business.

iii) Distribution of patronage, notably the selection of Committee Chairmen and Vice-Chairmen and the role played by Group Officers,
particularly the Leader of the Council in member deployment among committees and the general management of Council business.

iv) Relations between elected members and officers, notably committee chairmen and their officers and the general involvement of members in decision making.

v) The identification of elected members with the scale and quality of services and the institutions and personnel providing them. In the case of Higher Education the level of commitment to a single institution is likely to be influenced by whether it is one or more of a number of institutions on either side of the binary line found in a locality.

vi) Roles, responsibilities and relationships of chief officers, notably the Chief Executive, County Treasurer and Director of Education and the degree to which these reflect a corporate or functionalist approach to management.

vii) The amount of interest shown in and the management attention given by the Director of Education and members of his department to FE and HE as compared with schools.

viii) The approach adopted to the management of the education service in terms of the allocation of resources and the determination of priorities within and between sectors.

ix) Combative strength of the Education and Social Services Committees in the competition for resources.

x) Rating base, reserves held and the use made of them, readiness to conform to government guidelines and the general approach to financial management (notably the extent to which budgeting is historical and incremental).

b) Local and Regional Provision of FE and HE

Account needs to be taken of:

i) The number of institutions within reasonable travelling distance for students.
ii) Market size and identifiable market segments within the public sector and across the binary line.

iii) Degrees of competition and complementarity.

iv) Threats of rationalisation.

v) Opportunities for collaboration and networking.

c) Local and Regional Economies

Colleges are likely to be affected by:

i) The general level of employment reflecting both overall demand and structural changes.

ii) The responses of local and central government to these changes, notably the efforts made to combat or to alleviate the effects of unemployment and to attract new firms and industries to the locality.

iii) The role assigned to a college in the general infrastructure of a locality/region and the level of support provided by local and central government in terms of staffing, revenue, capital and buildings.

d) Key Influencing Agents

Colleges and LEAs are required to respond to a number of agents in the external environment who possess important power resources and exercise both authority and influence.

i) The **DES and the Welsh Office** determine the policy framework within which colleges operate and this is manifest in legislation, White and Green Papers, Departmental Circulars, etc.

ii) Traditionally governments have preferred to exercise an indirect influence but have recently become more overtly interventionist hence the importance of the roles of **NAB and WAB**, notably in specifying **AFE student targets by programme and rationalising provision**, and that performed by the **MSC** in the planning and programming of work-related **NAFE**.

iii) **HMI and RSI**, although the role of the latter in AFE course approvals has been significantly diminished by NAB and WAB, as also
has been the role of the RAC. The views of HMI, whether conveyed informally or in a published report affect the reputation of a college and the assessed stature of its managers and staff. HMI also routinely receive the reports on course validations and are normally present at external panel visits.

iv) As the majority of courses in colleges lead to national qualifications, validating bodies such as the CNAA, the Universities and BTEC and professional examining bodies such as the ACCA, IPM and CQSW are able to exercise considerable authority and influence at the individual course level. In the case of CNAA there is also the influence exerted at institutional level by its quinquennial reviews.

v) The Audit Commission has identified FE/HE as a sector with substantial organisational slack and an increasing number of colleges are undergoing Value for Money studies. Both the individual case studies and general reports based on them are used to send strong messages to central government and local authorities on the considerable scope for improving effectiveness and efficiency and the merits of management accounting practices and the use of performance indicators. Each of the above is seen to influence particular aspects of college management and also to contribute to the image of a well managed institution having strongest currency at any one time. A useful barometer of the changing climate of opinion on the management of FE/HE is the output of the Further Education Staff College, which also might be regarded as an important influencing agent, especially given the increasing involvement of its staff as consultants in projects sponsored by the DES, MSC and NAB.

5.3.1.3 Interfacing and Interactions Through Time

While each level merits attention in the terms described above, variability in context is seen to derive mainly from interactions within and between levels through time. The dynamics of context,
expressed in these terms, have been the major preoccupation of the present study and the findings direct attention to key iterations and interactions which need not occur in simple linear fashion but which may take the form of complex networks. The CNAA, for example, exercises its influence at LEA, corporate, basic unit and course team level. The dynamics at the interface between the corporate level and the LEA on the one hand and the corporate level and basic units on the other are likely to be affected by interactions at corporate level between the Academic Board, the Board of Governors, Senior Management and the NATFHE Branch. The interface between an LEA and a college at corporate level is seen to be particularly significant and one requiring detailed examination. The interactions which occur at any one time need to be placed in an historical perspective and linked to expectations about the future. As has been demonstrated, for an understanding of strategic change and the processes by which a college reaches a given state at a particular point in time attention is most profitably given to the parts played by incrementalism and purposive rationality, the impact of real and constructed crises, changes in management personnel, shifts in power, transformations in organisational ideologies and patterns of organisational learning.

5.3.2 Process Analysis of variability in process involves an examination of the designed or intended features of management systems and their associated technologies. The approach summarised below, (and employed in Chapter 12) while relating for illustrative purposes to corporate planning, is considered to be applicable to all management systems to the extent that each involves decision making, is informed by a philosophy and employs a technology.

5.3.2.1 Decision Making Attention needs to be given to:
a) The relevant decision set, notably its strategic orientation in terms of environmental appraisal, corporate appraisal and strategy formulation.

b) The approach to decision making, notably whether it is comprehensive, structured and deliberative.

c) Levels in the organisation at which decisions are taken and degrees of interaction.

5.3.2.2 Philosophy

Attention needs to be given to:

a) Ideology, notably its holistic or incrementalist orientation.

b) Rationality, notably the promotion of purposive rationality and the degree of prominence given technical, economic and political rationalities.

c) Instrumentality, notably the extent to which an innovation is intended to have a pervasive impact or designed to achieve particular effects (eg. in the case of planning: integration, accountability and control, organisational learning and the containment and resolution of conflict).

5.3.2.3 Technology

Attention needs to be given to:

a) The overall design of the system (eg. the links between planning, programming and budgeting and/or the employment of a planning cycle).

b) The range and sophistication of techniques employed.

c) The design and operation of management information systems.

d) The level of organisational support and servicing and the protection of systems integrity.

e) The links between planning, programming and budgeting, notably at the College–LEA interface (eg. the reliance placed on historical, incremental, budgeting or the use made of annual reviews linking estimates to the achievement of agreed targets for activity and resource utilisation performance).
5.3.3 Outcomes

As has been demonstrated in Chapter 12, strategic changes such as the introduction of a corporate planning system are intended to produce process and performance outcomes with the former increasing the likelihood of achieving the latter. The distinction is regarded as particularly useful in education and other highly professionalised service industries because of the difficulties of measuring performance and the reliance placed on peer group evaluation. In making the distinction, attention is directed to the image of a well-managed institution having strongest currency at any one time. Colleges which most closely resemble the preferred image are expected to achieve the best performance in terms of effectiveness, efficiency and ability to cope with change, although the difficulties of establishing clear causal links are generally acknowledged.

The problems of measuring performance have been well rehearsed in Chapter 12 and the form of gap analysis employed for identifying discrepancies between intention and achievement is considered an appropriate means of measuring variability in output. With particular reference to the impact of corporate planning, therefore, attention should be focused on the following.

5.3.3.1 Process Outcomes

a) General influence on the management of a college

More specifically:

i) Dominant ideology.

ii) Management style.

iii) Approaches to decision making.

b) Integration

More specifically:

i) Balance between differentiation and integration.

ii) Character, identity and mission of the institution.
iii) Corporate commitment and loyalty.
iv) Relations between managers and managed.
c) Implementation, Accountability and Control

More specifically:
i) Patterns of executive action or inaction.
ii) Review procedures, monitoring and evaluation, and feedback loops.
iii) Rewards and sanctions and their use.
d) Organisational Learning

More specifically:
i) Levels of awareness and corporate discourse.
ii) Communications.
iii) Attitudes, beliefs and behaviour modification.
e) The Containment and Resolution of Conflict

More specifically:
i) Primary sources of conflict.
ii) Contribution of corporate planning, other bureaucratic devices and mutual adjustment to the containment and resolution of conflict.
f) Planning, Programming and Budgeting

More specifically, the technical quality and appropriateness of:
i) Strategies at the corporate and basic unit levels and the interactions and compatibilities between them.
ii) Programmes and budgets.

5.3.3.2 Performance Outcomes

The evaluation of performance outcomes in education is seen to present special problems. As a result objectives are generally pitched at a high level of generality and performance standards imprecisely specified. The less precisely specified are performance standards the more impressionistic are measures of attainment likely to be. A number of attempts are currently being made (see page 688 above) to devise more precisely defined and commonly accepted standards in HE and FE and these relate to the following.
a) **Survival and Development**

More specifically:

i) Coping with uncertainty and responding quickly to opportunities and threats in the external environment.

ii) Satisfying key influencing agents.

iii) Securing an appropriate market share of students and revenue.

b) **Effectiveness**

More specifically:

i) Providing a range of services, including applied research, consultancy and bespoke economic course, for clients well matched to current and projected local, regional and national requirements.

ii) Offering an appropriate course portfolio in terms of level (AFE or NAFE), mode (full-time, part-time, open and distance learning), delivery (single discipline/multi-disciplinary, student-centred/teacher-centred), location (college, work-place, home) and cost.

iii) Ensuring the fitness of individual courses in terms of need for maintenance, minor modification, major modification, replacement or elimination.

iv) Sustaining the quality of teaching learning programmes as reflected in course and curriculum development and student performance.

v) Organising output-related staff development and appraisal.

c) **Efficiency**

The range of performance indicators currently being developed relate primarily to:

i) The Student Staff Ratio and its component ratios.

ii) Unit costs of several kinds, eg. per enrolled student, per student completing a course, or per successful student.

5.3.4 **Context, Process and Outcome**

Having identified those aspects of context, process and outcome which should claim the attention of a researcher it remains to suggest linkages
between them and how variability in one is likely to cause variability in the others. It will be evident that precise causal links are difficult to establish. There are so many factors to take into account and so many possible permutations to consider with complex human perceptions and behaviours at the centre of events. No attempt will be made, therefore, to present a set of precisely stated and qualified propositions amenable to rigorous testing. Rather the approach adopted will be to offer a number of guiding principles and to employ them for the consideration of possible scenarios which may be evaluated in the light of available evidence and experience.

5.3.4.1 Guiding Principles

The findings of the study suggest the following guiding principles.

a) Alignments and Correspondences

The extent to which desired outcomes are achieved or not achieved by intention and design or by default is dependent on the alignments or correspondences between key elements of context, process and outcome. That is, there are alignments and correspondences which make desired outcomes by intended means more likely and others which make them less likely. The nature of these correspondences will be further explored in 5.3.4.2 below.

b) Timing

If alignments are important it follows that there will be times when actual outcomes do not match intended outcomes and when the emergent properties of organisations fail to correspond to their designed properties. There will be other times when the constellation of circumstances is favourable to change. Considerable importance attaches to how these favourable constellations arise.

c) Avoidance of Reification

Changes occur through the actions of individuals and groups of individuals who view situations with selective perceptions, have vested interests to
promote, and who have particular responses to change. It is, therefore, crucial to keep track of:

i) the pressures and inducement for change, notably the individuals, groups and agencies in the internal and external environments advocating change, and their shared perceptions;

ii) the perspectives and expectations of change agents, the power resources at their disposal compared with those resistant to change and their comparative tactical skills in exploiting them;

iii) the interests served by change; and

iv) the means available for reconciling conflicting interests.

d) Key Interfaces

As has been demonstrated in 5.3.1.3 above, variability in context is seen to derive from interactions within and between levels through time. The findings of the study indicate that the key interfaces are between the CORPORATE LEVEL and the LEA and the CORPORATE LEVEL AND BASIC UNIT LEVEL with KEY INFLUENCING AGENTS in the external environment affecting all three.

5.3.4.2 Possible Scenarios

The consideration of possible scenarios is particularly relevant at the present time when so much effort is being put by government and its agencies into improving the management of educational institutions on both sides of the binary line through the introduction of purposive rationality, corporate planning, performance indicators and their associated technologies. As the literature search has demonstrated, these are not new preoccupations, and yet the pressures have not impinged to the extent which might have been expected. Such a failure is not surprising to those aware of the importance of contextual realities. Among a wide range of possibilities an attempt will be made to define the limits of a spectrum within which most HE institutions in the public sector are likely to fall. First a scenario will be presented
representing the features and correspondences most likely to promote
the introduction and successful operation of a corporate planning
system, with success being measured in terms of the process and
performance outcomes identified in 5.3.3 above. By implication a
scenario which reverses these correspondences may be taken to represent
the opposite end of the spectrum, that is conditions most inimical to
the successful introduction of corporate planning. Such an approach
represents, of course, a great oversimplification. Even so it does
provide a useful guide to what might be expected and the most critical
correspondences for achieving success, given that colleges will be
located at different points along the spectrum. The scenario possessing
the most favourable correspondences is likely to display the following
characteristics.

a) Individual Level

i) High proportion of AFE to NAFE courses and therefore of adult
(>18) to younger (16-18) students.

ii) Highly qualified and energetic staff, including a significant
proportion between 30 and 40 years of age with recent and relevant
professional experience, who identify with and are strongly committed
to the college. Loyalties to the college are not seen to be in serious
conflict with loyalties to the basic unit or sub-basic unit.

iii) Values and beliefs of staff subordinate individual and professional
interests to the interests of students. A student-centred approach is
identified with an interest in course and curriculum development, inter
and multi-disciplinary team work, acceptance of peer group evaluation
and routinised monitoring and evaluation of courses.

iv) Strong inducements to participate in decision structures, notably
through process pleasures and a highly developed sense of obligation.

v) Low level of ambiguity surrounding goals, technology and
participation.
vi) Patterns of dependency make for mutual interest and mutual adjustment rather than for conflict and reliance on bureaucratic rewards and sanctions for its resolution. Individuals possessing important power resources employ them to promote purposive rationality.

b) Basic Unit Level

i) Single site or campus houses all faculties, departments.

ii) Distinctive cultural characteristics accepted and mobilised in the corporate interest rather than allowed to perpetuate divisions. Beliefs and attitudes of the units seem to be complementary. Myths and stereotypes founded in good humour and professional self-esteem. Acceptance of a shared ideology reflected in a shared vocabulary.

iii) Strong adherence to purposive rationality and a widespread understanding of the roles and significance of technical, economic and political rationalities.

iv) Ready acceptance of the routines and disciplines of a planning system and a willingness and ability to exploit its technology as a means to an end rather than an end in itself.

v) Preference for collegiate and coalition-bargaining models of college management.

vi) Participative decision and access structures with reasonable distribution of load among participants.

vii) Power resources distributed between basic units and between them and the corporate level so as to create strong mutual dependencies and the prevention of the domination of one by another.

viii) Tendency of decision opportunities to become garbage cans understood and executive action taken to regulate confluences.

c) Corporate Level

Academic Board and its Sub-Committees

i) Shared perception of a well-managed institution affords legitimacy to purposive rationality and promotes enthusiastic adoption
and operation of corporate planning system and its associated technologies.

ii) Operation of the planning system aided by well designed computerised management information system and strong administrative support.

iii) Prominence given to monitoring, feedback and review. Use of performance indicators strongly internalised to support decision making. Power resources thus derived used to strengthen accountability and control and promote integration.


v) Significance of political rationality understood. Planning process seen to provide arenas for the containment and resolution of conflict. Purposive rationality valued in the domain of justification, not least as an antidote to the 'decibel factor'. Opportunities provided for the formation of interest sets, interest groups and coalitions committed to promoting the corporate interest.

vi) General agreement on mission, goals and the relationship between managers and managed (notably, responsibility for executive action).

vii) Politically sensitive issues well exercised before resolution but confluences and outcomes regulated rather than fortuitous.

viii) Due attention given by chairmen to significance of agenda setting and importance of back-stage as well as on-stage activity.

Senior Management Team

i) Identified as a team with widely shared values and beliefs and strong corporate commitments and loyalties. High degrees of trust and integration among members and a common orientation to events.

ii) Readiness to assume shared ownership of the corporate planning system and a common desire to achieve intended process and performance outcomes.
iii) Clear understanding of the philosophy of corporate planning and a high level of competence in the application of its technology.

iv) Minimum ambiguity over leadership style (i.e. the Principal and members of his team) and the reliance to be placed on obtrusive or unobtrusive interventions.

v) Balanced distribution of power resources and matching skills in their tactical exploitation.

vi) Balanced load.

vii) Little organisational slack.

Board of Governors

i) Instrument and Articles of Government conform to the letter and spirit of DES Circular 7/70.

ii) Balanced membership, not dominated by elected members.

iii) Spheres of influence and powers of the Board vis-a-vis the Academic Board and Senior Management clearly defined and understood.

iv) Infrequent meetings (every 3 months) and carefully prepared agendas (giving prominence to strategic development and accountability for performance).

v) Chairman and Vice-Chairman regular but not over-frequent visitors with strong commitment to the college and high credibility, stature and influence with fellow councillors and officers at County Hall.

vi) Good relations and a high degree of respect between Chairman and Principal who are seen to be mutually supportive.

vii) Well organised and able group of staff governors seen to speak with authority when representing general staff interests and willing to become implicated in difficult policy decisions.

viii) Mission and goals of the college within the County's overall educational provision clearly defined.

ix) High degree of autonomy and discretion permitted in terms of the influence of the dominant political group at County Hall on councillor
governors and the authority and influence of chief officers over senior academic managers and administrators.

x) All but the most senior appointments made without the involvement of governors.

xi) Annual estimates prepared within a form of planning, programming and budgeting system (not necessarily PPBS as such) which links budgets to a performance review of previously agreed educational and resource-utilisation targets.

Trade Union Organisation

Attention will be focused on academic staff for the present purpose, although it is recognised that the organisation of non-academic staff, particularly in large institutions, may be significant.

i) Strong branch(es) with active membership.

ii) Acceptable balance achieved between 'professional' and 'trade union' orientations.

iii) College managers seen as professional colleagues performing managerial role rather than adversaries. Absence of rigid 'them and us' stance but necessity for generating countervailing pressure and bargaining recognised.

iv) Officers possess stature and credibility and are skilled at impression management.

v) Power resources deployed most strongly in relation to conditions of service and employment issues but influence also exerted selectively on academic policy and general management.

d) LEA

i) Dominant group committed to achieving increased effectiveness and efficiency while maintaining an appropriate level and balance of services.

ii) The majority of councillors have jobs and devote a limited, though significant, amount of time to council business.
iii) Clear role demarcation between officers and elected members with general responsibility for the day-to-day management of services given to officers within policy guidelines established by the County Council.

iv) Corporate rather than functionalist approach adopted to management with Chief Officers operating as team led by the Chief Executive. The team enjoy high professional status among elected members and are allowed to get on with the job. Relations with the Leader of the Council and Committee Chairpersons are good.

v) Education service operated on a corporate basis with equal interest and management attention given to all sectors. Finance allocated on the basis of agreed priorities.

vi) Colleges of FE and HE viewed as key components of general economic infrastructure. Single College of HE claims strong loyalties.

vi) Purposively rational approach adopted to resource allocation and financial management involving some form of priority or zero-base budgeting with colleges operated as discrete centres. Annual estimates linked to performance review with targets agreed for activity, outputs and resource utilisation performance. Colleges allowed to share the benefits of efficiency savings.

e) Local and Regional Educational and Economic Infrastructures

Each catchment area is likely to possess unique features which require special attention. Attempts at generalisation are therefore especially hazardous. The following represent one set among a number likely to raise expectations on planning within an institution and from its LEA.

i) Well populated HE sector with a number of institutions on both sides of the binary line seeking to establish or maintain a reputation in particular market segments.

ii) Threat of rationalisation of provision.

iii) Opportunities for collaboration and networking.
Major structural changes in the local and regional economies prompting strenuous efforts by central and local government to attract new industries and alleviate unemployment.

f) **Key Influencing Agents**

As has been demonstrated these may exercise a direct influence at LEA, institutional and individual course levels. Collectively they create a climate of opinion about the nature of a well-managed institution and raise expectations which college managers are expected to match. Their influence is likely to be most potent when the following conditions apply.

i) They share (generally through overlapping membership) a common perception and relay much the same messages.

ii) They are able to confer rewards and apply sanctions which make a real difference to colleges and encourage them to move in a particular direction.

iii) Their perceptions are shared by key individuals within an institution who wish and are able to internalise and give legitimacy to their views.

The above represents the contextual scenario considered most likely to promote a deliberative, structured and comprehensive approach to decision making having a strategic orientation in terms of environmental appraisal, corporate appraisal and strategy formulation. It is the one expected to support processes promoting purposive rationality, giving prominence to political as well as technical and economic rationalities, encouraging a holistic view, and most likely to encourage the adoption of comprehensive systems, employing a sophisticated technology. These processes in turn make more likely the achievement of integration, accountability and control, organisational learning, the containment and resolution of conflict and lead to high performance standards in terms of development, effectiveness and efficiency.
Since the above scenario is intended to represent one end of the spectrum it follows that the scenario at the other end is produced by reversing all the characteristics. It is not intended to examine this scenario in any detail, rather it is suggested that explanations for variability in process and outcome, notably the failure to achieve intended and desired outcomes, may be sought in the extent to which correspondences and alignments are present or absent, particularly at key interfaces.

The key interface currently attracting attention in HE (a focus endorsed by the present study) is the COLLEGE-LEA interface. Early indications of the studies conducted in HE (NAB's study of Good Management Practice) and FE (the Joint Efficiency Study sponsored by the DES, Welsh Office and Local Authorities) suggest that management practice is critically influenced by what happens at this interface. As has been demonstrated, contextual analysis directs attention to it and to the existence or absence of rewards and sanctions requiring the adoption of a particular approach to management. It seems that one of the major inhibitions to change is the persistence of historically-based, incremental budgeting which may be largely explained in micropolitical terms, notably the balance of power between officers and elected members. The introduction of management accounting makes decision-making more technical and increases the reliance of members on officers, while the incremental, historical, approach places allocation of resources in the hands of chairmen of key committees, and dominant political groups who are jealous of their powers of patronage.

Without some form of management accounting linking the production of estimates and financial allocations to performance indicators (relating to educational performance and resource utilisation) it is difficult to see why college managers should practise purposive rationality and employ a more sophisticated technology. Indeed it could well increase
their difficulties with the LEA (who may be inclined, encouraged by the Audit Commission, simply to accept increased efficiency as a direct contribution to cuts) and with colleagues (who would see college managers offering hostages to fortune which put their jobs at risk). Inducements to greater efficiency are likely to succeed to the extent that colleges are allowed to share the benefits of efficiency savings. College managers are sufficiently astute to recognise the dangers of a change in practice at college level without compatible changes at LEA level.

5.4 Transferability of Research Style

As has been indicated it was the original intention of the Researcher to undertake a comparative study of planning in the College of Higher Education and in the Health Authority of which he was a member. Practical considerations dictated that attention should be confined to the one organisation but sufficient desk and fieldwork was undertaken in the Health Authority to provide confirmation of the appropriateness of the research style and of the chosen interpretive set to reflective practice in the NHS. There has been a growing interest in the micropolitics of health service management (see for example Ham (1982) and Haywood and Alaszewski (1980) but difficulties have been experienced in developing appropriate interpretive frameworks. Reflections in action as member of the Health Authority employing the interpretive set chosen for the present study have proved highly rewarding to the Researcher who believes that the research style and interpretive framework employed have potential for wide application, particularly in highly professionalised organisations in the public sector.
6. CONCLUSION

Central to the study has been the changing image of a well managed institution in a period of growing complexity and turbulence. At times the increased awareness of complexity has raised the insidious doubt that organisations are becoming increasingly beyond management in a conventional sense and that managers are more properly regarded as victims than heroes. The study confirms the view taken by contextualists that managers should be regarded as neither one nor the other and that organisations, even highly professionalised organisations with tendencies to anarchy, are not beyond management.

The search is not so much for heroes as for reflective practitioners. The study has sought to demonstrate how managers in higher education might set out to conduct an extended reflective conversation with the situations in which they find themselves. On the basis of the findings presented above they should give as much attention to the emergent as to the intended features of organisation, should value both purposive rationality and opportunistic incrementalism, and above all sharpen their awareness of the power resources at their disposal (or not at their disposal) and the tactical skills required to exploit them. It follows from the above that corporate planning should not be regarded solely or even primarily as a rational-linear device for improving technical and economic efficiency by intention and design. Corporate planning as has been demonstrated may also be instrumental in achieving cultural and micropolitical purposes which have significant implications for both process and performance outcomes. For an understanding of the impact of corporate planning on organisations it is necessary to explore the links between philosophy, technology and context. For an understanding of strategic change it is necessary to explore the iterative relationship between context, process and outcome. Reflective practice is, above all, about contextual realities.
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NOTES OF GUIDANCE ON THE PARTICULARS TO BE PROVIDED TO CNAA PRIOR TO THE COUNCIL VISIT

1. The Council requires a statement of general information from an establishment in either of the following circumstances:

1.1 If it is not already operating a CNAA degree course.

1.2 On the occasion of the review which the Council carries out from time to time when establishment is already conducting a course or courses leading to its degrees.

2. Polytechnics/Colleges are asked to provide details of the following items in their statement:

2.1 A brief note on the origin and history of the College. (Merger situation outlined in a few pages).

2.2 Analysis of total student enrolments in the establishment showing number following full-time, sandwich and part-time courses, together with details of advanced courses in operation, estimated annual intakes and total numbers of students enrolled. (This means ALL enrolments not only CNAA; also include wastage rates of students, with reasons, in CNAA courses only. Advanced courses should also suggest those intended to operate over the next five years).

2.3 Academic structure including brief details of:
   a) organisation of departments/faculties/schools, etc.;
   b) committees of the Academic Board and other relevant committees;
   c) arrangements for planning and operating courses leading to the Council's degrees.

(Include the relationship of the Academic Board to the Board of Governors, note size, composition, election procedures, ex officio officers and students, together with frequency of meetings, length of meetings and have some agendas and minutes available. Terms of Reference of Academic Board to be specified. Are there internal validating schemes? Is there an annual review of the results? How is course effectiveness measured?)
What is the procedure for student admission? What are the bases of choice? What is the process of providing for exceptional entries? Does a committee exist for consideration of exceptional entries?

2.4 Research activities; consultancy work; arrangements for staff development. Colleges are requested to provide a brief note on College policy on these matters and the way in which the policy is implemented.

(Also to include sabbatical leave arrangements, long-term and short-term policy, the in-service training of staff. What is the staffing policy? List of all staff by grades in faculties, numbers of technicians by faculties and other supporting staff. How is the establishment calculated? What is the promotions policy?)

2.5 External relations including, as appropriate, brief details of liaison with schools, other polytechnics/colleges, universities, research organisations, industry, business and professional bodies.

2.6 Counselling and vocational guidance service for students.

(Give details of Students Support Services. What provisions are there for first employment? Students may wish to include their own documents for submission).

2.7 Library provision. (Plus Learning Resources Centre and Computer provision).

2.8 Information about staff workrooms and, where provided separately, tutorial rooms. Details of the number and size of the rooms and their capacity will be helpful. (This to be provided in chart form).

2.9 Common rooms and other amenities for students and staff.

2.10 Residential accommodation.

2.11 Plans for academic development during next quinquennium with particular reference to development of CNAA work.

2.12 Plans for provision of resources required for development during the next quinquennium, including building projects approved or proposed.
Also to be included is a sketch on the administrative structure, and statement on the way in which the administrative structure supports the academic structure.

In addition to Instrument and Articles of Government, copies of prospectuses and student handbooks should be available).

**Information about Library Provision**

Colleges are requested to provide the following information under item 2.7 of their statement:

a) the number of full-time students;
b) the size of the library in square feet and its location within the college;
c) the number of study places available;
d) the total annual expenditure on the library, and the amount of any other grant available to it;
e) the number and qualifications of the library staff;
f) the total stock of books and periodicals;
g) the total number of hours of instruction in library use given to the previous year;
h) the range of services available;
i) the hours during which the library is open for students;
j) overall development plans for the library.

The college statement needs to be available for CNAA about three weeks before the visit. The visit itself will consist of:

a) Meeting with the Principal and senior staff. At this meeting will be discussed academic structure, administrative structure, the nature of the Academic Board, Committee structure, Faculty Boards and the decision-making procedures.

b) A visit to the relevant parts of the Institution. Library, student facilities, sporting facilities, student accommodation, welfare services, medical provision. Council members will also examine the fields in which they are expert. This would be followed by a buffet-
type lunch to which would be invited selected Governors, Director of Education, HMI, Student Union Officers, etc.

c) Council will meet the Academic Board.

d) Academic Board will question Council on general policies.

e) A final discussion by Council 'in camera'.

f) Meeting of Council with Principal.
APPENDIX B

COMPOSITION AND TERMS OF REFERENCE OF THE SUB-COMMITTEES OF THE ACADEMIC BOARD

Extracts from a Discussion Paper presented to the Academic Board on 20th October, 1978

3. PLANNING AND RESOURCING SUB-COMMITTEE

A) Terms of Reference and Mode of Operation

1. Constitution and Authority

1.1 Composition (13)

*2 from each faculty = 8

2 students = 2

1 member of Administrative Staff = 1

1 member of Technician Staff = 1

Assistant Principal (or his representative) = 1

*one of which shall be a member of the Academic Board.

1.2 Chairman

The Committee shall elect its own Chairman to serve for a period of 2 years. No Chairman may serve for two successive terms of office.

1.3 Terms of Reference

To:

a) advise the Academic Board on the resource implications of College Academic Policy and the programmes designed to implement that policy;

b) identify for the Academic Board the resource implications of making particular choices among alternative policies and programmes;

c) advise the Academic Board on the procedures which may be adopted for devising and implementing a College Academic Plan;

d) keep under review the operation and implementation of College plans and planning procedures and advise the Academic Board of its findings.

1.4 Authority

a) The sub-committee shall possess no executive powers other than to
have made available to it such information as is set down in Section 2 below.

b) All the sub-committees reports shall be presented to the Academic Board which alone shall determine what action, if any, may be taken.

2. Procedures

2.1 Frequency and Timing of Meetings

It is anticipated that the work of the Committee will normally be completed at four meetings held during the Academic session. Meetings 1 and 2 shall be held during the autumn term to:

a) review expenditure for the current financial year; and

b) examine and cost faculty strategies.

Meeting 3 shall be held during the spring term to consider the allocation made to the College for the following financial year by the County Council. Meeting 4 shall be held during the summer term to consider estimates for the following financial year.

It may be necessary, particularly during the operation of the first cycle, to call additional meetings.

Notice of meetings shall normally be not less than 7 days.

2.2 Task Schedule

To:

a) conduct a half-yearly review of expenditure for the current financial year and set expenditures made, and in prospect, against approved estimates;

b) receive from faculties their preferred strategies for inclusion within the College Academic Plan, assess their resource implications and prepare a report for the Academic Board setting out the resource implications of making particular choices among alternative policies and programmes;

c) consider the implications for faculty and college programmes of the allocation made by the County Council in response to submitted estimates and to report to the Academic Board on alternative adjustments
(where necessary) which might be made in response to the allocation;
d) consider estimates for the coming financial year and to prepare
a report for the Academic Board setting out the resource implications of
implementing the programmes approved in principle by the Academic Board;
e) review the current procedures for preparing the College Academic
Plan, Faculty Programmes and Annual Estimates and to assess their:
   (i) compatibility with those approved by the Academic Board;
   (ii) effectiveness;
f) consider and report upon appropriate issues referred to it by the
Academic Board.
B) Information
1. Sources
Routine information shall be provided on a regular basis by the Deans of
Faculty and the Assistant Principal. From time to time additional
information shall be required from these and other sources.
2. Forms
Routine information shall be presented in a standard form set down in
Memoranda and Guidelines devised by the Chairman of the Committee, the
Assistant Principal and the Deans of Faculty, and approved by the Academic
Board.
3. Flows
Information shall normally flow to and from the Committee via the
Assistant Principal's Office.
4. Timing
   4.1 Information Received
The sub-committee shall normally receive:
a) a 6 months statement of expenditure, not later than the third
   Monday in October;
b) preferred 2-3 year strategies of the faculties, not later than the
   third Monday in November;
c) a statement of the County Council's allocation to the College, as
soon as it is available;

d) Faculty Estimates and Report of the Academic Board Programmes approved in principle, not later than the third Monday in June.

4.2 **Presentation of Reports**

Reports shall be prepared in such time as will allow members of the Academic Board to receive copies five clear days prior to the next appropriate meeting of the Board.

5. **Expert Advice**

The sub-committee may, from time to time, invite members of academic and administrative staff to offer expert information and advice on particular matters.

4. **SUB-COMMITTEE FOR STAFF DEVELOPMENT AND RESEARCH**

A) **Terms of Reference and Mode of Operation**

1. **Constitution and Authority**

1.1 **Composition (13)**

*2 from each faculty = 8

2 students = 2

1 member of Administrative Staff = 1

1 member of Technician Staff = 1

Assistant Principal (or his representative) = 1

*one of which shall be a member of the Academic Board.

1.2 **Chairman**

The Committee shall elect its own Chairman to serve for a period of 2 years. No Chairman may serve for two successive terms of office.

1.3 **Terms of Reference**

To:

a) advise the Academic Board of the alternative programmes for staff development and research which may be adopted to further the objectives of College Academic Policy;
b) identify for the Academic Board the implications of making particular choices among alternative programmes for Staff Development and Research;

c) advise the Academic Board of the procedures which may be adopted to devise and implement Staff Development and Research programmes;

d) identify for the Academic Board the implications of making particular choices among the alternative procedures for devising and implementing Staff Development and Research programmes;

e) keep under review programmes and procedures for Staff Development and Research and advise the Academic Board of its findings.

1.4 Authority

a) The sub-committee shall possess no executive powers other than to have made available to it such information as is set down in Section 2 below.

b) All the sub-committees reports shall be presented to the Academic Board which alone shall determine what action, if any, may be taken.

2. Procedures

2.1 Frequency and Timing of Meetings

It is anticipated that the work of the Committee will normally be completed at two meetings held during the Academic session.

Meeting 1 shall be held during the autumn term to review Staff Development and Research Programmes for the previous and current sessions.

Meeting 2 shall be held during the summer term to consider Faculty Research and Development proposals and manpower budgets for the following financial year and the Academic session beginning in that financial year.

It may be necessary, particularly during the operation of the first cycle, to call additional meetings.

Notice of meetings shall normally be not less than seven days.

2.2 Task Schedule

To:

a) review the Staff Development and Research programmes for the previous
and current academic sessions and assess their:

(i) compatibility with programmes approved by the Academic Board;

(ii) effectiveness in achieving their declared objectives;

b) review the current procedures for devising and implementing Staff Development and Research Programmes and assess their:

(i) compatibility with those approved by the Academic Board;

(ii) effectiveness;

c) receive proposals for Staff Development and Research activities from the faculties and consider their compatibility with College Academic Policy;

d) consider alternative College programmes for Staff Development and Research and identify the implications of making particular choices among alternatives;

e) consider appropriate issues referred to it by the Academic Board.

B) Information

1. Sources

Routine information shall be provided on a regular basis by the Deans of Faculty and the Assistant Principal. From time to time additional information shall be required from these and other sources.

2. Forms

Routine information shall be presented in a standard form set down in Memoranda and Guidelines devised by the Chairman of the Committee, the Assistant Principal and the Deans of Faculty, and approved by the Academic Board.

3. Flows

Information shall normally flow to and from the Committee via the Assistant Principal's Office.

4. Timing

4.1 Information Received

The sub-committee shall normally receive reviews of the Faculty Research
and Development Programmes for the previous and current sessions not later than the third Monday in October.

The sub-committee shall normally receive faculty proposals not later than the third Monday in April of each year.

4.2 Presentation of Reports

Reports shall be prepared in such time as will allow members of the Academic Board to receive copies five clear days prior to the next appropriate meeting of the Board.

5. Expert Advice

The sub-committee may, from time to time, invite members of academic and administrative staff to offer expert information and advice on particular matters.

5. COURSE ADMINISTRATION SUB-COMMITTEE

A) Terms of Reference and Mode of Operation

1. Constitution and Authority

1.1 Composition (13)

*2 from each faculty = 2
2 students = 2
1 member of Administrative Staff = 1
1 member of Technician Staff = 1
Director of Studies (representing the Assistant Principal's Office) = 1

*one of which shall be a member of the Academic Board.

1.2 Chairman

The Committee shall elect its own Chairman to serve for a period of 2 years. No Chairman may serve for two successive terms of office.

1.3 Terms of Reference

To:

a) advise the Academic Board on alternative course programmes which may be offered by the College to further the objectives of College Academic Policy;
b) identify for the Academic Board the implications of making choices among alternative course programmes;
c) advise the Academic Board of the procedures which may be adopted throughout the College for:
   (i) course and curriculum development;
   (ii) internal validation of course submissions;
   (iii) admission of students; and
   (iv) monitoring academic standards;
d) keep the procedures for the above adopted by the Academic Board under review and advise the Board of their findings.

1.4 Authority

a) The sub-committee shall possess no executive powers other than to have made available to it such information as is set down in Section 2 below.
b) All the sub-committees reports shall be presented to the Academic Board which alone shall determine what action, if any, may be taken.

2. Procedures

2.1 Frequency and Timing of Meetings

It is anticipated that the work of the Committee will normally be completed at three meetings held during the academic session.

Meeting 1 shall be held during the autumn term to review:
a) enrolments, depletions and results;
b) course and curriculum development programmes and procedures; and
c) student admission procedures for the previous session.

Meeting 2 shall be held during the autumn term to devise a programme for internal course validation for the current session.

Meeting 3 shall be held in the summer term to consider course proposals (including 21FE submissions) submitted by the faculties.

It may be necessary, particularly during the operation of the first cycle, to call additional meetings.

Notice of meetings shall normally be not less than seven days.
2.2 Task Schedule

To:

a) review course provision during the previous and current academic sessions and assess its compatibility with the programmes approved by the Academic Board;

b) review the following for the previous academic session:
   (i) enrolments, depletions and results;
   (ii) course and curriculum development programmes and procedures;
   (iii) student admission procedures;

c) receive course proposals from the faculties and consider their:
   (i) compatibility with College Academic Policy;
   (ii) marketability;

d) consider alternative programmes of course provision and identify the implications of making particular choices among alternatives;

e) prepare a programme of internal validation for the approval of the Academic Board;

f) consider appropriate issues referred to it by the Academic Board.

B) Information

1. Sources
Routine information shall be provided on a regular basis by the Deans of Faculty and the Assistant Principal. From time to time additional information shall be required from these and other sources.

2. Forms
Routine information shall be presented in a standard form set down in Memoranda and Guidelines devised by the Chairman of the Committee, the Assistant Principal and the Deans of Faculty, and approved by the Academic Board.

3. Flows
Information shall normally flow to and from the Committee via the Assistant Principal's Office.
4. **Timing**

4.1 **Information Received**

The sub-committee shall normally receive:

a) faculty reviews for the previous session of enrolments, depletions, results, admissions, course developments, etc., not later than the third Monday in October;

b) schedule of course submissions to be presented for external validation not later than the third Monday in September;

c) faculty course proposals (including 21FE's) not later than the third Monday in April.

4.2 **Presentation of Reports**

Reports shall be prepared in such time as will allow members of the Academic Board to receive copies five clear days prior to the next appropriate meeting of the Academic Board.

5. **Expert Advice**

The sub-committee may, from time to time, invite members of academic and administrative staff to offer expert information and advice on particular matters.

6. **MEMORANDA AND GUIDELINES**

In order to enable the Academic Board and its sub-committees (including the Faculty Boards) to operate the above system effectively, particularly during the first planning cycle, it will be necessary to prepare Memoranda and Guidelines for their assistance.

In the case of information presentation and forms design there is unlikely to be much difficulty beyond that of achieving agreement on content, together with a high competence in draughtsmanship.

For all CAPITAL ESTIMATES, therefore, we might expect written justification, including the faculty's best assessment of its proposals, under the following headings:
a) objectives to which the item contributes;
b) need for the item;
c) alternative means of meeting the need;
d) appraisal of alternatives leading to recommendations;
e) extent to which the item will:
   (i) meet faculty objectives;
   (ii) fill gap in current provision;
   (iii) improve standard of service;
f) Capital cost (broken down into elements, where appropriate);
g) Associated Revenue costs, including details of staff requirements;
h) details of any Revenue costs saved.

The form in which FACULTY STRATEGIES will be presented is more problematic but an outline schema already exists, with associated documentation, which could be employed after suitable refinement.

There exist certain areas, however, where memoranda and guidelines cannot be prepared without the Academic Board first settling certain basic issues of principle, the most obvious being STAFF DEVELOPMENT. With Staff Development it is generally recognised that the central issue is that of reconciling the needs and aspirations of the individual with those of the organisation. And it is for the Academic Board to determine, in principle, what claims the individual may reasonably make on the organisation and vice versa.
COLLEGE CORPORATE STRATEGY

PERSONNEL POLICY/PROGRAMME

MANPOWER AUDIT

age

qualifications etc.

MANPOWER PROJECTIONS

MANPOWER GAP

STAFF DEVELOPMENT POLICY/PROGRAMME

DEVELOPMENT CONSULTATION

NEEDS/ASPIRATIONS

MEANS

STAFF DEVELOPMENT

TRAINING/RETRAINING

FORMAL JOINT-EVALUATION

RECRUITMENT/PROMOTION

STAFF DEVELOPMENT

TRAINING/RETRAINING

ASPIRATIONS

MEMBER OF STAFF
APPENDIX D

FRAMEWORK ADOPTED FOR THE CONDUCT OF A 'DELPHI EXERCISE'
IN THE FACULTY OF MANAGEMENT AND ADMINISTRATION

PREPARATION OF FACULTY STRATEGY FOR PERIOD 1978 - 1981

Notes of Guidance

1. Introduction

What is being attempted is best seen as a crude 'delphi' exercise. It aims at providing an opportunity for each member of staff to participate in the formulation of a Faculty Strategy - each is seen as an oracle worth consulting.

The objectives of the exercise in very broad terms are:

a) To identify areas of high risk as early as possible so that appropriate remedial or compensatory action may be taken.

b) To identify areas of the greatest potential which may be developed within the existing resource provision or as and when additional resources are made available.

The guidance offered below aims at providing a framework (being a rather elementary adaptation of corporate planning principles) within which each school can 'think through' the task it has been given.

2. Stage 1: Audit

The first stage of a planning exercise is a review of the current internal and external environments. The 'cruciform chart' provides a useful paradigm in conducting such a review.

<table>
<thead>
<tr>
<th>STRENGTHS</th>
<th>WEAKNESSES</th>
<th>= AUDIT OF INTERNAL ENVIRONMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPPORTUNITIES</td>
<td>THREATS</td>
<td>= AUDIT OF EXTERNAL ENVIRONMENT</td>
</tr>
</tbody>
</table>

The school should seek to identify in broad terms its own strengths and weaknesses and relate these to opportunities and threats which it recognises in the external environment.
2.1 **Key Elements to be Evaluated in the Internal Environment**

a) **Human Resources (Academic)**  
   e.g. Number of staff, qualifications, specialisms, teaching and industrial experience, skills in course and curriculum development, effectiveness in course management and promotion, etc.

b) **Human Resources (Non-Academic)**  
   e.g. Number of staff, qualifications, grading, allocation.

c) **Physical Resources**  
   e.g. Accommodation, reprography, library, equipment and materials.

d) **Finance**  
   e.g. For publicity and promotions, staff development, etc.

e) **Range of Services Currently Offered**  
   e.g. Range and quality of courses, course fees, consultancy and advice, etc.

2.2 **Key Elements to be Evaluated in the External Environment**

a) **Influential Agencies in Education**  
   e.g. Faculty, college, LEA, RAC (=WJEC), HM Inspectorate and DES, professional bodies, TUC, validating bodies, examining bodies, other colleges (FE/HE/Polytechnics/Universities), etc.

b) **Government Economic Policy and General Level of Economic Activity**  
   e.g. Unemployment, level of public expenditure, etc.

c) **New Legislation**  
   e.g. Health and safety, employment protection, etc.

d) **Level of Activity in Individual Industries (National and Local)**

e) **Needs of Individual Employers**

3. **Stage 2: Projections**

3.1 **Aim**

The aim is to produce projections (for existing and new courses) within scenarios derived from declared assumptions. It may prove valuable to produce projections within a set of alternative scenarios. In any event
both projections and scenarios should be evaluated in terms of:

a) Probability;
b) Attraction to the school;
c) Risks attached to non-attainment.

3.2 Method

a) Projections should be attempted over the next three years for present courses and anticipated alternative/new courses.
b) The assumptions on which these projections are based should be clearly stated.
c) The assumptions will relate to both the internal and external environment and are likely to involve a number of the elements identified in 2.1 and 2.2 above.
d) Alternative scenarios will derive from alternative sets of assumptions and the links should be clearly stated.
e) Some attempt should be made when evaluating the range of projected outcomes to assess the degree of risk which may be attached to errors of judgement over assumptions.
APPENDIX E

REPORT OF THE PRINCIPAL ON THE RESPONSIBILITIES OF CERTAIN SENIOR ACADEMIC/ADMINISTRATIVE STAFF

It is proposed that the management structure for the college should be that shown in the attached diagram. The duties associated with the posts under consideration will be as follows:

1. The Vice-Principal will act as deputy to the Principal and be specifically responsible for building development, health and safety, publicity, student discipline and the general services for libraries and educational technology.

2. The Assistant Principal will act as Clerk to the Governors, be responsible to the Principal for resource control (including that concerned with staff development), the conditions of service of the college's staff and for the college's administrative systems.

3. The Director of Studies will be responsible to the Assistant Principal for co-ordinating Course Development and for co-ordinating the work of the Academic Board and its committees, the central administration of examinations, admissions, student records and course records, the appointments and conditions of service of teaching staff.

4. The Principal Administrative Officer (General Administration) will be responsible to the Assistant Principal for servicing the Board of Governors and its committees, the maintenance of cleaning and catering services, the conditions of service of non-teaching staff, the development, maintenance and security of college premises, furniture and fittings, the provision of central administrative services and management of the 'C' site from 9.00 a.m. to 5.00 p.m. on weekdays.

5. The Principal Administrative Officer (Finance) will be responsible to the Assistant Principal for all matters relating to the financial administration of the college, and will assume the site management responsibilities of the Principal Administrative Officer (General Administration) in his absence.
6. **The Deans of Faculty** will continue to operate as the academic leaders and resource managers of their individual faculties. (The Dean of Faculty of Education will also be head of teacher training in the college).

7. **The Senior Tutor** will be responsible to the Principal for Student Services in the college.
APPENDIX F

PATTERNS OF ATTENDANCE AT MEETINGS OF THE ACADEMIC BOARD
AND ITS SUB-COMMITTEES

1. ACADEMIC BOARD

1979/80 - 1981/82

<table>
<thead>
<tr>
<th>Faculty</th>
<th>Attendance Pattern for Meetings (Total 20)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 Reps.</td>
</tr>
<tr>
<td>Art and Design</td>
<td>13</td>
</tr>
<tr>
<td>Education</td>
<td>16</td>
</tr>
<tr>
<td>Management and Administration</td>
<td>8</td>
</tr>
<tr>
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1982/83 - 1983/84

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<td>Art and Design</td>
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<tr>
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<tr>
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2. PLANNING AND RESOURCING SUB-COMMITTEE

1979/80 - 1981/82

<table>
<thead>
<tr>
<th>Faculty</th>
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</tr>
</thead>
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*No record kept of attendance at one of the 17 meetings held.
### 1982/83 and 1983/84

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### 1979/80 - 1981/82

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*No record kept of attendance at one of the 14 meetings held.

### 1982/83 and 1983/84

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<td>Information Science and Systems Technology</td>
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4. **STAFF DEVELOPMENT AND RESEARCH SUB-COMMITTEE**

**1979/80 - 1981/82**

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*No record of attendance kept for one of the 14 meetings held.

**1982/83 and 1983/84**

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<td>Information Science and Systems</td>
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<td>Technology</td>
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5. **COMPUTER SERVICES SUB-COMMITTEE**

**1981/82**

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1982/83 and 1983/84

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<td>Education and Combined Studies</td>
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<td>Industrial Engineering and Science</td>
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<tr>
<td>Management and Professional Studies</td>
<td>3</td>
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</tbody>
</table>

6. FACULTY BOARDS

6.1 Art and Design

1979/80 - 1981/82


Total number attending: 11 to 20 (out of possible 24)

Average attendance: c15

Attendance by Faculty Staff: 10 to 16 (out of possible 16) with average of c13

Attendance from other Faculty Reps.: Education 2, Management 1, Science and Technology 7

(number of meetings)

Students: 3 meetings

Administrative and Technical Staff: 6 meetings

Library Representative: 17 meetings

1982/83 - 1983/84

Number of Meetings: 1982/83: 4, 1983/84: 8

Total number attending: 13 to 18 (out of a possible 26)

Attendance of Faculty Staff: 9 to 15 (out of possible 17) with average c12

Attendance from other Faculty Reps.: Education 8, IES 10, ISST 2, Management 0

(number of meetings)

Students: 6 meetings

Administrative and Technical Staff: 6 meetings

Library Representative: 12 meetings
6.2 Education and Combined Studies

1979/80 - 1981/82

Total number attending: 15 to 24 (out of possible 25)
Average attendance: c19
Attendance of Faculty Staff: 13-17 (out of possible 17) with average of between 14 and 15
Attendance from other Faculty Reps.: Art and Design 6, Management 6, Science and Technology 10
Students: 9 meetings
Administrative and Technical Staff: 6 meetings
Library Representative: 8 meetings

1982/83 - 1983/84

Number of Meetings: 1982/83: 5, 1983/84: 4
Total number attending: 20 to 24 (out of a possible 26)
Average attendance: Between 21 and 22
Attendance of Faculty Staff: 15 to 18 (out of a possible 18) with an average of between 16 and 17
Attendance from other Faculty Reps.: Art and Design 8, IES 9, ISST 6, Management 4
Students: 5 meetings
Administrative and Technical Staff: 5 meetings
Library Representative: 7 meetings

6.3 Management and Professional Studies

1979/80 - 1981/82

Total number attending: 13 to 20 (out of a possible 25)
Average attendance: c15
Attendance of Faculty Staff: 9 to 15 (out of possible 17) with average of c12
Attendance of other Faculty Reps.: Art and Design 1, Education 6, Science and Technology 8
Students: 3 meetings
Administrative and Technical Staff: 5 meetings
Library Representative: 10 meetings
1982/83 - 1983/84

Number of Meetings: 1982/83: 4, 1983/84: 4
Total number attending: 12 to 20 (out of a possible 26)
Average attendance: Between 16 and 17
Attendance of Faculty Staff: 8 to 15 (out of a possible 17) with an average between 12 and 13
Attendance of other Faculty Reps.: Art and Design 3, Education 3, IES 8, ISST 2
Students: 3 meetings
Administrative and Technical Staff: 6 meetings
Library Representative: 8 meetings

6.4 Science and Technology

1979/80 - 1981/82

Total number attending: 10 to 18 (out of a possible 25)
Average attendance: c16
Attendance of Faculty Staff: 9 to 16 (out of a possible 17) with average between 13 and 14
Attendance of other Faculty Reps.: Art and Design 1, Education 4, Management 7
Students: 1 meeting
Administrative and Technical Staff: 1 meeting
Library Representative: 11 meetings

6.5 Industrial Engineering and Science

1982/83 - 1983/84

Number of Meetings: 1982/83: 5, 1983/84: 4
Total number attending: 13 to 18 (out of a possible 26)
Average attendance: c15
Attendance of Faculty Staff: 8 to 14 (out of a possible 17) with an average of between 11 and 12
Attendance from other Faculty Reps.: Art and Design 2, Education 3, ISST 6, Management 2
Students: 1 meeting
Administrative and Technical Staff: 8 meetings
Library Representative: 8 meetings
6.6 Information Science and Systems Technology

1982/83 - 1983/84

Number of Meetings: 1982/83: 6, 1983/84: 6

Total number attending: 12 to 20 (out of a possible 25)

Average attendance: Between 16 and 17

Attendance of Faculty Staff: 10 to 14 (out of a possible 16)

Attendance of other Faculty Reps.: Art and Design 0, Education 3, IES 10, Management 6

(number of meetings)

Students: 5 meetings

Library Representative: 10 meetings
APPENDIX G

COLLEGE PROMOTION AND PUBLICITY

Policy Document Approved by the Academic Board on 20th February, 1981

1. Aim and Objectives

1.1 Aim

To ensure the success and long-term survival of the college in an increasingly competitive environment by means of a vigorous and co-ordinated promotional strategy and programmes of promotional activity.

1.2 Objectives

To:

1.2.1 Achieve the targets for student recruitment as set out in faculty strategies;

1.2.2 Promote special developments;

1.2.3 Protect high risk areas;

1.2.4 Establish a strong promotional identity for the college;

1.2.5 Increase the esteem with which the college is held and promote goodwill among all individuals and agencies capable of influencing its future survival and prosperity;

1.2.6 Combat the competition generated by other colleges and institutions within the HE sector.

2. Analytical Framework

2.1 Needs, Means and Resource Implications

2.1.1 Needs Analysis

Needs will reflect the objectives of policy, hence the following factors will largely determine the nature and scale of promotional activities:

a) College Academic Plan and priorities explicitly stated in or implied by the Plan.

b) Faculty strategies and student targets set down in strategies.

c) Nature and extent of competition from other colleges, institutions, etc., in the HE sector.
d) Areas identified as being at special risk.
e) New developments.
f) General need to develop and maintain goodwill towards the college among students, members and officers of the local authority and the community at large (including colleagues in schools and colleges).

2.1.2 Hierarchy of Needs

Specific promotional needs will vary at different levels within the organisation—college (which is itself a part of the HE sector, distinguishable from polytechnics and universities), faculty, school or course.

At each PROMOTIONAL LEVEL it will be necessary to:

a) Direct and co-ordinate promotional efforts.
b) Determine priorities.
c) Allocate resources.
d) Ensure compatibility of decision-making between one level and another.

2.1.3 Identification of Targets

Promotional activity needs to be directed at specific targets. These may be allocated to two broad groups each containing its identifiable constituents possessing characteristics regarded as significant for promotional activity.

The two broad groups are:

**Direct Targets**: i.e. persons or agencies who make the final decision to join a course or make use of other college services.

**Influencing Agents**: i.e. persons or agencies who exert a significant influence on the final decision taken or who have the power to influence the nature of the college and the range and scale of its activities.

The constituents with the groups and their characteristics (regarded as being significant for promotional purposes) may be identified as follows:
<table>
<thead>
<tr>
<th>Group</th>
<th>Targets</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Targets</td>
<td>Students</td>
<td>Age, Sex, Qualifications, Place of origin, Work status, etc.</td>
</tr>
<tr>
<td>Employers/Sponsors of Students</td>
<td></td>
<td>Industry Group (eg. SIC) Geographical Location, Size, Support for Education and Training, Historical Links with college, Future trading and employment prospects, etc.</td>
</tr>
<tr>
<td>Clients for Consultancy</td>
<td></td>
<td>Industry Group, Size, Historical Links with college, Scale of payments, etc.</td>
</tr>
<tr>
<td>Sponsors of Research</td>
<td></td>
<td>Areas of interest. Commercial Enterprises, Public Bodies or Foundations, Funding Policy, Applications, Procedures and Lead Times, etc.</td>
</tr>
<tr>
<td>Influencing Agents on Final Decision Takers</td>
<td>School Teachers</td>
<td>Note: Identification of specific characteristics less significant (though useful in some instances) for this group.</td>
</tr>
<tr>
<td></td>
<td>FE Lecturers</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Parents and Relations, Friends and Neighbours, Careers Service, Employers, Media, Library Service, British Council, Embassies, 'Fixers' (mainly overseas)</td>
<td></td>
</tr>
<tr>
<td>Influencing Agents on College Activities</td>
<td>Board of Governors, Members and Officers of the Authority, HM Inspectorate, Validating Bodies, Professional Bodies, Professional Colleagues</td>
<td>Note: Again depth of analysis will depend largely on nature and purpose of promotional activity. Agents as identified imply certain distinctive characteristics by way of the nature of influence they are able to exert.</td>
</tr>
</tbody>
</table>
2.1.4 Programs of Activity

Programmes of activity will need to be devised at the appropriate promotional level to meet identified needs. The major activities associated with these programmes may be summarised as follows:

<table>
<thead>
<tr>
<th>Programme</th>
<th>Associated Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising</td>
<td>Selection of medium, Preparation of copy, Timing and Placing of advertisement, Follow-up to response.</td>
</tr>
<tr>
<td>Mail Shots</td>
<td>Preparation of mailing lists, Compilation of text, Drafting of format, Printing, Timing and Circulation, Follow-up to response.</td>
</tr>
<tr>
<td>Visits</td>
<td>Identification of Clients, Selection and training of representatives, Preparation of promotional materials (eg. literature, tape/slide presentations, film, video, etc.), Follow-up to response.</td>
</tr>
<tr>
<td>Exhibitions and Conventions</td>
<td>Identification of promoters (external and internal), Completion of contractual arrangements, Selection and development of staff, Design of Media and Method of Presentation, Realisation of project via activities, displays, etc. Follow-up response.</td>
</tr>
<tr>
<td>Liaison with Careers Service</td>
<td>Creation of network of contacts with Service, Identification of members of staff involved in liaison with Careers Service, Preparation of promotional materials, Follow-up response.</td>
</tr>
</tbody>
</table>
Programme

General Public Relations

Associated Activities

Identification of areas of major PR potential,
Creation of information centre and channels of communication within the college,
Identification of key personnel whose goodwill is vital to the well-being of the college and of the opportunities likely to arise for increasing that goodwill,
Creation of network of contacts with the media,
Preparation of copy,
Selection and training of spokesmen,
Preparation of PR Handbook for guidance of staff.

2.1.5 Implementation of Programmes

Programmes have to be managed and hence at each promotional level persons have to be identified as being responsible for the implementation of programmes. It follows that they will be held accountable for the degree of success/failure achieved.

2.1.6 Planning Cycle

Programmes will need to be scheduled so that activities are properly sequenced within a planning cycle which takes account of lead times for:

a) Securing financial and other resources.
b) Collecting information.
c) Taking decisions.
d) Implementing decisions.
e) Preparing materials.
f) Follow-up activities.

2.1.7 Resource Implications

Steps will need to be taken to:

a) Convince the LEA of the importance of promotional activity and thereby ensure a reasonable allocation of finance to the college for this purpose.
b) Maximise the resources in man hours, materials and equipment which may be mobilised within the college for the purposes of promotion.
c) Deploy resources cost effectively in accordance with priorities established at and between the various promotional levels.

2.2 Review of Current Promotional Activity within the College

Some form of promotional audit essential to establish:

a) Persons responsible for key decisions and degree of co-ordination at the different promotional levels.

b) Extent to which approach is systematic or ad hoc.

c) Current financial allocation and its distribution by Faculty and promotional activity.

d) Means employed to evaluate activity and improve cost-effectiveness.


2.3 Review of Promotional Activity of other Colleges

Full advantage should be taken of all available information on the promotional activities of other colleges and institutions in the HE sector in order to establish some notion of 'best practice'. Particular attention should be given to:

a) Publications of FE Staff College at Coombe Lodge.

b) Reports of Committee of Polytechnic Directors.

c) Literature prepared and distributed by selected colleges, including all the HE institutions in the Public Sector in Wales and its surrounding counties.

d) Advertising programmes of same.

e) Visiting programmes of same.

f) Extent and quality of general public relations of same.


3.1 At College Level

3.1.1 Priorities

Priority should be given to:

a) Recruitment of students to new courses or courses identified as being at 'high risk' (i.e. in danger of failing to meet FECL 1/80 norms).

b) Preparation of general literature on full-time courses.
c) Preparation of audio-visual materials for the purpose of offering presentations to schools, colleges, etc. visited by college representatives.
d) Establishment of timetable for decision-making in the form of a planning cycle.
e) Creation of more effective administrative machinery for the co-ordination of promotional activity.
f) Creation of a strong promotional identity and general house style for the college.

3.1.2 Management
Promotional activity at college level to be managed by the Vice Principal with the assistance and advice of:
a) Deans of Faculty for the purpose of determining priorities, preparing estimates and allocating resources.
b) Technical Advisers Group (consisting of members of staff identified by the Vice Principal as having relevant technical knowledge and skills) for the purpose of achieving the highest possible professional standards across the range of promotional activities.

3.2 At Faculty Level
Dean and Heads of School to assume responsibility for:
a) Developing Faculty Promotional Strategy.
b) Determining priorities.
c) Co-ordinating promotional activities.
d) Allocating resources with the Faculty Promotional budget.

4. Implementation
Normal Task Schedule for an Academic Year
Under normal circumstances tasks should be timetabled as indicated on the Promotional Planning Cycle attached.
| and PROMOTIONAL | Sept | Oct | Nov | Dec | Jan | Feb | Mar | April | May | June | July |
| LEVEL | | | | | | | | | | | |
| ADVERTISING | C | | | | | | | | | | |
| F | Completion of estimates and budget for 1982/83 | | | | | | | | | | |
| MAIL SHOTS | C | | | | | | | | | | |
| F | Distribution of PT course handbook to schools, libraries, careers services | | | | | | | | | | |
| VISITS | C | | | | | | | | | | |
| F | Visits to lower 6th form and 1st year FE students | | | | | | | | | | |
| CAREERS SERVICE | C | | | | | | | | | | |
| F | Circulation of letter to schools, parents, associations, offering careers advice, publications, conferences | | | | | | | | | | |
| CONVENTIONS | C | | | | | | | | | | |
| F | Functions for final year school and FE students | | | | | | | | | | |
| PR | | | | | | | | | | |

PLACING OF ADVERTS AS SCHEDULED (1 MONTH LEAD TIME FOR RECEIPT OF COPY BY MR. E. LAWRENCE)

Completion of schedules and budget for 1982/83

Review of estimates in light of allocation

Compilation and Printing of PT Course Handbook

Compilation and Printing of PT Course Handbook

Distribution of Faculty Handbooks etc.

FUNCTIONS FOR LOWER SIXTH AND 1ST YEAR FE STUDENTS

FUNCTIONS FOR LOWER SIXTH AND 1ST YEAR FE STUDENTS

FUNCTIONS FOR LOWER SIXTH AND 1ST YEAR FE STUDENTS

ATTENDANCE AT CAREERS EVENINGS — — STAFF ROTA

F = Faculty
## Appendix H1

### CNAA Institutional Review, March 1982

#### Main Document and Appendices: Summary of Contents

<table>
<thead>
<tr>
<th>Chapter 1:</th>
<th>General Introduction</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>The College and its Environment</td>
<td>1 - 6</td>
</tr>
<tr>
<td>1.2</td>
<td>Developments since the last Quinquennial Visit</td>
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<tr>
<td>1.3</td>
<td>Links with the External Environment</td>
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<th>Services to Students</th>
<th>Page</th>
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<tbody>
<tr>
<td>2.1</td>
<td>Student Population</td>
<td>7 - 13</td>
</tr>
<tr>
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<td>Course Provision</td>
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<td>Student Support Services</td>
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<td>14 - 57</td>
</tr>
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</tr>
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<td>3.3</td>
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<td>3.7</td>
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<th>College Organisation</th>
<th>Page</th>
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<tbody>
<tr>
<td>4.1</td>
<td>Management Structure</td>
<td>58 - 65</td>
</tr>
<tr>
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<td>Introduction</td>
<td>66 - 68</td>
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<td>Bringing the New System into Operation</td>
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<th>COURSE ADMINISTRATION</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1</td>
<td>New Proposals and Resubmissions</td>
<td>69 - 77</td>
</tr>
<tr>
<td>6.2</td>
<td>Internal Validation</td>
<td></td>
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<td>6.3</td>
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<td>Assessment and Appeals</td>
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<td>7.3</td>
<td>The Planning and Resourcing Sub-Committee</td>
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<td>Introduction</td>
<td>85 - 88</td>
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<td>Faculty Learning Resources</td>
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</table>
APPENDICES:

APPENDIX A
Appendix A1 Statistical Analysis of Students and Clients
Appendix A2 In-Service Courses Academic Session 1981/82
Appendix A3.1 Student Accommodation and Other Support Services
  A3.2 Careers and Appointments Service: The Next Step
Appendix A4 Students Union

APPENDIX B
Appendix B1 College Development Resources: Paper approved by the Governors 14th December, 1979
Appendix B2 Statistical Analysis of Sources of Part-Time Students
Appendix B3 College Promotion and Publicity Strategy

APPENDIX C
Non-Teaching Staff Development

APPENDIX D
Appendix D1 Handbook: The College Academic Committee Structure and Planning Cycle
Appendix D2 Memoranda to Accompany Handbook

APPENDIX E
Appendix E1 College Revenue Estimates 1982/83
Appendix E2 Staff Registered for Higher Degrees: September 1981
Appendix E3 Analysis of Staff by Age and Length of Service

APPENDIX F
Appendix F1 Members of Academic Staff who have acquired Graduate and Post-Graduate Qualifications since the merger with the support of the College
Appendix F2 Members of Staff who have taken Secondment (Paid and Unpaid) since the merger
Appendix F3 Research Activity: Progress Report
Appendix F4 Policy Document: Research, Consultancy and Professional Activities
Appendix F5 Staff Development and Research Budget 1982/83

APPENDIX G
Appendix G1 Library Accommodation by Site
Appendix G2 Library Stock by Site
Appendix G3 Library Staffing Structure
SECTION A: COLLEGE POLICY

1. INTRODUCTION: THE DEVELOPMENT OF ACADEMIC POLICY SINCE THE MERGER
   1.1 Phase One
   1.2 Phase Two
   1.3 Phase Three

2. POSITION STATEMENT: ACADEMIC SESSION 1981/82
   2.1 Competitive Environment
   2.2 Strategic Thinking and Self Image
   2.3 Output
   2.4 General Assessment of the External Environment: Opportunities and Threats
   2.5 General Assessment of the Internal Environment: Strengths and Weaknesses

3. COLLEGE CORPORATE STRATEGY FOR THE THREE YEAR PERIOD 1982/83 to 1984/85
   3.1 General Aims
   3.2 Strategic Objectives
      3.2.1 Range of Services
      3.2.2 Course Provision
      3.2.3 Research and Consultancy
      3.2.4 Relations with Clients
      3.2.5 Effectiveness and Efficiency
      3.2.6 The College and its External Environment
      3.2.7 Resourcing

SECTION B: FACULTY STRATEGY - ART AND DESIGN

1. EDUCATIONAL ROLE

2. COURSES
   2.1 Position Statement
   2.2 Course Provision 1982/84
3. CLIENTS AND THE COMPETITIVE ENVIRONMENT

4. RESEARCH AND CONSULTANCY

4.1 Research

4.2 Consultancy and Exhibitions

4.3 Policy

5. RESOURCING

SECTION C: FACULTY STRATEGY - EDUCATION AND COMBINED STUDIES

1. EDUCATIONAL ROLE

2. COURSES

2.1 Position Statement

2.2 Course Provision 1982/84

3. CLIENTS

3.1 Position Statement

3.2 Priorities for 1982/84

4. EXTERNAL ENVIRONMENT

4.1 Competitive Environment

4.2 Links with HMI

4.3 Overseas Links

5. RESEARCH AND CONSULTANCY

5.1 Position Statement

5.2 Future Programme

6. RESOURCING

6.1 Process of Adjustment

6.2 Academic Staff

6.3 Rationalisation of Course Structures

6.4 Equipment and Materials

SECTION D: FACULTY STRATEGY - MANAGEMENT AND ADMINISTRATION

1. EDUCATIONAL ROLE

2. FACULTY SERVICES

2.1 Course Range

2.2 Quality Control

2.3 Promotional Activity
2.4 Performance Evaluation
2.5 Research and Consultancy

3. RESOURCING
3.1 Staffing
3.2 Material Resources

SECTION E: FACULTY STRATEGY - SCIENCE AND TECHNOLOGY

1. EDUCATIONAL ROLE

2. POSITION STATEMENT
2.1 The Transfer to TEC
2.2 Developments in Microelectronics
2.3 Multidisciplinary Activity
2.4 Educational Technology
2.5 Restructuring of the Faculty
2.6 Course Provision

3. COURSES AND ACTIVITIES 1982/84
3.1 Courses
3.2 Other Activities
3.3 Learning Systems
3.4 Quality of Service
3.5 Staff Development

4. CLIENTS

5. THE EXTERNAL ENVIRONMENT

6. RESEARCH AND CONSULTANCY

7. RESOURCING
7.1 Space
7.2 Equipment and Materials
7.3 Academic Staff
7.4 Technician Staff
7.5 General Support Services
2.4 General Assessment of the External Environment: Opportunities and Threats

2.4.1 Opportunities

1. Demographic trends up to 1985 in association with the reduction in the number of places offered by the universities and poor prospects for employment among school leavers.

2. Number of mature students, notably unemployed males, seeking a 'second chance' education and/or means of acquiring/strengthening professional qualifications. An opportunity which needs to be approached sensitively in view of the 'vulture syndrome'.

3. Increased value set on qualifications in an intensely competitive employment market.

4. Increased awareness of the pervasiveness of technological change and the importance of learning to cope with change through the acquisition of new knowledge, skills and understanding.

5. Increased awareness by the elected members and officers of the County Council of the importance of the College as part of the economic infrastructure in attracting new industry, particularly high technology industry, to the County.

6. Likely rationalisation of courses by RAC and RSI through the application of FECL 1/80, Unit Costing, et al. This could be (and is) equally regarded as a threat, of course, but if the College enjoys a reputation as a specialist centre within the region it is more likely to have students directed toward it than away from it.

7. The failure of the Gulf College and the high demand from Middle East Oil Companies for training for their employees at full economic rates.
2.4.2 Threats

1. Continuing recession which is seriously affecting recruitment and therefore the number of personnel being trained.

2. Cuts in public expenditure on higher education and the application of more stringent resource-utilisation criteria.

3. Increasing difficulty faced by students in obtaining discretionary grants.

4. Impact of increases in tuition fees on recruitment to part-time courses, especially evening only courses.

5. Impact of increases in tuition fees and changes in regulations on the recruitment of overseas students.

6. Intensification of competition from both sides of the binary line.

7. More permissive stance of government policy towards responsibilities falling on firms for industrial training.

8. Increasingly stringent standards applied by validating bodies to course and curriculum development.

9. Continuing difficulty in convincing schoolteachers and other key influencing agents of the value to students of the kind of learning opportunities offered by Colleges of Higher Education and Polytechnics, in general, and by this College of Higher Education, in particular.

2.5 General Assessment of the Internal Environment: Strengths and Weaknesses

2.5.1 Strengths

1. Comprehensive range of learning opportunities offered in the form of predominantly advanced full-time, sandwich, block release, part-time and short courses.

2. Reputation established, over a number of years, with clients, HMI, Validating and Professional Bodies and others, as a specialist centre in certain areas and for a commitment to high standards of service across the board.
3. Ability to respond quickly and positively to changes in the external environment and thereby meet identifiable social, educational and industrial needs.

4. Increased recognition of the value of the College to the people of the County both for the learning opportunities it provides and also for the contribution it makes to the attraction of new industry, particularly high-technology industry, to the County.

5. Strong support from the Board of Governors and the Local Education Authority.

6. The existence within the College of an Academic Committee Structure and Planning Cycle which allows and encourages the full participation of staff in policy formulation, provides a means of monitoring performance, and establishes a framework of corporate accountability.

7. Highly qualified and widely experienced academic staff.

8. Central location of the town within an excellent road network such that students travelling from 8 counties can reach the College within an hour.

9. Effective collective representation for academic staff through a NATFHE Co-ordinating Committee which has made significant positive contributions to the development of policies linked to conditions of service and career development.

2.5.2 Weaknesses

1. Variable performance in course and curriculum development across the College both in the time taken to prepare submissions and the form in which they are presented for internal validation.

2. Uneven distribution of administrative, clerical and secretarial support in relation to needs.

3. Difficulties in recruiting technician staff of the required calibre and in sufficiently large numbers.

4. Quality of accommodation available to the Faculty of Art and Design and the pressure on accommodation on the 'A' site.

6. Difficulties experienced in identifying the needs of individual faculties and the College when approving and allocating resources to staff development programme.

7. Limited progress in applying quality control to courses, taking into account the course life cycle, client satisfaction/dissatisfaction and the reports of external examiners and others.

8. Inadequacy of College promotional activity in terms of resource allocation and general management.
'it is important for those responsible for institutional management to understand the unique mission of their own institution. Then, and only then, can they proceed to develop the types of programmes which meet the obligations and requirements of that mission'.

R. G. FORMAN.

'The 'managers of change' have to create an environment which will lead to positive responses to institutional self-evaluation. They should manage not for survival but for excellence, recognising that qualitative innovation and growth should replace quantitative growth'.

JOHN SIZER.

1. Major Preoccupation

To prepare a concise general statement (as opposed to an elaborate and extensively documented PLAN) which provides a strategic framework (i.e. widely understood and agreed set of ground rules) to aid strategic decision making. The key strategic decisions to be made relate to:

1.1 BALANCE OF ACTIVITIES: teaching;
research;
consultancy.

1.2 ORIENTATION OF EACH ACTIVITY TO POTENTIAL MARKETS.

1.3 ADAPTATION TO THE ENVIRONMENT.

2. Current State of the Art

2.1 Conceptual Model

The model which informed initial thinking about the planning process is that shown on APPENDIX A. I believe that there is still some mileage to be obtained from the model but for the purpose of more extensive and systematic analysis on 14th December, the framework set out in APPENDIX B is recommended.
2.2 Output

2.2.1 Faculty Strategies

These have been produced for two 'runs' of the planning cycle and will be rolled forward this year again.

The differences between them in content and presentation are obtrusive (despite/because of notes of guidance?) and we shall need to come to an agreement about standard form and content prior to their submission to CNAA.

2.2.2 College Academic Plan

One has yet to be produced as the model in Appendix A intended and this is the gap which I hope we can go some distance in filling on 14th December. The statement which comes nearest to one in lieu of a plan is that approved by the Governors on 14th December, 1979. I am particularly interested to know how you would draft your contributions to paragraph 1.6 if asked to submit a similar statement today.
Appendix B

Explanatory Note:

This represents an attempt to provide a framework for discussion in five sections. The device is adopted of posing a number of key questions (Q) and suggesting the form in which the responses (R) should be structured/presented. The framework may be applied to individual faculties and the college as a whole.

Section 1: Strategic Profile

1.1 Mission, Services and Clients

Q1 What is our mission and in what ways, if any, are we unique?
R1 (General Statement).

Q2 What range of services do we provide and what are their relative importance?
R2 (Structured Response).

R2.1 Learning Opportunities for Students

<table>
<thead>
<tr>
<th>Course Category</th>
<th>Mode</th>
<th>Orientation</th>
<th>Content</th>
<th>Strategy</th>
<th>Access</th>
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</thead>
<tbody>
<tr>
<td>Advanced FE</td>
<td>FT</td>
<td>Voc.</td>
<td>SD</td>
<td>MD</td>
<td>IB</td>
</tr>
<tr>
<td></td>
<td>SW</td>
<td>Voc.</td>
<td></td>
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<td></td>
<td>BR</td>
<td></td>
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<td></td>
<td>PT</td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>SC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Advanced FE</td>
<td>&quot;</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-Service</td>
<td>&quot;</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Economic</td>
<td>&quot;</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Abbreviations:  
SD = Single Discipline  
Voc. = Vocational  
MD = Multi Disciplinary  
IB = Instructor Based  
ID = Inter Disciplinary  
LB = Learner Centred
### R2.2 Research and Consultancy

<table>
<thead>
<tr>
<th>Category</th>
<th>No. of Projects</th>
<th>Sponsors/Clients</th>
<th>Finance</th>
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<td>Col. Public Sector</td>
<td>Private Sector</td>
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<td>Applied Research</td>
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<tr>
<td>Contract Research</td>
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<tr>
<td>Consultancy</td>
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<td>Commission</td>
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<td>Advisory Service</td>
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<tr>
<td>Analysing/Testing</td>
<td></td>
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</table>

### R2.3 Relative Importance

2.3.1 Within 2.1 =

2.3.2 Within 2.2 =

2.3.3 Between 2.1 and 2.2 =

Q3 Which client(s) and client groups do we serve and what are their relative importance to us?
### R3.1 Client(s) and Client Groups Served

<table>
<thead>
<tr>
<th>Service and Client</th>
<th>Courses</th>
<th>R and C</th>
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<tbody>
<tr>
<td></td>
<td>Student</td>
<td>Sponsor/Employer</td>
</tr>
<tr>
<td>Catchment</td>
<td>SL</td>
<td>M</td>
</tr>
<tr>
<td>Home County</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S.E. Wales and S.W. England</td>
<td></td>
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<tr>
<td>Rest of Wales</td>
<td></td>
<td></td>
</tr>
<tr>
<td>U.K.</td>
<td></td>
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<td>E.E.C.</td>
<td></td>
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<td>Africa</td>
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<td>Middle East</td>
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<tr>
<td>Far East</td>
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<td></td>
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<tr>
<td>U.S.A.</td>
<td></td>
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</tr>
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</table>

Abbreviations:  
- SL = School Leaver  
- M = Mature  
- G = Client Group

### R3.2 Relative Importance

3.2.1 Courses =

3.2.2 Research and Consultancy =
1.2 Competitive Position

Q1 Who are our chief competitors?

R1.1 Courses

<table>
<thead>
<tr>
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<th>Education Sector</th>
<th>Commercial</th>
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<tr>
<td>Advanced FE</td>
<td>C of FE</td>
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<td>Non-Advanced FE</td>
<td>IHE's</td>
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<tr>
<td>Economic</td>
<td>Polys.</td>
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<tr>
<td>In-Service</td>
<td>Univ.</td>
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R1.2 Research and Consultancy

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<th>Commercial</th>
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<td>Public</td>
<td>University</td>
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<td>Pure Research</td>
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<td>Applied Research</td>
<td></td>
<td></td>
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<tr>
<td>etc.</td>
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</table>

Q2 What are our strengths and weaknesses relative to our competitors?

R2

<table>
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<tr>
<th>Competitor</th>
<th>Education Sector</th>
<th>Commercial</th>
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<td>Activity &amp; Category</td>
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<td>etc.</td>
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<td>R and C:</td>
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<td>Questions</td>
<td>Graded Responses</td>
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<tr>
<td>--------------------------------------------------------------------------</td>
<td>-------------------</td>
<td></td>
</tr>
<tr>
<td>Q1 How good is the service we provide students?</td>
<td>Poor</td>
<td></td>
</tr>
<tr>
<td>Q2 How good is the service given to employers, sponsors and clients?</td>
<td>Poor</td>
<td></td>
</tr>
<tr>
<td>Q3 How good a deal do the Board of Governors and the County Council get from us?</td>
<td>Poor</td>
<td></td>
</tr>
<tr>
<td>Q4 How innovative/conservative are we?</td>
<td>Very Con.</td>
<td></td>
</tr>
<tr>
<td>Q5 How strong a corporate identity do we possess?</td>
<td>Very Weak</td>
<td></td>
</tr>
<tr>
<td>Q6 How supportive and considerate are management to staff?</td>
<td>Not at all</td>
<td></td>
</tr>
<tr>
<td>Q7 How considerate and supportive are staff to each other?</td>
<td>Not at all</td>
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<td>Q8 etc.</td>
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### Section 2: External Environment

#### 2.1 Home County

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<th>Response (✓)</th>
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<td>Q1 How are we regarded by the following:</td>
<td>High Regard</td>
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<tr>
<td>Leader of the County Council</td>
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<tr>
<td>Chairman of Governors</td>
<td></td>
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<tr>
<td>Headmasters and their staffs</td>
<td></td>
</tr>
<tr>
<td>Principals and their staffs</td>
<td></td>
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<tr>
<td>Careers Advisers</td>
<td></td>
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<tr>
<td>Industrial development offices</td>
<td></td>
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<tr>
<td>Employers and their Training Officers</td>
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<tr>
<td>Clients and Sponsors</td>
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</table>

<table>
<thead>
<tr>
<th>Q2 How are the above reflected in the level of support given to the college:</th>
<th>Strong</th>
<th>Nil</th>
<th>Strong</th>
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<tr>
<td>Resourcing</td>
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<td>Course Development</td>
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<tr>
<td>Enrolments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>R &amp; C Activity</td>
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</table>
### 2.2 Wales

#### Question

<table>
<thead>
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<th>Q1</th>
<th>How are we regarded by:</th>
<th>Response (✓)</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td>High Regard</td>
</tr>
<tr>
<td>WJEC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HMI, RSI and Welsh Education Office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University of Wales</td>
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<td></td>
</tr>
<tr>
<td>Other HE Institutions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>BBC/HTV/S4C/Press</td>
<td></td>
<td></td>
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<tr>
<td>Welsh Arts Council/Design Council</td>
<td></td>
<td></td>
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<tr>
<td>MSC and Training Boards</td>
<td></td>
<td></td>
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<tr>
<td>TUC</td>
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</table>

#### Q2

How are the above reflected in:

<table>
<thead>
<tr>
<th>Strong +</th>
<th>Nil</th>
<th>Strong -</th>
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</thead>
<tbody>
<tr>
<td>Enrolments</td>
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<tr>
<td>Course Development</td>
<td></td>
<td></td>
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<tr>
<td>Course Distribution</td>
<td></td>
<td></td>
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<tr>
<td>Employment of graduates, diplomas</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commissions, Exhibitions, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research and Consultancy Activity</td>
<td></td>
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</tr>
</tbody>
</table>
### 2.3 UK

**Question**

**Q1** How are we regarded by the following:

<table>
<thead>
<tr>
<th>CNAA</th>
<th>BEC, TEC, DATEC</th>
<th>Other HE Institutions</th>
<th>Professional Bodies</th>
<th>Educational agencies and fraternities</th>
<th>Industrial, Commercial and Artistic agencies and fraternities</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

**Response (✓)**

<table>
<thead>
<tr>
<th>High Regard</th>
<th>No Regard</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

**Q2** How are the above reflected in:

<table>
<thead>
<tr>
<th>Enrolments</th>
<th>Course Development</th>
<th>Course Distribution</th>
<th>Employment of graduates/diplomats</th>
<th>Commissions, Exhibitions, etc.</th>
<th>R &amp; C Activity</th>
<th>Involvement of staff on national committees, etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>-</td>
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</tbody>
</table>

783.
Section 3: Current Strategy

Q1 What have been the main objectives of our strategy over the past three years and how successful have we been in achieving them?

R1 Services and Resourcing

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Success (✓)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total</td>
</tr>
<tr>
<td></td>
<td>Success</td>
</tr>
<tr>
<td>Course Provision &amp; Development</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>n</td>
<td></td>
</tr>
<tr>
<td>Research &amp; Consultancy</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>n</td>
<td></td>
</tr>
<tr>
<td>Resourcing</td>
<td></td>
</tr>
<tr>
<td>Academic Staff</td>
<td></td>
</tr>
<tr>
<td>Non-Academic Staff (Admin.)</td>
<td></td>
</tr>
<tr>
<td>Non-Academic Staff (Tech.)</td>
<td></td>
</tr>
<tr>
<td>Equipment and Materials</td>
<td></td>
</tr>
<tr>
<td>Accommodation</td>
<td></td>
</tr>
<tr>
<td>Library</td>
<td></td>
</tr>
<tr>
<td>Media Resources</td>
<td></td>
</tr>
<tr>
<td>Marketing and Promotion</td>
<td></td>
</tr>
</tbody>
</table>
Q2 How do we account for the degree of success or failure achieved?

R2

2.1 Courses.

2.2 Research and Consultancy.

2.3 Resourcing.

Q3 What modifications, if any, have been made to our strategy in view of R1 and R2 above?

R3

3.1 Courses.

3.2 Research and Consultancy.

3.3 Resourcing.

Section 4: Future Strategy

Q Assuming (a) an intensification of competition from both sides of the binary line, and (b) the need to achieve a significant improvement in SSR's with the introduction of Unit Costing, what is your preferred strategy for each of the following scenarios:

SCENARIO 1: MAINTENANCE OF CURRENT FUNDING IN REAL TERMS, APPROVAL OF PHASE 1 OF DEVELOPMENT ON 'C' SITE AND COMPLETION OF SUGGESTED PROGRAMME ON 'A' SITE.

SCENARIO 2: REDUCTION OF CURRENT FUNDING BY 5% IN REAL TERMS WITH REJECTION OF DEVELOPMENT ON 'C' SITE AND COMPLETION OF SUGGESTED PROGRAMME ON 'A' SITE.

SCENARIO 3: REDUCTION OF CURRENT FUNDING BY 8% IN REAL TERMS WITH NO DEVELOPMENTS ON 'C' AND 'A' SITES.

R

<table>
<thead>
<tr>
<th>Scenario</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Services and Resourcing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Courses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research and Consultancy</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resourcing</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Section 5: Systems Audit

5.1 College Management

<table>
<thead>
<tr>
<th>Question</th>
<th>Response (/)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1 How much agreement is there among the following of their roles and relationships?</td>
<td></td>
</tr>
<tr>
<td>Senior Management</td>
<td></td>
</tr>
<tr>
<td>Deans and Heads of School</td>
<td></td>
</tr>
</tbody>
</table>

| Q2 How well known/understood are the above by:                          |              |
| Academic Staff                                                          |              |
| Non-academic Staff                                                      |              |

5.2 Academic Board and its Sub-Committees

<table>
<thead>
<tr>
<th>Question</th>
<th>Response (/)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q To what extent are the following operating as set out in the General Handbook?</td>
<td></td>
</tr>
<tr>
<td>Academic Board</td>
<td></td>
</tr>
<tr>
<td>Faculty Boards</td>
<td></td>
</tr>
<tr>
<td>Planning &amp; Resourcing Sub.</td>
<td></td>
</tr>
<tr>
<td>Course Admin. Sub.</td>
<td></td>
</tr>
<tr>
<td>Staff Dev. &amp; Research Sub.</td>
<td></td>
</tr>
<tr>
<td>Planning Cycle Time Table</td>
<td></td>
</tr>
</tbody>
</table>
5.3 **Support Services**

Q: How satisfied are users with the following services?  

<table>
<thead>
<tr>
<th>Fully</th>
<th>Not at all</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Library</td>
<td></td>
</tr>
<tr>
<td>Media Resources</td>
<td></td>
</tr>
<tr>
<td>Reprographic</td>
<td></td>
</tr>
<tr>
<td>Technician</td>
<td></td>
</tr>
<tr>
<td>Admin.</td>
<td></td>
</tr>
<tr>
<td>Maintenance</td>
<td></td>
</tr>
<tr>
<td>Catering</td>
<td></td>
</tr>
<tr>
<td>Student Support</td>
<td></td>
</tr>
</tbody>
</table>

5.4 **Board of Governors**

Q1: To what extent do the Governors influence strategic decision making?  

<table>
<thead>
<tr>
<th>Totally</th>
<th>Not at all</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

Q2: To what extent do Governors interfere in the day-to-day running of the college?  

<table>
<thead>
<tr>
<th>Totally</th>
<th>Not at all</th>
</tr>
</thead>
</table>
APPENDIX J
PERFORMANCE INDICATORS
EXPLANATORY PAPER PREPARED BY THE ASSISTANT PRINCIPAL

1. Importance of Performance Indicators

1.1 External Pressures

Pressure is growing from a number of directions for colleges to pay increased attention to key resource-utilisation performance indicators. The major sources of pressure are:

1.1.1 Local Government Audit Service

The above has recently completed a major study of the management of FE colleges which is currently being supplemented by a study of a selected group of polytechnics. As a result of the former a manual has been produced for District Auditors in the form of a GUIDE TO THE MEASUREMENT OF RESOURCE EFFICIENCY. This is proving to be a very influential document and aims to achieve a major improvement in the degree of accountability applied by local authorities to colleges.

1.1.2 Allocation of Capped Pool for Wales

As part of its policy to control public expenditure the Government has in recent years reduced the finance available to both the University and Maintained Sectors of Higher Education (i.e. has attacked both sides of the 'binary line'). The means adopted to curb the Maintained Sector has been to cap the 'pool' which finances advanced (poolable) courses. Indeed, the Government has gone further by reducing in real terms the quantum which is to be made available to the Maintained Sector in future.

It follows, therefore, that a reduced pool has to be shared among competing claimants who are expected to improve resource utilisation performance.

The pool allocation is made in two stages:

Stage 1: COMMON FUNDING which is based on student unit costs derived from average staff salaries and IMPUTED STUDENT STAFF RATIO.

Stage 2: FURTHER FUNDING which is the sum remaining after the Common Funding
Allocation and which is intended to provide some breathing space or leeway for high cost colleges to adjust to notional unit cost/SSR norms in the early years of the operation of the new system.

[For further details of the above, with particular reference to the Student-Staff Ratio, see SECTION 6 below].

1.1.3 Welsh National Advisory Board for Higher Education

The above is now in operation and will soon be involved in advising the Secretary of State on the Pool Allocation for 1984/85 and on the distribution of provision between Higher Education institutions in Wales (or put more bluntly RATIONALISATION OF PROVISION) involving not only courses but complete areas of work.

One of the major considerations (probably the major criterion) in assessing the competitive position of a college will be its resource utilisation performance derived directly or indirectly from the Student-Staff Ratio.

Hopefully consideration will be given to quality of performance (i.e. effectiveness), track record, regional role, etc. but such considerations are likely to be treated seriously only if 'acceptable' resource utilisation norms have been achieved.

1.2 Internal Pressures

1.2.1 College Corporate Strategy

The college is committed to improving the Student Staff Ratio across the college during the current session (see section 3.2.5, page 28 of the Main Document submitted to the CNAA in March, 1982).

1.2.2 Prudence

In view of the pressures developing in the external environment, it would be foolish to adopt a policy of 'wait and see' and respond only when a crisis compels drastic remedial action. We need to have a full knowledge of our own relative position in order to take remedial action in anticipation of difficulties which might arise.

There is also our standing with the Local Authority. We are currently
allowed a high degree of autonomy in the management of resources, on the assumption that we have a good track record. Failure to maintain that record would encourage a much stronger interventionist approach from the Authority.

2. Indicators to be used by District Auditors

The following are the portfolio of indicators which District Auditors are to apply to colleges and departments/faculties within colleges. They may be divided into two groups:

2.1 SSR Related

STUDENT STAFF RATIO (SSR)
AVERAGE CLASS SIZE (ACS)
AVERAGE LECTURER HOURS (ALH)
AVERAGE STUDENT HOURS (ASH)

Each of the above is explained and examined in the main body of this paper.

2.2 Others

TEACHER CONTACT RATIO (TCR)

RETENTION RATES:
   a) Full-Time Student Retention Rate (FTRR)
   b) Part-Time Student Retention Rate (PTRR)
   c) Overall Student Retention Rate (OVRR)

ACADEMIC/ADMINISTRATION:
   a) Academic/Administration Hours Balance (AAHB)
   b) Academic/Administration Cost Balance (AACB)

A short description of the above is provided in APPENDIX A.

3. Student Staff Ratio (Pooling Committee Model: Annual July Return)

3.1 The Ratio

SSR = \frac{\text{Number of full-time equivalent students}}{\text{Number of full-time equivalent staff}} = \frac{\text{FTE Students}}{\text{FTE Staff}}

3.2 Full-Time Equivalent Students

FTE Students = (a) Number of students enrolled on 3 term course
  +
  (b) 0.9 \times \text{Number of students enrolled on a Sandwich Course} +
(c) \(1.1 \times\) Number of Student hours provided on short courses
Number of hours a full-time student on a 3 term course
is in contact with a teacher

+ 

(d) Number of student hours provided on other courses
Number of hours a full-time student on a 3 term
course is in contact with a teacher

3.3 Full-Time Equivalent Staff

\[
\text{FTE Staff} = (a) \text{Number of full-time staff}\ast \\
+ \\
(b) \text{Number of part-time hours supplied in a year on Category} \\
\text{I, II and III courses} \times 18 \times \text{Number of weeks in a teaching year} \\
+ \\
(c) \text{Number of part-time hours supplied in a year on Category} \\
\text{IV Courses} \times 21 \times \text{Number of weeks in a teaching year}
\]

3.4 SSR and Course Category

Separate SSR's are calculated for Poolable and Non-Poolable courses.

3.5 SSR and Faculty Group

Separate SSR's are calculated for:

GROUP 1

(Original suggested norm = 7.5 to 8.5)
Faculties of Industrial Engineering and Science
and Information Science and Systems Technology
fall into this category.

GROUP 2

(Original suggested norm = 9.2 to 10.2)
Faculties of Education and Combined Studies
and Management and Administration fall into
this category.

*Adjustments may be made to reduce gross figure for full-time staff
establishment by:

(i) excluding Directorate (= Senior Management);

(ii) deducting administrative component of hybrid-posts e.g. library,
computer, media resources and student support services. Please note,
however, that staff absent on prolonged illness or on secondment are included.
GROUP 3 (Art and Design) into which Faculty of Art
(Original suggested norm and Design naturally falls.
= 7.5 to 8.5)

3.6 Allocation of Students between Faculty Groups
The convention adopted is that students should follow lecturers - i.e.
students are allocated to faculties in proportion to taught student hours
provided by lecturing staff. It follows that if there are 24 students on
Course ACCA Level IA who are taught for a total of 16,800 hours (24 x 20
hbw x 35 weeks) during the year, of which 4,200 hours (24 x 5 hbw x 35
weeks) are provided by staff from the Faculty of Industrial Engineering
and Science, 18 students will be allocated to the Faculty of Management
and Administration and 6 students to the Faculty of Industrial Engineering
and Science.

4. Factors which lie behind the SSR Outcome

4.1 Pooling Committee's Formula

$$SSR = \frac{ACS \times ALH}{ASH}$$

where ACS = AVERAGE CLASS SIZE

\[
ACS = \frac{\text{Total taught student hours}}{\text{Total Lecturer class contact hours}}
\]

ALH = AVERAGE LECTURER CLASS CONTACT HOURS

\[
ALH = \frac{\text{Total Lecturer class contact hours}}{\text{Number of FTE lecturers x number of weeks in a year}}
\]

and ASH = AVERAGE STUDENT HOURS

\[
ASH = \frac{\text{Number of taught student hours received by full-time students}}{\text{Number of full-time students (3 terms) enrolled and still attending at 1st November x number of weeks in a year}}
\]

4.2 Significance of Each Factor and Contribution towards improving
the SSR

4.2.1 Numerator and Denominator
To improve the SSR we should aim at increasing ACS and ALH and reducing
ASH.
4.2.2 ACS

This ratio normalises all classes to one hour's duration and points up the difference between CLASS-SIZE and COURSE SIZE (number of enrolments).

The factors which influence ACS are:

a) Enrolments (to established and new courses);
b) Range of options on offer;
c) Amount of small group activity (eg. for laboratories, workshops, etc.);
d) Tutorial support provided, including dissertation supervision and teaching practice supervision;
e) Teaching levels (eg. team teaching).

Scope for changing any of the above, other than (a), may be limited by approved course structures and curricula. Even so each should be given careful scrutiny to see if improvements can be achieved by rationalising options, reducing frequency of tutorials, etc.

The most obvious target is enrolments with marketing effort applied to promoting courses producing healthy enrolments. By the same token there should be increased readiness to discontinue courses with declining enrolments.

4.2.3 ALH

This ratio points up the proportion of contracted conditions of service hours which lecturers devote to teaching.

The numerator will be affected by:

a) Hours of remission for administrative, research, etc. allocated to staff;
b) Length of courses (eg. sandwich normally 2 terms);
c) Number of short courses (eg. to compensate for light timetable, especially in 3rd term);
d) Distribution of hours between full-time and part-time staff;
e) Degree of averaging which staff are prepared to accept.
The denominator will be affected by:

a) Full-time establishment;
b) Part-time appointments;
c) Distribution of remission (where remission is top-sliced for lecturers performing hybrid role, an adjustment may be made to the full-time lecturer establishment - SEE 3.3(a) above).

Improvements to the numerator can be achieved by:

a) Reducing remission allocated to the faculties (can be achieved by reducing quantum or changing distribution between top-slicing and allocation to faculties - latter will affect denominator as well as numerator);
b) Reducing college financed research activity or financing existing level from external sources;
c) Increasing proportion of 3 term courses;
d) Increasing short-course activity to top-up light timetables (especially in third term for staff mainly involved with sandwich courses);
e) Ensuring that part-time lecturing hours could not be undertaken by full-time staff.

Improvements to the denominator can be achieved by:

a) Improving match between the demand for taught lecturer hours and supply available (quantity and kind);
b) Tightening control over part-time appointments;
c) Increasing proportion of remission which is 'top-sliced' (see suggestion (a) for improving numerator).

The Scope for improving the ALH is limited by:

a) Conditions of Service Agreement (it is worth noting perhaps that more than one LEA has recently attempted to take matters into its own hands by sacking staff enblock and reappointing them on less favourable conditions of service, imposed unilaterally);
b) Amount of averaging which is tolerated.
4.2.4 ASH

This ratio is regarded as a measure of the amount of teaching which a faculty/college considers it necessary to give a full-time student and an aid in identifying possible instances of over-teaching.

The different SSR norms applied by the Pooling Committee to laboratory, classroom and studio-based courses reflects a recognition of the different levels of teaching appropriate to full-time courses in different Faculty Groups. Even so there is always scope for a critical examination of taught student hours and a reduction in ASH is one obvious means of improving the SSR.

5. Value and Importance of the SSR

5.1 No ratio, including the SSR, should be regarded as an absolute index of faculty/college performance. It follows that the SSR should be regarded as an important starting point for discussions other than an end in itself.

5.2 The SSR is best used for comparative purposes - i.e. over time within a faculty/college and at any one time between a faculty/college and other comparable faculties/college.

5.3 It is intended that the SSR should be used for faculties/departments and colleges. It becomes less useful further down the scale for schools and courses, at which levels Average Class Size provides a more appropriate indicator.

5.4 The SSR is an index of the general state of a college's operation in terms of non-financial resources and outputs. Since academic staff costs are such a significant proportion of total costs, however, they can be taken as a proxy for total costs, and studies undertaken by the Pooling Committee and DES have shown that expenditure other than on academic staff tend to vary in direct proportion to academic staffing costs. It is for this reason that SSR's play such an important role in unit costing and the allocation of the capped pool. SEE SECTION 6 below.
5.5 The great value of the SSR lies in helping LEA, Principal and Deans to decide how much the college and faculties must change in order to occupy a predetermined position in national patterns - especially when national patterns form the basis for allocations to LEA's/colleges from the capped pool.

6. Student Staff Ratio (Unit Costing Model: FESR November Return)

6.1 The Ratio
Calculated as for 3.1 above.

6.2 FTE Students
Based on student numbers (rather than hours). The numbers currently used are those for the annual FESR Return weighted as follows:

<table>
<thead>
<tr>
<th>Mode of Study</th>
<th>Conversion Factor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-Time</td>
<td>1</td>
</tr>
<tr>
<td>Sandwich</td>
<td>0.9</td>
</tr>
<tr>
<td>Part-Time day</td>
<td>0.35</td>
</tr>
<tr>
<td>Evening only</td>
<td>0.15</td>
</tr>
<tr>
<td>Short Full-Time</td>
<td>1</td>
</tr>
</tbody>
</table>

[Note: there is a strong body of opinion, led by staff at Coombe Lodge, which suggests that the FTE student calculation should be based on a head count rather than hours, with nationally agreed conversion factors applied].

6.3 FTE Staff
Calculated as for 3.3 above.

6.4 Use of SSR for 'Common Funding'

6.4.1 Stages involved in calculation of Common Funding

a) NUMBER OF STUDENTS: Derived from FESR return for Groups 1, 2 and Art and Design.

b) IMPUTED SSR: Has two components:

National average SSR for past year(s)

plus

x% enhancement (which must be sufficiently high to ensure that no low cost college is owed money from the pool).
c) NOTIONAL STAFFING: FESR Student Numbers
   Imputed SSR

d) COMMON FUNDING: Salaries (current national average) of
   Notional Staff
   plus
   related notional average of costs of equipment,
   supplies, services and non-academic staff.

6.4.2 Implications of above for Colleges
a) Colleges with SSR's close to Imputed SSR's will receive a high
   proportion of budgetary requirements from the Pool.

b) Colleges with SSR's below Imputed SSR's will receive allocations
   short of the income needed to maintain historical levels of expenditure.

6.5 SSR and 'Further Funding'

Since Further Funding represents the sum remaining after the Common Funding
allocation, its size will depend on:

a) The quantum size of the capped pool.

b) Level of enhancement set for the Imputed SSR used for Common Funding.

Given a fixed pool, the higher the enhancement of SSR the greater the sum
available for Further Funding and the less dramatic the impact on high cost
colleges. The lower the enhancement the smaller the sum available for
Further Funding and the more dramatic the impact on high cost colleges.

7. The Establishment Calculation and the SSR

7.1 The Burnham System for Calculating the Staffing Establishment

Key elements in the Establishment Calculation are:

7.1.1 Volume of work as measured by class contact hours of staff
   for Term 1.

7.1.2 Approved class contact hours for each grade of lecturer
   which form part of the Conditions of Service Agreement reached between the
   LEA and NATFHE (within the limits set down in the National Agreement),

7.1.3 Category of work - i.e. I, II/III, IV or V.
7.1.4 Proportion of posts, within the range specified by theBurnham Committee, adopted by the LEA (following negotiations with NATFHE). Gwent have adopted the mid point within each band.

7.1.5 Allocation of SL/L2 posts to SL and L2 grades. The ratio currently applied within the college is 2SL to 1L2.

7.2 Burnham System as operated at the College

See Appendix B.

7.3 Means of Maximising Establishment under the Burnham System

a) Enrol as many students as possible (irrespective of enrolments to each course).

b) Teach the students (or at least have them attend the college in a structured situation) for as many hours as possible.

c) Recruit students to courses at as high an academic level as possible. The higher the level of work the greater the number of higher level posts. At the higher levels of work there is almost automatic progression from the L2 to SL salary scale. There is also the fact that since higher grades teach fewer hours per week, the greater the proportion of higher grades the more staff will be required.

d) Teach students in classes which are as small as possible.

7.4 Rules for Success in Raising SSR

a) Enrol as many students as possible.

b) Teach full-time students in structured timetabled situations for as few hours as possible.

c) Teach students in as large a class size as possible.

d) Require lecturers to provide as much class contact as is specified in their Conditions of Service.

7.5 Conflict

It is evident that SSR and Burnham pull in different directions. Some colleges have attempted, with mixed success, to derive an establishment figure from FTE students (actual or projected) and prescribed SSR's. There
is no doubt that there is widespread criticism of the Burnham system (includes staff at Coombe Lodge, as well as District Audit) and that attempts will be made to modify the system and give the SSR a more prominent role.
APPENDIX A

DISTRICT AUDIT RATIOS

1. Teacher Contact Ratio (TCR)

1.1 Calculation

TCR = Actual hours supplied by FT staff under Conditions of Service Contract
   Contracted hours for the year

Above may be calculated in two versions:

Version 1 without taking account of remission;

Version 2 taking account of remission.

1.2 Significance

Ratio indicates extent to which FT staff are meeting their locally agreed
Conditions of Service in relation to class contact and of the effect of
remission.

2. Retention Rates

2.1 Calculation

RR = Number of students who complete a course
    Number of 'true' enrolments

May be calculated in three versions:

FTRR: FULL-TIME STUDENT RETENTION RATE;

PTRR: PART-TIME STUDENT RETENTION RATE;

OURR: OVERALL STUDENT RETENTION RATE.

2.2 Significance

Rough and ready indicator of consumer satisfaction. Continuing attendance
seen as response to attractiveness with which the course is presented.

Ratio viewed as a measure of each college's ability to:

a) recruit students with the ability and motivation to complete a course;

and

b) employ staff who present courses in a manner which retains student
   interest.

3. Academic/Administration Balances

3.1 Calculation

May take one of two forms:
AAHB = ACADEMIC/ADMINISTRATION HOURS BALANCE

= Annual attended hours of academic staff
  Annual attended hours of academic, technician, professional, clerical and administrative staff.

AACB = ACADEMIC/ADMINISTRATION COSTS BALANCE

= Annual Cost of academic staff
  Annual cost of academic, technician, professional, clerical and administrative staff.

of the two AAHB is most favoured by District Audit.

3.2 Significance

Useful for making comparisons between colleges. Differences most likely to arise as a result of:

a) Allocation of duties between academic and non-academic staff.

b) Relative standards of efficiency.

c) Allocation of administrative duties between central education authority administrative staff and their colleges' administrative staff.

4. Examination Results

Regarded by District Audit as an important measure of output. They would expect annual statistics to be available showing:

a) Number of entrants per examination.

b) Number of passes per examination.

c) Comparison of current pass rates with previous years.

d) Comparison of current pass rates with national averages.
APPENDIX B

FRAMEWORK FOR CALCULATING COLLEGE ESTABLISHMENTS

Assuming that 'x' hours = sum of the average weekly class contact hours taught by each lecturer grade, the number of staff for each grade will be calculated as follows:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Category of Work</th>
<th>Number of Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>PL</td>
<td>I</td>
<td>(0.25 \times x) / 16</td>
</tr>
<tr>
<td></td>
<td>II/III</td>
<td>(0.175 \times x) / 16</td>
</tr>
<tr>
<td></td>
<td>IV</td>
<td>Nil</td>
</tr>
<tr>
<td>SL/L2</td>
<td>I</td>
<td>(0.75 \times x) / 18</td>
</tr>
<tr>
<td></td>
<td>II/III</td>
<td>(0.825 \times x) / 18</td>
</tr>
<tr>
<td></td>
<td>IV</td>
<td>Nil</td>
</tr>
<tr>
<td>SL</td>
<td>IV</td>
<td>(0.025 \times x) / 18</td>
</tr>
<tr>
<td>L2</td>
<td>IV</td>
<td>(0.525 \times x) / 18</td>
</tr>
<tr>
<td>L1</td>
<td>IV</td>
<td>(0.45 \times x) / 21</td>
</tr>
</tbody>
</table>
APPENDIX K

NEW GUIDELINES FOR THE PRESENTATION OF FACULTY STRATEGIES

1. REVIEW

1.1 General Statement

1.2 Review of Strategy

1.2.1 Extent to which Faculty is 'on course' in terms of strategic objectives

1.2.2 Internal and External Environments

a) Success in exploiting strengths and correcting weaknesses.
b) Success in creating and exploiting opportunities and combating threats.

1.2.3 Achievement of target outcomes

1.3 Performance Indicators for Past Session

1.3.1 Student Performance

a) Examination results.
b) Fall-out.
c) Employment.

1.3.2 Course Development

a) Developments undertaken.
b) Internal validation.
c) External validation.

1.3.3 Staff Development and Research

a) Activity.
b) Evaluation according to criteria in PC3.1, 3.2 and 3.3.

1.3.4 Applied Research and Consultancy

a) Enquiries.
b) Projects undertaken.
c) Projects completed.
d) Client response.
e) Income.
1.3.5 Goodwill

a) Recruitment in relation to targets.
b) Evaluation of marketing and promotional effort.
c) Meetings with HMI and outcomes.
d) Exhibitions, Shows, etc.

1.4 Resourcing

1.4.1 Academic Staff

a) Full-time.
b) Visiting Teachers.
c) SSR.

1.4.2 Technician and Administrative Support

1.4.3 Space

1.4.4 Revenue Expenditure

1.4.5 Capital Expenditure

1.4.6 Income Generated

2. POSITION STATEMENT

2.1 Internal Environment

2.1.1 Strengths

2.1.2 Weaknesses

2.2 External Environment

2.2.1 Opportunities

2.2.2 Threats

3. ISSUE ANALYSIS

Identification and analysis of key issues likely to preoccupy the faculty over the next 3-5 years - i.e. those which matter most to the future of the faculty and the college.

4. STRATEGY FOR NEXT THREE YEARS

4.1 Objectives

4.2 Options and Constraints

4.3 Preferred Strategy

4.3.1 Policies
4.3.2 Programmes and Targets

a) Courses.
b) Research.
c) Applied Research and Consultancy.
d) Staff Development.
e) Marketing and Promotion.
f) Goodwill.

4.4 Resource Utilisation

4.4.1 Needs

4.4.2 Means

4.4.3 Performance - notably SSR
APPENDIX L

OBSERVATIONS SUBMITTED TO WAB ON STUDENT NUMBERS ALLOCATED TO THE COLLEGE OF HIGHER EDUCATION

1. The Global Target and its Distribution

We would wish to offer comments on three aspects of the above.

1.1 Student FTE and the Unit of Resource

We understand that the target figure of 13,255 FTE was fixed at a level designed to protect the unit of resource from falling too rapidly over a short period of time. Put another way, the claims made by the colleges and institutes of higher education that they were capable of significant increases in productivity without threatening the quality of service was not accepted. The evidence indicates that the college is on target in achieving a substantial improvement in its resource utilisation performance while at the same time maintaining a high quality service to students and that a similar advance is intended and achievable for the session 1984/85.

In the light of the recent revision by the DES of its demographic projections and the high level of demand for places currently being experienced, we believe that the figure 13,255 should not be fixed as a rigid ceiling but should be revised upward in order to ensure that no persons qualified to enter higher education are denied access. Similarly colleges and institutes of higher education should not be denied the chance of attaining the levels of productivity achieved by the polytechnics which are well within their capability in the near future. It must be remembered that the colleges and institutes are relatively new creations. They should be given the same opportunity as was given the polytechnics to improve efficiency within a reasonable time scale.

1.2 Distribution between the Polytechnics and Others

It is clear from the projections for 1985/86 that the polytechnic is the favoured institution, and that this bias could be defended on grounds of quality and efficiency.
If, however, the Polytechnic of Wales is currently operating at or near optimum capacity and minimum unit costs, there is a danger that it will require additional resources, which in the short run might raise its costs, at a time when the colleges could provide the additional capacity while reducing their unit costs. As long as quality can be matched, therefore, and it has been the policy of the college to develop a high quality portfolio of courses, the logic of the current situation would seem to require the exploitation of the capacity outside the Polytechnic of Wales.

1.3 Criteria
These appear to us to be entirely reasonable and we welcome in particular the emphasis placed on the part-time provision and recognition of the need for a wide distribution of Higher Education provision across the Principality.

2. The Statistical Base
The use of ACES, as the Welsh Office has confirmed, has understated the position for the college. It would appear, therefore, that the projections should be revised on the basis of FESR statistics for 1983/84. The impact on individual programme areas, in which the ACES/FESR discrepancy is significant, is described below. Attention is also drawn to the courses coming on stream in 1984/85 excluded from the 1985/86 projections.

3. Programme Areas
Attention will be confined to those programmes which are a matter of concern.

I) Initial Teacher Training
We have assumed that the figure 110 relates to output (the implications if it is not are extremely serious and will require urgent discussion) and the figure 190 relates to years 1 and 2 of the Dip.HE leading to B.Ed. Whilst an output figure of 110 is realistic for 1985/86 we are confident that the target figure of 135 (85 Primary and 50 Secondary) allocated to the college by the Secretary of State can be achieved in 1986/87, as all
the places identified for the 3D Design area (PGCE and Special B.Ed.) are taken up.

II) In-Service Training
The college is recognised as one of the major centres in Wales for in-service training and would expect recognition to be given to this fact in its allocation. A realistic assessment of the requirements for 1985/86 is 150.

III) Ancillary Health
The college proposals for 1984/85 were realistic and imply a further increase for 1985/86 to c.20 FTE's. This is an area identified by WAB as a priority area and is one in which the college has been developing strong co-operative relationships with other bodies on the pattern of the Diploma in Nursing, run jointly with the 'S' Institute.

IV) Chemical Physical Science and Engineering
Given the priority rightly attached by WAB to the part-time provision and the fact that the college is a centre for the whole of South Wales in this area, we believe that an FTE figure of 12 would meet the needs of students and industry in the region. The college is the only available centre for Grad. RSC Part II in South Wales and it is educationally unsound to offer Part II without Part I.

V) Civil Engineering and Building
Requires upward revision in the light of a 20% discrepancy between ACES and FESR figures.

VI) Electrical and Electronic Engineering
The figures projected for 1985/86 are seriously understated and need major upward revision in the light of the following:

a) The ACES underestimates recruitment in 1983/84 by 16% and important courses, running for less than the complete session and starting after 1st November, are excluded from FESR (regarded as the more appropriate statistical base).
b) The standing achieved by the college as a centre of excellence in this area. It has the only degree outside the polytechnic, recently approved after stringent evaluation by CNAA, and the development has enjoyed the full support of the Secretary of State for Wales.

c) The degree will come on stream in 1984/85, not in 1985/86, and a minimum entry of 30 per annum is required to create a viable honours group.

d) The college has been encouraged to make resources available for additional advanced provision for this area in order to meet the needs of industry, with which the college has a close working relationship. Indeed the college is regarded by the County Council and the Welsh Office as being a crucial part of the educational and economic infrastructure of the area and a major influence in attracting high technology industry to the County.

It follows from the above that in terms of economy, quality and the acute needs of the region for qualified manpower in high technology industries the failure to make a major upward revision of the 1985/86 target figures would have very damaging repercussions.

VII) Mechanical, Production, Aeronautical and General Engineering

Clarification of the position of Metallurgical Studies would be welcomed in view of the importance of the college as the only centre of its kind for a radius of some 80 miles. While the numbers are small it should be given programme recognition.

XIII) Management and Business Studies

The figures projected for 1985/86 are seriously understated and need major upward revision in the light of the following:

a) The ACES figures, compared with FESR, understate recruitment in 1983/84 by 11%.

b) The figures fail to take account of important developments in the pipeline, e.g. postgraduate programme consisting of a Research Diploma leading to CNAA registration for M.Phil/Ph.D degree recently given approval
by the WJEC for additional intakes, and the impact of a dramatic increase in enrolments in HNC Business Studies on future post-HNC professional studies.

c) The standing achieved by the college as a centre of excellence in this area, of which the development of the post-graduate programme is but one indicator.

d) The encouragement given by HMI to the college to expand its intake into HND Business Studies in recent years.

e) The regional importance of the college in providing full-time and part-time courses in Accountancy, notably for the ACCA, which has granted the college the distinction of conducting internal examinations up to the final stage.

XIV) Social Studies

Requires upward revision in the light of a 35% discrepancy between FESR and ACES.

XVI) Languages and Humanities

While the signals for this programme area, originating with national policy, are recognised, the validity of the projections suggested for 1985/86 are questioned on the following grounds:

a) The BA Combined Studies honours degree, which succeeds two years of Dip.HE, has a vocational orientation and divides into two streams, one having a Humanities focus and the other an Environmental Systems focus, with each sharing a common core. The former stream aims to orientate students towards occupations such as careers counselling, the probation service and public administration, while the latter looks to employment in recreation, leisure, water and forestry. The existence of two streams, each having limited options, makes necessary a minimum viable number of c.60 for the degree, with consequent enhancements of intake into the Dip.HE to allow for drop-out.

b) There is a very buoyant demand for the course, reflected in the 1983/84 intake of 63 into Dip.HE Year 1, and the fact that a similar
number of places has already been committed for 1984/85. It follows
that there are already twice as many 'D' students in the pipeline than
has been projected for 1985/86, and that the 'O' number is likely to be
significantly in excess of the 75 allocated. In order to avoid serious
discontinuity in 1985/86, therefore, both for students unable to secure
places at University, and for the college, it is suggested that adjust­ments
should be phased over a few years. Even so the minimum viable
group sizes require, on a continuing basis, an allocation in excess of
the figures suggested for 1985/86.

XVII) Art and Design
The figures allocated are a cause of grave concern given the following
considerations:

a) Included in the reduced 'D' total for 1985/86 are three degrees,
one of which qualifies for special consideration if the other two are
to enjoy equitable treatment. The degree in question is the BA Hons
3D Design, which is primarily intended as a course for prospective
teachers who will top-up the degree with a PGCE. The target PGCE
output is c.50 and recruitment into the BA degree needs to reflect this
target. The national standing of the degree has, of course, been
recognised in the Secretary of State's recent decision on the training
of teachers capable of teaching 3D Design through the medium of Welsh.

b) The remaining two degrees in Fine Art and Graphic Design, the
latter being the only degree of its kind in Wales, would suffer a double
jeopardy if no upward adjustment was made in the target figure for the
programme area as a whole. First they would need to surrender places
to 3D Design, which would only compound further the difficulties created
for achieving minimum viable groups. Both are multi-media degrees, making
increasing use of new technology, and require enhanced intakes to achieve
viable option groups.

c) The approved Higher Diplomas in Documentary Photography, Film and
Fashion which should be operating in 1985/86 will require an upward
revision of the WAB allocation of 55.

d) A substantial investment has already been made by the Authority, including the provision of a major new building, to support these and other courses in the programme area and there is a commitment to further investment which is intended to enhance both the quality and efficiency of provision, student allocations permitting.

4. General Conclusion

It has been the policy of the College Academic Board, over the past five years, supported by the Authority, to rationalise provision and concentrate effort and resources on establishing a high quality course portfolio relevant to identified local, regional and national needs. This has now been largely achieved but not without certain unanticipated time lags in bringing courses on stream, arising mainly out of the increasingly stringent procedures applied by validating bodies before final course approval. As a result student numbers have been below target in certain key areas.

The prospects of achieving these targets, if permitted, are very good and the enrolments for 1983/84 confirm the trend. It is crucial that having established a high reputation for quality and created the necessary capacity the college should now be permitted to continue the major improvement planned for resource utilisation performance.
The Committee's initial recommendations deal only with monitoring, and are:

(i) That monitoring of all courses should become standard college practice.

(ii) That a short formal, written report on every course by year should be compiled annually by the course teaching team, containing information acquired throughout the year, together with summary comments, these to meet the 'review' season of November.

(iii) These reports to incorporate the four 'viewpoints' of students, teaching staff, course managers, external examiners/employers. (The management viewpoint may have to be added later at Head of School or Dean level).

Statistical data on pass-rate, fall-out, etc., should continue to be entered on the appropriate PC forms.

(iv) Guidelines on assessment criteria should be drawn up for all course teams to ensure that assessment of courses is rigorous and comparable throughout the college. A format for reports to be established, perhaps one-sheet maximum. No individual student or member of staff to be mentioned by name.

(v) Data collection methods at course level should be left to the discretion of the course team. (Methods used should be indicated in the report).

(vi) All students on any course to be invited to contribute to the assessment exercise during and at the end of the year.

(vii) These reports to go to the Head of School in the first instance, and thereafter to go in full to the Faculty Board. The Head of School, and after him the Dean, to add the 'management' viewpoint if relevant,
and to indicate, where necessary, action can and will be taken, or might be taken, at School and Faculty level to remedy weaknesses/promote strengths/effect alterations.

(viii) The Faculty Boards to receive in full all reports on their courses, noting strengths and weaknesses, and deciding upon such action as is within their competence concerning these. All reports to be filed for reference. Cross-Faculty courses to go to both Deans and both Faculty Boards.

(ix) The Course Administration Committee, on behalf of the Academic Board, will then require to see:

a) only those reports which the Faculty Boards consider to include serious 'problems' which require action outside their competence;
b) a random sample of courses each year from each Faculty in a manageable number, chosen by the Committee as a means of 'checking the system'. In both instances all reports should come unsummarised.

('Outside their competence' may mean resource allocation or staff development. The Course Administration Committee is only concerned with these insofar as they influence the quality of courses. If it concludes that resources or staff development are the principal problem it will refer these matters on). The Course Administration Committee to report its findings and make recommendations to the Academic Board.

(x) All other course reports not submitted under the two above headings to the Course Administration Committee by the faculties should be briefly summarised in an annual 'Courses Report' from each faculty, to be included in the documents for the Autumn Review. As long as the full reports coming from the course teams to the Faculty Boards are kept on file, these summaries could be very brief.

The Course Administration Committee should continue to see all the statistical data on pass-rate, fall-out and enrolment as at present for all courses.
APPENDIX N

COURSE ADMINISTRATION SUB-COMMITTEE OF ACADEMIC BOARD

Report to Academic Board on the Faculty Responses to the Sub-Committee's Paper on Monitoring and Evaluation of Courses

At its meeting of 19th January, 1984, Academic Board asked for responses from faculties to the above named paper to be available in time for the Course Administration Sub-Committee to make its recommendations known for a special Academic Board meeting on 3rd May, 1984. As a result four faculties produced specific papers whilst the fifth submitted its own Faculty Board report relating to the matter.

The following observations are the outcome of the Sub-Committee's meeting of 4th April, 1984, and are based upon the report:

i) All faculties accept that monitoring of all courses should become standard college practice.

ii) Accordingly it is recommended that:

a) each course teaching team (identified and designated by the appropriate faculty) prepare annually a short formal written report on that course's operation;

b) these reports incorporate four (possibly more) viewpoints, i.e. teaching staff, students, external examiners and employers and the 'management' view;

c) an acceptable format be available (see appendix) but that this is not in any way prescriptive;

d) no individual student or member of staff be named in these reports;

e) the method of obtaining data for the reports be left to the course team as the best judges of suitability of method;

f) the students' contribution(s) be invited and take one of two forms:
   1) a written statement signed by at least two students in the course, or,

   2) a summary from verbal comments as recorded and endorsed by a staff member and countersigned by at least one student;
g) processing within the faculties be an individual faculty decision but that all completed reports be made available to relevant Faculty Boards (or their sub-committees);

h) the Course Administration Sub-Committee, on behalf of Academic Board, receive these reports which Faculty Boards decide to refer to it for whatever reason, together with a limited random sampling (two reports per faculty per session) as agreed by the sub-committee;

j) the above procedures be introduced throughout the college starting with session 1984/85.

iii) It will be seen that these procedures relate particularly to Monitoring of courses. Evaluation (which is seen as occurring intermittently and conveniently coinciding with course re-approvals) can to a considerable extent be based upon an appraisal of the monitoring reports for the intervening years, with discrete and identifiable additions.
APPENDIX O

OBSERVATIONS OF THE STAFF DEVELOPMENT AND RESEARCH SUB-COMMITTEE ON FACULTY STRATEGIES

5. FACULTY STRATEGIES

5.1 General Observations

The Committee were disappointed to find:

5.1.1 The differences in format adopted by each faculty. In view of the experience of the Academic Board with the preparation of documents for the CNAA visit, when the Assistant Principal was asked to redraft faculty strategies to achieve greater compatibility between them, it had been anticipated that greater attention would have been given to form and content this session.

5.1.2 A lack of continuity between the statements prepared for CNAA and those submitted for the current round of the cycle. Given that it was the intention that strategies should be 'rolled forward' each year the absence of back-references with some indication of progress/lack of progress was particularly obtrusive.

5.1.3 Heavy reliance on description and an absence of analytical strategic thinking indicating what action, in general terms, was necessary to achieve faculty objectives.

5.2 Preoccupations of the Sub-Committee when Evaluating Faculty Strategies

5.2.1 Extent to which proposals for Staff Development, Research and Consultancy derived from the general strategy of the faculty in terms of the position it wished to reach by the end of the three-year period and the means it intended to employ to reach that position.

5.2.2 Gaps in provision identified within a single faculty or across the college.

5.2.3 Progress achieved with implementation of programme of staff consultations.

5.2.4 Progress achieved, following the adoption by the County

5.3 Special Position of Split Faculty
While recognising the difficulties posed for the Faculties of Industrial Engineering and Science and Information Science and Systems Technology in the present Planning Cycle it was felt that there was sufficient continuity in operations for each to be able to produce general and staff development and research strategies derived largely from the documentation produced for CNAA.

5.4 Faculty Strategy: Art and Design
The Committee would wish to draw the attention of the Faculty Board to:

5.4.1 Absence of an explicit strategic framework within which to evaluate proposals for Staff Development, Research and Consultancy.

5.4.2 Failure to indicate in general terms the staff development implications (eg. by way of programme and level of resourcing) of:
   a) course and curriculum development programme of faculty (particularly in view of variable performance admitted in this area in 1982 strategy statement);
   b) integration of teaching/learning programmes;
   c) improving SSR performance;
   d) providing a consultancy service;
   e) technological developments, notably computerisation.

5.4.3 Absence of proposals to develop an applied research and consultancy service. (The Committee were informed of recent developments in the School of Graphic Design and of proposals adopted at the most recent meeting of the Faculty Board to develop the service).

5.4.4 Absence of progress in introducing a programme of staff consultations.

5.4.5 Absence of integrated research programmes.

5.4.6 Need to elaborate on what is meant by adoption of 'a prescriptive approach to research and consultancy'.
5.5 Faculty Strategy: Education and Combined Studies

The Committee would wish to draw the attention of the Faculty Board to:

5.5.1 Absence of an explicit strategic framework within which to evaluate proposals for Staff Development, Research and Consultancy.

5.5.2 Failure to indicate in general terms the staff development implications (eg. by way of programme and level of resourcing) of:
   a) the allocation of initial teacher training places, notably the almost exclusive involvement with the training of teachers for primary and junior schools - the Committee was disappointed to find no reference to the problem posed by the age profile of staff within the faculty and the shortage of teaching experience in primary and junior schools;
   b) involvement with the introduction of microcomputers into junior schools;
   c) improving SSR performance;
   d) providing a consultancy service.

5.5.3 Absence of proposals to develop an applied research and consultancy service.

5.5.4 Absence of progress in introducing a programme of staff consultations.

5.5.5 Absence of integrated research programmes.

5.6 Faculty Strategy: Industrial Engineering and Science

The Committee, while recognising the value to the new faculty of preparing a comprehensive statement incorporating a wide range of strategic objectives, believed that:

5.6.1 more attention might have been given to the means by which strategic objectives were to be achieved;

5.6.2 the staff development implications (in terms of scale of activity and level of resourcing) of the following needed identification:
   a) course and curriculum development based on applications of new technology;
   b) expansion of short-course work;
c) development of open and distance learning;

d) development of consultancy service;

e) retraining and redeployment;

f) introduction of microcomputers to junior schools.

5.6.3 An indication might have been given of how the programme of staff consultations was to be implemented in areas other than those identified as being at high risk.

5.7 Faculty Strategy: Information Science and Systems Technology

5.7.1 The statement presented the Committee with considerable difficulties in that it:

a) focused largely on the difficulties and constraints arising from the division of the Faculty of Science and Technology;

b) emphasised discontinuities while understating continuities;

c) placed the onus of responsibility for removing constraints and achieving progress primarily on the college;

d) directly challenged current policy as it related to a formalised staff development programme;

e) emphasised the atypical nature of the faculty for the purposes of applying resource utilisation criteria.

5.7.2 In view of the above the Committee would wish that the statement be reconsidered by the Faculty and recast in a form which would indicate:

a) what the Faculty hoped to achieve over the next three years, the means to be adopted and the implications for Staff Development, Research and Consultancy;

b) the degree of support/hostility within the faculty to the operation of a formalised staff development programme;

c) the priority to be given to the development of an applied research and consultancy service on the lines indicated in the documents presented to CNAA.
5.7.3 The Committee noted with approval the continuation of the integrated research programmes in microelectronics and microprocessor systems, computing systems, communications engineering and robotics but wished to know what further developments, if any, would be necessary to support the operation of the B.Sc.(Eng.).

5.8 Faculty Strategy: Management and Professional Studies

5.8.1 The Committee were informed that the statement should be regarded as an Action Plan Supplement to the strategy presented in the documents submitted to CNAA.

5.8.2 The Committee welcomed the emphasis given in the document to Staff Development activity in general and to the ongoing programme of staff consultations in particular.

5.8.3 The Committee wished to know what action, if any, the Faculty intended to take to develop an applied research and consultancy service in accordance with the College and Faculty strategies approved in 1981/82.

5.9 Responses expected from the Faculties

The Committee wishes to recommend to the Academic Board that the faculties be asked to revise their statements in the light of the observations made in paragraphs 5.1 to 5.8 above. Without these revisions the Committee will find it extremely difficult to evaluate staff development and research programmes during Phase 3 of the current planning cycle.

5.10 Inter-Faculty Co-operation

The Committee believes that there is an urgent need for inter-faculty co-operation on staff development in the following areas:

5.10.1 open and distance learning;

5.10.2 microcomputing in junior schools.
6. CONSIDERATION OF ALTERNATIVE MEANS FOR ACHIEVING CORPORATE OBJECTIVES

6.1 To Achieve Levels of Resource Utilisation, notably Student Staff Ratios, which match the Average for Similar Institutions in Wales and England

6.1.1 Current Performance

The DES survey for Advanced Poolable courses in 1981/82 produced the following national figures with which college performance is compared:

<table>
<thead>
<tr>
<th>SSR's</th>
<th>Polytechnics</th>
<th>OME's</th>
<th>College</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group 1</td>
<td>9.1</td>
<td>8.1</td>
<td>7.0</td>
</tr>
<tr>
<td>Group 2</td>
<td>10.7</td>
<td>9.6</td>
<td>9.2</td>
</tr>
<tr>
<td>Art and Design</td>
<td>7.6</td>
<td>6.0</td>
<td>5.8</td>
</tr>
<tr>
<td>Institution</td>
<td>9.7</td>
<td>8.4</td>
<td>7.6</td>
</tr>
</tbody>
</table>

Little effort appears to have been made to achieve the targets set down in the College Strategy (Main Document, para. 3.2.5-2, page 28) and the Establishment Review for term 1 of the current session indicates continuing cause for concern. The poor performance of the college in 1981/82 is reflected in the Pool allocation for 1983/84.

6.1.2 Options for Achieving Objective

The explanatory paper 'Performance Indicators', prepared and circulated by the Assistant Principal, set out in detail the alternative means available for improving SSR's. Since the SSR is a ratio it may be improved by increasing the size of the numerator and/or reducing the size of the denominator.

a) Students

It would appear that the college has failed to take full advantage of the increased demand from school-leavers and has accepted the reduction in applications from overseas students as a fact of life over which the college has little control.

Neither of these outcomes is entirely surprising given the lack of urgency
displayed by staff over recruitment and the generally substandard promotional effort.

**OPTION 1:** Full implementation of Promotional strategy approved by Academic Board in February, 1981.

**OPTION 2:** Emergency meetings of staff on each site to convey to them the significance of the promotional effort for the future of the college and their security of tenure.

Efforts to improve the student component of the SSR, assuming a given level of recruitment, involve giving particular attention to Average Class Size and Average Student Hours.

**OPTION 3:** To improve ACS by limiting the number of options available to students in teaching/learning programmes and also reducing the time allocated to dissertation supervision.

**OPTION 4:** To reduce ASH by reviewing the hours of lecturer-supervised activity programmed for full-time students.

b) **Staff**

Options 3 and 4 also have the effect of reducing lecturer class contact hours. The man hours so released may be redeployed (depending on existence of present or newly created demands and match of knowledge and skills to needs) or permanently withdrawn.

**OPTION 5:** Reduction in VT hours.

**OPTION 6:** Retraining of staff.

**OPTION 7:** Discussions with authority to increase attractions of early retirement for those ineligible for Crombie Compensation.

Attention may also be given to improving Average Lecturer Class Contact Hours (ALH).

**OPTION 8:** Improve ALH by reducing the amount of remission which has to be absorbed within the college establishment and which cannot be offset for purposes of calculating the SSR (eg. college funded research, and course administration).
6.2 Devise Course Programmes which meet identifiable current and future needs at National, Regional and Local Levels

OPTION 1: Full implementation of College Promotion and Publicity Policy.

OPTION 2: Creation/Extension of institutional and personal networks with clients and influencing agents identified as providing reliable market intelligence and a sounding board for new ideas.

OPTION 3: More formalised discussion within faculties of educational press.

OPTION 4: Creation of system of rewards for staff who innovate and make major contributions to viable new developments.

OPTION 5: Organisation of periodic brainstorming sessions within faculties.

OPTION 6: Major co-operative effort across all faculties with the development of open and distance learning programmes.

OPTION 7: Continuing Education, Model E.

OPTION 8: Pickup.

6.3 Acquire a reputation for excellence with key influencing agents such that the College would be a net beneficiary of any proposal to rationalise course provision in England and Wales.

Emphasis was given last year to the importance of personal networks and professional exchanges which increase the level of exposure of staff to members of key influencing agencies. Option 2 of 6.2 above emphasises the market intelligence value of such networks. This may be elaborated to include the development of professional reputations; but however well (or ill) regarded individuals may be, much depends on institutional performance.

OPTION 1: More rigorous and comprehensive completion of Phase 1 of the Planning Cycle by the Academic Board, its sub-committees and faculty boards.

OPTION 2: Immediate introduction across the college of Quality Control policy, on the lines developed by the Faculty of Management and Professional
OPTION 3: Immediate operation across the college of the programme of staff consultations in accordance with Academic Board Policy.

OPTION 5: Circulation to all members of the Academic Board of:

a) Examiners Reports.
b) Reports by Validating Bodies on submissions presented to them.
c) Major complaints/accolades received.

OPTION 6: Increase the level of external financing of research projects.

OPTION 7: Discriminate in favour of research projects leading to publication.

6.4 Secure support from the Local Authority at least as strong as that provided to competing Institutions maintained by other LEA's in Wales

The overall performance of the college in achieving objectives 1, 2 and 3 will greatly influence the level of support which the college can legitimately claim from the LEA. In addition the Principal and College Secretary are in day-to-day contact with officers and members and bear the major responsibility for developing good relations and mobilising support.

OPTION 1: Increase frequency with which members of the County Council are invited to the college and the occasions on which hospitality is offered to them.

OPTION 2: Use every available opportunity to associate the Chairman and Vice Chairman of Governors and other members of the Authority with successes achieved by the college and the publicity surrounding them.

OPTION 3: Strengthen links with the Industrial Development Unit and the Schools Advisory Service of the County Council.

OPTION 4: Increase the use made of senior officers as lecturers/contributors to courses.

6.5 Improve the goodwill and support enjoyed by the College from key Clients

Objectives 2 and 3 aim to produce the best possible service to clients and there is no means of compensating for the loss of goodwill arising from
the delivery of a poor service. Even so, direct action may be taken to cultivate the goodwill and support of key clients.

**OPTION 1:** Programme of regular visits by staff to clients' establishments.

**OPTION 2:** Programmes of visits by clients to the college, including Open Day(s), and provision of VIP hospitality.

**OPTION 3:** Increased involvement of clients in course and curriculum development.

**OPTION 4:** Increased involvement of clients in course monitoring.

**OPTION 5:** Presentation of joint-papers at conferences and symposia.

6.6 Undertake a major expansion of the services directly available to clients on economic terms in the following areas:

a) **Short Course Activity**

b) **Applied Research and Consultancy**

While it is generally understood that the scope for developing the above will vary between faculties because of the nature of their activities and the resources available to them, there is little evidence of a 'determined effort' to develop the Applied Research and Consultancy Service asked for in paragraph 3.2.3-4 of the Main Document to CNAA. Short course activity is being developed, however, albeit on an 'ad hoc basis' and could make a contribution to improving SSR's in term 3.

**OPTION 1:** Implementation of current policy as set down in 3.2.3-4.

**OPTION 2:** Vigorous marketing of both services.

**OPTION 3:** Employment of additional technicians to support both activities.

6.7 Seek opportunities to develop co-operative relationships with HE Institutions identified as having a common interest in the Long Term

Involves reviewing existing relationships critically and seeking opportunities for developing new co-operative relationships.

**OPTION 1:** Consolidate co-operative relationships which are fulfilling expectations in terms of costs and benefits.
OPTION 2: Discontinue co-operative relationships with institutions likely to be hostile to the maintenance of links beyond 1985/86.

OPTION 3: Identify institutions likely to welcome co-operative relationships with the college and assess the costs and benefits in the short and medium terms.
The Governing Body referred the report to the Academic Board for advice on the means of achieving the further development within the college of a corporate identity and an academic community consistent with an Institution of Higher Education. Consideration of the report focused on the summary of recommendations of the Visiting Party.

Recommendation 1

"The College should continue in approval and the next institutional review should take place in the academic year 1986/87."

The Board welcomed confirmation that the college should continue in approval for a further five years which recognised the very considerable achievements since the last Institutional visit. The report's recommendation now needed appropriate implementation and support to ensure continued recognition from the Council.

Recommendation 2

"The College should pay particular attention to the fostering of academic leadership throughout the institution to ensure that its policies are implemented and its priorities established."

The Academic Board was pleased to note the recognition, by the visiting party, of the degree of corporate identification that had developed since 1977, though it accepted that further movement towards this objective was required. It was accepted that the Planning Cycle recently introduced would need to be modified and developed in the light of experience. Although the sub-committees were already acting with greater efficiency it was necessary for Senior Management and Faculty Boards to support this development by the provision of information and implementation of decisions within the time-scales identified.

Another cause of concern was the need to develop further the academic leadership role of the Academic Board and Faculties, including Senior
Management/Deans and Heads of School. To assist this aim the role of the Head of School across the college is being identified by a series of Workshops, several of which have taken place.

Recommendation 3

"The Academic Board should be encouraged to focus upon the operation of its academic and committee structures in terms of processes, in particular lateral communication rather than on mechanisms."

The college, in its documentation submitted to the Council prior to the visit, acknowledged the potential danger of creating an over-mechanistic academic and committee structure. The Academic Board is constantly examining the operation of its planning cycle to reduce this danger. The Board considered, however, that the college had no choice but to operate this kind of system which has been developed given the requirements of external validating bodies. The operation of the Planning Cycle largely depends on the commitment of staff involved and it was therefore necessary to encourage such active participation to achieve the efficiency required.

The Board considered that Chairmen of the Sub-Committees who were not elected members of the Board should be invited to attend the Academic Board as required.

Recommendation 4

"The Academic Board should consider the implications of delegating its responsibilities for academic policy and for the monitoring and maintenance of standards of courses leading to the Council's awards."

The Board is aware of the implications of delegating important responsibilities to its sub-committees but considered that it was the only effective way the system could operate. The sub-committees are then able to undertake these responsibilities in more detail within, of course, the approved policies and procedures of the Academic Board. The Board was currently considering further ways of developing the monitoring and evaluation of courses.
Recommendation 5

"The Academic Board should look for ways of developing an appropriate academic administration."

The Board recognises the importance of having an appropriate academic administration to support the maintenance of courses for students. Although it is accepted that the level of administrative support was still inappropriate in some areas at the time of the visit, considerable developments have since been achieved and can be identified as follows:

i) Appointment of a senior member of the administrative staff as Secretary to the Academic Board;

ii) Executive/secretarial support for sub-committees;

iii) Review and improvement of administrative support on the 'A' and 'C' sites;

iv) The academic support needs in the Faculty of Art and Design are currently being reviewed.

The Board accepts Council's view with regard to technician support at the time of the visit. Since then a number of new technician posts have been identified and appointments made. Further development of courses will, however, require additional technician support.

The problem identified in the Student Support Services section is accepted as one requiring resolution. A considerable restructuring of the section is being considered though the final solution will require an extra clerk/typist post.

Recommendation 6

"The Academic Board should consider enhancement of the library provision and service in order to more effectively underpin its academic developments."

The Board, with the advantage of a detailed report presented by the Senior Tutor/Librarian, accepted that enhancement of the library provision and service was essential. It considers that given present resources the library is both an efficient and effective organisation, but is limited
in its capacity to underpin further academic development.

There are firm proposals to improve the acute accommodation problems on the 'A' site and the new building at 'C' should ultimately remove the problem at 'CP'.

The major problem is seen to be the number of staff within the college library service. Three extra posts are required in order to achieve the minimum reasonable standards and a re-assessment of grades should be undertaken as soon as possible.
1. Role Ambiguity and Diversity

The most striking fact to emerge during the workshops was the diversity of experience within and between faculties. Marked differences were revealed in:

a) management style - notably the degree of openness, level of participation in policy formulation, emphasis placed on team work and extent of delegation;

b) relations between Deans and Heads of School and conceptions of roles;

c) knowledge and understanding of, and commitment to, the Planning Cycle and associated systems;

d) communications - notably the flow of information from Senior Management to the faculties via the Deans; and

e) level of support and facilities available to Heads of School.

Such disparities could not be explained by cultural differences alone. While there was no wish to establish an oppressive uniformity it was strongly felt that there should be a greater degree of compatibility within and between faculties. It was agreed that there should be discussions with Senior Management to achieve a 'negotiated order' across the college. The key issues to be considered should be:

a) Tasks and Role conflict;

b) Relationships;

c) Recognition and Support;

d) Development Programme.

2. Tasks and Role Conflict

2.1 Unreasonable Expectations

Majority felt that there was a conflict between the academic and managerial
demands made upon the Heads of School's time which were difficult to reconcile.

2.2 Academic Role

Pressures identified as following:

2.2.1 Teaching
1. High expectations in terms of both content and presentation;
2. Vulnerability of preparation time in view of other competing demands.

2.2.2 Academic Leadership
1. Course and curriculum development;
2. Networking;
3. Quality control;
4. Negotiation.

2.3 Managerial Role

Greater awareness of managerial content of role has led to quantum leap in expectations of performance. Particular attention drawn to:

2.3.1 Operation of Planning Cycle
1. Co-ordination of information;
2. Adherence to timetable;
3. Membership of committees;
4. Commitment to philosophy.

2.3.2 Staffing Responsibilities
1. Timetabling;
2. Appointment and supervision of Visiting Teachers;
3. Staff Development and Research;
4. Achievement of acceptable staff utilisation performance (ACS, ALH and SSR);
5. Liaison with technicians.

2.3.3 General Resource Management
1. Space - laboratories, workshops and studios;
2. Equipment and materials.
2.3.4 Goodwill

1. Marketing and Promotion;
2. Recruitment;

2.4 Disparities in Workloads and Responsibilities

Given the significant variations in the above, both within and between faculties, it was felt that a systematic identification and weighting of responsibilities should be undertaken so that alleviation could be distributed on a more equitable basis than the existing system appears to allow.

3. Relationships

It was generally felt that relationships with Deans presented greater problems than relationships with course tutors. Particular concern was felt over:

3.1 Managerial Style and Ethos

Need expressed for strong commitment to:

1. Teamwork and mutual support;
2. Openness and encouragement of high levels of participation in policy making at all levels;
3. Programming - value of Planning Cycle recognised in routinising tasks, which should properly be undertaken on a systematic basis each year, within a formal setting.

3.2 Task Sharing

Need to identify:

1. Tasks properly undertaken by Heads of School - emphasis placed by them on operational management and well-being and morale of students and staff;
2. Tasks shared by Heads of School and Dean - e.g. in relation to Academic Leadership, Quality Control and Strategic Management;
3. Tasks properly undertaken by Deans of Faculty - suggested emphasis on Resourcing, Co-ordination, Communication, Policy Formulation, Networking,
General Support and Enabling functions.

3.3 Accountability

Expected that resolution of 3.2 would help resolve problems of accountability. General view expressed that Deans exercised too great a discretion in devolving responsibility and tended to require Heads of School to perform tasks which they should more properly undertake themselves.

4. Recognition and Support

Less unanimity among Heads of School over these issues with the particular circumstances prevailing within any one faculty or on a particular site significantly influencing perspectives.

4.1 Designation, Status and Salary

Issues raised were:
1. Possible review of structure to replace Heads of School with Heads of Department. (Realities of Burnham Points Count made known);
2. Anomalies in salaries so that a Head of School might earn less than a straight PL colleague.

4.2 Remission

Regarded as inadequate.

4.3 Admin./Clerical/Secretarial Support

A widespread bone of contention but problem most acute at 'CP' site. Improvements at 'A' and 'C' appreciated and acknowledged.

4.4 Space

Particular attention drawn to:
1. Inadequacies of staff rooms;
2. Absence of suitable interview rooms to which students and visitors may be taken.

4.5 Support from Dean

More expected than generally provided.

Attention drawn to the mismatch between Senior Management's expectations of Heads of School in terms of range of tasks and level of responsibility
and the facilities status and support afforded them by Senior Management.

5. Development Programme

Generally felt that agreement on role and level of support should be achieved before proceeding to the formulation of a development programme. Even so deficiencies in knowledge and skills readily acknowledged.
THE MERGER OF COLLEGES IN THE COUNTY – THE SEARCH FOR A RATIONAL APPROACH DESIGNED TO SERVE THE BEST INTERESTS OF STAFF AND THE COMMUNITY AT LARGE

A Discussion Paper prepared by GW for consideration by the College Branch of the ATTI on Thursday, 20th June, 1974

APPROACH/METHODOLOGY

Given the complexity of the problem which I recklessly agreed to examine on your behalf, the issue of approach/methodology is crucial. Among the several possibilities which I considered, the simplest appeared to be the direct question and answer approach. Since there is almost a limitless number of questions which might be asked I have settled for FOUR KEY QUESTIONS. These are posed and answers then offered them on the basis of my own (and hence very limited and incomplete) analysis of the current situation.

OBJECTIVE

It is my intention that the questions posed and the answers offered should act as a STRONG FIRST STAGE CATALYST inducing:

1. A considered, critical response.
2. Identification and discussion of the SUBSIDIARY QUESTIONS which are implied in my discussion paper and to which answers need to be found if we are to achieve a 'college view' of the proposed merger.

Question 1

WHY ARE THE THREE COLLEGES TO BE MERGED?

Merger is a direct consequence of DES policy embodied in the WHITE PAPER – EDUCATION: A FRAMEWORK FOR EXPANSION (Cmnd. 5174), CIRCULAR 7/73 and, since their publication, developed in consultation with the LEAs. It would appear from the available evidence (debt of gratitude should be expressed in passing to the THES) that, in its broad essentials, DES policy is aimed at:

1. Bringing the colleges of education into the FE sector. The White
Paper of December, 1972 estimated that the number of students in full-time teacher training would be reduced from 114,000 in 1971/72 to between 60,000 and 70,000 in 1981/82. Need, therefore, for colleges of education to diversify to take care of the needs of the other 40,000 to 50,000 students. Colleges of education also expected to contribute to 17,000 additional places to be available in combined FE/HE sector (excluding polytechnics and universities).

2. Making resources of colleges of education available for use in FE.
3. A fundamental reshaping by 1981 of HE outside the universities.

Such a reshaping to achieve:

a) A more effective utilisation of scarce resources (a major pre-occupation when the White Paper and Circular 7/73 were published, this has become an overriding consideration since the OIL CRISIS).

b) High degree of flexibility within the HE sector given risks attached to making accurate forecasts (current situation being described within DES as a 'planner's nightmare').

c) High degree of autonomy for polytechnics and other HE institutions within a new regional administrative framework.

Question 2
WHAT ROLE IS THE MERGED INSTITUTION EXPECTED TO PLAY WITHIN THE EDUCATIONAL SYSTEM?

It would appear that the merged institution (whatever form it takes – see Q4 below) will have to find and develop a role of its own since neither the DES or the LEA seem inclined to provide a definitive blueprint. Even so, the views of the DES and the LEA must have a formative influence on the role which it will be permitted to develop. It seems, therefore, that what is required to take the answer beyond the rather obvious first sentence is:

1. Some notion of the expectations/preoccupations of the DES, the LEA, and staffs at the colleges of education, art and technology.
2. An examination of the conditions which have to be satisfied in order that expectations set down in 1 above are fulfilled.

3. An evaluation of the degree to which conditions will permit the fulfilment of the expectations identified in 1 above.

1. **Expectations/Preoccupations**

   **1.1 DES**

   a) Smooth transfer of College of Education into the FE sector.

   b) Diversification of courses offered at College of Education.

   c) Wider utilisation of facilities and resources at College of Education within the FE sector.

   d) Creation of flexible institution capable of anticipating and responding quickly to changes in demand for courses.

   e) Creation of institution capable of initiating and developing imaginative, vocationally-relevant Dip.HEs.

   f) Creation of institution offering advanced F/T and P/T courses within reasonable access to students' homes.

   g) Creation of institution which will assist in achieving a more economic use of resources at national, regional and local levels.

   **1.2 County Council**

   a) Creation of an HE institution in which the people of the County can take pride and which is capable of matching the polytechnic in status.

   b) Creation of an institution exclusively devoted to 'advanced' courses.

   c) Creation of an institution which will enable the County to offer a truly comprehensive FE/HE service to anyone who shows a desire to increase his educational potential at any time, irrespective of age and occupation. If UWIST eventually does move the County Council might be the first LEA to make real the concept of a POLYVERSITY.

   d) As DES, a, b and c.
More rational allocation of resources among competing claims of HE/FE, Secondary and Junior/Infants sections in the County.

1.3 College of Education

a) Little enthusiasm for merger. Strong preference for link with University of Wales. Acute sense of differences in background and orientation of the 3 colleges and their staffs.

b) Merger to make as little difference as possible to types of courses offered or to the mode of operation of the college.

c) Creation of institution exclusively devoted to advanced courses.

d) Interest in the Dip.HE, in short run, confined to one for teachers leading to B.Ed.

e) Merger not to impair links with University of Wales Faculty of Education.

f) Security of tenure and reasonable career prospects for staff.

1.4 College of Art

a) Little enthusiasm for merger. Strong preference for link with UWIST. Acute sense of differences in background and orientation of 3 colleges and their staffs.

b) Creation of institution exclusively devoted to advanced courses. Very strong resistance to any form of dilution.

c) Abiding concern over inadequacy of existing resources and fear that difficulties might arise when the CNAA takes over validation of their degree-level work if, by the time CNAA takes over, there has not been major improvement of facilities and resources at the college.

d) Limited interest in Dip.HE in short-run.

1.5 College of Technology

a) Initial enthusiasm for merged institution capable of competing with similar institutions elsewhere and of providing an improved FE/HE service to the community. Enthusiasm tempered by concern over the problems likely to arise from bringing the 3 colleges together and in finding an appropriate management structure.
b) Merger should not threaten range of courses and quality of service offered to P/T students.
c) Merged institution should not be exclusively concerned with advanced courses. To implement a 'cut-off point' at GCE A Level would, in present circumstances, create a serious threat to our ability to maintain a viable science, maths and technology capability.
d) Security of tenure and reasonable career prospects for staff.

2. Conditions which have to be satisfied

It would appear from the above that the key issue, among several which might be considered, is: WHAT CONDITIONS HAVE TO BE SATISFIED TO ENABLE THE MERGED INSTITUTION TO CONCERN ITSELF EXCLUSIVELY WITH ADVANCED COURSES?

In my view, they are as follows:

2.1 Merged institution to be permitted to develop courses in direct competition with polytechnics and other similar institutions - i.e. 21FE approvals will be assured for new degrees etc.

2.2 Staff at the 3 colleges are capable of, and willing to co-operate in, devising new advanced courses including degrees, Dip.HEs etc.

2.3 Merged institution is capable of attracting a sufficient number of students to a wide range of courses to permit effective use of resources, including the attainment of prescribed SSRs.

2.4 LEA fully aware of implications of choice and willing and able to provide resources to enable merged institution to compete effectively with polys and other HE institutions elsewhere.

2.5 LEA able and willing to hive-off low level work to college of FE and prepared to relocate staff (i.e. from the 3 colleges) where necessary.

2.6 LEA able and willing to answer charge that they are creating 'elitist' rather than a comprehensive FE/HE system in the County.

3. Evaluation

My own views for what they are worth are as follows:
3.1 Totally unrealistic to assume that the merged institution can assume role of full-blown polytechnic for following reasons:

a) Already serious over-provision in certain areas of HE (notably in science and technology but also in the arts) and forecasts of student numbers, at least for the time being, are being regularly revised downward.

b) Catchment area insufficiently large to sustain new polytechnic.

c) Oil crisis, and economic austerity which is likely to follow, has strengthened the will of the DES to achieve more effective utilisation of resources both within the University and Non-University sectors. Recent intimations of a new regional structure of Higher Education Councils have serious implications for our role in a region which is already well provided for in facilities but not always well endowed with students. Certainly, DES seems strenuously opposed to proliferation of courses where existing provisions are adequate.

d) Grave doubts about willingness and capabilities of staff taken as a body.

e) Considerable uncertainty about extent to which officers/elected reps are fully aware of implications of decision to create polytechnic-type institution and vision of Polyversity is rapidly receding as likelihood of UWIST moving diminishes day by day.

3.2 The best that might be achieved would be a 'mini/quasi polytechnic' but its existence would derive so much from 'local pride' that it would be subject to extreme pressures as a consequence of:

a) Economic austerity and need to view cost of allocating resources to one particular sector as the alternative uses to which they might be put.

b) Apparent incompatibility between 'elitist' preoccupations of the elected representatives and Labour Party policy as set down in the Green Paper on FE/HE and as reflected in statements made by Messrs. Prentice and Fowler.
c) Difficulties of maintaining a major capability in science, maths and technology if courses are to be exclusively of an advanced nature.

3.3 It would appear, therefore, that emphasis must be placed on FLEXIBILITY. Flexibility will be difficult to achieve if the merged institution becomes exclusively concerned with advanced courses and with a 'cut-off point' rigidly applied at GCE A Level and Equivalent levels. It follows that merged institution should not be exclusively concerned with advanced courses.

Question 3
WHAT ROLE, IN OUR VIEW, SHOULD THE MERGED INSTITUTION PLAY WITHIN THE EDUCATIONAL SYSTEM?
1. It should not aim at competing with the polytechnics and other HE institutions over the whole range of courses currently available.
2. It should not be exclusively concerned with advanced level courses, but should, nevertheless, seek to develop 'areas of excellence' which would win for the institution a high standing in the region and beyond.
3. It should be a well balanced institution having a major capability in science, maths and technology as well as management and business studies.
4. It should have close links with the schools and colleges of further education and have a major involvement in educational technology.
5. It should provide a comprehensive service for P/T students in the County.
6. It should achieve a high degree of flexibility and aim at anticipating local, regional and national needs.

Question 4
WHAT EXACTLY IS MEANT BY 'MERGER' AND WHAT FORM SHOULD IT TAKE IN ORDER TO FULFILL ITS PREFERRED ROLE?

Penguin English Dictionary offers the following:
merge - to become completely absorbed (into); lose identity; absorb; swallow up; combine under one head.
merger - process of combining under one head; absorption.

It would appear from the above that the key aspects of a merger are IDENTITY and AUTHORITY. A merger, in any meaningful sense of the word, must therefore involve:

1. Loss of separate identity by the 3 colleges - i.e. they must become a single institution into which the 3 are absorbed.

2. Creation of strong central management.

Assuming that the colleges are to be merged, then it seems that a management structure has to be devised which achieves:

1. Strong central control.

2. Formulation and implementation of overall policy consistent with preferred role.

3. Complete integration of the 3 colleges.

4. Effective rationalisation of resources.

5. High degree of autonomy with minimum amount of involvement by the LEA in day-to-day management.
COLLEGE OF TECHNOLOGY
ATTI BRANCH

Executive Committee recommendations to the branch on position to be adopted by college representatives at the meeting of the Working Party on the Development of HE in the County to take place on 1st July, 1974.

1. **Basic Approach**

The college representatives should seek agreement in the first instance on:

1. Terms of Reference.
2. Procedure.
3. Nature of the merged institution.

2. **Terms of Reference**

Agreement to be sought on:

1. Task of working party.
2. Body to which working party reports.
3. Channel of communication between working party and body prescribed for 2 above - representatives to request that decisions made by body prescribed for 2 above should be communicated to members of the working party within 7 days.

3. **Procedure**

Representatives to press for the following:

1. Officers and principals to present a clear statement on the current position at each college. This to include details on number of staff, number of students, the level of courses and the number of students at each level.

2. For each major decision a feasibility study should be undertaken in order to establish the major options from among which a choice might be made.
3. Feasibility study to be undertaken by a sub-committee appointed by the working party.

4. First major decision to be on nature of merged institution.

5. Documents to be sent to each member of the working party at least 14 days before the next meeting.

6. Working party to vote on its decisions.

7. Minutes of meetings of the working party to be sent to all members of the working party within 7 days.

4. Nature of Institution

The consensus within the college appears to favour an HE college with a flexible lower limit.

Whatever merits an all-through college might have, it appears to be a non-starter at this stage. Even so, it might be profitable to ask for a feasibility study.

The LEA might argue that the colleges have had sufficient time to make up their minds about the nature of the institution (an argument that has some weight). If this view is expressed, then college representatives should present the arguments, already accepted by the Academic Board and the branch, for the retention of A level and other B grade work.

5. Accountability

Two staff representatives to report to the executive committee and the branch at the earliest opportunity.
APPENDIX T

EXTRACT FROM FACULTY NEWSLETTER - NOVEMBER 1978

What a good idea!

It has been suggested by a colleague that members of staff (who wish to work rather than sit on committees) should be able to apply for non-committee sabbaticals. Before this item finds itself on the agenda of a 1 o'clock meeting, the Dean would hasten to say he would insist that the right to work would have to be decided democratically and would recommend the setting up of a committee for non-committee sabbaticals.

Nominations are therefore ..............................................

In case you think the above is a joke, read on:

The Sub-Committees of the Academic Board

As a result of "a growing desire" among a number of staff for what may be termed 'better administrative practice', the Academic Board has approved the establishment of THREE sub-committees. A summary of the functions etc. of these committees are given in the attached sheet (Appendix 1). (The full report of 15 pages may be seen with any Academic Board Member).

Members of this Faculty are recommended to study the structure and procedures carefully as they represent a major departure from previous practice in this Faculty, and to make the system work will require the co-operation of all members of staff.

It will be necessary to work with far longer 'time-constants' than previously, and provide far more documentation of all aspects of our work, proposals, aspirations etc. As an indication of the degree to which detail will be required, an example is given in the Academic Board Document for Capital Estimates. This is reprinted in Appendix 2.
APPENDIX U: EXTRACTS FROM THE PLANNING CYCLE HANDBOOK

CONTENTS

1. The New Structure and the Running of the College

Five key questions posed and answered:

1.1 In what ways is the new structure intended to improve the running of the college?

1.2 How will policy decisions be made and who will ensure that they are carried out?

1.3 How does Senior Management relate to the new system?

1.4 Where do the Board of Governors and the Local Education Authority fit in?

1.5 How will the personnel implications of academic policy (conditions of service, security of tenure, career development, etc.) be tackled?

2. Structure and Cycle

2.1 The Academic Board and its Sub-Committees

2.2 Main Phases of the Planning Cycle

2.3 Annual Time Table

2.4 Information Flow and Phases of the Cycle

3. Terms of Reference and Composition of Committees

3.1 Academic Board

3.2 Faculty Boards

3.3 Planning and Resourcing Sub-Committee

3.4 Staff Development and Research Sub-Committee

3.5 Course Administration Sub-Committee

4. Mode of Operation

4.1 Participation

4.2 Planning Hierarchy

4.3 Time Horizon
4.4 Conduct of Business
4.5 Task Schedule and Planning Cycle Time Table

5. Some Examples

5.1 Example 1: Study for a Part-Time Higher Degree
5.2 Example 2: Proposal to Introduce a new CNAA Honours Degree
5.3 Example 3: Request from an outside source to mount a Higher TEC Diploma within 18 months

6. List of Memoranda

M1: Information System
M2: Reference Documents - Planning and Resourcing Sub-Committee
M3: Reference Documents - Staff Development and Research Sub-Committee
M4: Reference Documents - Course Administration Sub-Committee
M5: Glossary of Abbreviations
M6: Notes of Guidance on the Conduct of Business
M7: The Role of Members
1. **THE NEW STRUCTURE AND THE RUNNING OF THE COLLEGE**

The Academic Board intends that the new structure should make a significant difference to the running of the college. It is recognised, however, that the impact it makes will depend largely on the commitment of the staff who will be operating it. This handbook sets out to explain how the structure is intended to work so that those members of staff who wish to participate in the formulation of academic policy can do so to maximum effect.

While the Academic Committee Structure and Planning Cycle have a key role to play in the running of the college, they are part only of the total administrative framework within which the college is managed. In order to place the new structure within its wider context, and before proceeding to a more detailed examination of the structure itself, five key questions will be posed and answered.

They are:

1. In what ways is the new structure intended to improve the running of the college?
2. How will policy decisions be made and who will ensure that they are carried out?
3. How does Senior Management relate to the new structure?
4. Where do the Board of Governors and the Local Education Authority fit in?
5. How will the personnel implications of academic policy (conditions of service, security of tenure, career development, etc.) be tackled?

1.1 In what ways is the new structure intended to improve the running of the college?

By:

1.1.1 Establishing the Academic Board as the major academic policy-making body of the college with a responsibility for developing a college-wide view of all academic activities and formulating a strategy designed to ensure, as far as possible, the survival and development of the college.
1.1.2 Providing an open system of policy making which permits full participation by all members of staff and which makes possible easy communication of decisions.

1.1.3 Placing key decisions affecting the future of the college within a planning framework which ensures that proper attention is given to:
   a) analysis of the external environment and the threats and opportunities posed by it;
   b) identification of strengths and weaknesses within the college requiring support and/or remedial action;
   c) tackling problems and making decisions in good time - i.e. taking initiatives in anticipation of future events rather than falling victim of circumstances;
   d) disciplined and routinised decision-making within an agreed time-table;
   e) making things happen;
   f) permitting a flexible response to short-term developments which may be difficult to incorporate within a strict planning time-table; and
   g) considering the resource implications of all decisions.

1.1.4 Establishing common standards and procedures across the college for:
   a) student admissions;
   b) course operation;
   c) course and curriculum development;
   d) staff development, research and consultancy;
   e) resource management; and
   f) monitoring performance in all relevant areas of activity.

1.1.5 Keeping the number of committees and the frequency of meetings to an essential minimum.
1.2 How will policy decisions be made and who will ensure that they are carried out?

Both the academic sub-committee structure and its associated range of activities and patterns of decision-making fall within a hierarchy as shown below:

<table>
<thead>
<tr>
<th>Level</th>
<th>Participants</th>
<th>Activities/Decisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>School</td>
<td>Individual Members of Staff and Course Tutors</td>
<td>Personal initiatives (with/without prompting by Head of School or Dean) taken by individuals on:</td>
</tr>
<tr>
<td></td>
<td>Head of School and Members of Staff</td>
<td>1. COURSE &amp; CURRICULUM EVALUATION AND DEVELOPMENT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. COURSE PROMOTION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. RESEARCH, PART-TIME STUDY AND ATTENDANCE AT COURSES AND CONFERENCES</td>
</tr>
<tr>
<td>Faculty</td>
<td>Dean of Faculty and Heads of School</td>
<td>Review of past/current performance and preparation of proposals on:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. RECRUITMENT, ADMISSIONS AND PROMOTION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. ATTENDANCE AND WASTAGE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. EXAMINATION RESULTS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. COURSE PROVISION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. COURSE AND CURRICULUM DEVELOPMENT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. STAFF DEVELOPMENT, RESEARCH AND CONSULTANCY</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Completion of review across faculty on items listed above, and preparation/updating of faculty strategy for presentation to the Faculty Board, in the form of:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. ANNUAL REVIEW OF PAST PERFORMANCE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. UPDATED FACULTY STRATEGY FOR NEXT 3 YEARS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. PROGRAMMES OF ACTIVITY AND THEIR RESOURCING OVER NEXT 3 YEARS</td>
</tr>
<tr>
<td>Level</td>
<td>Participants</td>
<td>Activities/Decisions</td>
</tr>
<tr>
<td>-------------</td>
<td>---------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Faculty (Cont.)</td>
<td>Faculty Board</td>
<td>Monitoring and evaluation of the performance of the Faculty and determination of its academic policy through:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. RECEIPT OF REPORTS ON THE COMPLETE RANGE OF FACULTY ACTIVITIES AND RECOMMENDATION OF REMEDIAL ACTION, WHERE NECESSARY</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. DETERMINATION OF PRIORITIES AND APPROVAL OF STRATEGY FOR SUBMISSION TO THE ACADEMIC BOARD AND ITS SUB-COMMITTEES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. APPROVAL OF SPECIFIC PROGRAMMES AND THE IDENTIFICATION OF RESOURCE REQUIREMENTS FOR THEIR COMPLETION</td>
</tr>
<tr>
<td>College</td>
<td>Director of Studies</td>
<td>Servicing and co-ordination of the work of the Academic Board and its sub-committees through:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. COLLECTION AND COLLATION OF INFORMATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. PREPARATION AND CIRCULATION OF MINUTES, REPORTS, ETC.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. PROVISION OF GUIDANCE/ADVICE ON APPROVED PROCEDURES</td>
</tr>
<tr>
<td></td>
<td>Director of Studies, Chairman of Sub-Committees and Principal (or his representative)</td>
<td>Servicing the work of sub-committees by:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. PREPARATION OF AGENDAS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. IDENTIFICATION AND ACQUISITION OF ADDITIONAL INFORMATION LIKELY TO ASSIST THE SUB-COMMITTEES IN THEIR DELIBERATIONS</td>
</tr>
<tr>
<td></td>
<td>Sub-Committees of the Academic Board</td>
<td>Provision of advice to the Academic Board in the form of reports, with recommendations on:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. PAST PERFORMANCE ACROSS THE COLLEGE IN THE MAIN AREAS OF ACADEMIC ACTIVITY (as already identified above)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. COMPATIBILITY OF FACULTY STRATEGIES WITH THE COLLEGE ACADEMIC PLAN</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. GENERAL RESOURCE IMPLICATIONS OF ADOPTING FACULTY STRATEGIES IN PART OR IN TOTAL</td>
</tr>
<tr>
<td>Level</td>
<td>Participants</td>
<td>Activities/Decisions</td>
</tr>
<tr>
<td>-------</td>
<td>--------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>College (Cont.)</td>
<td>Sub-Committees of the Academic Board (Cont.)</td>
<td>4. ACCEPTABILITY OF INDIVIDUAL PROGRAMMES WITH REGARD TO:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.1 Approved Faculty Strategies</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.2 Availability of Resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.3 Adherence to prescribed standards and procedures</td>
</tr>
<tr>
<td>Academic Board</td>
<td></td>
<td>Determination of policy and allocation of resources within the budget made available by the Local Education Authority. Will involve approval/amendment/rejection of proposals/recommendations originating with Faculty Board, sub-committees of the Academic Board and Senior Management on:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. COLLEGE ACADEMIC PLAN</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. FACULTY STRATEGIES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. COLLEGE ESTIMATES (STAFFING, REVENUE AND CAPITAL)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. COURSE ADMINISTRATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. COURSE PROPOSALS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. COURSE VALIDATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7. PROGRAMMES FOR STAFF DEVELOPMENT RESEARCH AND CONSULTANCY</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8. COLLEGE PROMOTIONAL POLICY</td>
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<td></td>
<td></td>
<td>9. PROVISION OF COLLEGE SERVICES - eg. Library and Media Resources Unit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>10. REVIEW AND IMPROVEMENT OF STRUCTURES, SYSTEMS, PROCEDURES, ETC.</td>
</tr>
</tbody>
</table>

The participants at each level of decision-making in the planning hierarchy will have a strong vested interest in ensuring that their decisions/recommendations are acted upon, and much depends on their resolution in seeing that policies are carried through. Senior Management hold the general responsibility for executing policy, as is indicated below in section 1.3, and will be expected to do so within the guidelines set down by the Academic Board, its sub-committees and Faculty Boards.
1.3 How does Senior Management relate to the new system?

If it were possible to keep the academic policy-making and executive functions completely separate, the Academic Board and its Sub-Committees (including the Faculty Boards) would represent the policy arm of the college and Senior Management its executive arm. In practice, of course, the line between the two is blurred since members of Senior Management are expected to play major initiatory and supportive roles in policy-making and to participate fully in the deliberations of committees, particularly the Faculty Boards and Academic Board. Each Dean acts as Chairman of a Faculty Board and the Principal is Chairman of the Academic Board. In addition, the Director of Studies acts as Secretary to the Sub-Committees of the Academic Board and the Principal is also represented on each one of them.

Even so, the Academic Board is the supreme academic policy-making body of the college and, as far as they are able, members of Senior Management are expected to carry out policy and ensure that programmes are implemented more or less in the form in which they were approved. There will be times, however, when decisions have to be made rapidly in response to external pressures when it may not be possible to follow normal procedures. In such circumstances it may be necessary for the Principal, advised by Senior Management, to take immediate policy decisions to be referred at the earliest opportunity to the Academic Board for confirmation or amendment. Such decisions should be exceptional. In terms of levels of accountability the Deans of Faculty and the Principal carry the main responsibilities. The Deans have to concern themselves with strategic matters, notably changes in and responses to the external environment, and must also ensure the effective day-to-day operation of the faculty by monitoring the service given to students and clients and by maintaining an adequate level of support (both direct and indirect) to staff.
The Principal, under the Articles of Government (paragraph 26) is responsible to the Governors for the internal organisation, management and discipline of the college. He therefore stands in an unique position in relation to the Academic Board (of which he is Chairman) and the Board of Governors and must, when he considers it necessary, exercise powers of independent action in all areas including academic policy.

By providing the college with an open system of government and a strong corporate identity, the Academic Committee Structure and Planning Cycle should do much to foster a strong sense of partnership and common purpose between staff, the Principal and Senior Management.

1.4 Where do the Board of Governors and the Local Education Authority fit in?

Since the college is funded by the County Council it must function in a way which meets the general approval of the Authority and which is consistent with its educational, financial and personnel policies. The general oversight of the college is in the hands of the Board of Governors who meet monthly for most of the Academic Session and report directly to the County Council sitting as the Education Committee (of which all County Councillors are members).

Any policy initiatives which have financial implications (and most do) must of necessity win the support of the Board of Governors and the approval of the Authority. However, the Principal is delegated a large measure of freedom to manage the college within the annual budget allocation and both the Governors and County Council normally respond sympathetically to initiatives taken by the Academic Board and Senior Management. The greater the confidence which the Governors and the Authority have in the way the college is run the more sympathetic and supportive they are likely to be. The successful operation of the Academic Committee Structure and Planning Cycle is likely to provide clear evidence of the capacity of the college to manage its affairs competently and
professionally.

1.5 How will the personnel implications of academic policy (conditions of service, security of tenure, career development, etc.) be tackled?

Staff involved in the policy-making process, at whatever level, will become aware at an early stage of the personnel implications of their decisions, some of which may threaten the security of employment of one group and/or promote the career prospects of another. Such considerations must not be ignored, but the main preoccupation of the Academic Board and its Sub-Committees should be with academic matters. Appropriate machinery exists in the form of a Joint Consultative Committee composed of staff and governors to handle conditions of service and personnel matters and there is also the regular channel of communication between the Co-ordinating Committee of NATFHE and the Assistant Principal (who has a specific personnel responsibility for academic staff across the college) and Principal.

Even so, the clear articulation of policy and effective planning through an open system of college government are important means of identifying personnel issues at the earliest possible stage and enable those representing the interests of staff to take appropriate action in time to influence the course of events.
2. STRUCTURE AND CYCLE

2.1 The Academic Board and its Sub-Committees

As can be seen from Figure 1 above the number of sub-committees of the Academic Board, other than the Faculty Boards, has been restricted to three.

Each of the sub-committees, including the Faculty Boards, reports directly to the Academic Board. For the purpose of operating the planning cycle, however, the three sub-committees are interposed between the Faculty Boards and the Academic Board and have the task of achieving a college-wide perspective of strategies and programmes.

The flow of information and personnel involved are represented in Figure 2 on the following page.
Figure 2
Information Flows

Individuals
Course Tutors
Heads of School

Assistant Principal
Finance Officer

Dean of Faculty

FACULTY BOARD

Director of Studies

PLANNING AND RESOURCING SUB-COMMITTEE

COURSE ADMINISTRATION SUB-COMMITTEE

STAFF DEVELOPMENT RESEARCH AND CONSULTANCY SUB-COMMITTEE

ACADEMIC BOARD
2.2 Main Phases of the Planning Cycle

PHASE 1 (OCTOBER/DECEMBER): REVIEW OF PAST ACADEMIC SESSION (AS) AND FINANCIAL YEAR (FY)

The reviews of the previous Academic Session and Financial Year are undertaken both for their own sake, in order to monitor performance, and also in preparation for the updating of Faculty strategies.

PHASE 2 (DECEMBER/MARCH): UPDATING OF COLLEGE ACADEMIC PLAN AND FACULTY STRATEGIES

The plan and strategies generally project three years (academic sessions and financial years) into the future and are rolled forward annually. Account has to be taken, however, of short-term pressures not previously incorporated into the plan and strategies and also projections submitted by general college services such as the library and media resources.

PHASE 3 (MARCH/JULY): CONVERSION OF STRATEGIES INTO PROGRAMMES OF ACTIVITY AND FINANCIAL ESTIMATES

The major programmes relate to courses and to Staff Development, Research and Consultancy. Their resourcing implications have to be identified and evaluated for incorporation in college estimates to be submitted to the Gwent County Council in September/October.

2.3 Annual Time Table

The annual time table set out on page 1981/82. The area covered by a rectangle indicates which years are involved, so that for each committee:

- top line t-1 relates to previous academic session or financial year;
- second line down t relates to current academic session or financial year;
- third line down t+1 relates to future academic session(s) or financial year(s).
2.4 Information Flow and Phases of the Cycle

Figures 3 and 4 (found on pages 863 and 864) elaborate on the timetable found on page 862 by showing flows of information during each phase of the cycle.

There are two main sources of information, the Faculties, via the Deans, and Central Administration, via the Assistant Principal (who is responsible for the co-ordination of Management Information throughout the college) or the Director of Studies (who is responsible for the co-ordination of course development information throughout the college) or the College Finance Officer.

The information is collected from the Faculties by means of a set of forms. The set contains fourteen forms coded PC1 to PC14. Forms PC1 to PC6 are used to collect primary data from appropriate individuals. Forms PC7 to PC14 are the documents which summarise information collected on PC1 to PC6 and are completed under the supervision of the Deans of Faculty for presentation to their Faculty Boards and submission to the three major sub-committees of the Academic Board (via the Director of Studies).
<table>
<thead>
<tr>
<th>COMMITTEE</th>
<th>YEAR</th>
<th>1981</th>
<th>1982</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Sept</td>
<td>Oct</td>
</tr>
<tr>
<td><strong>FACULTY BOARD</strong></td>
<td>t-1</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>t+1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>PLANNING &amp; RESOURCING</strong></td>
<td>t-1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SUB-COMMITTEE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>t+1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>STAFF DEVELOPMENT</strong></td>
<td>t-1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&amp; RESEARCH SUB-COMMITTEE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>t+1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>COURSE ADMINISTRATION</strong></td>
<td>t-1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SUB-COMMITTEE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>t+1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ACADEMIC BOARD</strong></td>
<td>t-1</td>
<td></td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>t+1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **REVIEW OF:**
  - Faculty Programmes for AS 1980/81
  - Expenditure for AS 1981/83
  - Expenditure for FY 1981/82

- **UPDATING OF:**
  - Faculty Strategies for AS & FY 1982/83 to 1985/86

- **PROJECTIONS OF:**
  - Expenditure for FY 1982/83

- **ASSESSMENT OF:**
  - Economic Implications of Strategies

- **EVALUATION OF:**
  - Staff Development & Research Programmes for AS 1982/83
  - Staff Development for AS 1983/84

- **ESTIMATES:**
  - For 1983/84

- **EVALUATION OF:**
  - Internal Validations
  - Course Proposals (inc. 25% ES) for AS 1983/84 and 1984/85

- **INTERNAL VALIDATION**

- **COMPREHENSIVE REVIEW OF:**
  - AS 1980/81
  - PT 1980/81
  - Progress for AS & FY 1981/83
  - Programmes for FY 1982/83

- **INTERNAL VALIDATION**

- **ASSESSMENT OF STRATEGIES AND UPDATING OF:**
  - Academic Plan

- **REVIEW OF:**
  - Financial Allocation for FY 1983/84

- **EVALUATION & APPROVAL OF:**
  - Internal Validations
  - SD & Research Programmes for FY & AS 1983/84
  - Course Proposals for AS 1983/84 to 1984/85
PLANNING CYCLE
INFORMATION FLOWS: PHASE 1: REVIEW

TIME TABLE

FACULTY STAFF
Form PC1 Form PC3

ASS.PRICIPAL
FINANCE OFFR.
ENROLMENTS
ANALYSIS
FINANCIAL
ANALYSIS

DEAN OF FACULTY

FACULTY BOARD
Form PC7 Enrolments Print-out Form PC11 Financial Statement

COURSE ADMIN SC
Report for A Board

SD & RESEARCH SC
Report for A Board

PLANNING & R SC
Report for A Board

ACADEMIC BOARD
Report for Board of Governors

VIA DIRECTOR OF STUDIES

OCTOBER / NOVEMBER

DECEMBER / JANUARY

863.
PLANNING CYCLE: INFORMATION FLOWS
UPDATING OF FACULTY STRATEGIES AND COLLEGE ACADEMIC PLAN AND PROJECTION OF PROGRAMMES AND ESTIMATES

<table>
<thead>
<tr>
<th>TIME TABLE</th>
<th>FLOWS</th>
</tr>
</thead>
<tbody>
<tr>
<td>DECEMBER/JANUARY</td>
<td>FINANCE OFFICER</td>
</tr>
<tr>
<td></td>
<td>Financial Statement</td>
</tr>
<tr>
<td></td>
<td>Faculty Staff</td>
</tr>
<tr>
<td></td>
<td>PC2, PC4, PC5, PC6</td>
</tr>
<tr>
<td></td>
<td>Dean of Faculty</td>
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<tr>
<td></td>
<td>FACULTY BOARD</td>
</tr>
<tr>
<td></td>
<td>PC9, PC10, PC12, PC13, PC14, PC8</td>
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<td></td>
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</tr>
<tr>
<td>FEBRUARY/MARCH</td>
<td>COURSE ADMIN SC</td>
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<td></td>
<td>Report for Academic Board</td>
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<td></td>
<td>SD &amp; RESEARCH SC</td>
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<tr>
<td></td>
<td>Report for Academic Board</td>
</tr>
<tr>
<td></td>
<td>PLANNING &amp; RES SC</td>
</tr>
<tr>
<td></td>
<td>Report for Academic Board</td>
</tr>
<tr>
<td></td>
<td>ACADEMIC BOARD</td>
</tr>
<tr>
<td></td>
<td>Assessment of Strategies and Updating of ACADEMIC PLAN</td>
</tr>
<tr>
<td>MARCH/JULY</td>
<td>FACULTY BOARD</td>
</tr>
<tr>
<td></td>
<td>FINALISATION OF PROGRAMMES AND ESTIMATES IN THE LIGHT OF STRATEGY ASSESSMENTS AND UPDATING OF ACADEMIC PLAN</td>
</tr>
<tr>
<td></td>
<td>COURSE ADMIN SC</td>
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<td></td>
<td>Report for A. Board</td>
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<td></td>
<td>SD &amp; RESEARCH SC</td>
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<td>Report for A. Board</td>
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<td></td>
<td>ACADEMIC BOARD</td>
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<td>Approval of Programmes</td>
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<td>PLANNING &amp; RES SC</td>
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<td></td>
<td>Report for A. Board</td>
</tr>
<tr>
<td>OCTOBER</td>
<td>ACADEMIC BOARD</td>
</tr>
<tr>
<td></td>
<td>Approval of 1. 21FEs</td>
</tr>
<tr>
<td></td>
<td>2. Estimates</td>
</tr>
</tbody>
</table>

4. MODE OF OPERATION

4.1 Participation
The academic committee structure was designed to encourage and permit
the maximum degree of participation by staff in the formulation of
academic policy at each level in the planning hierarchy.

4.2 Planning Hierarchy
The Academic Board cannot legislate for participation. It is up to
staff to take advantage of the opportunities provided, particularly at
faculty level. The earliest opportunities for influencing policy arise
within the faculty: in school meetings, in discussions among staff in
staff rooms and at Faculty Board. Much of what is discussed at Academic
Board and its three major sub-committees (i.e. other than Faculty Boards)
originates with the Faculty Board.
That is not to say, however, that proposals and information flow in one
direction only. There must be interaction in both directions within the
structure. Faculty strategies are prepared within the framework provided
by a College Academic Plan but the Plan is itself based on past and
present Faculty strategies and programmes. The planning process is, by
its nature, interactive and incremental. It is also a process of
conversion. Faculty strategies are converted into programmes of activity
and these programmes have to be reconciled into college programmes
consistent with and deriving from the Academic Plan. It is the main
function of the three major sub-committees of the Academic Board to advise
the Board of the implications for the college of alternative strategies
and programmes. The Board itself is the final arbiter in determining
policy and advises the Principal, who is its Chairman, directly.

4.3 Time Horizon
For participation to have any meaning staff must be in a position to
influence policy in good time. Estimates, for example, have to be
submitted to the Authority in September for inclusion in the budget for
the following year and it is the budget allocation which determines the
activities which may be resourced during the following Academic session. It follows that to influence policy attention must be focused on the time period 18 months to 3 years ahead. The course of events is largely determined for anything less than 18 months ahead.

4.4 Conduct of Business

It is expected that the conduct of business will become more efficient as participants gain experience. Even so, given the cost of time unnecessarily wasted, attention will need to be given to:

a) pre-meeting preparations: agenda, nature and extent of information to be made available, etc.;

b) the task schedule appropriate to the planning cycle time-table;

and

c) the format to be adopted for reports.

4.5 Task Schedule and Planning Cycle Time Table

The schedules are presented in tabular form on the following page.
<table>
<thead>
<tr>
<th>PHASE</th>
<th>FACULTY BOARD</th>
<th>COURSE ADMINISTRATION</th>
<th>SD RESEARCH AND CONSULTANCY</th>
<th>PLANNING AND RESOURCE</th>
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<td>1. REVIEW (OCT. - DEC.)</td>
<td>1.1 Evaluate Faculty Performance for 1980/81 by reviewing: RECRUITMENT AND ADMISSIONS ATTENDANCE AND WASTAGE EXAMINATION RESULTS SHORT COURSE ACTIVITY STAFF DEVELOPMENT, RESEARCH AND CONSULTANCY PROGRAMMES COURSE AND CURRICULUM DEVELOPMENT 1.2 Identify implications of above for current AS and for period 1983/84 to 1985/86</td>
<td>1.1 Evaluate College Performance for 1980/81 by reviewing: RECRUITMENT AND ADMISSIONS ATTENDANCE AND WASTAGE EXAMINATION RESULTS SHORT COURSE ACTIVITY EMPLOYMENT OF STUDENTS COURSE AND CURRICULUM DEVELOPMENT 1.2 Identify implications of above for current AS and for period 1983/84 to 1985/86 1.3 Consider new, unplanned proposals</td>
<td>1.1 Review Actual Expenditure against approved Estimates for FY 1980/81 and current FY (as far as practicable) 1.2 Consider resourcing implications of unplanned, short-term developments 1.3 Consider projected College activities/programmes against forecast Estimates for FY 1982/83</td>
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<td>2. UPDATING OF STRATEGIES (DEC. - MARCH)</td>
<td>2.1 State Academic Objectives 2.2 Analyse Constraints presented by Internal and External Environments 2.3 Establish Criteria for Assessing Developments 2.4 Present Outline Course Programme 2.5 Present Outline Staff Development, Research and Consultancy Programmes</td>
<td>2.1 Identify course and curriculum development Consequences of Faculty Strategies 2.2 Arrange for and monitor internal validation of new and modified courses</td>
<td>2.1 Identify policy implications of Faculty Strategies and assess their strengths and weaknesses 2.2 Identify gaps in current SD, Research and Consultancy Policy and consider means of filling them</td>
<td>2.1 Evaluate Faculty Strategies against College Academic Plan 2.2 Consider resource implications of Faculty Strategies and identify opportunity costs of main options available to the Academic Board 2.3 Consider resource claims of General Services in the light of 2.1 and 2.2 above</td>
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### APPENDIX V: STATISTICAL TABLES

#### TABLE 1: EMPLOYMENT BY MAIN SECTORS ('000) IN THE COUNTY

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Sources: Census of Employment and estimate* produced by MSC and the County Council.
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Source: FESR (Short courses excluded)
### TABLE 4b: STUDENT ENROLMENTS (FTEs) IN THE FACULTY OF EDUCATION AND COMBINED STUDIES 1978/79 - 1985/86

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<td>496.1</td>
</tr>
</tbody>
</table>

Source: FESR (Short courses excluded)
### TABLE 5: GROWTH OF STUDENTS (FTEs) ON ADVANCED COURSES IN WELSH LEAs HAVING A COMPARABLE COLLEGE OF HIGHER EDUCATION OR POLYTECHNIC 1981/82 - 1983/84

<table>
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</thead>
<tbody>
<tr>
<td></td>
<td>No.</td>
<td>Change</td>
<td>%</td>
<td>No.</td>
<td>Change</td>
<td>%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>from 81/82</td>
<td></td>
<td></td>
<td>from 82/83</td>
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</tr>
<tr>
<td>Home LEA</td>
<td>1,417</td>
<td>1,470</td>
<td>+ 53</td>
<td>+ 3.7</td>
<td>1,655</td>
<td>+ 185</td>
</tr>
<tr>
<td>A</td>
<td>1,353</td>
<td>1,362</td>
<td>+ 9</td>
<td>+ 0.7</td>
<td>1,431</td>
<td>+ 69</td>
</tr>
<tr>
<td>B</td>
<td>3,448</td>
<td>3,655</td>
<td>+207</td>
<td>+ 6.0</td>
<td>4,024</td>
<td>+ 369</td>
</tr>
<tr>
<td>C</td>
<td>2,042</td>
<td>2,212</td>
<td>+170</td>
<td>+ 8.3</td>
<td>2,532</td>
<td>+ 320</td>
</tr>
<tr>
<td>D</td>
<td>929</td>
<td>1,146</td>
<td>+217</td>
<td>+23.4</td>
<td>1,466</td>
<td>+ 320</td>
</tr>
<tr>
<td>Total 5 LEAs</td>
<td>9,189</td>
<td>9,845</td>
<td>+656</td>
<td>+ 7.1</td>
<td>11,108</td>
<td>+1263</td>
</tr>
<tr>
<td>Total Wales</td>
<td>10,185</td>
<td>10,852</td>
<td>+667</td>
<td>+ 6.5</td>
<td>12,145</td>
<td>+1293</td>
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</table>

Source: Statistics of Education in Wales No. 9 1984 (Welsh Office)
<table>
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<tr>
<th></th>
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<td></td>
</tr>
<tr>
<td>Art &amp; Design</td>
<td>AFE</td>
<td>209</td>
<td>246</td>
<td>+37</td>
<td>+17.7</td>
<td>316</td>
<td>+107</td>
<td>+51.2</td>
<td>70</td>
<td>+28.5</td>
<td>380</td>
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<tr>
<td></td>
<td>NAFE</td>
<td>171</td>
<td>160</td>
<td>-11</td>
<td>-6.4</td>
<td>175</td>
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<td>+2.3</td>
<td>15</td>
<td>+9.4</td>
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<td><strong>Total</strong></td>
<td></td>
<td>380</td>
<td>406</td>
<td>+26</td>
<td>+6.8</td>
<td>491</td>
<td>+111</td>
<td>+29.2</td>
<td>85</td>
<td>+20.9</td>
<td>550</td>
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<tr>
<td>Education &amp; Combined Studies</td>
<td>AFE</td>
<td>432</td>
<td>432</td>
<td></td>
<td>9.6</td>
<td>9.6</td>
<td></td>
<td></td>
<td>-0.8</td>
<td></td>
<td>16.4</td>
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<tr>
<td></td>
<td>NAFE</td>
<td>9.6</td>
<td>10.4</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td>441.6</td>
<td>442.4</td>
<td></td>
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<td></td>
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<td></td>
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<td>575.0</td>
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<tr>
<td>Management &amp; Professional</td>
<td>AFE</td>
<td>426</td>
<td>461.2</td>
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<td>-23.0</td>
<td>91.2</td>
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<td>+3.6</td>
<td>23.4</td>
<td>+34.5</td>
<td>72.4</td>
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<td><strong>Total</strong></td>
<td></td>
<td>514</td>
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<td>+15.0</td>
<td>+2.9</td>
<td>577.8</td>
<td>+63.8</td>
<td>+12.4</td>
<td>48.8</td>
<td>+9.2</td>
<td>595.8</td>
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<td></td>
</tr>
<tr>
<td>Science &amp; Technology (IES &amp;</td>
<td>AFE</td>
<td>378.9</td>
<td>366.3</td>
<td>-12.6</td>
<td>-3.3</td>
<td>377.6</td>
<td>-1.3</td>
<td>+11.3</td>
<td>3.1</td>
<td>420.9</td>
<td>+43.3</td>
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<td>ISST)</td>
<td>NAFE</td>
<td>162.6</td>
<td>142.6</td>
<td>-20.0</td>
<td>-12.3</td>
<td>156.4</td>
<td>-6.2</td>
<td>-3.8</td>
<td>13.8</td>
<td>+9.7</td>
<td>75.2</td>
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<td><strong>Total</strong></td>
<td></td>
<td>541.5</td>
<td>508.9</td>
<td>-32.6</td>
<td>-6.0</td>
<td>534.0</td>
<td>-7.5</td>
<td>-1.4</td>
<td>25.1</td>
<td>+4.9</td>
<td>496.1</td>
</tr>
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</tr>
<tr>
<td>College</td>
<td>AFE</td>
<td>1,445.9</td>
<td>1,505.5</td>
<td>+59.6</td>
<td>+4.1</td>
<td>1,699.0</td>
<td>+253.1</td>
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<td>193.5</td>
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<tr>
<td></td>
<td>NAFE</td>
<td>431.2</td>
<td>380.8</td>
<td>-50.4</td>
<td>-11.7</td>
<td>432.2</td>
<td>+1</td>
<td>+51.4</td>
<td>+13.5</td>
<td>334.0</td>
<td>-98.2</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td>1,877.1</td>
<td>1,886.3</td>
<td>+9.2</td>
<td>+0.5</td>
<td>2,131.2</td>
<td>+254.1</td>
<td>+13.5</td>
<td>244.9</td>
<td>+13.0</td>
<td>2,216.9</td>
</tr>
</tbody>
</table>

Source: Table 3 (Short courses excluded)

*Explanatory Note: The figures in Tables 5 and 6 are not strictly comparable because (a) more recent conversion weights have been employed in Table 6 and (b) the figures in Table 5 relate to the LEA rather than the College of Higher Education. Even so, the figures in Table 5 are regarded as useful for making comparison between the college and other similar colleges in Wales with regard to enrolment on advanced courses.*
TABLE 7: STAFF DEVELOPMENT AND RESEARCH BUDGET FOR THE
FINANCIAL YEAR 1984/85

7a EXPENDITURE BY FACULTY AND PROGRAMME (£)

<table>
<thead>
<tr>
<th>FACULTY</th>
<th>PART-TIME STUDY</th>
<th>RESEARCH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Art &amp; Design</td>
<td>220</td>
<td>9,110.0</td>
</tr>
<tr>
<td>Education &amp; Combined Studies</td>
<td>650</td>
<td>1,662.5</td>
</tr>
<tr>
<td>Industrial Engineering &amp; Science</td>
<td>620</td>
<td>13,350.0</td>
</tr>
<tr>
<td>Information Science &amp; Systems Technology</td>
<td>1,850</td>
<td>23,825.0</td>
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<tr>
<td>Management &amp; Professional Studies</td>
<td>1,820</td>
<td>5,850.0</td>
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<tr>
<td>ECS &amp; IES</td>
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<td>2,325.0</td>
</tr>
<tr>
<td>Extra Faculty</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>5,160</td>
<td>60,060.0</td>
</tr>
</tbody>
</table>

7b EXPENDITURE BY FACULTY AND ITEM

<table>
<thead>
<tr>
<th>FACULTY</th>
<th>PART-TIME STUDY</th>
<th>RESEARCH</th>
</tr>
</thead>
<tbody>
<tr>
<td>ART</td>
<td>200</td>
<td>20</td>
</tr>
<tr>
<td>ECS</td>
<td>400</td>
<td>250</td>
</tr>
<tr>
<td>IES</td>
<td>560</td>
<td>60</td>
</tr>
<tr>
<td>ISST</td>
<td>880</td>
<td>850</td>
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<td>MPS</td>
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<td>420</td>
</tr>
<tr>
<td>ECS/IES</td>
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<tr>
<td>Ex.Fac.</td>
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<td></td>
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<tr>
<td>TOTALS:</td>
<td>3,440</td>
<td>1,600</td>
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</table>

*Allleviation calculated at £12.50 per hour

7c GENERAL DISTRIBUTION OF ALLOCATION

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Part-Time Study</td>
<td>= 5,160</td>
</tr>
<tr>
<td>Research</td>
<td>= 60,060</td>
</tr>
<tr>
<td>Contingency Reserve</td>
<td>= 1,280</td>
</tr>
<tr>
<td></td>
<td>= 66,500</td>
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</tbody>
</table>
APPENDIX W


1.2 Success in Exploiting Strengths and Correcting Weaknesses

The college has achieved major successes in the development of new courses (eg. B.Eng., Postgraduate qualifications in Management, PGCE in 3D Design and BTEC Higher Diploma in Film and Video) and continued to enhance its reputation with key clients and influencing agents. It has also demonstrated an ability to respond quickly and positively to changes in the external environment and thereby meet identifiable social, educational and industrial needs (eg. development of INSET programme and establishment of Open Learning and PTF Units).

Considerable success has also been achieved in correcting weaknesses. Internal validation procedures have become much more rigorous with the result that performance at external validation has greatly improved. A number of submissions have won high praise from external validating bodies and in so doing have enhanced the reputation of the college.

Administrative support has been greatly improved on all sites. Staffing of the technician and library services has been improved as have the library facilities on the 'A' site. The provision and utilisation of space on the 'A' site has greatly improved, though problems remain. The transfer of Fine Art to the 'C' site is expected to produce significant improvements in the accommodation provided for students in the Faculty of Art and Design.

As might be expected progress has not been uniform and performance has been mixed in a number of important areas. The promotional effort at individual faculty level has improved more rapidly than marketing at the corporate level. The generally high standards achieved in course and curriculum development serve to direct special attention to the few courses which experience difficulty at external validation. It is taking longer
to develop applied research and consultancy programmes than originally envisaged. Progress might also have been more rapid with the development of formal procedures for course monitoring and evaluation. A major advance is expected by linking course monitoring and evaluation to the 'Review Stage' of the Planning Cycle. Seen as a means of achieving integration and an enhanced corporate identity the Planning Cycle has yet to realise its full potential. Even so it has played a crucial role in increasing the level of corporate awareness in the college, particularly of changes in the external environment, and in identifying problems to be tackled. While progress has been made in improving resource utilisation performance since 1982/83 (a transitional year and the worst which could have been selected for the Value for Money exercise conducted by District Audit) this remains the area claiming greatest attention over the next three years and to which priority is given in the strategy set out in section 3.

1.3 Success in Creating and Exploiting Opportunities and in Combating Threats

Success has been achieved in improving the college share of the full-time students entering the public sector of HE following the restriction of entry into the University sector. The effects of the economic recession and consequent reduction in part-time students recruited from the traditional heavy industries have been combated by diversification into Open and Distance Learning and the creation of a Practical Training Facility. Initiative for these developments has come from the Faculty of Industrial Engineering and Science. Opportunities have been created and exploited by several faculties for increased networking arrangements with other HE institutions on both sides of the binary line. The INSET programme has been quickly expanded in partnership with the LEA to exploit new funding arrangements and to increase the throughput of teachers. The economic recession continues to have a depressing effect on recruitment and the college has yet to evaluate the threat posed by changing patterns
of attendance and modes of learning currently being encouraged by employers who have an increasing preoccupation with an immediate and measurable return on investment in training.

3.3 Strategic Objectives

3.3.1 Range of Services

3.3.1.1 The dominant activity of the college in accordance with County policy shall be the provision of learning opportunities for students on advanced courses. By 1987/88 the proportion of AFE activity, measured in FTE students, shall be 85%.

3.3.1.2 Over the next three years steps will be taken to organise income earning activities (economic courses, applied research and consultancy, Open Learning, PTF and the Distribution Network) on a corporate basis.

3.3.2 Course Provision

3.3.2.1 The current course portfolio for AFE will remain largely unchanged over the next three years, apart from the addition of a BTEC Higher Diploma in Fashion and the acquisition of honours for the B.Eng.

3.3.2.2 The current course portfolio for part-time AFE and NAFE will need to accommodate the changing needs of employers and a shift is expected towards evening-only study, individualised learning and in-plant bespoke courses.

[Faculties are asked to indicate what steps they intend to take to accommodate to this change].

3.3.2.3 The college will respond positively to the expectations of the LEA, WJEC and other agencies for a significant contribution by the college to in-service training for School and FE teachers and to Pickup.

[Faculties are asked to indicate how they intend to respond to these expectations].

3.3.3 Staff Development and Research

3.3.3.1 The college will seek to increase the annual allocation for Staff Development and Research by £20,000 p.a. to accommodate growing
pressures for full-time secondment and research activity linked to degree provision across the college.

3.3.3.2 All projects funded from the Staff Development and Research budget shall form part of an integrated programme designed to meet identifiable faculty or college needs with specific reference to course and curriculum development, staff development and the preparation of papers and articles for publication.

3.3.3.3 Changes in the funding arrangements need to be considered in order to allow faculties greater discretion in the utilisation of funds so as to permit a shortening of the lead time in responding to need and to increase in the degree of accountability achieved.

3.3.3.4 Each faculty shall, at the earliest opportunity, undertake a programme of Staff Development interviews in order to establish the gap at present existing and projected over the next 3-5 years between the knowledge, experience and skills currently possessed by staff and those required to meet client needs.

3.3.3.5 Each faculty shall devise a staff development programme demonstrating by what means, if any, the gaps may be closed and the responsibilities to be shared by the Individual, the Faculty and the College for its achievement.

3.3.3.6 Priority shall be given in 1985/86 to college programmes relating to:

a) Computer orientation;
b) Teaching/Learning Practice.

3.3.4 Marketing, Promotion and Goodwill

3.3.4.1 Senior Management shall implement the Promotional Policy approved by the Academic Board.

3.3.4.2 Senior Management will prepare a programme for the development and promotion of a college corporate image over the next three years and present their proposals to the Academic Board.
3.4 Course Monitoring and Evaluation

3.4.1 A rigorous and comprehensive system of course monitoring and evaluation designed to meet the standards required by CNAA and other Validating Bodies shall become fully operational in 1985/86.

3.4.2 The Review Stage of the Planning Cycle will be more fastidiously completed than in the past and no reports shall be submitted to the Sub-Committees of the Academic Board without prior consideration by the Faculty Boards.

3.4.3 Each faculty shall undertake an annual review of the condition of courses in terms of the need to undertake maintenance, enhancement, major revision or replacement.

3.5 Resource Utilisation Performance

3.5.1 SSR's

The following SSR's will be achieved by the faculties and the college over the next three years (AFE and NAFE combined):

<table>
<thead>
<tr>
<th></th>
<th>1985/86</th>
<th>1986/87</th>
<th>1987/88</th>
</tr>
</thead>
<tbody>
<tr>
<td>COLLEGE</td>
<td>10.0</td>
<td>10.5</td>
<td>11.0</td>
</tr>
<tr>
<td>FACULTIES:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Art and Design</td>
<td>9.0</td>
<td>9.5</td>
<td>10.0</td>
</tr>
<tr>
<td>Education &amp; Combined Studies</td>
<td>11.0</td>
<td>11.5</td>
<td>12.0</td>
</tr>
<tr>
<td>Industrial Engineering &amp; Science</td>
<td>8.5</td>
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<td>9.5</td>
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<tr>
<td>Information Science &amp; Systems Technology</td>
<td>8.5</td>
<td>9.0</td>
<td>9.5</td>
</tr>
<tr>
<td>Management &amp; Professional Studies</td>
<td>12.5</td>
<td>12.5</td>
<td>13.0</td>
</tr>
</tbody>
</table>

3.5.2 Student Targets and Staffing

The above SSR's relate to student targets submitted by the faculties. The implied staffing levels shown in Appendix A relate to those student targets. Failure to achieve intended student FTE's will naturally affect the FTE Staffing Component (i.e. the denominator of the SSR).

3.7 Organisational Culture

The prominence given to effectiveness and efficiency is not intended to imply acceptance of an exclusively 'managerialist' perspective. It is
recognised that the performance of students and staff depends very much on the quality of the working environment provided by the college, especially the kind of academic community created and the values and beliefs shared by its members.

3.7.1 Environment for Students
The view is taken that it is both desirable in principle and crucial to recruitment that a learning environment is provided for students which:

a) is stimulating, sympathetic and supportive;

b) maximises life chances in terms of both career and personal development;

c) promotes self confidence and critical self-awareness; and

d) encourages the development of interpersonal skills and co-operative effort.

It is recognised that the ability to create such an environment depends primarily on the professional skills and commitment of staff with particular reference to:

a) course and curriculum design and development;

b) teaching/learning practice and the management of the learning process; and

c) student-staff relationships.

Development opportunities are not confined to the classroom, however, and a high priority is attached to encouraging the involvement of students in the decision-making processes of the college and in stimulating their interest in social, cultural, recreational and other activities. It is expected that the transfer of Fine Art to the 'C' site and the utilisation of the facilities provided by the new building will provide one such stimulus.

3.7.2 Environment for Staff
The performance of staff has always depended more on personal integrity and professional commitment than on financial reward. What distinguishes the present situation is that diminishing prospects for career advancement
or better financial rewards are accompanied by growing pressures for improved professional performance. In such circumstances it is difficult to determine what 'quid pro quo' can or should be offered to the conscientious and committed professional. Nevertheless an attempt has to be made and an understanding reached on the organisational arrangements and environmental conditions most likely to sustain and increase personal commitment and job satisfaction.

At present reliance is placed on a collegiate approach to management which attaches importance to the organisational climate created by:

a) a Faculty and Schools structure which promotes academic leadership;

b) a participative academic committee structure and planning cycle which encourages a strong 'bottom-up' contribution to planning, programming and monitoring;

c) the allocation of a substantial budget each year to staff development and research; and

d) established and well tried processes of negotiation and joint consultation between colleagues exercising their representative and managerial roles.

It has to be determined how far reliance will continue to be placed on the above or to what extent increasing attention will need to be given to:

a) physical working conditions, notably staffroom accommodation;

b) level of administrative and other support;

c) research activity and/or research supervision; and

d) conditions of service.
### APPENDIX A

<table>
<thead>
<tr>
<th>FACULTY</th>
<th>1985/86</th>
<th></th>
<th></th>
<th></th>
<th>1986/87</th>
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<th>1987/88</th>
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<td>FTE * Staff</td>
<td>FTE Students</td>
<td>SSR</td>
<td>FTE * Staff</td>
<td>FTE Students</td>
<td>SSR</td>
<td>FTE * Staff</td>
<td></td>
<td></td>
</tr>
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[*N.B. The FTE staff represent a net figure and not full-time establishment plus FTE's of Visiting Lecturers*].
A FOUR-PHASE POLITICAL MODEL OF POLICY FORMATION

**INSTITUTION**

**PHASE 1 GARBAGE CAN**

**INPUT**
- People with problems
- People with solutions
- Participants with time & energy
- Tension

**PROCESS**
- Buffering processes:
  - Disclaiming jurisdiction on issue
  - Closing ranks
  - Communication prevention
  - Facilitating processes
  - Directives
  - Allies
  - Hit power centre

**OUTPUT**
- Problem oversight
- Flight from problems
- Coupling of problems with potential solutions

**PHASE 2 NEGOTIATION - POLITICAL**

**INPUT**
- Agreement of terms of reference
- Clarity on goals, nature of problem by participants
- Few active participants

**PROCESS**
- Active influencers
- Interaction of small primary groups
- Striking of bargains, compromises
- Informality
- Brokerage role of administrator

**OUTPUT**
- Broad agreement on possible compromise + preferred solution
- Hopes for policy agreement
- Incentives to make progress
- Drop-out of some participants

**PHASE 3 PERSUASION + LEGITIMATION**

**INPUT**
- Partial clarity on likely areas of solutions

**PROCESS**
- Few activists
- Superficial collegiality for 'decision'
- Testing of solution against criteria of acceptability, feasibility etc.
- Reaffirmation of bargains

**OUTPUT**
- Agreed policy of lines of action
- Commitment of groups to action
- Guidelines to executive
- Legitimacy of policy

**PHASE 4 BUREAUCRATIZATION**

**INPUT**
- Legitimate policy
- Clarity on means-end relationship
- Some loose ends

**PROCESS**
- Swift implementation
- Modification of policy in light of administrative norms
- Supplementation of solutions through experience
- Executive action

**OUTPUT**
- Administered and operational policy

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Possibilities of loop backs and jump-overs and consequences

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FORMAT FOR FACULTY STRATEGIES CHOSEN BY THE FACULTY OF MANAGEMENT

1. STATEMENT OF GENERAL ACADEMIC OBJECTIVES

2. REVIEW OF THE PAST ACADEMIC SESSION

2.1 Internal Environment

2.1.1 Courses

a) Student enrolments.

b) Student fall-out.

c) Examination performance.

d) Quality of Teaching/Learning Programmes.

2.1.2 Research

2.1.3 Staff Development

2.1.4 Resource Provision

a) Staff.

b) Space.

c) Administrative support.

d) Advertising and course literature.

e) Library.

f) Revenue allocation.

2.1.5 Faculty's Culture/Mode of Operation

2.2 External Environment

2.2.1 County Setting

a) Resource allocation from County Council.

b) Demand for courses.

2.2.2 All-Wales Setting

a) RAC (WJEC).

b) RSI and Specialist HMI's.

c) Capping of AFE Pool.
2.2.3 **UK Setting**

a) Public expenditure cuts.

b) Course fees, notably for overseas students.

3. **CRITERIA FOR ASSESSING DEVELOPMENTS**

3.1 *The Importance of Criteria*

3.2 *Two Basic Resource-Utilisation Criteria*

3.2.1 *Requirement to ensure effectiveness and efficiency of current activities*

3.2.2 *Preference for developments employing existing resources over developments requiring new/alternative resources*

3.3 *General Criteria*

3.3.1 *Compatibility with strategic objectives*

3.3.2 *Provision of comprehensive range of courses*

3.3.3 *Evidence of need from clients*

3.3.4 *Evidence of viable potential student numbers*

3.3.5 *Adequate resourcing*

3.3.6 *Advancement of educational thinking and practice*

3.3.7 *Avoidance of unnecessary duplication*

4. **COURSE PROGRAMMES FOR NEXT THREE YEARS**

4.1 *Preferred Policies of each of the Five Schools within the Faculty*

4.2 *Potential Cross-Faculty Developments*

4.3 *Short Course Provision*

4.4 *Resource Implications of Above*

5. **STAFF DEVELOPMENT AND RESEARCH PROGRAMME**

5.1 *State of the Existing Programme*

5.1.1 *Part-Time Study*

5.1.2 *Research*

5.1.3 *Secondment*

5.1.4 *Curriculum Development*

5.2 *Future Programme*
APPENDIX Z

QUESTIONS PRESENTED TO THE 3 INTERNAL ASSESSORS

Explanatory Note

As indicated in the Introduction to the Longitudinal Study the objective in seeking your assessment is to test for partiality. By definition, the Researcher and others reviewing the development of the college over the ten-year period will apply a selective perception to events and formal records of them. It is important to the Researcher and others reading his dissertation that a test of authenticity be applied and your help is sought in establishing how accurate, reliable and impartial you consider the Researcher's version to be. The questions are divided into four sets.

1. Phase 1 ('Before' Phase)

1.1 How authentic do you find the account provided of the merger with particular reference to:

a) The deliberations of the Merger Working Party and the creation of the merged institution?

b) The nature of the three constituent institutions and the myths and stereotypes held by and of them?

1.2 How authentic do you find the account provided of the following:

a) The role played by the Chairman and Board of Governors?

b) The relationship between the College and the LEA?

c) The expectations of staff that the 'managers should manage', and the unwillingness of the Academic Board to approve the creation of a sub-committee structure interposed between the Faculty Boards and the Academic Board?

d) The responses to and management of the financial cuts exercises?

e) The 1977 CNAA visit and the responses to the Report, notably the interpretation of the messages contained within it?

f) The models and style of management adopted within each faculty?

g) The style of leadership practised by the Principal?

h) The roles played by the Researcher?
1. The part played by NATFHE?

j) Major sources of conflict and their resolution/containment?

1.3 How far do you share the perceptions of internal and external
turbulence provided in the study?

2. Phase 2 ('Initiation of Change' Phase)

2.1 How authentic do you find:

a) The account provided of the introduction of corporate planning, notably
the time taken, the influence exerted by CNAA, developments in the Faculty of
Management and the appointment of the Researcher as Dean?

b) The account given of the varying perceptions of and responses to the
Planning Cycle among the faculties?

2.2 How far was the system first introduced considered over-elaborate
and bureaucratic and to what extent did the production of the Handbook and
Guidelines improve matters?

2.3 How important was the 1979 CNAA visit in conferring legitimacy
on the Planning Cycle?

3. Phase 3 ('After' Phase)

How authentic do you find the account provided of the following:

a) The role played by the Chairman and Board of Governors?

b) The relationship between the College and the LEA and the significance
of changes in the local and regional economies?

c) The management and funding of HE and the influence exerted by WAB?

d) The 1982 CNAA visit and the responses to the Report?

e) The value for money study of the Audit Commission and its ramifications?

f) The influence of HMI?

g) The changes in management structure, notably the division of the
Assistant Principal's role and the splitting of the Faculty of Science and
Technology in two?

h) The management of the Faculties and the degree of internalisation of the
Planning Cycle as revealed in the operation of the three phases?
1) The functioning of the Sub-Committees of the Academic Board and their impact on decision making and executive action?

j) The functioning of the Academic Board and its impact on decision making and executive action?

k) The production of corporate plans and their impact on decision making and executive action?

l) The roles and responsibilities of Senior Management and the contribution, if any, made by the Planning Cycle to clarifying their relations with the Academic Board and responsibilities for executive action?

m) The styles of management adopted within each faculty and the influence, if any, of the Planning Cycle upon them?

n) The style of leadership of the Principal and the influence, if any, of the Planning Cycle upon it?

o) The roles played by the Researcher?

p) The part played by NATFHE?

q) Major sources of conflict and their resolution/containment?

4. General View

4.1 How far do you consider the longitudinal study provides an authentic (i.e. accurate, reliable, impartial) account of the management of the college over the ten year period?

4.2 In what respect, if any, does the account understate, overstate, or miss the significance of events or the actions and influences of individuals, groups and agencies?

4.3 How far do your perceptions of the Researcher match his own, as revealed in Section B of Chapter 6?

4.4 How authentic is the account given by the Researcher of his roles and their performance over the ten year period.

4.5 How far do you share the perceptions of internal and external turbulence provided in the study?
4.6 How far do you share the view of the general influence exerted by corporate planning on the management of the college?

4.7 What other observations, if any, would you like to make about the study?