

THE UNIVERSITY OF HULL

**A Systemic Approach to Collaborative Implementation Network
Structures: Implementation of Cultural Tourism Products in an
English Seaside Context.**

being a Thesis submitted for the Degree of PhD

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by

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Abstract

A Systemic Approach to Collaborative Implementation Network Structures: Implementation of Cultural Tourism Products in an English Seaside Context.

There seems to be a recognition within the domains of strategic policy processes that joint-working and joined-up thinking is desirable, useful and necessary to enable successful policy implementation. Despite this it appears that there are problems and issues in the operationalisation of these intentions, or even a lack of knowledge and guidance on how to bring them about. It was the aim of this research to explore the possible structural issues that could be impacting upon this problem, and to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication.

To further this aim, objectives were set to develop a methodological framework, to explore the application of a Complex Systems approach to policy implementation and the complementary use of the VSM and Social Network Analysis, plus to gain further insights into the processes of cultural tourism implementation.

A methodological framework was successfully developed using a Complex Systems approach and in particular the complementary use of the VSM and Social Network Analysis that did allow for a deeper understanding of policy implementation in terms of the dynamic links and power structures between the actors, system identity and communication and control mechanisms. Insights into the processes of cultural tourism implementation were also gained particularly with regard to organisational and network identity and purpose.

Original contributions to the body of knowledge were also made concerning the literature on policy implementation and collaborative governance, including the application of a Complex Systems approach, the complementary use of the VSM and Social Network Analysis, plus insights into cultural tourism implementation processes.

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1 Introduction

Many recent strategic policy documents have upheld 'joint working' and 'joined up thinking' as the way forward in implementing policy. However in practice this appears not to be happening, with fragmentation and a lack of cohesive action being endemic within the policy arenas concerned.

For example, a report by from the UK government's Cabinet Office (Strategic Policy Making Team, 1999) recognises a rise in complexity and advocates a 'joined-up' approach to policy making, although they do not offer any guidelines on implementation. Perri 6, Diana Leat et al (2002) concur with the need for cohesion and for 'joined up' policy making as does Mulgan (2001), although they recognise a lack in progress in this direction.

There has been a long history in the UK of regional planning and regional and urban policy interventions by government. It has however been widely acknowledged that these actions have not been totally successful (Gibbs 1998; Chatterton 2002; Gripaos 2002; Reinicke & Deng, 2000). Chatterton (2002) states that there are continuing problems of social exclusion and environmental abuse of resources, while Gripaos (2002) describes neighbourhoods of disadvantage and old industrial areas with struggling economies. He argues that the divide is widening between the rich and poor areas despite many attempts by government through various policies to address the regional inequality problems.

Arguments are raised that the reason for the failure of policies is the continued basing of these policies on old orthodox premises of competition and entrepreneurship with a narrow economic focus (Gibbs, 1998), investment centred

ideologies (Chatterton, 2002) and top-down enforcement (Gripaios, 2002) with no local democratic decision-making.

Yorkshire Forward, a UK Regional Development Agency (RDA), has expressed a wish to develop joined up working on a more formal basis in line with the EU European Spatial Data Perspective. They acknowledge that this currently tends to happen more by luck than by design (Thomas & Bruff, 2000). This is confirmed by a National Association of Councils for Voluntary Service report that states, “Many RDAs do not appear to understand the need for social and economic regeneration to go hand in hand” (Greig-Smith, 2004).

Preliminary data collecting interviews for this study (Barnes, 2004:, Kelly, 2004:, Massey, 2004), have corroborated this view, with officials responsible for delivery of policy reporting that despite visions and protestations of joint-working, joined-up government, partnership and multi-agency involvement by various governmental departments, much of their project funding still requires a purely economic focus on outcomes, with individual stakeholders also concentrating on their own discipline-orientated performance targets which show little regard for the ‘bigger picture’.

Policy integration is a key objective of European policy under the Fifth Environmental Action Programme, and integration is to be achieved in five sectors:

- Tourism
- Industry
- Transport
- Agriculture
- Energy (Baker et al., 1997:, Mehra and Jorgensen, 1997).

A further example of intended joined up working, concerns the term ‘sustainable development’, a term which encompasses an attempt to integrate environmental protection, social equity and economic growth considerations.

The term ‘sustainable development’ was brought to widespread prominence with the publication of a report from the United Nations’ World Commission on Environment and Development (1987) ‘Our Common Future’ (also known as the Brundtland Report). The report defined sustainable development as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development, 1987:5).

The report’s aim was to solve the tension between environmental protection, social equity and development/economic growth. Environmental considerations, it stated must be incorporated into economic decision-making (Dresner, 2002). The Brundtland Commission managed to bring a palatable political solution to those wishing to pursue economic growth, as it did not preclude growth, but still addressed the concerns of others wanting to deal with environmental concerns and inequities between rich and poor (Baker et al., 1997). To enable sustainable development to be enacted, then joined up thinking and joint working would have to be prerequisites.

The Rio Earth Summit in 1992 was one consequence of the Brundtland Report. It was this summit that introduced Agenda 21 that stressed the role of the market and trade in achieving sustainable development and had recurring themes of integration of policy, participation and bottom up governance (Dresner, 2002). It is the emphasis on participative bottom up government that has allowed local authorities to become involved in sustainability issues. However Patterson and Theobald

(1999:168) stated that the local authority agenda 21 (LA21) lacked an “adequate national and regional framework to coordinate the work done at local level”. This meant that policy implementation using a ‘joined up’ approach was likely to be haphazard, patchy and ultimately unsuccessful.

Baker et al (1997) argue that there is a need to reduce fragmentation and remove existing barriers to integration if there is to be a shift towards greater sustainable development and successful collaborative policy implementation. These barriers are discussed by Liberatore (1997) and include short-termism, a lack of appreciation of the link between cumulative effects and future states of the environment, insufficient resources including economic and technical capacity and vested interests. Ravetz (2000:36) on the other hand illustrates that win-win-win situations can occur when true integration and joint working takes place (see the following figure).

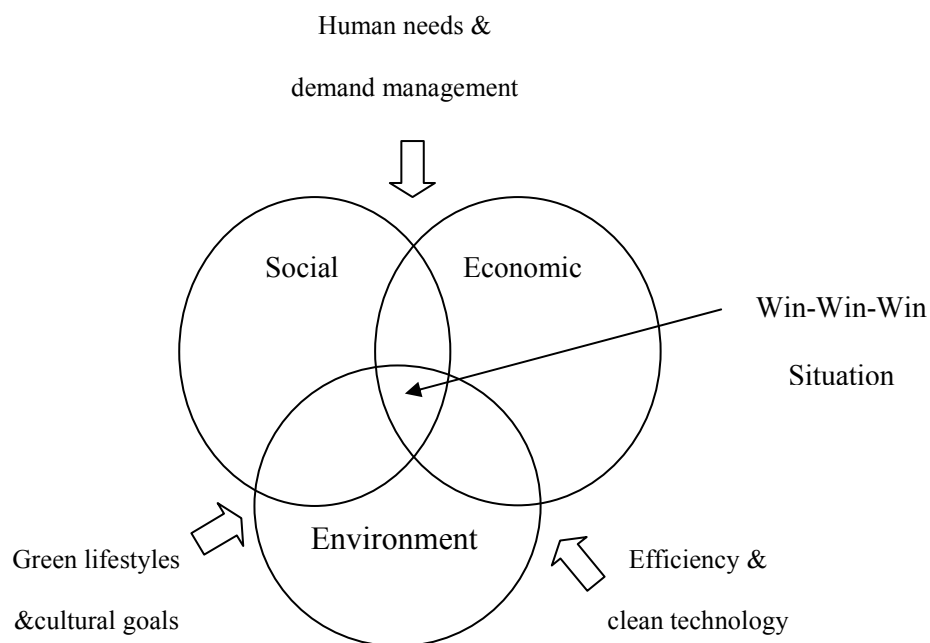


Figure 1.1 Economic, social and environmental win-win-win situation

Adapted from: Ravetz (2000:36)

Despite this potential advantage Ross (2005) states that having to juggle these three elements is an enormous job which is also hard to monitor. Liberatore (1997) also argues that if one of the elements is seen to be weaker than the others then a dilution effect may occur rather than integration; for example environmental concerns may become subsumed by economic and social issues.

With regard to policy integration implementation both Young (1998) and Patterson and Theobald (1999) express concerns over the abilities of local authorities. Young believes that only a small number of authorities in the UK actually appreciate that a cross-disciplinary decision-making process is necessary to put holistic policy integration into practice.

Patterson and Theobald (1999:161) consider that local authorities are now subject to financial and legal constraints which hinder imaginative policy making and they are losing power in a 'hollowing out' manoeuvre. They describe decline in democratic accountability and loss of power to international bodies such as the EU, national/central government, private sector and "non-elected centrally constrained" bodies such as the NHS and RDAs. Haughton and Counsell (2004:170) also advise studying how institutions exercise power within national, regional and local policy arenas.

Gibbs (1998) describes a growing awareness at least at the European Union (EU) level of a need to integrate policies which requires greater democratic community involvement in decision-making. This concept is endorsed by Chatterton (2002), who argues for more people-centred development, an alternative way to assess successful development and less "paternalistic government" that currently "inhibits new ideas and alternative views".

Both Gibbs (1998) and Espejo and Stewart (1998), also believe that local community democratic decision-making is extremely important and is an essential element of development. Yet Chatterton highlights the lack of a mechanism for this debating.

Gibbs also describes concerns regarding the implementation and the integration of economic, social, environmental and democratic agendas. He argues that the Regional Development Agencies (RDA) do not state how this integration is to be achieved and are vague about the delivery of such policies in operational terms.

Chapman (2004:31) argues for not only a new policy paradigm which would give a framework for agreement and joined up working, but also new approaches to organisational systems for “delivering policy on the ground”. This corresponds with Mulgan’s (2001:29) view when he states that there now needs to be “rigorous applications” of “theoretical reflections” concerning more holistic thinking. Previous contributions from a holistic perspective have concentrated on the content and conversations surrounding policy development. There is a need for more of a focus on the structural and technological aspects of policy implementation.

In summary therefore, there seems to be a recognition within the domains of strategic policy processes that joint-working and joined-up thinking is desirable, useful and necessary to enable successful policy implementation and the achievement of required outcomes. However it appears that despite this there are problems and issues in the operationalisation of these intentions, or even a lack of knowledge and guidance on how to bring them about. It is the aim of this research to explore the possible structural issues that could be impacting upon this problem and the ensuing concerns of fragmentation and collaboration.

1.1 Policy Structures and Policy Context

The following figure illustrates the structures and strategy and policy relationships within the UK in which this research is set:

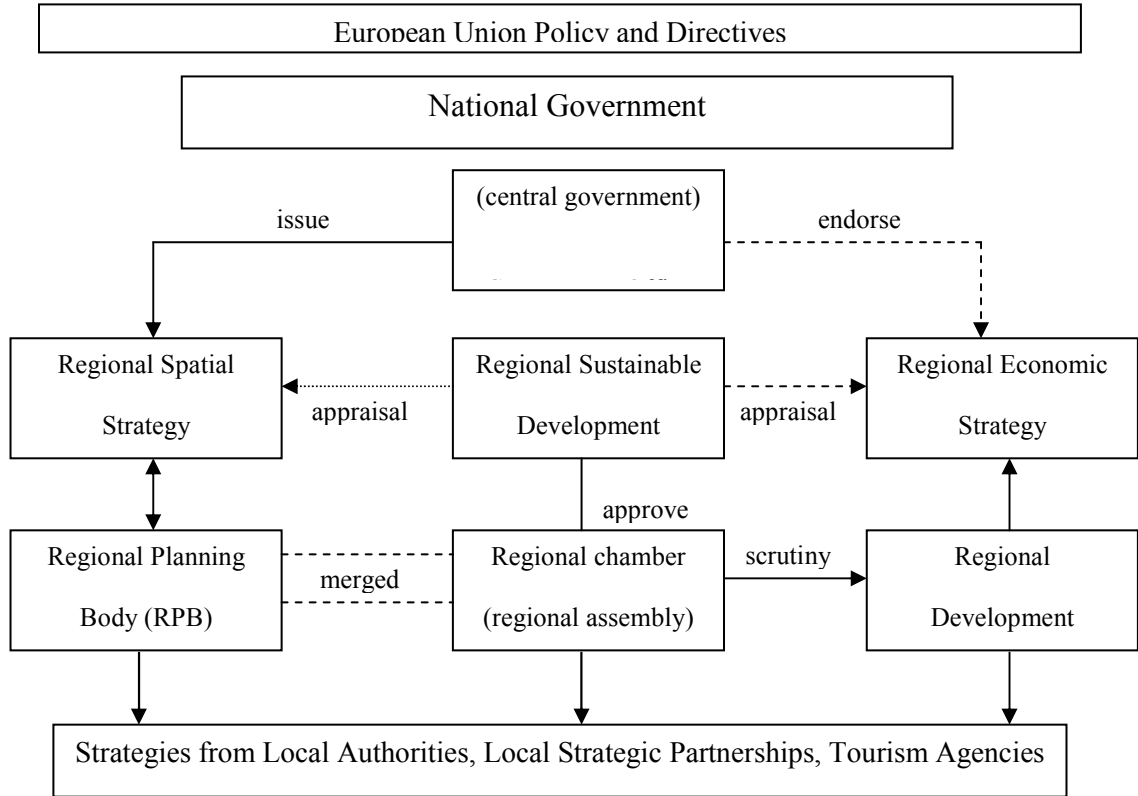


Figure 1.2 Principle regional bodies and strategies

Adapted from: Haughton and Counsell (2004:20)

During New Labour's first term which began in 1997, political devolution was set in motion. Following the introduction of political devolution to Scotland, Northern Ireland and Wales with their National Assemblies and Development Agencies, new regional institutions were also introduced into England. Government Offices, Regional Assemblies and Regional Development Agencies (RDA) are now operating in the eight regions of England (Haughton and Counsell, 2004).

The Regional Assemblies are involved in many aspects of strategic policy

development affecting quality of life including economic development, tourism, environmental protection and transport. They also are charged with regulating the activities of the Regional Development Agencies whose main purpose concerns economic development and the production of a Regional Economic Strategy. Despite their focus on economic matters, the RDAs are expected to consider sustainable development issues and also pay heed to social exclusion. The Government Offices represent the central government in the regions and although having lost some responsibilities to the RDAs, they still produce the Regional Spatial Strategies (RSS) previously Regional Planning Guidance (RPG) (Haughton and Counsell, 2004).

It is argued by Haughton and Counsell that by passing on responsibilities for development and regional planning to the regions, there maybe scope for stronger or more varied and innovative approaches. This potential they argue could increase when taking into account devolution to Wales, Scotland, Northern Ireland and London as all of their administrative bodies have proclaimed commitments to policy integration.

1.2 Complexity

The policy process is an extremely complex high variety system, involving multiple actors and agents with differing objectives and resources over varying periods of time. In attempting to explore and develop implementation structures involving joint working within this environment, it is necessary to find a means by which to manage all of this variety. Previous hierarchical, top down and bureaucratic approaches synonymous with the mechanistic Scientific Management School of the Industrial

Age have been shown to be not fully adequate to deal with the increasing rates of change and exploding complexity in an age that requires flexibility and swift adaptation (Espinosa, Harnden and Walker, 2007; Alter and Hage, 1993). It is argued in this study that a Complex Systems approach is needed.

Chapman (2004) states that there are challenges brought by increased complexity and he argues that in situations of complexity, outcomes cannot be predicted with any certainty. He uses the analogy of throwing a rock and a bird to help visualise the difference between a mechanistic linear model where the landing of the rock can be calculated fairly accurately, and a systems approach where predicting the trajectory of the bird is not a simple cause and effect relationship.

In addition to having to address increased complexity, Chapman also explains that a new approach is required because he believes command and control top down government is amoral, directive and uses institutional authority to achieve its policy targets. He argues for government that takes account of freedom of choice and enables the population to be “active agents” in achieving the required objectives. To meet these requirements he contends that a more holistic, complex systems approach is needed, which can be especially useful in environments of complexity where human activity is involved. It is this Complex Systems Approach that will be taken in this research.

1.3 Research Context

The research context and the case study domain for this study will be the Borough of Scarborough and the development of cultural tourism products. With regard to the

context and case study of this research, a previous study had been undertaken to investigate the consideration of cultural and creative issues within economic development in the UK (Watts, 2004).

This showed that those cities with higher job density and new VAT registrations had more cultural and mixed objectives than purely economic aims. Where a local authority acknowledged the inputs of a wider perspective (that is cultural and creative issues) there was increased economic activity in terms of the number of business start-ups and more job opportunities created. This would seem to indicate that a holistic, more joined up, collaborative approach is more beneficial in policy implementation.

It has been assumed in this research that collaboration is a prerequisite for policy implementation particularly bearing in mind the push for joint working in the policy process and that collaboration can be considered an implementation strategy (Imperial, 2001, 2005).

Initial investigations and observations in the field for this study showed that fragmentation was occurring within the policy arena of arts and culture and also the local tourism industry. With the local authority then stating that they wished to develop cultural tourism products, it became apparent that to ensure more successful implementation of this policy, tools would be required to ascertain the extent and particular occurrences of fragmentation in the policy arena which were jeopardising joint working. 'Control' structures or the organisation of individual actors within the policy arena would also have to be considered particularly with regard to collaboration and contributions to the collective good and shared assets such as

branding and quality. Integral to this end would be investigations into the structural arrangements of the policy network relationships

The main aim of this study therefore is to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication.

The intention is to develop a framework to allow investigation of pre-implementation conditions in the policy arena pertaining to structure, fragmentation, collaboration, control and communication and also provide suggestions for the design of more useful structures for implementation. Following the development of this framework, it will be applied to a case study situation involving the implementation of policy.

The initial plan for this research was to use a Case Study strategy, however as fieldwork progressed and involvement in the policy arena grew, opportunities arose to take more of an Action Research approach to the work. This will be explained more fully in the Research Methodology chapter. The Case Study for this research is set in the UK in the Borough of Scarborough. In 2005 Scarborough Borough Council (SBC), the local authority for the Borough published its Tourism Strategy (Scarborough Borough Council, 2005a). The vision for tourism for the Borough for 2005 to 2010 is stated as being

“to develop a sustainable year round tourism economy with broad market appeal generating higher levels of expenditure and increased business performance within the sector.”

(Scarborough Borough Council, 2005a,2)

In order to achieve this vision the spatially led strategy aimed to implement a number of policy actions, including developing a more culturally led product in Scarborough,

Whitby and Filey. It is the implementation of this policy action against which the framework was tested.

1.4 Structure of the Thesis

In attempting to address the main aim of this research which is to further the understanding of policy implementation with regard to structures, fragmentation, collaboration, communication and control, this thesis will next continue with a Literature Review looking at the literature on policy implementation, network management, collaboration, power, and industrial clusters. The focus will then move to look at the literature and background context of tourism and cultural tourism as the applied setting for this research.

The Research Methodology chapter then follows and discusses the philosophical approach to this study. The research strategy will also be considered and as mentioned earlier the move from a case study towards more action research will be explained. Detailed aspects of the data collection and field work will be described along with the research tools and techniques employed. The Research Methodology chapter will conclude with the statement of the research aims and questions.

The following chapter ‘Conceptual Framework’ explores the theoretical framework used in this research, looking in turn at the approach, theories, models and tools used in the research.

Within the ‘Developing the Methodological Framework’ chapter the theories, models and tools as discussed in the Conceptual Framework chapter have been used to build a methodological framework. This framework is designed to enable a more thorough understanding of the policy arena and to diagnose any problems concerning

structure, fragmentation, collaboration, communication and control that may impact upon policy implementation and also provide a way to explore options to design more useful structures.

The application of the devised methodological framework and the main findings are found in the Case Study chapters along with discussions on the action research elements that took place during this research.

Finally the Conclusions chapter will review the research and draw together the main findings and research aims. Limitations of the research and future research directions are also discussed in this final chapter.

2 Literature Review: Policy Implementation, Networks, Collaboration and Complexity.

2.1 Introduction

The main aim of this research is to further the understanding of policy implementation with regard to structures, fragmentation, collaboration, communication and control in light of the desire to instigate and improve joint working within development. The research, as discussed in the Introduction chapter, will have a Complex Systems approach due to the complexity inherent in the policy implementation process. This will entail a holistic view of the problem domain with boundary setting, systemic purpose and identity being underpinning concepts.

This Literature Review will first consider what is meant by policy implementation, how implementation fits within the policy process and the development of policy implementation approaches. As structure and fragmentation is an important part of this study, implementation structures in particular will then be examined along with the problems of structural fragmentation.

The context for the research will then be set within the notion of the Industrial Cluster along with the associated issues of collaboration, fragmentation, cooperative competition, social networks, social capital and trust. The environmental complexity of implementation will then be discussed.

Tourism will form the research domain for this study in terms of the case study and attention will be given to previous research on collaboration and approaches to complexity in this field. Research aims, objectives and hypotheses will be developed and summarised at the end of the Research Methodology chapter.

The following figure illustrates the route taken through the literature starting with Policy and Policy Implementation through to the literature surrounding the case study context of Tourism.

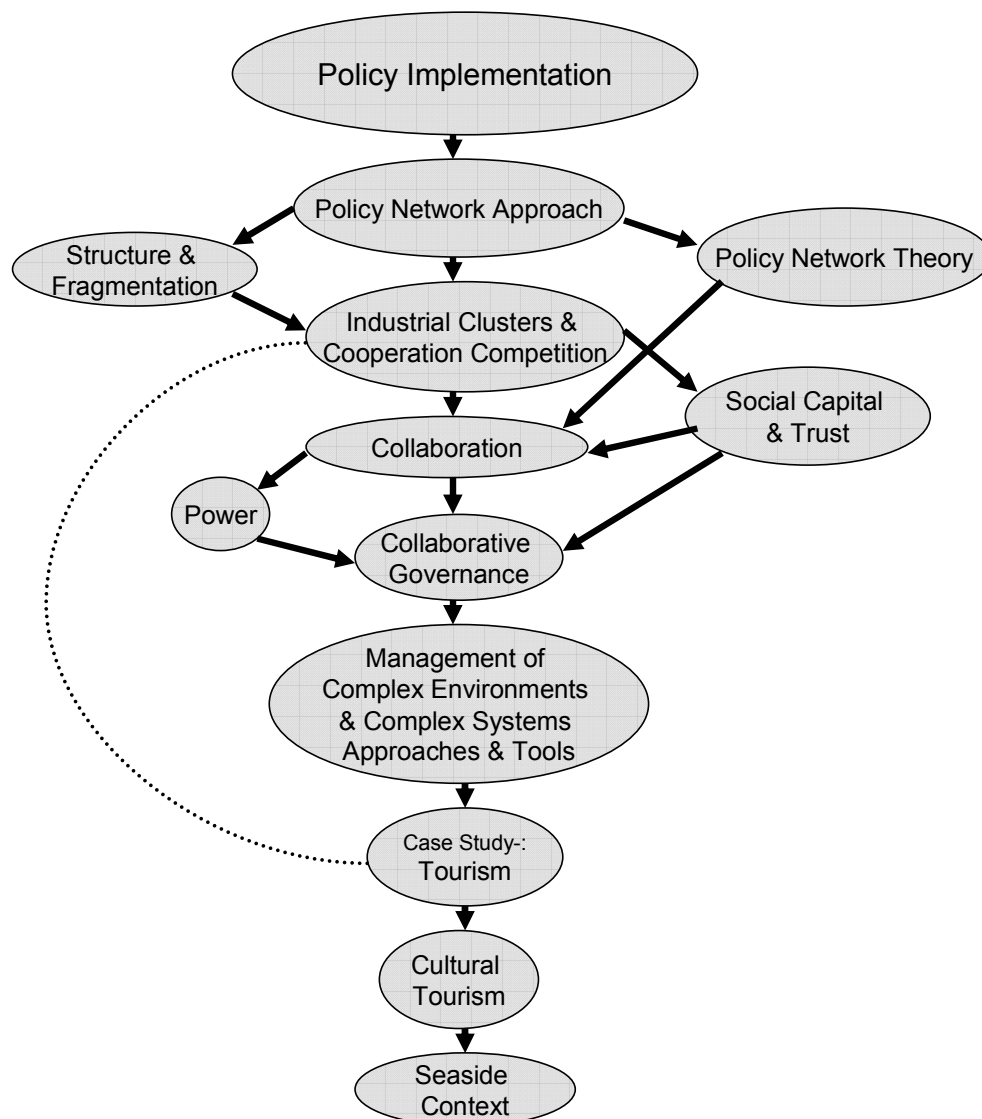


Figure 2.1 Route through the Literature

2.2 Policy Implementation

2.2.1 The Policy Process

The policy process is an extremely complex phenomenon of actors, agents, programmes, objectives and belief systems all interacting over time. In order to understand the process, a number of frameworks have been developed through which to view the interactions. One of the most dominant since the 1960s has been the ‘Stages Heuristic’ or policy cycle whereby the policy process is broken down into distinct stages such as “identifying issues”, “policy formulation”, “implementation” and “evaluation” (Sabatier, 1999). The following diagram depicts a variant policy cycle.

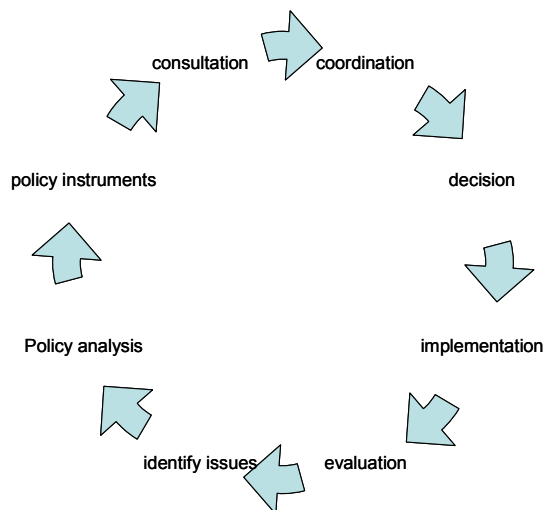


Figure 2.2 The Policy Cycle

Adapted from (Colebatch, 2005, 17)

However in the past two decades there have been criticisms of this framework as being inaccurate in its description of the policy process, not applicable in practice, as having a top down focus and assuming that there is only a single cycle at any one

time (Howard, 2005, , Sabatier, 1999). Howard (2005) discovered in practice some stages were skipped, condensed or ran concurrently, that there were iterations within stages and that the policy process is far too complex and “messy” to fit within a “excessively procedural” model. In particular practitioners found that the policy cycle was less applicable where time is limited and the situation is “politically charged”. Parag (2006) also criticises the Policy Cycle as being too focussed on bureaucratic processes rather than context, content and the inter-relations, and the assumption is that the process is top down.

During this time political science has also turned from viewing government as a sometimes authoritative problem-solver towards a perspective of political outcomes occurring as a result of complex, collective action bringing “collective normalisation of the problematic” (Colebatch, 2005, 15). Colebatch nevertheless sees the policy cycle as an ideal which helps to frame phenomena for those wishing to bring some order. Parag (2006) also concurs that the Policy Cycle is useful in some respects in that it allows the untangling of the web of actions.

Various other frameworks have also been developed as lenses through which to study the policy process. According to Sabatier (1999, 8-10) these include the:

- Institutional Rational Choice – Mainly developed in the USA, it focuses on institutional rules which can change the actions of supposedly rational individuals who are motivated by self interests such as power and income.
- The Multiple Streams Framework – This framework was developed by John Kingdon and sees the policy process as three independent but concurrent streams: a problem stream, a policy stream and a politics stream. Within this framework a major change in policy occurs when a window of opportunity allows for

interaction between the streams.

- Punctuated-Equilibrium Framework – Originally developed by Baumgartner and Jones this framework views policy making as long periods of small change “punctuated” by major policy shift when a new “policy image” emerges.
- The Advocacy Coalition Framework – This framework was developed by Sabatier and Jenkins-Smith and looks at the interactions of sets of actors who share the same “policy beliefs”.
- Policy Diffusion Framework – Berry and Berry developed this framework to focus upon the adoption of policy across different localities.
- Frameworks in Comparative Studies – Various frameworks have been devised to analyse the variation in policy outcomes, particularly social welfare programmes, across various localities.

As Sabatier points out the first four of these frameworks all concentrate upon explaining policy change, whilst the last two try to explain variations in policy.

Hence, because of their lack of focus on policy delivery, for this research they do not particularly fit with the aims of increasing understanding of the delivery of policy or operational details of implementation structures.

Schofield (2001, 252) however states that all policies need delivery structures which can not only “determine the success or failure of a policy, but also define it.”

Therefore although it is acknowledged that the Policy Cycle has its faults, its use will allow this study to focus upon the operational details and structures of the process of implementation. Although Howard (2005, 6) describes the Policy Cycle as a “collection of conceptually discrete functions” with different specialist actors involved at different times, it is also acknowledged within this work that

implementation is not in itself a fully discrete stage of the policy process and will have influence on and consequences for the other stages within the cycle (Parag, 2006).

Pulzl and Treib (2006) concur with this view and argue that although there are interdependencies between the Policy Cycle stages, the study of implementation alone is useful as the actors involved in policy formation and implementation can overlap, but not match precisely. In fact as Colebatch (2005) states it is possible to view the implementation structures and cross-organisation links as a major component of the policy and that in some cases cooperation is the policy. Therefore with this thought in mind this study will aim to consider implementation not only as a bridge between policy formation and policy outcomes but also as a design component of the policy itself.

2.2.2 Implementation

Implementation has been defined in broad terms as “getting things done”, “putting policies into action” or “the process between initial statement of policy and ultimate impact in the world” (O'Toole, 1986, 183). However for this research a more focused definition will be used which reflects both the involvement of interacting multiple actors and also the achievement of objectives (Brinkerhoff, 1996, 1497):

“...policy implementation brings together multiple agencies and groups that are intended to work in concert to achieve a set of objectives.”

This definition of implementation is needed for this research as it recognises the

collaborative approach which this study assumes is necessary for successful implementation. Also it encompasses a holistic view with mention of multiple actors and therefore there is also a tacit underlying notion that implementation is enacted within a complex environment of many interacting parts.

According to Crosby (1996) there is a continuum of implementation tasks ranging from policy implementation tasks to program implementation tasks to project implementation tasks (see Figure 2.3). He argues that each of the tasks in each section have to be in place to make full implementation successful.

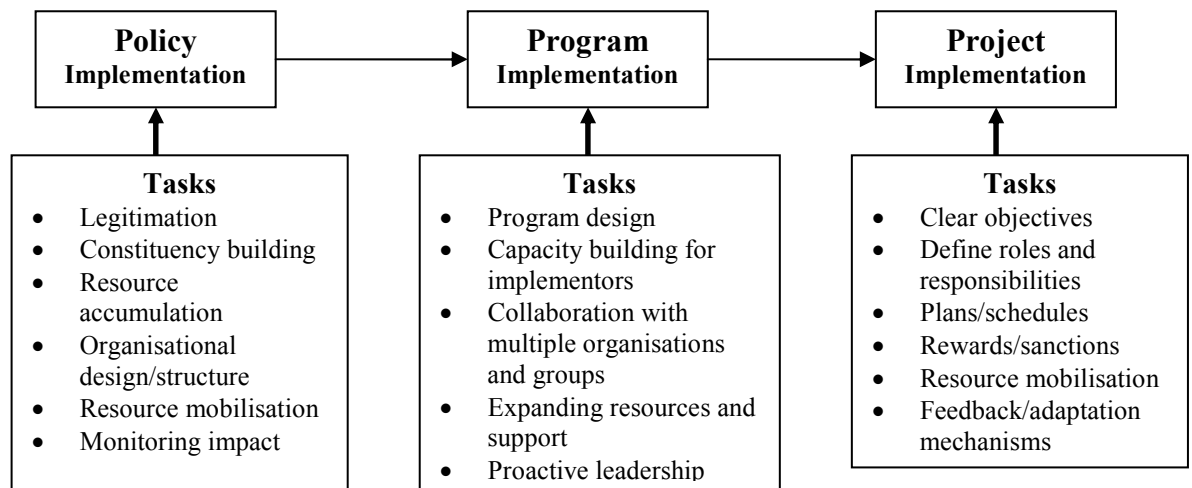


Figure 2.3 A Continuum of Implementation

Adapted from Crosby (1996, 1405)

Although useful for this research in providing a framework of necessary tasks for successful implementation, Crosby's continuum does not show how these tasks are to be enacted in practice within a clear, coherent and structured methodology. It will be a focus of this research to aim to remedy this at least partly by addressing the assessment of current conditions within the policy arena in terms of collaboration

and linkages already in place and communication and control mechanisms.

Goggins et al (1990) distinguished three generations of implementation research.

The first generation starting in the 1970s was pessimistic in its tone and raised awareness of problems that were being encountered with implementation of policy (Pulzl and Treib, 2006). Pressman and Wildavsky's (1973) seminal work on implementation involving economic development in Oakland, California had a great impact in encouraging the growth of literature in the field.

The second generation of implementation research during the 1980s produced debates on 'top-down' and 'bottom-up' approaches. Top down approaches are characterised by hierarchical and centrally imposed policies with core contributors being Pressman and Wildasky (1973), Van Meter and Van Horn (1975), and Sabatier and Mazmanian.

Floyd (1984) highlights the problem of top down approaches as the imposition of the assumption that the government is central and the rest of society is therefore only peripheral, which then means that the centre can make policy and impose it on society. He then also argues that government instigated learning is confined to making the periphery conform and evaluation of policy is only concerned with measuring the extent to which the peripheries conform to policy.

Bottom up approaches, advocated by Lipsky, Elmore and Hjern and Porter (1981), on the other hand argue that those working at the 'street-level' must be free to adapt the policy programme to local conditions if implementation is to be successful (Pulzl and Treib, 2006; Matland, 1995). These approaches are compared in the following table.

	Top Down Approach	Bottom Up Approach
Research Strategy	Top down: from political decisions to administrative execution.	Bottom up: from individual bureaucrats to administrative networks.
Goal of Analysis	Prediction/policy recommendation	Description/explanation
Model of Policy Process	Stagist	Fusionist
Character of Implementation Process	Hierarchical guidance	Decentralised problem-solving
Underlying Model of Democracy	Elitist	Participatory

Table 2.1 Comparison of Top Down and Bottom Up Approaches

Source: (Pulzl and Treib, 2006)

As Matland (1995) points out there are problems with top down approaches such as imposition of policy, but also with a totally bottom up approach there can be a lack of legitimacy and accountability to the democratic process with non-elected individuals deciding policy. As a consequence there have been attempts to combine the two approaches and find some common ground.

The third generation of implementation research has attempted to bridge this divide.

Authors working in this generation include Sabatier and Jenkins-Smith with their Advocacy Coalition Framework (described earlier), Elmore with the concepts of forward and backwards planning and Matland's (1995) ambiguity-conflict model. Newer developments in the field have also considered a network perspective for implementation due to the need to foster cooperation amongst the diverse and interdependent actors involved (O'Toole, 1997).

The theoretical roots of policy networks have three main sources in the literature; as depicted in the following diagram (Klijn, 1997).

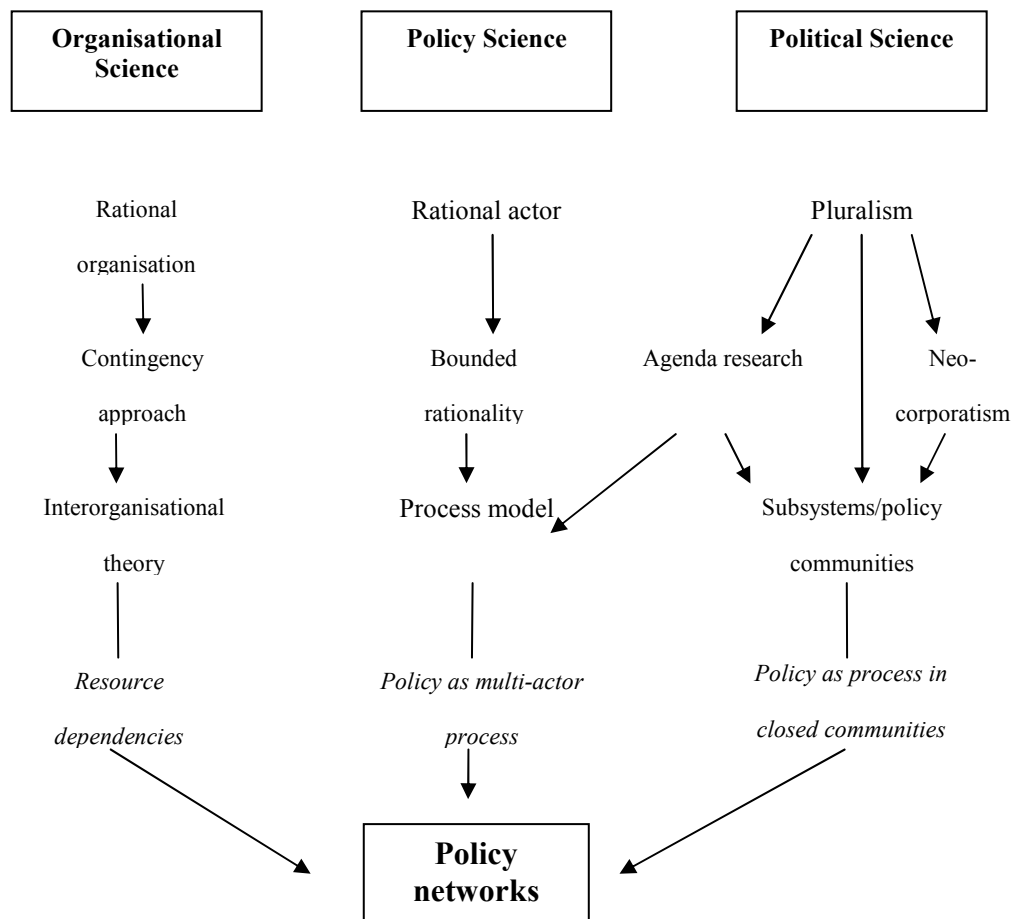


Figure 2.4 Theoretical Roots of Policy Networks

Adapted from Klijn (1997, 29)

A network perspective will be taken in furthering the aim of this research to increase understanding of implementation, structures, fragmentation, collaboration, communication and control. The implementation network will be considered a pattern of links and interactions between interdependent actors that is “socially constructed for purposive action” (O'Toole et al., 1997; Parag, 2006). As Imperial (2001; 2005) states, a network perspective is more valuable than previous models developed in third and second generation research, which are not useful for explaining collaboration processes in implementation. Therefore a network perspective will allow the research to move away from the top down – bottom up conflicts and provide a unit of analysis; the implementation network/structure as recommended by Hjern and Porter (1981). They argue that single organisations do not implement programmes by themselves and that implementation structures/networks (comprising of members from various organisations) are a more viable and useful unit of analysis. Implementation structures/networks, they state, differ from single organisations in that their structures are less formal with less authoritarian controls, the social arrangements are more dynamic and choices about whether to participate are based on negotiation.

However it has been argued (Carlsson, 2000) that the Policy Network approach lacks a theoretical framework with theory under-developed and most approaches being descriptive in nature. He recommends viewing policy networks as examples of collective action. As discussed above this is a useful approach due to the presence of multiple actors and the need for organisation of dynamic processes.

Hence bearing in mind these arguments a policy network perspective, along with collaborative elements, will be used in this research as the unit of analysis and as the

underpinning approach to policy implementation.

Pulzl and Treib (2006) have argued that implementation research is not especially prominent within the literature and have attributed this to three main reasons, “a lack of cumulation” hindered by the top down – bottom up debates, positivist ontologies and epistemologies which cannot fully address implementation problems such as differing perspectives, and research findings bringing forth a vast amount of possible explanatory variables. Matland (1995, 145) concurs with this last point and states that a proliferation of studies has resulted in findings producing three hundred critical variables. He believes that the literature does not need any more – “It needs structure”.

This research will therefore attempt to answer this call to bring closure, coherence and structure to current implementation understanding by providing a flexible, holistic framework that allows analysis of the current policy arena in question with the ability to explore potential designs based on that analysis. The next section will now look at implementation structures and fragmentation in more detail.

2.2.3 Implementation Structures

2.2.3.1 Hierarchical and structural fragmentation

It is intended that this study will attempt to further the understanding of implementation especially with regard to structure and problems of fragmentation and collaboration. In situations of fragmentation and non-collaboration to the detriment of shared resources or the public good, central control can be imposed by government with regulation and legislation (Huybers and Bennett, 2003; Brinkerhoff,

1996). Brinkerhoff (1996) describes this situation as a 'market failure' which can result in hierarchical bureaucratic structures and interventions. It is these vertical hierarchical relations, Espejo (2001) argues that with domination and unilateral command and control, bring structural fragmentation and hinder individual inter-relationships. He also contends that the horizontal structural fragmentation or non-collaboration is due to a lack of an organisational system or structure able to integrate the individual's contributions to the collective good or to facilitate their understanding of 'the bigger picture'.

Problems of fragmentation can become manifest in various ways. This can be as conflicting programmes or policy interventions which undermine each other even though the same objectives are being sought. In some cases there may be also conflicting goals. Fragmentation can also bring the problem of gaps in service provision. This is because of a failure to recognise unintended consequences and each agency focusing on their own priorities with no appreciation of the needs of others, or not even being aware of the operation of others (6 et al., 2002).

These negative outcomes of fragmentation due to hierarchical structures, Espejo (2001) claims, are only exacerbated by the intensifying of environmental complexity which instigates a tightening of central domination and intervention as those 'higher up' in the hierarchy perceive an increasing lack of control of the local situation.

Brinkerhoff (1996, 1505) also acknowledges that lack of autonomy and conflicts between vertical and horizontal structures hinder collaboration and that centralised command and control mechanisms in complex and interdependent environments bring "a downward spiral of minimal compliance and declining performance." If

Espejo's (2001) previously discussed point of increasing intervention from the centre in these situations is also in place, then a vicious circle or 'positive feedback loop' is enacted. Hence one of the main aims of this research will be to focus on the question of how to address the vicious circle of both vertical and horizontal structural fragmentation in complex environments where implementation is to take place.

In attempting to address these issues it is an objective of this study to make an original methodological contribution to the field of implementation research.

Although there is a growing awareness and recognition of the usefulness of viewing implementation from a network perspective (O'Toole et al., 1997; O'Toole, 1997; Kickert et al., 1997; Pulzl and Treib, 2006; Agranoff and McGuire, 1998), there has been little work on how to organize networks on a practical day to day basis (Schofield, 2001), how to coordinate resources (Hall and O'Toole, 2000) and bring about "practical, effective action" (Kettunen, 2000, 4). Crosby (1996) argues that so much of the literature has concentrated on policy objectives to the detriment of how to actually implement the policy. Schofield (2001, 254) concurs with this and advocates that more attention should be given to "micro level", "micro processes" of implementation.

Schroeder (2001, 16) attempted to devise

"a methodological system, for building and maintaining a multi-organizational, multi-sector structure for the purpose of policy implementation – an 'implementation network'."

His methodological system consisted of three 'overlapping' methodologies:

1. Contextual Assessment – assessing the existing political and economic

environment of a implementation network and selecting stakeholders.

2. Stakeholder Analysis & Management – selection and management of stakeholders.

3. Joint Visioning – creating a shared understanding of the requirements needed for the implementation network.

Schroeder's aim was of course similar to the main aim of this study. However, Schroeder's study has still not addressed the problem of the operationalisation of the implementation of policy in terms of micro processes and the complex interactions at the micro level. He also makes no mention of the linkages and collaboration of the stakeholders concerned and although there is the inclusion of joint visioning there is no thought given to the individual stakeholders' perceptions of their own identity and purpose. In addition there is no consideration of a need for a recursive methodology, which enables examination at differing nested levels of operation within the policy arena. It can be the case that the various actors within the policy arena could be operating as both competitors and collaborators at the same time, but at different 'recursion' levels of the system. It is therefore argued here that a recursive methodology using tools and models such as Beer's Viable System Model (VSM) (Beer, 1979, 1981, 1985) to allow exploration of these different nested 'levels' and the control and communication mechanisms operating at each recursion would be useful (see the Conceptual Framework chapter for more details).

It is argued here that these are important considerations in any implementation framework due to their impacts on any potential collaboration and fragmentation and investigation of the policy arena. It is in this respect that this research will attempt to make an original contribution to knowledge and address the gap in the literature.

Whilst addressing the main aim of this research to further the understanding of policy implementation with regard to micro processes and structural fragmentation in complex environments it is necessary to contextualise the study. In particular this work will focus upon strategic developmental policy implementation or “strategic programmes” (Quinn, 1999, 5), being policies that “guide overall direction and posture”. These strategic programmes are obviously not implemented within a vacuum or closed system (Crosby, 1996), and therefore the next section will look at regional and industrial clusters as environments of implementation.

2.3 Industrial Clusters

Previously, before the full consequences of globalisation and the ability to source globally had taken effect, location close to the source of important resources or infrastructure was vital to the competitiveness of the firm with regard to lowering input costs. However location has been found to still have great importance for the firm wanting to enjoy competitive success even though they operate on a global scale (Porter, 1998). Clusters are an economic organisational form that Porter (1998, 78) defines as “geographic concentrations of interconnected companies and institutions in a particular field” and provide an alternative way to view the value chain.

Belonging to a cluster can bring competitive advantages for firms, according to Porter (ibid), in terms of increasing productivity, innovation and new business growth and there is a push from the European Union, countries in the OECD and UK regional development agencies to embrace the cluster concept (Smith & Brown, 2009).

Gordon and McCann (2000) distinguish three different models within this concept:

- The model of pure agglomeration – whereby firms enjoy internal economies of scale due to geographic proximity, such as a pool of specialised labour.

Agglomeration theory is supported by the standard neoclassical economic theory but this is inadequate in explaining the part played by trust and those links and relationships between actors that are not purely based on market transactions (Smith & Brown, 2009).

- The industrial-complex model – whereby the optimal location of the firm is based on spatial transaction costs such as transport costs. Again this does not adequately explain trust and non-market relations.
- The social network model- a “sociological response to the institutional school” with an acknowledgement of trust relations within the spatial cluster.

It is the third ‘social network model’ that will inform the definition used in this work due to the importance of the aspect of trust relationships in industrial clusters (Granovetter, 1985; De Propris, 2001) and their impacts on cooperative competition. Trust relationships and the associated social capital concept are important aspects within this research due to the emphasis on collaboration and fragmentation. It is argued here that the formation of trust, social capital and reciprocity are essential to building collaboration and avoiding fragmentation to improve the chances of successful implementation (Smith & Brown, 2009; Ansell & Gash, 2007). Social capital, trust and reciprocity will be discussed more fully in a later section.

More specifically the concept of industrial cluster will provide the context for this research due to its more holistic notions of not just economic but also social elements and therefore the tacit recognition of the complex environment and a need for collaboration. Industrial clusters have distinctive organisational characteristics such as high levels of firm specialisation, the presence of firms providing complementary goods and services, dense inter-firm relationships (Albino et al., 2005), flexible firm boundaries, continuous collaboration based on trust and a 'community culture' with supporting institutions, associations, specialised training and public policies (Hjalager, 2000).

Also within industrial clusters both competition and cooperation exist simultaneously (Porter, 1998; Schmitz, 1999; Ottati, 1994). Individual businesses compete with each other based on their own strengths and competencies within a cluster, but there is also a collective or aggregate competition, emerging from the collaboration of individual firms, between other clusters (Schmitz, 1999; Oughton and Whittam, 1997). These competitive and collaborative advantages, or collective efficiencies (Schmitz, 1999), gained at the industry, local, or regional level, are recognised as external economies of scale and were first described by Marshall in the 19th Century in his writing on industrial districts (Marshall, 1895, 347).

Alfred Marshall was the first to identify industrial districts and highlighted three reasons why firms would wish to locate within the same area; specialised labour pools, high flows of information and ideas and non-traded industry specific inputs (Gordon and McCann, 2000). He also developed the notion of 'industrial atmosphere' to describe the intangible concepts of knowledge, information and skills

transfer between firms within the district (Albino et al., 2005).

Further developments of Marshall's original model, include the flexible specialization model of Piore and Sabel (Albino et al., 2005) and the innovative milieux concept expounded by Maillat (1998). Becattini (2004) has further extended Marshall's notions and it will be the Becattini's definition of industrial clusters, as expounded by Corolleur and Courlet (2003), which will be used in this work as it fully describes not only the spatial proximity of businesses in the area but also acknowledges the various types of organisation, embeddedness, trust and cooperative competition. It also encompasses holistic and systemic notions more in line with the attempt of this study to address complexity through a holistic complex systems approach (see the Complexity section of this Literature Review):

“a concentration of SMEs involved in interdependent production processes, often in the same industry or industry segment, which are located in close proximity and are embedded in local institutional structures that support a dynamic mix of competition and cooperation.”

(Corolleur and Courlet, 2003, 299)

The dynamic mix of competition and cooperation within industrial clusters is a key feature due to the characteristic of these areas of high levels of specialisation and division of labour. Although the productivity benefits of the division of labour has been recognised since Adam Smith's 'Wealth of Nations', all of the activities taking place need re-integration, to allow full functioning of the district in providing products or services and realisation of the benefits of the division of labour. This in turn requires some coordination and cooperation between the firms concerned. It is this crucial collaboration that this research is focusing upon, and the argument is that

for successful implementation of policy within industrial clusters, account must be taken of any existing collaboration or fragmentation. This means any methodological framework should include analysis of existing collaboration and fragmentation.

Brandenburger and Nalebuff (1996) have coined the term co-opetition to describe the phenomenon of cooperative competition. They have applied Game Theory to business and use their value net as a model to illustrate how co-opetition operates. With similar features to Porter's Five Forces Model it allow 'players' to build strategies to both compete and collaborate within the same arena. Axelrod (2006) also uses Game Theory and the concepts of the Prisoner's Dilemma and zero sum and positive sum games to help explain the nature of collaboration.

Ottati (1994) distinguishes three forms of coordination within industrial clusters to allow for the realisation of the benefits of division of labour:

- the market operating through the price mechanism,
- management command or authority relations
- cooperation through repeated and continual reciprocal agreements based on trust, loyalty, local customs and reputation.

As authority relations can become indistinct and uncertain in industrial districts because of the large number of individual firms, Ottati believes, it is the interplay of cooperation and the market that particularly distinguishes the industrial district from other economic forms. A dynamic balance is required between the market (through the price mechanism) and cooperation to maintain the equilibrium.

Both price competition and non-price competition can be constructive. Price competition can bring efficiencies and non-price competition such as innovation, building trust and increased cooperation, can bring benefits through its collective behaviour. However both can also be destructive in an industrial cluster and bring disequilibrium. Price competition can bring price wars aimed to eliminate competitors and non-price competition can mean the introduction of restrictive practices. The maintenance of the equilibrium therefore requires institutions to oversee the functioning of the industrial cluster (Ottati, 1994). In this way there is a self-organising 'virtuous circle' quality to the cluster, notwithstanding external shocks.

External shocks such as changes in demand and destructive hierarchical command and control structures can destabilise the industrial cluster bringing both vertical and horizontal fragmentation (as discussed previously in the Implementation Structures section), obstructing the coordination mechanism and leading to possible terminal decline (Ottati, 1994).

As previously stated it is an aim of this research to further the understanding of policy implementation and to make an original methodological contribution to the field of implementation research with regard to micro processes, collaboration and structural fragmentation in complex environments. Smith and Brown (2009) have explored cluster assessment in a similar way to this research by also using a Systems Thinking approach. They found (as this Literature Review also) that few have previously used system thinking in relation to clusters but that they discovered using this approach to be a "fruitful" exercise. They argue that there is a lack of tools available to policy makers to dynamically assess clusters and that previous analysis

has failed to explain how the component parts actually operate and relate to each other, or account for trust and collaboration. However there have been initial trials using Social Network Analysis (SNA) for assessment of clusters alongside other tools (Arthurs et al, 2009; Cassidy et al, 2005). However the results seem to be quite simplistic in terms of any depth of analysis and indeed Smith and Brown agree that more refinement is needed. For this research however there is some potential for SNA as a tool to aid in assessing dynamic elements of implementation structures in terms of exploring fragmentation and power (see Conceptual Framework Chapter).

Smith and Brown (2009) have developed the Cluster Dynamics Model to address this lack of tools to dynamically assess clusters using system thinking and System Dynamics. The model appears to be useful in terms of modelling cluster development over time, however it does not allow for recursion within the system, nor does it address the issues of structural fragmentation, mechanisms of collaborative governance in terms of communication and control, nor identity, purpose and power of the individual actor. In addition it takes a very economically focused view of clusters in terms of the purpose of the system. They do not consider that some actors may not have profit motivated purposes for example those in the public sector.

It is the intention of this research to also look at dynamic analysis of clusters for policy implementation and provide tools for policy makers using a systems approach but also to address issues not met by Smith and Brown of structure, fragmentation, communication, control. Also within policy implementation there is a need to accommodate both public and private sector actors who might not necessarily have profit or economically focussed goals. Smith and Brown (2009) appeal for further

research into developing tools for cluster assessment particularly to address the inter relations of participants and collaboration. The framework developed for this research will hopefully answer this appeal and complement the work of Smith and Brown.

Situating this study within the context of an industrial cluster will answer the call for more research into the assessment of clusters, whilst providing the context of a complex environment with potential and actual problems of structural fragmentation, the possibility of external shocks whilst also requiring cooperation and collaboration to maintain viability.

This study will take an organisational perspective on industrial clusters similar to that of Ottati (1994), rather than the more usual economic approaches that have dominated the field previously. This will allow a closer focus upon inter-relationships, micro processes and collaborative interactions. Trust and social capital can be considered along with cooperative competition within a holistic framework whilst acknowledging a complex environment. An organisational industrial cluster, network perspective within a complex systems approach will form the basis of the approach for this research to further understanding of policy implementation.

2.4 Collaboration

Huxham (1996, 7) states that:

“...collaboration is taken to imply a very positive form of working in association with others for some mutual benefit...”

However this is a very broad definition, and although useful as a general concept, does not fully explain the complexity inherent in collaborative processes.

Wood and Gray (1991, 146) analysed elements of definitions within the literature and offer a more useful definition:

“Collaboration occurs when a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms, and structures, to act or decide on issues related to that domain.”

(Wood and Gray 1991, 146)

This will be the definition which will underpin this study as it expands on the nature of the actors involved, highlights the need for boundary setting and indicates that shared structures and norms will be necessary. The latter in particular will be useful as identity and purpose form an important part of this research.

Collaboration can be valuable in bringing better organizational performance, lowering costs, building social capital and adding to the public good (Imperial, 2001, 2005). Although it is sometimes the only way to address certain problems, in practice it can be difficult. These difficulties include differing aims, influence/power, culture and language between the involved organisations (Huxham, 1996). It can also be time consuming, costly, distort information and make those involved take the route of the lowest common denominator (Imperial, 2001, 2005) .

Further issues are trying to balance autonomy and accountability to both the ‘parent’ organisation and the partnership and the lack of authority structures (Huxham, 1996). It is these issues of structure, autonomy and accountability, amongst others that this research is intending to address by providing a methodological framework to

diagnose and design more useful structures and operational processes to facilitate the collaboration needed for strategic programme implementation.

However when collaboration is successful there is synergy between the participating organisations, where something is achieved that would not have been possible without the partnership and the organisations involved enhance their performance in realising their own objectives. Huxham labels this as “collaborative advantage”.

Imperial (2001, 2005) found that collaboration can be useful as an implementation strategy and it is an aim of this research to build on this; to take collaboration and policy networks to look at how collaborative network structures can be designed to avoid structural fragmentation, facilitate cooperative competition and aid successful implementation in the complex environments of industrial districts.

Alter and Hage (1993) developed a Synthesis of Theories of Interorganizational Collaboration built upon the Population-Ecology Theory of Organisations, Rational Choice Theory, the Calculus of Interorganizational Cooperation and Transaction Cost Analysis. They formulated from these four variables which they argued are necessary for the development of collaboration:

- Willingness to cooperate
- Need for expertise
- Need for financial resources and sharing of risks
- Need for adaptive efficiency

They also put forward a series of recommendations for organisations wishing to develop inter-organisational collaboration. However they do not offer a means to address in detail network governance which is an important aspect of this research

with its aim to explore communication and control in policy networks.

Alexander (1995) argues that there are three major schools of organisational theory that are relevant to inter-organisational collaboration – Exchange Theory, Organisational Ecology and Contingency Theory. Exchange Theory he argues proposes that resource exchange is the main incentive for inter-organisational collaboration, while Organisational Ecology and Contingency Theory both address organisational adaptation. Alexander also points to Transaction Cost Theory, as do Alter and Hage (see above), as an explanation for the different forms of structures and as an institutional aspect to inter-organisational collaboration. Again as with Alter and Hage, Alexander's work is fairly descriptive and explanatory rather than offering any methodological guidelines regarding network governance.

The work of de Man (2004) however in addition to the description of networks also offers some methodological stages to effective network management (or collaboration). This is broken down into seven stages:

- Business strategy
- Network strategy
- Network structure
- Partner selection
- Implementation
- Management
- Change

However there is no mention of particular tools or details of how to actually manage the 'micro-processes' as discussed above and the emphasis is on private sector

networks of firms and does not include public/private sector partnerships or institutional aspects. For the purpose of this research there needs to be awareness of both public and private interactions due to the nature of strategic policy implementation.

Gray and Wood (1991) suggest that organisational theory has previously had a single organisation focus and therefore now needs to move to the inter-organisational domain in order to explain collaborative forms of organisation. They propose that there are six major theoretical foundations that are significant in the study of collaborative processes within the inter-organisational domain:

- Resource Dependency Theory can be useful in identifying patterns of interdependency, and aid in situations of collective interests or ‘commons’ issues.
- Corporate Social Performance/Institutional economics can be useful in focusing on how social responsibilities are performed in collaborative processes.
- Strategic Management serves as a means to look at how collaborators can achieve collective gains by changing their actions.
- Microeconomics focuses on how collective efficiencies can be achieved.
- Institutional/negotiated order perspectives look at how the collaborators relate with institutional environments.
- Political perspectives focus on power and resource issues.

Gray and Wood (1991) acknowledge that individually none of these perspectives can fully provide a general theory of collaboration, however collectively they form a framework for the study of collaboration. Their work appears to be more thorough in

terms of its spread of consideration of the various aspects of collaboration. They have looked at the many different motives for collaboration and underpinned them with theories and sound explanations. This rich, broad spectrum of collaboration should enable the exploration of the differing policy implementation operations that could take place within the policy arena. This will be useful for this research for identifying stakeholders and the collaboration process undertaken within the problem domain/ implementation structure. In particular the different perspectives will allow the content of relationships and ties to be explored and further discussion on this can be found in the Conceptual Framework chapter.

Following on from the above discussion on collaboration and inter-organisational collaboration in general, the next section looks in more detail at network and collaborative governance.

2.5 Network Governance and Collaborative Governance

In order to enjoy collaborative advantage as discussed above (Huxham, 1996) or to engage in policy implementation there has to be some sort of control or governance of the functioning of the network. In this study ‘control’ is viewed in terms of linkages and organisation rather than from an autocratic or top down command perspective. Provan and Kenis (2007) state that little attention has been given in the past to the subject of network governance as researchers have only previously had experience of single organisations rather than taking a whole network view. They also argue that when studies have been carried out they tend to be descriptive (as was discussed in the previous section).

However they also argue that there has been reluctance to discuss network control issues as it implies “hierarchy and control” which could be deemed inappropriate, although they recognise the need for controls to enable collaboration. This research however argues that this should not be a reason to not consider control if, as previously stated control is seen from a non-authoritarian perspective. The distinction really should be made between ‘government’ with its connotations of top down control and ‘governance’ which encompasses the idea of control from a collaborative, collective decision-making, ‘steersmanship’ viewpoint expounded by Beer’s Organisational Cybernetics (Beer, 1979, 1981, 1985). In fact cybernetics is derived from the Greek ‘kybernetes’ meaning steersman. It is this viewpoint of governance that will underpin this research to avoid the issues that Provan and Kenis (ibid) outline as barriers to discussion of network governance.

Provan and Kenis (2007, 231) also state that any discussions on mechanisms for governance have been regarding specific networks and not comparable or generalisable to networks in general and that there is no theory on the various forms of governance. It is argued here that this is not the case, and that Organisational Cybernetics and Beer’s Viable Systems Model (VSM) (Beer, 1979, 1981, 1985) does offer a means to approach the governance of networks and control mechanisms in a non-hierarchical fashion. Organisational Cybernetics offers a means to explore exceedingly complex, probabilistic systems and the VSM has the ability to work on multiple levels where sub systems are nested within each other in the same way as a Russian doll. It is a Complex Systems approach including Organisation Cybernetics and the VSM that will be used in this research to address the aim of this research to further the understanding of policy implementation with regard to control and

communication. Organisational Cybernetics and the VSM will be discussed more fully in the Conceptual Framework chapter.

Previous work that has been carried out on network governance can be broadly broken down into two approaches being a network analytical approach and a network governance approach (Provan and Kenis, 2007). A network analytical approach has traditionally focussed upon descriptive and explanatory work using concepts and measurements such as density, centrality and structural holes, with the unit of analysis not being the whole network itself but rather the individual firm with an egocentric view. The network governance approach however takes the whole network as the unit of analysis with the network itself being the mechanism of control.

Provan and Kenis (2007) identify a continuum of network governance with the extremes being shared governance and brokered governance. Where the control of the network is spread amongst all the actors forming a densely, decentralised network then this is shared governance. Where control is by a single actor acting in a very centralised network around this organisation, then this is brokered governance. Brokered governance can be either be internal (performed by a participant actor) or external to the network.

The term ‘network governance’ appears to have emerged through the network literature, whilst the term ‘collaborative governance’ with similar connotations has surfaced from the policy implementation literature, as complexity issues aligned with more democratic forms of policy-making have become apparent. Ansell and Gash (2008, 2) define collaborative governance as:

“A governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-orientated, and deliberative and that aims to make or implement public policy or manage public programs or assets.”

And:

“Collaborative governance is...a type of governance in which public and private actors work collectively...to establish laws and rules for the provision of public goods.”

Ansell and Gash (2008, 3)

It is these more policy orientated definitions of governance that will inform this research with the inclusion of both public and non-state actors, the focus on consensus governance and the concept of public goods. This concept is an important aspect of collective governance where market mechanisms are not an effective way to control the behaviour within industrial clusters (see earlier discussions) where policy needs to be implemented.

Ansell and Gash argue that the terms ‘collaborative governance’ and ‘policy network’ encompass similar concepts but that collaborative governance infers a more formal arrangement of processes and relationships. If this is the case then this research argues that policy networks should perhaps embrace a more collaborative governance stance to allow improved communication and non-authoritarian control mechanisms to operate within the system thus bringing a means to address collaboration, fragmentation and use of public goods.

Ansell and Gash also state that they became “overwhelmed by the complexity of the collaborative process” as they struggled to find a common language to describe and evaluate collaborative phenomena. Again Beer’s VSM, it is argued could offer a language to assist in research and also a means to manage the complexity of the

inherent in collaborative processes. This will be explored further in the Conceptual Framework chapter.

However Ansell and Gash (2008,8) do offer a Model of Collaborative Governance that does concur with the assumptions of this research that it is useful to ascertain the starting conditions surrounding the actors to be involved in any future collaboration processes including “Power-Resource Knowledge Asymmetries”, “Incentives for and Constraints on Participation” and “Prehistory of Cooperation or Conflict (initial trust level)”. The Model also highlights the importance of institutional design, trust and shared understanding, but as with previous research discussed, doesn’t offer any guidelines on the operationalisation of the micro processes involved nor a means to investigate fragmentation. The framework developed will attempt to address this but will consider the factors highlighted by Ansell and Gash’s Model of Collaborative Governance.

2.6 Power

Power is the capacity to exert influence, with influence being the act of changing the behaviour of another individual or group in some way. The literature has identified that power can be described as either ‘enacted power’ or ‘potential power’ therefore suggesting that power does not have to be enacted to exist (Provan, 1980). The following diagram illustrates the different aspects of potential and enacted power and whether it is explicit or implicit.

	Disposition of Power	Nature of Influence Attempt	Possible Outcome	Interpretation
			Compliance	→ Power
		Explicit (actual use of power)		
			Non-Compliance	→ No Power
	Enacted			
			Assumed Compliance	→ Power
		Implicit (Probable use of power)		
			Assumed Non-Compliance	→ No Power
Potential Power				
	Not Enacted	Implicit or not at all (possible use of power)	No Immediate or Observable Outcomes	→ Power
				→ No Power

Figure 2.5 Distinguishing between potential and enacted power.

Adapted from: Provan (1980, 552)

Potential power is realised through position and resources. Control of scarce resources whether physical or ‘soft’ such as knowledge, information, expertise or experience can be one source of potential power. Potential power through position can be realised through the relative unequal positions of different actors whether through their contacts and links or formal authority invested in them (Provan, 1980; Hardy and Leiba-O’Sullivan, 1998, Hardy et al, 2003).

The positions of organisations within networks can dictate to great effect their ability to influence others and also the flexibility they have for autonomy within the

network. Bourdieu also states that the position of an actor depends on the capital they hold whether that be economic, social or cultural and this in turn affects their influence (Hardy et al, 2003).

Further developments and discussions on the concept of power have been undertaken by Hardy and Leiba-O'Sullivan (1998). They describe power as a complex, multidimensional concept and have built a model outlining the four dimensions of power as they see it. Their work builds on that of Lukes with its three dimensions and adds a fourth describing power as embedded within a system (ibid, 460).

The Hardy-Leiba-O'Sullivan model proposes that power works in different planes or levels. At the surface level, power is enacted through the control of essential, scarce resources, whilst at the second level or dimension, power is realised through the control of the decision-making process. At the third dimension, control is through the management of 'meaning' or creating the issues that are valid, acceptable and legitimate. The fourth dimension as stated above, encompasses the Foucauldian notion of systemic power that is embedded within the system and controls and restrains in such a way as to limit the "capacity for resistance" (Hardy and Leiba-O'Sullivan, 2003, 460). The fourth dimension does allow for some individual advantage because of the potential or enacted power available to certain actors but this is only within the limits embedded inside the system, and not controllable or avoidable by the said individuals.

Due to the systemic network view taken in this study on policy implementation, it is this fourth dimension of power with its Foucauldian perspective, where there is no one overall authority and an extricable link between power and knowledge that will

inform the research. Further discussion on this continues in the Conceptual Framework chapter.

The next section will look more closely at the complex environments in which implementation is enacted and the appropriate complexity approaches which are available to address the issues.

2.7 Complexity & Systems Approaches

The complexity and interdependence of the policy arena will necessitate consideration of how such processes as implementation will be managed, controlled or guided. This section looks at complexity issues in the policy arena and the Complex System approaches that have been developed specifically to address the management of complexity.

Systemic ways of thinking about phenomena within the context of a greater whole has been called variously 'holistic thinking' or 'holism', 'complex systems', 'systems thinking', 'systems approaches', 'systems practice' and 'systems theory' (Jackson, 2003; Capra, 2003; Jackson, 2000; Checkland and Scholes, 1999; Ackoff, 1981b; Senge, 1990; Espinosa et al , 2007).

According to Chapman (2004) in situations of complexity, outcomes cannot be predicted with any certainty. He uses the analogy of throwing a rock and a bird to help visualise the difference between a mechanistic linear model where the landing of the rock can be calculated fairly accurately, and a systems approach where predicting the trajectory of the bird is not a simple cause and effect relationship.

Mulgan (2001, 24,25) describes several reasons why he believes that the management of complexity in a policy context should use systems thinking rather than traditional mechanistic approaches:

- the need to make sense of the amount of information that is now available and the interconnections between sub-systems
- the need for a more holistic understanding of ‘wicked problems’ such as social exclusion
- environmental concerns in terms of the growing awareness that economic activity has consequences for energy and waste policies for example
- new vulnerabilities involving dependence on oil and computerised systems for example as demonstrated by computer viruses and fuel crises
- globalisation with regard to world systems and how to govern globally
- educational needs to train for working creatively and with non linearity and complexity
- the recognition that rational planning can lead to unintended consequences and
- the need to provide conditions that allow for development of self-organisation.

A report by from the UK government’s Cabinet Office(Strategic Policy Making Team, 1999) recognises the rise in complexity and also advocates a holistic, systemic ‘joined-up’ approaches, as does Perri 6, Diana Leat et al (2002). However Mulgan (2001) although also supporting a need for systemic approaches, believes that there has been a reticence in applying systems thinking because of “sunk investments” in other areas such as economics. Others also argue that the reason for the current failure of policies is the continued basing of policies on old orthodox premises of

competition and entrepreneurship with a narrow economic focus (Gibbs, 1998), investment centred ideologies (Chatterton, 2002) and top-down enforcement (Gripiaios, 2002) with no local democratic decision-making.

Integration and joint working across disciplines is a key objective of European policy under the Fifth Environmental Action Programme (Mehra and Jorgensen, 1997) and Agenda 21, introduced at the Rio Earth Summit in 1992, has recurring themes of integration of policy, participation and 'bottom up' governance (Dresner, 2002). Baker et al (1997) argue that this type of holistic, integrated approach must be implemented if fragmentation is to be overcome and successful development is to take place.

This concept is endorsed by Chatterton (2002), who argues for more people-centred development, an alternative way to assess successful development and less "paternalistic government" that currently "inhibits new ideas and alternative views". However he highlights the lack of a mechanism for implementation.

Gibbs (1998) also describes concerns regarding the implementation of the integration of economic, social, environmental and democratic agendas. He argues that the RDAs do not state how this is to be achieved and are vague about the delivery of such policies in operational terms.

The Cabinet Office Report previously mentioned, despite advocating a systems approach, again does not offer any guidelines on implementation. Chapman (2004, 31) argues for not only a new policy paradigm which would give a framework for agreement, but also new approaches to organisational systems for "delivering policy on the ground". This corresponds with Mulgan's (2001, 29) view when he states that

there now needs to be “rigorous applications” of “theoretical reflections” concerning systems thinking.

The implementation process could also be considered a ‘wicked problem’, a term particularly associated with complex environments. A ‘problem’ as defined by Ackoff (1981a) has three aspects: alternative choices of action available to the decision-maker, these choices will each have a considerable effect and there is uncertainty on behalf of the decision-maker as to which choice should be made. He describes scenarios of interacting problems as “dynamic systems of problems” or “messes”. Others call these situations “wicked problems” (6 et al., 2002, , Mason and Mitroff, 1981).

Wicked problems have the following characteristics (Mason and Mitroff, 1981, 12):

- Interconnectedness
- Complicatedness
- Uncertainty
- Ambiguity
- Conflict
- Societal Constraints.

In addition they exhibit certain properties (ibid):

- No definitive formulation
- No definitive solution – a solution is not correct or wrong only better or worse
- No finality – there is always room for improvement and monitoring is necessary
- Not open to trial and error – any action irrevocably changes the situation and brings forth a different wicked problem.

Perri 6, Diana Leat et al (2002) state that wicked problems often occur in government policy-making as issues that cut across governmental departments' boundaries and cannot be solved because of poor coordination (fragmentation) within government. Chapman (2004) also argues that these fragmented mechanistic approaches to wicked problems have led to failure across the range of government policy covering crime, health, drugs, transport and social issues.

According to Ackoff's and Mason and Mitroff's definitions, implementation could constitute not only 'a problem' but also a 'mess' or 'wicked problem' synonymous with a complex environment. Implementation cuts across many differing fields of business and policy boundaries including environmental, economic, social and cultural sectors; there is no one definite solution or finality – there is always room for improvement.

Consideration of the preceding arguments for the change to a systems approach that can better manage complex environments and the reality of extremely complex, volatile and turbulent operational environments for implementation, would indicate that mechanistic thinking is not a suitable approach to take in the implementation of policy. Therefore this research will use a Complex Systems approach. For further reading on the theories of complexity and its management see Appendix 4, with further discussions in the Conceptual Framework chapter.

In attempting to address problems of complex environments in industrial cluster, a study by Albino et al (2005) has framed the industrial cluster as complex adaptive system and taken a 'complexity science' approach to attempt to address the lack of literature on innovation processes in the field. However, this study although

recognising the need for adaptation and the complexity of the environment concluded that new learning processes must be established by interacting with external sources of knowledge. This concept has already been recognised as System 4 within the Viable System Model (VSM) (Beer, 1979, 1981, 1985) and their call for more research to look at the part played by institutions can also be answered by application of the VSM along with other relevant aspects of cohesion, identity, monitoring and non-hierarchical control.

Despite contrary views it can be argued that there are common strands within both Complexity Theory and systems thinking such as self-organisation and complex adaptive systems (see Appendix 4 for further reading and the Conceptual Framework chapter for more discussion).

In order to tackle the current problems brought about by top down, traditional, mechanistic, command and control as discussed and to answer the calls for a more holistic approach towards implementation, it is intended that a Complex Systems approach will be used in this study to develop a methodological framework to diagnose and design collaborative implementation network structures in industrial clusters and as previously discussed the focus will be on micro processes at the operational level.

Within a Complex Systems approach and with the emphasis on communication and control, Beer (1979, 1981, 1985) has developed the Viable System Model. The VSM is built upon the theoretical foundations of systems theory and Organisational Cybernetics and is a generic approach to the modelling of a system based on its viability in terms of its interactions with its external environment. It is a model of

the arrangement of necessary regulatory mechanisms that are needed in a system to manage the complexity of its activities in the real world. This includes the ability to work on multiple levels where sub systems are nested within each other in the same way as a Russian doll. The Viable System Model allows the exploration of:

- adaptation and management of complex and turbulent environments,
- collaborative structure and autonomy of the stakeholders within mutually agreed purposes
- and a language for debate.

With these attributes the VSM will be useful in the development of a methodological framework to explore the process of implementation and provide a more useful approach to inform the process. The VSM will therefore form an important part of the methodological framework developed. The Conceptual Framework chapter will discuss more fully the Complex Systems approach and Beer's VSM.

The hypothesis is that the application of the VSM will bring coherence and structure to current implementation understanding, whilst also providing a means to address structural fragmentation in the complex operating environments of industrial clusters which require collaboration and cooperative competition. The methodological framework will attempt to address issues in implementation where environmental complexity and wicked problems force the need for better coordination, collaboration, communication and new organisational systems to deliver 'on the ground' within industrial clusters.

Once a framework has been developed, it will be applied to a case concerning the implementation of a strategic developmental policy within an industrial cluster. This

study will concentrate on tourism development; it being one of the five sectors highlighted within the Fifth Environmental Action Programme where integration is expected. With the aim of focusing this research and considering access to data, tourism in an English seaside context will be the area of study.

The next section will look at the literature for the case study context of tourism.

2.8 Tourism

The UK government Department of Culture, Media and Sport (DCMS) have produced Tomorrow's Tourism (1999) and Tomorrow's Tourism Today (2004) (two companion tourism strategy documents) that lay out the future direction of English¹ tourism. Key themes within these documents include regenerating the declining seaside resorts, integrating the promotion of cultural and heritage attractions and developing more cultural and heritage products, addressing seasonality, and instigating stakeholder partnerships.

New opportunities are now available for tourism development to take advantage of National Lottery funding for new arts and heritage infrastructure and increased government and Arts Council funding of museums, galleries and theatres (ibid).

However the DCMS consider that English seaside resorts are currently slow to adapt to turbulent changing conditions within the tourism industry such as 9/11 terrorist activity, SARS and foot and mouth disease outbreaks, more British people taking their longer holidays abroad and the domestic demand moving toward more short breaks. It is also stated within these strategy documents that the coastal resorts are

¹ Tourism is a devolved responsibility within UK government and therefore in this instance concerns only England and not Scotland and Wales.

suffering from a negative image and losing the appeal that was so evident in past years.

Decline has become endemic. The English Tourism Council (2001, 18-19) categorise the factors responsible for the decline as follows:

- Increasing competition from overseas and other domestic destinations
- Lack of investment in product quality
- Poor image
- Attitude of residents, local businesses and the local authorities
- Insufficient marketing and information
- Geographical and wider economic factors such as the weather, isolation from both major transport links and large catchment areas for events and attractions.

Beatty and Fothergill (2003) acknowledge that there has been much research and investigation into “problem areas” such as “cities, coalfields and rural areas” within Britain. However, they state that this is not the case with seaside towns where “the underlying economic trends are radically different”.

Since April 2003 the strategic responsibility for regional English tourism has resided with the Regional Development Agencies (RDA). Following on from the DCMS strategy documents mentioned previously, each RDA has now produced their own regional tourism strategy. Within the strategies of those English regions with coastal resorts (all except the West Midlands and London) there are some common themes that also tend to correlate with issues previously highlighted:

- Regeneration of coastal resorts
- Developing and promoting cultural and heritage based attractions and activities, along with protecting cultural and heritage assets
- Developing festivals and events
- Encouraging stakeholder partnerships, public and private sector collaborations and joined up working
- Developing destination brands and local distinctiveness
- Introducing appropriate organisational structures.
- Addressing seasonality

(North West Development Agency, 2002; Yorkshire Forward and Yorkshire Tourist Board, 2004; One Northeast Regional Tourism Team, 2004; East Midlands Development Agency, 2003; Locum Destination Consulting, 2004; South West Tourism, 2005; Tourism South East, 2004).

These themes are again echoed in many of the local tourism strategies for the seaside resorts themselves (Dorset and the New Forest Tourism Partnership, 2003; North Somerset Council, 1999; Brighton and Hove Economic Partnership and Brighton and Hove City Council, 2004; Penwith District Council, 2005; Kent County Council, 2004; Tendring District Council, 2001; Scarborough Borough Council, 2005a).

The implementation of cultural tourism is explicit in many of these strategy documents nationally, regionally and locally, along with the issues surrounding declining seaside resorts. This study focuses on the implementation of cultural tourism products which is a policy action in the tourism strategy for the Borough of Scarborough, which includes Scarborough, Whitby and Filey, (Scarborough Borough

Council, 2005a) which is situated along the Yorkshire Coast in the north of England.

2.9 Cultural Tourism

A generally accepted definition of cultural tourism has not yet been established within tourism literature and the terms ‘cultural tourism’, ‘heritage tourism’, ‘arts tourism’ and ‘ethnic tourism’ seem to be used interchangeably without regard to any clearly distinguished meaning (Hughes, 2000, 51, Smith, 2003, 29, Richards, 2001a, 6-7). There are inherent difficulties in attempting to define cultural tourism because of the many varied meanings assigned to the word ‘culture’. Richards (1996), describes the three meanings of culture as:

- Intellectual development
- A way of life
- Artistic practice.

He considers that currently in terms of tourism the first definition has fallen from use since the end of the Grand Tours of the nineteenth century. However the last two can be further refined in terms of culture as a process transformed through tourism into culture as a product. For further reading on definitions of cultural tourism see Appendix 4.

Hughes (2000, 52) gives a four-part analysis of cultural tourism as a means towards a definition:

- Universal cultural tourism – the inevitable exposure of tourists to the culture of a

destination in a very general ‘way of life’ sense, usually in an international context and not technically ‘cultural tourism’ as the tourist does not have a deliberate cultural purpose.

- Wide cultural tourism – when tourists purposefully visit a destination in order to experience a different culture (in its widest sense of ‘way of life’) to their own. It is also known as ‘ethnic’ tourism.
- Narrow cultural tourism – this is the most commonly used sense and includes tourists visiting historic buildings, museums and galleries, theatres and festivals.
- Sectorized cultural tourism – this sections the previous activities of number 3 into heritage tourism and arts tourism with historic buildings, museums and galleries classed as heritage and theatre and festival visits as arts, although there is inevitably some crossover.

These four parts are illustrated in the following figure by Hughes as follows:

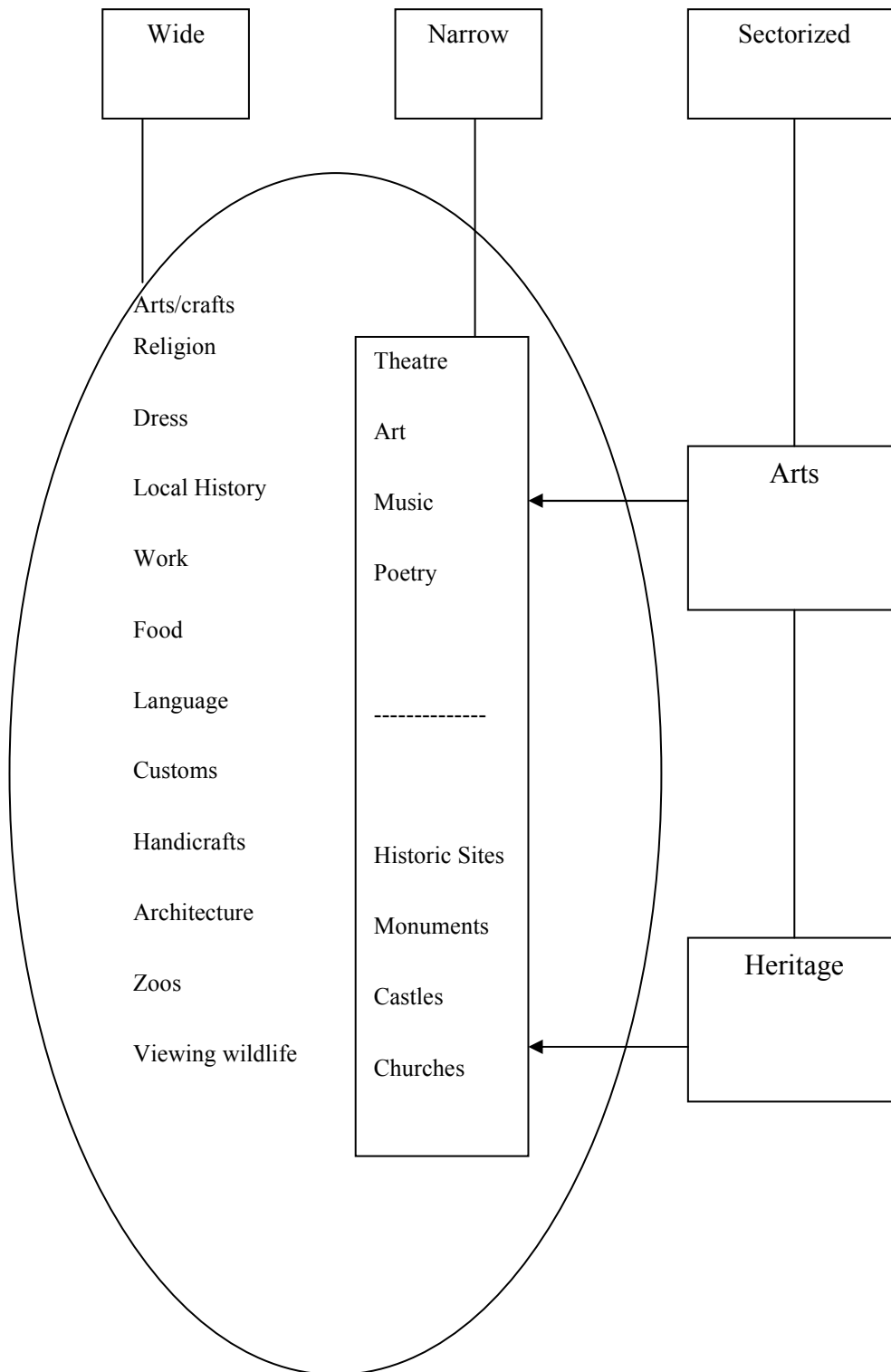


Figure 2.6 Cultural Tourism Variations

Source: (Hughes, 2000, 53)

It is intended that this study will have a ‘narrow’ and ‘sectorized’ approach.

Another potentially useful definition of cultural tourism is offered by Silberberg (1995, 361), in that it also considers tourist motivation:

“visits by persons from outside the host community motivated wholly or in part by interest in the historical, artistic, scientific or lifestyle/heritage offerings of a community, region, group or institution”.

As this definition includes heritage, artistic and lifestyle elements along with the motivational context and a ‘narrow’ and ‘sectorized’ approach, similar to Hughes and Richard’s (2001d) ATLAS study, it will therefore form the basis for this research. (For further reading on definitions of cultural tourism see Appendix 4.) However Silberberg’s definition will be supplemented by the creative/learning ideas of Richards (2001c) in order to capture the ‘future’ and ‘experience’ attributes, and operationalised within an asset/resource focused framework to concentrate the work upon the strategic and supply side characteristics of the research (see the following diagram).

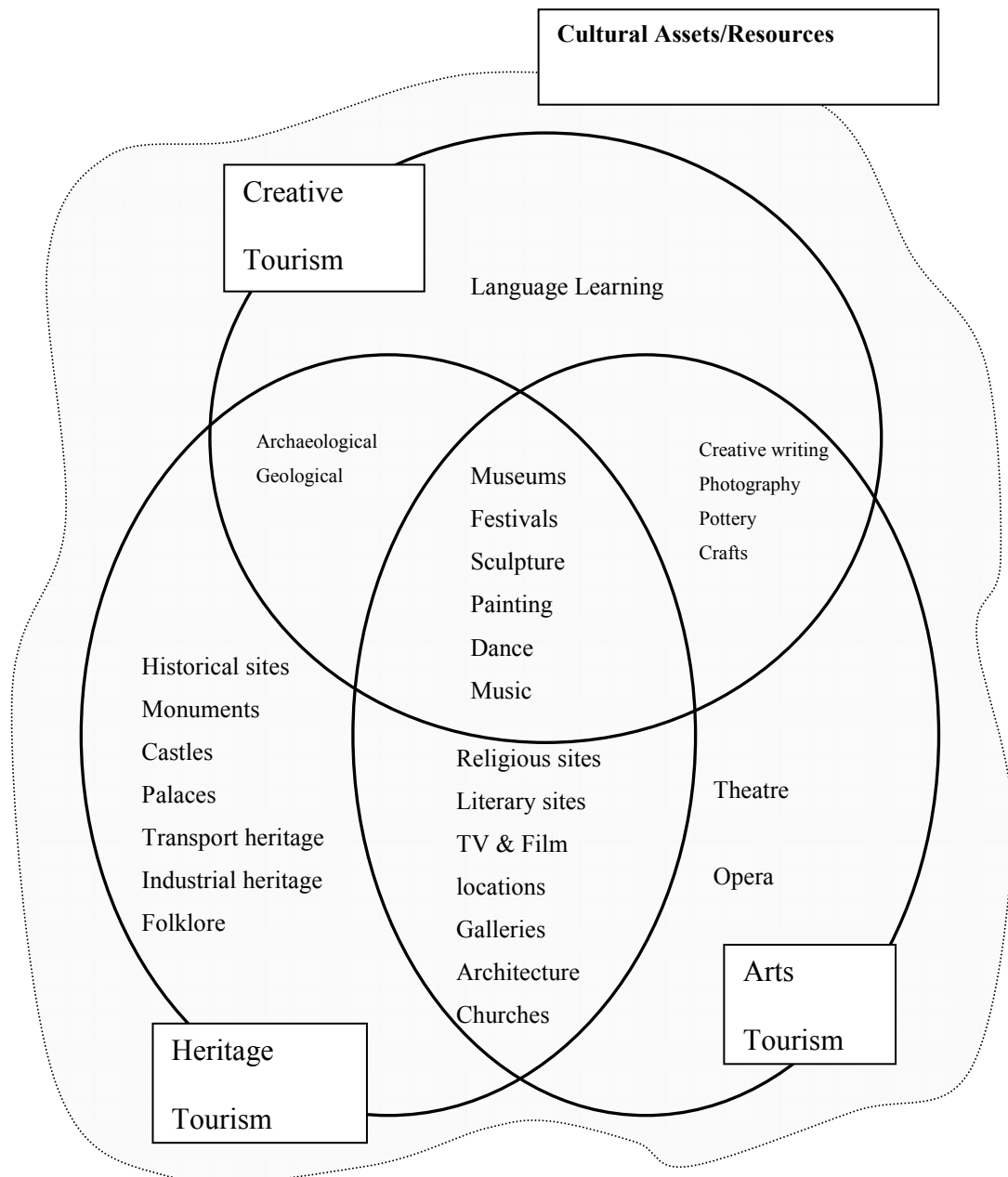


Figure 2.7 Cultural Tourism Framework

Sources: Hughes (2000, 53), Richards (2001a, 22-23, 2001c, 65), Smith (2003, 37), McGettigan and Burns (2001, 137-138) Yale (1998) and Kay (2004, 18).

2.10 Tourism Industry Operating Environments

The operating environments for the tourist industry are extremely complex. The tourism product itself is complex with many inputs coming from a very large number of suppliers of differing size in diverse industry sectors. The complexity of this multi-sectoral industry is further increased by the large number of tourists with differing aims and wants (Pender, 2005; Hughes, 2000).

Fragmentation within the tourist industry again increases complexity and causes problems such as coordination with the industry consisting of numerous small businesses spread over sometimes large geographical areas (Woods and Deegan, 2003; Ritchie, 2004; Pender, 2005; Richards et al., 2001; Bramwell and Lane, 2000; Fyall et al., 2003; Jamal and Getz, 1995). The increasingly competitive leisure market and the continual development of new technology also brings instability problems (Kay, 2004). See Appendix 4 for further reading on turbulent operating environments for the Tourism industry.

In April 2003 a new national organisation called Visit Britain was created from the merger of the British Tourist Authority and the English Tourism Council to promote Britain overseas and to develop the English domestic market. At the same time strategic responsibility for regional tourism was given to the Regional Development Agencies who now also distribute the DCMS tourism funding which previously came through the Regional Tourist Boards (Yorkshire Forward and Yorkshire Tourist Board, 2004; Brighton and Hove Economic Partnership and Brighton and Hove City Council, 2004).

As a consequence of this the RDAs and Regional Tourist Boards have been reviewing their structures. The RDAs in the South East, East Midlands and the

North West have already replaced their tourist boards with sub-regional Destination Management Organisations (Brighton and Hove Economic Partnership and Brighton and Hove City Council, 2004) and in April 2006 Yorkshire Forward brought into being Area Tourism Partnerships (Moors & Coast Area Tourism Partnership, 2006). It remains to be seen how successful the new structures will be especially with respect to working with local authorities and local stakeholders.

Despite the presence of a turbulent environment, there is still the need to operate under these unpredictable conditions; Silberberg (1995), Walle (1998), Pender (2005), Robinson (1999) and Ritchie (2004) all argue for a holistic, integrated collaborative and multi-sectoral stakeholder approach to counter these problems rather than the previous narrow approaches. There has been little research involving system approaches and tourism. One exception is the work of Eric Laws (1995) who devised a “general tourist destination systems model”. However this is a simple input/output model with some environmental influences included. The model is not suitable for detailed work on structures and processes.

Collaboration is therefore seen as an answer to a turbulent environment; Gray (1996) argues that the process of collaboration increases the variety of responses available to a given situation compared to individual action.

2.11 Tourism Collaboration

The application of collaboration theory to tourism is relatively recent, however previous research into collaboration in tourism includes studies in varied locations and also examines different aspects of the collaborative process. Mason and

Leberman (2000) focusing on the role of local authorities in developing mountain biking in New Zealand, found that planning was often ad hoc, reactive and not inclusive of other stakeholders. Ladkin and Bertramini (2002) studied collaborative tourism development in Cusco in Peru and identified various constraints on the collaborative process including:

- Cultural barriers
- Lack of shared vision
- Centralisation and lack of power in decision-making
- Short-term objectives and
- Poor information

Further research in this domain includes the development of analytical and evaluative frameworks and models. Bramwell and Sharman (1999) devised an analytical framework to assess collective learning and power imbalances in collaborative tourism planning, whilst Jamal and Getz (1995) outlined a three stage tourism partnership development model with problem-setting, direction- setting and implementation phases. Research by Selin and Chavez (1995) supplemented that model by adding antecedents and outcomes stages in their work based on tourism partnerships in USA forest destinations. Long (2002) investigated organisational forms of tourism partnerships in England and developed a framework for tourism partnership research, but this was not in a seaside resort context.

However in reviewing the tourism collaborative partnership literature there does not seem to be any previous research to study the actual process or implementation of

tourism collaboration either in the domain of cultural tourism or in the context of English seaside resorts. However, Silberberg (1995) does discuss cultural tourism collaboration and offers recommendations.

He believes that cultural suppliers should reposition themselves to be more open to entrepreneurial opportunities and be more “willing and able” to engage in tourism. He also states that a key success factor in developing cultural tourism is joint packaging, marketing and partnership working, among both differing cultural organisations and cultural and non-cultural organisations. However these discussions are within an urban/city context and also only consider heritage tourism. The context of the English seaside will provide a slightly different domain as historically there has been a tourism industry with which the cultural suppliers have already had the opportunity to tap into, whether they have taken this option or not.

Therefore this research will aim to address this gap in the literature and investigate collaborative working in cultural tourism (heritage, arts and creative) in English seaside resorts. The Viable System Model (VSM) will be integral in the structural analysis especially in terms of viability and adaptiveness to turbulent environments (see the Conceptual Framework chapter). This research will also answer Selin and Beason’s (1991) call for research that incorporates both organisational and network analysis of tourism collaboration.

2.12 Social Network Analysis and Theory in Tourism Context

Network analysis will be a useful complementary tool to the VSM in this study by adding additional analytical and diagnostic techniques particularly with regard to

dynamic and fragmentary analysis. Using network analysis as a lens within the framework to assess cultural tourism development in English seaside resorts and inform, will enable relationship analysis in terms of weak and strong ties (Granovetter, 1973; 1985), density and centrality of relationships and the associated constraints (Pavlovich, 2003). Analysis and design using network dynamics (star, ring and tier formations) (Liu and Brookfield, 2000; Rowley, 1997) will also be useful to assess both the current efficiency of relationship working and collaboration and also levels of trust and power relations between stakeholders. Additionally network dynamics will provide insights for the development of the framework and network learning (Powell et al., 1996).

Both Pavlovich (2003) and Dredge (2006a) have successfully used network analysis and theory in tourism development research in New Zealand and Australia respectively. Although neither studies were in the context of cultural tourism development, the Australia study was at a traditional seaside resort. Therefore this research will aim to contribute original insights to the application of network analysis in respect of cultural tourism and further the research into network analysis in seaside resorts.

2.13 Industrial Districts and Tourism

As discussed previously this research will sit within the context of an industrial district. Hjalager (2000, 209) states that although there has been little application of this concept to tourism because it is a service industry, is complex and hard to define, and leisure is not seen as a 'serious' discipline, it could offer a valuable framework for study of tourism. She argues that there are features which allow comparison of

industrial clusters with the tourism sector including:

- an SME based economy
- a global economy
- vertical interdependence
- functional flexibility and
- the existence of some coordinating public or semi-public institutions

However there are also factors within industrial clusters that do not allow direct comparison with the tourism sector where there are issues such as free-riding behaviour of businesses, lack of supportive governance structures and lack of collaborative structures that enhance trust and reciprocity. It is this lack of collaborative and governance structures that this research aims to address along with contributing original insights into the application of the concept of industrial cluster to tourism.

2.14 Seaside context

Considering that the seaside resort plays a substantial part in the domestic tourism offer of the UK, and the structural problems currently being experienced (Middleton, 2001; English Tourism Council, 2001), there has been little research in this area. Exceptions include work by Agarwal (2002) and Smith (2004).

Agarwal (2002) found that decline is ongoing in seaside resorts and that restructuring of the tourism product must be an ongoing process too. She advocates that this restructuring must be based on the principle of uniqueness of place. However there

is no acknowledgement of how this can be achieved or consideration of the role of cultural tourism in accomplishing this objective.

Smith (2004) does consider cultural tourism development as a viable means to regenerate English seaside towns, but generally approaches this within a regeneration context. There is no specific consideration of how the process of cultural tourism development should be implemented or structured although there is the recognition that any planning must be holistic and integrated in nature.

Where there have been more considered and in-depth studies on the process of cultural tourism development (within the narrow definition and approach), it has always been in the context of urban and city destinations (Sharpley and Roberts, 2005; Leslie, 2001; Green, 2001; Silberberg, 1995; Richards, 1996; Boniface, 1994; Smith, 2003; Bonink and Hitters, 2001; Richards, 2001a). Consequently this research will aim to redress this and offer original insights within a seaside tourist destination context.

This now concludes the Literature Review that has informed the main aim of this research being to further the understanding of policy implementation with regard to structures, fragmentation, collaboration, communication and control in light of the desire to instigate and improve joint working within development.

The following chapter will be the Research Methodology which will lay out the research philosophy, approach and strategy for this study along with descriptions of the data collection and fieldwork which took place. The final section of the Research Methodology chapter will formally draw together the research aims and objectives in more detail.

3 Research Methodology

This chapter looks at the research philosophy, research strategy and design for this study. In the chapter's final section the research aims and objectives are drawn together, explained and made explicit before the thesis continues with the conceptual framework chapter.

3.1 Research Philosophy

To achieve the outline aims previously stated, a philosophy is required which encompasses a knowledge that is context sensitive and offers understanding and meaning of the simultaneous operations of organisations and their environments. The focus on human activities and the complexity of issues within the research area such as the differing viewpoints (economic, social, environmental, cultural), and context and structures within the policy arena, further suggests that an interpretive, qualitative paradigm is adopted (Denzin and Lincoln, 1993; Remenyi et al., 1998; Saunders et al., 2000; Collis and Hussey, 2003).

The policy environment of multiple actors with a diversity of objectives necessarily requires recognition of differing viewpoints. This multiplicity of stakeholders also therefore involves a variety of underlying assumptions which need to be discovered and understood. It is an interpretive philosophy that will enable this understanding and reduce the risk of losing rich contextual insights. Also considering the holistic complex systems approach that this study has taken, an interpretivist philosophy best fits the purposes and objectives of the research. Complexity such as that exhibited by policy implementation and the tourism industry would be difficult to accommodate within a non-interpretivist paradigm where reductionism is paramount.

Leyshon and Lee(2003) state that development such as that implemented through

policy actions is not a linear process with rational and predictable outcomes as associated with a positivist paradigm. Successful policy implementation as discussed previously, must also encompass autonomy, democracy and shared decision-making, all involving human activity and consequently differing viewpoints and 'world views'. All of these issues plus the need to understand the dominant reality behind a situation (Remenyi et al., 1998) and comprehend thoughts, feelings, aims and purposes (or intentionality) (von Wright, 1993) again points to the adoption of a broadly interpretivist paradigm.

In accepting an interpretivist paradigm, the positivist paradigm has been dismissed in philosophical terms. Although the positivist paradigm is useful for addressing some types of problems, there have been debates that point out the inadequacy of positivism to address organisational problems (Susman and Evered, 1978; Morgan and Smircich, 1980). The inability of the positivist paradigm to make value judgements, and recognise the practical issues facing organisations has generated knowledge that is less useful (ibid). As previously discussed a mechanistic and command and control approach to policy delivery has been ineffective and will continue to be so in a world of increasing complexity. As Saunders et al (2000) state, the complexity of the world of business and management cannot be limited by laws and generalisations associated with a positivist paradigm, as this leads to a loss of richness and insights.

The focus of positivism on justification and causal relationships has also resulted in the loss of the element of discovery and creative thinking (Henwood and Pidgeon, 1993; Davis, 2003; Guba and Lincoln, 1994). Strauss and Corbin (1990) highlight the need for creative thinking and the freedom of the researcher to "break through

assumptions” and make comparisons that lead to discovery.

Within the domain of tourism research, positivism has been dominant (Jamal and Hollinshead, 2001; Riley and Love, 2000; Walle, 1997). However there is recognition that qualitative research associated with the interpretive paradigm has much to offer tourism research in terms of increasing understanding, interpretation of human activities and investigation of complex, dynamic and multi dimensional phenomena (Jamal and Hollinshead, 2001; Walle, 1997; Riley and Love, 2000; Davis, 2003) rather than simply the presentation of survey data and statistics representative of positivism (Riley and Love, 2000). Davis (2003) states that a positivist approach alone cannot adequately address issues in tourism research such as inter-firm relationships, the complex fragmentation of the tourist industry with its changing dynamics and understanding tourist organisations’ abilities to maintain competitive advantage.

In line with this argument, Dredge (2006a), Selin and Chavez (1995), MacDonald and Jolliffe (2003), Blain et al (2005), Long (2002) and Stone (1994) have all conducted research into tourism partnerships and have done so within a qualitative research philosophy.

There are arguments however that quantitative and qualitative research both have their strengths and weaknesses. Robson (1993:20) argues for a best fit mix and match type of enquiry and that the difference between the two is “technical rather than epistemological”. Davis (2003) in particular argues in a similar vein that tourism research could benefit from a pluralist approach. He argues for the “symbiosis” of the tools of positivism and qualitative research to provide

“verification of facts and the investigation of complex reality” within an integrated framework (Davis, 2003:105). Saunders et al (2000) concur that in reality there is usually a mixture of both quantitative and qualitative research within a study. Both Walle (1997) and Pearce (2001) also argue for broad research designs and the use of diverse, situation driven methodologies within tourism research.

Therefore this study has a broadly interpretivist philosophy, but secondary to this there are some positivist (at the technical level (Collis and Hussey, 2003:47)) quantitative features to the research; as Guba and Lincoln state “both quantitative and qualitative methods may be used appropriately with any research paradigm” (Guba and Lincoln, 1994:105). Network analysis has therefore been used when trying to identify patterns and themes in the current structures, structural constraints and stakeholder collaboration in policy implementation. Despite the network analysis process itself being statistical in nature, the resulting sociograms have been interpreted in a qualitative manner in conjunction with the interview data collected. However, the main issues concerning research methods will be discussed further in a later section.

Within the broad interpretivist paradigm a constructivist philosophy (Denzin and Lincoln, 1994) has been assumed. In tourism partnership studies this is recommended by Long (2002:298) as it provides “Deep pictures of individual case study partnerships informed by participants”.

The constructivist paradigm as described by Guba and Lincoln (1994:110-111) is underpinned by the following assumptions shown in the following table:

Ontology	Relativist – There are multiple realities constructed in both form and content by individuals or groups. These constructions can be more or less informed or sophisticated (rather than more or less true) and subject to alteration.
Epistemology	Transactional and subjective – The researcher and subject work together interactively to create the ‘findings’ as the research process takes place.
Methodology	Hermeneutical and dialectical – hermeneutical tools and dialectical discourse are employed between the researcher and subjects to compare and contrast different constructions and determine a consensus construction that is more informed and sophisticated than previous constructions. Includes interpretive case studies and ethnography (Denzin and Lincoln, 1994:13)

Table 3.1 Constructivist Assumptions

Source: Guba and Lincoln (1994:110-111)

In addition constructivism reinterprets positivist research quality criteria. The traditional positivist criteria of internal validity, generalisability or external validity, reliability and objectivity depend on a realist ontological standpoint and without the underlying assumptions of this position, the criteria can lose meaning and be unachievable (Guba and Lincoln, 1994:114). For example statistical generalisations to a population cannot be made and objectivity cannot be attained, as without the epistemological belief of independent investigator and subject, there is nothing from

which to be remote. Guba and Lincoln (1994:114) translate the positivist criteria of quality into trustworthiness criteria of:

- Credibility - corresponding to internal validity and addressed by using multiple data sources, considering alternative explanations and having key informants review the findings (Yin, 2003:34)
- Transferability – corresponding to external validity and addressed through appropriate research design (Saunders et al., 2000:100), creating thick contextual descriptions, using identification of potential similarities and fit (Schofield, 1993) and generalising to theory rather than to statistical populations (Yin, 2003:10).
- Dependability – corresponding to reliability and addressed through following data collection protocols (Yin, 2003:34)
- Confirmability – corresponding to objectivity and also addressed by the review of findings by key informants.

Placing this study within the constructivist paradigm has enabled the research to reach consensual understanding and explore meanings in a dynamic manner based on the changing multiple stakeholders' viewpoints inherent in policy implementation and tourism development, due to the fragmented and turbulent environment of the industry as discussed previously. The hermeneutical techniques employed have allowed valuable and practical consensus views to emerge and underpinned the use of the VSM as a 'hermeneutic enabler'. In addition the application of constructivist research quality criteria has ensured credible and dependable findings within an interpretivist philosophy.

3.2 Research Approaches

This study has a mainly inductive approach, in line with the interpretivist paradigm, where the data itself can suggest themes and help to build theory. A mainly inductive approach began with the building of a conceptual framework based on the findings of the review of the literature. Following on from this, a methodological framework was developed using this conceptual framework. The intention was that this framework would inform and guide policy implementation, particularly by assessing the current situation in the policy arena with regard to structure, fragmentation, collaboration, communication and control, plus offering a means to guide design of more useful implementation structures. Once developed, the methodological framework was tested using case study of cultural product implementation in the Borough of Scarborough.

However there were elements of deductive research following the development of the methodological framework. The framework developed was tested and evaluated and modifications discussed in an iterative inductive/deductive process. Long (2002) describes this process as abductive, encompassing both inductive and deductive elements. As there was analysis of the subjects' action in the field and also in relation to theory, he argues that theory is being tested and built. Peirce first expounded the concept of abduction and described it as a type of reasoning that aided in the construction and selection of a hypothesis (Fann, 1970). He explained that abduction is an inference from data toward an explanatory hypothesis (Peirce, 1901). It was through this process of abduction that the hypothesis for this work was formed and then it was tested through iterative induction/deduction.

3.3 Research Design

3.3.1 Research Purposes

Research can be classified according to its purpose and Collis and Hussey (2003) offer a four type classification – exploratory, descriptive, analytical and predictive.

This study has been exploratory both in terms of the investigation of the policy implementation process but also by exploring the complementary use of the VSM, Social Network Analysis and the Cybernetic Methodology TASCOI tool. It has also had descriptive and analytical aspects with the aim to describe and analyse the collaborative, communication and control processes within policy implementation and cultural tourism development. This study has moved beyond the purely descriptive and analytical to try to explain the barriers to effective policy implementation. A methodological framework was developed which aimed to provide a means to investigate the policy arena in terms of structure, collaboration, fragmentation, communication and control.

3.3.2 Research Strategies

In considering the research purposes and ontological and epistemological positioning of this study, a case study strategy was deemed to be most appropriate. The following matrix found in Yin (2003:5), was used in making this decision.

Strategy	Form of Research Question	Requires Control of Behavioural Events	Focus on Contemporary Events	Rationale for choice of Case Study for this research
Experiment	How, Why?	Yes	Yes	Control of behavioural events is not required. Associated with a positivist paradigm.
Survey	Who, what, where, how many, how much?	No	Yes	More relevant for a quantitative positivist paradigm and does not address how and why.
Archival analysis	Who, what, where, how many, how much?	No	Yes/No	Does not address how and why and more focused on the past.
History	How, why?	No	No	The focus is particularly on the past and is less concentrated on contemporary issues.
Case Study	How, why?	No	Yes	Does address how <i>and</i> why and is concerned with contemporary issues.

Table 3.2 Relevant situations for different research and rationale.

Source: Adapted from Yin (2003:5)

Yin (2003:15) has defined case study as “empirical inquiry” that is concerned with contemporary issues in a “real-life context”, where there is data triangulation from various sources and previous formation of theoretical concepts. He presents five different applications of case studies, two being evaluation of an intervention and a meta-evaluation mode, but the following three will be useful in this study:

- Applications in exploratory research
- Applications in explanatory research where complexity can discount the use of experiments
- Applications in descriptions of real life contexts

An instrumental single-case design study (Stake, 1994) has been used for the application of the methodological framework. The Borough of Scarborough in North Yorkshire was the case study area. It could be considered that convenience sampling has been employed due to ease of access. However, it could also be argued that purposive and revelatory sampling has also come into play (Saunders et al., 2000; Yin, 2003). The main resort in the Borough is Scarborough which is also in the median position of the forty-three principle seaside resorts listed by Beatty and Fothergill (2003) in terms of size.

From a revelatory perspective, there was a chance to assemble rich and meaningful data not previously collected in this particular context. In addition, Eisenhardt (1989) states that it is not necessary or particularly desirable to have a random selection of cases as long as it is possible to “replicate or extend emergent theory”. This point is reiterated by Yin when he compares case study to experiments and

states that both are “generalizable to theoretical propositions”.

Previous studies involving tourism collaboration and partnerships have used case study strategies to achieve their aims. These include research by Dredge (2006a) who was studying local tourism policy networks, Long (2002) and Stone (1994) who researched local tourism development partnerships, MacDonald and Jolliffe (2003) who looked at cultural rural tourism in Canada and Selin and Chavez (1995) who developed an evolutionary model for collaborative tourism development. Of these sample studies both Dredge and MacDonald and Jolliffe used single case study designs. In addition, in terms of policy implementation the use of a single case study was employed by Parag (2006).

However as mentioned previously this research evolved as it proceeded, into branches which involved action research. As fieldwork progressed and issues arose, it became possible to engage in more depth with stakeholders in the policy arena and attempt to address these concerns. Two issues that became action research subjects were the Counting 4 Scarborough project and the festival sector development in York and North Yorkshire.

The concept of ‘action research’ was first identified by Kurt Lewin (Lewin, 1946). He described action research as spiral cycles of planning, acting, observing and reflecting and defined its concerns as “the study of general laws of group life and the diagnosis of a specific situation” (1946, 36).

(Corey 1953) further developed the use of action research in an educational context. He focussed on collaboration in the research process and the advantageous personal learning it brings that changes behaviour (1953, 9).

A frequently quoted definition of action research is that of (Rapoport 1970)

“Action research aims to contribute both to the practical concerns of people in an immediate problematic situation and to the goals of social science by joint collaboration within a mutually acceptable ethical framework.”

To Rapoport’s aims of solving practical problems and contributing to the “goals of social science”, (Susman and Evered 1978) add a third goal of developing “self-help competencies” of those people subject to the research process.

Action research is also useful as a “strategy for distributing knowledge” according to (Clark 1972). Access to good quality data was another benefit that he believed an action research strategy could deliver.

It is in view of these benefits of action research of

- practical problem solving,
- contribution to the body of knowledge,
- developing self-help
- developing of personal learning,
- access to quality data and
- distribution of knowledge

that it was considered an appropriate strategy for the extra elements of this study.

Action research was most useful in this instance where experiments were not appropriate and it would have been difficult to reach meaningful insights in any other way (Eden and Huxham 1996). Again for this study, where the context and the

examination of inter-relationships is all- important, action research is invaluable (Hult and Lennung 1980).

Ison (2007,152) has highlighted the benefits of understanding and employing systems thinking within an action research, as this enhances the ability to reflect upon practice. There have also been plentiful examples of the use of systems approaches and tools used in action research that have brought about practical benefits (ibid). Therefore it is argued here that with this study's complex systems approach, this will fit comfortably with an action research strategy.

There have been criticisms of action research in that it can be introspective, not sufficiently rigorous and more akin to consultancy than research (Gummesson 2000). However Gummesson has suggested using the term 'action science', whereby:

- there are dual goals of problem solving and contribution to science
- there is an attempt to be holistic and be aware of the complexities of the situation
- there is implementation of change.

Although action research is considered by some to be applied research, this study also aims to contribute to the body of knowledge with insights into cybernetic practice and the exploration of the complementary use of the VSM and Social Network Analysis. Therefore with a leaning toward an action science approach there will also be an element of basic research.

By its very nature action research requires a case study framework and this is a well recognised way of carrying out research (Remenyi et al. 1998). It would therefore

seem appropriate that a case study strategy in conjunction with action research is a valid scenario in this study.

Reason and Bradbury (2007, 5) state that good action research emerges over time in an ‘evolutionary’ process, as “communities of inquiry develop within communities of practice”. This was the case in this research where stakeholders were willing to come together to work on issues that had become apparent through the initial stages of the fieldwork.

The following figure illustrates the research processes for this study, showing the main route for the study as a whole in green, with the methodological framework and data collection processes colour coded into violet and blue respectively.

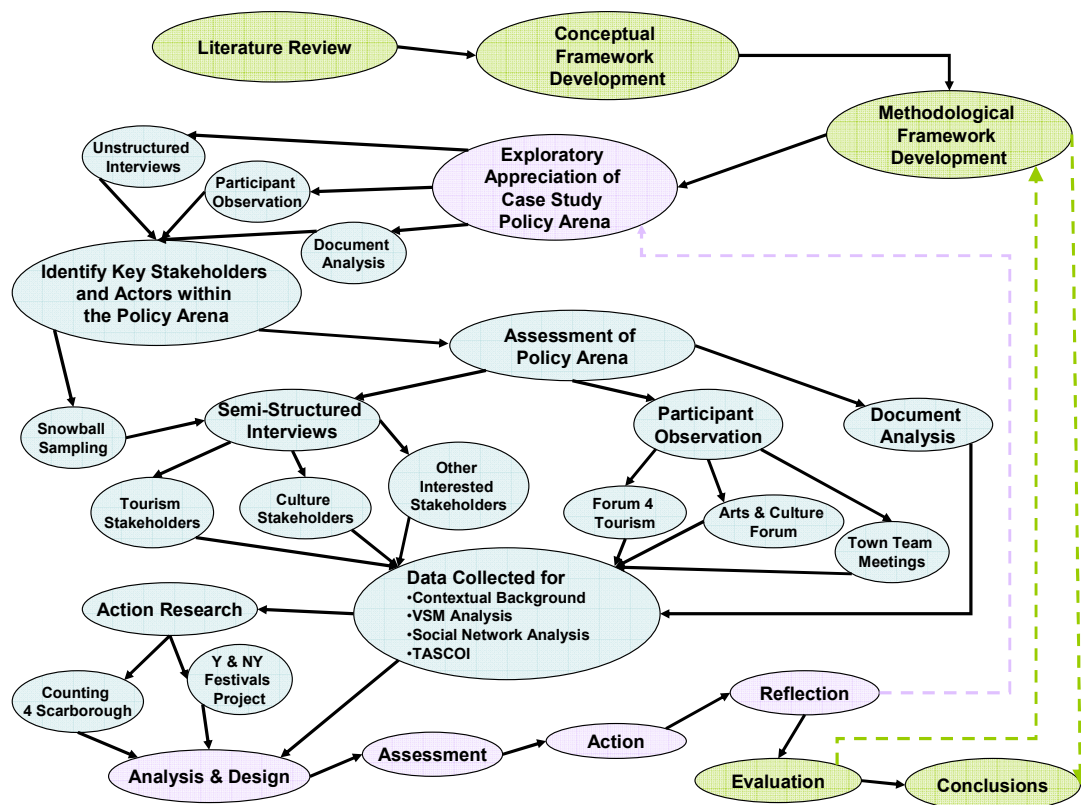
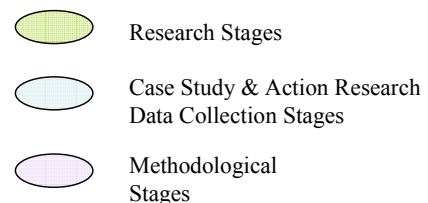


Figure 3.1 Research Processes



The next section looks in more detail at the data collection processes for the case study.

3.3.3 Data Collection Methods

All types of research have an inherent logical design that links the research question with the data to be collected and its final findings (Yin, 2003:20). The data to be collected and the methods to be employed should fully fit with the purpose and objectives of the study (Saunders et al., 2000:242; Pole and Lampard, 2002:129).

The data collection methods employed in this study will be those that follow the logic of an interpretivist paradigm and case study and action research strategies – interviews, observation, document analysis and stakeholder meetings. However, Gummesson (2000:126) states, all of the different data collection methods have their own strengths and weaknesses therefore a multi-method approach will be employed in mitigation.

Secondary desk research included document analysis of strategies, reports, minutes of meetings, visitor brochures and newspaper articles to gain background and contextual information on the case study. The primary research consisted of semi-structured interviews and participant observation.

3.3.3.1 Interviews

Initial exploratory unstructured interviews were held with key stakeholders in the Borough of Scarborough. These were the local authority Economic Development Officer, the Tourism Development Officer and the director of the local arts and culture development agency (Create). In addition observations were made at the local forum meetings for the tourism sector (Forum for Tourism) and the cultural sector (Arts and Culture Forum), both of which were ‘Action Groups’ in the Scarborough Renaissance initiative started by the regional development agency Yorkshire Forward.

From these there emerged some key stakeholders who were approached as potential interviewees for the case study. Further interviewees were identified through

snowball sampling as interviews took place and people suggested others who might be able to contribute to the study. The aim in selecting interviewees was to gain a broad range of those involved in the policy arena. Representatives were chosen from the cultural sector - heritage, the arts, festival organisers and cultural intermediaries, and the tourism sector - accommodation providers, tourist attractions, tourism trade associations and local authority tourism officials, plus those in regulatory or more general roles such as the Renaissance manager.

Some who were approached to contribute did not respond (6) but in total, 24 people agreed and were interviewed over the course of 12 months between January 2006 and December 2006. A full list of the interview dates, job titles and organisations of the respondents can be found in Appendix 1. Due to ethical considerations names can be supplied by the author on request. A total of 20 hours and 21 minutes of interviews were carried out for this study with the shortest interview being 24 minutes and 19 seconds and the longest 1 hour 57 minutes and 40 seconds. The average length of interview was 50 minutes and 54 seconds.

An interview schedule of questions was devised in the format of a semi-structured interview. A semi-structured interview was deemed to be most appropriate due to the need to collect data that could be analysed for network analysis (more structured questioning needed) but also data that was rich and had enough depth to use for a VSM analysis (less structured so that themes and issues could be explored and discussed rather than hard quantitative data).

The semi-structured interview is non-standardised but has a list of pre-set questions, although the order, inclusion or omission is at the researcher's discretion and will

depend on the flow of the interview and the particular context. Where context is important and questions need adapting then a semi-structured interview is a suitable method. Semi-structured interviews are needed when questions are mainly complex and open ended (Saunders et al., 2000:243).

For this study the questions had to be complex and open to gain the rich insights required. The questions asked had to provide data to allow the identification of existing collaboration and the nature of any relationships. Questions designed to collect data to allow network analysis and VSM diagnosis to be completed regarding the current situation regarding the policy arena, and also to gain information to enable network and VSM design.

The ability to gain unique, context specific, rich data is a strength of the interview but both interviewer and interviewee bias has to be overcome in interview situations. These sources of bias include respondent bias when 'socially desirable' answers are given, and interviewer bias when wording is changed, questioning skills are poor and a neutral role is not taken (Fontana and Frey, 1994). However the interview as an instrument had advantages over the questionnaire for this study. It allowed for a quicker and higher response rate, it was more flexible in terms of exploring themes and issues and further insights could be gained from the way the respondent answered, by the face to face situation where visual signs such as body language could be taken into account.

It was useful however to use a multi- method approach to try to offset the disadvantages and bias. Yin (2003, 97) agrees and proposes the "use of multiple sources of evidence" as one of the three principles of data collection within case

study research. Participant observation and document analysis were other sources, and multiple interviews have also given some data triangulation.

Pilot interviews were carried out with two respondents and following the testing and comments by these respondents, adjustments were made. The comments were:

- There were a few too many questions and that it would be better to ask about the present situation and recommendations about the future in one question rather than have two completely different sections.
- There needed to be statements throughout the interview to relate questions back to the context to refocus the interviewee on what was being asked.
- The language was thought to be acceptable with regard to being understandable with the possible exception of the word 'resources'.

To address these issues, amendments were made to the questions:

- The questions were reformatted so that the present and future were considered in the same question rather than in separate questions.
- Questions were rewritten to include a context-setting statement.
- Where there may be some misunderstanding regarding language, a series of prompts were added and expanded to explain the question in more detail, if it was apparent that the interviewee was unsure about what was being asked.

The final version of the interview schedule can be found at Appendix 2.

Each of the questions within the interview schedule was included to elicit certain

data and/or to prompt discussions on issues and problems being experienced in the policy arena. The VSM related questions had to be carefully constructed and structured so as to obtain data rich enough to enable the VSM diagnosis but to still allow interviewees to freely express any problems they may be encountering. Time considerations also had to be taken into account. All of the respondents gave their time freely and the aim was not to impose too greatly on them.

The following table takes each question and then outlines the data to be gained from applying the question.

Question No.	Question	Data Obtained and Use
1	Please will you describe the role of your organisation in the tourism/culture industry.	To explore organisation identity and purpose.
2	With regard to tourism:	
a)	Do you share resources with any other organisations?	To obtain data for use in the Social Network Analysis.
b)	Do you work with other organisations when planning for the future?	The questions are based upon Gray and Wood's (1991) theoretical framework
c)	Do you work with any other organisations to improve efficiency?	Interorganisational Collaboration Theory (see Conceptual Framework chapter).

d)	Do you collaborate with any other organisations to assist in dealing with institutions or agencies, either governmental or non-governmental?	
e)	Do you work with any other organisations in solving community issues?	
f)	Do you collaborate with any other organisations to gain more influence/prestige or to overcome barriers from more powerful organisations?	
g)	Can you think of any other organisations, not already mentioned, that you currently work with?	
3	Is working with these organisations:	
a)	Providing better access to information?	
b)	How could this be improved?	
c)	Affected by delays in action being taken or information being received?	To obtain data to perform a detailed VSM analysis and design, to explore the problems of the policy arena and to provide contextual background information.

d)	How could this be improved?	
e)	Bringing problems of duplication?	
f)	How could this be improved?	
g)	Affected by a lack of control over activities?	
h)	How could this be improved?	
i)	Affected by a lack of shared goals or differing objectives?	
j)	How could this be improved?	
k)	Bringing any conflicts of interest?	
l)	How could this be improved?	
m)	Including consideration of outside factors or the future?	
n)	How could this be improved?	
o)	Making you change the way you	

	plan for the future?	
p)	How could this be improved?	
q)	Including any monitoring or feedback?	
r)	How could this be improved?	
s)	Constrained by any barriers? (local, sub-regional, regional or national?)	
t)	How could this be improved?	
u)	Bringing any other problems or benefits?	
v)	How could these problems be improved?	
w)	Formal or informal arrangements?	
x)	On a regular or 'as and when required' basis?	
y)	Conducted through a third party or agency?	
z)	The result of work contacts,	

<p>aa)</p> <p>ab)</p>	<p>personal contacts or through introduction by a third party?</p> <p>Involving any aspects of cultural tourism?</p> <p>Any other improvements needed?</p>	
<p>4</p> <p>a)</p> <p>b)</p>	<p>With regard to tourism:</p> <p>Are there any organisations that you do not currently work with but would like to work with in the future?</p> <p>Are there any reasons why you do not do so already?</p>	<p>To explore fragmentation and collaboration and add to the Social Network Analysis data. Also to provide some contextual background information.</p>
<p>5</p> <p>a)</p> <p>b)</p>	<p>With regard to tourism</p> <p>Are there other organisations that you think should be working together but don't?</p> <p>If so, what do you think are the reasons they do not already do so?</p>	<p>To explore fragmentation and collaboration and add to the Social Network Analysis data. Also to provide some contextual background information.</p>
<p>6</p> <p>a)</p>	<p>In tourism development whom do you believe makes the decisions regarding:</p> <p>Finance</p>	<p>To explore issues of power and brokerage.</p>

b)	Information	
c)	Resources e.g. staff, venues, IT	
d)	Initiatives/projects	
e)	Who is the source of any new initiatives?	
7	What support do you think would be necessary for any collaboration in tourism development e.g. marketing, training, administration and finance or political support?	To underpin any design issues in the VSM design stage.
8	Have you anything further to add?	An opportunity for respondents to discuss anything they believe is important that has not been mentioned within the interview.

Table 3.3 Interview questions and data obtained.

The first question of the interview regarding the role of the organisation was to ascertain organisational identity, with the next section looking to gather data for the network analysis. These questions asked if the organisation worked with other organisations using Gray and Wood's (1991) Interorganisational Collaboration Theory as the framework. Following this more semi-structured questions followed to give data to inform the VSM diagnosis. Questions 4 and 5 attempted to explore fragmentation and collaboration further and question 6 looked at power and

brokerage issues. Question 7 attempted to gather data on any design implications and Question 8 gave the interviewees the opportunity to add additional thoughts that they believed could be important considerations.

All except one of the face to face interviewees agreed to have the interview recorded, plus three of the interviews were carried out over the telephone making it impossible to record without the suitable equipment and legal constraints. All of the interviews took place at the interviewees' places of work or at a venue of their request, hopefully allowing them to feel comfortable and at ease in the interview situation. All completed a consent form of which a sample can be found at Appendix 3. A standardised form based on the interview schedule was used to take notes during the interviews in addition to the recordings.

3.3.3.2 Participant Observation

Participant observation was carried out over a twelve-month period from October 2005 for the single case study. This twelve-month period allowed for any issues of seasonality to be identified. Monthly meetings of the Forum for Tourism, the Arts and Culture Forum and the Town Team (all part of the Yorkshire Forward Urban Renaissance initiative for Scarborough – see 'Case Context') were attended. In addition 'one-off' events were also included; these were for tourism:

- 10th May 2006 - Benchmarking Event with Great Yarmouth Tourism Authority – Royal Hotel, Scarborough
- 22nd June 2006 - Area Tourism Partnership Draft Plan Consultation Day – Spa, Scarborough

and for culture:

- 30th August 2006 - Arts and Culture Marketing Consultation Day, Spa, Scarborough
- April 2005 - North Yorkshire Festival Development Focus Group – Guildhall, York
- 18th July 2006 - North Yorkshire Festivals Development Meeting – York City Council Offices, York

Both of the two festival sector development focus groups were part of the action research element of this study. This participant observation allowed data triangulation in conjunction with the semi-structured interviews and document analysis.

Participant observation is a method associated with ethnography and ethnographic data collection. This practice stems from anthropology and in using participative observation, ethnography can be employed to understand behaviour patterns, activities and the social surroundings of the group being studied (Denzin and Lincoln, 1994; Miles and Huberman, 1994; Collis and Hussey, 2003). Miles and Huberman (1994) note that ethnographic methods tend to be descriptive and care must be taken therefore in the production of ethnographic texts and their evaluation (Denzin and Lincoln, 1994). In this study, the use of participant observation has reinforced the collection of rich contextual information and brought valuable insights to the research process along with data triangulation.

Within participant observation the role of the researcher can fall within a spectrum of

variables of observation and participation. The following diagram illustrates this point.

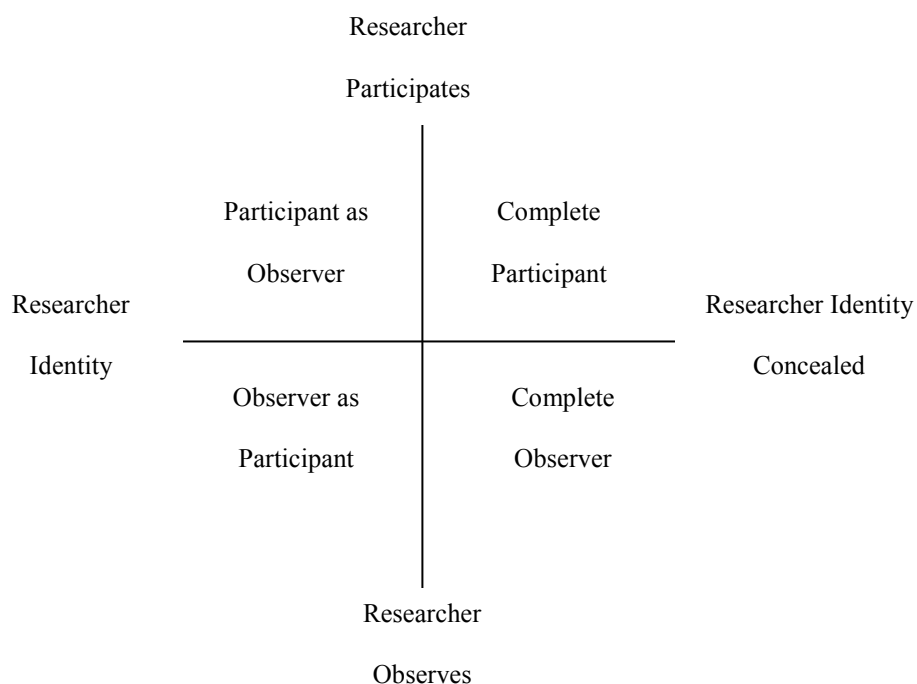


Figure 3.2 Participant observation roles

Source: Saunders et al (2000:223)

The ‘Complete Observer’ and ‘Complete Participant’ are not relevant in this instance, as the researcher’s presence and purpose was known to the others within the meetings. The ‘Participant as Observer’ was the role employed in this study as it allowed access to information and insights not normally available but also brought opportunities for extra discussions with the group members and confirmation of understanding.

Brewer (2000) describes two ways that participant observation can be enacted in the social sciences; the traditional way whereby the study aims to comprehend the field as it is understood by those on ‘the inside’, and the later development of

ethnomethodology which looks at revealing the routine, everyday procedures operating within the field such as decision-making in organisations.

Brewer (2000) outlines further distinctions and dimensions of participant observation with the variables of existing/new role of the researcher and familiar/unfamiliar setting to the researcher (see the following table).

Pure participant observation Acquisition of a new role to research in an unfamiliar setting.	Variation of participant observation Acquisition of a new role to research a familiar setting.
Pure observant participation Use of an existing role to research a familiar setting.	Variation of observant participation Use of an existing role to research an unfamiliar setting.

Table 3.4 Dimensions of participant observation.

Source: Brewer (2000, 61).

He argues that each of the positions has certain requirements to enable successful participant observation or observant participation. A researcher operating in a new role and/or unfamiliar setting must take time to win acceptance and trust and aim to experience a broad range of activities, whether they are acting covertly or overtly. When working in the observant participation dimension the role occupied must be suitable in terms of the ability to reach a cross-section of activities, permanent enough to allow long-term access and of a type that allows questions to be asked without it appearing unusual.

In this study there was both pure participant observation (initially when in the

tourism sector) and pure observant participation (when in the culture sector). Both roles were carried out in an overt fashion and with the researcher in a 'participant as observer' role according to Saunders et al (2000).

The author was already working part-time, when the study began, in the culture sector of the case study area, for Create, a local arts and culture development agency, and attending Arts and Culture Forum meetings and Town Team Meetings.

Therefore this indicated the pure observant participation role category. This continued throughout the study and therefore the role and setting did not change.

For tourism the position was initially pure participation with a new role and unfamiliar setting. In contrast with culture however, this position did change with the progress of the study. As previously discussed, as data collection and observations continued a more action research strategy began to emerge with key stakeholders willing to take part in the Counting 4 Scarborough initiative. This meant that the role taken by the researcher moved along the spectrum to a more pure observant participation position.

The main threat to research quality for participant observation is observer bias. Adler and Adler (1994:381) explain that an observer can influence the data through their own values, beliefs and understanding and as such there are few research studies that use observation as the sole data collection method. They suggest therefore that other data collection methods are employed in a multi method approach. Reliability of research using observation is also brought into question because of the lack of statistical significance testing, although it could be argued this is only relevant from a positivist position. Again Adler and Adler (1994) suggest

that repeated observations are carried out at different times and locations to mitigate this problem. Both of these suggestions have been fulfilled in this study with observation carried out over twelve months with the monthly meetings of three separate groups and the use of semi-structured interviews and focus group work in a multi method approach.

3.3.3.3 *Focus Groups*

The focus group work was carried out in an action research setting during the author's part-time work for Create. Two focus group sessions were held with festival organisers to investigate the development of the festival and events sector in York and North Yorkshire. Both of the focus group meetings were attended by festival organisers from York and North Yorkshire. The first meeting in April 2005 was attended by 15 organisers and the second in July 2006 by 9 organisers.

A further project for Create also involved a focus group for the Culture sector in the Borough of Scarborough regarding a marketing project to investigate coordinating activities across the area. This focus group consisted of 17 people including the author. The breakdown was as follows:

- Scarborough Borough Council
- Marketing Officer
- 2 Museum staff
- Arts Officer
- Spa Complex marketing officer
- 2 representatives from the Stephen Joseph Theatre

- University Arts Coordinator
- Scarborough Library Representative
- 2 artists
- 1 author
- 1 graphic designer
- 3 arts development workers (including author).

For all of these focus groups observations and notes were taken, although the author was not facilitating the focus groups.

Focus groups have the advantages of limiting participants' inhibitions and bring the opportunity to gather a variety of viewpoints. However, there is less control by the facilitator than an interviewer has in an interview situation. The group may be dominated by one or two individuals or differing status of the members may cause problems. Choosing the participants and obtaining a good compositional mix may also prove difficult (Pole and Lampard, 2002; Saunders et al., 2000). However status was not such of an issue for the festival focus group as all were independent festival organisers and there was an experienced facilitator to manage the meeting. For the cultural marketing focus group the format of the meeting included break out groups which mitigated any status issues to a certain extent, and again experienced facilitators were managing the session.

It is acknowledged that all of these data collection methods, especially observation and interviewing, could necessarily involve researcher, interviewee and respondent bias in some form or another. As (Schofield 1993) states, there are no methodologies

which guarantee 100% accuracy with no bias whatsoever. However by using data and methodological triangulation, reflective practice and acknowledgement of potential bias and assumptions and implementing measures to mitigate, it is believed that rigorous and credible research has been conducted.

3.4 Researcher's Position

As previously mentioned the author was employed on a part-time basis before the start of this study at Create which was active in the cultural sector and also attending Arts and Culture Forum meetings and Town Team meetings as part of the Scarborough Renaissance initiative. This has brought benefits to the research such as access to key stakeholders and rich and in-depth data.

However, the potential for bias is recognised and therefore effort has been taken to engage in continual reflective practice and aim for the balance between part insider and part outsider, with professional distance but building rapport – incorporating both “involvement and detachment” (Brewer, 2000,62). By also using data and methodological triangulation potential bias has hopefully been mitigated against.

3.5 Data Analysis

As previously discussed, this research required an interpretative approach that enabled understanding of complex behaviour in human activity systems and also encompassed the multiple viewpoints of the various actors. In line with these requirements and the aims of the study, the research design included those data collection instruments most suited to the task, namely document analysis, observation and semi-structured interviews. However in using these methods a large amount of data was generated which then required analysis. It is the use of an

analytical framework that can aid in giving structure and some sense of coherence to these unwieldy amounts of data (Ritchie and Spencer, 1994).

Huberman and Miles (1994) consider qualitative data analysis as an iterative process taking place before, during and after data collection. The following diagram illustrates the components of data analysis according to Huberman and Miles and also where the analytical framework for this study fitted within the research methodology.

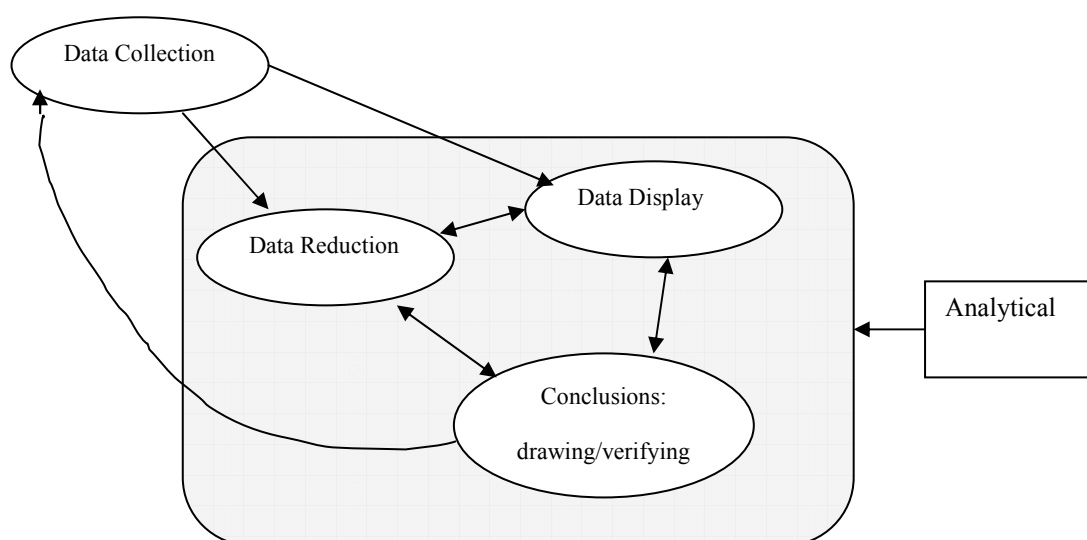


Figure 3.3 Components of data analysis: Interactive Model and Analytical Framework

Adapted from Huberman and Miles (1994:429).

The analytical framework for this research was based on the framework as devised by Ritchie and Spencer (1994) with adaptations and inputs from the work of Miles and Huberman (1994) and Glaser and Strauss (1967).

The application of the framework was carried out in four stages as according to

Ritchie and Spencer. These stages were:

Familiarisation – the researcher reviews all of the material to gain an overview of the depth, variety and range of the data whilst making preliminary notes regarding emergent themes and concepts. This is the start of the process of abstraction and data reduction as shown in the Huberman and Miles model.

Identifying thematic framework – This is the continuation of the identification of key concepts and themes and the construction of a thematic framework. The thematic framework will usually develop from a descriptive version based on a priori issues into a more refined version using emergent themes. Ritchie and Spencer argue that this is not a mechanistic procedure but requires “logical and intuitive thinking” (1994:180) along with having to determine meaning and checking on adherence to the research questions. This process follows the grounded theory approach devised by Glaser and Strauss (1967) and the data analysis methods espoused by Miles and Huberman (1994).

Indexing – this involves the data being coded into thematic references. Again Ritchie and Spencer suggest that this involves judgements being made on meanings, although they contend that this can make the analysis process more visible, accessible and more open to replication.

Charting – this allows the researcher to view the data as a whole by the abstraction of data from the original context into synthesised thematic charts. This is illustrated in Huberman and Miles Model (Figure 4.3) by the Data Display component. It is at this stage that passages of text can also be highlighted and referenced for future use as quotations to illustrate concepts and issues.

Mapping and Interpretation – the completion of this stage depends on the purposes of the research in question. Ritchie and Spencer describe the functions of qualitative research as:

- “Defining concepts
- Mapping the range and nature of phenomena
- Creating typologies
- Finding associations
- Providing explanations
- Developing strategies”.

Mapping and interpretation continues dependent on which function or purpose is required, although the essential processes are the same with the researcher comparing and contrasting and searching for patterns and links. This stage equates with the Conclusions component of the Interactive Model and Analytical Framework depicted previously.

At this stage Huberman and Miles (1994:432) offer ‘tactics’ for generating meaning which were used iteratively within this analytical framework for this research thereby incorporating a grounded theory approach (Glaser and Strauss, 1967). These tactics include not only those mentioned above by Ritchie and Spencer but also clustering, moving back and forth between the ‘macro’ and ‘micro’ view, and building a logical chain of evidence.

One of the main advantages of this analytical framework was that it allowed the analysis of large amounts of unwieldy material that was generated by document analysis, field notes and interview data, whilst the conclusions generated were

strongly grounded in the original data. The framework was also dynamic, flexible and could accommodate the iterative, grounded theory approach. It allowed easy retrieval of original material and easy access to the analytical process and the interpretations and judgements made. Finally in terms of comprehensiveness, it provide a thorough, systematic treatment of all data that had been collected (Ritchie and Spencer, 1994; Huberman and Miles, 1994).

Disadvantages of the framework included that the processes required the use of not only logical thinking but also creative thinking and intuition and relied on the skills of the researcher. These methods of analysis are not routine mechanised procedures. The problem of subjectivity and value judgements and researcher bias could have been a major concern that could have affected analytic validity when drawing conclusions (Huberman and Miles, 1994).

Threats to analytic validity according to Huberman and Miles (1994) can include data overload where some information is missed because of the vast amount to be analysed. Also the researcher can be selective or swayed by first impressions or data from unreliable informants. Again the researcher may incorrectly identify causal relationships that are in fact just coincidence.

However Huberman and Miles offer tactics for checking conclusions for bias. There should be testing for representativeness, researcher effects, rival explanations and negative cases that go against the research conclusions. Triangulation should also be employed and feedback sought from informants. They also advise researchers aim for transparency of method so that another can easily track the analytic process, replicate the research and verify conclusions. A reflexive approach is recommended

(Huberman and Miles, 1994). This research addressed the above threats to validity using the guidelines offered by Huberman and Miles. There was triangulation by using data from the interviews, observations and documentary analysis, plus a reflexive approach was used. Thematic analysis was also made transparent and was well documented.

The Ritchie and Spencer analytical framework as described is flexible, adaptable and has been applied in various situations including in-depth interviewing, case studies and research involving different subgroups of participants within the policy field (Ritchie and Spencer, 1994) thereby suggesting it as appropriate for this research. Long (2002) has also applied the framework successfully in tourism partnership studies and recommends it for further research in the tourism field. In addition to its usefulness in managing large amounts of data, the application of the framework in this study has brought a systematic and transparent approach to data analysis.

Data analysis was carried out in two main strands; the first being that for the Social Network Analysis and the second that for the more qualitative data analysis for exploring identity and the VSM diagnosis and design.

The answers from the questions from the interview regarding the network analysis were analysed and input into the software Pajek which carries out network analysis and creates network diagrams known as sociograms. Pajek was devised and developed by de Nooy, Mrvar and Batagelj (2005a). Pajek was chosen as the social network analysis software for this study as it has been widely used in many studies, had an accompanying book including full instructions, descriptions of the main concepts and examples of application, and was freely available to download from the website

(Nooy, Mrvar and Batagelj, 2005b). Pajek in particular has good graphical and visualisation components (Huisman and van Duijn, 2005) which were necessary for this research with its focus on the investigation of collaboration, fragmentation and power. Visualisation of the networks was particularly important to show where fragmentation was occurring and where possible power and brokerage was coming into play.

The data put into Pajek included all of the actors mentioned in the interviews by the respondents plus their interactions with each other. Partitions (different ‘slices’ of the networks) were also created to colour code the nodes of the actors according to their identity and roles in the policy arena. For one partition the actors were coded into:

- Cultural
- Tourism
- Other.

A second partition coded the actors into:

- Arts
- Heritage
- Festivals & Events
- Mixed
- Non-Cultural.

These partitions allowed various sociograms to be drawn to investigate separately the linkages within both tourism and culture as well as in combination. Partitions were also created to investigate the core and periphery of the policy arena network and

brokerage, to explore the links of those at the 'centre' (higher density of links) and power issues.

The second strand of analysis involved the qualitative data collected in the interviews to enable application of the VSM and TASCOI tool. As there was a need to identify and build themes and patterns from the data, and the iterative nature of this process, it demanded that elements of grounded theory analysis were used to ground emerging ideas and patterns both in the data collected and in reflection from the action research process. This involved open coding of the data using categories, themes and patterns (Strauss and Corbin 1990) around the framework of the VSM.

Comments, answers and quotes from the respondents were organised into categories of similar ideas and problem areas and these problems were then mapped onto the VSM. This then gave the basis for VSM diagnosis and design. A VSM diagnosis was completed for both Tourism and Culture due to the previous Social Network Analysis showing separate operational identities for each within the policy arena. Separate TASCOI analyses were also constructed from the data.

The observational data was also used and coded along with the interview data to gain data triangulation, plus it enabled thick description. Rosen (2001) considers thick description to be "an interpretation blending behaviour and meaning", but advises that there should be a balance between thick description and diagnosis. Thick description was used therefore to mitigate against possible respondent and interviewer bias and also give insights to aid diagnosis.

3.6 Case study context

The main case study was conducted in the Borough of Scarborough where Scarborough Borough Council is the local authority for the area. In 2005 Scarborough Borough Council (SBC) published its Tourism Strategy (Scarborough Borough Council, 2005a). The strategy aimed to implement a number of policy actions, including developing a more culturally led product in Scarborough, Whitby and Filey.

For Scarborough it was the aim to “create new market demand” in the “high value sector” of culture by taking the opportunity of the cultural element of the Scarborough Renaissance programme and developing it as a tourism theme. For Whitby the aim was also to create new market demand for the high value sectors of “culture and heritage”. For Filey once again the aim was to create new market demand for the high value sectors of culture.

It is the implementation of this strategic policy which this case study has investigated and used to test the methodological framework developed in this research.

The Borough of Scarborough is situated in North Yorkshire and includes the whole of the county’s 43-mile coastline. There are three main coastal resort towns - Scarborough, Whitby and Filey, but the 330 square miles of the Borough also contains 88 villages and 62% is the North York Moors National Park (Scarborough Borough Council, 2004).

A total of 106,800 people were resident in the Borough according to 2003 population estimates (Office for National Statistics, 2004), with the three main centres of

population being Scarborough (54,000), Whitby (13600) and Filey (6500) (Scarborough Borough Council, 2004). The average age of the population in 2003 was 42.7 years, which was high in comparison to the England and Wales average of 38.6 years; 25.1% were of retirement age compared to 18.5% for England and Wales. The vast majority of the population was white (99%) and Christian (79%) (Office for National Statistics, 2004).

The economy of the Borough has experienced falls in agriculture and fishing (Yorkshire Coast Partnership, 2003) and the service sector is dominant as would be expected in a tourist area. As at 2003, the main elements in the service sector were retail 18.6%, health 16.7% and hotels and restaurants 14.9%. There was however an important manufacturing sector of 15.1%. The local authority recognised that the tourist industry in the area, which had previously been the main driver of the economy, has experienced significant decline due to changing tastes and overseas competition (Scarborough Borough Council, 2004).

The tourism product in the Borough of Scarborough is varied and includes traditional seaside resorts (Scarborough and Filey), heritage destinations (Whitby and the coastal villages such as Robin Hood's Bay), rural destinations within the North York Moors National Park and caravan parks in the Filey area. Tourism employment accounts for over 7,000 jobs in the Borough which represents 18 % of the area's total workforce.(Scarborough Borough Council, 2005a).

In addition to the traditional seaside attractions the area has significant cultural assets including heritage sites, theatres, museums, art galleries and festivals (Scarborough Borough Council, 2005a; Massey and Watts, 2003; Yorkshire Forward Urban

Renaissance Panel, 2002; John Thompson and Partners, 2002):

The Borough of Scarborough has many of the problems suffered by English seaside resorts. It has been subject to increasing competition from overseas destinations and changes towards short break tourism, lack of investment, high levels of deprivation, poor transport links and isolation from large centres of population. With these problems but also having the cultural assets on which to build, the Borough of Scarborough has provided a useful case study for this research.

The next section draws together the research aims and objectives for this study.

3.7 Research Aims and Objectives

As discussed previously there appears to be a recognition in the domains of strategic policy processes that joint-working and joined-up thinking is desirable, useful and necessary to enable successful policy implementation and the achievement of required outcomes. It was the aim of this research to explore the possible structural issues that could be impacting upon policy processes and the ensuing concerns of fragmentation, collaboration, communication and control that may have become barriers to joint-working.

The main aim of this study therefore was to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication.

To this aim the intention was to develop a methodological framework to allow investigation of pre-implementation conditions in the policy arena pertaining to

structure, fragmentation, collaboration, control and communication and also provide suggestions for the design of more useful structures for implementation. Following the development of this framework, it was applied to a case study situation involving the implementation of a cultural tourism policy.

A review of the literature has shown that current policy approaches being developed involve a network perspective although there has so far been a lack of theory to inform the policy network approach. Current research has been descriptive with the production of hundreds of variables with no theoretical framework to underpin such approaches. Therefore it was an aim of this study to suggest a means to bring closure, coherence and structure to current implementation understanding by providing a flexible, holistic framework for policy implementation. Collaboration is another aspect of policy implementation which needs to be considered with regard to structures, structural fragmentation and cooperative competition. This research aimed to enhance Ansell and Gash's Model of Collaborative Governance by providing a means to assess the starting conditions of implementation and to design collaborative processes underpinned by trust and shared understanding.

In addition this research aimed to answer Smith and Brown's (2009) appeal for tools for cluster assessment and to provide a methodological framework to complement their work on System Dynamics for cluster analysis.

A Complex Systems approach was taken to provide a means to manage the complexity of policy implementation and in particular the VSM formed part of the methodological framework and as a recursive model was considered to be useful for examining different levels of the policy implementation arena. Social Network

Analysis and Espejo's TASCOI tool were used as tools to complement the VSM.

The Tourism Industry formed the context of the case study for this research, with the aim to contribute original insights into the application of the VSM and network analysis to tourism.

3.7.1 Research Objectives

Within the context of the main aim of this study to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication, the research objectives for this study can be summarised as:

- To develop a more useful framework for the implementation of strategic policy that offers a means to assess and address fragmentation in complex operating environments that require collaboration, communication and control whilst allowing for cooperative competition.
- To explore the application of a Complex Systems approach to policy implementation and in particular the complementary use of the VSM and Social Network Analysis.
- To gain further insights into the process of implementing better tourism systems in an English seaside context.

3.7.2 Hypothesis

The hypothesis for this research is that the application of a methodological framework using the VSM and Social Network Analysis can provide a means to diagnose and design collaborative implementation structures to address fragmentation whilst facilitating cooperative competition.

From a practitioner viewpoint this research could aid those involved in:

- collaborative implementation processes in industrial clusters, including both regulatory institutions and primary activity organisations
- tourism strategy implementation
- the management of cultural organisations and tourist attractions
- the management of non-cultural, tourism organisations

by providing a more useful holistic framework:

- to inform implementation in industrial clusters where collaboration and cooperative competition is required in complex operating environments.
- for an organisational system able to integrate the individual businesses' contributions to and facilitation of their understanding of the collective good.

3.7.3 Original Contributions

In terms of originality this research will aim to make an original methodological contribution to the field of implementation research and contribute original insights to the body of knowledge regarding:

- the application of Complex Systems and cybernetic principles to implementation practice in industrial clusters
- the application of Complex Systems and cybernetic principles to cultural tourism implementation
- the complementary use of the VSM and Social Network Analysis.
- cultural tourism implementation and collaborative working in an English seaside context.

The Conceptual Framework chapter will now follow including discussions regarding the theories, concepts, models and tools that will underpin the construction of the Methodological Framework in the Developing the Methodological Framework chapter. The Case Study and main findings chapters will follow next with exploration and analysis of the data. Finally the Conclusions chapter will review the research and draw together the main findings and research aims. Limitations of the research and future research directions are also discussed in the final chapter.

4 Conceptual Framework

4.1 Introduction

This section will develop a conceptual framework to assist in the fulfilment of the research aim to further the understanding of communication and control in implementation networks. As was argued in the Literature Review there has been little previous work that provides a systemic and holistic approach to policy networks (Parag, 2006). There has been some work by Parag (2006) from a Systems perspective on the policy process as a whole, but the structure of policy implementation delivery networks in particular have not been viewed within a systems perspective whereby the relationships and the content of the ties between actors has been a focus in addition to the attributes of the actors and the content of policy. Previously implementation has been viewed within a reductionist paradigm. This research therefore aims to take a more holistic, participatory stance and to further the understanding of structural and control issues in implementation networks, with particular reference to collaboration, using this viewpoint.

The initial intention is to explore and gain understanding of the policy implementation system in question and attempt to comprehend it sufficiently so as to then offer management solutions for control and communication issues. This includes exploration of fragmentation, collaboration and structural issues.

It is argued that by taking a complex systems approach underpinned by systems theory a more useful understanding will emerge of implementation systems allowing a deeper comprehension of how the system operates within the complexity of its environment and how it may manage the environmental variety that is generated by that environment. A holistic framework will be developed to aid in the diagnosing

and design of control and communication structures for strategic policy implementation networks with a particular focus on collaboration and with application in industrial clusters.

For the development of this holistic methodological framework, the underpinning conceptual framework will need to address issues, as discussed in the Literature Review, of:

- Policy implementation networks in complex environments
- Control and communication within network structures
- Collaborative working and fragmentation in an industrial cluster

The following diagram illustrates the framework of conceptual approaches, theories, tools and concepts that have been selected from the ‘state of the art’ literature on policy implementation, policy networks, collaboration, complexity and industrial clusters with the aim to address these issues. They are the basis for the formulation of the methodological framework that supports this research project:

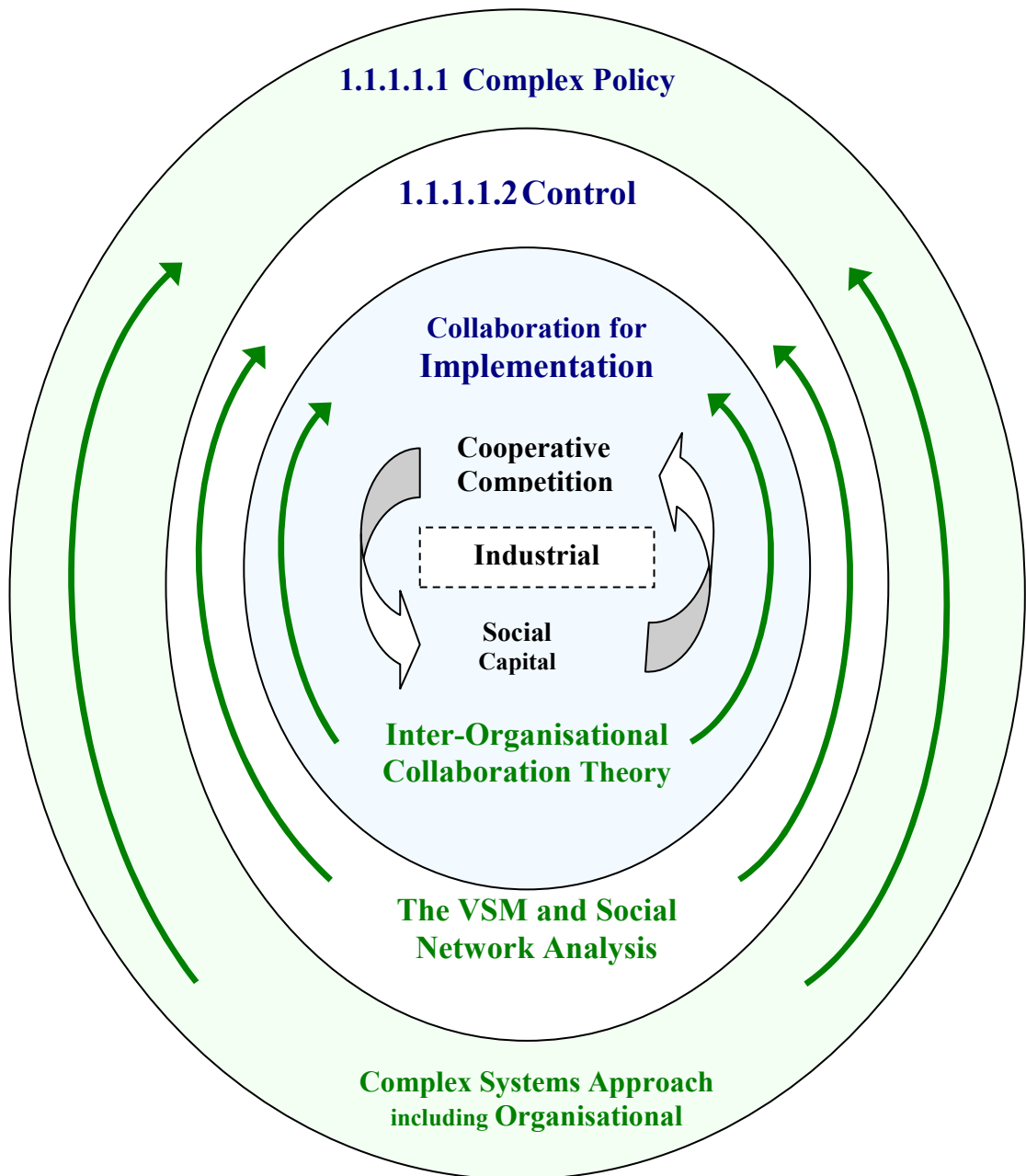


Figure 4.1 Conceptual Framework

The following sections consider these areas in turn and look more closely at the theoretical ideas that will inform the methodological framework. A table outlining the conceptual framework including research objectives and research hypothesis can be found at the end of this chapter.

4.2 Complexity

As discussed in the Literature Review the policy process is an extremely complex high variety process, involving multiple actors and agents with differing objectives and resources over varying periods of time. In attempting to develop effective implementation structures within this environment, it is necessary to find a means by which to manage all of this variety.

Hierarchical, top-down command and control practices have become common practice with the embedding of mechanistic and reductionist thinking in current methods in the fields of government, political economy, policy development and policy implementation (Schwaninger, 2000, Mulgan, 2001, Capra, 2003, Chapman, 2004). A mechanistic perspective views phenomena as predictable, deterministic and comparable to clockwork, whilst reductionism an outcome of mechanistic thinking, assumes linear cause and effect relationships.

This dominant mechanistic thinking has its beginnings in the philosophies of Galileo Galilei, Rene Descartes and Newtonian mechanics. This reduction of an entity into indivisible elemental parts and the analysis of these to gain understanding of universal laws governing their behaviour, has been successful in engineering, the natural sciences and also influential in much organisational thinking, management and government (von Bertalanffy, 1972, Capra, 1996, Stacey et al., 2000). Midgley (2000) however, argues that the employment of reductionism narrows the field of study to simple linear uni-directional cause and effect relationships, limiting understanding of complex phenomena.

Ackoff (1981b) talks of this mechanistic reductionism era of thinking as the “machine age” but now believes that this hegemonic paradigm is now slowly

evolving into a new “systems age”. The current conditions of rapid change and complex interrelations of entities, necessitate consideration of the ‘whole’ and the interaction of its parts that produce emergent properties not evident in the independent parts. In other words – the whole is more than the sum of its parts. This line of thinking originated with Aristotle’s holistic notions and then re-emerged with the philosophies of Immanuel Kant who postulated a theory of self-reproducing and self-organising wholes that the parts maintained (Capra, 1996, Jackson, 2000, Stacey et al., 2000, Jackson, 2003).

Although Midgley (2000) acknowledges the usefulness of the mechanistic approach in some instances, he argues that there also needs to be an awareness of the emergent properties of a system and not just the discrete variables. By screening out complexity into limiting variables, reductionism dismisses the richness and promulgating variety of a complex environment of multiple entities all interacting over time, thus also limiting understanding. This, and the inability of reductionism to explain emergent properties points to the deployment of a different perspective in this work.

A Complex Systems approach could mitigate against these issues by offering a focus on the system as a whole, emergent properties and the relationships and interdependence of the constituent parts rather than decomposing them for separate analysis.

There is no one ‘Theory of Complexity’ but many paradigms come under the umbrella of Complex Systems including Complexity Theory and Systems Theory. Most of these are developed from von Bertalanffy’s (1972) General Systems Theory.

Complexity Theory has mainly been developed with a focus on computer mathematical modelling although some working in this field have recognised the restrictions of this and started to explore different paths (Richardson, 2005).

Mitleton-Kelly (2003) has outlined some of the main areas of development under the umbrella of Complexity Theory with much of the work focusing on natural world systems:

The Santa Fe Institute has been integral in the work on Complex Adaptive Systems (CAS):

- Dissipative structures
- Autopoiesis
- Chaos Theory
- Increasing returns and path dependence
- Complex Evolutionary Systems

Mitleton-Kelly (2003) also argues that Complexity builds on and ‘enriches’ System Theory by identifying further system characteristics such as self-organisation and emphasising interdependence. However Richardson admits that:

“The emergence of these different threads will not be new to veteran systems thinkers.”

(Richardson, 2005, 113)

He comments that Complexity Theory is beginning to branch out in similar ways to the development of Systems Theory and that the two research communities could benefit from collaboration.

Midgley agrees that there are the same basic ideas within both Complexity Theory

and Systems Theory (Richardson and Midgley, 2007) and envisions the complexity research communities as overlapping as shown in the following diagram.

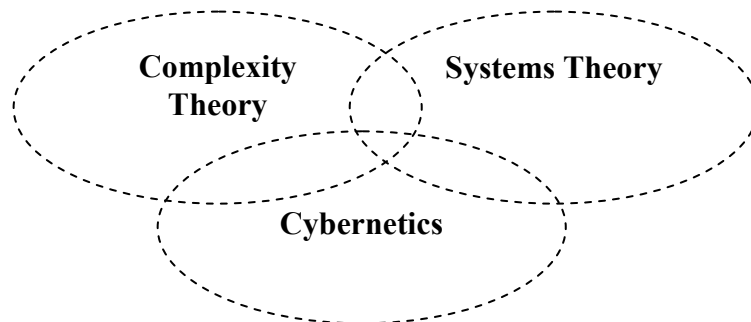


Figure 4.2 Overlapping research communities.

Source: Adapted from Richardson and Midgley 2007

However it could be argued that the diagram should show the circles as nested as in the figure below.

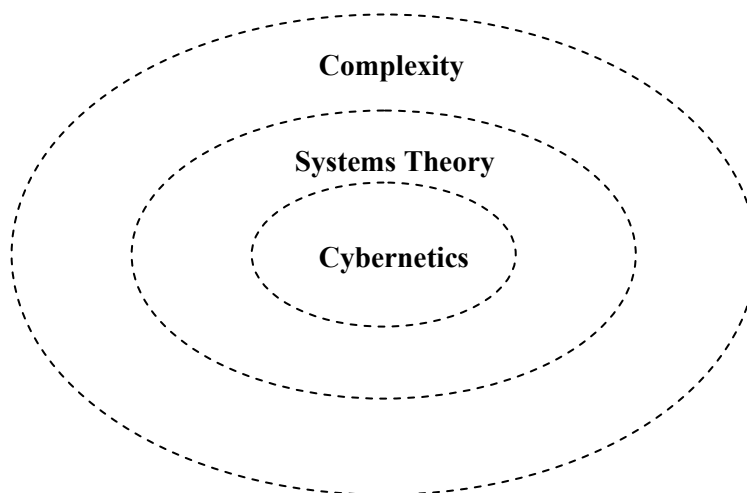


Figure 4.3 Nested research communities

This figure illustrates that Systems Theory is nested within the general field of Complexity studies and that Cybernetics fits within the field of Systems Theory. Complexity Theory is, like Systems Theory, part of the wider study of Complexity.

It is argued here that this is a better depiction of how the disciplines are arranged.

It could be argued that Systems Theory has been more fully developed over the years than Complexity Theory. Systems Theory has also built upon the foundations of von Bertalanffy's General Systems Theory into several paradigms including Hard Systems Thinking, Operations Research, Systems Engineering, Soft Systems Thinking (Checkland), Critical Systems Thinking (Ulrich, Jackson, Flood) and Cybernetics (Wiener, Ashby, Beer, Von Foerster). This study will use Systems Theory because of the more developed and detailed work from the Systems Theory field. It has strands concerning human, social, purposeful (Ackoff, 1981b) and organisational (Beer, 1985) systems, where reflection and subjectivity are considered (Churchman, Ulrich, Checkland, Von Foerster) which are further elaborated and expanded than in Complexity Theory. To date, Complexity Theory has put more emphasis in the arena of the natural world and mathematical modelling. The context of multiple actor interdependence for this research demands the human, organisational and multiple viewpoints approach encompassed within Systems Theory.

As mentioned previously Systems Theory also built upon the work of von Bertalanffy. In the late 1920s von Bertalanffy recognised the shortcomings of considering single parts of organisms, the traditional way of carrying out biological research, and put forward a "system theory of the organism" (von Bertalanffy, 1972). It was during this time that it was recognised that organisms had boundaries and environments and that certain processes facilitated transformations enabling adaptation. Through these homeostatic processes, steady-state or stability was achieved. Von Bertalanffy developed these ideas over the next few decades into

what he called a “general systems theory”. He distinguished between open and closed systems, whereby open systems interact with the environment and the closed do not, and argued for the application of these concepts to other disciplines. This was the birth of systems thinking as a transdiscipline (von Bertalanffy, 1972).

Autopoiesis meaning ‘self-production’, a concept again developed within biology by Maturana and Varela has contested von Bertalanffy’s open systems ideas. Within their Santiago Theory of Cognition they have discerned two types of structural change in autopoietic systems, cyclical and developmental. Cyclical is the constant renewal of structures on a continuing basis whilst retaining an overall identity, for example cell renewal in the human body. Developmental structural change concerns the making of new structures in reaction to the external environment. They argue that a living system will decide which environmental factors will disturb it based on its own existing organisational structure (Capra, 2003).

There is some dispute as to whether the concept of autopoiesis can be or should be applied to social systems or organisations as they cannot produce humans (their own parts). However others have argued that when considering organisational culture, then autopoiesis is relevant and applicable as the shared values and beliefs of organisational members are ‘self-producing’ to maintain the organisation’s identity, despite structural changes (Jackson, 2000). Beer (1979:408-410) also reasons that viable systems must be autopoietic; despite staff changes over the years, meaning all the components may now be different, an organisation can still retain its identity. However Beer warns that autopoiesis can become pathological when maintaining identity becomes the sole or main purpose of an enterprise that shouldn’t be seen as a viable system on its own. For example this could be an IT department within an

organisation that is aiming to become an independent IT provider.

In the 1940s and in parallel with von Bertalanffy's general systems theory the discipline of cybernetics was being developed. Norbert Wiener, a mathematician, began working with Arturo Rosenblueth, a neurophysiologist and others in disciplines such as engineering and "computing-machine designers" (Wiener, 1961). Their collaborations on military projects during the Second World War brought about a realisation that there was "a common basis of ideas" surrounding control and communications both in machines and 'the animal'. This led to the birth of cybernetics:

"We have decided to call the entire field of control and communication theory, whether in the machine or in the animal, by the name Cybernetics which we form from the Greek 'kybernetes' or steersman."

(Wiener, 1961:11)

Wiener believed that because the laws that underpinned the processes of control and communication were applicable to any system, then cybernetics was a science that crossed the traditional disciplines.

As these differing strands of systems thinking were being advanced, the principles were starting to be applied to managerial contexts. There came into being the disciplines of:

- operational research – interdisciplinary teams developing scientific models of systems
- systems analysis - came out of operational research and involves analysis of the effectiveness and costs of systems and their subsequent redesign.

- systems engineering - designing complex systems to optimise the use of resources.

Together these disciplines later became known as 'hard' systems thinking (Jackson, 2000).

As time progressed it became apparent that although these types of systems thinking were useful in certain problem situations, such as technical issues involving inventory/stock control and processes that could be mathematically modelled, they were less useful for the more complex situations involving purposeful human activity and those which required predefined objectives (Checkland and Scholes, 1999, Jackson, 2000). The OR discipline in particular is attacked by Ackoff (1999:319) as being unresponsive to rising complexity in the environment, welded to their mathematical models and entirely concerned with only "organisational self-control".

In trying to answer the limitations of hard systems methodologies, there came developments in the field known now as Soft Systems. The main exponents of Soft Systems have been Churchman, Ackoff and Checkland (Jackson, 2000:290) and various methodologies have been devised within this paradigm such as Churchman's Social Systems Design, Ackoff's Interactive Planning, Mason and Mitroff's Strategic Assumption Surfacing and Testing, and Checkland's Soft System Methodology (SSM) (Checkland, 1981; Jackson, 2000, 2003). As Jackson explains all of these methodologies have their strengths and weaknesses but all are useful for exploring purposes.

In devising the SSM, Checkland (Checkland and Scholes, 1999) (Checkland, 1981) incorporated the concept of 'world view' or 'weltanschauung' into his work. This

allows differing viewpoints of the reality in question to be accounted for in purposeful human systems. A worldview embodies beliefs, values, relationships and individuals' mental models of reality.

For Checkland the difference between hard and soft systems is not just that hard systems thinking is appropriate for technical problems and soft for indistinct, human activity problems. It also embodies a fundamental shift from viewing the world systemically to viewing the process of inquiry and dealing with the real world systemically as a learning system (Checkland and Scholes, 1999:A10).

For this study there will not be an explicit use of SSM, although the SSM convention will be used of showing the distinction between the conceptual world and material world and the dynamic depiction the processes of the methodology. It was felt that although the SSM is useful for exploring purpose and worldviews, the SSM did not offer a means to investigate the necessary processes nor focus sufficiently upon or details of action required. Checkland (Checkland et al 1999:A28) himself admits that the latter stages of SSM are not as 'sharply defined' as the early stages. The SSM also does not take account of hierarchical constraints or recursivity, nor does it address organisational structure – a main concern of this study. It could also be argued that there is less control over the process using the SSM.

Within the managerial and organisational fields, advances were made with work by Stafford Beer on Management and Organisational Cybernetics influenced by the previous work of Wiener, Ashby and McCulloch. The Viable System Model was devised by Beer (1979, 1981, 1985) and is based on structural invariance and the mapping of organisational processes onto the neurophysiological configurations of

the human nervous system. The VSM can be considered a model to investigate Complex Adaptive Systems (CAS) and Complex Evolutionary Systems (CES) as described by Complexity Theorists.

For this study a Complex Systems approach will be taken which encompasses the ideas of Complex Adaptive Systems, Complex Evolutionary Systems and Systems Thinking because of their focus upon connectivity, interdependence and their ability to deal with complex environments, human activity systems and multi actor scenarios such as found in policy implementation. More detailed discussions follow on the models and tools to be used in the formation of a methodological framework to address the needs and issues of this research.

4.3 Control

For the successful implementation of policy, there has to be some element of control within the network of actors, although not in the authoritarian sense, more from a self-organising perspective. There has to be communication and interaction between the actors despite the loosely coupled nature of such networks. It is proposed that Organisational Cybernetics will be one of the underpinning theories to enable the diagnosis and design of control mechanisms within the network. A discussion of the reasoning for this is detailed below.

Beer (1959:18) categorises systems into deterministic or probabilistic and into simple, complex and exceedingly complex, see the following table.

SYSTEMS	Simple	Complex	Exceedingly Complex
Deterministic	Window catch	Electronic digital computer	EMPTY
	Billiards	Planetary system	
	Machine-shop layout	Automation	
Probabilistic	Coin tossing	Stockholding	The economy
	Jellyfish movements	Conditioned reflexes	The brain
	Statistical quality control	Industrial profitability	The Company

Table 4.1System categories.

Source: Beer (1959:18)

Deterministic systems are those in which the interactions of the parts are totally predictable, whilst probabilistic systems are those for which it is not possible to make precise predictions and they can only be described in terms of probabilities. Simple systems are those with few parts, complex systems those with many parts (but still describable) and exceedingly complex are those that are “so complicated that they are virtually indescribable” (Beer, 1959:16).

Control of simple and complex deterministic systems in terms of industry, Beer states, has been addressed through continuing development of production engineering. Control of simple probabilistic systems too, through applied statistics, has also been dealt with. Operational research is concerned with the control of complex, probabilistic systems. Issues of control, on the remaining field of exceedingly complex, probabilistic systems are the domain of cybernetics.

Jackson (2003) places Organisational Cybernetics within a ‘Unitary’ and ‘Complex’ domain as per the following table.

	Participants			
Systems		Unitary	Pluralist	Coercive
	Simple	Hard Systems Thinking	Soft Systems Approaches	Emancipatory Systems Thinking
	Complex	System Dynamics Organizational Cybernetics Complexity Theory	Soft Systems Approaches	Postmodern Systems Thinking

Table 4.2 Systems approaches related to problem contexts in the Systems of Systems

Methodology.

Source: Jackson (2003, 24)

However it is argued that although Organisational Cybernetics is considered by Jackson as ‘Complex’ and ‘Unitary’, although Beer never had a unitary perspective, that Organisational Cybernetics is ‘Complex’ and ‘Pluralist’. Schwaninger (2006) explains that Management Cybernetics evolved to absorb new ideas and that Organisational Cybernetics now embraces a hermeneutic-interpretivist perspective, has been applied to new issues such as virtual organisations, and includes innovations in new methodologies such as Espejo’s Viplan and Schwaninger’s Integrative Systems Methodology. Organisational Cybernetics has moved on from the structural-functional, objective tradition of Management Cybernetics, although Beer never intended its use to be thus and Schwaninger points out that there was always an alternative school of thought which was more qualitative and discursive.

Organisational Cybernetics encompasses the features of Second Order Cybernetics espoused by Von Foerster with a focus on self-reference and the role of the observer.

It is argued here that policy implementation networks are such systems that can be classed as probabilistic systems and extremely complex in their parts and interactions. They are multi-actor with complex multi-faceted operating environments that are constantly changing. It is therefore Organisational Cybernetics that will underpin the approach to addressing control and communication issues in developing a methodological framework in this study. Its ability to deal with situations of complexity and to encompass multiple viewpoints will allow holistic consideration of the policy arena and those involved in the policy implementation processes.

The three main properties of cybernetic systems such as loosely-coupled policy implementation networks are that they are exceedingly complex, probabilistic and self-regulatory (homeostatic). To deal with control issues in such systems three concepts are employed:

- feedback loops deal with self-regulation (or homeostasis)
- the concept of the black box can aid in dealing with the exceedingly complex and
- probabilistic characteristics can be addressed through the communication of information and variety management.

4.3.1 Feedback

Wiener stated that negative feedback is essential in the controlling and the self-regulation of the behaviour of a system towards accomplishing a goal. Outputs from

a system are monitored and compared with a goal; any divergence from this goal then initiates corrective action to the inputs in order to attain the desired goal. This is called a negative feedback loop and in contrast to the popular meaning of feedback this technical term describes not just a response but corrective action and repetitions around the loop. Monitoring and corrective action should be constant and quick with no delays or 'time-lags' that could lead to instability. Negative feedback loops (without time-lags) are stabilising, whilst positive feedback loops bring changes "in the same direction" thereby amplifying these changes and bringing instability (Clemson, 1984). Equally essential in this control process to enable feedback loops to operate is the communication of information.

4.3.2 Black box

It is not crucial to know exactly how the system process within a feedback loop is operating; it can be considered a 'black box'. Ashby (1956) cites the example of a doctor, who by testing (inputs) a brain damaged patient and monitoring the reactions (outputs) is regarding the brain as a black box in order to establish how the brain is functioning. In some instances the 'box' can be considered as transparent, when it is clear how the processes are occurring, or even 'muddy' when there is only partial understanding (Beer, 1979).

4.3.3 Variety Management

Variety is the measure of complexity or the number of possible states of a system.

However variety is often expressed as a comparative statement - more or less variety, as in reality it is not always feasible to count exactly the number of possible states in

a complex situation (Beer, 1985).

Clemson (1984:246) concurs with this and advises that to aid decision-makers, models are constructed that can regulate the large amount of variety in the real world by reducing (attenuating) variety in that to be regulated and increasing (amplifying) the variety in the regulator. This is known as variety engineering and when balance is achieved there is 'requisite variety' and 'homeostatic regulation' (Beer, 1985).

Ashby's Law of Requisite Variety states that "only variety can absorb variety" (Ashby, 1956:207).

Clemson (1984:x) considers the basic cybernetic laws, principles and theorems as limits for organisations just as physics sets the limits for bridge-building for example. He states that although physics is the 'science' of bridge-building, bridge design is an art. This implies that various organisational surface designs are possible as long as the fundamental underlying cybernetic building blocks are not violated. As Beer states, a conical mountain must have a peak, but there are many different paths to the top (Beer, 1981:52).

The VSM devised by Beer is the model associated with Organisational Cybernetics and is an extremely well developed and tested model underpinned with mathematics and logical closure (Beer 1979, 1981,1985). It can be considered a model to diagnose and design Complex Adaptive Systems and Complex Evolutionary Systems. There is no such similar model within Complexity Theory that can be considered as well developed as the VSM for addressing control, communication and structural issues in complex environments. As such it is the VSM that will be used

as the main model within the methodological framework to be constructed for this research.

4.4 The VSM

The VSM is built upon the theoretical foundations of systems theory and organisational cybernetics and is a generic approach to the modelling of a system based on its viability in terms of its interactions with its external environment. It is a model of the arrangement of necessary regulatory mechanisms that are needed in a system to manage the complexity of its activities in the real world. This includes the ability to work on multiple levels where sub systems are nested within each other in the same way as a Russian doll.

The VSM is illustrated in the following figure.

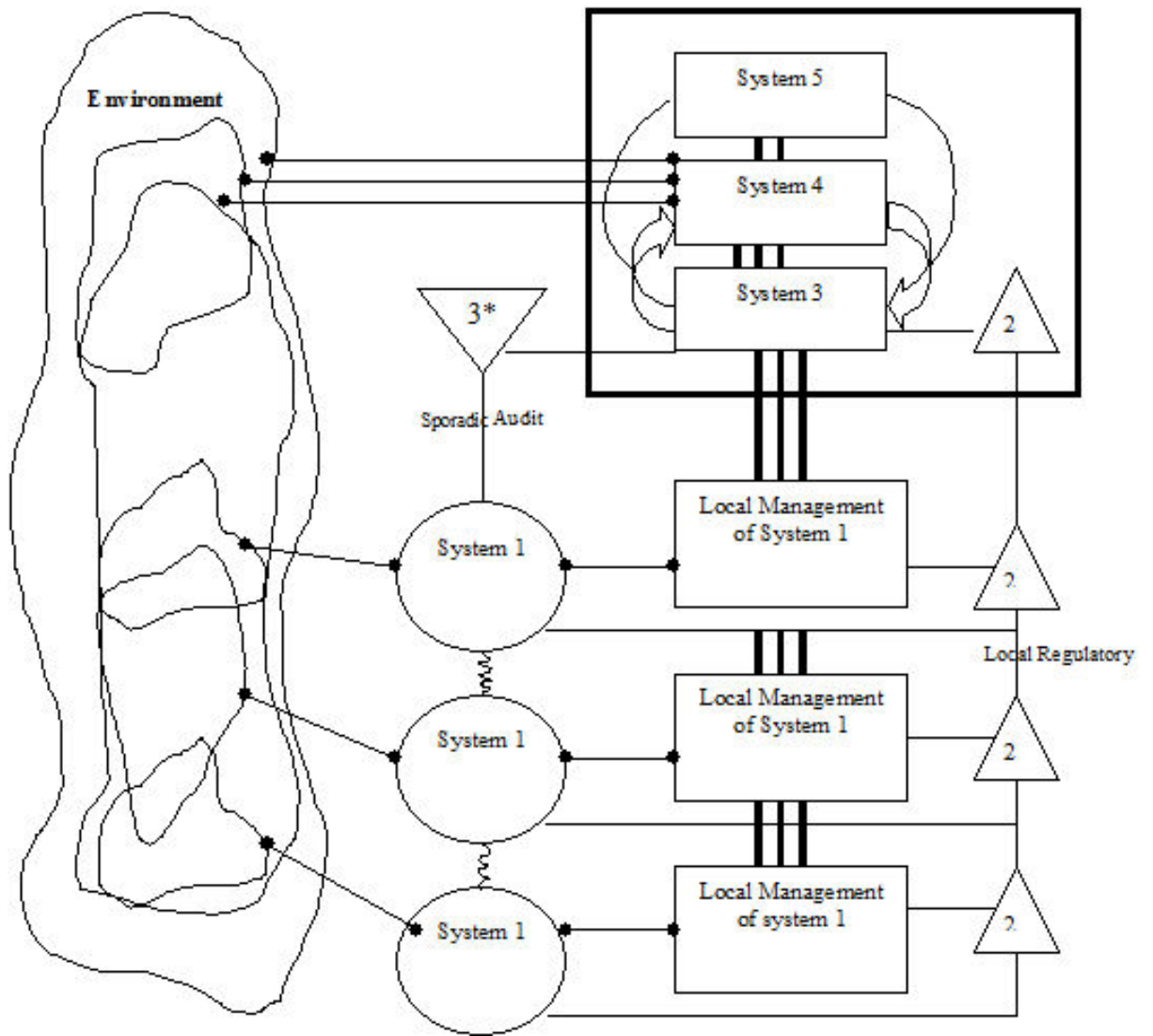


Figure 4.4 The Viable System Model

Source: Beer (1985)

Sub-systems of an organisation are called ‘System 1’ and the remaining Systems 2 to 5 support the primary activities within System 1. The systems 1 to 5 are described in the following table (Beer, 1979; Beer, 1985; Espejo and Gill, 2004):

System 1	Primary activities that “produce the (total) viable system-in-focus” (Beer, 1985,20) and do the value-adding tasks (Espejo and Gill, 2004). They are the ‘business units’ of the organisations and adapt autonomously to their environment (Schwaninger, 2006).
System 2	Anti-oscillation systems that regulate the primary activities and support functions using two-way communication to agree mutual adjustments. Oscillation is the lack of equilibrium in the homeostatic process and occurs when a system continually over corrects itself.
System 3	Day-to day management and channels for resource bargaining, accountability, corporate laws and keeping meta-level management informed. System 3* is a sporadic audit system to provide cross-checks from alternative or informal sources.
System 4	The link with the external environment. It provides feedback from the environment and presents the organisation’s identity to the environment. It looks to the outside and to the future -‘outside and then’ and plans for the future based on external changes it encounters.
System 5	Provides a corporate ethos, organisational direction, identity, values and purpose. It is the ultimate ‘variety sponge’ that soaks up any remaining variety not dealt with by other systems. It also deals with algedonic (early warning pain/pleasure alarm signs) signals or exception reports that come straight from System 1 (Beer, 1985, 133). It provides logical ‘closure’ of the viable system.

Table 4.3 Systems 1 to 5

Sources: Beer, 1979, Beer, 1985, Espejo and Gill, 2004

The term homeostasis is used in biology to describe the regulatory processes of a living system like the human body and is also used by Beer in a similar context to illustrate the processes needed to create internal stability within an organisation when there are external disturbances.

Systems 1, 2, and 3 deal with the internal and present time whilst System 4 looks to the external environment and the future.

The System 3/4 'homeostat' where by changes required by environmental disturbances are translated into operational activities is 'supervised' by System 5 to ensure policy direction and organisational identity and to give arbitration support when disputes arise.

The vertical 'channels' transmit variety and can include information and data, and include Corporate Intervention or laws Channel, Resource Bargaining Channel and Accountability Channel. Channel capacity is the measurement of the amount of information that can flow at any given time. All channels must have the necessary capacity to fulfil requisite variety. 'Transducers' are present where information crosses boundaries and may require 'translation' or recoding so as to be useful and understandable to the receiving system (ibid).

Beer (1985,84) states in "The First Axiom of Management" that

"The sum of horizontal variety disposed by all the operational
elements
EQUALS
The sum of vertical variety disposed on the six vertical components
of corporate cohesion."

Therefore the choice by system 3 of how to handle the horizontal variety of system 1, that is either through all of the 6 vertical channels or just through the non-negotiable channel, indicates if the organisation is more democratic or autocratic respectively. However this may be perceived differently by system 1 and system 3 (Beer, 1985,96).

This complexity/variety management (or engineering) is a key concept in cybernetics upon which the VSM is founded. Variety engineering describes attenuation, being the reduction of variety, and amplification - the increase of variety.

VSM offers a means whereby management can understand the organisation (and manage it through engineering variety through the 6 channels) without having to know all the details as observed by others in their own areas (Beer, 1985). This allows autonomy within the parameters of the organisation's identity and purpose (as delineated through the resource bargain and accountability channel).

The concept of recursion is also essential within the VSM and deals with the "architecture of complex organisations" and the idea that systems are made up of a series of sub systems that are autonomous, adaptable, self-regulatory and self-organising. It is an idea that is often illustrated by a Russian doll that contains not just one identical smaller doll at each level but many, and describes unfolding complexity, cohesion and devolved power (Espejo and Gill, 2004, 2)

When looking at the 'system-in-focus' it is usual to consider three levels of recursion. The 'System-in-Focus' is level 1, the wider system in which it is embedded is level 0 and examination of the primary activities would be level 2 (Jackson, 2003). In the scenario of a hospital the hospital itself would be level 1 with the main specialties identified (e.g. medicine, orthopaedics, paediatrics), level 0 could be at a regional abstraction and level 2 would show wards within a specific specialty.

The following sections will consider how the control and structure of implementation networks can be diagnosed and designed within a Complex Systems approach using

the VSM to facilitate collaboration in industrial clusters and address collaboration issues.

The conceptual framework will need to address structural issues, in terms of diagnosis and design to deal with control of the network and collaboration problems. The conceptual framework will, in addition, have to encompass the concept of recursion.

Beer's definition of recursion states:

“The Recursion System Theorem states that any viable system contains, and is contained in, a viable system.”
(Beer, 1979, 308)

Within the industrial cluster at a deeper level of the system, there is competition between the individual businesses. In the case of this study for example, hotels in the tourism industry will be competing with each other for customers who require accommodation. As focus is moved further out, at the next level (of recursion), there is a need for collaborative competition. Again, in the case of the tourism industry in this study, the hotels within the industrial cluster will be sharing common resources such as branding and reputation of the destination not only with all other providers of accommodation but also tourist attractions, retailers, catering and hospitality providers, and transport services. The need to compete as a destination induces the necessity to collaborate at this level within the system whilst also retaining the competitive behaviour at the deeper level of recursion (see the later section on Foucauldian cooperative competition). The ability to work with differing levels of recursion is therefore vital for this research.

Stafford Beer's Viable System Model (Beer, 1979, 1981, 1985) offers a framework that not only allows management of environmental complexity and variety within a non-hierarchical organisational structure, but also incorporates the concept of recursion. It acknowledges the layers of nested subsystems apparent within systems and provides a means to focus upon each of these different levels of recursion and the different issues which emerge at each of these levels.

The VSM can be employed in both diagnostic and design modes, and therefore, it is argued will provide a useful basis for this research on which to build a holistic methodological framework for creating a deeper understanding of the management of complexity and control in implementation systems.

Chapman (Chapman, 2004) recognises the VSM as "essential to understanding organisational performance" and Devine (Devine, 2005) argues that the application of the VSM allows key questions to surface that would not otherwise be apparent.

It is recognised by Jackson (2003) that the VSM can bring rich insights into organisations and their environments and also be useful for embedding autonomy and democracy. Jackson also states that the VSM can be particularly powerful as an alternative to the traditional mechanistic and hierarchal view of organisation suggesting that the VSM will be particularly helpful with regard to combating the traditional top down linear approaches as discussed previously.

The VSM has been applied in a variety of situations. The largest and most ambitious being in the 1970s on a national scale by Beer in Chile (Espejo, 1980, Beer, 1981). Other examples of the many applications include interventions regarding organisational diagnosis, design and restructuring in organisations such as Kingston

Gas Turbines, Humberside Windows, North Yorkshire Police (Jackson, 2000, Jackson, 2003), Nat West Bank (Espejo, 2000), for policy analysis in commercial broadcasting in the USA (Leonard, 1989), as an 'hermeneutic enabler' at Hull Community Radio (Jackson, 2000) and in community development projects (Lockett et al., 2001; Espinosa and Jackson, 2002; Jackson, 2003; Espinosa, 2006). There were applications in Columbia including the President's Office (Espinosa, 1995) and the governmental National Audit Office (Espejo and Reyes, 2001, Espinosa, 1998), an application to the economy in the Ukraine (Sergeyev & Moscardini, 2006), applications to holistic management (Christopher, 2008) and e-governance (Turke, 2008) and an application to peace talks in Sri Lanka (Solomons & Moscardini, 2006). Hoverstadt (2008) has written about creating sustainable organisations using the VSM and Beer (1985, 150-152) also lists various applications of the VSM in many varied fields.

With regard to tourism a search of the literature has found two applications of the VSM. One concerned an intervention in a commercial tourist organisation in Africa (Flood and Zambuni, 1990). The intervention was successful and organisational efficiency was increased. However it would appear that Flood and Zambuni's study differs from this research in that their work relates to a single, commercial, traditional organisation whereas this research has a multiple stakeholder network focus (although still inevitably concerned with some commercial issues). The actors in this study of policy implementation are loosely coupled particularly because of the competitive factors at the deeper levels of the system and their more autonomous operations.

The second looked at the structural dynamics of the Scottish tourism industry

(Harwood, 2009). Although this study used the VSM it was not particularly looking at implementation networks. However the VSM was found to be useful in diagnosing problems and uncovering dysfunctional aspects of the system.

The VSM has been applied to various domains including the traditional organisational structure; however this research aims to apply it to a more complex and diffuse systems with poorly defined boundaries and structures. Implementation networks are high variety, complex systems that are ill defined with less formal management controls that are widely spread, if apparent at all. In these types of systems it is necessary to have requisite variety deep within the system so that they can enjoy a high level of self organisation and adaptation to environmental complexity without recourse to very formal management control (Devine, 2005). If this is not the case, then the residual variety may overwhelm the diffuse management structures, meaning the system is not viable and in the case of implementation, suggests that implementation of strategic policy will be unsuccessful. In addition it is acknowledged that within a high variety diffuse implementation system the purposes of the parts may be too incongruent to allow alignment with the whole or a particularly powerful actor may dominate the system. However the VSM can offer a way to explore functional decentralisation whilst retaining synergy and cohesion of the whole and aid interaction and cross-boundary coordination (Espejo and Gill, 2004).

It is argued that the application of the VSM within the methodological framework to be developed will allow exploration of the management control structures within such systems and provide original insights and understanding not otherwise made apparent through previous research. This greater understanding can then form the

basis of discussions to improve control and communications within the system.

Espejo and Harnden (1989b, 459) argue that the VSM can provide a language that “reflects the interactions of people in human activity systems”, whilst also allowing the formation of “consensual domains” (p.458) and forums for conversations whereby different VSMs can be envisaged about the same situation and used to explore different organisational identities. Although previously Jackson has described the VSM as being functionalist and structuralist in nature (Jackson, 1992, Jackson, 2000), he has more recently acknowledged that used as a conceptual tool or hermeneutic enabler, the VSM provides a means of understanding an organisation and aiding debate by providing a common language (Jackson, 2003).

Espejo and Gill emphasise that the VSM is concerned with ‘soft issues’ such as relationships and interactions between people and that the VSM cannot be applied in a mechanistic fashion. Espejo and Gill (2004, 2) summarise the VSM as

“a framework for designing flexible, adaptive organisations that balance external and internal perspectives and long and short-term thinking.”

Jackson (2000) also does agree that the VSM can be useful in designing self-organising organisations, promoting efficiency and maximising human potential by allowing maximum autonomy and democracy with the limits of organisational cohesiveness. System purpose and organisation structure can be balanced along with reactive adaptation and proactive interaction with the environment. The model also allows organisation design based on information requirements.

Beer’s Viable System Model (VSM) will be employed in this research as the

underpinning foundation of the holistic framework that will be developed. The VSM is systemic, allows diagnosis and design of organisational structure whilst allowing for the autonomy of stakeholders, provides a means towards adaptive and proactive interaction in a turbulent and complex operating environment and encompasses the necessary concept of recursion – all vital requirements for the framework if it is to fully address the research objectives of this study.

Beer (1985, 101) argues that the laws of viable systems as encapsulated within the VSM, do away with the need for the various other organisational theories that try to explain the differences between living and inanimate systems and social, commercial and governmental systems. He believes that as long as the systems are viable then the differences can be explained by the amount of variety they have to manage and how the variety is distributed between the two channels on the central command axis and the other four vertical channels.

Waelchli (1989) concurs with this argument and relates Ashby's Law of Requisite Variety to different historical management theories. Within classical management theory he considers Henri Fayol's five elements of planning, organising, commanding, coordinating and controlling as variety reducing or attenuating devices. For example, in planning the manager chooses one or two desired states from an unlimited number of possible scenarios and in organising the manager chooses those employees and organisational forms believed to best serve the organisation's purpose from a high variety of possible combinations.

The scientific management principles of Frederick W. Taylor again can be seen through a variety-engineering lens. Taylor's approach concerns division of labour

into simple repetitive tasks or in the language of Ashby's Law – the design of low variety jobs in non- complex situations that any man can carry out (ibid).

The human behaviour movement is also related to variety management according to Waelchli. He states that man is a “high-variety entity who cannot function in good health under classical low variety controls” (Waelchli, 1989). By motivating and allowing greater participation towards the organisation's goals, the high variety of workers can be used to amplify the variety of the organisation as a whole.

Waelchli concludes his argument by stating (1989, 72):

“As a minimum, it does seem fair to conclude that complexity and complexity control are problems central to all aspects of management. If this is so, and if Ashby's Law is valid, then some pivotal and universal role for Ashby's Law in management seems inescapable.”

This conclusion appears to mirror the beliefs of Clemson (1984) whereby he argues that there are laws governing organisations in the same way physics limits bridge-building.

4.5 Cybernetic Methodologies

Various cybernetic methodologies have been developed using Beer's VSM. These include:

- Diagnosing the System for Organisations (Beer, 1985)
- Espejo's (Espejo, 1989; Espejo et al, 1999) Cybernetic Methodology and Viplan

- Flood's Cybernetic Diagnosis (in Jackson, 2003)
- Espinosa's (1995) Viplan and information systems methodology
- Integrative Systems Methodology Schwaninger (1997)

Espejo, Schuhmann, Schwaninger and Bilello (1996) also use cybernetics as a basis for their work on organisational learning. However all of the cybernetic methodologies have a structural focus, but for this study there is also a need to investigate the dynamics of the system in terms of collaboration and fragmentation. Collaboration and fragmentation within loosely-coupled networks also necessitates the exploration of identity. This therefore requires the development of a new framework that includes the existing elements of Beer's VSM for structural investigation but also includes enhancements with tools to explore the dynamic aspects of the system and also identity. It is Beer's own methodology laid out in *Diagnosing the System for Organisations* (1985) this that will form the basis of the methodological framework developed for this research because of its purely VSM focus, and then this will be augmented with Social Network Analysis for investigating collaboration, fragmentation and the dynamics of the system. With regard to exploring identity, Espejo's 'TASCOI' tool (which adjusts Checkland's (1981) CATWOE tool) will be used.

Espejo uses the mnemonic TASCOI to explore organisational identity (Espejo et al, 1999, 665):

- **Transformation:** What input is converted into what output?
- **Actors:** Who is involved in carrying out the activities entailed by the transformation?
- **Suppliers:** Who are the suppliers of the inputs to the transformation?

- **Customers:** Who are the ones receiving the outputs of the transformation?
- **Owners:** Who has in the system an overview of its transformation?
- **Interveners:** Who, from the outside, is defining the context for the system's transformation?"

Identity statements are then formed from the TASCOI using the format recommended by Checkland & Scholes (1990, 36), "do X by Y in order to achieve Z...". There may need to be more than one identity statement to encompass the differing viewpoints of all stakeholders and this process can help to uncover these.

It is this tool for ascertaining organisational identity that will be utilised in the framework for this study. Investigating differing identities and purposes within a policy arena will be necessary before any VSM modelling can be started so that pertinent systems-in-focus can be constructed.

4.6 Social Network Analysis

Social Network Analysis (SNA) is a tool that will enhance the structural analysis element of the framework with its ability to look at the dynamics of the system and explore collaboration and fragmentation. As this research is concerned with collaboration, there will necessarily be a multitude of System 1s at the deeper levels of recursion. (This will be especially evident in the case study of tourism where the environment is characterised by many SMEs and local stakeholders). The implementation network of multiple actors can be considered as more loosely connected than a single organisation. It is therefore necessary to investigate further

the connectivity and relational ties between actors with the aim of discovering fragmentation which could hinder collaborative processes needed to deliver implementation of strategic policy.

SNA will be used to reveal in more detail the interactions between and within the system 1s in terms of centrality, connectivity and brokerage and thereby reveal greater understanding of the mechanisms operating within the system. It is also planned that SNA will aid in detecting the various systemic identities that are operating within the policy arena. SNA will be used in conjunction with the VSM to further illustrate and describe the collaboration, competition and fragmentation within the industrial cluster. Whilst in the diagnostic mode, SNA will be used to illustrate the current connections and relationships.

The social network perspective embraces theories, models and applications that emphasise relational concepts and linkages between individual units rather than concentrating on the attributes of the individual units themselves (Wasserman and Faust, 1994, Scott, 2000). In addition Wasserman and Faust (1994:4) highlight four further principles that distinguish social network perspective from other research practices:

- Individual units or actors are seen as interdependent rather than totally isolated, autonomous units.
- The linkages between actors are to allow communication, the transfer of information, materials and other resources.
- The environment created by the network structures is considered to bring possibilities for individual action or constraints on individual action.

- Structure is conceptualised in network models as patterns of relationships between actors.

However SNA cannot deal with recursion and also does not differentiate any distinct environment. In addition there is no consideration of network management and control mechanisms to promote viability. However this is where the VSM's strengths lie and so by using the VSM and the tool of SNA in a complementary manner within the methodological framework, should bring useful results.

In Social Network Analysis (SNA), maps or sociograms are constructed where actors are depicted as nodes or dots and the ties between the actors as lines. Where there is a discernable direction in the relationship between actors then an arrow is used to illustrate this, see the following figure.

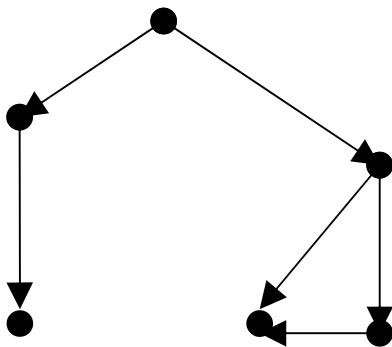


Figure 4.5 A sociogram or simple directed graph

As Scott (2000) points out the strength of social network theory and analysis, where relational data is used, is that it is distinct from the usual social science perspectives that tend to ignore relational data and concentrate on attribute data. Attribute data

are concerned with the properties held by individual units and are amenable to variable analysis, whilst relational data of ties and connections cannot be attributed to one individual, but are properties of the network itself. The unit of analysis from the network perspective is the collection of individuals, not the individuals themselves. Social Network Theory provides an alternative view where the relationships between actors are more important than the attributes of the individuals. This is particularly useful for studies regarding structure and sociological behaviour.

Wasserman and Faust (1994:11) contend that network analysis is not “an unrelated collection of methods” as some authors state but that it is “grounded in social phenomena and theoretical concepts”. These concepts include notions of social status, social groups and subgroups, prestige, reciprocity, influence and conformity. They contend that social network analysis provides a conceptual way of understanding the social world and allows formal definitions and measures of structure rather than just applying loose terms such as ‘web of relations’ or ‘close-knit networks’.

These formal definitions and measures were developed as graph theory and sociological concerns were synthesised. However this synthesis was the result of many decades of development. There have been three main strands that have contributed to the development of SNA; the sociometric researchers, researchers at Harvard University and the ‘Manchester Anthropologists’ (see the following figure).

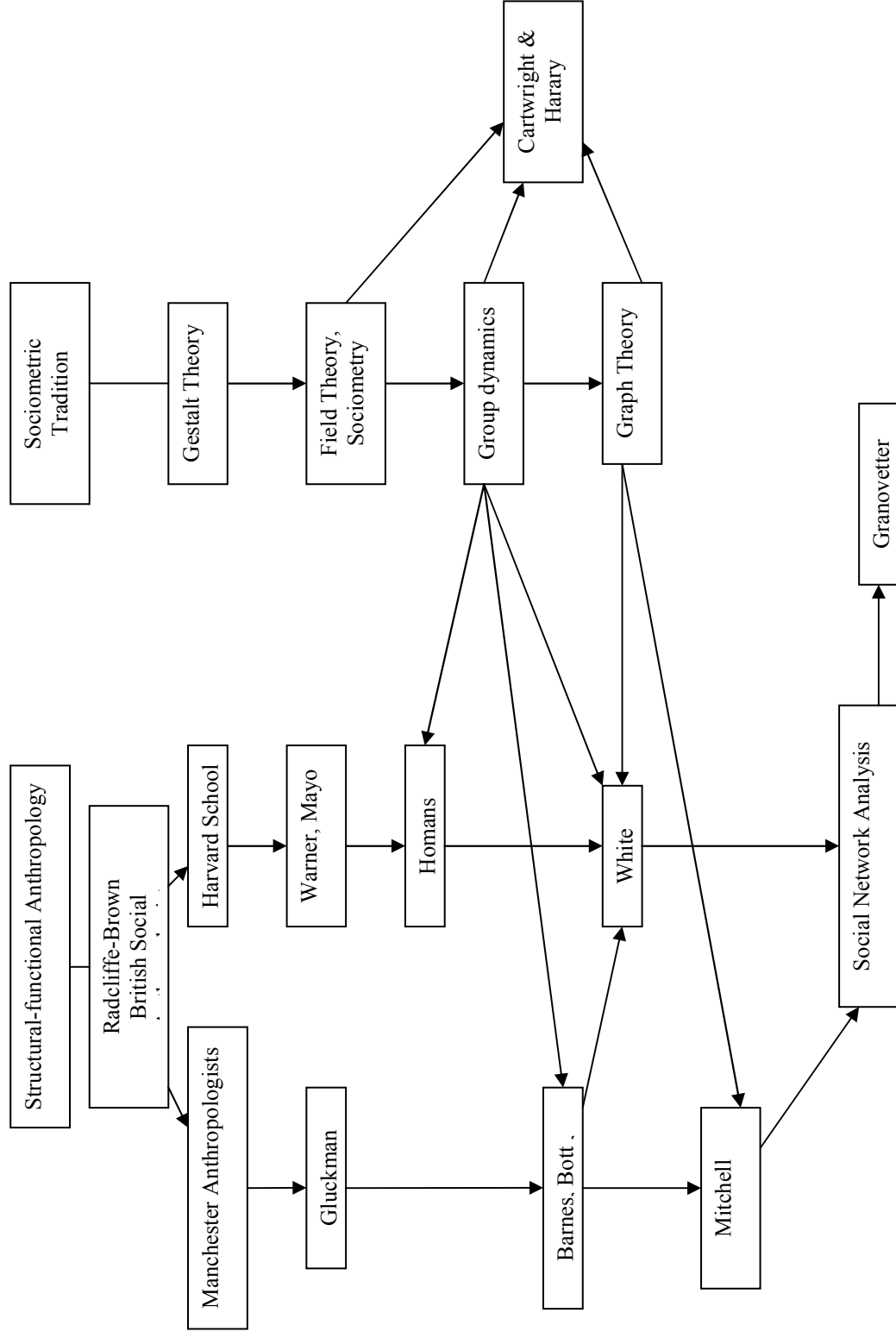


Figure 4.6 Development of Social Network Analysis

Adapted from Scott (2000)

For the purposes of this research, Social Network Analysis will be employed as a tool for analysis especially of the dynamic links between actors in the system. As Scott (2000:37) argues SNA is an “orientation towards the social world” and is not a formal social theory. Wasserman and Faust (1994) also argue this point that network analysis is a means to express relational and structural processes and theoretical concepts. They posit that to test theories regarding social and relational processes, network models are necessary and preferable to the traditional social science approaches of analysis of attribute data only. This is also the argument for the systems approach, as discussed previously, whereby it is the interaction of the parts that is also a focus. Network analysis methods they state can be divided into two – descriptive and theory testing using statistical models. SNA in a descriptive mode, they state, provides a language and formal definitions to express relational and structural processes. It will be the descriptive, exploratory mode that will be employed within this study to enable production of visual illustrations and formal descriptions of relational phenomena to aid in structural diagnosis and design in tandem with the VSM.

As discussed in the Literature Review, there has been a previous application of SNA to industrial cluster analysis but this appears to have been in a fairly superficial manner where SNA was assessed alongside many other various other tools (Cassidy et al, 2005; Arthurs et al, 2009). Smith and Brown (2009) concluded that the SNA approaches were still very much in their infancy and need more “methodological refinement”. This hopefully will be addressed by this research.

4.7 Complementary Use of the Viable System Model and Social Network Analysis

In considering the complementary use of the VSM with SNA in this research, it is argued that at the theoretical level they are conceptually compatible bearing in mind that both have the underpinning concept of emphasis on interactions, relations and structure. Beer even uses the term network, and as a means to understand the concept of a system in effect describes a sociogram.

“We will now represent the “bit and pieces” which make up this system by a series of dots on a piece of paper. The connectiveness of the system can now be introduced into this picture by drawing lines between the dots: some dots may well be connected to all other dots, but in some cases a dot may be connected to only one of its fellows. In this way, we come to look upon a system as a kind of network. And the feature of this network in which we are interested is the pattern created by the lines.”

(Beer, 1959:10)

Some of the foundation work of the science of cybernetics originated in work on ‘networks’. This was carried out by Warren McCulloch, one of the early pioneers of the science of cybernetics. His theory of ‘neural networks’ within the brain led him to first recognise the feature of “the redundancy of potential command” (Beer, 1994, 457) and to examine the activities of neurophysiological systems (Beer, 1959, 96). McCulloch’s theory of neural networks has also informed the development of Complex Adaptive Systems which also supports the development of SNA.

At the technical level, both VSM and SNA require relational data, are concerned with structure and offer complementary methods of analysis. SNA can offer precise, formal descriptions of network structure and handle concepts of brokerage, prestige, density and centrality and centralisation. However, although SNA enables analysis for the discrete individual or from the individual viewpoint and also from the

network point of view, it cannot deal with recursion. Nevertheless the VSM does allow study at different levels of recursion and can be supplemented with the further detail provided by SNA concerning connectivity and fragmentation. This complementary use of the VSM and of SNA will allow the identification of the systemic identities and the links between them at each level of recursion. SNA will be able to offer insights into where there may be ‘missing’ links between System 1s needed for full communication and efficacious, efficient operation, or issues of inappropriate brokerage, or missed opportunities for collaboration.

The design of appropriate System 2 and 3 for each recursion could also be informed by using SNA. In addition to its analytical tools, SNA’s use as a visual tool will provide illustrations using sociograms of relational data and offer the opportunity to bring further insights into the patterns of relations.

Both the VSM and SNA are considered useful in their ability to provide languages to express structural and relational phenomena (Espejo and Harnden, 1989b, Wasserman and Faust, 1994). Espejo and Harnden (1989b:459) argue that the VSM can provide a language that “reflects the interactions of people in human activity systems”.

At the level of research approach, it is argued that SNA would fit comfortably within the Complex Systems approach being employed in this study. Within the development of SNA, as far back as the 1930s, Lewin whilst developing his Field Theory was working closely to the ideas of those in General Systems Theory when he recognised the importance of the interdependency of the group and its environment. In addition Mayo, as another influential person in the development of

SNA encompassed holistic ideas now associated with the systems thinking paradigm. For example he took a more inclusive approach by recognising the significance of worker participation during his Hawthorne studies, the non-rational aspects of economic action and the significance of informal relations and how this impacted on the organisation (Scott, 2000). These ongoing strands of SNA development built within these traditions, along with the SNA's emphasis on inter-relations and linkages and not the individual actor attributes, would seem to indicate a fit with the systems thinking approach.

Both VSM and SNA have been widely used and practiced individually and have demonstrated their usefulness (Beer, 1979, Beer, 1985, Wasserman and Faust, 1994:5-6). However, as far as can be ascertained, they have not been used before in conjunction and it will be an original contribution of this study to evaluate their complimentary use.

4.8 Policy Networks

This research is taking a network approach to issues of implementation of strategic policy and there is a body of work that has a particular focus on policy networks (see Literature Review). It is the qualitative 'governance school' approach within the policy network field that will inform this work, where the focus is on "non-hierarchical forms of interactions between public and private actors" and the concepts of trust and communication are tools to overcome self interest and fragmentation (Börzel, 1998:265).

There is a need to develop the concept of policy networks to include the context in

which actors operate. Wilks and Wright (1987) distinguish between the policy universe and the policy community within the generic term of policy networks, although this could just be considered as a differentiation between operations and the environment within a VSM framework. However they do acknowledge the importance of interpersonal relations within policy networks. Actors in policy networks do not operate in a vacuum with regard to the community in which they operate. This suggests that a holistic, systemic approach and a model such as the VSM be employed that allows for consideration of these environmental interactions. The VSM allows for the investigation of environmental channels between the actors in the system (policy community) and their operating environments (policy universe) and in particular looks at viability of a system within the context of its current and potential environments. In addition the VSM can explore the ‘internal’ processes between the actors in the system considered part of the policy community.

With regard to tourism policy networks Dredge (2006b) criticises networks because of the difficulty in defining them from an operational viewpoint with regards to boundary setting. She also highlights the problems of agreeing terminology. However in developing a methodological framework for this research, the Complex Systems approach and organisational cybernetics with the VSM should mitigate towards these issues. The VSM as a hermeneutical enabler can offer a way for any network to be discussed with consistent language and meaning within a given situation. As Espejo and Harnden (1989b, 452) state:

“...it is generative of collaborative linguistic interactions in a consensual domain.”

Espinosa, Harnden and Walker (2007) argue that it was Von Foerster who demonstrated that it is language which constrains conversations. The provision of a common language by the VSM for discussing in detail network processes, would offer a consistent approach for actors engaged in conversations regarding network operations, collaboration and policy implementation. By using a common language, those engaged in conversations can enjoy a greater depth of shared understanding.

The VSM also aids in boundary setting by offering a means to define the system in focus. In conjunction with this is the ability of the VSM to differentiate between the ‘operational’ aspects of the network, its environment and their interactions.

Dredge (2006b) also pays attention in particular to the conflict aspects of networks and communities. The VSM has been criticised as providing a means to achieve total autocracy or tyranny (Jackson, 1989). However Espejo and Harnden (1989b, 458) argue that there is not requisite variety in a totalitarian system to enact control and that “disseminated regulation” and distribution of power as facilitated by the VSM is necessary to bring about viability of a social system. Power, however, is an important consideration in networks and the VSM does not make explicit or immediately highlight where the power imbalances may be occurring within a system. To enhance the VSM this framework will include Social Network Analysis in an attempt to mitigate this concern. Social Network Analysis will be employed in the descriptive mode within this study to enable production of visual illustrations of the social dynamics including fragmentation, collaboration and brokerage to aid in structural diagnosis and design in tandem with the VSM. SNA will provide further analysis and observations and the sociograms will offer a visual representation of any fragmentation apparent in the networks and also show the collaborative linkages.

Patterns of relational links will be revealed in diagrammatic form and power relations and issues made more explicit.

Dredge also does not acknowledge that within tourism there is the added element of competition at the deeper level of recursion. This work will therefore build upon the work of Dredge and explore this interplay of competition and collaboration (or cooperative competition) within industrial clusters using the recursive VSM.

In summary of this section, it is therefore argued that the application of a Complex Systems approach using the VSM in conjunction with the tool of SNA will supply a valuable basis for the methodological framework, providing a means to further understand the nature of the system and conceptually manage complexity in diffuse systems thus maintaining viability.

This research has been set within the context of an Industrial Cluster. As discussed in the Literature Review, industrial clusters not only encompass economic concepts, but also rely on aspects of social interaction and collaboration. Collaboration will be important with regard to implementation of policy because of the multiple actors it embraces. The concepts of social capital and Inter-organisational Collaboration Theory will also be considered. The following sections discuss these concepts and how they fit within the conceptual framework for this research.

4.9 Collaboration

In this research the assumption is that collaboration is a policy implementation strategy as advocated by Imperial (2001).

Huxham (1996:7) states that:

“...collaboration is taken to imply a very positive form of working in association with others for some mutual benefit...”

and that although collaboration is valuable and sometimes the only way to address certain problems, in practice it can be difficult. These difficulties include differing aims, influence/power, culture and language between the involved organisations. Further issues, he states, are trying to balance autonomy and accountability to both the ‘parent’ organisation and the partnership and the lack of authority structures.

Although is it vital from a viability view point to balance accountability and autonomy, it is not necessarily authority structures that should be the aim, but structures for control. The utilisation of the VSM in the framework to be developed for this study can fulfil the need to design this balance between autonomy and accountability and control structures.

Collaboration is described by Himmelman (1996:26-28) as a continuum of complexity and commitment. Starting at the most informal end the levels are:

- Networking - the “exchange of information for mutual benefit”,
- Coordination – “exchanging information and altering activities for mutual benefit and to achieve a common purpose”
- Cooperation - “exchanging information, altering activities and sharing resources

for mutual benefit and to achieve a common purpose”

- Collaboration – “exchanging information, altering activities, sharing resources and enhancing the capacity of another for mutual benefit and to achieve a common purpose”.

Various authors have put forward their ideas on cooperation, coordination and collaboration (see also the Literature Review and Appendix 4 for further reading).

Axelrod (2006) has looked at cooperation from a Game Theory perspective and the Prisoners’ Dilemma scenario. He concludes that cooperation can start with even a small number of actors, but that it must be based on reciprocity and that “the shadow of the future” is important, in that there is a likely chance the actors will meet again. Axelrod approaches cooperation in general terms where as Beer offers particular structural mechanisms via the VSM which can provide through the resource bargaining and accountability loop a means to diagnose and design mechanisms to supply networks with a way to help ensure this happens. When consensual goals are agreed the resource bargaining channel and accountability loop can link actors in cooperative behaviour and cohesive action.

However there is also a need to find theoretical boundaries to inform the content of the ties of collaborative social interactions during implementation. In searching for a means to achieve this, Wood and Gray (1991) were found to offer a useful framework for considering collaboration based on existing organisational theory but re-orientating it from an individual organisation’s perspective into an inter-organisational view.

4.10 Inter-organizational Collaboration Theory

Wood and Gray's (1991) definition of collaboration will inform this work. It is a definition they constructed following a review of several articles in a double special edition of the Journal of Applied Behavioural Science (1991).

“Collaboration occurs when a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms and structures, to act or decide on issues related to that domain.”

Wood and Gray (1991: 146)

The definition includes those elements relevant for the study of collaborative networks in an implementation domain. It recognises that the stakeholders have to be autonomous in that they have their own individual organisation's purposes to fulfil in addition to that of implementation. There also has to be interaction, shared structures and rules (social capital is therefore implicit in this definition) in order to have control within the network.

Wood and Gray (1991) in attempting to provide a comprehensive theory of collaboration proposed six theoretical perspectives to underpin such a theory and aid in examining and explaining collaborative behaviour. These are resource dependence, corporate social performance/institutional economics, strategic management/social ecology, microeconomics, institutional/negotiated order and political.

As Wood and Gray point out these existing theories have an individual firm focus (excepting institutional economics and political theory) and as such this will have to shift toward an inter organisational perspective. The following table illustrates how this shift will change the questions to be asked.

Theoretical Perspective	Organisation Level Questions	Network Level Questions
Resource Dependence	How can environmental uncertainty be reduced without increasing dependence?	When do stakeholders adopt collaborative alliances?
Corporate social performance/institutional economics	How does a firm control and respond to its stakeholder network? What is the firm's role in solving social problems and issues?	What is the role of business as a social institution? How are responsibilities for solving social problems allocated among actors?
Strategic management/ social ecology	How can firms reduce threats and capitalise on opportunities within their environment?	How do partners in an alliance regulate their behaviours so that collective gains are achieved?
Microeconomics	How can an organisation achieve efficiency in its transactions with other organisations?	How can collectives overcome impediments to efficiency in their transactions?
Institutional/negotiated order	Why do organisations adopt certain structural configurations? How do organisations achieve legitimacy with institutional actors?	How do alliances interact with institutional environments? Are alliances shaped by institutional environments or vice versa?
Political	Who has access to power and resources that affect the organisation? Who does and does not benefit from the distribution of power and resources that affect the organisation?	Who has access to power and resources that affect the domain? Who does and does not benefit from the distribution of power and resources with the domain?

Table 4.4 Collaborative questions at the organisation and network levels.

Source: (Wood and Gray, 1991:141)

The framework being developed for this study needs to identify those actors in the domain and the content of the ties, in order to set appropriate boundaries, and define the system in focus. The theory of collaboration put forward by Wood and Gray will provide the basis for setting boundaries with regard to the relational content of the linkages between the actors. The questions stated in the following table will supply a theoretical boundary to ensure consideration is given to the main aspects of collaboration as identified by Wood and Gray and therefore to ensure a rich picture of stakeholders and the content of their interactions.

Theoretical Perspective	Questions to be asked to define the actors and their relational ties within the ‘System in Focus’
Resource Dependence	With whom do stakeholders collaborate with regard to sharing resources?
Corporate social performance/institutional economics	With whom do stakeholders collaborate in solving community issues?
Strategic management/ social ecology	With whom do stakeholders collaborate to plan?
Microeconomics	With whom do stakeholders collaborate to improve efficiency?
Institutional/negotiated order	With whom do stakeholders collaborate to organisations to assist in dealing with institutions or agencies?
Political	With whom do stakeholders collaborate to gain more influence or overcome barriers from more powerful actors?

Table 4.5 Theoretical Perspectives to inform questions.

Source: Adapted from Wood & Gray (1991)

The theory of inter-organisational collaboration will inform the content of the structural ties and actors within the networks and system of focus. It will enable a framework to be developed whereby the differing aspects of collaboration can be captured, thereby forming a theoretical boundary for analysis of the interactions of collaboration deemed necessary for implementation of strategic policy. The augmentation of the VSM with Inter-organisational Collaboration Theory, and the enrichment of diagnostic power by using the tools of SNA and TASCOI will provide a strong basis on which to build a methodological framework to design and diagnose control structures for collaboration in implementation networks.

4.11 Social Capital

Actors within a network have social connections too, not just relationships with those in the policy community, but also social connections within the concept of the industrial cluster. Therefore the concept of social capital brought within the framework of policy networks will enhance the contextual arena of implementation and bring a more holistic approach. This will therefore underpin the use of SNA – in a qualitative mode.

De Nooy et al (2005a, 138) argue that social ties are one measure of social capital and the literature, although not agreeing on one definitive definition, has a general inclination towards social capital being the goodwill that is created through social interaction to bring about action and a valuable resource. Adler and Kwon (2002:20) list the various definitions and state that although they are similar they vary according to whether they focus on substance, structure, or effects and also

whether they concern external links (bridging social capital), internal links (bonding social capital), or both. Bridging social capital concerns the ties that an actor has with others outside of the main group. This is related to the concept of bridges within Social Network Analysis. Bonding social capital concerns the relations within a group. Woolcock and Narayan (2000) add to the categorisation the concept of 'linking' social capital, which concerns bridging social capital working in the vertical dimension rather than the horizontal plane of bridging and bonding social capital.

It is important for this work that any conceptualisation of social capital must encompass both the vertical and horizontal plane, plus the individual (egocentric) and aggregate (sociocentric) levels. This is because of the need to work within and between levels of recursion. Also as Adler and Kwon (2002) concur, external ties become internal ties at the next higher level of analysis. They also call for future organisational research to avoid the separation into the different strands of social capital as has happened in the past.

Therefore as Nahapiet and Ghosal (1998) have included both aspects of bridging and bonding social capital within their definition and with their work also including strong elements of organisational capital it will form the basis of a working definition for this work:

“the sum of the actual and potential resources embedded within, available through, and derived from the network of relationships possessed by an individual or social unit. Social capital, thus comprises both the network and the assets that may be mobilised through that network.”

(Nahapiet and Ghoshal, 1998:243)

However Putnam also includes elements regarding the facilitation of cooperation and coordination within his definition of social capital.

“features of social organization such as networks, norms and social trust that facilitate coordination and cooperation for mutual benefit.”

(Putnam, 1993:167)

Therefore due to the focus of this research on collaboration it will be necessary to include these elements within the definition of social capital used in this study. The Organization for Economic Co-operation and Development (OECD) also quotes a useful definition, which again focuses upon collective action – a core element that Woolcock and Narayan (2000) argue is creating something of a consensus.

“networks together with shared norms, values and understandings that facilitate co-operation within or among groups.”

(OECD (Organization of Economic Co-operation and Development, 2001)

Incorporating the various elements of the above, social capital will be the emergent resource available to the network through its relationships and the definition for the conceptualisation of social capital for this work therefore is:

‘The actual and potential resources that are embedded within, and the emergent property of networks of relationships between individuals and/or social groups sharing norms, values, understandings and trust which enable coordination, cooperation and collaboration between and among the said individuals and social groups.’

Despite the benefits of social capital such as better access to and /or a better quality of information, opportunities to influence through brokerage and improved cohesion through the enforcement of norms without formal control, there are also negative

aspects to social capital. It may not always be cost effective to invest a lot of time or finance in building strong ties when weak ties may be less expensive but more beneficial in terms of linking to new information. Any benefits gained through influence and a brokerage position may be lost due to information not being given quite so readily. It could be that an actor may become 'over embedded' within a network and therefore become insular and not open to new information bringing inertia and parochialism. This intense association with one particular group may lead to a fragmentation of the wider network and lead to missed opportunities. Adler and Kwon (2002) advocate that when designing policies, it is necessary to be aware of the negative aspects and that rather than just aiming to strengthen social capital a more balanced view is taken. They also advocate that in addition to attempting to build social ties, effort must also go into cultivating motivation and providing the necessary resources.

Within an organisational cybernetic perspective, social capital can be viewed as both a variety attenuator and amplifier. Viewed as an attenuator, social capital can encourage compliance with the norms and values of a group without formal, expensive and authoritarian control. As a variety amplifier, social capital can enhance the network or groups responses to the environment and enable, for example, better access to information due to its collective action features. In this vein de Nooy et al (2005a, 140) concur:

“Information is the key to the exploitation of social ties as social capital. Social ties offer access to information, which can be used to reduce uncertainty and risk and to create trust, as for instance when information is confirmed from several sources...”

One of the strengths of the VSM is the ability to diagnose and design channels for the flow of information (Jackson, 2000). The VSM offers a means to identify emerging patterns of interaction (social capital) and to analyse the effectiveness of this into organisational performance. In this respect the deployment of the VSM in the framework to be developed will be very valuable in building social capital.

The occurrence of social capital and social structure within a network, it could be argued, is an emergent property of the system of interactions between the actors, but as Adler and Kwon (2002) point out there is another dimension to the substance of social capital - the content of the ties. As previously discussed this study will use Gray and Wood's Inter-organisational Collaboration Theory to provide the theoretical boundaries regarding the content of the ties under examination.

4.12 Cooperative Competition

This study will use a Foucauldian approach to power in industrial clusters. This approach postulates that power is not resident with any one particular firm or organisation within the network, but that the power is the network itself. An industrial cluster is synonymous with both competition and cooperation operating at the same time (Porter 1998). There could be regulatory bodies or associations of organisations present that provide administration and also maintain the norms of the network, or in terms of the VSM operate the accountability loop. McGovern and Mottiar (1997) argue that this interdependent operation of organisations and cooperative competition can only exist in networks where the power is dispersed in a Foucauldian manner.

This approach sits comfortably with the notions of dispersed power and dispersed regulation that the VSM encapsulates, as discussed earlier. It may be that policy

networks are not completely Foucauldian or not organised with completely dispersed power and regulation but both the Foucault framework and the VSM offer theoretical compatibility to allow investigations into where power issues may be occurring.

With the Foucauldian approach indicating that there could be both competition and cooperation operating at the same time, in terms of the methodological framework to be developed for this research, there must be a means to allow the investigation of different levels of recursion, where competition exists at one level of recursion and cooperation at another. The VSM is able to handle such an examination of differing recursion levels.

4.13 Construction of the Conceptual Framework

This final section of the chapter will now construct the conceptual basis to provide a foundation for the development of a methodological framework to diagnose and design control structures of strategic policy implementation networks. As discussed at the start of this chapter, the conceptual framework will need to address issues of:

- Policy implementation networks in complex environments
- Control within network structures
- Collaborative working and fragmentation in an industrial cluster

The research purpose is to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication and the following table outlines the conceptual framework and shows the concepts that will be used to address the identified issues and form the basis for the development of the methodological framework.

Research Objectives	Working Hypothesis	Field of Concern	Theoretical Framework	Supporting Literature
To develop a more useful framework for the implementation of strategic policy that offers a means to address fragmentation in complex operating environments that require collaboration and cooperative competition.	The application of a VSM and Social Network Analysis framework can provide insights into strategic policy implementation practice.	Policy Implementation	Policy networks	Hjern and Porter (1981), Pulzl and Treib (2006), Imperial (2001), Klijin (1997), O'Toole et al., (1997)
		Complexity - Control and Network Structures	Complex Systems Organisational Cybernetics	Ackoff, Jackson, Checkland, Espinosa, Stacey, Beer, Espejo,
		Collaboration	Game Theory Social Capital Power Inter-organisational Collaboration Theory Social Network Analysis	Axelrod, Granovetter, Puttnam, Adler and Kwon (2002), Foucault Gray & Wood Wasserman and Faust (1994), Scott (2000)

<p>To explore the complementary use of the VSM and Social Network Analysis.</p>		<p>Multi-methodology frameworks</p>	<p>Methodological Pluralism Habermas's Three Worlds Soft Systems Social Network Analysis Organisational Cybernetics</p>	<p>Mingers Midgley, Habermas Checkland, Wasserman and Faust Beer,</p>
<p>To gain further insights into the process of cultural tourism product implementation in an English seaside context.</p>	<p>Insights can be gained into the process of cultural tourism product implementation in an English seaside context through the application of a VSM and Social Network Analysis framework</p>	<p>Cultural Tourism</p>		<p>Hughes (2000), Richards (2001a, 2001c), Smith (2003), McGettigan and Burns (2001) Yale (1998) and Kay (2004)</p>

Table 4.6 Conceptual Framework Table

The research domain is set within a complex environment and a Complex Systems approach will be utilised to provide a means to deal with the vast complexity and variety of the situation. Organisational Cybernetics, the VSM and Social Network analysis will be employed to diagnose and design suitable structures adequate to control the network, aid cooperative competition and implementation of strategic policy. Inter-organisational Collaboration Theory will inform the process for defining the system in focus and provide a theoretical boundary for the actors and content of the ties within the implementation network.

The conceptual framework has been constructed so as to allow for working within and between recursion levels. This is a vital attribute for the framework, to allow for both competition and collaboration within the industrial cluster of the research context. Competition takes place at the deeper level of the system, with collaboration needing to take place at a higher recursion level.

This conceptual framework will now be used as the underpinning theory for the next stage of this study – the development of a holistic methodological framework to inform the diagnosis and design of control and communication mechanisms and structures for strategic policy implementation networks. The next chapter will discuss this framework in more detail and illustrate how it is to be enacted.

5 Developing the Methodological Framework

The framework for Systemic Policy Implementation (SPI) has been created with the purpose of addressing the lack of systemic, recursive methodologies available to deliver strategic policy interventions (see the Conceptual Framework Chapter). It aims to provide a means whereby structures can be designed which enable the necessary collaborative interaction to take place for successful policy delivery, but that acknowledges there is also an environment of competition. This environmental context forces the need to create structures that can allow the maximum autonomy but with a cohesion of purpose and promotion of social capital, trust and reciprocity.

The SPI framework has been developed using multi-methodology or methodological pluralism as advocated by Jackson (2000, 2003), Midgley (2000), Mingers (1997b), and Taket and White (2000). This development will favour critical pluralism endorsed by Mingers (1997b), rather than pragmatic pluralism advanced by Taket and White (2000) who take a more post-modern stance. Critical pluralism favoured by Mingers (1997b) acknowledges the different complex facets of the problem context and recognises that issues may also change over time during an intervention. In addition there is greater recognition of the role, experience, style and characteristics of the agent than in other approaches such as Critical Systems. Critical Systems Practice also delineates more strongly the paradigmatic divides and the methods to be used at any one time, whilst Mingers's multi-methodology approach is more flexible, allowing for concurrent working on different perspectives by engaging Habermas's three worlds theory as its theoretical foundation.

The SPI framework therefore is theoretically underpinned by Habermas's three worlds (see the following figure) (Mingers, 1997a). This theoretical underpinning allows differing perspectives to be taken on the problem context and aid in developing the methodology in terms of suitable techniques and tools. The Material World gives an objective viewpoint and insights into physical constraints, the Social World insights into social practices, norms, power and constraints and the Personal World brings appreciation of individuals' viewpoints and beliefs. The complex problem situation can be viewed with these various lenses, building a richer picture. As Midgley (2000) explains these worlds are not discrete entities in the Cartesian sense, rather it is the use of language that allows the three worlds to be distinguished from each other.

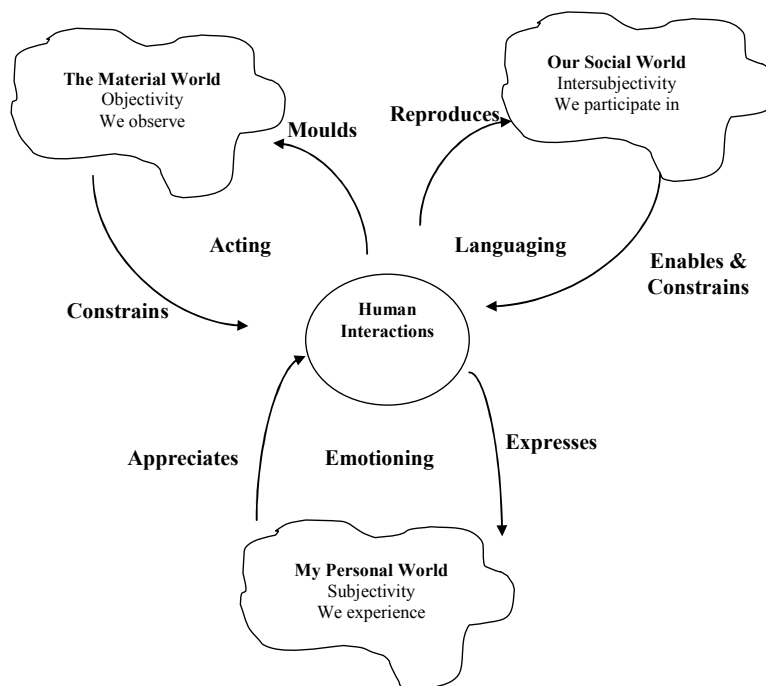


Figure 5.1 Mingers' framework based on Habermas' Three Worlds

Source: Mingers, 1997a, 10

Midgley has previously used Habermas's three worlds in his work, although he has now started to move away from this theory due to his belief that the structure of language may not be universal to all but "a reflection of the history of Western intellectual thought" (Midgley, 2000:215). For the purposes of this study however Habermas's three world's concept is still useful as the case study is set only within the UK. All of the research was conducted in English that was universally understood by interviewees and those under observation. Therefore it is argued that in this study the language constraints should not be of a major concern. Nevertheless, this issue would be of concern where there are differing languages that are outside of a Western hemisphere context, and therefore would create limitations on the transferability of this research. For this study Habermas's work still allows insights, underpins the use of the VSM as an hermeneutical enabler and allows for learning in the course of development of distinctions through language.

5.1 Design of the Systemic Policy Implementation Framework

The SPI framework philosophical principles are:

Ontological Relativist – Based on Habermas's three worlds theory, there are multiple realities constructed by individuals or groups. These constructions can be more or less informed or sophisticated (rather than more or less true) and subject to alteration.

Epistemological Separation of real world and conceptual world using systems thinking. This allows work to be done both within the Social and Personal worlds of Habermas using conceptual boundary setting and defining a

system in focus, plus consideration of the Material world and action to be taken.

Praxiological The generation of alternative conceptualisations through constructivism using hermeneutical tools and generation of consensus on the most informed and sophisticated constructions for implementation.

Mingers's generic framework of intervention processes provides a useful and robust means for mapping and decomposing different methodologies, techniques and tools and although the development of the SPI framework is based on Mingers's framework it has required adaptation by subdividing the Analysis stage to reflect the diagnosis and design of structural issues of this work. This has been achieved through the breakdown of Mingers's Analysis stage into two separate processes to distinguish between the diagnosis and design activities. An additional Reflection activity has also been added to inform the ongoing processes and learning. Therefore although Mingers's framework has been the main basis it has been adapted to accommodate the inclusion of the VSM and reflective practice.

The following table depicts the dimensions of the problem context, using an adaptation of Mingers's framework (1997b:430), and the issues and concepts that the SPI framework will attempt to address. The framework has been constructed using Habermas's three worlds. Each cell shows the issues that the framework must attempt to address in order to be useful and efficacious.

Framework Activities	Defining System in Focus & Context	Diagnosis	Design	Assessment	Action	Reflection
Mingers' Intervention Processes	Appreciation of	Analysis of			Action to	
Social World	Accepted norms in current interactions and collaboration. Power relations Trust and reciprocity relations. Competitive relations.	Structural Issues. Collaboration. Competition. Communication. Control. Autonomy. Centrality. Brokerage.	Structures allowing collaboration, competition, communication and control	Assess possible alternatives – socially & culturally feasible	Generate awareness. What How	Reflective Practice
	Differing views on current interactions and collaboration and competition. Differing views on trust relations. Differing Viewpoints on Identity and Purpose.	Differing viewpoints on identity and purpose.	Alternative conceptualisations.	Assess possible alternatives – individually feasible.	Generate consensus. Who	Reflective Practice
Material World	Physical resources. Physical Processes e.g. Environmental Infrastructure.			Assess possible alternatives – Technically, financially, environmentally and legally feasible.	Implement best alternatives. Where When	Reflective Practice

Table 5.1 Characteristics and dimensions of the Systemic Policy Implementation Framework on Mingers' Multi-Methodology Framework

Following Mingers (1997b:430)

The previous table shows the issues and concepts to be used in the SPI framework and how these map onto Mingers's multi-methodology framework. However there is a gap in the Material World / Analysis cell. This reflects the philosophical stance of the methodology in that conceptualisations will be constructed based on differing individual viewpoints or worldviews.

As can be seen from the following table, the SPI framework is built mainly upon the foundations of Organisational Cybernetics with the addition of Gray and Wood's Inter-organisational Collaboration Theory (ICT) and Social Network Analysis (SNA) (following Granovetter).

	Defining System in Focus	Diagnosis	Design	Assessment	Action	Reflection
	Appreciation	Analysis				
Social World	TASCOI SNA Inter-organisational Collaboration theory (ICT)	VSM SNA	VSM SNA	Feasibility Testing		Reflective Practice
Personal World	TASCOI SNA Inter-organisational Collaboration theory (ICT)	VSM SNA	VSM SNA	Feasibility Testing		Reflective Practice
Material World	Context analysis				Implementation	Reflective Practice

Table 5.2 Mapping of the Systemic Policy Implementation Framework onto Mingers' Multi-Methodology Framework.

This study argues that the inclusion of ICT and SNA complements Beer's VSM particularly because of the collaborative and competitive relationships that need to be

modelled in loosely coupled networks rather than the more traditional organisational context of a single enterprise.

ICT provides a theoretical boundary for the collaborative relationships to be modelled. It is argued that SNA employed in a visually descriptive manner in conjunction with the VSM brings an added dimension to the analysis of implementation network structures in revealing gaps or missed opportunities for collaboration, actors involved in brokerage or actors in positions of greater influence. Whilst SNA is useful in highlighting issues of fragmentation, connectivity and powerful brokerage situations, the VSM can be used to investigate issues of network management, including communication and control problems and interactions with the operating environment which effect system viability. Unlike the VSM, SNA does not distinguish a separate environment and so cannot aid in deep diagnostics of problems with the various communication channels or the necessary feedback loops for effective organisation. The SNA however can offer a means to investigate issues of power within a system by looking at brokerage and positional power. In this way both VSM and SNA can become powerful allies when used in a complementary fashion.

The following table shows in more detail the design of the SPI framework.

Defining System in Focus		Diagnosis	Design	Assessment	Action	Reflection
Appreciation		Analysis				
Cybernetic Methodology tool TASCOI:		Viable System Model (VSM)	Viable System Model	Feasibility Testing	Design Implementation (Who, What, When, Where, How).	Reflective Practice
Transformation						
Actor						
Suppliers						
Customer						
Owners		Social Network	Social Network			
Interveners		Network Analysis (SNA)	Network Analysis			
Inter-organisational Collaboration theory (ICT)						
Context analysis						
Social Network Analysis						

Table 5.3 The Systemic Policy Implementation Framework design.

Before a diagnosis of structural constraints can be carried out, there must be appreciation and consideration of the problem context (Mingers, 1997b) to define a system in focus (Beer, 1985).

The analysis stage has used Gray and Wood's (1991) Interorganisational Collaboration Theory (ICT) to identify current collaboration and relationship ties in terms of resource dependency, social responsibilities, strategic management, microeconomics (efficiency), institutional environments and politics, thus providing a theoretical boundary to the relationships to be modelled. By examining each of the various strands of collaboration identified by Gray and Wood a richer picture of collaboration links and relationships (and fragmentation where the links are not in place) can be built. This aids the exploration of the social dynamics of the field.

Within the Analysis activities SNA offers a means to map the current relationship ties within the policy arena. SNA helps to identify if there is fragmentation into 'sub systems', each with their own separate identities which is hampering policy implementation. Taking each of any identified sub systems or fragmented parts of the policy arena, the TASCOI mnemonic tool from Espejo's Cybernetic Methodology (Espejo, 1989; Espejo et al, 1999) is applied to form Identity Statements for each sub system identified by the SNA. The TASCOI tool accommodates the multiple viewpoints of the 'Personal World' by expressing the identity of the actors as they see their role in the policy arena and furthering understanding of the various system identities and their possible role in fragmentation or cohesion in the network. This is achieved by also considering interview data in conjunction with the results of the SNA. The context analysis, SNA and TASCOI aid in defining the system in focus.

The diagnostic and design stages have both employed the VSM but used in the different modes. Diagnosis and design has been further explored using Social Network Analysis as a descriptive tool to further explore the issues of brokerage, fragmentation and missed opportunities for collaboration.

Following from diagnosis and design (Beer, 1985), the constructions generated must be assessed for their feasibility regarding implementation in terms of all of Habermas's three worlds (Checkland's comparison stage (Checkland, 1981)). How do the constructions fit with the purposes of the policy actions required and those of the actors involved? Are the constructions acceptable to the actors from a Personal world and Social world perspective? The Assessment stage provides a robust framework for testing feasibility and by asking 'who, what, where, when and how' from a Material world perspective ensuring a holistic view of the processes that will need to be put into action. Proceeding into the Action stage allows for implementation planning for the consensus construction.

Finally the reflection stage (Jackson, 2000, Jackson, 2003) brings learning about the problem context, but also as an ongoing process allows the agent/researcher to consider the way in which the techniques and tools are being employed not only in terms of effectiveness, but also from a philosophical and paradigmatic perspective. Have the tools been employed within the demands and in a manner consummate with the philosophical approach? Is this also the case for the interpretation of the data and findings produced by using these tools? The Reflection stage also allows for monitoring and appreciation of the ongoing problem context following the intervention.

As previously discussed the primary issues for this study are structural and therefore the Viable System Model (Beer, 1979, 1981, 1985), forms the dominant aspect of the framework as described previously with Mingers (1997b) providing the multi-methodological framework. Using the systems thinking tool of Checkland's conceptual and real world divisions and the format of depicting stages of a process from his Soft Systems Methodology (Checkland, 1981), has allowed the differing dimensions of Habermas's three worlds to be accommodated and the newly developed framework to be illustrated in a dynamic fashion.

The methodological activities of the SPI framework are depicted dynamically in the following figure and illustrate the different phases and processes using the systems thinking tool of separation of the real and conceptual worlds. It is not intended that the activities should necessarily be sequential and discrete, although some stages are critical for the operation of other stages; for example the system in focus must be defined before diagnosis and design can be done. However, reflection must be an ongoing process, both within the conceptual and 'real' worlds. Again there may be many iterations between the design and assessment stages where different constructions can be considered and then returned to the design stage or passed for implementation to the action process.

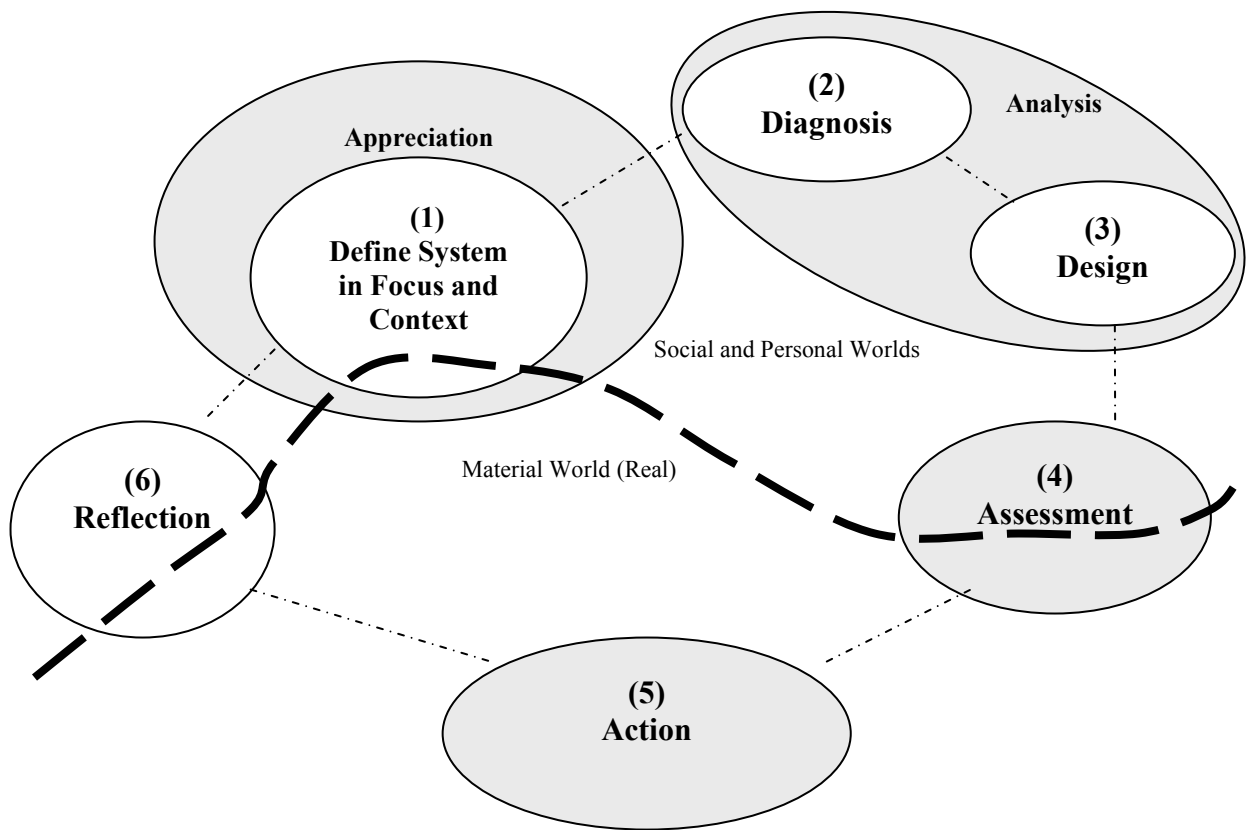


Figure 5.2 Activities of the Systemic Policy Implementation Methodological Framework.

5.2 The Methodological Framework Explained

This section describes each of the methodological activities involved in the SPI

Framework, explaining how to apply the models, tools and techniques. The section follows the Appreciation, Analysis, Assessment and Action processes of Mingers's multi-methodological framework.

5.2.1 Appreciation

This stage involves data collection to gather background contextual data, identify actors engaged in the policy arena and provide information for the application of the VSM and the use of SNA.

5.2.1.1 Initial Data Gathering

a. Identify the boundaries of the policy arena concerned.

Which actors will have to collaborate in order to achieve effective implementation of the policy?

b. General information gathering on the policy arena.

In order to set the system boundaries for the implementation structures under consideration it is first necessary to complete a general appraisal of context and setting to provide a rich description (following Checkland, 1981) of the environmental conditions, actors and agencies currently involved.

c. Identify individuals and organisations engaged within this defined policy arena by using the data collected in b.

An initial list of key actors within the general policy arena to be involved in the process should be compiled. From these key stakeholders a ‘snowball’ process of identifying others as part of discussions can be useful. This should include the private sector, the public sector, the voluntary sector, NGOs, manufacturing organisations, service providers, organisations dealing with infrastructure and the natural environment.

d. Interview the subjects identified in c.

Questions to be asked in the interview process should include:

- The purpose of the organisation within the policy arena identified.

- What is the role of the organisation?

In particular, because of the collaborative nature of the structures to be considered the conceptual framework of Gray and Wood's (1991) Inter-organisational Collaboration Theory (ICT) can be employed to explore the relationships of the actors involved within the policy arena. Therefore to populate the network structures and build a picture of the current relationships, the key actors should be questioned as to with which organisations they have relationships with regard to the following:

- Resource dependency
- Strategic management
- Efficiency
- Dealing with institutions
- Community issues
- Influence and power issues

Questions regarding each of the various aspects of collaboration identified by Gray and Wood build a rich picture of collaboration links, relationships and fragmentation when analysed using SNA. This aids the exploration of the social dynamics of the field which is important in assessing the pre conditions for policy development. Having information regarding the relationships already in place in a policy arena is extremely useful, if not essential, to guide implementation and the work required to build the necessary links to address fragmentation. Policy implementation will be more successful if missing relationships vital to the process are identified and rectified.

To ascertain current problems within the general policy domain, extensive discussions should also be had concerning areas of imbalance and problematic issues around collaborative working both in terms of the areas within ICT as shown in above and from a regulatory processes view point.

What are the perceived issues and problems within the defined policy arena especially concerning:

- Information (collection, flows and outputs)
- Control of activities and accountability
- Coordination and regulation
- Monitoring and feedback
- Planning and strategy
- Cohesion of purpose
- Conflicts of interest
- Awareness of identity and the wider perspective of the whole policy arena.

The data gathered from these discussions will inform the VSM diagnosis and design stages of the framework. This will enable investigation of the structural control and communication mechanisms apparent or missing within the network of the policy arena. The ICT data analysed using SNA complements the results of the VSM diagnosis and design by creating a rich picture of both the dynamic and structural facets of the policy arena. Again as mentioned above this information is essential for successful policy implementation to guide the work on addressing fragmentation and control and communication issues that could hinder implementation.

Which organisations are perceived to be in positions of power? For example, with regard to resources such as finance, information and the ability to instigate new initiatives.

Perceptions of any missing collaboration. This should include not just the organisation in question and with whom they would like to work, but also other organisations and with whom they should have working relationships.

Missing support in terms of:

- Resources
- Political
- Training

5.2.2 Defining the System in Focus

This stage looks at defining the system in focus and setting system boundaries for the policy arena in preparation for constructing VSMs of the policy arena and the diagnosis and design analysis.

a. Identify systems.

Using data from the interviews and social network analysis prepare identity statements for all of the subjects' perceived systems. Look at different perceived purposes and group the organisations accordingly. Do a TASCOI analysis for each group or system identified and form identity statements.

b. Identify the primary activity and meta system organisations.

Using social network analysis and the interview data, identify:

- the current primary activity organisations (for system 1 of the system in focus)
- the meta system regulatory organisations.

Use social network analysis to ascertain those organisations that act as brokers and also the degree of each organisation. This may help to identify into which area of the VSM the organisations will fit. An organisation with a high degree (or number of connections) could be a meta-system regulatory organization. However caution must be exercised as the organisation could just be a well connected primary activity. It is extremely important that the interview data is also consulted to attempt to identify the primary activities and regulatory organisations. Future work could be to focus on the hypothesis that SNA is useful to help in the identification of primary activities and regulatory organisations. However for this study SNA will be used in conjunction with interview data to identify primary and regulatory organisations. Using this data, along with the sociograms constructed, attempt to complete the system 1s and meta-systems of VSM diagrams for the systems in focus.

At this point the methodological process using the data collected and some SNA and interview data analysis has identified the systems operating within the defined policy arena with their various perceived systemic identities, the primary activities and the meta system organisations. It should now be possible to construct the VSMs ready to employ in the diagnosis of issues affecting the effective implementation of the strategic policy in question especially with regard to structural issues of control and communication.

Sociograms should also be created using SNA, showing the number of degrees of each actor and the brokerage processes occurring. It may be that the sociogram illustrating the whole of the policy arena is very complex and of little use for diagnosis of the dynamics within the network. In this case the network for the policy arena should be partitioned to reduce variety, with sociograms being constructed showing the sub networks occurring because of any fragmentation and identity issues. These sociograms can then be used together with the VSMs to investigate in particular the issues of fragmentation and power and the social dynamics of the policy arena.

5.2.3 Analysis

5.2.3.1 VSM Diagnosis

As a first step in the diagnosis of the system in focus it is necessary to identify the ‘critical problems’ observable in the system in focus, this gives focus for further investigation of cybernetic ‘illness’ such as areas where there are no organisations or individuals operating within the system. This will appear as empty boxes on the VSM (see the following figure) and is a major concern as it highlights that where the gaps occur there are functions missing which will seriously affect the viability of the system.

Alternatively a cluster of many organisations within any boxes or areas of the VSM may be indicative of duplication, which could lead to fragmentation of the system and inefficiency. This diagnosis from the VSM although important does not fully

recognise the interactive nature of the model as a systems tool and so further analysis is required to investigate the relationships within the system.

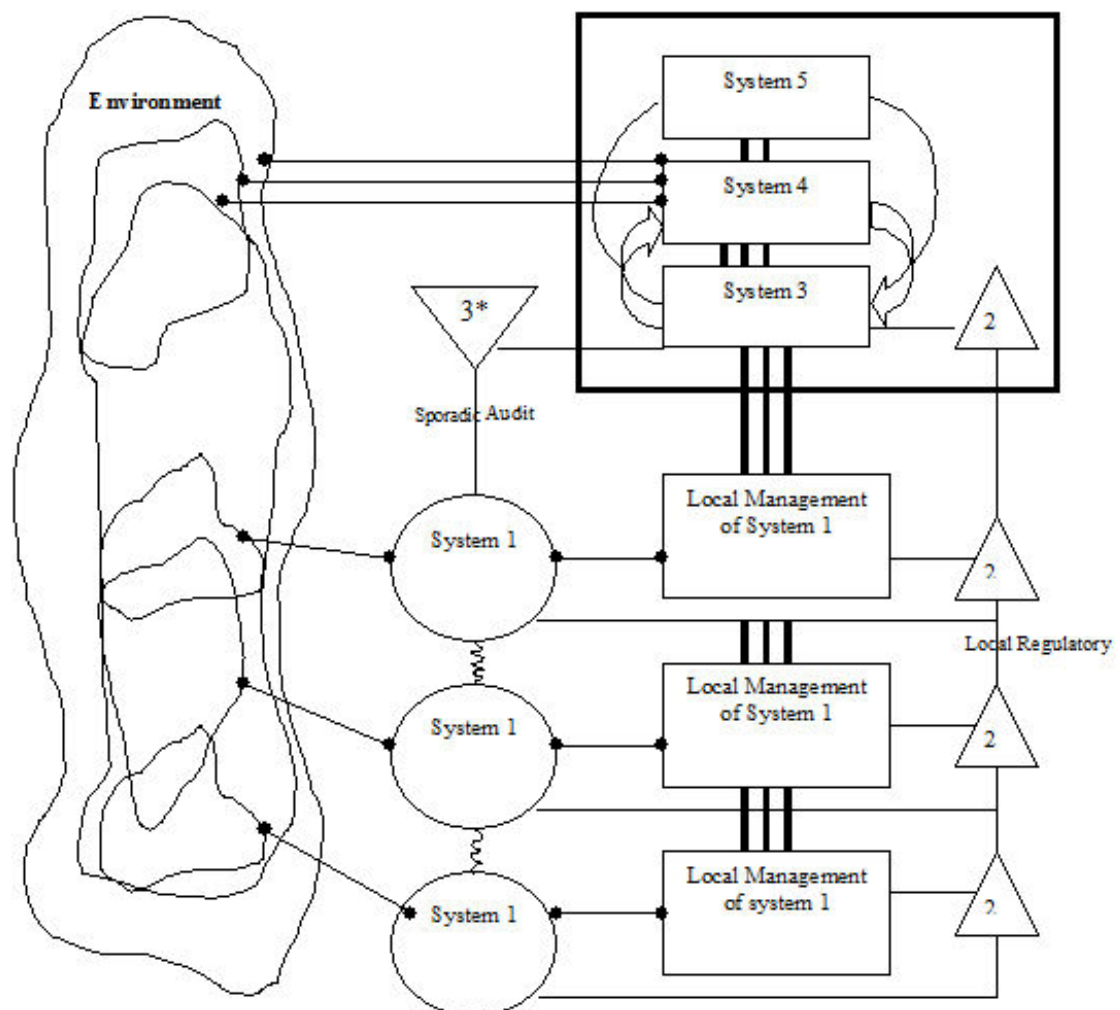


Figure 5.3 The VSM

In attempting to diagnose the system in focus, the key actors will have to contribute insights into where they believe there are barriers to collaboration in the policy arena and in what instances they experience ‘messages of pain/pleasure’, or algedonic signals (Beer 1985), within the network. In other words where they believe there are problems or where the system is out of balance and variety management is required. By concentrating the diagnosis in these areas it is assumed that previous imbalances have been addressed and this allows for a fuller focus upon the current main

issues without the distraction of considering every one of the myriad of variety management relationships that are occurring.

Strategic policy implementation network structures differ from those within a traditional organisation in that there is a much looser coupling of the actors and system 1s involved. Within the traditional organisation there is always the ultimate threat of the loss of autonomy for those System 1s that cannot demonstrate accountability or alignment of purpose with the organisation as a whole. However as implementation networks by their very nature encompass individual organisations with their own, maybe conflicting, objectives the threat of the loss of autonomy is not an option. Therefore consideration has to be given to structures that can aid collaboration and allow the individual organisations to recognise ‘the bigger picture’ and the collective benefits that can be gained from a more cohesive network. Without some cohesion the individual network actors could threaten the viability of the whole implementation programme. Therefore the objective, as with traditional organisations is to balance autonomy with the needs of the whole system. This framework uses the imbalances apparent within the network as a basis to diagnose and design improved structures.

The VSM diagnosis and design then follows that outlined in Beer’s work ‘Diagnosing the System for Organisations’ (1985).

5.2.3.2 Social Network Diagnosis

By carrying out social network analysis it is possible to investigate issues concerning:

- Collaboration and Fragmentation
- Disconnected elements
 - Lack of links
 - Unnecessary collaboration over recursion levels
- Power
- Brokerage roles
- Network Cores

To assess fragmentation and collaboration within the system the sociograms constructed for the system, showing the network by degree will illustrate where the organisations are closely connected and where there are gaps in relational ties. These areas can be investigated on the VSM by looking at the relevant boxes and assessing if there are missing regulatory bodies or maybe duplication which is causing the fragmentation.

To assess power issues the sociograms constructed showing brokerage roles will illustrate where organisations could or are acting as brokers. Those showing the network by degree will illustrate those organisations with a higher degree operating within the core, or 'centre' of the network and those with a lower degree on the 'periphery'. Those organisations acting as brokers and/or operating at the core of the network are more likely to be in positions of power, or have the potential to exercise power.

Using sociograms in this way will aid in the investigation of the social dynamics mechanisms operating in the policy arena.

5.2.3.3 Design

Following the diagnosis, recommendations can now be made on how to improve the system to provide a more useful structural basis on which to implement the strategic policy. This can include an example of a proposed VSM and proposals to address fragmentation and power issues if they have been found to be a problem.

5.2.4 Assessment

Assess feasibility of recommendations socially, culturally, technically, financially, environmentally and legally. This should include resource planning. Any proposals thought to be unworkable should be returned to the Design phase and resubmitted for feasibility checking.

5.2.5 Action

The Action stage allows for implementation planning for the consensus construction. Action plans should be drawn up to include considerations on the Who, What, How, Where and When of action with regard to the recommendations that have been agreed to be feasible and desirable.

5.2.6 Reflection

The reflection stage is an ongoing process and allows the agent/researcher to consider the way in which the techniques and tools are being employed not only in terms of effectiveness (Material World), but also from a philosophical and paradigmatic perspective (Social and Personal Worlds). The Reflection stage also

allows for monitoring and appreciation of the ongoing problem context following the intervention.

Now that the SPI methodological framework has been developed, it will be tested using a case study of the implementation of cultural tourism products in the Borough of Scarborough on the Yorkshire Coast in the UK. The tourism strategy for the Borough was published in 2005 (Scarborough Borough Council, 2005a) with the intention to develop more cultural tourism. Within the tourism industry there is of course competition within sectors such as the accommodation providers, but also the necessity to collaborate on issues such as reputation, branding and quality, or 'collective goods', that require trust and maintenance of social capital. This case study therefore will provide a useful context for the testing of the SPI methodological framework.

6 Application of the Methodological Framework: Appreciation of the Case Study Context

6.1 Introduction

The Systemic Policy Implementation Framework has been tested in the UK in the Borough of Scarborough. In 2005 Scarborough Borough Council (SBC), the local authority for the Borough published its Tourism Strategy (Scarborough Borough Council, 2005a). The vision for tourism for the Borough for 2005 to 2010 was stated as being

“to develop a sustainable year round tourism economy with broad market appeal generating higher levels of expenditure and increased business performance within the sector.”

In order to achieve this vision the spatially led strategy aimed to implement a number of policy actions, including developing a more culturally led product in Scarborough, Whitby and Filey.

For Scarborough it was the aim to “create new market demand” in the “high value sector” of culture by taking the opportunity of the cultural element of the Scarborough Renaissance programme and developing it as a tourism theme. The plan was to increase footfall at Scarborough Castle and the Scarborough Museums, redevelop the Spa Complex for enhanced entertainment, conference and event facilities, redevelop the museums and galleries, continue supporting the Dinosaur Coast project and develop and support festivals and events.

For Whitby the aim was also to create new market demand for the high value sectors of “culture and heritage”, although it was recognised that Whitby already has a well developed heritage product based on Captain Cook, the Abbey and palaeontology

and a strong festival offer covering maritime heritage and music. However planned actions included improvements to the entertainment, conference and event facilities at Whitby Pavilion and development of the heritage brand to include aspects of outdoor adventure on the Moors.

For Filey once again the aim was to create new market demand for the high value sectors of culture. Policy actions on this were to develop cultural facilities and programming, particularly at the Evron Centre and provide support for festival and events.

Overarching aims for the Borough as a whole, included co-ordinating marketing and branding across the region and sub-region and ensuring that the new tourism management structures to be introduced by Yorkshire Forward reflected the needs and aspirations of the Borough.

The policy actions were very much focussed upon the physical built environment and product development issues. Other than the marketing coordination there was little consideration of the 'softer' aspects of industry relationships, communication and information flows required to enable implementation. A key principle of the strategy however was stated as being that the strategy would be implemented through partnership working and it maintained that there were strong local partnerships with local hotel and hospitality associations. However there was no explanation of how these relationships would be managed for implementation – how would cohesion be achieved bearing in mind that many actors are autonomous individual businesses? How would the system adapt to external shocks such as foot and mouth disease in 2001 and flooding in the summer of 2007? How would synergy be achieved? How

would collaboration opportunities be identified and managed? It is questions of this type that the application of the SPI framework aims to answer.

It is the implementation of this strategic policy that this case study has investigated and used to test the Strategic Policy Implementation framework developed in the previous chapter.

This and the following case study chapters will follow the structure of the framework and the four stages of Mingers' intervention process, Appreciation, Analysis, Assessment and Action plus Reflection. This chapter looks at Appreciation, the second case study chapter focuses on 'Analysis – diagnosis' and the third case study chapter concentrates on 'Analysis – design', Assessment, Action and further developments.

6.2 Appreciation

6.2.1 Defining the System in Focus

1. Initial Data Gathering

a) Setting the Policy Arena Boundaries

In the instance of the implementation of the policy action to develop a more culturally led tourism product the sectors identified for application of the framework were the tourism industry and the culture sector within the Borough of Scarborough; included in the study are those organisations directly involved in these sectors. Also consideration has been given to those organisations with which they interact although they are not specifically classed as belonging to those sectors for example the

Renaissance Manager, and also those that are based outside of the geographical area for example national and regional regulatory organisations such as the Yorkshire Tourist Board and the Arts Council.

b) General Background Context

The Borough is situated in North Yorkshire and includes the whole of the county's 43-mile coastline. There are three main coastal resort towns - Scarborough, Whitby and Filey, but the 330 square miles of the Borough also contains 88 villages and 62% is the North York Moors National Park (see the following map).

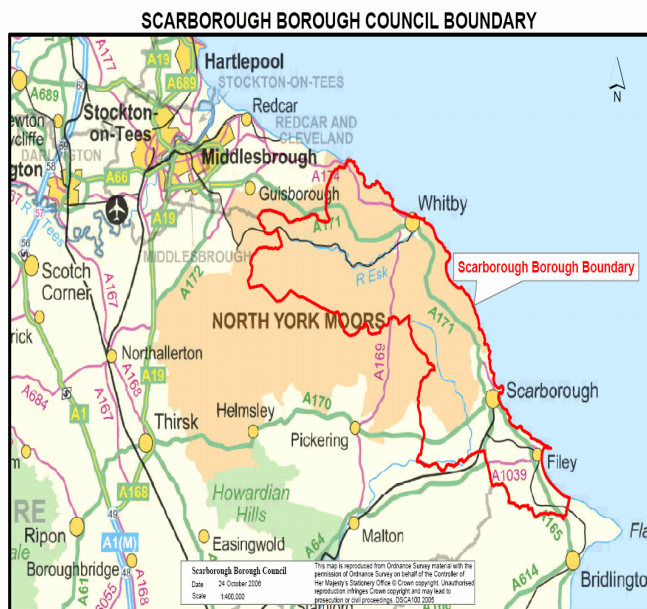


Figure 6.1 Map of the Borough of Scarborough boundaries.

Source: Scarborough Borough Council (2006)

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Although the area is a popular holiday destination in the UK, it is remote from any sizeable centres of population and poor transport infrastructure brings significant accessibility problems (Scarborough Borough Council, 2004).

A total of 106,800 people were resident in the Borough according to 2003 population estimates (Office for National Statistics, 2004), with the three main centres of population being Scarborough (54,000), Whitby (13600) and Filey (6500) (Scarborough Borough Council, 2004). The average age of the population was 42.7 years, which was high in comparison to the England and Wales average of 38.6 years; 25.1% were of retirement age compared to 18.5% for England and Wales. The vast majority of the population was white (99%) and Christian (79%) (Office for National Statistics, 2004).

According to the Indices of Multiple Deprivation (Office for National Statistics, 2004), the Local Authority which covers the Borough ranked 91st out of 354 for the most deprived authority in England and Wales. The Castle and Eastfield wards in Scarborough were in the 10% most disadvantaged wards and six others were in the top 30%. In addition 32% of the population aged 16 to 74 had no qualifications compared to 29% in England and Wales as a whole and only 16% had higher qualifications (NVQ 4/5, degrees, professional qualifications) compared to 20% for England and Wales (Office for National Statistics, 2004). Scarborough Borough Council (2004:2) believed that decades of under investment from both the public and private sectors have contributed to problems of high unemployment and “dereliction”; the town of Scarborough is described as a “persistent unemployment black spot” in a Yorkshire Forward urban renaissance audit (John Thompson and Partners, 2002:70).

The economy of the Borough had experienced falls in agriculture and fishing (Yorkshire Coast Partnership, 2003) and the service sector was dominant as would be expected in a tourist area. The main elements in the service sector were retail 18.6%,

health 16.7% and hotels and restaurants 14.9%. There was however an important manufacturing sector of 15.1%.

The local authority recognised that the tourist industry in the area, which had previously been the main driver of the economy, had experienced significant decline due to changing tastes and overseas competition (Scarborough Borough Council, 2004). The number of visitors to the Borough increased only from 5.4 million visitors to 5.5 million from 1999 to 2004, visitor spend increased from £320m to £380m, but seaside resorts were losing market share overall (Scarborough Borough Council, 2005a).

The tourism product in the Borough of Scarborough was varied and included traditional seaside resorts (Scarborough and Filey), heritage destinations (Whitby and the coastal villages such as Robin Hood's Bay), rural destinations within the North York Moors National Park and caravan parks in the Filey area. Tourism employment accounted for over 7,000 jobs in the Borough which represented 18 % of the area's total workforce.(Scarborough Borough Council, 2005a).

Visitors to the area tended to be from West and South Yorkshire, the East Midlands and the North West, belonging to older age groups, that is 45 plus, with the socio-economic groups of C1 and C2 forming two thirds of visitors and the D and E groups outnumbering the A and B groups. Repeat visitation was high at 84% but only 21% of visitors to the area were on a main holiday, the remainder were taking short breaks (Scarborough Borough Council, 2005a).

In addition to the traditional seaside attractions the area had significant cultural assets (Scarborough Borough Council,)2005a); Massey and Watts, (2003); Yorkshire

Forward Urban Renaissance Panel, (2002); John Thompson and Partners, (2002)):

- Scarborough Castle
- Whitby Abbey
- Maritime heritage – Captain Cook, John Paul Jones
- Geological heritage – Dinosaur Coast and William Smith (the ‘Father of Geology’)
- Literary heritage – Bram Stoker’s Dracula, the Sitwell family and Anne Bronte’s grave
- Ecclesiastical heritage including St Martin’s church designed and decorated by William Morris
- The North York Moors steam railway
- Stephen Joseph Theatre - home to the playwright Alan Ayckbourn
- Art galleries
- Museums
- Festivals and events such as Scarborough Fair, the National Student Drama Festival, Beached music festival, Whitby Goth festivals, Whitby Folk Week, the Festival of Light, Scarborough Jazz Festival, Yorkshire Coast Open Studios and Whitby Musicport World Music Festival.

It would appear therefore that the Borough of Scarborough had many of the problems suffered by English seaside resorts. It had been subject to increasing competition from overseas destinations and changes towards short break tourism, lack of investment, high levels of deprivation, poor transport links and isolation from large

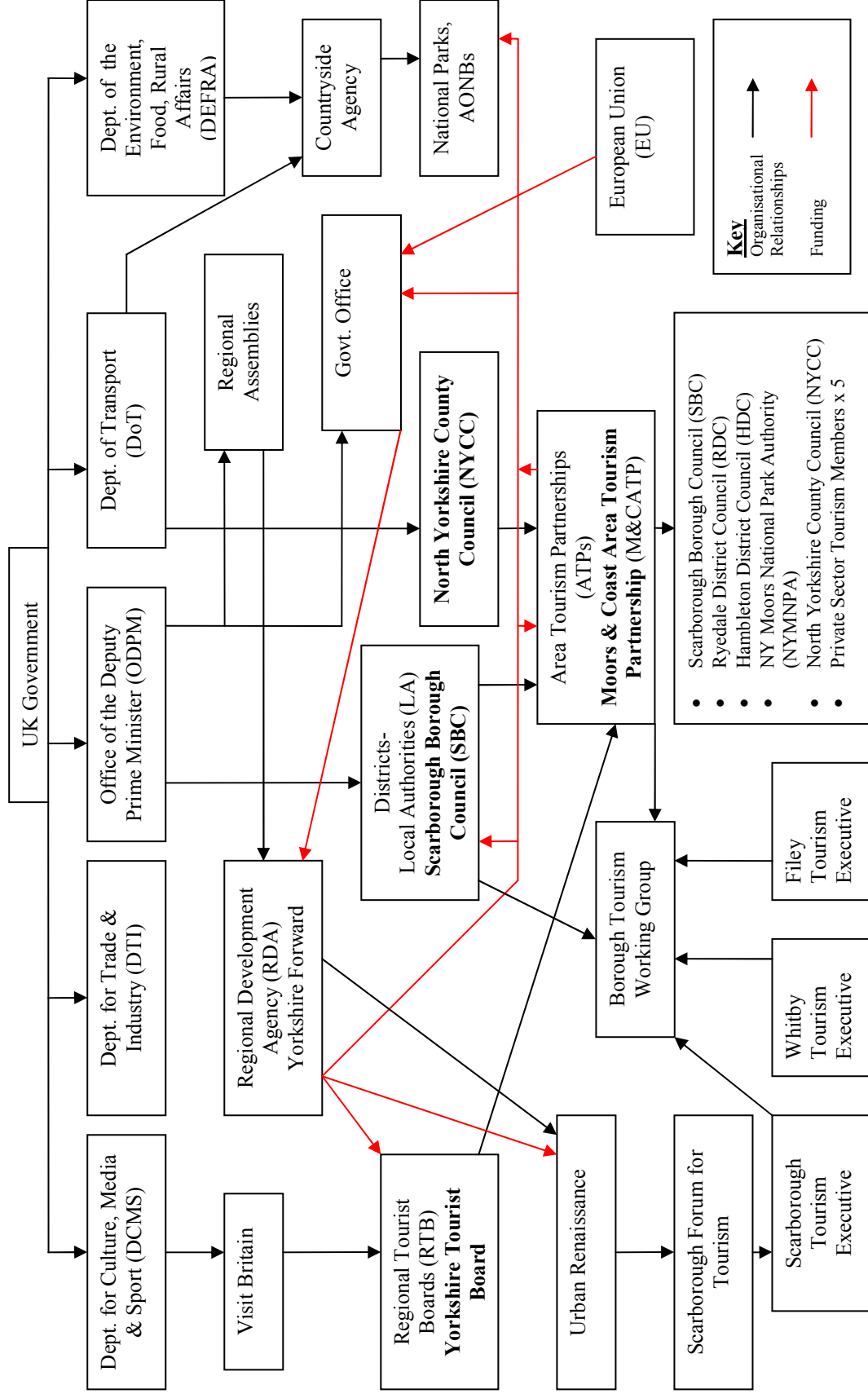
centres of population. However the Borough had the cultural assets on which to build.

6.2.1.1 Tourism Structures

The following diagram illustrates the governmental public sector organisations and agencies that operated with influence upon the tourism industry within the Borough of Scarborough. It does so in the traditional organisational chart sense and is purely to illustrate the type and number of organisations that are present. Further analysis and discussion will follow later in the chapter using cybernetic and social network analysis to provide more useful diagnostic and design points.

Reference for the following figure:

Figure 6.2 Organisation Chart for Government Public Sector Organisations and Agencies



6.2.1.2 Area Tourism Partnership

Scarborough Borough Council as the local authority for the area had local responsibility for the development of tourism until 1st April 2006 when restructuring to a more sub-regional approach for destination management and marketing became a reality; although it should be noted that Local Authorities have not had a statutory obligation to provide tourism services and consequently the tourism departments can be more vulnerable to cost cutting.

On 1st April 2006 the Area Tourism Partnerships (ATPs) for Yorkshire and the Humber were created. The following figure illustrates the regional perspective of the various organisations after 1st April 2006 involved in tourism development and management in the Yorkshire and Humber region covered by Yorkshire Forward. From 2003 Yorkshire Forward has had responsibility for tourism at the regional level, with the Yorkshire Tourist Board (YTB) taking the lead on generic marketing of the region and the ATPs concentrating on destination management and more specific marketing at the destination level (Barker, 2007).

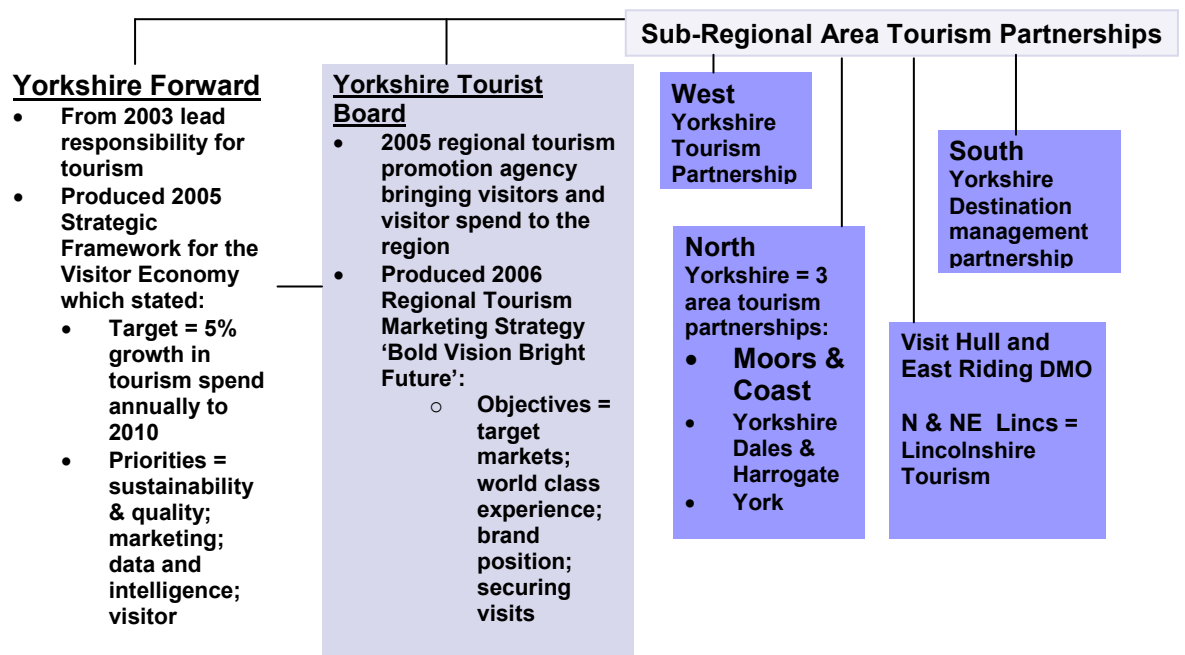


Figure 6.3 Regional organisation of tourism in Yorkshire & the Humber.

Adapted from Barker (2007)

The Borough of Scarborough falls within the Moors and Coast ATP (M&CATP) which also includes those areas covered by Ryedale District Council, Hambleton District Council, the North York Moors National Park (NYMNP) and North Yorkshire County Council (NYCC) - see the following map for details.

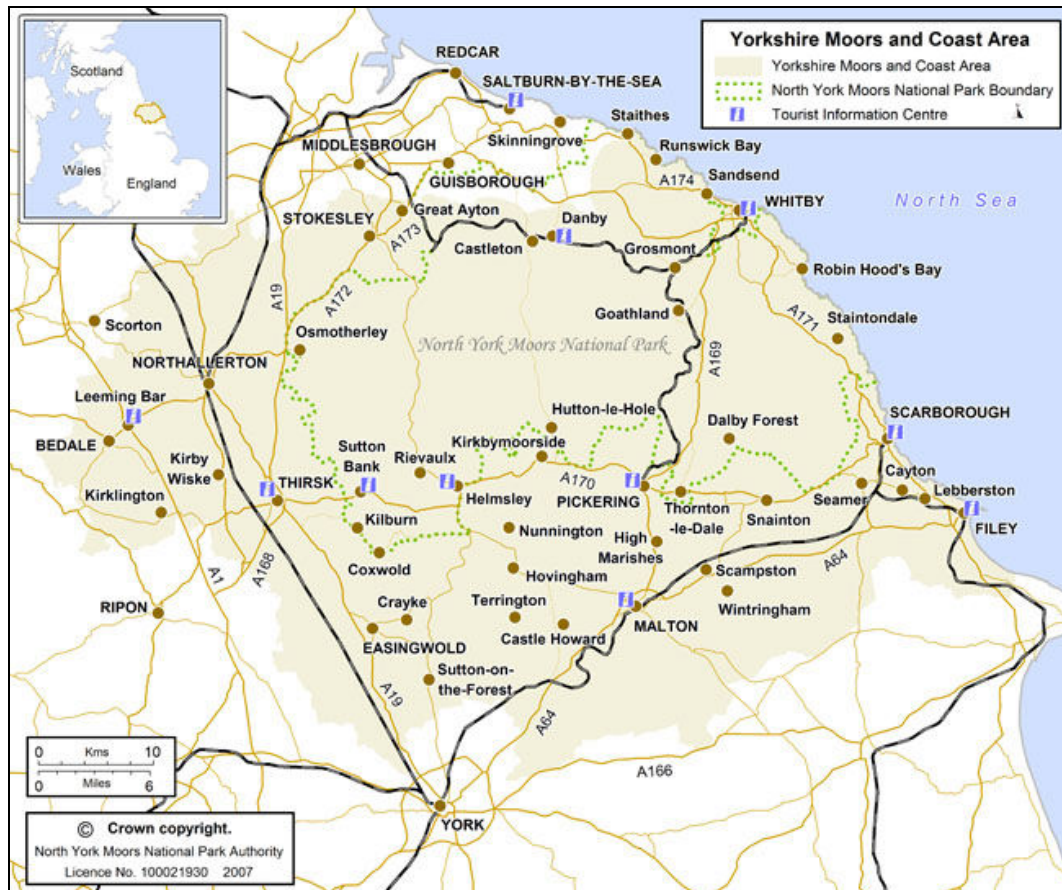


Figure 6.4 Area covered by the Moors & Coast ATP.

Source: Moors and Coast Partnership (2007).
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The following figure illustrates how it is envisaged the M&CATP will operate. Its main role will be visitor and destination management and marketing at the destination level.

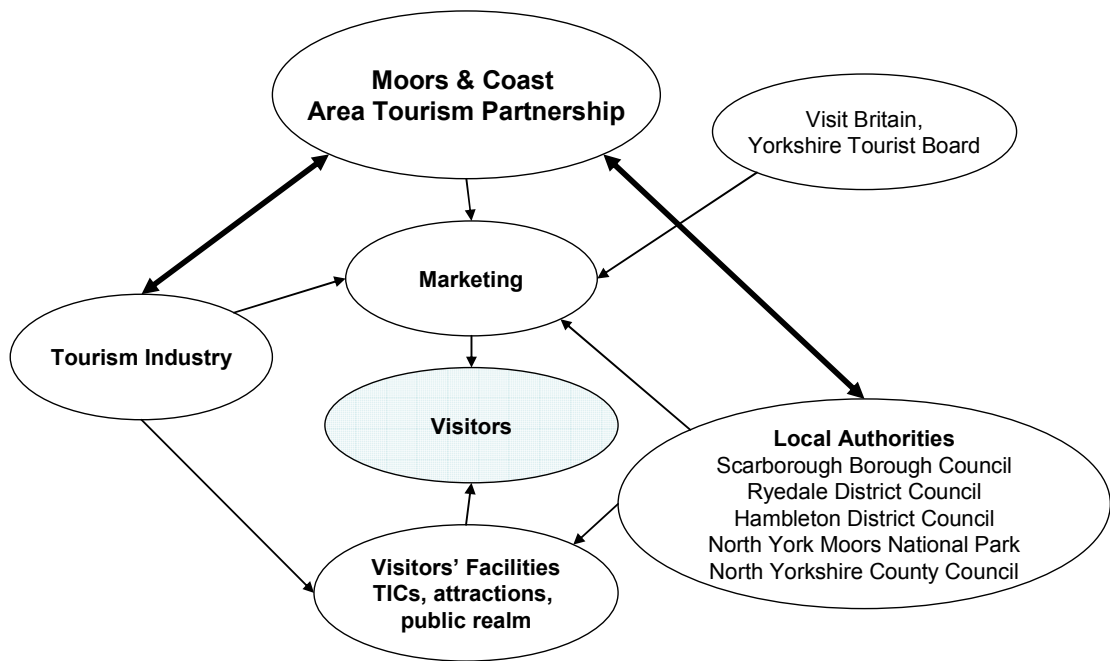


Figure 6.5 Local organisation of tourism for the Moors and Coast ATP

Source: Moors and Coast Area Tourism Partnership (2006)

Preliminary interviews with stakeholders during the consultation period on the new ATP structures before their actual creation found that there were doubts about how the ATPs would actually operate, bearing in mind the number of Local Authorities involved, spatial distance covered and the differing tourism offers within each local area. Later when the new structures had been agreed these concerns remained apparent in informal discussions, although they changed more favourably under formal interview conditions.

From a cybernetic viewpoint not only are there issues with the general management of complexity but also concerns over identity of the system. From a branding point of view alone there are differing identities; the Moors and Coast ATP area covers coastal and seaside tourism, rural tourism on the moors, the heritage landscapes of ‘Herriot Country’ and Castle Howard further inland and the outdoor activity

destinations in Dalby Forest. All of these geographical areas have different demographic target markets.

In the other sub-regions of West Yorkshire, South Yorkshire and East Yorkshire, Hull and North East Lincolnshire only one ATP had been created per county area; in North Yorkshire there were three. It may be that the same identity issues were apparent in the other Yorkshire ATPs. However, besides the Moors and Coast the other two ATPs in North Yorkshire of Harrogate and the Dales, and the City of York, probably had more unity within their organisation from the perspective of their product offer, however the Moors and Coast ATP seemed to be the victim of artificially created boundaries (although self-inflicted).

Nevertheless it appeared that all of the ATP boundaries for each sub-region had been based on the geographic areas covered by the Sub-Regional Investment Plans (SRIPs) which were drawn up to guide the future direction of regional funding (Respondent No. R7). This boundary setting had been done in this way despite Yorkshire Forward's declarations of their intentions to develop clusters (Yorkshire Forward, 2006). This had brought about the situation that the coastal resorts of Scarborough and Bridlington, although being only a few miles apart and both in the Yorkshire Forward region are divided by artificial organisational barriers. They had become purely intra-regional competitors rather than members of a tourism cluster who although still in competition at one level of recursion could enjoy the benefits of economic externalities at a higher recursion level.

It must be pointed out however that the Local Authorities of North Yorkshire did push for the three separate ATP organisations rather than a single body, maybe as a

means to attempt keep some level of local control (Respondent 7, Scarborough Borough Council, 2005b). The creation of the three separate ATPs was against the wishes of the NYCC and not in line with Yorkshire Forward's original plans.

As a consequence of the boundary setting, trying to bring cohesion and therefore viability to the Moors and Coast ATP will not be easy. Personal discussions with those in the tourism sector revealed that the Moors and Coast ATP was poorly prepared for the joint working required among the various local authorities. Other than a board of public sector and private members, for at least 12 months there were no staff solely employed by the Partnership; recruitment for a Business Development Officer commenced in February 2007. The organisation ran mainly through Local Authority staff being allocated hours to work for the Partnership and a vague understanding that Scarborough Borough Council would undertake treasury duties and Ryedale District Council the secretarial work (Respondent No.22). No consideration was made for any structural or procedural working arrangements for staff, who found it incredibly difficult to work under these conditions (Respondent No.7).

Criticism was made regarding the composition of the Partnership board in that it did not fully represent the various sectors within the tourism industry. It was very much dominated by the accommodation sector which was seen by some to be an ancillary service and not the reason in itself for tourists to visit a destination. More of a focus on product by the Partnership would have been welcomed (Respondent P2).

Although this would be a valid view from a marketing perspective, cybernetically the accommodation sector would be System One primary activity in addition to the attractions sector, thus an important element of the tourism system as a whole,

however there was obviously an imbalance between these System Ones.

Further criticism is that performance indicators outlined in the M&CATP's strategy (Moors and Coast Area Tourism Partnership, 2006) did not include consideration of organisational performance in terms of the success of their joint working or even an assessment of the value provided to stakeholders by the Partnership. The importance of this was mentioned in the Scarborough Borough Council Tourism Strategy (Scarborough Borough Council, 2005a) where one of the priority actions was to ensure that the new ATP would reflect the needs of the Borough's tourism industry. How are the ATP to assure such stakeholders that this is the case if no monitoring is to be done in this area? As the ATP forms part of the meta-system of the tourism system this should surely be a feedback loop for the Partnership to have in place. There needs to be more of a focus upon the expectations of the industry and stakeholders and showing them the value of the ATP.

The monitoring activity mentioned in the strategy was confined to mainly economic impacts, visitor satisfaction and business profitability; outcomes for the tourism businesses and the industry as a whole and not necessarily the only outputs of the ATP organisation. As the ATP can affect such economic impacts only indirectly through the regulation of the tourism businesses, more useful measures should include the ATP's value to stakeholders in terms of regulating for synergy, joint working and cohesion of the sector for example.

By not assessing the effectiveness of the organisation in how it serves the industry, whether it is fulfilling its objectives, giving value for money for the stakeholders, or acting effectively in its regulatory role, the ATP have difficulties in managing its

own performance. Instead it is only measuring indicators over which it has little direct control and although important for the industry does not help in the holistic performance of the system with all of its interconnected aspects. The system as a whole needs an effective meta-system and putting in place a feedback loop to ensure this is vital to viability.

The Yorkshire Tourist Board (YTB) members also expressed opposition to the creation of the ATPs. The ATPs have undermined their power and position to some extent within the tourism industry and created confusion about roles and areas of operation and duplication (Respondent No. R9). This was still an ongoing issue at least eighteen months after the establishment of the ATP. Discussions at the York and North Yorkshire Festival Steering Group with those actors aligned more with YTB indicated that the ATPs are not working and will be disbanded by Yorkshire Forward and those actors supporting the ATPs were reporting at Counting 4 Scarborough Steering Group meetings that the ATPs are the ‘Golden Boys’ of the industry for getting things done, with Yorkshire Forward intending to give them more funding. It appeared therefore that there was still conflict over the roles of the different regional and sub regional bodies after 18 months of the ATPs coming into being. This could become more of a problem in the future when the initial funding for the ATPs from Yorkshire Forward will cease and the ATPs will have to charge membership fees. This will mean that both ATPs and the YTB will be vying for the same members and their fees.

The structure of the ATP with local authority staff being seconded for a couple of days a week to run ATP business is not advisable in terms of organisation identity and its role as a regulatory organisation. Local authority staff are able to influence

operations with agendas that will favour their local authority rather than the system as a whole. For example the ATP was focusing almost solely on ‘outdoor adventure’ rather than a diversity of tourism offers, including such as ‘traditional seaside’ or festivals and events, which would more fairly represent and include the whole ATP region.

In fact the ATP was always going to have issues of identity because of the boundaries of its operations. Trying to bring together areas with different branding, identity and objectives was going to be problematic because there would be continuing issues around System 5 and bringing closure and a joint ethos to systemic performance. Each local authority area has its own branding, not just for tourism, but for the organisation and location it represents as a whole. How these differing brands will connect with an ATP branding and identity for an artificially constructed area is debateable.

6.2.1.3 Urban Renaissance

Scarborough Town is currently engaged in a Yorkshire Forward 25 year Urban Renaissance initiative. In April 2002 a Community Planning Weekend attended by over 1000 people was held to herald the start of Scarborough’s Urban Renaissance process and out of this a Renaissance Charter for the town was born (Yorkshire Forward Urban Renaissance Panel, 2002). The underlying concepts of this process reflected the current discourses on new urbanism, concentrating on integrated approaches to the economic, social and environmental elements of regeneration, along with a focus on the public realm and high quality architectural design. Community participation and partnership working also shapes the framework for the

ongoing 25-year initiative (Simpson and Sutter, 2005).

The structure of the participation within the renaissance project included a Town Team which was a monthly open public forum meeting that anyone could attend. There were also eight Action Groups including the Forum for Tourism, Arts, Culture and Festivals Forum and Improving Scarborough's Image Forum. All were monthly meetings that were open to anyone and the Action Groups reported back to the Town Team. An Executive group met monthly and consisted of Action Group Leaders and various representatives from local business and public services. An Urban Renaissance Manager was employed to coordinate the project. Much of the work done in the Town Team and Action Groups was on a voluntary basis although this was in conjunction with local authority and other public sector and private sector stakeholders.

The Scarborough Renaissance Charter stated that the regeneration in Scarborough would be culturally-led and promote artistic and cultural assets including an international festival programme (Yorkshire Forward Urban Renaissance Panel, 2002) and as such this was implicitly reflected in the proposed visitor offer for the town as shown in the Borough's Tourism Strategy (Scarborough Borough Council, 2005a) which was discussed in the Introduction to this chapter.

Four years into the Renaissance process the activities were "influencing private projects and raising the profile and investment in Scarborough". Funding and investments received in Scarborough at July 2006 included:

- £6 million from Yorkshire Forward
- £7 million from European Regional Development Fund

- £3 million from Scarborough Borough Council
- £2 million from Heritage Lottery Fund

(Scarborough Renaissance Partnership, 2006) with total investment reaching more than £300million (Scarborough Borough Council, 2007)

From a tourism perspective this meant a number of new developments and projects changing the tourism landscape of the town. The Sandside and Harbour areas underwent a £2.8 million waterfront development including public space redesign and upgrading of berths for up to 60 visiting boats. The Spa Complex saw investment of £3.4 million to refurbish the conference, theatre and entertainment facilities there. A national centre for geology was developed at the Rotunda Museum at a cost of £4 million to celebrate the contribution of William Smith the Father of Geology, the original builder of the Museum, to the science. The Cultural Quarter of the town was further developed with a £4.8 million investment in the Wood End Museum to create artist studios, creative industries incubator units, and gallery space, plus planned upgrading of the Art Gallery. Large-scale private investment was also made in two of Scarborough's large hotels, the Grand Hotel with £7 million of refurbishment and the Crown Spa Hotel with £5 million to double its number of rooms and bring it up to four star standards. Finally, Benchmark Leisure's major £120 million development commenced in the North Bay with plans for apartments, a hotel, a water park and swimming pool and retail outlets on the 55 acre site (Scarborough Borough Council, 2007).

It is debateable whether the Sands development will be a 'successful' project with regards to the existing traders and accommodation providers in the North Bay of Scarborough. The opening of a new complex could seriously damage the viability of

businesses located there (Respondent No.7). Concerns were also raised by tourism stakeholders at the Forum for Tourism meetings that current visitors were complaining about the lack of facilities and entertainment whilst development work is ongoing.

The Urban Renaissance process could also be charged with being just a means of legitimising policies and projects that had already been decided on by the local authority. Scarborough won the Excellence in England award for Most Improved Resort in 2002 (Scarborough Borough Council, 2005a) before the Urban Renaissance initiative had become fully operational.

However the Forum for Tourism an action group within the Urban Renaissance process has been involved in the tourism strategy consultation process with two complete meetings of the Forum dedicated to consultation and feedback. The Forum is also the only place for any individual or businesses from all sectors of the tourism industry to take part in discussions and raise issues. Other local trade associations and societies are very sector focussed for example with the Scarborough Hospitality Association concentrated on accommodation and the Attractions Group on attractions.

6.2.1.4 North Yorkshire County Council (NYCC)

A further addition to the environmental complexity of the tourism industry is that along with Scarborough Borough Council, NYCC also has responsibility for certain services in the Borough. These include education, police, fire services and ‘out of town’ highways, although there is no specific tourism function within NYCC.

Following a Government invitation NYCC applied for unitary status in 2006. If successful this would have meant the dissolution of the district councils in North Yorkshire, including Scarborough Borough Council. However the bid was turned down on the grounds that NYCC had not adequately addressed the criteria that the reorganisation should deliver opportunities for neighbourhood flexibility and empowerment (Rowsell, 2007).

Although the bid was rejected it had caused uncertainty for SBC including the tourism and leisure department. This incident along with the creation of the ATPs illustrates the complexity and uncertainty that was apparent within the environment for tourism.

These very unstable structural conditions for the industry cluster led to actors within the system requesting more local and independent structures that protect against this instability so that they can operate despite the structural reorganisations at higher levels in the system (Respondent No. P1; North Yorkshire Cultural Officers Group, 2005; Festival Focus Group, 2006).

6.2.1.5 Identification of organisations and individuals within the policy arena.

Following the initial identification of organisations within the policy arena a list of interviewees was drawn up that would give a balance of input from all sectors concerned (see Research Methodology Chapter). Access to subjects was taken into account and snowballing techniques were also employed to extend the list of interviewees. The full list of interviewees can be seen in Appendix 1.

- d) Interview the identified subjects.

Interviews were carried out with the organisations as per the framework guidelines.

2. System Definition

- a) System Identity

Using the data gathered during the interviews, social network analysis was conducted to gain a visual picture of the relations between the various organisations operating in the policy arena. The following sociogram includes all of the organisations identified by the interviewees and their links. The organisations are colour coded by type.

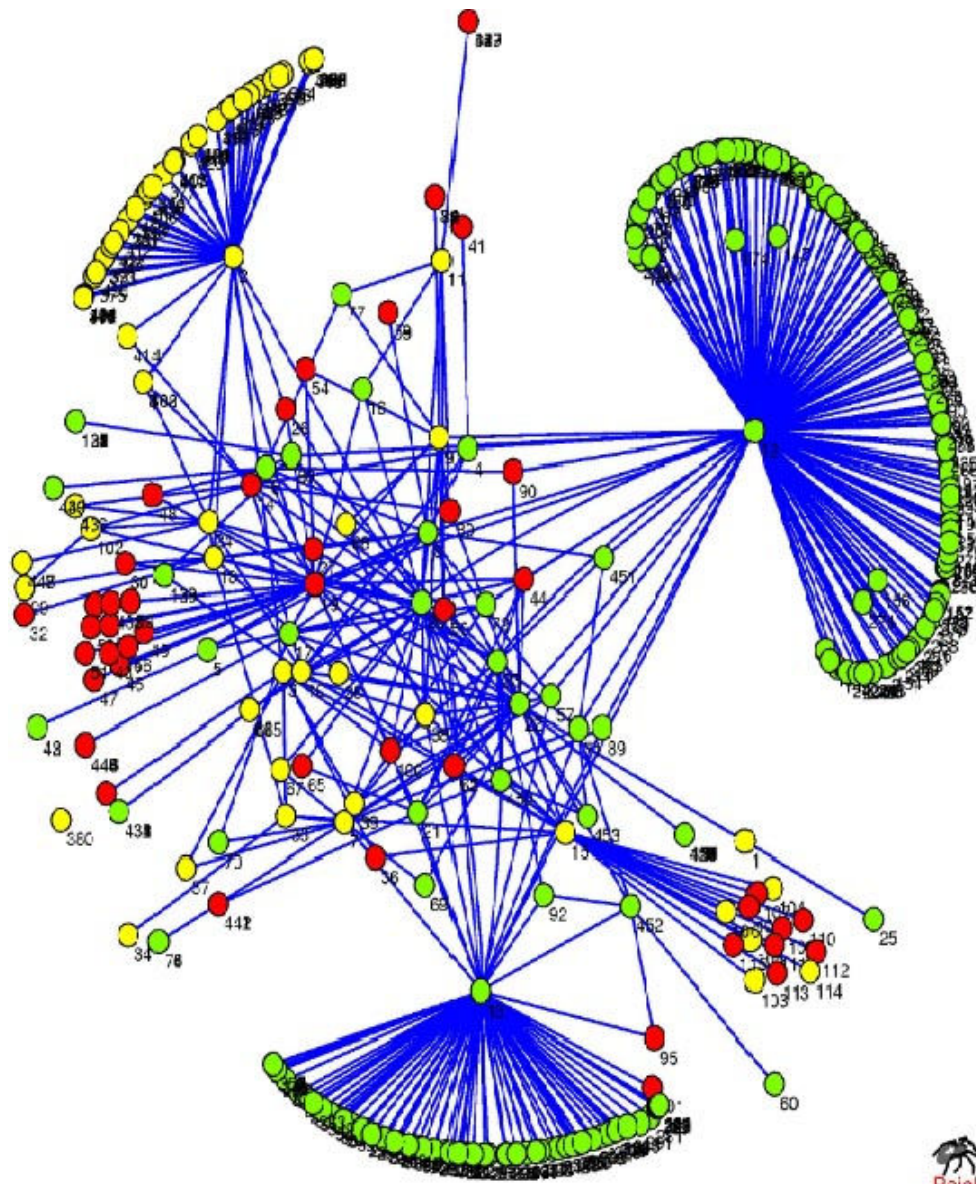


Figure 6.6 Policy arena by Type.

Key

●	Cultural Organisations
●	Tourism Organisations
●	Other Organisations

As can be seen by this sociogram the web of relations within the policy arena was extremely complex. While this diagram depicts the complexity of the policy arena, on its own it is not very useful for trying to understand the issues and problems nor does it allow for any meaningful conclusions to be drawn about identity. It is necessary to reduce the variety and consider different 'partitions' and slices of the network.

The following partition is taken from the network sociogram shown in the previous figure and shows the 'core' and part of the 'periphery' of the policy arena. Those actors labelled pink and with a '5' are the 'core' organisations and the red and blue coloured actors show as being in the 'periphery'.

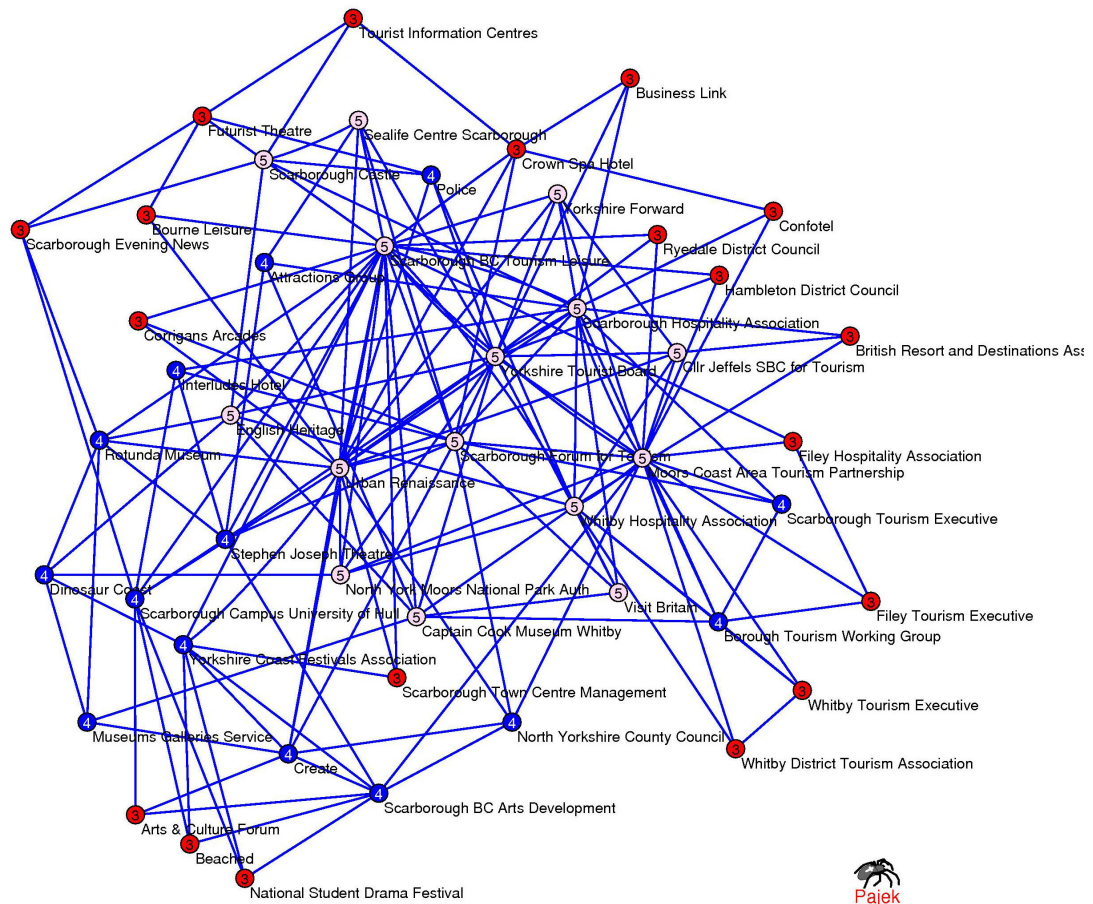


Figure 6.7 Core and Periphery of the Policy Arena

The partition of the policy arena network shown in the next figure is the central core of the network, those labelled ‘5’ in the previous figure, which depicts the most connected organisations in terms of number of links to each other; that is the most interconnected. This sociogram is formed by eliminating those with fewer inter-connections.

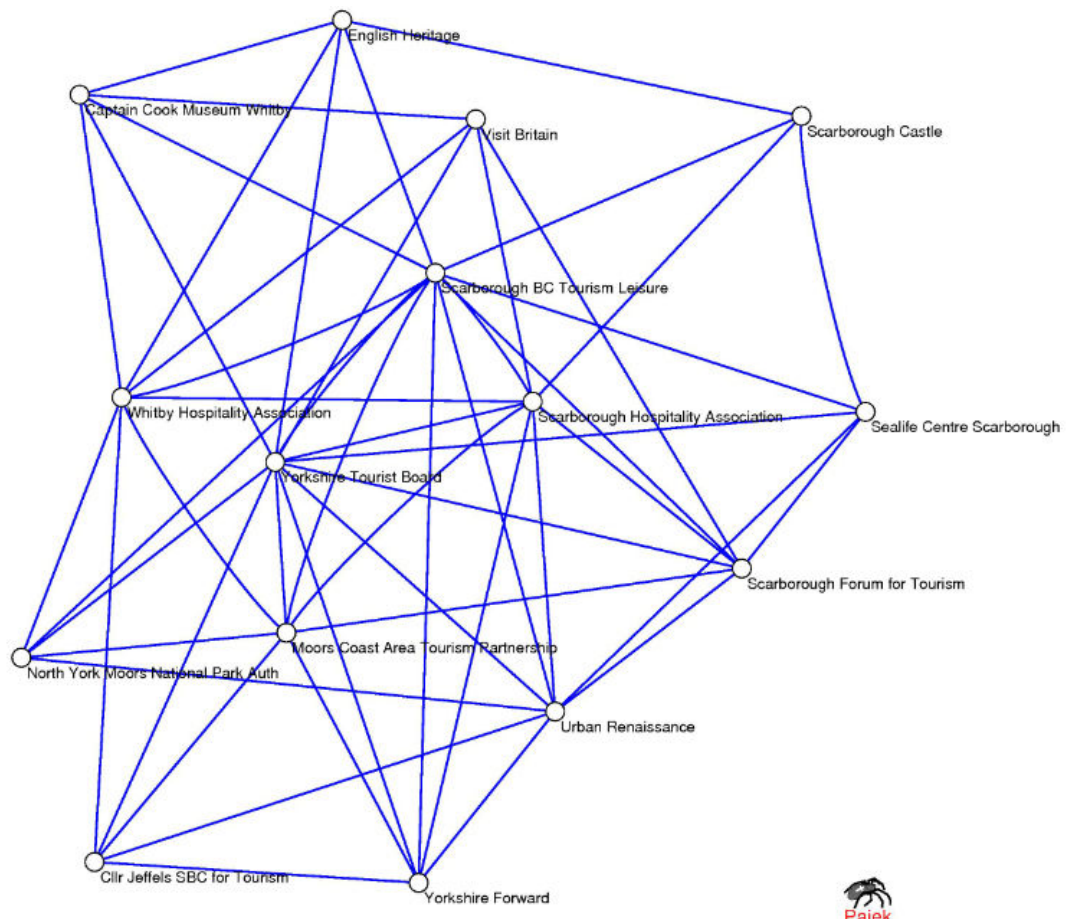


Figure 6.8 Core of the policy arena organisations

This sociogram demonstrates that the most interconnected organisations within the policy arena were all tourism organisations with the exception of just two cultural organisations, English Heritage (including Scarborough Castle) and the Captain Cook Museum in Whitby. This would appear to indicate that the cultural sector is more disconnected not only within itself but also from the tourism sector. There are less dense inter-connections between the Cultural organisations, suggesting more fragmentation in that sector and also less inter-connection between Cultural and Tourism organisations. This suggests that fragmentation is also occurring between the two sectors meaning two separate systems seem to be in operation. Therefore

identity statements will be constructed separately for the Culture and Tourism systems.

6.2.1.6 Culture

As discussed in the introduction to this chapter, the intention was to implement a policy to develop culture as a tourism theme. However, although there were tourists who did consume some cultural activities in the Borough, the cultural actors within the system were 'lost' amongst the attractions of a generic seaside tourism product. They appeared cybernetically at least to have more identity as cultural organisations rather than a tourism identity, although they could be tourism focussed to some extent in their operations, for example the Stephen Joseph Theatre (SJT) and Scarborough Castle. Although in many cases this was due to a lack of cultural audiences resident in the Borough rather than a wish to enter the tourism industry (Cultural Marketing Focus Group, 2006).

The cultural organisations had other identities and purposes rather than the pure tourist identity of traditional seaside attractions such as the seafront arcades and funfairs. The organisations falling within the 'arts' had purposes regarding the provision of artistic product encompassing artistic excellence and integrity. The 'heritage' organisations had purposes including the preservation of landscapes, buildings and artefacts and festival organisations provided celebration for communities.

St Martin's Church in Scarborough had particular issues with these conflicting

purposes. Its primary purpose was to act as place of worship, however as one of the best instances in the country of a pre-Raphaelite designed and decorated church, with examples of work by William Morris, Burne-Jones and Rossetti, it had become a tourist attraction (Moore, 2006). In addition the church has a world renowned ‘Father Willis’ organ which has had to be repaired using English Heritage funding. The constraints of this funding meant that the organ has had to be restored to its original status, whereas the church would have preferred to make some modernisation to improve its usefulness (Moore, 2006). This example illustrates the conflict of purpose for a cultural organisation. St Martin’s church would prefer to operate purely as a place of worship but circumstances dictate that it is also a heritage attraction for tourists and they have to accommodate this (Moore, 2006). In addition they must comply with the preservation principles of a heritage building.

Therefore in consideration of these points it was necessary to construct an identity statement for the cultural sector in the Borough. The following table shows the TASCOI analysis for Culture.

Transformation	Cultural assets (heritage buildings, venues, artistic/creative skills) into arts, heritage and festival activities and experiences.
Actors	Business owners, staff, cultural/creative actors (artists, historians, performers, curators).
Suppliers	Suppliers of consumables e.g. food, drink, materials; suppliers of services e.g. technical support, cultural services/advice, maintenance, facilities/equipment.
Customers	Residents and cultural tourists.
Owners/Overview	Arts Council England, Yorkshire; Scarborough Borough Council, Create Arts Development Ltd, Arts and Culture Forum, Yorkshire Coast Festivals Association.
Interveners	Competitors, Arts Council England, Yorkshire; Create Arts Development Ltd; Scarborough Borough Council; North Yorkshire County Council.

Table 6.1 TASCOI for Culture

This can be expressed as:

The Cultural Sector in the Borough of Scarborough uses its cultural assets (heritage buildings, venues, artistic/creative skills) operated by business owners, staff, cultural/creative actors (artists, historians, performers, curators) to provide arts, heritage and festival activities and experiences for residents and those visitors from outside of the Borough, who wish to take part in and experience the cultural offering of the Borough.

6.2.1.7 Tourism

So what identity does the tourism industry have in the Borough of Scarborough?

What does the ‘Tourism system for the Borough of Scarborough’ actually do? The following table shows the TASCOI analysis for Tourism. This and the following identity statement were formed from the interviews, observations and documentary analysis carried out for this study.

Transformation	Accommodation, attractions, conference facilities and hospitality services into a destination tourism offer.
Actors	Business owners, staff.
Suppliers	Suppliers of consumables e.g. food and drink, suppliers of services e.g. laundry, maintenance, facilities.
Customers	Traditional seaside and business tourists and residents.
Owners/Overview	Scarborough Borough Council, Moors & Coast ATP, the Forum for Tourism.
Interveners	Competitors, Scarborough Borough Council, Moors & Coast ATP, Yorkshire Forward, Yorkshire Tourist Board, North Yorkshire County Council.

Table 6.2 TASCOI analysis for Tourism

This can be expressed as:

The Borough of Scarborough tourism industry uses accommodation, attractions, conference facilities and hospitality services run by business owners and staff to provide a tourism offer to those visitors from outside of the Borough, and residents, who wish to experience the traditional seaside or use the business/conference facilities.

By expressing identity in this way, it highlighted that there were in effect two separate systems and identities for the tourism industry and the cultural sector in the Borough of Scarborough. This was also shown through the network analysis (see the sociogram illustrating the core of the policy arena). This structural arrangement was not conducive to the implementation of cultural products into the local tourism market or in producing a cultural destination identity for the area. Not only did it hinder the creation of a shared identity in the eyes of potential tourists but it also created barriers for collaboration (needed for successful implementation of policy). In addition to missing out on the collaborative benefits of sharing of resources and realisation of efficiencies, there were missing relationship structures required to enact the implementation. This could mean difficulties in the implementation of the cultural tourism policy due to lack of communication channels

Unfolding complexity

Considering the sociogram of the core of the policy arena and the interview data, attempting to unfold the complexity of the current situation regarding the primary activities contributing to the cultural tourism product in the Borough, it appeared

there was very little system cohesion or identity as a cultural destination.

With purposes other than purely a tourism aspect apparent within cultural organisations and no discernable system to show them as having viability as tourist organisations the unfolding of complexity for these cultural organisations and tourism in the Borough would be as in the following figure. The systems of Culture and Tourism have been depicted with a dotted line to indicate the lack of viability and identity. The systemic separation of the two subsystems was of course not an ideal situation within which to implement the cultural tourism aspects of the Borough Tourism Strategy. In fact both the tourism sector (Respondent Nos. R1, R2, R4, R5, R6, R7, R9, R10, R11, R12, R13, R15, R21, R17, R22), and the cultural sector (Respondent Nos. P1, P2, R2, R9, R10, R11, R12, R14, R17) in themselves were not completely viable in terms of cohesion, coordination and adaptation. Fragmentation was a major problem in both with little or no meta-system (see Diagnosis section for more details).

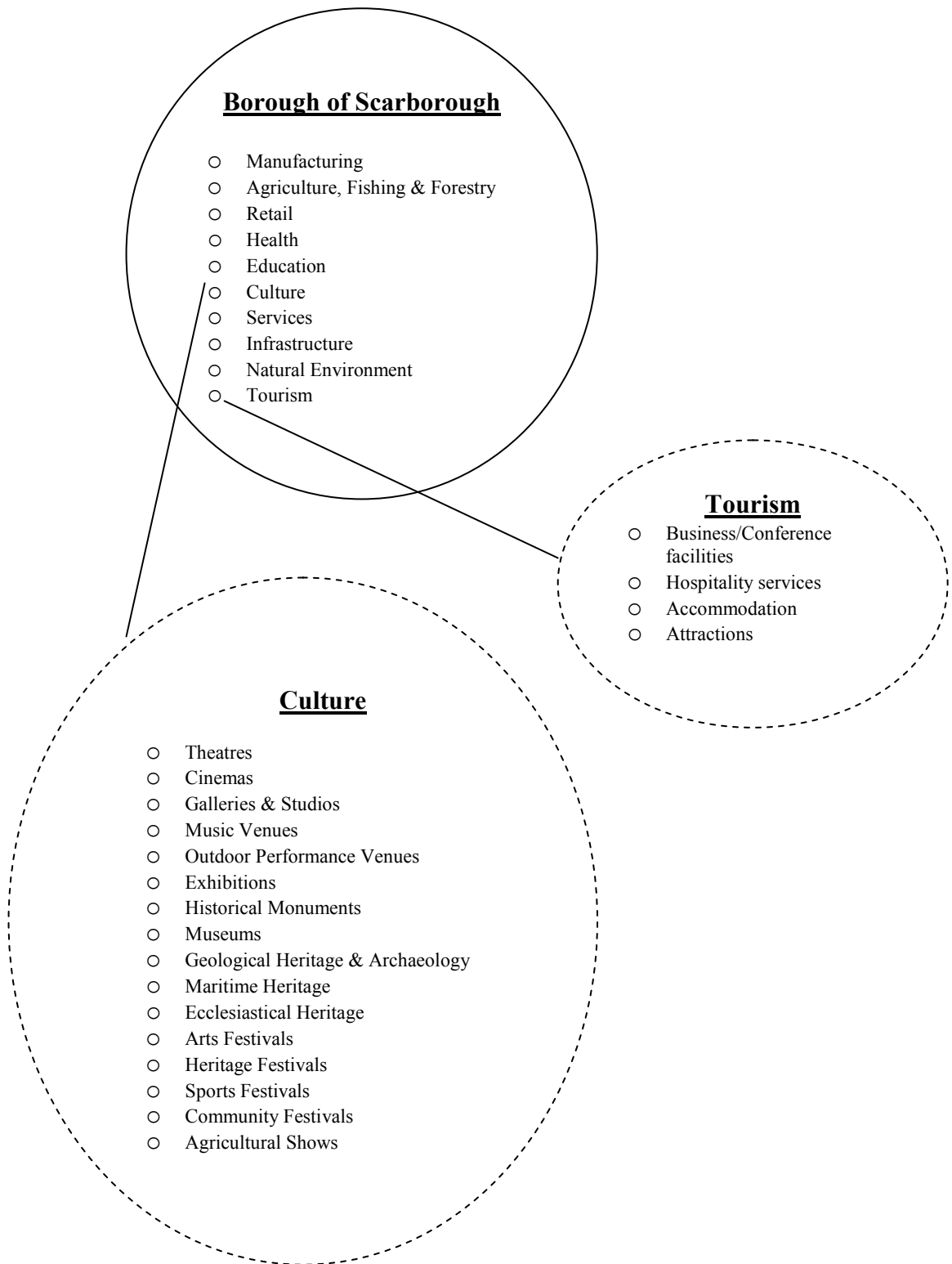


Figure 6.9 Unfolding Complexity for Culture and Tourism in the Borough of Scarborough

As previously stated, this structural arrangement was not conducive to the implementation of cultural products into the local tourism market or in producing a cultural destination identity for the area. Both sectors were not viable in their own right, operating as separate systemic entities and unable to enjoy the full benefits of collaboration. A different structural arrangement must be constructed to enable the policy to be implemented more easily and with more success.

Due to the split in identity of the 'Cultural Tourism' policy arena, it was necessary for diagnosis purposes to construct VSMs for both Culture and Tourism separately and then for 'Cultural Tourism' too.

b) Identification of Primary Activity Organisations and Meta System Organisations

The exploratory hypothesis was that Social Network Analysis could offer some clues to help build up a list of primary activity organisations and regulatory organisations.

To identify the primary activity organisations and the regulatory organisations it was useful to consider various sociograms for each system of Culture and Tourism:

- Sociograms showing the number of degrees (links to others) for each organisation.
- Sociograms showing the brokerage roles for the organisations.

6.2.1.8 Culture

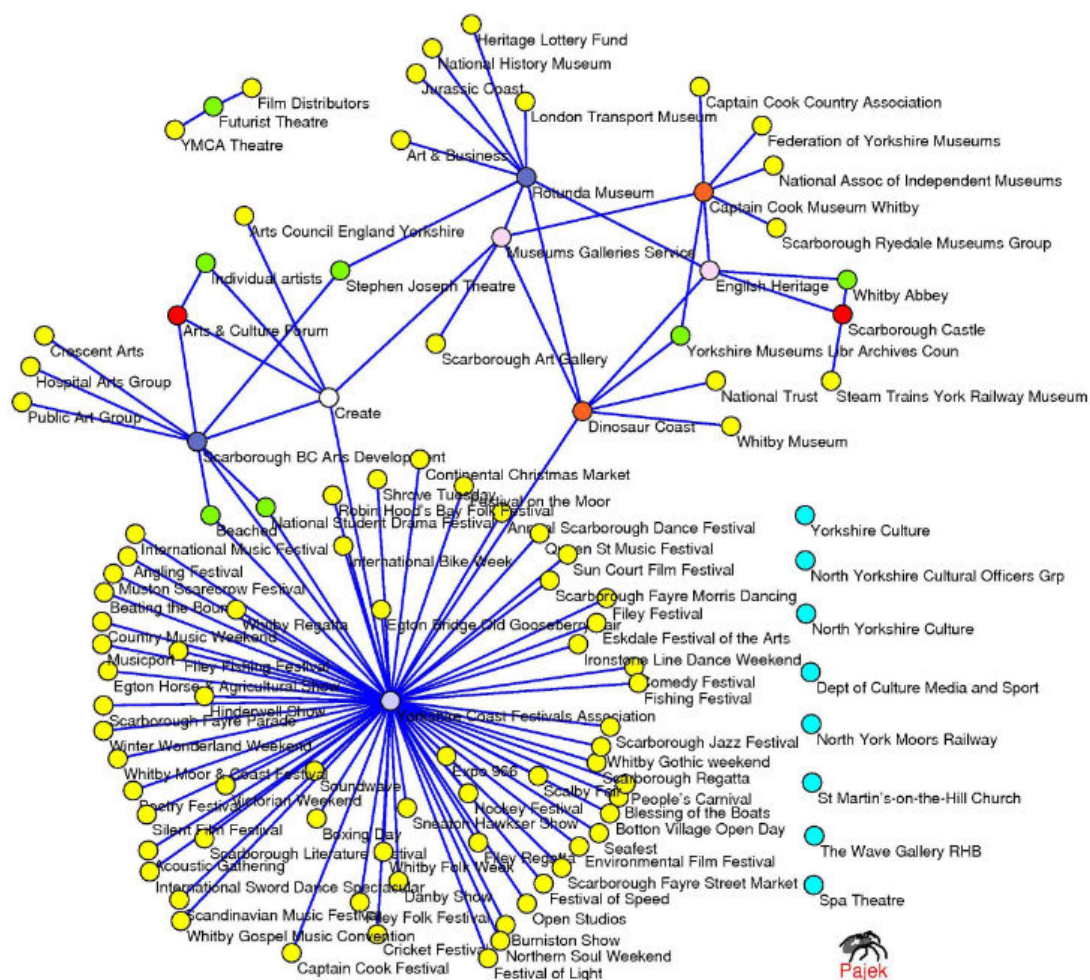


Figure 6.10 Cultural organisations by Degree.

Key

	No. of Degrees = 0		No. of Degrees = 5
	No. of Degrees = 1		No. of Degrees = 6
	No. of Degrees = 2		No. of Degrees = 7
	No. of Degrees = 3		No. of Degrees = 9
	No. of Degrees = 4		No. of Degrees = 67

Sociogram by Degree:	Broker sociogram:
Arts & Culture Forum	Futurist Theatre
Scarborough Castle	
Museums & Galleries Trust	Museum and Galleries Trust
English Heritage	
Create Arts Development Ltd	Create Arts Development Ltd
Dinosaur Coast	Dinosaur Coast
Captain Cook Museum Whitby	Captain Cook Museum, Whitby
Rotunda Museum, Scarborough	Rotunda Museum, Scarborough
Scarborough Borough Council, Arts Development Dept.	Scarborough Borough Council, Arts Development
Yorkshire Coast Festival Association	Yorkshire Coast Festival Association

Table 6.3 Initial list of regulatory cultural organisations.

Looking at the lists above it is evident that some are primary activity organisations and caution must be exercised as a high Number of Degree might indicate a very well connected primary activity organisation and a position of being a broker might be symptomatic of a problem of disconnectedness. It is extremely important therefore that this initial list is used in conjunction with the interview data and the visual inspection of the sociograms to identify the meta-systemic organisations.

By combining the interview data and the results of the sociogram inspection above a list could be drawn up for meta-system organisations. The sociograms on their own

could not give any indication of a definitive breakdown of primary activities and regulatory organisations because of the possible confusion as discussed in the previous paragraph. Although the extrapolation of brokers and well connected organisations from the sociogram did provide a useful starting place for identification of primary and non primary activities, it was still essential that the interview and observational data was taken into account. It therefore has not been possible to prove the hypothesis and it still requires further investigation and testing.

Therefore considering the sociograms and case study data from observations and interviews it could be regarded that for Culture at this level of recursion the Meta System Organisations are:

- Arts & Culture Forum
- Creative Driver Partnership
- Scarborough Borough Council, Arts Development Dept.
- Create Arts Development Ltd

and the following organisations could be said to be local management organisations at this level of recursion

- Scarborough Museums & Galleries Trust
- English Heritage
- Yorkshire Coast Festival Association

The remaining organisations were considered to be primary activity organisations at this level of recursion.

The organisations identified as belonging to the meta-system have been assigned roles as below according to data collected from interviews, observations and documentary evidence:

System 5

- *Scarborough Borough Council (SBC)* – oversees the 3/4 homeostat with regard to decisions on projects to take forward, particularly because of their access to funding and their role as the local authority.
- *Creative Driver Partnership (CDP)* – also makes decisions on which are to be ‘favoured’ projects but also ensures a cultural focus is kept for Urban Renaissance.
- *Arts & Culture Forum -Urban Renaissance Group (Arts Forum (UR)* - assists in the preservation of identity providing access to a group forum where issues of policy and vision can be discussed.

System 4

- *Scarborough Borough Council (SBC)*- is involved in planning, research and strategic development for the sector.
- *Creative Driver Partnership (CDP)* – is also involved in planning but also identifies and considers cultural opportunities and projects for the sector.
- *Arts & Culture Forum -Urban Renaissance Group (Arts Forum (UR)* - – provides an arena that allows ideas to be raised by individuals operating in the Cultural sector and also collects feedback from the environment such as operating difficulties and potential opportunities. It also provides a mechanism to

build an ‘inside and now’ view to give a self awareness perspective.

System 3

- *Scarborough Borough Council, Arts Development Dept. (SBC)* – performs day to day activities involving grant issuing and monitoring to cultural organisations and also deals with legislation and licensing for festivals and events.
- *Create Arts Development Ltd (Create)* – performs day to day activities in the Cultural sector involving information provision, advice and coordination by sitting on groups and local networks.

This data and analysis has been used to construct a VSM for the Cultural sector which can be found in the next chapter. The next section will look at Tourism using the same techniques to provide information to construct a VSM for Tourism.

6.2.1.9 Tourism

The same procedure was carried out for Tourism as was done for Culture using sociograms and data from interviews and observations to create a VSM. The first step is to try and identify those actors engaged in primary activities and those which are part of the meta-system. The following sociogram in the next figure illustrates the number of degree of each actor in the Tourism sector. This is an indicator of the actor’s connectedness.

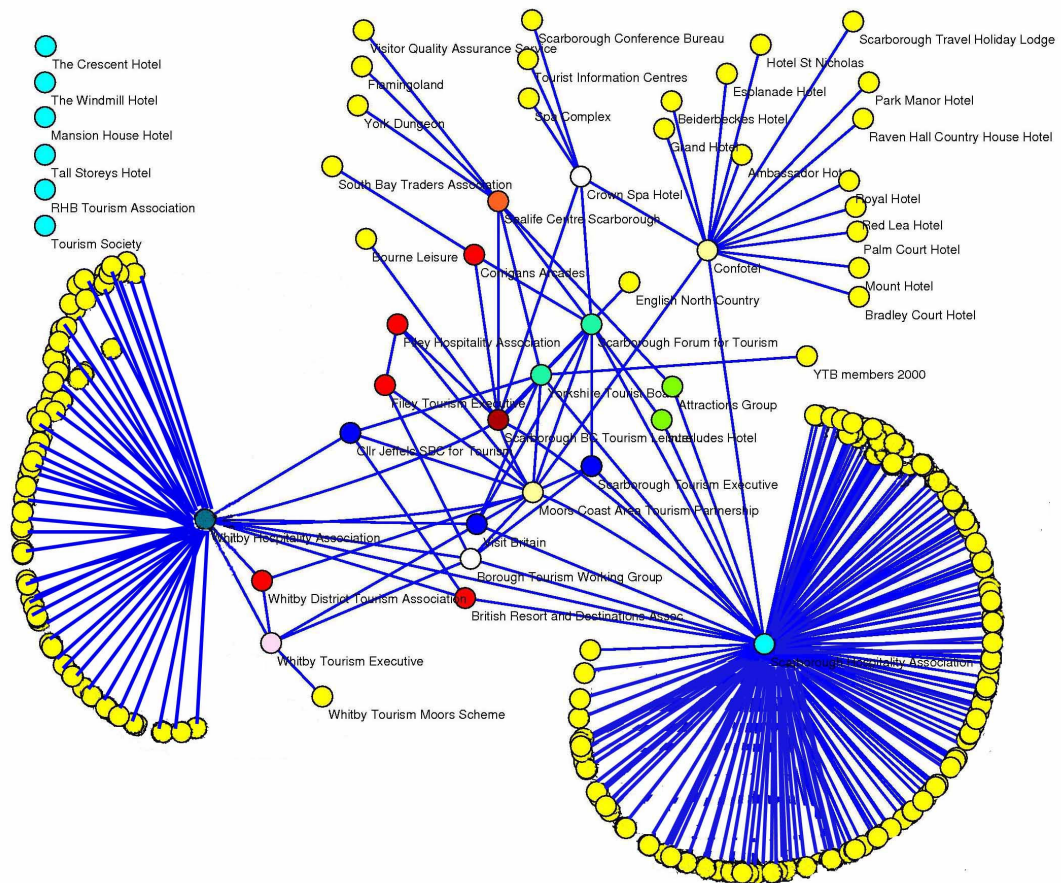


Figure 6.12 Tourism organisations by Degree.

No. of Degrees = 0	No. of Degrees = 7
No. of Degrees = 1	No. of Degrees = 10
No. of Degrees = 2	No. of Degrees = 14
No. of Degrees = 3	No. of Degrees = 16
No. of Degrees = 4	No. of Degrees = 98
No. of Degrees = 5	No. of Degrees = 160
No. of Degrees = 6	

This next sociogram shows the same Tourism actors as in the previous figure but illustrates where brokerage may be coming into play (the brokerage actors are coloured grey).

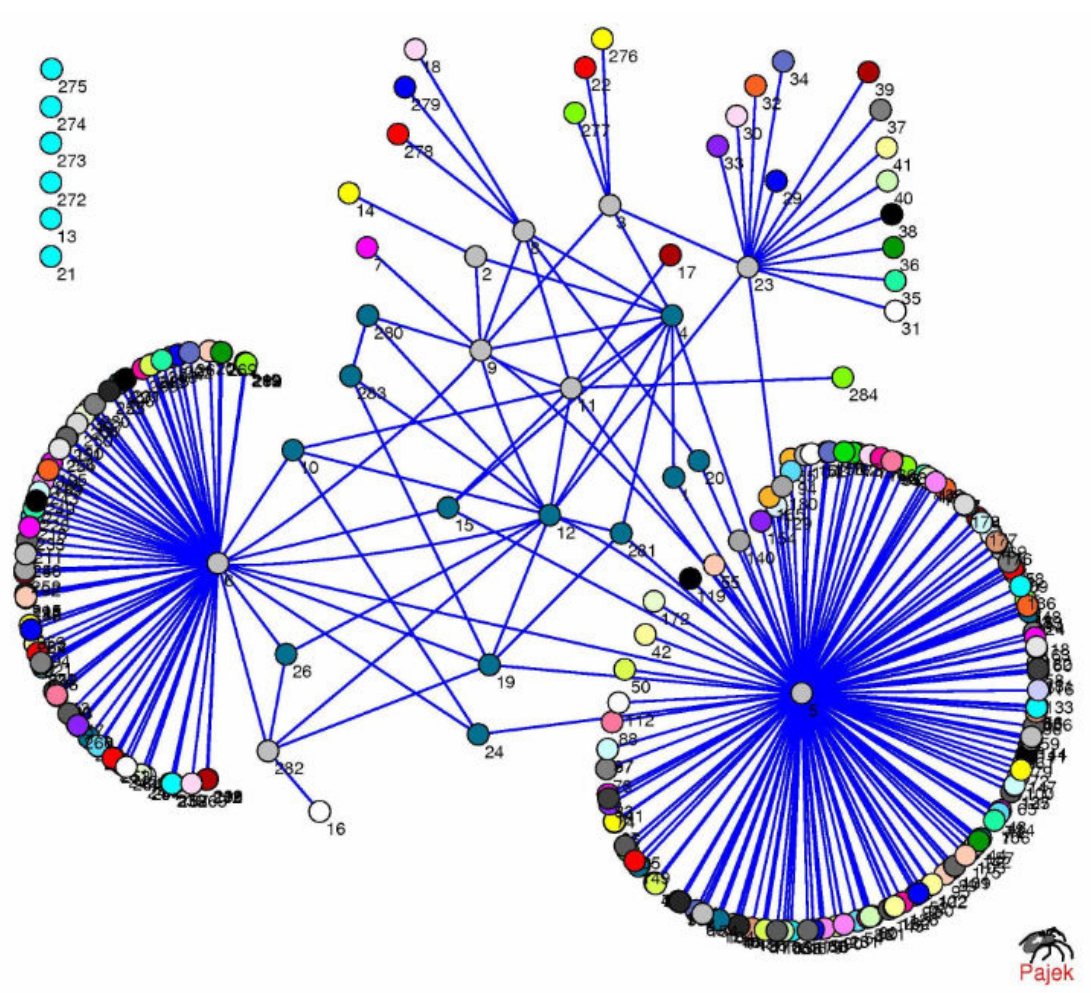


Figure 6.13 Tourism organisations - Cut Vertices (Brokers).

Key
 ● = Cut Vertices

By taking the organisations with the higher number of degrees (3 or more in this instance) in the sociogram for Tourism organisations by degree, and the second sociogram showing the brokers it was possible to draw up an *initial* list of organisations for consideration as regulatory and primary activity organisations. For

Tourism the list would be:

Sociogram by Degree:	Brokers Sociogram:
Sealife Centre	Yorkshire Tourist Board
Corrigan's Arcades	Scarborough Borough Council, Tourism and Leisure
Filey Hospitality Association	Scarborough Hospitality Association
Filey Tourism Executive	Whitby Hospitality Association
Whitby & District Tourism Assoc	Whitby Tourism Executive
British Resort and Destination Assoc	Confotel
Crown Spa Hotel	Crown Spa Hotel
Confotel	Sealife Centre
Scarborough Forum for Tourism	Corrigan's Arcades
Yorkshire Tourist Board	
Scarborough Borough Council, Tourism & Leisure Dept	
Moors & Coast Area Tourism	
Partnership	
Cllr D Jeffels	
Whitby Hospitality Assoc	
Scarborough Hospitality Association	
Whitby Tourism Executive	
Borough Tourism Working Group	
Visit Britain	
Scarborough Tourism Executive	

Table 6.4 Initial list of regulatory Tourism organisations.

Again as with Culture, looking at the lists above it is evident that some are primary activity organisations and caution must be exercised as a high Number of Degree might indicate a very well connected primary activity organisation and a position of being a broker might be symptomatic of a problem of disconnectedness. It is important therefore that this initial list is used in conjunction with the interview data

and the visual inspection of the sociograms to identify the meta-systemic organisations.

Therefore considering the sociograms and case study data from observations and interviews it could be regarded that for Tourism at this level of recursion the Meta System Organisations are:

- Scarborough Forum for Tourism
- Yorkshire Tourist Board
- Scarborough Borough Council, Tourism & Leisure Dept
- Moors & Coast Area Tourism Partnership
- Borough Tourism Working Group

and the following organisations could be said to be local management organisations at this level of recursion:

- Confotel
- Scarborough Hospitality Association
- Scarborough Tourism Executive
- Whitby Hospitality Association
- Whitby Tourism Executive
- Whitby & District Tourism Assoc
- Filey Hospitality Association
- Filey Tourism Executive
- Attractions Group
- Scarborough Conference Bureau
- South Bay Traders

The following actors are considered to operate at the next level of recursion and not the system in focus for this study:

- Cllr D Jeffels
- Visit Britain
- British Resort and Destination Assoc

The remaining organisations were considered to be primary activity organisations at this level of recursion.

Again to reiterate the point in the Culture section, although the extrapolation of brokers and well connected organisations from the sociogram did provide a useful starting place for identification of primary and non primary activities, the hypothesis still requires further investigation and testing before verification can be absolute. However despite this caveat the sociogram was helpful as an initial starting point to identify potential meta-system organisations.

The organisations identified as belonging to the meta-system have been assigned roles as below according to data collected from interviews, observations and documentary evidence:

System 5

- *Yorkshire Tourist Board (YTB)* – is involved in maintaining the current tourism policy and vision from a regional perspective.
- *Scarborough Forum for Tourism (Scar F4T)* – assists in the preservation of identity providing access to a group forum where issues of policy and vision can be discussed.

- *Moors & Coast Area Tourism Partnership (M&C ATP)* where they share staff with *Scarborough Borough Council (SBC)* – are involved in maintaining policy and vision as espoused in their strategies and make decisions on strategic development projects.

System 4

- *Yorkshire Tourist Board (YTB)* – conducts research and collects data such as accommodation occupancy data.
- *Scarborough Forum for Tourism (Scar F4T)* – provides an arena that allows ideas to be raised by individuals operating in the Tourism sector and also collects feedback from the environment such as operating difficulties and potential opportunities. It also provides a mechanism to build an ‘inside and now’ view to give a self awareness perspective.
- *Moors & Coast Area Tourism Partnership (M&C ATP)* where they share staff with *Scarborough Borough Council (SBC)* – are involved in planning and constructing strategies. They also intermittently collect data using customer surveys.

System 3

- *Moors & Coast Area Tourism Partnership (M&C ATP)* – produce accommodation and holiday guides and give business support to businesses.

- *Scarborough Borough Council (SBC)* – are involved in managing the Tourist Information Centres (TIC), manage tourism environments and attractions such as parks and gardens and beach supervision. SBC also monitor and assess accommodation quality and deal with licensing .
- *Borough Tourism Working Group (BTWG)* – monitor operational processes and attainment of targets set for the sector.

This stage of the Framework has now identified the different system identities operating in the policy arena, the primary activity organisations (System1) and the Meta System organisations for the construction of diagnostic VSMs which can be found in the next chapter.

The following chapter now focuses on Analysis and diagnosis.

7 Application of the Methodological Framework: Analysis – Diagnosis of the Policy Arena

7.1 Analysis

7.1.1 Diagnosis

7.1.1.1 *Culture*

Having constructed the VSM and sociograms for the Culture sector of the Borough of Scarborough they were then used, along with interview data, to diagnose problems and breakdowns in communication that were occurring in the sector. The VSM for Culture is shown next and then various sociograms follow.

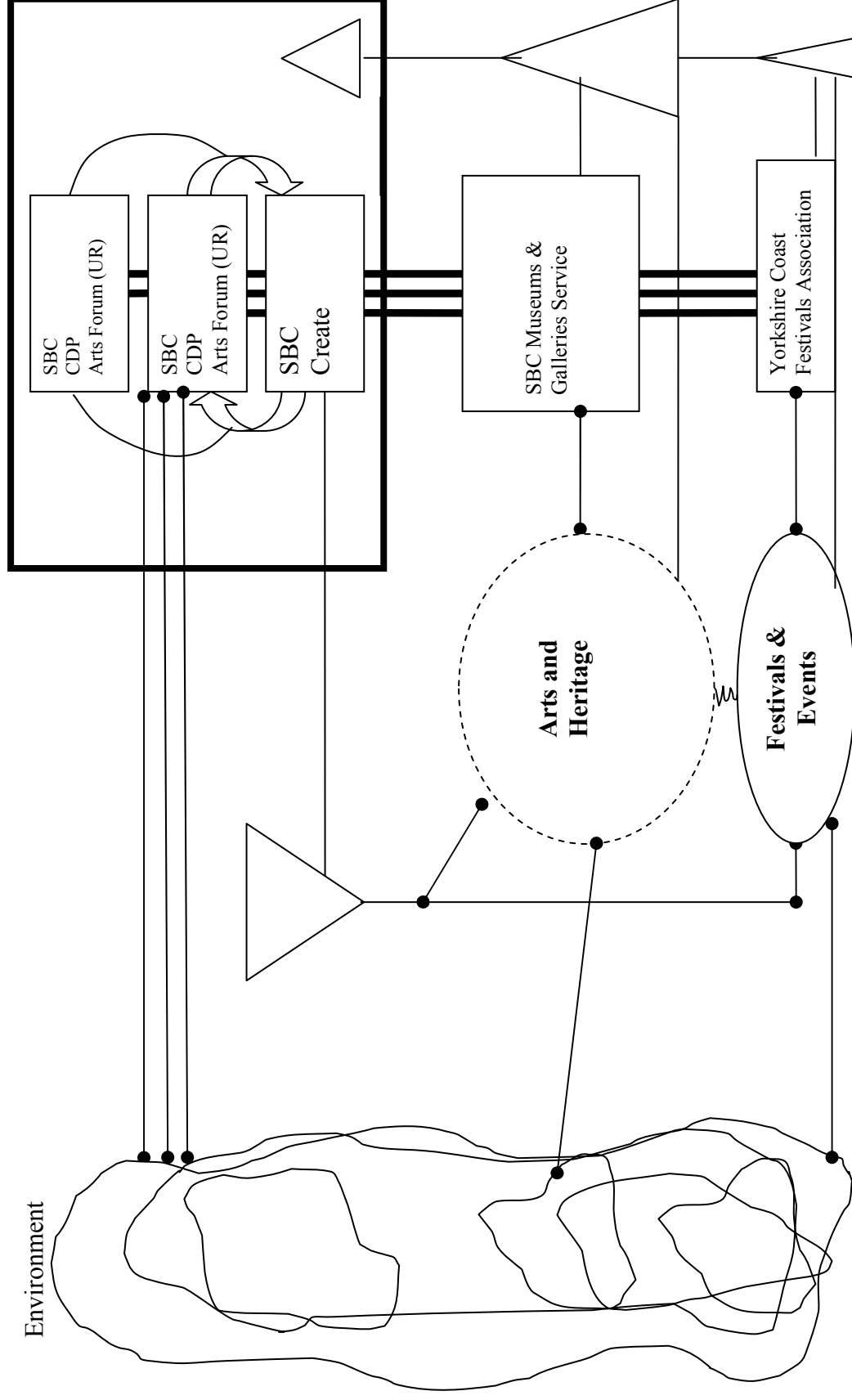


Figure 7.1 VSM Recursion 1 for Culture.

7.1.1.1.1 Breakdowns in collaboration and coordination.

Respondents reported instances of duplication of programming of events, with both the Futurist and Spa theatres putting on a ballet in the same week (R12). The lack of joint ticketing was cited as issue (R2) and although there was recognition of the potential for a cross over audience for arts and heritage products (R11) there were not the structures in place to facilitate this.

Many respondents admitted that they were aware of the potential benefits that could be gained through more collaborative working:

'I would like to work with other galleries.' (P1)

'We need to work more closely with other organisations in the area.' (R2)

'All arts and cultural organisations should work together more.'
(R17)

'We need more awareness of the benefits of collaboration. We need to breakdown barriers.' (R17)

'The Festival group is really good. It's important for the NSDF to be involved in a festival network.' (R16)

However they also recognised difficulties:

'The heritage sector is not joined up.' (R7)

'We don't talk to other local cultural organisations at the site level that is done at regional and national level.' (R10)

'I find it difficult to work with... the SJT - but I do. It could be so much better.' (R16)

Scarborough and Whitby Cultural Network

Yorkshire Culture

North Yorkshire Cultural Officers Grp

North Yorkshire Culture

Dept of Culture Media and Sport





North York Moors Railway

St Martin's-on-the-Hill Church

The Wave Gallery RHB

Spa Theatre

Pajek

Key			
	Arts Organisations		Heritage Organisations
	Festivals and Events		Mixed Cultural Type Organisations

The first observation when considering the problems of fragmentation, lack of collaboration and duplication for Culture was that there was a greater viability within System 1 for Festivals and Events than for the other cultural organisations for arts and heritage. However, this only became apparent when considering the sociogram for Culture (see previous figure). Although there were organisations in the local management boxes in the VSM for both Arts & Heritage and Festivals & Events, this did not depict fully the actual relational ties or the full extent of the fragmentation of the Arts & Heritage organisations. The VSM was useful in showing that there was some local management which is necessary for viability along with adequate autonomy of System 1. The sociogram did not show the management mechanisms, variety management and viability considerations, but did illustrate the connectivity of the festivals sector and the fragmentary nature and less connected remainder of the cultural sector. Together the VSM and sociogram were complementary and both brought an added dimension to the analysis and diagnosis of the cultural system.

The sociogram did not make environmental distinctions between those organisations considered internal to the Cultural System and those who formed part of the environment. The VSM did allow for this distinction and therefore allowed for depiction of channels which connected with the environment and therefore the investigation of the effectiveness of such channels. The VSM also permitted the dissection of layers of the system and consideration of levels of recursion. This is particularly important in consideration of policy implementation where the systems contain organisations that have to compete with one another at one level (for example theatres competing for audiences) but cooperate at another level to

experience the economic externalities of belonging to a system that must compete with other systems (for example destinations competing for visitors). The sociogram did not allow for discrimination of levels of systemic activity. It is constructed on one plane and cannot depict the recursivity of a system.

The sociogram was however useful for exploration of relational ties and connectivity of organisations, including density of connections not only for individual organisations but also the network as a whole. Fragmentation and collaborative ties could be explored more easily using the sociogram, and structural holes and disconnected sections of the system were more visually apparent. By using both the VSM and the Social Network Analysis a deeper picture was obtained with various differing aspects of the system made visible for investigation.

The Festival & Events sector exhibited a greater potential for viability due to the Yorkshire Coast Festival Association that has been established since 2004 and provided local management for 70 individual festival organisations in the Borough of Scarborough. When local management, and autonomy and an effective meta-system are all present this can bring greater potential for viability. This was not the case for all of the remaining cultural organisations in the Borough. There was no local management at this recursion level for arts organisations and the only heritage organisations with local management were the Scarborough Council operated museums and gallery.

This suggested possible fragmentation and a lack of systemic cohesion for these organisations with scarce local management and disconnection from the important functions provided by a meta-system. However when the sociogram for culture was

considered it could be seen that some of the primary activity arts organisations, for example Crescent Arts Gallery and the Stephen Joseph Theatre, are connected to the regulatory organisation Scarborough Borough Council (Arts Development) that operates meta-systemically. Additionally Scarborough Castle and Whitby Abbey were connected through English Heritage but at a regional level and were not empowered to act locally, with budgets also being held regionally (R10).

Nonetheless this was very haphazard, incomplete and of course amplified the variety to be managed by the regulatory organisations because each primary organisation brought with it its own variety which had to be absorbed by the regulatory organisation operating meta-systemically. In an ideal situation the local management would absorb some of the horizontal variety thereby only passing on the residual variety to the regulatory organisation.

Some organisations such as St Martin's Church in Scarborough, the Wave Gallery in Robin Hoods Bay and the Futurist Theatre had no such connections either to the meta-system or indeed other system 1 organisations in the system. This implied that variety was not being effectively managed, synergies were being lost and cohesiveness and system viability were at risk.

Consideration of the sociogram showing Cultural organisations by degree also highlighted the lack of connections between the different types of cultural organisations - heritage organisations, arts organisations and festivals and events organisations. As can be seen from this sociogram the heritage organisations were loosely grouped towards the top right of the diagram and only connected to the rest of the sector through Create, the Stephen Joseph Theatre (which was a one off

production by the Theatre's children's group to promote the redevelopment of the Rotunda) and the Dinosaur Coast Project's involvement with the Yorkshire Coast Festival Association. Similarly the individual arts organisations were disconnected from each other and only had some ties through SBC Arts Development Department and individual artists through Create. The Festival & Events sector were also mainly disconnected from the other cultural organisations except for linking into Create and SBC Arts Development Department.

This not only had an effect on the viability of each individual organisation with the loss of potential synergies, it also influenced the effective implementation of a policy to build a cultural tourist destination. Lack of cohesion and a cultural identity will need to be addressed in order to implement such a development.

It can be seen from this analysis that the problems reported by the Respondents above stemmed from the lack of local management and the subsequent non or inappropriate connections to the meta system and ensuing ineffective variety management, bringing a general fragmentation and disconnectedness between individual organisations. It will be necessary to create local management functions in some form for all of the cultural organisations which had none, taking into consideration their identity issues as discussed in the previous section. This will then allow appropriate connections to the meta-system, improved variety management and provide a means to encourage more collaboration, connectedness and coordination.

The coordination problems were also indicative of the lack of or ineffective System 2 channels whereby coordination of System 1 activities was poor or non-existent. As

previously mentioned this lack of coordination had led to two venues both programming ballets during the same week (R12). Respondent R2 stated that there was an overall lack of coordination within the cultural sector and some organisations were unwilling to communicate and coordinate their activities (R12).

Again ineffective channels linking the primary activities to the meta-systemic regulatory organisations were having an adverse effect on the efficient coordination of a holistic Culture system. To alleviate these problems, efficient System 2 channels will have to be developed to attenuate some of the variety occurring horizontally. This could include anti-clash diaries for venues to coordinate events, better coordinated event listings whereby organisations can see what others are doing and take part in joint-initiatives, regular networking events for organisations to meet up and discuss future plans again to allow for joint initiatives and promote awareness of other actors activities within the system.

Distribution and sharing of information was not being effectively managed through out the system. Some of the cultural organisations had connections to prestigious national organisations (see sociogram). The Rotunda Museum had links with the National History Museum and London Transport Museum and the Stephen Joseph Theatre had a national and international reputation as a quality theatre with the associated prestige and contacts. However, little local benefit other than to the individual organisations themselves was gained by other organisations in the culture system. Effective functioning of the cohesive mechanisms of Systems 1, 2 and 3 would help to distribute the benefits of national links to the cultural organisations operating in the local culture sector. This could involve passing on best practice from national organisations, sharing sector performance figures so that

benchmarking can take place or passing on valuable networking contacts. This again means developing a fully functioning meta-system.

7.1.1.1.2 Breakdown between organisations and their operating environment.

There appeared to be three main problems associated with the System 1

environmental loops for Culture. Respondents reported the duplication of event and product information, poor or no data collection from the environment and incorrect portrayal of identity into the operating environment.

Respondent R2 stated that there was duplication in terms of the general provision of information including websites and that a collective decision must be made on how to correct this, maybe with a centralised first point of contact for the customer. Also respondent R2 added that this may not be quite that simple as it depends on where the customer believes they are visiting. For example when visiting Robin Hoods Bay they will be in the National Park, the Borough of Scarborough and the Yorkshire Coast area of the Moors and Coast ATP. With which organisation would they start their search for information? This problem is related to the transmission of identity into the environment which respondent R17 also believed was a problem for the local museum, 'There is ignorance on behalf of locals on what the Rotunda is doing and what it will have.' A cultural magazine or leaflet is recommended by respondent R5.

Respondent P2 stated that although there was duplication of information provision, there were still gaps in the marketing of cultural products in terms of targeting and packaging products. This was related to the poor data collection from the

environment that hindered the decision making around marketing. When data was collected regarding customers this was not shared amongst cultural organisations despite the potential cross over audiences. Although this could have been due to data protection issues, there could still have been low level generalised information that could be shared.

However there were some organisations that didn't collect any customer information. The Futurist theatre did not even have a computerised box office system due to the uncertainty of the length of lease that the council would allow each year. This uncertainty discouraged investment in the current building and equipment (R12).

These issues of duplication of information, poor data collection and identity portrayal are symptomatic of problems with the environmental loop and indicate that either the feedback loop was non-existent or not operating effectively. To alleviate these problems it will be necessary to implement a more robust data collection channel, along with suitable variety amplifiers and attenuators, that can provide information to the System 1s on the state of their operating environments. This would provide more data to inform marketing and cultural product development.

With regard to identity, consideration will have to be given to transduction and channel capacity on the environmental loop. The problem experienced by the Rotunda Museum could be such an issue. Investigations will have to be made into how to increase capacity to reach more potential customers and improve transduction of information to include those not normally cultural consumers. If they wish to widen the demographic of their audience to include those that are not already customers of cultural products, they will have to investigate the transduction of

marketing information aimed at these potential visitors who will not have the language to access normal cultural marketing.

The environmental loop and therefore duplication of information provision could be improved by developing the local management as discussed in the previous section. This would allow a more cohesive approach through the meta-system channels to attenuate the confusing proliferation of variety on the environmental loop and the issue of duplication.

7.1.1.1.3 Issues of Control

Respondent P2 recognised that there was no control of the cultural sector in the Borough, 'There is incomplete and ineffective control'. Concerns are also raised with regard to decisions being made for the cultural sector where there was no remit.

Looking at the VSM diagram in Figure 8.0 there were two organisations that operated within the meta-system in a System 3 role. These were Create (a local arts and culture development agency) and Scarborough Borough Council. However in reality this was only 2.5 people - Create had one full time and one part time development worker and the Council also had only one full time arts and culture officer. This appeared to be inadequate for the size of the cultural sector in a Borough which stretches from Filey in the south to Whitby in the north and in which hundreds of individual practitioners and many cultural organisations operate. In fact the Council had only employed a full time arts officer since 2003 and Create had only been in existence since 2000.

It seemed optimistic to assume that this level of resources was going to be sufficient

to provide an adequate System 3 function for a cultural sector system let alone for the proposed cultural tourism system. As arts and culture was not a statutory service and therefore not a compulsory requirement for the Council to provide, there was no obligation on their part to actually supply this service. (This was also the case for tourism.)

This unsatisfactory provision of resources could be one explanation toward the lack of coordination and any functioning System 2, and also the inadequate monitoring and non existent System 3*.

The System 3 activities were undertaken in a very ad hoc and informal way. Create received a very small amount of funding from SBC to support development work and although there was an overarching Council Arts Strategy, there was no agreement or detailed plan regarding activities within the culture sector.

‘Council and Urban Renaissance have stated cultural objectives but they don't say how they are going to fulfil these’. (Respondent No.1).

Overall there was no coherent organisation of meta-system functions and with the same organisations having to operate as Systems 3, 4 and 5 there was no clear separation of responsibilities or consideration of recursions. This meant that there was a confusion and haziness regarding roles and therefore no robust Central Command or Resource Bargaining Channel.

7.1.1.1.4 Development of the Culture Sector

Respondent No.16 commented that there needs to be more cultural product

development, and although participants in both the Creative Driver Partnership and the Arts and Culture Forum were able to put forward ideas there was not the adequate structure or resources available to always take these ideas forward and develop them further.

As with System 3, System 4 was operating in a very informal manner, hindering the development of the sector. A poorly functioning 3/4 homeostat also meant many ideas fell by the wayside exacerbated by a poorly resourced System 3.

Scarborough Borough Council, The Arts and Culture Forum and Creative Driver Partnership undertook some System 4 responsibilities but again this was not formally articulated in any way. The Arts and Culture Forum was one of the Urban Renaissance action groups and met once a month. It was an open public meeting where anyone could come along and participate. The Creative Driver Partnership again met monthly but was a 'closed' meeting in that the members were professionals from organisations operating in the cultural sector and had to be invited to take part.

As mentioned in the System 3 section, the lack of coherent meta-systemic functions was also affecting operations in System 4. The same organisations were operating as Systems 3, 4 and 5 with no clear separation adding to problems with the Central Command and Resource Bargaining Channel. All of the organisations acting in a regulatory role, that was Scarborough Borough Council, the Creative Driver Partnership, the Arts and Culture Forum and Create had no formalised agreements on how their activities, roles and responsibilities interconnect. Although each organisation had its own objectives and targets there was no consideration of how

these fit within the holistic view of the Culture System. There was no distinction made in roles with regard to developing identity, strategy, marketing or day to day coordination of the system. Organisational operations were carried out with an awareness of others in the system but not within the framework of variety management or regulatory necessities.

This lack of vertical variety management also meant that System 4 did not have a fully informed appreciation of System 1 requirements. For example the Council owned but privately run Futurist Theatre had its lease renewed on an annual basis, due to indecision on how to develop the site, which left little capacity for long term planning. As a result the theatre had not enjoyed the investment it required in terms of a new heating system and computerised box office and missed out on programming the large touring shows that require a long lead time to organise (Respondent 12). The lack of a computerised box office again had implications for the environmental loop and development of marketing opportunities. The general fragmentation of the Culture System meant that information was not received from all organisations in the system and therefore System 4 did not have full self awareness of the system as a whole. Without these connections in place System 4 was not fully functioning and viability was compromised.

7.1.1.1.5 Poor intelligence for marketing and product development

Respondent P2 stated that there was only poor intelligence available on which to base decisions and sometimes decisions were made in haste before any information had been collected. There was often no informed vision of market position or

product offering. This is indicative of an ineffective System 4 environmental loop.

Any data gathered in the cultural sector tended only to be done by individual organisations and none of this was shared amongst other cultural organisations in the Borough. For example the Stephen Joseph Theatre had an extensive database of customers and Scarborough Borough Council had the results of audience surveys completed by local festivals as part of their funding requirements. Although some of this data would be covered by the Data Protection Act and not available for general use, some data analysis could have been carried out and aggregated data made available. However this was not done and therefore general industry data was unobtainable for many local cultural organisations. This low variety situation caused by a lack of useful data meant that informed decisions could not be made with confidence and system viability could be compromised by inappropriate actions.

Respondent R16 maintained that there needed to be more cultural product development and respondent P2 concurred, but without the existence of an effective System 4 environmental loop to provide data on which to base any development this was always going to be problematic and potentially flawed. Again this was not conducive to successful implementation of a policy to introduce more culturally focussed tourism.

In addition there was no consideration of potential futures or scenario planning for any possible future situations. The 'Outside and Then' considerations of System 4 were not being met. This not only had an effect on the current viability of the system but also will impact on the system's ability to function in the future.

7.1.1.1.6 Poor system identity

There was no coherent system identity for culture or appreciation of shared goals (P2). As discussed in the previous section on Identity many of the individual organisations operated within their own individual purposes and did not see themselves as belonging to an overall system and System 5 again was operating in a very informal way. As with System 3 and 4 Scarborough Borough Council, The Arts and Culture Forum and Creative Driver Partnership undertook some System 5 responsibilities but again this was not formally expressed in terms of functions and roles.

The lack of a fully functioning meta system meant that many had not seen the benefits of a cohesive, coordinated system where collaboration and realisation of synergies would be beneficial not only for their business but for the cultural sector as a whole.

A lack of coherent identity had meant that no system identity had been projected into the environment and the Borough could be viewed as not having any significant cultural value. Although there were many individual cultural organisations, they had not collaborated to produce a critical mass and holistic whole whereby they could project a vision of cultural significance in the area, thus creating a cultural tourist destination.

7.1.1.1.7 Accountability and cohesion of activities.

Many of the breakdowns in the Culture system arose from the lack of effective mechanisms and organisation of the meta-system. Without these mechanisms there was also necessarily no effective Central Command Channel or Resource Bargaining

Channel. Breakdowns had become apparent and had manifested as a lack of sharing of information, little accountability to the systemic whole, no planning and no coherence of activities.

Inadequate variety absorption on the vertical channels meant that there was profligating variety within the system with little of the residual variety from System 1s being dealt with by the ineffective meta system.

7.1.1.1.8 Power

To get a more complete picture of the Culture system, issues of power must be examined. By just considering the VSM it was not immediately apparent where there maybe concerns regarding imbalances of power in the system. However examining the network analysis and sociograms of the system, as explained in the Conceptual Framework chapter, may offer useful insights for assessment of power imbalances, and highlight possible areas where inappropriate power imbalances may be occurring or where future care must be taken when designing variety amplifiers and attenuators. The sources of power highlighted by inspection of sociograms are those which show power emanating from positions in a network as a densely connected organisation or as a broker or structural bridge or because of the prestige of connections to important or influential organisations.

In the case of the system for culture the following sociograms were examined.

- Core Cultural Organisations.
- Cultural Organisations – Cut Vertices (Brokers).
- Cultural Organisations by Degree.

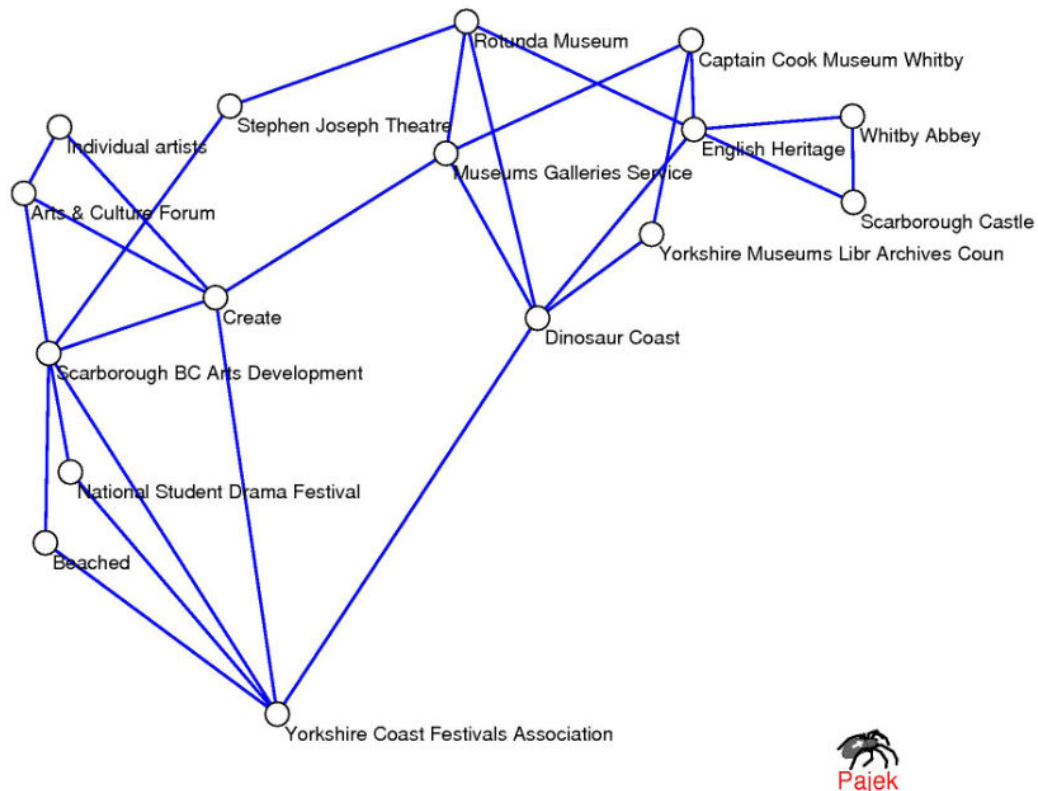


Figure 7.3 Core Cultural organisations.

The sociogram here illustrates those organisations that formed a cluster and were most densely connected within the network. By taking the organisations highlighted by the network analysis and the interview data it was possible to investigate the power issues coming into play and the source of the said organisations' power.

Power for these organisations may well have been gained as a function of how many relational ties they had and how 'well connected' they were (positional power).

Looking at a further sociogram of Cultural Organisations by Degree (following) it could be inferred that the Yorkshire Coast Festivals Association (YCFA) had a powerful position just by virtue of the high number of festival organisers that it was connected to. In fact this was borne out when the Moors & Coast Area Tourism Partnership (M&CATP) wanted to produce a promotional festivals booklet for the area. The M&CATP asked the YCFA for contact details of Yorkshire Coast festival


organisers so that they could approach them to sell a listing in the booklet. The YCFA however declined because they believed that the M&CATP were only looking to raise revenue; in previous years the Local Authority had printed festival booklets free of charge. Also the YCFA had not been consulted as to the design and branding of the new booklet and felt as if it was being imposed on organisers.

The YCFA example also illustrates power gained by an organisation being in an information brokerage position. By just using the VSM it was not possible to ascertain where brokerage was coming into play within a system. Using network analysis and sociograms can highlight where brokerage may be an issue. The figure below highlights those organisations in the Culture system which could have been considered as brokers (Cut Vertices). These are:

- Futurist Theatre
- Museum and Galleries Trust
- Create Arts Development Ltd
- Dinosaur Coast
- Captain Cook Museum, Whitby
- Rotunda Museum, Scarborough
- Scarborough Borough Council, Arts Development
- Yorkshire Coast Festival Association

Brokers (or Cut Vertices) in the sociogram are important in that if they were to be removed (or they decided to be uncooperative) it would cause structural holes and break the network into small unconnected parts. This would of course have consequences with regard to collaboration, the management of variety, the overall

[illegible]

Key  = Cut Vertices

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of the trustees attended various groups such as the Forum for Tourism, Whitby and District Hospitality Association, Scarborough Attractions Group and the Borough Tourism Working Group (see Tourism diagnosis section). The Rotunda Museum was another example of an attraction that had many connections but there was also the added benefit that these relationships were with prestigious national organisations such as the National History Museum and the London Transport Museum. By operating in such a way, these smaller organisations can obtain knowledge and contacts thereby attaining a more powerful position in the network.

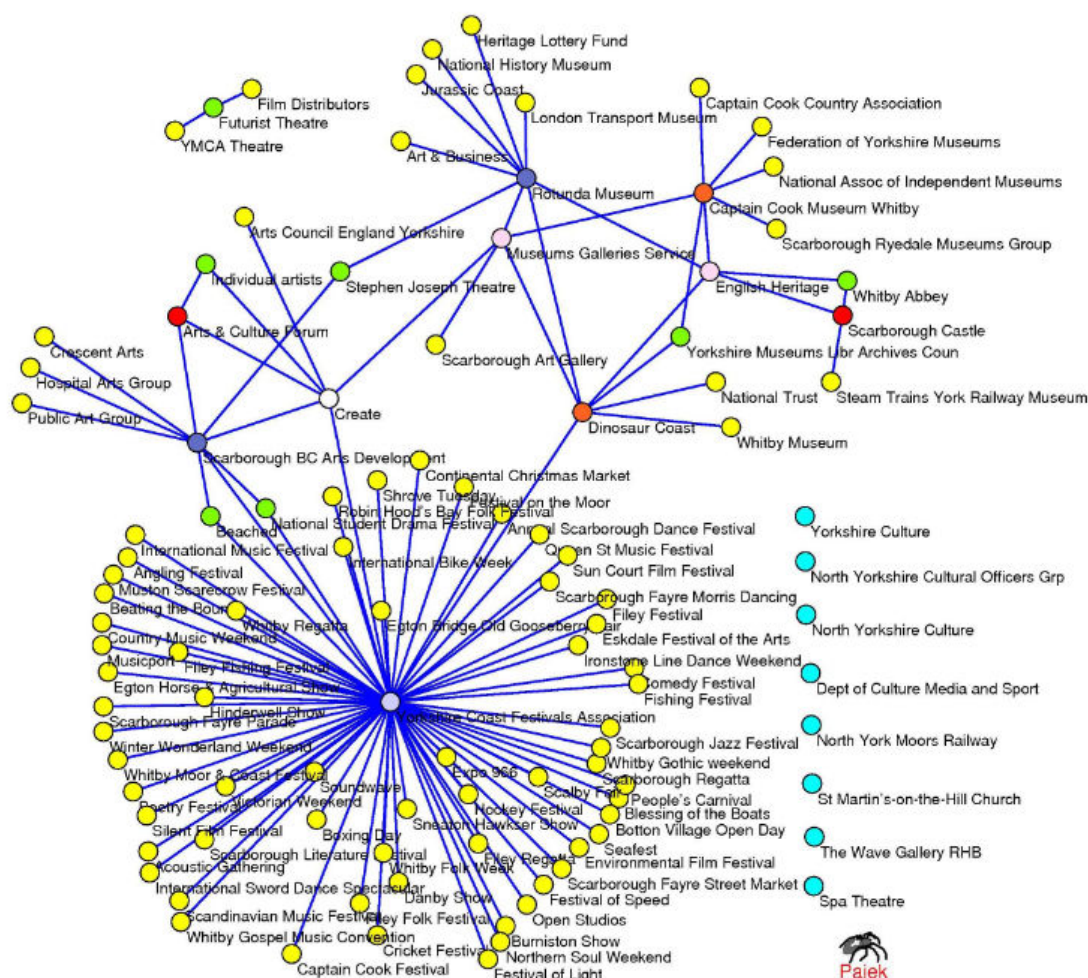












Figure 7.5 Cultural organisations by degree.

Key follows on the next page.

Key

	No. of Degrees = 0		No. of Degrees = 5
	No. of Degrees = 1		No. of Degrees = 6
	No. of Degrees = 2		No. of Degrees = 7
	No. of Degrees = 3		No. of Degrees = 9
	No. of Degrees = 4		No. of Degrees = 67

Some of the organisations highlighted as Core actors in the network gain their power as sources of funding and as regulatory organisations. By looking at the interview data these can be identified for the Culture system as Scarborough Borough Council (Arts Development), Create, the Arts & Culture Forum, the Scarborough Museums & Gallery Services (SBC) and English Heritage. Although these organisations all can be classed within this category their levels of power and influence vary. For example Scarborough Borough Council (Arts Development) is a department within the local authority and therefore had access to more funding opportunities and was more influential than say the Arts & Culture Forum which had only System 4 and 5 roles as part of an ineffective meta-system.

Prestige can be another source of power in a network. The Stephen Joseph Theatre was an organisation that had potential power because of its national reputation and the influential people it could call upon. Reputation is not discernable from these sociograms but by using interview data an organisation's standing and status can be ascertained.

7.1.1.1.9 Culture Summary

Analysis of the Culture system diagnosed that many of the problems of the sector stemmed from the lack of a fully functioning meta-system. This meant that many had not seen the benefits of a cohesive, coordinated system where collaboration and realisation of synergies would be beneficial not only for their business but for the cultural sector as a whole.

This lack of a effective meta system had of course repercussions not only for Systems 3, 4 and 5 but also in terms of many mechanisms in the system including coordination problems because of the lack of effective System 2 channels meaning coordination of System 1 activities was poor or non-existent, inadequate variety absorption on the vertical channels with little of the residual variety from System 1s being dealt with and ineffective functioning of the cohesive mechanisms of Systems 1, 2 and 3.

Overall there was no coherent organisation of meta-system functions and with the same organisations having to operate as Systems 3, 4 and 5 there was no clear separation of responsibilities or consideration of recursions. This meant that there was a confusion and haziness regarding roles and therefore no robust Central Command or Resource Bargaining Channel. Under-resourcing appeared to play a major factor in the poor functioning of the meta-system.

Missing Local Management was also an issue for Arts and Heritage organisations which meant poor links to any existing meta-system.

In addition environmental loops were a major issue with very little data collection

and analysis being carried out to inform marketing and product development.

Power in the Culture system appeared to come from several sources including organisations with a high number of relational ties, in particular prestigious contacts, and organisations having a funding and regulatory function. Organisations in brokerage roles also appeared to have positional power over information distribution.

In summary therefore, to provide the means for more successful policy implementation, it will be necessary to create an effective and fully functioning meta system and local management functions in some form for all of the cultural organisations which had none, taking into consideration their identity issues and positions of power. This will then allow appropriate connections to the new meta-system, improved variety management and provide a means to encourage more collaboration, connectedness and coordination. Environment channels will also need to be redesigned to improve data collection and analysis for research and development.

The desire of Scarborough Borough Council to implement a policy to develop more cultural products in the Borough will require the design of a system that not only takes into consideration the problems of the Culture System, but also those of the Tourism System. The following section will look at diagnosing the problems apparent in the Tourism System after which consideration will be given to designing a system (Cultural Tourism System) that will provide the structural conditions by which collaboration can flourish with a fully functioning meta-system providing regulatory mechanisms to promote systemic cohesion and thereby aid implementation of the desired policy.

7.1.1.2 *Tourism*

Moving on from Culture to the second system identified in the policy arena, that of Tourism, problems and breakdowns in communication that were occurring in the sector will be diagnosed using the VSM and sociograms that have been constructed, along with interview data.

The VSM for Tourism is shown next and sociograms follow after.

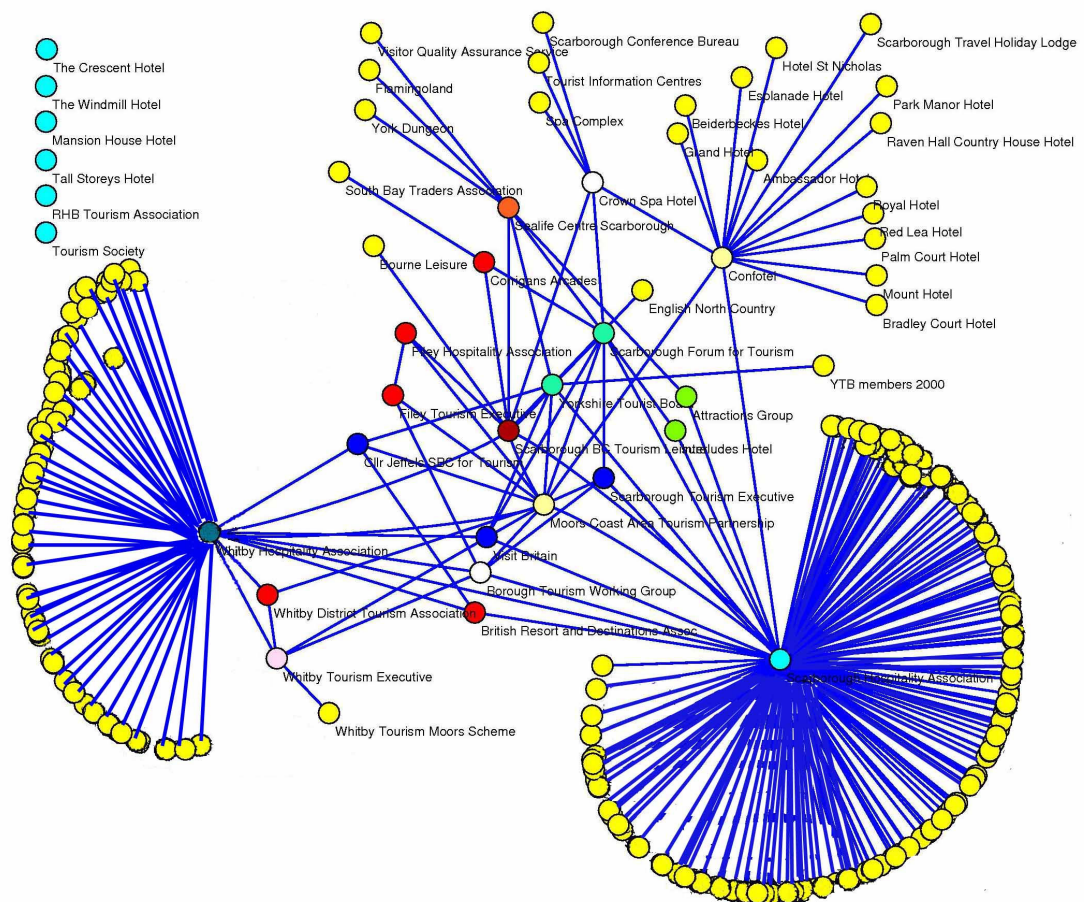


Figure 7.7 All Tourism organisations by degree.

Key

	No. of Degrees = 0		No. of Degrees = 7
	No. of Degrees = 1		No. of Degrees = 10
	No. of Degrees = 2		No. of Degrees = 14
	No. of Degrees = 3		No. of Degrees = 16
	No. of Degrees = 4		No. of Degrees = 98
	No. of Degrees = 5		No. of Degrees = 160
	No. of Degrees = 6		

7.1.1.2.1 *Fragmentation and Breakdown in collaboration and coordination*

Initial examination of both the VSM for tourism and the sociogram for Tourism would appear to show that the Tourism system had more viability and was more connected than that for Culture. The VSM shows more organisations involved in local management and regulatory activities and also the presence of some System 2 and 3* mechanisms. The sociogram depicts a denser core with more connections and relational ties between organisations. However this does not mean that the connections and mechanisms were fully functioning or that the system was operating satisfactorily. In fact respondents reported that duplication and fragmentation were both major issues. In particular they reported that individual businesses did not see themselves as part of the destination as a whole.

'Small businesses feel isolated and in competition. They don't see themselves as part of the destination as a whole. They don't have an overview for example attracting people to Scarborough. There is a need to make people see themselves as part of the destination, not just individual businesses'. (R3)

'It's a major problem to get people to talk to each other and see others points of view, even within the Forum. We should be 'one Scarborough' but that's not what comes through'. (R6).

'We need to work more closely with other geological organisations in the area, the ATP, SBC, accommodation sector, transport and joint ticketing. As a region we need to value more the different smaller elements of the tourism offer for example surfing, mountain biking, geology – we need to give better support'. (R2)

'We need more openness and willingness to work together.' (R13)

There was evidence of geographic fragmentation between the resorts of the Borough:

'I would like to see the Robin Hood's Bay and Filey groups get more involved because they are all small resorts and it can get quite fragmented. It makes more sense to come into the Borough.' (R15)

'Whitby and Filey are not included in the Forum because Urban Renaissance is just Scarborough Town and it was thought that there was enough to deal with without including Filey and Whitby. But I think the Forum would be stronger with them.' (R6)

Fragmentation was also apparent between the System 1s with the Attractions sector being isolated from Accommodation and Business Tourism but also experiencing fragmentation within itself:

'We are still trying to build up the working relationship with the Attractions Group.' (R13)

'Attendance at the Attractions Group is falling.' (R9)

As a more developed or 'mature' system than that for Culture, it would be expected that there would be more connectivity and regulatory organisations and therefore less fragmentation within Tourism. However it appears that duplication had become a problem during the development of the Tourism sector in the Borough. Although this cannot be readily seen by examination of the sociogram, when considering the VSM it is found that the presence of multiple organisations in the boxes could indicate duplication. For the Tourism system therefore it would appear that duplication was a problem not only within the meta-system, but also in Local Management, especially in the Accommodation sector with a small collection of organisations all involved in Local Management. It can be argued that this duplication in itself could be a cause of fragmentation with no clear structural arrangements bringing confusion and partition amongst rival groups.

This appears to be the case in the Borough Tourism system. In particular in Whitby there were two groups with very similar purposes one was the Whitby and District

Hospitality Association (W&DHA) and the other was Whitby and District Tourism Association (W&DTA). Both were organisations that represented small local business in the Whitby area. Originally there was only the Whitby and District Hospitality Association but a splinter group formed following personality clashes and the Whitby and District Tourism Association was formed (R15). This duplication has meant that not only were resources wasted but the viability of the system was compromised because of the profligating variety on the Operations/Management Channel.

Within Business Tourism again there was some duplication with both Scarborough Conference Bureau and Confotel acting in the role of Local Management. As Respondent 8 reports:

‘The creation of the Scarborough Conference Bureau effectively made Confotel obsolete.’

The two organisations working in the Local Management role acted to confuse roles and responsibilities and as mentioned previously resources were wasted and variety was not balanced.

As regards Traditional Seaside Attractions there were two organisations operating in Local Management roles, however both represented different types of organisation. South Bay Traders represented those operating within the South Bay only, which were mainly retail businesses along the Foreshore Road such as gift shops and food outlets. The other was the Attractions Group which aimed to represent all attractions within the Borough. The group was started in an informal manner and suffered from a lack of resources both in terms of finance and staff time. It also lacked

formalisation regarding structural arrangements with other organisations such as the Forum for Tourism and Scarborough Borough Council. There were no formalised reporting or communication channels. The attractions group experienced a drop in attendance at the monthly meetings and appeared not to be fulfilling a fully functioning Local Management role.

‘There is the Attractions Group but it is not working well at the moment and attendance is falling’. (R9)

The dominance of the accommodation sector at this level of recursion could also have been a factor in the fragmentation being experienced. As can be seen from the sociogram there are large clusters around the Scarborough Hospitality Association and Whitby Hospitality Association made up of the accommodation provider members from each town. In addition all of the private sector members on the Moors & Coast Area Tourism Partnership Board were from the Accommodation sector. These associations with their large number of members and with representatives in high profile roles were able to exert influence upon the Tourism system. Respondent P2 recognised this dominance and argued for more product focused policy:

‘Tourism policy is made on the whim of the accommodation sector (they are not the product they are not the reason people come here – they are only an ancillary service.’

More connectivity and better communication channels between the Accommodation System 1 and the Attractions System 1 through System 2 and the Operational Channel mechanisms would be a way to ‘balance’ the system by allowing more input from Attractions. The design of these mechanisms along with System 3 and System

3* would provide a cohesion function for the system as a whole, thereby mitigating the fragmentation problems and increasing system viability.

In summary therefore fragmentation and lack of collaboration appears to have origins in the duplication of Local Management organisations and lack of the cohesion mechanisms of System 2, System 3 and System 3*. This has all meant that problems were apparent that had impacts on control, communication and joint working necessary as a basis for successful policy implementation.

7.1.1.2.2 Breakdown between organisations and their operating environments

7.1.1.2.2.1 Lack of data for decision-making

Various respondents reported that there was a lack of data to inform decision-making. One hotel owner was very aware of the benefits of collecting data such as customer contact details, customer profiles and customer preferences. However they said that they were in the minority and that even when data was collected by some hotels there was a reluctance to share information:

'A lot of accommodation providers don't know where their business comes from and don't have databases. People won't divulge financial information. YTB estimate turnover from occupancy. We need robust data which can be kept confidential.' (R3)

'We need to encourage individual businesses to keep being involved e.g. use the call centre to get data of their bookings. Some businesses don't get involved.' (R13)

'Hotels are not open to sharing information.' (R5)

'There is not enough sharing of information ... the information is not being brought together... ' (R6)

This attitude appeared to be prevalent within the industry with even the Yorkshire Tourist Board having difficulty obtaining occupancy data from accommodation providers. Their sample sizes were extremely small and this therefore affected the reliability and credibility of their survey results (R7; R21; R22). This lack of robust data obviously made any decision making very difficult and prone to errors. In fact Respondent P2 observed that:

'Decisions are often made with poor intelligence for example on tourism marketing. There are no indications of tourists' perceptions nor any informed vision of market position or product offering and decisions are not delayed because of poor information.' (P2)

As this was clearly an issue involving connections with the operating environments of the tourist organisations, but by using the VSM, the environmental channels between the operations and their environments can be explored. This is not an option with the sociogram; there is no differentiation of an operating environment.

By using the VSM to diagnose this lack of data issue it was found that the problems were indicative of poorly functioning or non existent environmental channels for the System 1s at this level of recursion. Ineffective data collection was threatening the viability of the system and creating a low variety situation for decision-making.

These channels between the System1s and their operating environments will need to be redesigned to amplify the variety and enable a more valuable evaluation of environmental conditions and thereby improve the quality of operational decisions.

Redesign should include provision for more frequent, robust data collection and sharing of information with awareness of where collaboration will be necessary.

7.1.1.2.2.2 No forward planning or searching for opportunities

Respondents also reported a lack of future planning and consideration of possible forthcoming opportunities by tourist businesses.

'I don't think we look far enough ahead. We tend to be reactive rather than proactive. Whitby is booming at the moment and everyone is working hard and not looking to the future. Because we are all small businesses it is hard to do that.' (R16)

'Organisations don't have a long term view.' (R11)

Again this is an issue involving the operating environments of the tourist organisations, and not a matter that can be explored using the sociogram. However the VSM allows the investigation of the channels necessary to facilitate consideration of 'future' environments. Application of the model allows exploration of the different environmental channels that assess current trends and future possible scenarios. In the case of this particular problem it would appear that both of these environmental channels were not functioning effectively. The current approach seemed to be reactive to environmental disturbances with new trends not being identified and a lack of scenario planning for the future.

Design of more useful and robust environmental channels allowing for the scanning of potential futures and emerging patterns and trends will increase variety available to the system and thereby improve viability. At this level of recursion tourism businesses will have to use the environmental channels to continually assess their customer requirements and preferences and any potential future threats and

opportunities with relation to their operating activities, such as changes in legislation.

New licensing laws and a planned introduction of bed tax had been recent examples of such issues which would have an impact on tourism businesses and should have been anticipated through environmental channels. Some tourism businesses in this study did in fact know of these issues, so it would appear it is the less well defined concerns such as customer profiling and trend spotting that need to be addressed.

7.1.1.2.3 Monitoring and improving quality

There was a general consensus amongst respondents that there was a need to raise the quality of the tourist product within the Borough. However many stated that there was little or no monitoring of this.

'Raising of quality is a big issue' (R5)

'We need to drive up quality and raise aspirations... there is no monitoring or feedback in the sector'. (R7)

'Quality is improving but we haven't got highly starred hotels to cater for the ABCs - no 3,4 or 5 star hotels. We also don't know if we've got the product to give them.' (R15)

Whilst there was an Annual Awards scheme and accommodation inspection scheme, both had come under criticism. The awards scheme, which was once solely for businesses in the Borough of Scarborough, was now a Moors & Coast ATP initiative. This meant that the scheme now included not only the Borough of Scarborough, but also the districts of Hambleton and Ryedale as they were part of the Partnership. Businesses from the Scarborough area now had proportionally less chance of winning an award due to a greater number of business in the competition and so the incentive to improve and raise quality, an aim of the award scheme, had been lost to

some extent (Forum for Tourism, 2007).

Also the Award scheme did not involve the routine inspection of all tourism businesses. Nominations for the awards had to be made by the members of the public and then ‘mystery shoppers’ are sent to assess the service and product. Unfortunately this resulted in those that fall short of the quality required not being nominated and therefore not being assessed or monitored in any way.

The inspection scheme for the accommodation sector was also run as an incentive to improve the quality of the service on offer. If an accommodation provider wished to have their establishment in the annual holiday guide, then they had to undergo the Scarborough Borough Council inspection. However this was extremely costly at £1000 for the inspection and advertisement space in the holiday guide. Many businesses found this too costly and therefore did not bother to advertise in the guide. Unfortunately this meant they also were not monitored for quality of product. This could have been detrimental as a whole to the tourism sector as the destination’s image could be tarnished by just a few customers suffering bad experiences.

Again when diagnosing the problem of monitoring quality, the sociogram does not allow for investigation of the channels available for monitoring activity. Conversely when the quality monitoring problems are diagnostically mapped onto the VSM they appear as System 2 and 3* issues. The VSM has both System 2 channels for routine coordination and also System 3* for ad hoc monitoring. By considering these channels in the VSM it can be possible to diagnose monitoring issues.

In this instance the inspection scheme can be considered a System 2 operation and the Annual Award scheme a System 3* operation. It was the poor quality of these

channels that was the source of the problem. Looking at the VSM for tourism it can be seen that both System 2 and 3* are under the auspices of System 3. It would appear then that a poorly performing System 3 had not put into operation fully functioning System 2 and 3* monitoring activities. The System 3* feedback loop had not been closed sufficiently for businesses in the Borough to feel connected and part of the award scheme. They did not feel that their work to improve quality will be fairly rewarded or recognised because of the inclusion of many more business across the whole ATP area.

To improve the System 3* issues it may be necessary to return to a Borough only awards scheme with separate schemes for Hambleton and Ryedale. This will close the feedback loop for business in the Borough and it could still be possible then to have a second tier of awards for the whole Moors and Coast ATP area.

The inspection scheme System 2 channels had not been connected to all of the tourism businesses in the Borough because of financial barriers and the poor design of the channel. There was a low variety problem where businesses hadn't got the option of just being inspected and rated without having to pay a large amount for advertising too. This System 2 channel could be redesigned and improved by separating the inspection scheme from inclusion in the holiday guide. It would still be a requirement to be inspected before inclusion in the guide, but businesses could opt for just the inspection at a small cost and receive a rating and maybe a listing on the tourism website.

7.1.1.2.4 Issues of control

Several general issues regarding the operations of the regulatory organisations had been highlighted as problematic by respondents.

7.1.1.2.5 Lack of resources

Respondent 3 pointed out that there was a lack of adequate resources to enable the regulatory organisations to fulfil their functions. The Forum for Tourism was a totally voluntarily run organisation and all of the hospitality associations from Scarborough, Whitby and Filey are similarly mainly voluntary groups except that Scarborough Hospitality Association has a part time administrator.

The staffing of the ATP was done through the Local Authority stakeholders who contributed officer time but as with Culture, Tourism is a non-statutory requirement for Local Authorities who therefore tended to concentrate their available resources on the compulsory services they have to provide.

The other Local Authorities of Hambleton and Ryedale District Council who also form part of the M&C ATP with SBC had always been particularly keen to see the ATP work well as it meant they could enjoy the economies of scale that the more developed tourism services of SBC could provide (R22).

Respondent R6 was particularly worried that the private sector did not contribute enough resources and that if Scarborough Borough Council totally removed itself from the system, then a funding crisis may occur.

‘The private sector should get together more with Scarborough Borough Council and contribute more to the promotion of the town. Scarborough Borough Council is taking more of a back seat on this. The worry is that if they pull out there will not be the will power or the money left in the tourism industry to pick up the funding. The Forum for Tourism already has membership fee problems.’ (R6)

This lack of adequate resourcing and relying on volunteers and the goodwill of people to staff the important functions of a meta-system is potentially extremely damaging for the system. Not acknowledging the importance of these functions through provision of funding and staff time and not designing variety balancing structures, will seriously affect its viability.

7.1.1.2.6 Bureaucracy

With SBC being one of the regulatory organisations it meant that some of the systems functions have to take place within the public sector accountability framework. Respondent 9 complained that this made everything more complicated and Respondent 5 also cited the bureaucracy as a reason for delays:

‘There is a lack of empowerment in the Town Hall - everything has to go through the legal department or bureaucratic procurement’.
(R5)

‘There are delays inherent in the LA process because of accountability of public money’. (R7)

This is always going to be a problem in a system which encompasses many organisations loosely coupled in a network of public, private and voluntary bodies, particularly if the main funding of any meta-system is going to be the Local Authority. It will be necessary to take this into account when designing more useful meta-system structures.

7.1.1.2.7 Unclear roles and responsibility for regulatory organisations

As with the Culture system there was confusion surrounding the roles and responsibilities of the regulatory organisations. Respondent 22 reports that:

'The Scarborough Tourism Executive is one of 3 in the Borough, the others being the Whitby and Filey Executives, but there is also the Borough Tourism Working Group which meets quarterly and includes the hospitality and trade associations from Scarborough, Whitby and Filey. The ATP reports at the Scarborough Executive and the Borough Tourism Working Group but I'm not sure how this fits with the Forum for Tourism.' (R22)

Additionally the Borough Tourism Working Group (BTWG) was not working particularly strongly at the time (R22) and it was said to be a meeting for meetings' sake. Respondent R2 concurred with Respondent 22 with regard to unclear roles:

'Scarborough Borough Council is not clear in its role in tourism- should it be involved and how - delivery or not - get partners involved or not?' (R2)

As can be seen from the multiple organisations in the VSM meta-system boxes, there was also duplication between the ATP, the local authorities and YTB. The purpose of the ATP was supposedly to cut duplication for example, producing only one holiday guide for the ATP instead of one for each local authority. There seemed to be a preoccupation with the holiday guide as it was often being cited as a reason to justify the creation of the ATP (R7, R22, R15, R21). The respondents didn't respond with a more useful reason for the existence of the ATP.

This of course also led to some conflict. The Yorkshire Tourist Board (YTB) respondent believed that SBC had 'jumped the gun' in formulating their own tourism strategy instead of waiting for the Moors & Coast ATP (M&C ATP) and that SBC

would probably argue that if they didn't do it when they did, it might not have been done at all.

On reflection does this mean that YTB were annoyed with SBC or don't agree with their strategy content or think that it undermines the M&C ATP? However there had also been conflict between YTB and M&C ATP especially over roles and responsibilities (see the background context section). From SBC's point of view, did they decide to produce their own strategy because they knew they wouldn't agree with the focus of a strategy produced by the M&C ATP and would feel powerless to ignore it or was it a more general intent to show their discontent at the formation of the new ATP structures? Whatever the real reasons at play here, it led to conflict and confusion and fragmentation which could destabilise the system and affect its viability. As Respondents R13 and R6 state:

'It's a major problem to get people to talk to each other and see others' points of view, even within the Forum. We should be 'one Scarborough' but that's not what comes through'. (R6).

'We need more openness and willingness to work together.' (R13)

This appeared to be a very confusing structural arrangement and certainly not conducive to effective and efficient working. There was no coherent organisation of meta-system functions, and with the same organisations having to operate as Systems 3, 4 and 5, there was no clear separation of responsibilities or consideration of recursions. This means that there was a confusion and haziness regarding roles and therefore no robust Central Command or Resource Bargaining Channel bringing problems for policy implementation.

7.1.1.2.8 Information sharing

The problem regarding the lack of sharing of information was reported by several respondents and was a knock on effect of a fragmented, under resourced and poorly functioning meta-system.

'There is not enough sharing of information - each of the groups have their own websites and the information is not being brought together even with the Forum for Tourism.' (R6)

'Feedback from people going to different meetings is not coming through.' (R6)

'The Forum for Tourism would like to be members of Yorkshire Tourist Board but don't have the money. Scarborough Hospitality Association and Confotel are members but the Forum for Tourism don't get any feedback.' (R6)

'There is no monitoring or feedback in the sector'. (R7)

'There is no feedback disseminated from Scarborough Borough Council.' (R9)

Respondent 10 stated that the only feedback they received was from national organisations such as the Jorvick Centre in York and the National Trust, but that this was not collected and disseminated locally either.

Again the confusion and duplication apparent in the meta-system was acting as a barrier to the easy sharing of information. Whilst there are still unclear roles and structural arrangements, there will continue to be communication problems regarding the dissemination and sharing of information. New meta-system structures will have to be designed and resourced adequately to solve these issues including the cohesive functions of Systems 3, 3* and 2.

The flow of information was also hindered both to and from the meta-system and System 1s. Respondent P1 complained that there should be more access to information from the local authority, Scarborough Borough Council, as the council did not keep everyone up to date with what was happening in the local tourism industry. For example reports were not disseminated to the wider industry. Respondent P2 also criticised the local authority and the regional development agencies generally with regard to circulation of information. In particular the information was not published in a format that is easily understandable by the majority of people in the industry.

The only way information was disseminated tended to be informally 'through the grapevine'. This method of communication was not always effective as information could become distorted. Respondent P2 cited the example of a report produced by management consultants for Scarborough Borough Council not being officially released to the industry and this resulted in misconceptions and conflict.

Respondent P1 also felt that it was not always apparent exactly where to go for business advice specifically for retail outlets particularly servicing the tourist industry.

This information flow problem was also problematic in the 'other direction'. Meta-system organisations had difficulty in obtaining performance data from System 1s as previously discussed. The Yorkshire Tourist Board and Scarborough Borough Council both complained at a reticence on the part of particularly the accommodation sector in divulging their occupancy and turnover figures. Although they did recognise that some of this may be down to a wish to conceal financial data that is

not declared to the Inland Revenue for income tax or VAT purposes.

However Respondent R2 also complained benchmarking was not possible because the private sector attractions were also reticent in providing operational data which they consider to be commercially sensitive. Respondent R3 recognised that there was a need for robust data collection that could remain confidential.

This problem with the flow of information is associated with the Resource Bargaining and Accountability channels linking the meta-system and System 1s. As stated earlier there was duplication and tangled structural arrangements within the meta-system, and this makes the effective operation of these channels impossible to implement. The feedback loops on the vertical axis were not fully in place and therefore had led to a vacuum between the meta-system and System 1s where no information could pass easily. When any information did bridge this divide the transduction process was not operating appropriately so that it could be readily understood by the receiving party. The result was that the inadequate channels that did operate spasmodically were transmitting information that was unclear in meaning and was being interpreted incorrectly.

By designing more effective structures in the meta-system which eliminates the unnecessary duplication and constructing robust Accountability and Resource Bargaining channels, information then has the ability to flow more freely. A fully operational and effective transducer will also have to be put in place as the information crosses the meta-system and System 1s divide.

It has been the VSM that has been useful in diagnosing issues of control within the Tourism meta-system. Although the sociogram for Tourism illustrates the regulatory

organisations and their connections within the network, it cannot usefully show the functions and mechanisms of a dynamic system including any duplication of roles or distinctions of environmental boundaries and the interactive channels across those distinctions.

7.1.1.2.9 Poor intelligence for decision-making

The lack of information sharing meant that there was poor intelligence for decision-making and this was evident when discussing data collection with the Respondents. For example as mentioned before, the information released by YTB was only a measure of occupancy and was not particularly held to be accurate due to the small sample sizes of their regular survey of accommodation providers. Respondent R22 admitted that other measures were needed such as average visitor spend and business yields. There didn't appear to be the awareness that other feedback loops are required other than those that are economically focussed. With regard to the ATP none of the proposed indicators included stakeholder value for money or organisational effectiveness but just more economic data such as the number of jobs created and the number of businesses the ATP supported; although the ATP did hope to include customer satisfaction indicators in their data collection in the future.

The proposed measurements would only provide historical data with nothing designed to inform potential futures or help in product development. This led to the situation as Respondent 15 stated that strategy was based on inadequate data:

'We need better data. The TEAM survey came to Whitby for one Wednesday afternoon in October and generated from that the strategy.' (R15)

This matter is both a question of having channels through System 4 to access environmental conditions, but also having fully functional Resource Bargaining and Accountability vertical channels. The need for confidentiality when collecting data from individual organisations is an essential aspect of any initiative. It must be remembered that some of the organisations were in competition with each other. At the next lower level of recursion the Accommodation Providers experience competition amongst themselves for guests and also Attractions compete for the visitors' limited time and money. It is at this level of recursion for this system in focus that cooperation must take place through the vertical channels so that all of the organisations act as one destination and can compete with other destinations.

Respondent R3 reinforced the idea that data must remain confidential with regard to individual contributions of data but that the aggregate information gained through processing of this data must be shared throughout the system. This data collection and processing would greatly improve the intelligence available for decision-making not only for individual organisations and businesses but also for organisations in the meta-system.

This would also of course aid the implementation of policy and the functioning with regard to control and communication of the policy arena.

The general problem of poor intelligence to inform decision-making is also related to the marketing problems being experienced, as discussed in the following section.

7.1.1.2.10 Marketing problems

Marketing was an area where many of the respondents felt there were problems.

Complaints included no informed marketing vision, fragmented marketing operations, a lack of resources to develop a marketing strategy and unclear roles in the marketing function.

Respondents P2, R2 and R15 all complained about the lack of a clearly formed marketing strategy.

'There is no informed vision of market position or product offering and no cultural marketing strategy.' (P2)

'The area needs to decide where it wants to go and how we deliver and market.' (R2)

'We need better data. The TEAM survey came to Whitby for one Wednesday afternoon in October and generated from that the strategy.' (R15)

Fragmentation is a problem recognised by Respondent R10.

'Nobody in Scarborough covers everything. For example, festivals and parks etc. are all separate when it comes to marketing and information - it's all bits and pieces.' (R10)

By exploring these problems using the VSM it was apparent that the main issue was a dysfunctional System 4. These issues are symptomatic of unclear roles and lack of resources endemic in the meta-system as discussed previously.

The unclear roles and responsibilities emerged from the instability that has been evident in the tourism industry in recent years for example the reorganisation of the

structures instigated by government through the transfer of responsibilities for tourism to the regional development agencies. In Yorkshire, the subsequent creation of the Area Tourism Partnerships and changing roles of SBC and the Regional Tourist Board, (Yorkshire Tourist Board) to an external marketing function has created uncertainty.

‘There have been problems because the industry has been in a state of reorganisation for so long.’ (R6)

The effective functioning of System 4 is also compromised by a lack of resources. Respondent R6 pointed to the fact that the groups that feed into the Forum for Tourism did not contribute any funding. They gave the example of the York Tourism Bureau as an organisation that works well but that Scarborough has nothing similar. This could be an unfair comparison in that the York Tourism Bureau had been in existence for a number of years unlike the recently implemented structures evident in the Borough of Scarborough and had more established funding streams.

As discussed previously, the importance of System 4 operations had not been recognised by the Borough Council who had no statutory requirement imposed by government to provide tourism services. This led to the withdrawal of resources from the tourism and leisure services and therefore an under resourced meta-system and subsequently a malnourished and underperforming System 4. As Respondent R2 states:

‘The Council Tourism Department used to collect lots of data when there were four staff, but they don't now. There is only one member of the tourism staff working at the strategic level now.’ (R2)

This has led to inadequate marketing in terms of an informed, cohesive strategy. As previously stated the meta-system needs recognition as an integral part of the tourism system. For System 4 this is needed in terms of funding and also so that properly designed channels and structures for interaction with the environment can be made operational and marketing visions created.

Also within System 4 there was no consideration of the organisation of System 4's activities and the collaboration required for product development. The lack of self awareness within System 4 of the system as a whole had brought about poor product development. The dominance of the Accommodation sector as discussed previously had not been fully acknowledged in terms of product development and the need to allow inputs from other organisations from the attractions and events sectors. This deficiency in self awareness will need to be addressed. System 4 will require the design of mechanisms to develop self awareness and internal models of the system.

The VSM has been extremely valuable in the exploration of these marketing problems by identifying where the functioning of the system is ineffective which has not been the case with the sociograms. The VSM has through its functional distinctions allowed consideration of the roles of organisations within the meta-system and their interactions with the environment. The sociogram can only show where collaboration is lacking with regard to marketing but not the channels of interaction with customers and the environment or the internal operational structures of the system enabling the development of marketing strategies and product development.

7.1.1.2.11 Inward-looking focus

The internal focus and inward-looking nature of the tourism system was recognised by respondents as problematic.

'We don't focus on who our competitors are - European cities will be or are already competitors'. (R7)

'The industry could be guilty of being inward looking'. (R15)

'Scarborough thinks it is isolated and doesn't look outside its boundaries for other opportunities.' (R6)

'The town is changing but facilities are not keeping up. Some don't see changing trends'. (R6)

'Scarborough Borough Council compares badly with other local authorities for forward thinking. They are wanting to change and trying'. (R17)

These problems when mapped onto the VSM are again System 4 issues and are closely connected with the poor intelligence and marketing problems discussed in the previous sections. The channels providing interactions with the environment are ineffective and do not provide sufficient information to allow consideration of the 'outside and then'. This low variety situation will affect the viability of the system in terms of not only current operations but also future functioning. The lack of effective System 4 channels will seriously affect the ability of the system to adjust to environmental disturbances and its capacity to adapt to new operating conditions. In addition to the reactive capacity of the system, ineffective environmental channels also restrict proactive research on potential opportunities. Environmental channels will need redesigning to amplify variety to System 4 to remedy this situation.

7.1.1.2.12 Loss of and stifling of ideas

Respondents reported that new ideas can get lost in the system. They claimed that this was because of stifling bureaucracy particularly on the part of Scarborough Borough Council:

'Ideas don't get followed up...' (R3)

'The bureaucracy the Council stifled the website initiative'. (R9)

'Local Authorities have historical ingrained bureaucratic ways of working which is hard to change, but the Council are getting better at joint working. '(P2)

'There is a lack of empowerment in the Town Hall - everything has to go through the legal department or bureaucratic procurement.' (R5)

This may be partly true but if this problem is mapped onto the VSM it can be seen that it could also be the result of an ineffective 3 / 4 homeostat. If ideas do not find their way from System 4 into System 3 then implementation is not going to happen.

This is confirmed by Respondent 2:

'We don't talk enough about the more long term strategic view of how things might work and the best use of resources'. (R2)

This comment describes how the interaction of System 4 and System 3 has broken down and how there is no communication regarding new strategies or how it will fit with current operations and available resources – the 3/ 4 homeostat process.

Without this homeostatic process the system will either start to become unstable as it experiences entropy due to it being closed to new ideas, or strategies will be enacted

that have not been assessed for practicality with regard to adequate resources or fit with the systemic purpose. Neither of these outcomes is of course desirable and does not aid successful policy implementation. A more effective design is therefore required for a 3 / 4 homeostat.

7.1.1.2.13 Unclear identity and branding

The tourism system appeared to suffer from identity and branding issues. Many respondents talked of difficulties regarding a lack of awareness of 'belonging' and organisations not considering themselves as part of a destination:

'It's difficult to get people and businesses to see beyond their own business- to appreciate things from a destination perspective'. (R7)

'Organisations are not aware of the bigger picture'. (R10)

'SMEs feel isolated and in competition. They don't see themselves as part of the destination as a whole; they don't have an overview for example attracting people to Scarborough. We need to make people see themselves as part of the destination, not just individual businesses.' (R3)

'We should be 'one Scarborough' but that's not what comes through.' (R6)

These problems of identity cannot be explored through the sociograms as these problems are more concerned with the quality of the links, so it is necessary to map them onto the VSM; they can then be seen as System 5 issues. As explained previously the meta-system of the tourism system was confused with examples of duplication, and confusion of roles and responsibilities. With no strong ethos or vision of a 'whole' destination provided by an effectively functioning System 5, the

system will and has to some extent fragmented.

These identity problems have also led to difficulties with branding. As a newly established organisation the M&C ATP was still to complete its branding exercise. However Respondent R7 was unsure how this would fit with local authority marketing. Other considerations are that the geographic area covered by the M&C ATP not only includes Scarborough Borough Council but also the North York Moors National Park. How will any branding by the ATP succeed in working alongside or in conjunction with these other identities? As Respondent R6 says:

'...where do visitors think they are when visiting Robin Hoods Bay for instance? - the National Park, Scarborough or the Yorkshire Coast? The answer will affect where they look for information.'
(R2)

The point was also made by Respondent R6 who questioned where potential investors or advertisers would go for information:

'It isn't apparent looking from outside who to contact for example for investment or promotion. There isn't one body that represents tourism in Scarborough as Scarborough Borough Council are reducing their commitment to tourism. This has been a problem for the National Railway Museum and English Heritage in the past.' (R6)

The question of how to bring closure to the Tourism system will have to be considered. System 5 will have to be designed to bring cohesion to the system as a whole and create an identity, brand and ethos to which all operators within Tourism can belong and which aids joint-working and policy implementation.

7.1.1.2.14 Shared Goals and Accountability

Linked to the problems of a shared identity as discussed in the previous section is the lack shared goals. There was only a vague sense amongst organisations of wanting to improve the tourism industry, with little formalised goal setting and monitoring. The Scarborough Borough Council Tourism Strategy (2005a) had an action plan but it did not engage or connect with the organisations throughout the industry. Despite some consultation on the development of the strategy through the Forum for Tourism and hospitality associations there was no general ownership of the strategy by individual organisations.

‘There is a problem of lack of shared goals. The Scarborough Hospitality Association don't want to be in partnerships. They see the Forum for Tourism as a threat to their organisation’. (R6)

‘Shared objectives are too vague. The Forum for Tourism thinks more as a whole destination rather than from a small business perspective, which is good. Scarborough Hospitality Association is more small scale and focussed. They should be sharing aims and have overlap, but in practice this overlap is minimal. Scarborough Hospitality Association need to be more aware of the bigger picture.’ (R3)

When mapped onto the VSM this concern is seen to be a malfunction of the Resource Bargaining channel. There was not the requisite variety in the meta-system to enable them to effectively put in place a Resource Bargaining channel. The implementation of the Tourism Strategy was not seen by organisations as part of a ‘deal’ involving themselves because of the nature of the loosely connected network and the System 5 problems of identity.

In addition monitoring of the implementation of the strategy and action plan was also inconsistent and inadequate, with duplication and confusion involving the Borough

Tourism Working Group (BTWG), the Forum for Tourism and the SBC Overview and Scrutiny Committee. Only the strategy consultation process itself was measured for satisfaction, and the BTWG which had a major role in monitoring strategy outputs was not working effectively.

‘There is no monitoring at the strategic level of customer satisfaction of local stakeholders and organisations other than measuring satisfaction with the consultation on the strategy’. (R7)

‘The Borough Tourism Working Group monitors the tourism strategy. It includes destination specific groups for example, Whitby Beacon Towns, Filey Tourism Partnership and Scarborough Tourism Executive which is part of the Forum for Tourism. The Forum for Tourism is unwieldy in terms of monitoring the strategy and there is the grey area of whether it represents the Borough or just Scarborough Town. Scarborough Borough Council also has an Overview and Scrutiny Committee.’ (R7)

‘The Borough Tourism Working Group ... is not working particularly strongly at the moment.’ (R22)

Without this feedback loop being in place there was no accountability for the System 1 organisations and they felt no obligation to contribute to the well being of the system as a whole. Respondent R7 argued that the ATP should bring some level of accountability and give more scope for the private sector to work without the democratically elected local authority structure interfering. However, Respondent R9 believed that ‘it is wishful thinking’ that the ATP can address problems in tourism. He expected that Council officers who staff the ATP will not want to jeopardise their careers by telling Council members not to shutdown public toilets for example.

The ATP needs to resolve the structural and staff problems that hindered its

operations. The uncertainty surrounding this regulatory organisation caused instability and unbalanced the Tourism system along with duplication and unclear roles and responsibilities. Without strong and clear structural arrangements there cannot be fully functioning Resource Bargaining and Accountability channels.

As discussed earlier these ineffective Resource Bargaining and Accountability channels apparent in the system are also causing issues with the flow of information between the meta-system and System 1s.

7.1.1.2.15 Power

By just considering the VSM it is not immediately apparent where there maybe concerns regarding imbalances of power in the system. The sociogram is particularly useful when considering the power relationships amongst the organisations in the system. The sociogram showing tourism organisations by degree depicts how the hospitality associations for Scarborough and Whitby who represented a large membership, operated as brokers between their members and the remainder of the system. This put them in a particularly powerful position both in terms of information flow and influence on the visions and strategies of the Tourism System. This disproportionate amount of influence was recognised by Respondents, with particular mention being made of the dominance on the Board of the ATP and a reluctance to fund and enhance product development with the main focus on accommodation. Where these inappropriate power imbalances may be occurring care must be taken when designing variety amplifiers and attenuators.

Other organisations in a broker position which act as cut vertices (that is those

organisations that if they were removed from the network or become uncooperative would cause structural holes and break the network into unconnected parts), included Confotel and the Sealife Centre. Confotel offered connections to the larger hotels that service the business tourism market and the Sealife Centre had links with national organisations such as York Dungeons and the Flamingoland Theme Park. If these organisations were to be removed from the network or they become uncooperative, all of these links, which are important for bringing information into the system, would become disconnected. This would of course have consequences with regard to collaboration and the management of variety and the overall viability of the system. This is the source of their position of power and influence.

Some of the organisations highlighted as Core actors in the network (see the following sociogram) gain their power as sources of funding and as regulatory organisations. By looking at the interview data and the VSM these can be identified for the Borough of Scarborough Tourism system as Scarborough Borough Council, Yorkshire Tourist Board and the Moors & Coast ATP. These organisations acted as brokers for funding and access to larger powerful organisations such as Yorkshire Forward. The other organisations positioned in the Core besides the hospitality associations are the Forum for Tourism, the Scarborough Tourism Executive and the Borough Tourism Working Group. Although these organisations didn't hold funding of their own, they had important regulatory functions in that they could provide public consultation forums with which the Council have to liaise in accordance with procedural local government policy. This is their source of power with its origins in their links with the wider system.

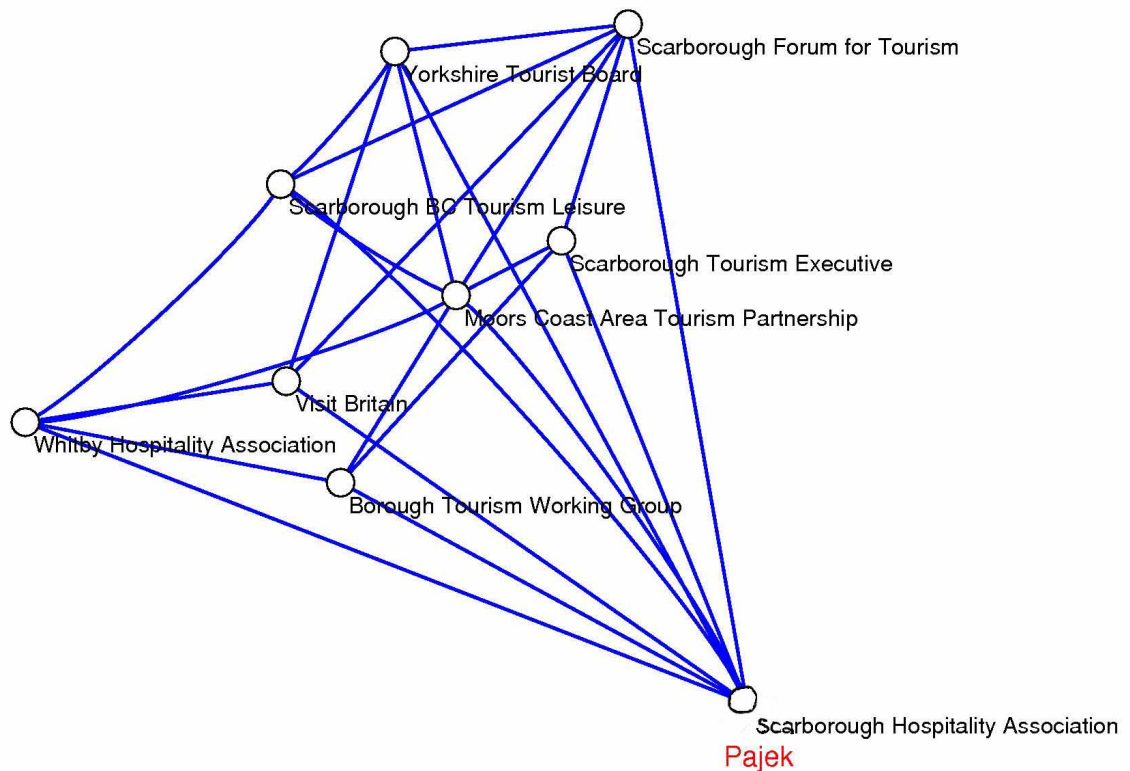


Figure 7.8 Core Tourism Network.

7.1.1.2.16 Tourism Summary

Analysis of the Tourism system has diagnosed that many of the problems of the sector stemmed from the lack of a fully functioning meta-system which suffered from duplication and unclear roles and responsibilities. The fragmentary nature of the ensuing system operations meant that many had not seen the benefits of a cohesive, coordinated system where collaboration and realisation of synergies would be beneficial not only for their business but for the tourism sector and destination as a whole.

Both a lack of data for decision-making and the absence of assessment of current and future trends for System 1s at this level of recursion were due to poorly functioning

or non-existent environmental channels. This was creating low variety situations for decision-making and was threatening the viability of the system.

There were problems with monitoring and improving quality due to poorly functioning System 2 and 3* with the System 3* feedback loop not being closed sufficiently for businesses in the Borough to feel connected

Problems with control of the system were exacerbated by a lack of adequate resourcing and relying on volunteers and the goodwill of people to staff the important functions of a meta-system. Duplication and bureaucracy also played their part, and the result is unclear roles and responsibilities for regulatory organisations.

The meta-system problems contributed to issues with the vertical Resource Bargaining and Accountability Channels which hindered the linkages between System 1s and the meta-system. The inadequate flow of information in both directions was a consequence of this and brought difficulties in gathering intelligence for decision-making, the transmission of shared goals and accountability of System 1s.

A malnourished and under-appreciated System 4 led to problems with the marketing function including a lack of informed marketing vision and fragmented marketing operations.

Also there was no consideration of the organisation of System 4's activities and the collaboration required for product development. The lack of self-awareness within System 4 of the system as a whole also contributed to poor product development.

An inward-looking focus of the Tourism System was apparent because of the lack of

effective System 4 channels which affected the ability of the system to adjust to environmental disturbances and its capacity to adapt to new operating conditions.

The channels providing interactions with the environment were ineffective and did not provide sufficient information to allow consideration of the 'outside and then'.

This low variety situation will affect the viability of the system in terms of not only current operations but also future functioning.

The 3/4 homeostat process had broken down and so there was little communication regarding new proposals or how they would fit with current operations and available resources. This inadequately functioning mechanism also affected the development and implementation of new ideas. Initiatives were being lost or stifled because of the 3/4 homeostat problems.

Unclear identity and branding arose with no strong ethos or vision of a 'whole' destination provided by an effectively functioning System 5, the system will and had to some extent fragmented. A System 5 will have to be designed to bring cohesion to the system as a whole and create an identity, brand and ethos to which all operators within Tourism can belong.

Power within the system tended to reside in the hospitality associations due to their volume of members, but also with Scarborough Borough Council, the Moors & Coast ATP and Yorkshire Tourist Board as regulatory and fund holding organisations with links to more powerful bodies such as Yorkshire Forward.

The design of an effective and well functioning meta-system will be crucial in attempting to address the problems of the Tourism System.

The framework has provided a means of exploring relational ties within networks through the use of Social Network Analysis whilst the VSM provided a means to investigate management mechanisms, functioning and viability of the linkages. Also the TASCOI tool was found to be useful in exploring systemic identity.

The desire of Scarborough Borough Council to implement a policy to develop more cultural products in the Borough will require the design of a system that not only takes into consideration the problems of the Tourism System, but also those of the Culture System. The following section will look to creating such a system (Cultural Tourism System) that will provide the structural conditions by which collaboration can flourish with a fully functioning meta-system providing regulatory mechanisms to promote systemic cohesion and thereby aid implementation of the desired policy. The developments occurring within the policy arena since this research took place will also be discussed.

8 Application of the Methodological Framework: Analysis – Design for Policy Implementation and Assessment, Action, Further Developments and Reflections

8.1 Design of a Cultural Tourism System

This section attempts to describe a more useful system (Cultural Tourism System)

and provide recommendations to support the implementation of a more culturally led tourism product in the Borough of Scarborough.

The following table summarises the problems identified in the diagnosis section which could impede implementation of the strategy.

Issue	Culture	Tourism
Fragmentation	✓	✓
Lack of a fully functioning meta system	✓	✓
Coordination problems because of the lack effective System 2	✓	✓
Inadequate variety absorption on the vertical channels	✓	
Ineffective functioning of the cohesive mechanisms of Systems 1, 2 and 3	✓	✓
Organisations having to operate as systems 3, 4 and 5 - there is no clear separation of responsibilities or consideration of recursions	✓	✓
Under-resourcing of the meta system.	✓	✓
Local Management -Missing for Arts and Heritage organisations & duplication for tourism	✓	✓
Environmental loops - very little data collection and analysis	✓	✓

Weak monitoring and improvement of quality due to poorly functioning System 2 and 3*		✓
Shared goal issues with the vertical Resource Bargaining and Accountability Channels		✓
<p>A malnourished and under appreciated System 4 with insufficient information to allow consideration of the ‘outside and then’, leading to:</p> <p>A lack of informed marketing vision and fragmented marketing operations.</p> <p>Poor product development</p> <p>A lack of adjustment to environmental disturbances</p>	✓	✓
Initiatives are being lost or stifled because of the 3 / 4 homeostat problems.		✓
Unclear identity and branding have arisen with no strong ethos or vision of a ‘whole’ destination provided by an effectively functioning System 5	✓	✓
Power considerations	✓	✓
Organisations in brokerage roles have power over information distribution	✓	✓

Table 8.1 Problems identified in diagnosis.

It is recommended that all of these issues are addressed to improve systemic viability. However, the main areas of concern are fragmentation, the meta-system including the environmental and vertical channels linking the meta-system to the

‘outside and then’ and System 1 respectively. Power issues must also be borne in mind in any newly designed system.

8.1.1 Addressing Fragmentation in System 1

Fragmentation has shown to be an issue for both Tourism and Culture as seen in the sociograms. The challenge therefore is to not only address the fragmentation within the original systems but also look at improving connectivity and relationships between them.

8.1.2 Local Management Recommendations

Fragmentation could be addressed by strengthening the local management function within the System 1s. These more robust local management organisations could encourage the growth of autonomous local networks that connect individual organisations that have become ‘lost’ within the system.

For Tourism it is recommended that:

The duplication within local management in the accommodation sector is addressed. For the system in focus it would be advantageous at this level of recursion to have one accommodation association that covered all of the Borough of Scarborough. If it was felt that this would compromise identity for the individual towns then this could be dealt with at the lower recursion with local representatives. The integration of all of the associational activities could provide the basis for merger of the three local associations and bring more cohesion for the industry and less duplication.

The Attractions Group is developed, strengthened and properly resourced. The cultural attractions within the Borough should be encouraged to join to allow them to explore their identity as tourism entities. This will strengthen the local management function for the attractions sector and should with the appropriate resources be able to challenge the dominance of the accommodation sector.

The local management for Business Tourism in the Borough should be restructured. There should ideally be one organisation that acts as the main point of contact for the conference trade and facilitates the organisation of Business Tourism in general. Again as with the accommodation sector, this should be a Borough-wide body that deals with identity issues at a lower recursion level.

For Culture it is recommended that:

The networking of individual artists and those working in the creative and cultural sector, is supported and encouraged to develop a role in local management of the Arts sector. This network could consist of organisations and not just individual practitioners, or maybe encouraging more individuals from the cultural organisations in the area. The development of this Borough-wide should also be encouraged.

The local management of the Heritage sector should be strengthened. This could be done through the existing Scarborough Museums Trust who could help to develop a local network of heritage organisations including private museums and societies and English Heritage sites.

The development of robust meta-systems is also vital to help address fragmentation.

8.1.3 Addressing Meta-system Issues

For both Tourism and Culture there are problems with the functioning of the meta-system.

Both need development of the Systems 3, 4 and 5 roles. In particular there needs to be a clear separation of the functions and responsibilities of each system. This does not necessarily mean different organisations or individuals undertaking the System 3, 4 and 5 roles, but a clear distinction being made and understood regarding the roles and responsibilities by those involved.

Who will undertake the day to day coordination and synergistic overview of System 3? Who will fill the role of System 4 with its monitoring of the current and potential environment? How will System 5 operate – which group, organisation or partnership body will be involved in steering policy and direction and holding together the identity of the system and how will they achieve this?

In addition both Tourism and Culture need to consider how they will fully resource such meta-systems; will this be to allocate more public resources, or private funding from the industry itself maybe through the trade associations or partnerships?

8.1.4 Environmental Channels

Both industry sectors must also tackle problems with data collection and information flow. Feedback loops must be put in place to monitor external conditions and provide data for adaptation, development and decision-making. These feedback

loops will also help to address problems with marketing and product development.

This will require partnership working and the building of social capital to create networks where trust and commitment are evident. Many of the respondents reported that small businesses are reluctant to share data on their operating activities not just because of the taxman or commercial sensitivity but also because of an historical cultural reticence to divulge any information about their businesses. The benefits of sharing information are not fully understood. This is particularly the case for 'lifestyle' businesses, many which are run on a part-time basis by semi-retired family members that are not interested in growing their businesses.

Systematic and organised data collection is needed to feed the Tourism and Culture systems and supply the information essential for decision-making. Such a system for data collection must involve stakeholders from all sections of the current systems who are able to understand the benefits of information sharing and willing to contribute data on their operating activities and other data such as customer profiles (in a format allowed under the Data Protection Act). This data will need to be collected and analysed within a confidential environment and the aggregate results shared throughout the system without any single contributors data being published

8.1.5 Vertical Channels

Both sectors are also experiencing accountability and shared goals problems. There needs to be more discussion and involvement in the planning and use of resources between the regulatory organisations and System 1 and communication and reinforcement of the common purpose. This of course will be easier with the

development of the local management functions. Therefore as a first step towards improved accountability and working together with shared goals the recommendations for local management as discussed above should be implemented.

This will then provide the basis for the development of communication channels and the Resource Bargaining channel, where priorities and resources can be agreed.

Accountability can also then be tied in with these discussions and spread through the local networks built around the local management function.

In summary therefore it is recommended that the roles and responsibilities are clearly allotted and defined within the meta-systems, a data collection and information sharing system is supported and implemented and the local management recommendations are implemented.

8.1.6 Power Relationship Considerations

As previously discussed the Tourism sector is dominated by the accommodation sector. One means to address this is again to develop the local management of the other System 1s in the system. With stronger local management the Attractions and Business Tourism can have a more robust voice at the meta-systemic level. Another recommendation is to allocate Board membership of the Moors & Coast Area Tourism Partnership in such a way so that all of the System 1s are equally represented (not dominance by the Accommodation sector).

Again, in Culture the development of local management as discussed above will give the System 1s a more powerful voice such as the Festival and Events System 1 currently enjoys.

8.1.7 Recommendations

The main recommendation to improve implementation of a more cultural product in tourism in the Borough of Scarborough is to improve connectivity and address the fragmentation between the two sectors. This needs to begin as discussed above with the building up of the local management functions of both the Tourism and Culture sectors. Without this it will always be difficult to build the communication channels necessary to allow the synergies to be realised. In particular a stronger Attractions group which includes cultural organisations could be a way forward to develop tourism in a more cultural direction. Local management functioning more effectively in the Culture sector would also raise awareness of the opportunities for cultural products in tourism and help counter the dominance of the accommodation sector.

The meta-system of a 'Cultural Tourism' system should have clearly defined roles for Systems 3, 4 and 5. The implementation of a data collection and information sharing system should include not only visitor numbers, satisfaction and accommodation occupancy levels but also the activity of cultural organisations such as audience numbers at theatres, festivals and events and visitor numbers to museums. This would provide the basis for the beginnings of a System 4. One option for the Cultural Tourism system would be to have the Arts Forum and Forum for Tourism (both Urban Renaissance Action Groups) fulfilling a System 4 role as they provide a channel for those in the sectors concerned to bring their views and ideas into the system from the external environment.

The System 3 role must act as the coordinator between Tourism and Culture, looking

for synergies and opportunities. The decision must be made who or which organisation would be best placed to undertake this role. Should it be performed by a tourism or cultural organisation, or within Scarborough Borough Council? One option is to have a cultural and tourism joint partnership working in tandem in System 3 to ensure that the balance between the two sectors is maintained. This could be Create as a cultural coordinator and the tourism department of Scarborough Borough Council (that also acts for the Moors & Coast ATP).

Again the decision for who fulfils the System 5 role also needs to be made whilst bearing in mind the necessity to maintain balance. Is there a role for the Forum for Tourism or is it dominated by accommodation providers? One answer could be to balance the input of the Forum for Tourism into System 5 with that of the Arts Forum and the Creative Driver Partnership (CDP). The CDP having some role in System 5 could bring the added dimension of a holistic view of the cultural sector from a 'normal' business perspective and not just for tourism products.

Furthermore how is the meta-system to be resourced? Can the organisations operating in the systems for Tourism and Culture cover the roles required for a Cultural Tourism system within their existing resources?

The following VSM diagram illustrates one example of how a Cultural Tourism System could work for the Borough of Scarborough.

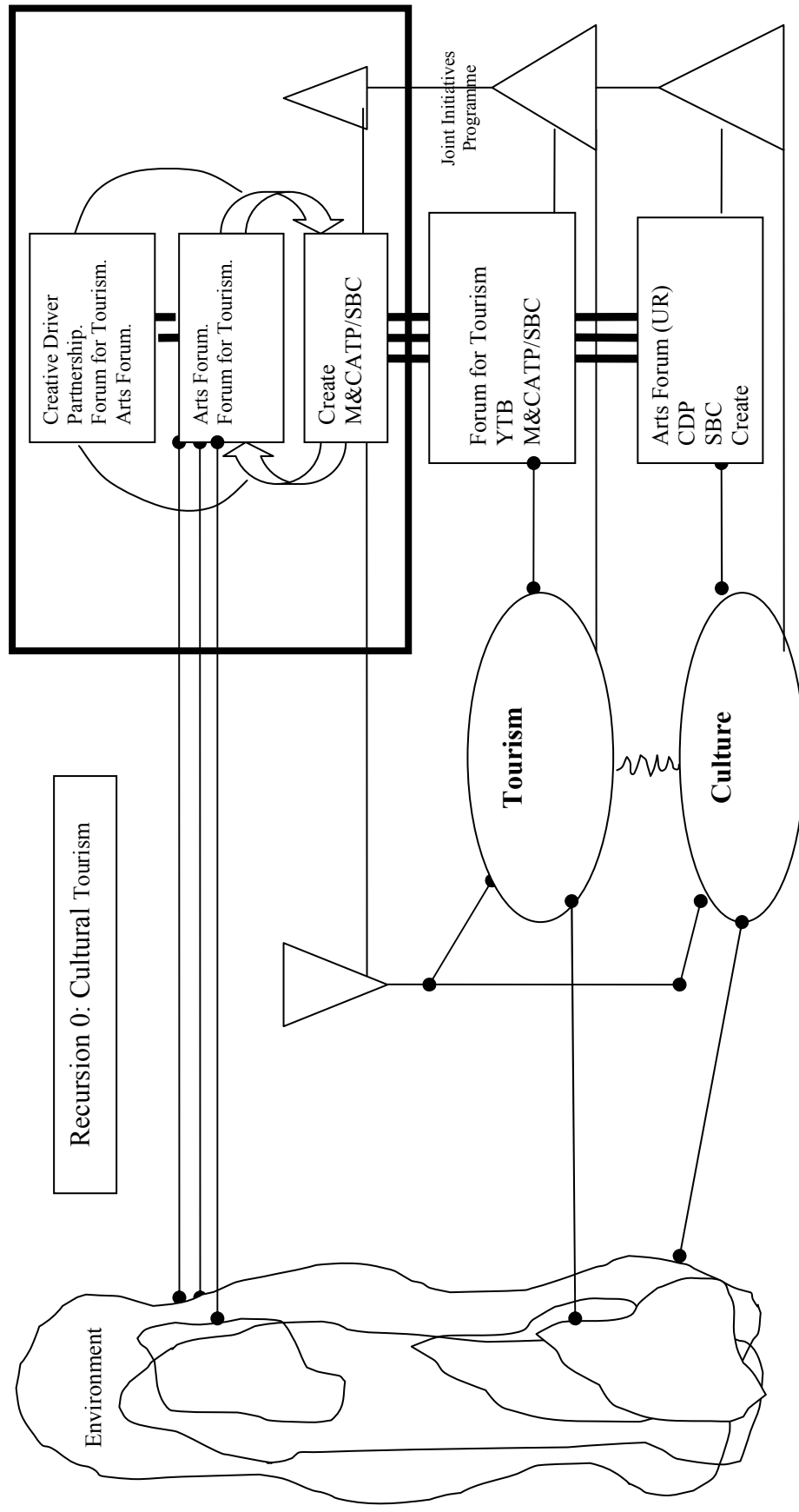


Figure 8.1 Suggested VSM for Cultural Tourism.

8.2 Assessment and Action

The application of the framework to the case study has mainly focused on the Appreciation and Analysis sections. This is due to the lack of influence over the policy arena with regard to implementation of designs or the possibility of actual intervention. Therefore it has not been possible to complete fully the testing of the framework with regard to putting into action a complete design for ‘Cultural Tourism’. However there were action research elements of this research where the results of the application of the framework could be and were implemented and other issues that arose could be addressed. In addition some of the recommendations which arose out of the application of the framework have come about in the course of developments taking place within the policy arena, possibly indicating that the suggestions were feasible and actions achievable and workable.

The following sections look at some of the projects arising out of this research and developments that have taken place since the application of the framework to the case study.

8.2.1 Developing Recommendations

One of the recommendations to come out of this study was for improved data collection and information sharing. The Counting 4 Scarborough project was instigated as a means to fulfil this recommendation.

8.2.1.1 *Counting 4 Scarborough*

During data collection for this study many respondents were complaining of a lack of data available to the industry. In particular the accommodation sector wanted to have more information available to enable them to manage their businesses more

efficiently. This research also concluded that there was a need for improved data collection and information sharing for both the Tourism and Culture sectors. As a result of this a group was set up, Counting 4 Scarborough, comprising of interested hoteliers and business owners, Scarborough Borough Council, the Urban Renaissance Manager for Scarborough, the Town Centre Manager and University staff.

The aim of the Counting 4 Scarborough project is to offer accurate, reliable and timely data for:

- inward investment marketing,
- baseline and benchmarking data
- strategy development and monitoring
- developmental funding bids,
- local business planning and decision making
- local business loan applications.

Further benefits will include ‘softer’ outcomes such as the establishment of trust and collaborative networks thus enabling joint working across sectors. Many sectors of the town’s economy should benefit through participation in this initiative such as, tourism, retail, transport, the public sector – council services, hospitals, police and other emergency services, sport and leisure, and local media. All could have access to data on the activity taking place in the town.

It is envisaged that data sources will be automated counts of traffic and footfall using sensors (already in place but information is not being shared), which will be used in

correlation with weather, train usage, festivals and events and accommodation occupancy data. A local model will be built and continually updated providing real time information, predictive information and also historical measurement.

One of the main problems identified in interviews for the case study was confidentiality, in that businesses were reluctant to reveal sensitive, commercial information. By involving the University in the Counting 4 Scarborough project it was hoped that this issue could be overcome with all individual contributions of data being processed by the University and only aggregated information being distributed back to the industry as a whole.

Meetings of the Counting 4 Scarborough group took place regularly over 12 months. The main issue which held back progress was the lack of funding available to develop the model and arrange data collection. This was exacerbated by the public, private and educational mix of the stakeholders involved and the specific constraints each had placed upon them. For example Scarborough Borough Council has public accountability considerations, the private sector would not realise any return on a pilot project in the short term and the University had no funding available for such projects. The current situation is that negotiations are underway to put in place a Knowledge Transfer Partnership between the University and Scarborough Borough Council. This would provide a means to employ a person to develop the algorithms necessary for the model to be developed, and to put in place a system to collect and distribute data and information.

8.2.2 Local Management Developments

Since completing the data collection for the case study, further developments have taken place concerning local management structures. Within the Tourism system the Scarborough Conference Bureau is no longer operating, leaving Confotel as the main organisation dealing with Business Tourism. The Conference Bureau's main operations had included management of the Spa conference facilities and coordination of Business Tourism enquires. These have now been absorbed into the general management of the Spa Complex. It remains to be seen now whether Confotel extend their operations to include liaising with the Spa and their larger facilities or whether they stayed focussed on the accommodation services. If they just maintain their accommodation services, this would mean that the local management function for Business Tourism could not function effectively thus threatening the viability of the system. It would be beneficial if Confotel could take on the full role as the local management for Business Tourism as recommended in the Design section and as advised this operation should be Borough-wide with local representation at the lower level of recursion to maintain identity distinctions.

It was recommended in the Design section that the three main hospitality associations join into one Borough-wide organisation to make the local management function for Accommodation more efficient. The three different hospitality associations from Scarborough, Whitby and Filey have now joined forces to produce their own guide to the area due their disappointment with the Moors and Coast ATP holiday guide that was produce in 2008. Local accommodation providers at the Forum for Tourism complained that they had very little follow up business as a result of advertising in the Moors and Coast brochure. It appears that the three hospitality associations may make this ad hoc arrangement more permanent by becoming just

one organisation, integrating all of the associational activities to provide the basis for merger as recommended in the Design section. This would provide more cohesion for the industry and less duplication.

With regard to Culture, it was also suggested in the Design section that a network of individual artists and those working in the creative and cultural sector, is supported and encouraged to develop its role in local management of the Arts sector. A new group is now becoming more established called the Creative Coast which is an informal network for local artists, designers and others working in the creative and digital industries. Regular meetings, networking events and more informal social events are held on a fortnightly basis. The Scarborough based network is now flourishing and a Whitby network is just starting to develop. Create Arts Development is the 'parent' organisation of the Creative Coast and offers organisational support in terms of communication such as mailing lists and acting as a central point of contact and also helping with the more formal committee meetings and operational tasks, helping to support the volunteer committee members of the network. The Creative Coast is also acting as a monthly open public meeting and action group of the Urban Renaissance initiative.

The Creative Coast is not particularly concerned with tourism or cultural tourism but local creatives can feed into the tourism sector in some ways such as through art galleries and events. The Creative Coast therefore does provide some local management functions for a sector which it has been shown was very fragmented. The Creative Coast should still be encouraged to include organisations and not just individual practitioners, or maybe encouraging more individuals from the cultural organisations in the area. The development of the Whitby Creative Coast should also

be encouraged to bring some local management for Culture to that area.

A new creative industries centre, Woodend Creative Workspace, opened in the spring of 2008 in the 'Cultural Quarter' of Scarborough. This is a Scarborough Borough Council and Urban Renaissance project funded with European Union development money to provide purpose-built managed workspace. The new centre has been created in the town's Grade II* listed Natural History Museum, a former home of the famous Sitwell family, which was in need of refurbishment. The fabric of the old building has been retained and a new wing built to complement the existing construction, creating a contemporary mix of old and new.

Woodend Creative Workspace provides 52 office units and artist studios for creative sector businesses plus a large open incubator office space for new start ups, conference amenities and a virtual office service whereby those working from home can use the address and telephone facilities (www.woodendcreative.co.uk, 2008).

Public art gallery space run by Crescent Arts has been provided in the building, along with numerous artist studios. The newly formed Scarborough Museums Trust also retains some space in the building including their offices, research and storage facilities.

Again this building has not only revitalised a run down building but also created a central point in the town for the Culture sector with a dynamic mix of cultural and creative businesses. Six months after first opening its doors 70% of the available space has been let to businesses including web designers, photographers, artists, writers, publishers, graphic designers, the BBC, Business Link and Create Arts Development (www.woodendcreative.co.uk, 2008). Woodend Creative Workspace

has the potential to provide valuable regulatory functions for the Culture sector. As with the Creative Coast this new centre has brought more cohesion to a system that had been identified in the Case Study as fragmented and disconnected.

In October 2008 the Scarborough Renaissance Partnership won the Department for Business, Enterprise and Regulatory Reform 'Enterprising Britain' award for Scarborough as the most enterprising town in Britain and in May 2009 won the European Enterprise Awards being named 'The Most Enterprising Place in Europe' (Whitehall: Department for Business, Enterprise and Regulatory Reform, 2009; Enterprise Insight, 2009). Woodend Creative Workspace, Creative Coast and the new Business Park on the outskirts of the town formed a large part of the entry for the competition.

8.2.3 Regional Tourism Structures

Yorkshire Forward as the organisation responsible for regional tourism, have decided to take more of a network approach to Tourism structures, although how this will work in practice is still unclear (Scarborough Forum for Tourism Meeting, August 2008). The Moors and Coast ATP is still in operation but it appears that Yorkshire Forward are attempting to change the structural arrangements by looking at instigating the network approach. This could be interpreted as dissatisfaction with the manner in which the ATPs are operating or maybe just a different approach that they wish to attempt.

Of course the existence of the Area Tourism Partnerships relies on the continued support of the local authorities whose staff are seconded part time to provide the

operational capacity. If these local authorities do not feel they are receiving any benefits from the partnerships, they could withdraw. This uncertainty makes it vital that the local networks are strong with effective local management so that they can continue whatever structural conditions may come about.

In April 2009 Yorkshire Tourist Board was renamed 'Welcome to Yorkshire' and together with the Yorkshire ATPs:

- Visit York Tourism Partnership
- Yorkshire Moors & Coast Tourism Partnership
- West Yorkshire Tourism Partnership
- Yorkshire Dales & Harrogate Tourism Partnership
- Visit Hull & East Yorkshire Tourism Partnership
- Yorkshire South Tourism

form the Yorkshire Tourism Network (Welcome to Yorkshire, 2009). A joint CEO has been appointed to cover both the Moors and Coast and the Dales and Harrogate ATPs. It still remains to be seen how these new structures will perform.

8.3 Using the Framework

8.3.1 York and North Yorkshire Festivals and Events Initiative

Create Arts Development Ltd was commissioned by Arts Council England and North Yorkshire County Council to carry out a survey to identify festivals and events taking place in York and North Yorkshire and produce a business plan to help develop the festivals and events sector in the area (Massey et al, 2007). Initial ideas for developing the sector included setting up a Festivals Unit to serve the area.

However focus groups and discussions held with those festival organisers working in the region found that there were some areas, such as York that were already well served by the City Council's Festival Unit. They did not want another unit which would duplicate work already being done and create a hierarchal bureaucratic structure.

At this point the chance became available to apply the framework developed in this study. Network analysis was carried out using the survey data and the VSM was used to diagnose and develop structures to provide support and development to the sector.

It became apparent from the network analysis and applying the VSM that both York, with its Council Festivals Unit and the Yorkshire Coast with the Yorkshire Coast Festivals Association were well connected with some local management functions. However other areas of North Yorkshire had little connectivity and no regulatory functions to support them for example the Yorkshire Dales area.

The VSM was used to develop designs for the development of new network structures. The following VSM diagram was produced by graphic designers from the initial VSM provided for the business plan, see the following figure.

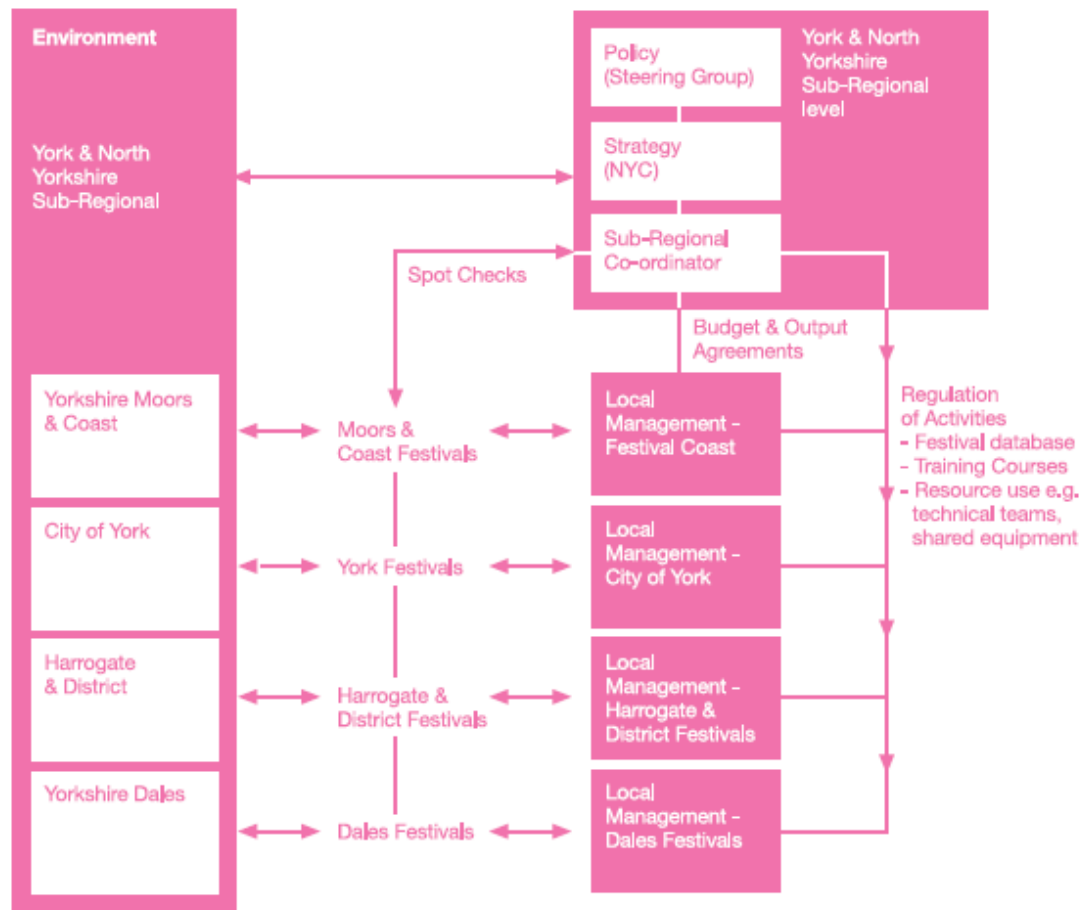


Figure 8.2 VSM for York & North Yorkshire Festivals Development.

(Source: Massey, Clews & Watts, 2007)

The VSM shows how it is proposed that four local networks are developed. This includes the existing York network and developing the Yorkshire Coast network to include the ‘moors’ area that are already partly in place, and creating new networks for the Harrogate area and the Yorkshire Dales area. Coordination will take place at the sub regional (county) level with a sub regional coordinator, a Steering group and North Yorkshire Culture (a local council officers’ group) to provide the regulatory functions.

This business plan was adopted for implementation in 2008 and partial funding of the

plan for two years has been agreed. Create Arts Development has been commissioned to act in a System 3 role as coordinators and developers of the new network structures.

Some of the recommendations in the Design section have come about in some form as described in the further developments that are outlined in this section and have helped to relieve some of the fragmentation in both the Tourism and Culture systems. The establishment of the Creative Coast and the Woodend Creative Workspace has provided a focal point for the creative and cultural sectors and the possible merger of the three hospitality associations could bring cohesion to the tourism system and also help in the reduction of duplication. The Counting 4 Scarborough project, if implemented could provide a means to collect and distribute valuable operational data not only to the Tourism and Culture sectors but also to other sections of the economy and area, providing not only useful information but also building social capital, trust and identity for the Borough.

In particular the use of the framework developed in this research has proved useful in the business planning and implementation of the policy initiative to develop the festivals and events sector in York and North Yorkshire.

8.4 Reflections on the Strategic Policy Implementation Framework

This section reflects on the research process, reviews the development and application of the SPI framework and reflects on the learning achieved.

It became apparent during the time of the research process that the framework provides only a snapshot of the current situation of the policy arena. The nature of a cluster, particularly this Case Study of the Borough of Scarborough which was undergoing a regeneration initiative, is that there are dynamic processes continually happening and changing the circumstances of the environment. The framework developed did provide useful insights but needs reapplication particularly after any policy interventions.

8.4.1 Data Collection and Research Methodology

A more of a quantitative approach to the collection of network analysis data could have provided a greater depth of information to produce more robust sociograms. A separate questionnaire left with the respondents after the semi-structured interview would have given the respondents more time to think about the organisations they were working with and also the nature of those relationships. This would have provided more data to allow more partitions to be created for the networks thus giving further insights into the content of the ties and the types of working relations.

Questions were asked regarding the types of ties but because of the interview format of the data collection the respondents tended to give qualitative imprecise answers that were useful in terms of the VSM diagnosis but not precise enough for the network analysis. However this study was still useful in achieving a picture of the actors' awareness of others operating in the policy arena and potential consequential

impacts of each others' actions – or lack of awareness!

Ideally a longer interview would be preferable, however this is not always possible due to time restrictions of the respondents who are often very busy with businesses to run and access is often limited for research students.

More of a focus on problems could be gained with a more informal situation rather than a formal interview. The application of a more ethnographic approach could address the problem of respondents 'giving the party line' in interviews. Obtaining more personal views would be invaluable in gaining a deeper understanding of problems in the policy arena. However a longer interview would have to balance allowing a respondent to talk with obtaining useful and pertinent data.

Placing and drawing of the boundary of the policy arena needs to be made more robust. More methodological work is needed in developing the framework to include a more defined way to set the parameters from which the actors to be considered as part of the system are taken.

The following chapter will now look at conclusions for this study in light of the research aims and objectives.

9 Conclusions

This chapter will review the research and draw together the main findings and research aims and questions. Consideration will be given to the limits of the research and directions for further research that could be undertaken in the future.

9.1 Research Objectives

The objectives for this study were:

- To develop a more useful framework for the implementation of strategic policy that offers a means to assess and address fragmentation in complex operating environments that require collaboration, communication and control whilst allowing for cooperative competition.
- To explore the application of a Complex Systems approach to policy implementation and in particular the complementary use of a structural approach to complexity being the VSM and Social Network Analysis enabling a dynamic understanding of complexity.
- To gain further insights into the process of implementing better tourism systems in an English seaside context.

9.2 Development of the framework

These objectives were addressed through the development of The Strategic Policy Implementation Framework incorporating VSM diagnosis and Social Network Analysis which was applied to the proposed policy action of Scarborough Borough Council to implement a more cultural tourism product for their area. This has allowed the exploration of the complementary use of VSM diagnosis and Social Network Analysis and brought insights into the process of implementing better

tourism systems in an English seaside context. The following conclusions can be drawn.

9.3 Application of the Framework and Complementary Use of the VSM and Social Network Analysis

Following the development of a more useful framework for the implementation of strategic policy that offers a means to assess and address fragmentation in complex operating environments it was As discussed in the Conceptual Framework chapter, the VSM is a recursive model and has allowed the consideration of different levels of embeddedness of the system. Consequently this has enabled the framework to allow both collaboration and competition within the same system. The system in focus for this study was taken at the level where collaboration between organisations was needed because of the joint working required for policy implementation. However if necessary, investigations could still have been undertaken deeper into the system by considering the recursion where individual business would be competing; for example where many hotels are competing for the same guests and attractions are competing for the same visitors.

9.3.1 Systemic Identity

The VSM diagnostic methodology included the TASCOI tool. This exploratory identity tool, in conjunction with Social Network Analysis has been useful in identifying different perceived systemic identities within the policy arena. These identity considerations are essential issues to be taken into account when implementing policy. If there are multiple systemic identities operating within the

policy arena then attempts have to be made to bring together these separate systems to improve systemic cohesion and so achieve successful implementation.

For example in this study the sociograms showed that there were two systems operating within the policy arena - Culture and Tourism. The sociograms illustrated very little interaction between the two systems with organisations within each of the systems not perceiving themselves as belonging to a 'Cultural Tourism' system. They considered themselves to be either Cultural or a Tourism organisation. This was not conducive to the successful implementation of a cultural tourism strategy.

9.3.2 Uncovering fragmentation and collaboration issues

In terms of fragmentation and collaboration issues, the framework has provided a means of exploring relational ties within networks through the use of Social Network Analysis. The VSM provides a means to investigate management mechanisms but requires the sociograms to highlight where fragmentation could be a problem. This was illustrated in the Case Study section for the Culture system. Where there were organisations in the local management boxes in the VSM for Arts and Heritage and Festivals and Events, the sociogram highlighted the greater connectivity and therefore greater viability within System 1 for Festivals and Events, and the fragmentary nature and less connected remainder of the cultural sector.

When exploring fragmentation in the Tourism system, again the sociogram was useful in illustrating the denser connectivity of the tourism sector, but in this case required the VSM to look at the functioning and viability of the linkages. When considering the VSM for Tourism it was found that the presence of multiple

organisations in the boxes indicated duplication. This duplication in itself was a potential cause of fragmentation because there was no clear structural arrangement and therefore this has possibly brought confusion and partition amongst rival groups.

It is only by using the VSM and Social Network Analysis in this complementary way that fragmentation, connectivity, functioning and viability of the networks can be investigated and explored fully.

The sociogram does not make environmental distinctions between those organisations considered internal to the System and those whom form part of the environment. The VSM does allow for this distinction and therefore allows for depiction of channels which connect with the environment and therefore the investigation of the effectiveness of such channels. The VSM also permits the dissection of layers of the system and consideration of levels of recursion. This is particularly important in consideration of policy implementation where the systems contain organisations that have to compete with one another at one level but cooperate at another level to experience the economic externalities of belonging to a system that must compete with other systems (for example destinations competing for visitors). The sociogram does not allow for discrimination of levels of systemic activity. It is constructed on one plane and cannot depict the recursivity of a system.

The sociogram is however useful for exploration of relational ties and connectivity of organisations, including density of connections not only for individual organisations but also the network as a whole. Fragmentation and collaborative ties can be explored more easily using the sociogram, and structural holes and disconnected sections of the system are more visually apparent. By combining the VSM and the

Social Network Analysis a deeper picture can be obtained with various differing aspects of the system made visible for investigation.

9.3.3 Uncovering structural, communication and control issues.

The use of the VSM, which has not previously been applied to policy implementation networks, within the framework, has been valuable in investigating structural, communication and control issues in the policy implementation networks.

9.3.4 Breakdown between organisations and their operating environment.

Applying the VSM to the policy implementation networks allowed the diagnosis of problems with channels of communication and feedback loops between organisations and their operating environment. This included issues with the duplication of provision of event information for cultural organisations and poor data collection of customer information.

With regard to Tourism the VSM again highlighted problems with environmental channels which resulted in poor data collection on customers and performance. A matter that could not be explored using the sociogram was therefore possible using the VSM allowing the investigation of the channels necessary to facilitate consideration of 'future' environments. Application of the model allows exploration of the different environmental channels that assess current trends and future possible scenarios. In the case of the Tourism system it appeared that both of these environmental channels were not functioning effectively which resulted in little or no intelligence for product development and marketing and missed opportunities.

9.3.5 Issues of control

Once more the VSM when applied to the Culture and Tourism systems provided a means to investigate issues of control not possible with Social Network Analysis. This is discussed in the following sections.

9.3.6 Unclear roles and responsibility for regulatory organisations

It became apparent when applying the VSM that both the Tourism and Culture systems had issues with control of the system because of unclear roles and responsibilities. The multiple number of organisations within the boxes of the meta-systems highlighted the duplication problems that were resulting in fragmentation and communication problems regarding the dissemination and sharing of information. Investigation of the meta-systems made possible by the application of the VSM also highlighted the inadequate level of resources available to enable the effective running of the meta-systems.

9.3.7 Marketing problems

Exploring marketing problems using the VSM it became apparent that the main issue was a dysfunctional System 4 - these issues are symptomatic of unclear roles and lack of resources endemic in the meta-system as discussed previously.

The VSM has been extremely valuable in the exploration of these marketing problems by identifying where the functioning of the system is ineffective something which is not possible to ascertain by using sociograms. The VSM has through its functional distinctions allowed consideration of the roles of organisations within the meta-system and their interactions with the environment. The sociogram can only

show where collaboration is lacking with regard to marketing but not the channels of interaction with customers and the environment or the internal operational structures of the system enabling the development of marketing strategies and product development.

9.3.8 Monitoring and improving quality

When diagnosing the problem of monitoring quality, the sociogram does not allow for investigation of the channels available for monitoring activity. Conversely when the quality monitoring problems are mapped onto the VSM they appear as System 2 and 3* issues. The VSM has both System 2 channels for routine coordination and also System 3* for ad hoc monitoring. By considering these channels in the VSM it can be possible to diagnose monitoring issues.

9.3.9 Accountability, Information sharing and cohesion of activities.

When problems were mapped onto the VSM, many of the breakdowns in both the Culture and Tourism systems were seen to arise from the lack of effective mechanisms and organisation of the meta system. Without these mechanisms there is also necessarily no effective Central Command Channel or Resource Bargaining Channel.

The VSM has shown that duplication and tangled structural arrangements within the meta-system has made the effective operation of these channels impossible to implement. The feedback loops on the vertical axis are not fully in place and therefore has led to a vacuum between the meta-system and System 1s where no

information can pass easily. When any information does bridge this divide the transduction process is not operating appropriately meaning that it cannot be readily understood by the receiving party. The result is that the inadequate channels that do operate spasmodically are transmitting information that is unclear in meaning and is being interpreted incorrectly. These breakdowns have manifested as a lack of sharing of information, no accountability to the systemic whole or a systemic identity, no planning and no coherence of activities.

The implementation of the Tourism Strategy therefore is not seen by organisations as part of a 'deal' involving themselves because of this nature of the loosely connected network and the System 5 problems of identity.

9.3.10 Poor unclear system identity and branding

Problems of identity when mapped onto the VSM can then be seen as System 5 and System 1 issues. As explained previously the VSM highlighted that the meta-systems of the Tourism and Culture system were confused with examples of duplication, and confusion of roles and responsibilities. With no strong ethos or vision of a 'whole' destination provided by an effectively functioning System 5, the system has to some extent fragmented and the Borough could be viewed as not having any significant cultural value as a destination. Although as illustrated by the sociogram there are many individual cultural organisations, they have not collaborated to produce a critical mass and holistic whole. There is no local or regional cohesive organisation whereby they could project a vision of cultural significance in the area. This is a problem which will have to be resolved if the implementation of the policy to introduced more culturally focussed tourism is to

succeed.

9.3.11 Power

By just considering the VSM it is not immediately apparent where there maybe concerns regarding imbalances of power in the system. However examining the network analysis and sociograms of the system offered useful insights for assessment of power imbalances, and highlighted possible areas where inappropriate power imbalances may be occurring or where future care must be taken when designing variety amplifiers and attenuators. The sources of power highlighted by inspection of sociograms are those which show power emanating from positions in a network as a densely connected organisation or as a broker or structural bridge or because of the prestige of connections to important or influential organisations.

By just using the VSM it is not possible to ascertain where brokerage is coming into play within a system. Using network analysis and sociograms can highlight where brokerage may be an issue.

For example the hospitality associations for Scarborough and Whitby who represent a large membership, operate as brokers between their members and the remainder of the system. This has put them in a particularly powerful position both in terms of information flow and influence on the visions and strategies of the Tourism System. This disproportionate amount of influence has been recognised by Respondents, with particular mention being made of the dominance on the Board of the ATP and a reluctance to fund and enhance product development with the main focus on accommodation.

In summary the complementary use of the VSM and Social Network Analysis within the framework developed has been shown to provide a useful framework to allow for the investigation of fragmentation, collaboration, and issues of structure, communication of control of strategic policy implementation networks.

Social Network Analysis has enabled investigations into collaboration and fragmentation by enabling the visual inspection of disconnected elements of the system where there are missing relationship ties and unnecessary collaboration over recursion levels. Social Network Analysis has also strengthened the framework with the ability to allow investigations into power through the illustration of brokerage and network cores; something for which the VSM has been criticised.

The VSM has brought the ability to investigate communication and control issues such as duplication, system cohesion, accountability, coordination, regulation and environmental interactions within strategic policy implementation networks. By mapping the issues on to the VSM, the problems can be diagnosed and solutions designed.

The identity considerations addressed with the TASCOI tool in conjunction with Social Network Analysis have been useful in identifying different perceived systemic identities within the policy arena. The identification of these multiple identities are necessary to begin to look at improving systemic cohesion and so achieve successful implementation.

9.4 Insights into the process of implementing better tourism systems in an English seaside context

The framework developed has provided insights into the process of implementing better tourism systems in an English seaside context. One of the most important elements of learning has involved systemic identity.

Many of the existing tourism organisations in the English seaside resorts in this study felt no connection with the cultural organisations operating in the area. They had little perception that they could have compatible objectives such as attracting visitors to the area.

Some traditional seaside businesses felt threatened by the introduction of more cultural products with worries that the existing market could be lost with a change of resort identity.

Domination of the Accommodation sector has also been an issue in this study with the existence of trade associations over many years and lack of similar institutions in the cultural sector. However it is recognised that this may not be a problem in other seaside areas.

In considering the introduction of more cultural products into an English seaside area, it is advised that existing relational ties are first identified and systemic identities highlighted. Are Culture and Tourism operating in isolation? This will provide a starting point to look at where work must be done to improve cohesion, and look at building accountability at the resort level.

The learning and understanding gained in this study has included the necessity to

recognise the importance of a holistic network approach to policy implementation. The application of cybernetic principles (the VSM) and Social Network Analysis to the proposed policy arena has been found to be useful in providing the basis for more successful implementation by identifying potential problems of differing systemic identities, power imbalances, fragmentation, duplication, and ineffective communication and control.

The hypothesis that the application of a methodological framework using the VSM, and Social Network Analysis can provide a means to diagnose and design collaborative implementation structures to address fragmentation whilst facilitating cooperative competition, has been found to be plausible.

9.5 Contributions to Knowledge

As discussed in the Literature Review, this research aimed to contribute to the literature and body of knowledge regarding policy implementation. This study has provided insights in to the policy implementation process. The application of the SPI framework has brought to light the importance of a complex systems approach to the policy implementation processes, in that a holistic stance must be taken not just involving all of the actors within the policy arena but also environmental considerations and the interactions between them all. This also includes the necessity of a methodology that allows for recursive analysis.

Knowledge regarding the current situation within the policy arena is also important as suggested by Ansell and Gash (2008); it is vital to be able to understand the current linkages and connections within the policy arena and therefore identify where

fragmentation is occurring. Systemic identity and the building of a systemic whole is an essential prerequisite for successful policy implementation.

As Ansell and Gash (2008) also state the complexity of the policy implementation process is overwhelming, but the application of the VSM has shown that investigations and management of this complexity is possible. The VSM has also answered Ansell and Gash's call for a common language to combat the complexity.

With regard to the policy network literature it is argued that this research has moved on from the previous purely descriptive work (Carlsson, 2000) to explore in more depth the processes at work within a policy arena and offer analytical and methodological guidance to manage the complexity inherent in the systems. The use of the VSM and Social Network Analysis in conjunction, has been shown to offer a way forward to begin to more fully understand the mechanisms within the policy networks including those of control, communication, collaboration and systemic identity.

In addition it is argued that the application of the framework has been shown to bring elements of coherence and structure to the study of policy networks in answer to the proliferating studies identifying hundreds of 'critical' variables (Maitland, 1995).

The VSM has shown itself to be adequate to investigate the necessary range of mechanisms within the policy arena and Social Network Analysis a satisfactory means to explore fragmentation and power issues.

In answer to the call for more research into the assessment of clusters by Smith and Brown (2009), this study has successfully provided a framework to look at clusters and assess them in terms of structure, fragmentation, collaboration, control and

communication. The clusters in this research being those of Tourism and Culture which were identified within the policy arena of Cultural Tourism. The framework allowed initial assessment of the cluster for 'starting conditions' as advised by Ansell and Gash (2008) including collaborative linkages and possible power issues.

Another aim of this research was to build upon the work of Imperial (2001, 2005) who found that collaboration can be useful as an implementation strategy. This study has argued that in addition to collaboration being an implementation strategy, that assessment of current collaboration and therefore fragmentation is an essential pre requisite of successful policy implementation. The findings of this research has shown that by investigating collaboration and fragmentation then issues can be brought to light that could potentially impact on implementation success, for example a lack systemic cohesion and identity.

With regard to cultural tourism, the aim was to address the gap in the literature concerning collaborative working in cultural tourism in English seaside resorts. This research has found that in the particular area of the Borough of Scarborough that there was little collaborative working between the sectors of Culture and Tourism, with identity being particularly an issue for cultural organisations. It was found that both sectors were poorly linked together with cultural organisations not perceiving themselves as part of the tourism industry. This is surprising given that the tourism industry is a mature industry in the seaside destinations and the opportunities it could afford to cultural organisations.

Some organisations such as the Stephen Joseph Theatre do depend on visitors from out of the area, but still it appeared did not fully perceive of itself as part of the area's

tourism industry. It seems that if any aims pertaining to tourism exist at all they are very much subsidiary to the artistic objectives of the organisation. Some traditional seaside businesses felt threatened by the introduction of more cultural products with worries that the existing market could be lost with a change of resort identity. Future research concerning cultural tourism will have to take this issue of identity and perception of purpose into account when conducting studies.

Selin and Beason's (1991) call for research that incorporates both organisational and network analysis of tourism collaboration has also been addressed by this research, as has the call for application of network analysis and investigations into the processes involved in cultural tourism and seaside contexts. It has been shown that the application of the VSM and Social Network Analysis within the framework developed, has produced useful analysis of tourism collaboration and fragmentation and the organisational concerns of network operation with regard to control and communication. It would be useful for future tourism research to further test the framework in other contexts of tourism such as urban and rural and other international situations.

However the nature of the framework developed is that it should offer a fairly generic approach as in particular the VSM is a generic approach to analyse the viability of any system in its interactions with its external environment. It is a model of the arrangement of necessary regulatory mechanisms that are needed in a system to manage the complexity of its activities in the real world. As such in theory it should be found to be useful in various research contexts including different forms of tourism.

Considering the application of the concept of the industrial cluster to tourism this research has found that there are problems with free-riding behaviour of businesses, lack of supportive governance structures and lack of collaborative structures that enhance trust and reciprocity. However the framework developed has been shown to offer a means to address some of these issues and provide a way to assess potential tourism clusters for problems of governance, cohesion, control and collaboration.

In summary therefore this research has provided original contributions in terms of:

- providing insights in to the policy implementation process.
- recognising that systemic identity and the building of a systemic whole is an important prerequisite for successful policy implementation.
- demonstrating that the use of the VSM and Social Network Analysis in a complementary manner, facilitates the understanding of the mechanisms within the policy networks including those of control, communication, collaboration, fragmentation and systemic identity.
- demonstrating that the framework allows initial assessment of the cluster for ‘starting conditions’ including collaborative linkages and possible power issues.
- applying network analysis and investigations into the processes involved in cultural tourism and seaside contexts.

9.6 Future research

9.6.1 Contributions to Other Work

In particular it is argued that this research could be useful in complementing the work of Ansell and Gash (2008) and Smith and Brown (2009). With reference to

Ansall and Gash, the framework developed provides a methodology and guidelines on the operationalisation of the micro processes involved in their Model of Collaborative Governance including assessment of the starting conditions surrounding the actors to be involved in any future collaboration processes, 'Power-Resource Knowledge Asymmetries', structural 'Constraints on Participation' and levels of current cooperation. In addition the VSM within the framework can offer insights into institutional design, another aspect of their Model.

With reference to Smith and Brown's (2009) work on clusters using System Dynamics, this research could readily complement their work on assessment of clusters. The framework developed in this study offers a snapshot of a cluster and would require reapplication after any policy intervention to ascertain the new conditions. Smith and Brown's Cluster Dynamics Model however, dynamically assesses clusters using system thinking and System Dynamics and would appear to be useful in terms of modelling cluster development over time, thus offering a complementary approach. This framework offers the complementary means to address structural fragmentation, mechanisms of collaborative governance in terms of communication and control, identity and power of the individual actors. Future research could be to investigate the formation of a framework which incorporates both bodies of work.

This study could also be taken further with the application of a Team Syntegrity (Beer, 1995). Team Syntegrity is a collaborative process devised by Stafford Beer whereby stakeholders with an interest in a certain issue gather to try and reach a shared objective through an arranged facilitation process. The schedule for discussion groups within the process is based on the edges and vertices of an

icosahedron with each person represented by an edge and each topic forms a vertex (Leonard, 1996). The actors within the policy arena could be engaged in a syntegegration whereby they could discuss the points raised in the findings of this research and take forward the results to meaningful action. It could be that the Team Syntegrity becomes a formal part of the SPI Framework to aid in the Design and Action processes of the framework.

9.6.2 Content of relational ties

Following on from the more quantitative approach to the network analysis data, further research is necessary on the content of the relational ties:

- What are the reasons for the relationships and methods of contact?
- What are the origins of the ties (work, personal or through a third party)?
- How can desirable ties be built?

Consideration could be given to how networks have developed and how this has affected viability. Do certain processes of network formation bring greater viability or less fragmentation than others? Are identity, brokerage and distrust issues that arise dependent on the way in which a network grows and how does this affect implementation?

9.6.3 Identity

Further research is required on the formation of identity within networks. How can this be changed or modified to achieve the involvement of organisations and creation

of systemic cohesion to improve policy implementation? Related to this are the issues of accountability and belonging. How can belonging and accountability be engendered within a loosely connected network where the vertical channels are more tenuous than in a traditional organisation? How can the collective benefits of the network be promoted?

9.6.4 Resourcing Meta-systems

The resourcing of meta-systems has been a particular issue in this research. Further research is needed into the most useful way to do this in loosely coupled networks. Exploration is needed into the options available. What are the difficulties and barriers in resourcing the meta-system in a multi-actor situation where there are scenarios of a mix of public, private and volunteer actors operating in loose network?

9.6.5 Complementary Methods

More complementary methods of using the VSM and SNA should be explored. This study has taken the first steps in exploring possible benefits of using the VSM and SNA in a complementary fashion. Further research could look at the content of ties as discussed previously and investigations made into how the VSM could be applied to this data.

Investigations regarding developing the framework further could be taken with regard to looking at how actors fulfil their operational needs if they are disconnected from the network. Are there links with organisational culture and fragmentation?

In addition as discussed previously, there is potential to complement the framework

developed in this research with that of other previous work by Ansell and Gash (2008) and Smith and Brown (2009).

9.7 Research Limitations

Despite the contributions made by this research there are of course limitations.

This study has been looking at strategic policy implementation networks which are loosely connected and have no particular legislation or organisational constraints upon their actors in terms of enforcement to conform. Implementation of policy within a traditional organisation situation would have different constraints and influences placed upon the actors, for example greater organisational identity, more awareness of other actors and different manifestations of power, thus making the framework less pertinent.

This research has also been placed within an English seaside context, and although there are possible similarities with other tourism areas or the type of loosely connected networks involved here, there could also be significant differences in context which should be born in mind if applying the framework. For example traditional tourism may not be as well established in other contexts or there may be less cultural capital and cultural activity and organisations operating in the policy arena. In situations not involving tourism or culture the framework should still be of use due to the generic approach of the framework as the VSM is a generic approach to analyse the viability of any system in its interactions with its external environment and Social Network Analysis is useful for any network of actors obviously not just those engaged in tourism or culture.

This research has been set within a UK westernised context using the language and conventions of that context. It could be that this is not appropriate for application in other countries with differing cultural conventions, use of language or perceptions of policy implementation. However as mentioned above the framework has attempted to provide a generic approach using tools and the VSM that is based on mathematical underpinnings based on invariants within systems and has been applied in many different countries and cultures.

As previously mentioned this framework has been designed to reveal a snapshot of the policy arena and therefore following any intervention the framework must be re-applied to re-assess the new conditions. There is therefore a need for future development of a framework that will look at the time dimensions at work in policy arenas. As suggested earlier this could possibly be by looking the work of Smith and Brown (2009) on System Dynamics and Industrial Clusters.

In summary therefore the framework developed here could benefit from further development and testing in a various number of different contexts, particularly to look at the aim to provide a generic approach to policy implementation.

As discussed in the Introduction to this research there seems to be a recognition within the domains of strategic policy processes that joint-working and joined-up thinking is desirable, useful and necessary to enable successful policy implementation. Despite this it appears that there are problems and issues in the operationalisation of these intentions, or even a lack of knowledge and guidance

on how to bring them about. It was the aim of this research to explore the possible structural issues that could be impacting upon this problem, and thereby to further the understanding of policy implementation with regard to structure, fragmentation, collaboration, control and communication,.

Following the development of the Strategic Policy Implementation Framework this research has hopefully gone part of the way to make joint-working and joint-thinking more of a realistic proposition. With further work, development and collaboration with others there could possibly be a way forward to make successful joint-working an everyday practice rather than just a hopeful statement in a policy document.

Appendix 1 Interviewees

Ref	Organisation	Medium	Date of Interview	Time	Length hh:mm:ss
P1	The Wave Gallery	Face to Face	23.01.06	12.35	00:44:43
P2	Create, Director	Face to Face	30.01.06	14.43	00:40:30
R1	Yorkshire Coast Festivals Association	Face to Face	07.03.06	13.16	00:32:03
R2	SBC Museums & Galleries, Dinosaur Coast Project	Face to Face	27.03.06	11.25	00:37:00
R3	Interludes Hotel	Face to Face	29.03.06	11.01	01:14:30
R4	Corrigan's Arcades	Face to Face	31.03.06	17.12	01:25:57
R5	Urban Renaissance	Face to Face	24.03.06	13.00	01:05:11
R6	GNER Manager & Forum for Tourism	Face to Face	01.04.06	12.57	00:54:36
R7	Scarborough Borough Council, Tourism	Face to Face	03.04.06	13.29	01:07:13
R8	Crown Spa Hotel	Face to Face	03.05.06	09.05	01:57:40
R9	Capt. Cook Memorial Museum	Telephone	23.06.06	14.00	00:45:21
R10	English Heritage -Scarborough Castle	Face to Face	03.12.06	12.54	00:37:49

R11	Stephen Joseph Theatre	Face to Face	06.04.06	12.35	00:35:37
R12	Futurist Theatre	Face to Face	28.04.06	12.02	00:55:20
R13	Scarborough Hospitality Association	Face to Face	07.04.06	12.26	00:33:18
R14	Scarborough Borough Council, Arts Development & Filey Festival	Face to Face	11.12.06	15.04	00:33:57
R15	Whitby Hospitality Association	Face to Face	01.08.06	13.58	00:45:34
R16	Scarborough Campus, Hull University, Arts Dept.	Face to Face	03.08.06	11.25	00:51:50
R17	Rotunda Museum – Marketing	Face to Face	10.08.06	11.10	00:33:59
R18	Bourne Leisure- Caravan Parks, Filey	Telephone	13.04.06	10.30	00:37:52
R19	Sealife Centre, Scarborough	Face to Face	25.07.06	14.28	00:24:19
R20	Scarborough Borough Council, Councillor -Tourism	Face to Face	12.04.06	09.06	01:09:36
R21	Yorkshire Tourist Board, Marketing	Telephone	07.08.06	10.30	00:26:43
R22	Moors & Coast ATP	Face to Face	13.06.06	11.14	01:10:54

Appendix 2 Interview Schedule

Respondent Ref:

Date

Time

1) Please will you describe the role of your organisation in the tourism/culture industry. **Prompt:** provide a service, an attraction, strategic.

2) With regard to tourism:

a) Do you share resources with any other organisations?

Prompt: personnel, facilities, information, premises.

b) Do you work with other organisations when planning for the future?

c) Do you work with any other organisations to improve efficiency?

d) Do you collaborate with any other organisations to assist in dealing with institutions or agencies, either governmental or non-governmental?

Prompt: For example Yorkshire Forward, Scarborough BC, Yorkshire Tourist Board, banks, English Heritage, National Park Authority.

e) Do you work with any other organisations in solving community issues?

Prompt: crime, health, lack of skills

f) Do you collaborate with any other organisations to gain more influence/prestige or to overcome barriers from more powerful organisations?

g) Can you think of any other organisations, not already mentioned, that you currently work with?

3) Is working with these organisations:
a) Providing better access to information? Prompt: market intelligence, initiatives, projects, events b) How could this be improved?
c) Affected by delays in action being taken or information being received? d) How could this be improved?
e) Bringing problems of duplication? f) How could this be improved?
g) Affected by a lack of control over activities? Prompt: accountability, coordination, sharing resources h) How could this be improved?
i) Affected by a lack of shared goals or differing objectives? j) How could this be improved?
k) Bringing any conflicts of interest? l) How could this be improved?
m) Including consideration of outside factors or the future? E.g. competition, market trends, economic forecasts, new legislation? n) How could this be improved?
o) Making you change the way you plan for the future? p) How could this be improved?
q) Including any monitoring or feedback? r) How could this be improved?

s) Constrained by any barriers? (local, sub-regional, regional or national?) t) How could this be improved?
u) Bringing any other problems or benefits? v) How could these problems be improved?
w) Formal or informal arrangements?
x) On a regular or 'as and when required' basis?
y) Conducted through a third party or agency?
z) The result of work contacts, personal contacts or through introduction by a third party?
aa) Involving any aspects of cultural tourism?
ab) Any other improvements needed?

4) **With regard to tourism**

a) Are there any organisations that you do not currently work with but would like to work with in the future?

b) Are there any reasons why you do not do so already?

- 5) **With regard to tourism**
- a) Are there other organisations that you think should be working together but don't?
 - b) If so, what do you think are the reasons they do not already do so?
- 6) In tourism development whom do you believe makes the decisions regarding:
- a) Finance
 - b) Information
 - c) Resources e.g. staff, venues, IT
 - d) Initiatives/projects
 - e) Who is the source of any new initiatives?
- 7) What support do you think would be necessary for any collaboration in tourism development e.g. marketing, training, administration and finance or political support?
- 8) Have you anything further to add?

Appendix 3 Consent Form

I

of.....

Hereby agree to participate in this study to be undertaken

by **Michelle Watts**

and I understand that the purpose of the research is to investigate collaborative processes between organisations.

I understand that

1. Upon completion my interview will be coded and my name and address kept separately from it.
2. Any information that I provide will not be made public in any form that could reveal my identity to an outside party i.e. that I will remain fully anonymous.
3. Aggregated results will be used for research purposes and may be reported in scientific and academic journals.
4. Individual results will not be released to any person except at my request and on my authorisation.
5. The interview will be recorded and notes taken from it.
6. That I am free to withdraw my consent at any time during the study in which event my participation in the research study will immediately cease and any information obtained from me will not be used.

I have been given a copy of this consent form.

Signature Date

The contact details of the researcher are:

University of Hull, Scarborough Campus, Scarborough Management Centre, Filey Road,
Scarborough, YO11 3AZ, Tel. 01723 362392.

The contact details of the secretary to the HUBS Research Ethics Committee are:

Hull University Business School, University of Hull, Cottingham Road, Hull, HU6 7RX.

Appendix 4 Further Reading

Chapter	Topic/Issue	Reference
2	Detail and Dynamic Complexity	Senge (1990)
	Complicated and Complex Definitions	Cilliers (2000)
	Complexity Theory	Stacey et al (2000)
	Chaos Theory, Strange Attractors and the Butterfly Effect.	Stacey et al (2000), Jackson (2000), (2003), Fowler (2003)
	Organisational Learning and Crisis and Disaster Management	Ritchie (2004)
	Double Loop Organisational Learning	Espejo et al (1996)
	System Archetypes	Senge (1990)
	Adaptive Learning Organisations	Ackoff (1981b), Senge (1990), Schwaninger (2000), Stacey et al. (2000).
	Development of English Seaside Destinations and Current Decline	Urry (1990), William and Shaw (1997), Middleton (2001), Mason (2003), Beatty and Fothergill (2003).
	Definitions of Cultural Tourism	Borley (1994, 2), McKercher (2002, 30), McGettigan and Burns (2001), Richards (1996), MacCannell (1999), (Pender, 2005), Richards (2001d, 37), Hughes (2000), Richards (2001a, , 2001c)
	Cultural Intermediaries	Richards, Goedhart and Herrijgers (2001)
	Turbulent Tourism Operating Environments	Rodway-Dyer and Shaw (2005), Ritchie (2004), Pender (2005), English Tourism Council (2001), Richards (2001b) (2001c), Li (2000)
	Cultural Tourism: Energy of Place	Wiener (1980, 6)

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