Summary of Thesis submitted for PhD degree

by Amanda Jayne Gregory

on

Organisational Evaluation: A Complementarist Approach

This thesis is about a complementarist approach to organisational evaluation. It is argued that, as each of the popular models in organisational evaluation theory have different strengths and weaknesses, they all have some validity and, taken together, represent a complementary set.

The thesis will be divided into three parts. In the first part, the principles underlying the dominant models in organisational theory will be discussed and the implications for evaluation practice drawn out. Following this, as a test of the hypothesis that a form of evaluation may be derived from any grounded model of the organisation, suggestions for a form of evaluation from a cultural perspective will be made.

The second part will be dedicated to testing the practical feasibility of different models of evaluation. Discussion will be made of the project between the National Association of Councils for Voluntary Service and the Department of Management Systems and Sciences, University of Hull (funded by the Leverhulme Trust).

The final part, having established the theoretical and practical validity of several models of organisational evaluation, will address the implications of a complementarist approach. Given that complementarism is based upon the existence of multiple methods, there is the danger that it may be interpreted as an 'anything goes' approach. In order that this be avoided, a model of good practice and an appropriate meta-methodology for evaluation will be suggested. Finally, the limitations and achievements of the project and the thesis will be reflected upon, and areas of future work proposed.

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ORGANISATIONAL EVALUATION:
A COMPLEMENTARIST APPROACH

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PREFACE

This thesis is about evaluation. Evaluation theory has commonly been accused of being fragmented and non-cumulative (see for example: Goodman and Pennings, 1977; Cameron and Whetten, 1983; and Katz and Kahn, 1978). In the absence of clear theoretical directives, evaluation practice is also likely to be pragmatic in nature. It is not surprising to find practitioners employing any model of evaluation which seems to work, without any theoretical grounding to the choice of methodology or any investigation into what worked where and why.

It was this confused situation which provided the impetus for the setting-up of a national project to provide Councils for Voluntary Service (CVS) with models of evaluation which, as well as being appropriate to the particular needs of CVS, would have a sound theoretical grounding. The project was a joint initiative between the National Association of Councils for Voluntary Service (NACVS) and the Department of Management Systems and Sciences, University of Hull. Funding from the Leverhulme Trust enabled the employment of a full-time researcher for the duration of the two-year project.

The overall plan of the action research project was that there should be a period of theoretical learning followed by a period of learning from practice and, finally, a period of reflection in which both theory and practice were united.

Part I of this thesis is dedicated to the initial period of learning. The first stage of the project, which took place whilst an Advisory Group of CVS and NACVS representatives was being established to guide the development of the project, involved a review of the literature on evaluation and effectiveness. In the first chapter, a few selected examples will be given of the plethora of comments on the nature of effectiveness evident within the literature on evaluation. A review will then be undertaken of five taxonomies which aim to structure effectiveness theory. Following

this, the taxonomies will be evaluated on the basis of the strategy which they inherently promote for the development of effectiveness theory. It will be argued that, due to the status of effectiveness as a construct, the only legitimate strategy is a complementarist one, hence several different definitions of effectiveness will be put forth in this thesis; it may be said that a very broad definition is promoted by this thesis. On the basis of this argument, an attempt will be made in the second and subsequent chapters to construct an enriched complementarist approach to evaluation.

The complementarist approach advanced in this thesis is based, in part, on the discovery, made when undertaking the literature review, that very few theorists address the subject of evaluation in general - most focus upon the evaluation of a specific type of entity, such as program evaluation, educational evaluation, information systems evaluation, etc. Consequently, evaluation theory cannot be said to be an independent homogenous body of knowledge; each strand of evaluation theory has developed out of a parent discipline which determines the focus of attention. Thus, it is argued that organisational evaluation theory has changed in response to organisation theory, educational evaluation theory has changed in response to education theory and so on. Because not all disciplines could be reviewed, the literature review undertaken for the NACVS project was limited in focus to that concerned with organisational evaluation. In any case, it might be argued that this is the most 'fundamental' literature since most other literatures are in some way related to it. This review revealed three dominant models of evaluation, each of which seemed to be intrinsically linked to a mode of thinking about the nature of the organisation. This argument is supported by the comments of Goodman and Pennings (1977):

"There is no agreement on a definition for organizational effectiveness; the number of definitions varies with the number of authors who have been preoccupied with the concept...Underlying these differences in conceptualization are different views of the

nature of organizations, which implicitly or explicitly determine the conceptual definition of effectiveness." (pp. 2-3).

Consequently, it will be argued that the development of each form of evaluation has been driven by some underlying organisational model and the assumptions one makes about the nature of organisations determines the most appropriate basis for their evaluation. This statement implies that all evaluation methods can be categorised according to the organisational model upon which they are based. This hypothesis, which arose as a result of the early reading of the literature, enabled the ordering of the mass of evaluation literature reviewed in later stages of the process. Having surfaced and defined the hypothesis which structured the literature search, the content of that search will be the subject of the second chapter of this thesis. The principles underlying the dominant three models (machine, organic and political-systems) will be recounted, the prescriptions for management practice derived, and the implications for evaluation practice drawn out.

The argument that each model of the organisation implies a form of evaluation will then be taken up. Whilst, historically, organisation theory has been dominated by three organisational models, Morgan (1986) has shown that there are many systems metaphors which offer equal insight into the operations of the organisation. The cultural/autopoietic model of the organisation will be offered as a relatively new and alternative way of looking at the organisation and examination of the criteria for evaluation implied by this model of the organisation will be made.

Having established the theoretical validity of the four models of evaluation in the second chapter, their practical credibility will then be brought into question. The second part of the thesis, Chapters 3 through to 7, will be dedicated to an investigation of the four models of organisational evaluation, discussed in Chapter 2, as they were developed and tested in the national project. As has been said, since each mode of evaluation is based on a root metaphor, metaphor being taken not to

represent the truth of what the organisation is really like but merely a way of viewing the organisation, then each form of evaluation can be regarded as having some legitimacy. This legitimacy, though, may be hampered in practice by the evaluation methodologies being at different stages of development. Hence, the evaluation methodologies need to be brought to an equal footing as regards practical development before they can be compared. In Chapter 3, an account of the setting-up of the NACVS Evaluation Project, which aimed to bring several models of evaluation to a stage of development where they could be implemented by CVS, will be given. The nature and structure of CVS and NACVS and the terms of reference of the project will be discussed, since the former very much influenced the latter. As has been said, whilst the literature review was being undertaken, an Advisory Group was being established. By focusing on the role of the Advisory Group in directing the project, this chapter will serve to give an overview of the project as a whole, before we proceed to look at the individual pilot projects.

Chapters 4-7 each address a different model of evaluation. To enable comparison between the models, each chapter will address a common set of issues:

a.   What are the theoretical grounds for this form of evaluation?

b.   What methods would best realise in practice this approach to evaluation?

c.   What are the implications, advantage and disadvantages, of an evaluation conducted from this perspective?

Account will also be given of each of the methodologies being applied in at least one pilot project. Whilst the names of the CVS have been changed, each account has been verified as being an accurate portrayal of the project by the CVS involved. Indeed, the case-studies were taken, to a large extent, from the reports given by the CVS themselves at a gathering of representatives of all of the pilot projects. Finally, the advantages and disadvantages of undertaking each of the forms of evaluation will be discussed and a theoretical critique conducted. Evidence from the pilot projects will be introduced in an assessment of the critique. Hence, in summary, this

thesis is based on hypothesis testing (that models of evaluation can be categorised according to the organisational model upon which they are based, that each of the models of evaluation has some legitimacy, and so on) and action research (each of the methodologies was tested out in at least one pilot project according to its own intrinsic logic).

The third and final part will be dedicated to looking at the implications of a complementarist approach to evaluation theory and practice. A complementarist approach necessitates that attention be paid to both those issues common to all forms of evaluation and to those issues which are bound up with the internal logic of each of the models of evaluation. The first chapter in Part III will address the related issues of structure and validity. Hence, Chapter 8 will be concerned with the prescription of a general model of an evaluation system and the definition of criteria of validity appropriate to both the different stages of the evaluation process and the different evaluation methodologies.

The issue of validity also provides the basis for Chapter 9 which will be devoted to addressing the complementarist dilemma: given the existence of several, valid methodologies how does one decide which to employ in a given context? Based on experience of the selection techniques tested in the NACVS project, review of the meta-methodology known as Total Systems Intervention (Flood and Jackson, 1991a) will be undertaken, and its utility for making explicit the assumptions inherent in the different evaluation methodologies and for enabling choice between the methodologies assessed.

Following the analysis of problem contexts undertaken in the previous chapter, consideration will be given in Chapter 10 to the role of the evaluator and coercive contexts. Typically neglected, these contexts will be given special attention in this thesis. It will be argued that, as yet, evaluation methodologies appropriate for use in coercive contexts do not exist and the use of conventional evaluation techniques is

critically inadequate and unethical. However, following a review of the principles of Critical Systems Heuristics (Ulrich, 1989), a problem solving methodology which Flood and Jackson suggest is appropriate for use in such contexts, a form of evaluation for use in coercive contexts will be suggested. Furthermore, a summary review will be given of what evaluation might be like from the Marxist and post-modern perspectives.

In the final chapter, Chapter 11, a critical review of the project and this thesis will be undertaken. Limitations of the study will be made explicit, discussion made of what the study achieved and, bringing the two together, areas of future work proposed.

Table 1. The Structure of the Argument

PART I Establishing the theoretical grounds of the argument	CHAPTER 1 Literature review
	CHAPTER 2 Deriving models of evaluation from organisational models
PART II Setting-up the pilot project scheme and developing evaluation methodologies	CHAPTER 3 Designing a project to test the feasibility in practice of the argument
	CHAPTER 4 - 7 Developing and testing the methodologies
PART III Considering the implications of complementarism for the development of evaluation theory and practice	CHAPTER 8 Structure of evaluation systems and validity issues
	CHAPTER 9 Guidelines for the selection of an evaluation methodology
	CHAPTER 10 Role of the evaluator and the issue of coercive contexts
	CHAPTER 11 Reflections on limitations, achievements and future work

In summary, there are three parts to this thesis. Part I comprises of Chapters 1 and 2 and serves to establish the theoretical basis of the argument. Part II serves as an account of the development of the methodologies and their putting to practical use in the NACVS project. Hence, Part II comprises of Chapters 3 to 7. The third part addresses the implications of a complementarist approach to evaluation theory and practice and is made up of Chapters 8 to 11.

This Introduction has set out the basis of the argument and, following from this, the main themes of the thesis. The overall structure of the argument and the thesis is outlined in Table 1.

PART I

THEORETICAL FOUNDATIONS

CHAPTER 1

EFFECTIVENESS: A MULTITUDE OF APPROACHES

1.1   Introduction

The search for an adequate definition of effectiveness has occupied the thoughts of many respected academics. In the absence of concrete results, however, the search has been held to be somewhat akin to 'the search for the Holy Grail' (Mohr, 1982, p. 179). In the following section a representative sample of the plethora of comments which have been offered up as casting light on the issue of effectiveness are arranged in chronological order. After this, discussion will be made of whether or not effectiveness is a concept or a construct and appraisal of each approach conducted. Based on the notion that effectiveness is a construct, several taxonomies of effectiveness will be considered. Next, a discussion of development strategies will be conducted. Given that the status of effectiveness as a construct was earlier established, it will be argued that the only legitimate strategy for the development of effectiveness theory is the complementarist one, and the taxonomies of effectiveness will be duly assessed on that basis.

1.2   Definitions Of and Comments On Effectiveness

a.   **Thompson and McEwen (1958)**

"In the analysis of complex organizations the definition of organizational goals is commonly utilized as a standard for appraising organizational performance." (p. 23).

b.   **Etzioni (1960)**

"...the central question in the study of effectiveness is..."Under the given conditions, *how close does the organizational allocation of*

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resources approach an optimum distribution?" "Optimum" is the key word: what counts is a balanced distribution of resources among the various organizational needs, not maximal satisfaction of any one activity, even of goal activities." (p. 262).

c.   **Friedlander and Pickle (1967)**

"Parallel to the need to understand the total organization system as interdependent with its environment is the establishment of criteria of organizational effectiveness that reflect these interdependencies." (pp. 291-292).

d.   **Seashore and Yuchtman (1967)**

"We define the effectiveness of an organization as its *ability to exploit its environments in the acquisition of scarce and valued resources to sustain its functioning.*" (p. 393).

e.   **Price (1968) (following Etzioni)**

"*Effectiveness...*may be defined as the degree of goal-achievement." (pp. 2-3).

f.   **Georgopoulos and Tannenbaum (1969)**

"We define organizational effectiveness as the extent to which an organization as a social system, given certain resources and means, fulfills its objectives without incapacitating its means and resources and without placing undue strain upon its members." (p. 82).

g.   **Argyris (1973)**

"Organizations are designed to tap the energy and commitment of individuals who are to perform roles, produce work, and achieve goals of the organization." (p. 156).

h. Mohr (1973)

"A good conceptualization is needed, first of all, as a criterion against which organizational effectiveness and efficiency may be evaluated. Second, the organizational goal is important as a dependent variable. We are interested in whether organizations have goals or not, under what conditions they have goals, and under what conditions some kinds of organizational goals are more probable or more salient than others. In addition, the goal concept could be useful for classifying organizations into categories demanding different explanatory models of behavior." (p. 470).

i. Steers (1975)

"In essence, the suggestions made here rest on the argument that a clear understanding of an organization's functional and environmental uniqueness is a prerequisite to assessing its effectiveness. Thus, it would appear that attempts to measure effectiveness should be made with reference to the operative goals that an organization is pursuing..." (p. 555).

j. Pennings (1976)

"Participative, decentralized, and autonomous organizations are more effective." (p. 688).

k. Campbell (1977)

"The overall specification of organizational effectiveness, then, is the degree to which the task objectives judged to be "ends" should be accomplished, given the prevailing conditions in which the organization must work." (p. 49).

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l.   **Cummings (1977)**

"...an effective organization is one in which the *greatest percentage of participants* perceive themselves as free to use the organization and its subsystems as instruments for their own ends. It is also argued that the greater the degree of perceived organizational instrumentality by *each* participant, the more effective the organization." (p. 60).

m.   **Pennings and Goodman (1977)**

"Organizations are effective if relevant constraints can be satisfied and if organizational results approximate or exceed a set of referents for multiple goals." (p. 160).

n.   **Pfeffer (1977)**

"...the study of effectiveness involves an examination of: (1) the process by which various groups and interests both within and outside of the organization develop and articulate preferences; (2) the process by which the organization comes to perceive the various demands confronting it; and (3) the process by which actions and decisions are finally taken in this environment of frequently conflicting interests and demands." (p. 144).

o.   **Weick (1977)**

"...the effective organization is (1) *garrulous*, (2) *clumsy*, (3) *superstitious*, (4) *hypocritical*, (5) *monstrous*, (6) *octopoid*, (7) *wandering*, and (8) *grouchy*." (pp. 193-194).

p.   **Katz and Kahn (1978)**

Effectiveness is "...the maximization of return to the organization by all means." (p. 255).

q. **Meyer and Associates (1978)**

"...the organizational effects and effectiveness that really operate in social life to regulate organizational survival are matters of political agreement and social definition negotiated between organizations and their environments." (p. 365).

r. **Pfeffer and Salancik (1978)**

"...the effectiveness of an organization is a sociopolitical question." (p. 11).

s. **Angle and Perry (1981)**

"...it had been anticipated that several measures of organizational effectiveness would be sensitive to differences in the levels of commitment of the members of the organizations studied. Thus, it was hypothesized that organizations whose members were strongly committed would have both high participation and high production. Such organizations were therefore expected to show relatively low levels of absenteeism, tardiness, and voluntary turnover, and high levels of operating efficiency. In addition, in keeping with the view that committed employees will engage in spontaneous, innovative behaviors on behalf of the organization, it was anticipated that, within limits, organizational commitment among the members would facilitate the ability of an organization to adapt to contingencies." (pp. 2-3).

t. **Deal and Kennedy (1982)**

"Every business - in fact every organization has a culture...Whether weak or strong, culture has a powerful influence throughout an organization; it affects practically everything - from who gets

promoted and what decisions are made, to how employees dress and what sports they play. Because of this impact, we think that culture also has a major effect on the success of the business." (p. 4).

u.   Zammuto (1982)

"...effectiveness stems from the ability of an organization to satisfy changing preferences of its constituencies over time." (p. 82).

v.   Kanter (1983)

"The degree to which the opportunity to use power effectively is granted to or withheld from individuals is one operative difference between those companies which stagnate and those which innovate." (p. 18).

w.   Quinn and Cameron (1983)

"...major criteria of effectiveness change in predictable ways as organizations develop through their life cycles." (p. 33).

x.   Schneider (1983)

"...based on the assumption that because people's behavior determines organizational behavior, the important questions of interest in studying organizational effectiveness have to do with understanding the cycles of *goal definition -> organizational design -> attraction -> selection -> attrition -> comprehension -> goal definition* that characterize a particular organization. It can be predicted that the clearer an organization is about the importance of monitoring organizational imperatives and setting in motion processes for appropriate goal definition and coping with change, the more viable the organization will be." (p. 36).

y. **Weick and Daft (1983)**

"...effectiveness is a function of the interpretation of cues about the environment. Organizational effectiveness is similar to interpretation accuracy. Other bases for assessing effectiveness, such as internal efficiency or resource acquisition, assume organizational dimensions at lower systems levels." (p. 82).

z. **Hall (1991)**

"...a contradiction model of effectiveness will consider organizations to be more or less effective in regard to the variety of goals which they pursue, the variety of resources which they attempt to acquire, the variety of constituents inside and outside of the organization, and the variety of time frames by which effectiveness is judged. The idea of variety in goals, resources, and so on is key here, since it suggests that an organization can be effective in some aspects of its operations and less so on others." (p. 247).

1.3 Effectiveness: Concept or Construct?

It can be seen from the foregoing that there is great variety in interpretation of what effectiveness is and implies. It may be argued that this variety is due to effectiveness being a construct rather than a concept with an absolute definition of meaning. Cameron and Whetton (1983) advanced this argument when claiming that 'the construct space of effectiveness is unknown':

"Organizational effectiveness is a construct. Constructs are abstractions that exist in the heads of people, but they have no objective reality...One difference between constructs and concepts is that concepts can be defined and exactly specified by observing

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objective events. Constructs cannot be so specified. Their boundaries are not precisely drawn..." (p. 7).

Campbell (1977) also recognised this state of affairs in stating that "The meaning of organizational effectiveness is not a truth that is buried somewhere waiting to be discovered if only our concepts and data collection methods were good enough." (p. 15).

Given the apparently indefinable status of effectiveness, some theorists have called for the abandonment of the term altogether (Hannan and Freeman, 1977), whilst others, according to Cameron and Whetton, have proposed that 'a moratorium on organisational effectiveness studies should be held'. Cameron and Whetton argue, though, that neither abandonment nor a moratorium is likely or even desirable. For they claim:

"Theoretically, the construct of organizational effectiveness lies at the very center of all organizational models. That is, all conceptualizations of the nature of organizations have embedded in them notions of the nature of effective organizations, and the differences that exist between effective and ineffective organizations....Empirically, the construct of organizational effectiveness is not likely to go away because it is the ultimate dependent variable in organizational research. Evidence for effectiveness is required in most investigations of organizational phenomena....Practically, organizational effectiveness is not likely to go away because individuals are continually faced with the need to make judgements about the effectiveness of organizations..." (pp. 1-2).

Given that the search for a single definition of effectiveness will, due to the very nature of the term, be fruitless and given that the issue of organisational effectiveness is

unlikely to go away, where do we go from here? In this thesis it will be argued that variety in the definition of effectiveness and the field of evaluation can be a strength not a weakness. A clear conception of organisational effectiveness is unnecessary and undesirable since ambiguity serves to expand understanding (Morgan, 1980; Weick, 1977). Thus, the search for an absolute statement of the meaning of effectiveness should indeed be abandoned and, instead, efforts should be concentrated upon the critical appraisal of current and emerging definitions of effectiveness. It should be accepted that all definitions of effectiveness, and consequently all models of evaluation, are partial: all have strengths and weaknesses and thus, given a similar level of theoretical development, should be considered equal. Given the equal footing of different models of evaluation, the task is to fit them to their most appropriate contexts for use, based upon their unique strengths and weaknesses. For this reason it is worth considering existing taxonomies of effectiveness. Several taxonomies have been developed which, by their explicit statement of the assumptions upon which the different definitions of effectiveness are based, might facilitate the task in hand.

1.4   Classifications of Effectiveness Theories

Numerous attempts have been made at developing an adequate taxonomy of effectiveness theories. According to Cameron and Whetton, "The rationale for those attempts is that a fundamental element in the development of any scientific body of knowledge is the availability of a widely accepted and usable classification scheme..." (p. 6). In this section we shall consider five such taxonomies.

1.4.1   Weick and Daft (1983)

Weick and Daft base their work on the premise that "...organizations themselves are vast, complex, fragmented, elusive, and multidimensional. Investigators must make assumptions about organizations and adopt a limited perspective, however faulty to

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understand them." (p. 72). In accordance with this notion of 'variety engineering', Weick and Daft organise models of effectiveness along Boulding's (1956) scale of system complexity (Table 2.). Thus, at the heart of any theory of organisational effectiveness is a model of what the organisation is like and these models differ in complexity.

Weick and Daft opine that effectiveness theories range from, at the simplest level, those which concentrate on such matters as the administrative ratio, based on the model of the organisation as a framework, to, at the highest level of sophistication, those theories which seek to assess organisational self-awareness, based on the model of the organisation as a symbol processing system. According to Weick and Daft this arrangement "...suggests that the diversity and seeming confusion in the effectiveness literature are not pathological. The diversity simply represents different perspectives on organizations, and these perspectives can be ordered on the basis of assumptions underlying the organizational models." (p. 73).

Whilst Weick and Daft state that 'organisations exhibit characteristics that typify all seven system levels', they quote Pondy and Mitroff (1978) as having claimed that most organisational research has made low-level system assumptions. Consequently, Weick and Daft see their conceptualisation of effectiveness in terms of level six systems, that is differentiated or interpretation systems, as a 'necessary addition' to the plethora of effectiveness theories that already exist.

Whilst upon initial reading Weick and Daft appear to limit the relevance of their conceptualisation of an interpretive systems approach to effectiveness to "...systems that are differentiated into highly specialized information receptors that interact with the environment." (p. 74), they go on to argue that "Interpretation is required in human organizations." (p. 74). Consequently, it may be concluded that Weick and Daft view their model to be relevant to all organizations and preferable,

given that it is based on assumptions of a higher level of system complexity, to other methods of evaluation.

Table 2. Effectiveness Models and Criterion Measures

	MODEL	EFFECTIVENESS ISSUES	MEASUREMENT
1.	Framework	Arrangement of elements, resource deployment	Administrative ratio, direct- indirect labor
2.	Clockwork	Stability, movement toward equilibrium	Retention, absenteeism, accidents, stability, turnover
3.	Control system	Reaction to controller, feedback loops, organization as "tool"	Satisfaction, motivation, productivity, efficiency, compliance, reward structure
4.	Open system	Acquire and transform resources, survival, seek goals	Resource acquisition, survival, profit, goal achievement
5.	Growth system	Growth and adaptation, interplay among subunits	Growth, innovation, adaptability, integration
6.	Differentiated system	Specialised information reception, nervous system, choice processes, multiple and ambiguous goals	Interpretation of environment, decision processes, information management, goal consensus
7.	Symbol processing system	High-order human characteristics: self-awareness, symbolism, meaning	Organizational self-awareness, language processes, affective dimensions, cause maps

In an evaluation from an interpretation systems perspective, whilst the overall criterion of effectiveness is the correspondence between interpretation and reality, in practice this may be evaluated by reference to six criteria: detailed knowledge, an elaborate taxonomy, causal linkages, capability of reconstructing the input,

sensitivity to complexity, and ability to keep disagreements tacit. Thus, Weick and Daft not only seek to order models of effectiveness theory, they also seek to contribute to effectiveness theory by developing in theory and practice a model of organisational effectiveness based on the notion of interpretation systems.

1.4.2   Seashore (1983)

Seashore formulated a schema based upon his definition of three distinctive theoretical approaches to effectiveness (Seashore claimed that the schema could be expanded to accommodate other theories). The three approaches to organisational effectiveness defined by Seashore were:

(1)   The natural system model

This school views "...an organization as a natural system having its own survival and growth requirements and its own dynamics of activity and change." (p. 56).

(2)   The goal model

This approach views "...the organization as a contrived instrument for attainment of specified short-run goals." (p. 56).

(3)   The decision-process model

This approach "...treats the organization as an information-processing and decision-making entity, with a focus on factors of organizational control and direction." (p. 56).

Having defined the three perspectives, Seashore argued that:

"There is no need to choose one among the goal, natural system, and decision-process models, rejecting the others, for they are not competitive as explanatory devices; instead, they are nicely

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complementary, referring to different but interdependent facets of organizational behavior." (p. 61).

Hence, it is claimed by Seashore that what is needed is the integration of the three models. This integration he termed triangulation. From the triangulation perspective, the organisation must maintain a state of sufficient compatibility among the three domains of effectiveness:

"Systemic integrity must exist in sufficient degree of balance among the component factors; goals must be attained to some sufficient degree - particularly those describable as system outputs of kinds that sustain resource input transactions; decision and control processes must be sufficiently appropriate and workable to deal with the problems relating to goal structures, systemic maintenance, and the maintenance of a sufficiently efficient goal-oriented input-throughput-output system." (p. 62).

According to Seashore, triangulation may best be achieved by multiple integrations. The multiple integrations view states that organisational effectiveness should be evaluated from different constituents' value perspectives since "...effectiveness is evaluative by definition and implies that some coherent set of interests and value preferences is brought to bear." (p. 62). Seashore defined four classes of constituents:

1. subordinate and superordinate units in hierarchically structured organisations;

2. members who import personal values which can only be partially reflected within the organisation;

3. interdependent outside persons or organisations;

4. general societal or public interest.

From this perspective "Constituents, then, as actors on the scene, are the principle "integrators." They integrate in unique ways, according to their respective value orientations and transaction relationships to the focal organization, and within the limits of their information and analytic resources." (p. 63). Hence, it is assumed that constituents will fully reflect criteria from all three schools of evaluation and will employ in practice a combination of the three different types of evaluation. In conclusion, Seashore calls for the testing of the efficiency of the integrated model by holding it in comparison with the three models of which it is composed. However, this call is tempered by Seashore's statement that the different aims of the models makes them, to 'substantial degree', incomparable. This incomparability surely brings into doubt Seashore's claims to integration. Seashore's integrated model shares few characteristics with the original models from which, according to the principles of triangulation, it is composed and, consequently, he must surely admit to proposing a new model of effectiveness.

1.4.3   Quinn and Rohrbaugh (1983)

Quinn and Rohrbaugh embraced the argument that effectiveness is not a concept but a construct and undertook a study to determine which concepts are commonly included in definitions of effectiveness and how such concepts are related. Quinn and Rohrbaugh posed the question "How do individual theorists and researchers actually think about the construct of effectiveness?" (p. 365). From the survey, 17 effectiveness criteria were surfaced and it was concluded that "The findings suggest that organizational researchers share an implicit theoretical framework and, consequently, that the criteria of organizational effectiveness can be sorted according to three axes or value dimensions." (p. 369). The three dimensions are:

-       organisational focus which ranges from an internal, micro emphasis on the well-being and development of people in the organisation to an external,

macro emphasis on the well-being and development of the organisation itself;

-   organisational structure which ranges from an emphasis on stability to an emphasis on flexibility;

-   organisational means and ends which ranges from an emphasis on important processes (e.g. planning and goal setting) to an emphasis on final outcomes (e.g. productivity).

Combination of these three dimensions makes possible the identification of four models of organisational effectiveness. The four models being: the human relations model which emphasises flexibility and internal issues, the open system model which highlights flexibility and external matters, the rational goal model which emphasises control and external matters and the internal process model which highlights control and internal matters (see figure 1.).

HUMAN RELATIONS MODEL   OPEN SYSTEMS MODEL

                              Flexibility

          Means: Means:
          Cohesion; morale   Flexibility; readiness
          Ends: Ends:
          Human resource   Growth; resource
          development   acquisition

                              Output
Internal ─────────────────── Quality ─────────────────────── External

          Means: Means:
          Information mgt.;   Planning; goal setting
          communication
          Ends: Ends:
          Stability; control   Productivity; efficiency

                              Control

INTERNAL PROCESS MODEL   RATIONAL GOAL MODEL

Figure 1. Four Models of Organisational Effectiveness

From this model it may be recognised that each model has a polar opposite and also models have parallel, and thus complementary, models. Indeed, Quinn and Rohrbaugh claim to formulate an oxymoron, that is "...a framework which helps us to recognize the seeming contradictions in the effectiveness construct." (p. 376). However, in making these contradictions in value orientations explicit, Quinn and Rohrbaugh acknowledge that they hit head on Bluedorn's (1980) argument that contradictions within effectiveness render it meaningless. Quinn and Rohrbaugh counter this argument with the claim that value judgements are inherent in any assessment of effectiveness, hence what is important is the explicit statement of the perspective from which one is judging effectiveness. Indeed, Quinn and Rohrbaugh claim that their main contribution is the making explicit of the interrelationships in terms of the three value dimensions of the four approaches. Having made explicit the value assumptions inherent in the different approaches to organisational effectiveness, Quinn and Rohrbaugh go on to align their model with Parson's (1959) model of system prerequisites. They relate the goal attainment function to the rational goal model, the adaptive function to the open system model, the pattern maintenance and tension management function to the human relations model, and the integrative function to the internal process model. Quinn and Rohrbaugh find this alignment 'both striking and instructive' and, whilst open to criticism, it clearly shows how different forms of evaluation may operate simultaneously within an organisation.

1.4.4   Keeley (1984)

In seeking to construct a conception of effectiveness which impartially reflects participants' interests, Keeley categorises theories of effectiveness according to two dimensions:

> the variability of participant ends, ranging from problematic to unproblematic; and

\-   the prospect of conflict among participant ends, ranging from uniform to

variable.

According to Keeley:

"These dimensions are logically independent: people could have the

same ends, but still experience conflict over the enjoyment of those

ends (e.g., in competing for a poker pot); and people could have

different ends, yet experience no conflict in their separate attainment

(e.g., in an ordinary exchange transaction)." (p. 13).

Keeley integrates the two dimensions to formulate a four celled grid onto which he

plots effectiveness/justice theories (see figure 2.).

<div align="center">

CONFLICT AMONG
PARTICIPANT ENDS
PROBLEMATIC

</div>

Paradigm Distributive Justice Model	Welfare-Based Theories of Justice	Resource-Based Theories of Justice	Harm-Based Theories of Justice
UNIFORM PARTICIPANT ENDS			VARIABLE PARTICIPANT ENDS
Single Goal Theories of Effectiveness	Classical Utilitarianism	Functional Theories of Effectiveness	Developmental Theories of Effectiveness

<div align="center">

CONFLICT AMONG
PARTICIPANT ENDS
UNPROBLEMATIC

</div>

<div align="center">

<u>Figure 2. Assumptions of Effectiveness/Justice Theories</u>

</div>

The theories in the lower half of the grid treat conflict as unproblematic and, Keeley

argues, are legitimate for use in only very specific contexts such as in small

businesses. Theories in the upper half of the figure explicitly treat the problem of

<div align="center">

18

</div>

conflicting participant ends and, hence, have a more broad field of application than those in the lower half. However, Keeley finds all popular theories of effectiveness/justice wanting and goes on to state:

> "The diversified nature of large-scale organizations calls for an evaluative theory...that identifies more fundamental grounds for agreement and accommodates a greater variety of human aims.
>
> A harm-based theory may best fit this requirement. Such a theory would hold that, to cooperate effectively, participants need only have similar interests in the avoidance of certain means to whatever ends or resources they hope to attain in organizations. In short, the value focus shifts from primary goods to primary bads." (p. 18).

Keeley cites the words of Will (1983) as a practical example of this concept, "...you can argue about exactly what hospitals should do, but surely they should not spread disease." (p. 19).

Keeley laments that a form of harm-based evaluation has not yet been satisfactorily realised, and proceeds to make some tentative suggestions about its development. He proposes that the crux of a harm-based evaluation is the definition of harm and its minimisation. Following Kleinig (1978), Keeley adopts a definition of harm as "...impairments of persons' basic interests..." (p. 19) and, following this, Keeley refers to the work of Taylor (1978) for a definition of basic interests: "...first, whatever is necessary for preserving an individual's autonomy as a chooser of his own value system, and second, whatever is necessary for realizing those of a person's ends and goals that are of fundamental importance in his or her self-chosen value system." (p. 49). Keeley goes on to give several practical examples of where a harm-based theory of effectiveness might find practical expression in the events of day-to-day organisational life which illustrate that "...we should look for harm." (p. 21).

Keeley's work on harm-based theories introduces a new perspective on effectiveness which highlights the traditional over-emphasis of organisational goods, for "Bads are no less interesting and, given comparable effort, no less discernible." (p. 21).

Keeley goes on to argue for impartiality on behalf of major organisational decision-makers since they decide who will benefit from or suffer by an organisation's actions. According to Keeley, a harm-based theory of effectiveness will facilitate this impartiality since "...it is easier to specify what no one wants from organizations than what everyone wants." (p. 23).

1.4.5   Guba and Lincoln (1989)

Guba and Lincoln propose that evaluation has passed through three generations: measurement, description, and judgement. The measurement generation was characterised by the process of measurement and analysis of results. The description generation involved the setting of objectives, measurement, analysis and then description of how well or not the objectives were being met. With the judgement generation it was the evaluator's role which was enhanced. The evaluator assumed the role of judge and the goals being pursued were seen to be problematic and thus a subject of debate in the evaluation process.

The authors document the three stages of the development of evaluation theory with examples from evaluation in education. It is claimed by Guba and Lincoln that the first, second and third generations of evaluation have their theoretical foundations in the scientific positivist paradigm. From this point, Guba and Lincoln formulate, what they term, fourth generation evaluation (FGE) or responsive constructivist evaluation. FGE is responsive in that, Guba and Lincoln claim following Stake (1975), parameters and boundaries are determined though an interactive, negotiated process involving stakeholders. FGE is constructivist in that:

- ontologically it asserts that "...realities are social constructions of the mind, and that there exist as many such constructions as there are individuals..." (p. 43);

- epistemologically it asserts that "...the findings of a study exist precisely because there is an *interaction* between observer and observed that literally creates what emerges from that inquiry." (p. 44);

- methodologically it requires "...a *hermeneutic/dialectic process* that takes full advantage, and account, of the observer/observed interaction to create a constructed reality that is as informed and sophisticated as it can be made at a particular point in time." (p. 44).

Given the move away from the scientific positivism of the first three generations of effectiveness theory, Guba and Lincoln claim that there has been a paradigmatic shift to what they term the constructivist paradigm as evidenced by their conceptualisation of FGE. As regards the realisation in practice of constructivist evaluation, Guba and Lincoln outline a 12 stage process. In summary, the major steps in this dialectic process are the identification and involvement of stakeholders, the surfacing of claims, concerns and issues and, finally, consensus-oriented negotiation. Guba and Lincoln make impressive claims for the superiority of FGE over other forms of evaluation. They state "...the construction that we have labeled fourth generation evaluation is more informed and sophisticated than previous constructions have been." (p. 22).

The next section considers what is implied by each of the taxonomies discussed in this section.

1.5   Strategies for the Development of Evaluation Theory

Following Jackson's (1987; 1991a) work on development strategies in management science, theorists who have sought to develop classifications of effectiveness theories can also be seen to implicitly adhere to one of four strategies:

the isolationist, implicitly or explicitly, promotes the separate development of the different schools of effectiveness theory with no integration of the different approaches;

- the imperialist adopts the view that one of the schools of thought is fundamentally superior to all others. Whilst holding one approach above all others, the imperialist is willing to incorporate aspects of the other approaches to add strength to his/her preferred approach;

- the pragmatist adopts the best elements of the different theoretical approaches according to what appears to work in practice. Hence, there is little or no theoretical grounding to this approach;

- the complementarist acknowledges the respective strengths and weaknesses of the different approaches and seeks to ensure their employment in the most appropriate context.

In the previous section five taxonomies of evaluation theories were discussed; each embedded a strategy for the development of evaluation theory. Having discussed the taxonomies and having defined the four possible development strategies, we are now in a position to label the approaches according to the overall strategy which they implicitly promote.

Weick and Daft's organisation of effectiveness theories in hierarchical fashion, may be said to be an imperialist strategy. Weick and Daft express a preference for those methodologies higher up the hierarchy since the assumptions these methodologies make about the nature of the organisation, according to Weick and Daft, are less

limited. Hence, whilst their contribution to effectiveness in terms of interpretation systems may be applauded, Weick and Daft's assumption that the findings of the models of effectiveness at the top of their hierarchy are always more pertinent is open to question.

Seashore's position is a difficult one to categorise. The triangulation route is indeed truly complementarist (it acknowledges that because organisations are complex and multi-faceted, organisational evaluators have different information needs and to meet those needs it is desirable that different forms of evaluation operate concurrently), if a little limited in the theories which it embraces. On the other hand, it may be argued that Seashore's multiple integrations view actually represents a paradigm shift, from the positivism of the three modes of evaluation thought which he seeks to integrate to a form of subjective-relativistic evaluation (referred to in this thesis as multi-actor evaluation and termed fourth generation evaluation by Guba and Lincoln). Thus, in proposing the subjectivist-relativistic multiple integrations form of evaluation Seashore appears to be adopting the stance of the imperialist, even though he fails to identify this as a separate school of thought as others have done.

Quinn and Rohrbaugh seek to promote equally the four schools of effectiveness theory. Also, they endeavour to make explicit the inherent assumptions of the different schools of thought on evaluation. Hence, it may be claimed that the position of Quinn and Rohrbaugh is that of true complementarists.

Keeley openly embraces the stance of the imperialist. He states:

> "Certainly, administrators ought not disregard profits, wages, services, or other goods; but it is important to recognize these things for what they are - outcomes that largely satisfy the preferences of some participants. If we remain committed to maximizing such outcomes, there may be no logical (unbiased) escape from a relativistic

approach to evaluation, which allows us to say only whether an organization is getting better or worse from the viewpoint of an arbitrary constituency." (p. 23).

Hence, whilst recognising the contribution, albeit partial, made by other approaches, Keeley ultimately finds only a harm-based approach impartial and legitimate.

Guba and Lincoln's notion of generations in evaluation theory, clearly gives them the position of imperialists. Their imperialist stance is reinforced by the fact that they view fourth generation evaluation as having developed in response to the deficiencies in all previous generations of evaluation theory. Indeed, given the pattern of generations in evaluation theory established by Guba and Lincoln, they go on to critique fourth generation evaluation, no doubt as a means of paving the way for their next panacea and thus reinforcing their position as imperialists.

We have now considered the five evaluation taxonomies on the basis of the development theory which they seek to, implicitly, promote. Given the construct status of evaluation, it was earlier argued that only the stance of the complementarist is legitimate, hence only Quinn and Rohrbaugh's approach may be regarded as valid. However, that is not to say that the approach of Quinn and Rohrbaugh cannot be criticised. In developing their taxonomy Quinn and Rohrbaugh merge models of organisational analysis and evaluation: they state "...the literature on organizational effectiveness is simply a grounded version of the literature on organizational analysis." (p. 370). Furthermore, Quinn and Rohrbaugh's failure to adequately discuss the theories of evaluation beyond classification and labelling would seem to be a serious omission on their part. Indeed, their superficial discussion of the different approaches leads one to raise the question whether the forms of evaluation they discuss do exist in practice or only in theory. Rather than addressing the practical issues, Quinn and Rohrbaugh seek to demonstrate the point, theoretically, that all four models of evaluation are pertinent to the organisation concurrently by relating the

four different forms of evaluation to different organisational functions. Whilst Quinn and Rohrbaugh's argument, that several forms of evaluation may be pertinent to the organisation concurrently, is complementary to the argument being pursued in this thesis, their relating of the different forms of evaluation to Parson's four different organisational functions is actually antagonistic to the central theme of this thesis. Quinn and Rohrbaugh's rather simple matching of method of evaluation to organisation function risks reducing their model to a simple functionalist approach, and fails to acknowledge the broad spectrum of issues which respecting the different evaluation approaches and their varying paradigms allows us to consider as pertinent to evaluation.

1.6   Conclusion

In this chapter a selection of the multiplicity of definitions of effectiveness and of the different taxonomies of the concept have been examined. Following the argument that the only valid approach to effectiveness is that of the complementarist, since effectiveness can never be adequately defined due its nature as a construct, the taxonomies were assessed on the basis of the theory which they inherently assume as regards the development of effectiveness theory. Only the approach of Quinn and Rohrbaugh was found to be valid due to its complementarist nature. However, even they failed to appreciate the full utility of a complementarist approach as Quinn and Rohrbaugh suggest that the different evaluation approaches be aligned to the different organisational functions which, it may be claimed, is a limiting, positivist approach. In the next and subsequent chapters an attempt will be made at the development of a true complementarist approach to effectiveness.

CHAPTER 2

MODELS IN EVALUATION: FOUR APPROACHES

2.1 Introduction

In this second chapter the models which might make up an enriched complementarist approach to effectiveness and evaluation theory will be reviewed.

The first part of the Chapter will be dedicated to an examination of the three models which have received the most attention from theorists and, thus, may be said to be dominant in organisation and effectiveness theory (following Jackson and Medjedoub, 1988). These models are the machine, system-resource and the multi-actor models. The proposition that there are three dominant models may be controversial. Cameron and Whetton (1983) suggest that there are five dominant models (the goal model, the system resource model, the internal processes or maintenance model, the strategic constituencies model, and the legitimacy model). It is argued here that these five models may be reduced to three as the internal process model is a special case of the system-resource model and the legitimacy model is a corollary of the strategic constituencies model or, as it is termed in this thesis, the multi-actor model. It is acknowledged, however, that in certain cases the issues highlighted by the internal process model and the legitimacy model may be dominant in, correspondingly, a system-resource and a multi-actor evaluation.

The same format of examination will be maintained throughout; the principles underlying each model will be established (what does it take the organisation to be like in the ideal?), the prescriptions for management practice derived from the model will be discussed (how should the organisation be operated to achieve its

ideal state?) and the implications for evaluation practice drawn out (how might the organisation in practice be compared with the ideal?).

The second part of this chapter will concentrate on advancing the argument that a form of evaluation can be developed from any organisational model. An emerging model of the organisation, the organisation as a culture generated by autopoietic processes, will be examined and criteria for evaluation based on this model of the organisation suggested.

2.2   Dominant Models in Organisation and Effectiveness Theory

2.2.1   Organisations as Machines

a.   The Machine Model

The machine model is the traditional model in organisation theory and, as such, it underpins common thought about how an organisation is or should be. Organisations that are designed to be machine-like are usually established to meet the desired goal(s) of the owner(s) and, consequently, the organisation is seen to be a tool. From the mechanical perspective the organisation is a closed system; the organisation is under the control of its owners and is unaffected by its environment.

A comprehensive description of the principles underlying the machine model can be found in the work of Thompson (1976). Following Thompson, and adopting his term artificial system to describe the machine model, the following principles may be said to underlie the machine based model of the organisation:

1.   An artificial system is a system of rules or prescriptions; it is a normative system;

2.   The system has an owner whose tool it is. Hence:

a.   it is monocratic rather than pluralistic; an artificial system is unified by virtue of the fact that the system is designed to achieve a goal (or set of consistent goals); conflict is excluded from the analysis of the system;

b.   as a tool the system is concerned with implementing goals rather than formulating them. It is concerned with administration, the recording of goal oriented activities, rather than decision making;

c.   control is a central concern;

d.   the system is evaluated by reference to a criterion external to itself (achievement of the owner's goals);

e.   although there is always an economics of maintenance in connection with a tool, survival is never the goal of the tool;

f.   operations are guided by the need to optimise the owner's goal(s);

g.   flexibility is needed in artificial systems but too much would destroy the tool;

h.   artificial systems are activated by information and must control it in order to maintain their identity and accomplish their purpose(s).

Having examined prescriptions for the design of the organisation according to mechanistic principles, we shall now proceed to look at the principles of management derived from this model which seek to ensure the continued operation of the organisation in a mechanistic, that is a rational and routine, manner.

b.   Implications for Management Practice

According to Morgan (1980), "The metaphor of a machine underwrites the work of the classical management theorists (Taylor, 1911; Fayol, 1949) and Weber's specification of bureaucracy as an ideal type (Weber, 1946)." (p. 613). The work of these theorists will be examined in this section.

Weber (1947) laid down the principles underlying what he saw to be the dominant form of organisation in industrial society - the bureaucracy. Weber's ideal model of bureaucracy contained the following elements:

1.   Distribution of recurring organisational activities in a fixed way as official duties;

2.   Organisation of offices according to the principle of hierarchy, hence every lower office is under the control and supervision of a higher one;
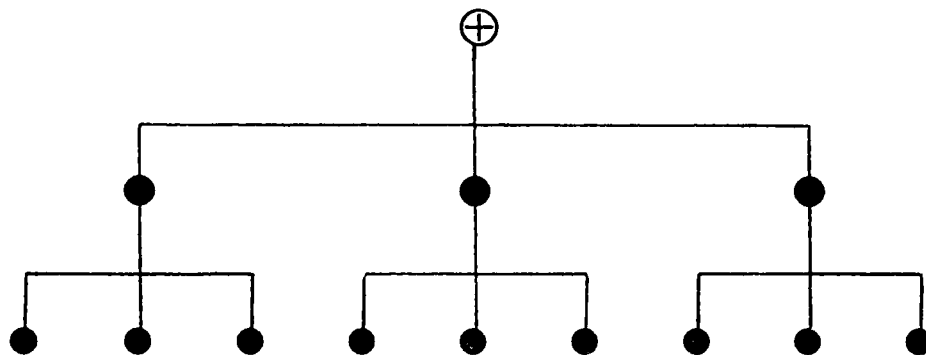
Figure 3. The Structure of the Machine Based Organisation

(The Rigid Bureaucracy, Morgan, 1989, p. 66)

3.   Operations of the bureaucracy are governed by an abstract set of rules which define the bounds of responsibility for each office. Obedience follows from belief in the legitimacy of the impersonal order and is not owed to individuals. Office incumbents are personally free and subject to authority only with respect to their official obligations;

4.   Impersonal order is maintained throughout the bureaucracy. Actions are governed by rules not personal feelings;

5.   Appointment of officials on the basis of technical expertise. Only the chief occupies his/her position of authority by virtue of appropriation, election or designation for succession;

6.   Remuneration by means of fixed salaries in money. There is strict separation of private and official income. Members of the administrative staff should be

completely separated from the ownership of the means of production or administration;

7.   Treatment of the office as the sole, or at least primary, occupation of the incumbent and, as such, it constitutes his/her a career with promotion dependent on the judgement of superiors.

According to Weber, the bureaucracy is founded upon rational legal authority and is the most efficient and effective organisational form since it has the capacity for precision, speed, reliability and so on (in short, all the positive attributes of the well-oiled machine). The structure of the machine based organisation, as per Weber's principles of bureaucracy, is shown in figure 3.

Whereas Weber focused, sociologically, on the implications of bureaucracy for the whole of society, Fayol (1949) sought to set down principles of good management from his own experience which would facilitate the smooth running of organisations. Fayol states fourteen principles of good management:

1.   Division of work.

The division of work into distinct tasks promotes task mastery and specialisation.

2.   Authority and responsibility.

Authority is the right to give orders and the power to command obedience to enable tasks to be undertaken. Hand in hand with authority goes the responsibility to ensure that tasks are satisfactorily achieved.

3.   Discipline.

Discipline is the obedience and outward marks of respect shown in accordance with the standing agreements between the organisation and its employees.

4.   Unity of command.

An employee should receive orders from one superior only.

5. Unity of direction.

Each work team should have one leader and one plan to ensure unity of action, co-ordination of strengths and focusing of effort.

6. Subordination of individual interest to the general interest.

The interests of one employee or group of employees should not prevail over the organisation as a whole.

7. Remuneration of personnel.

Remuneration for services rendered should be fair and afford satisfaction to both the employee and the organisation.

8. Centralisation v. decentralisation.

Everything which goes to reduce the importance of the subordinate's role is centralisation, everything which goes to increase it is decentralisation. It is the problem of management to find the balance between centralisation and decentralisation which gives the best overall yield.

9. Scalar chain.

The scalar chain is the chain of superiors which extends from the ultimate authority to the lowest ranks. The line of authority is the route followed by all communications which start from or go to the ultimate authority.

10. Order.

Material order, the efficient and well-planned handling and use of resources, and social order, the efficient and well-planned use of the work-force, are necessary for the good management of the organisation.

11. Equity.

The need for equity should be considered in all of management's dealings with employees in order to encourage personnel to carry out their duties with devotion and loyalty to the organisation.

12. Stability of tenure of personnel.

Time is required for an employee to become accustomed to and master new tasks and work methods. If an employee is removed from a job just as, or even before, he/she has mastered it then the employee will not have had

time to render a worthwhile service. Hence, a low rate of staff turnover should be pursued.

13.   Initiative.

Initiative is proposing, thinking out and implementing a plan. Initiative in employees is to be encouraged and developed to its full capacity.

14.   Esprit de corps.

Effort should be made to establish and further develop a sense of common purpose in the organisation.

Like Fayol, Taylor (1947) sought to examine the implications of the bureaucratic mode of organisation but, whilst Fayol limited his focus to management practice, Taylor looked at the design and management of work methods in general. Taylor defined a set of principles, known as the principles of scientific management, which were said to ensure the achievement of any job by the most efficient and reliable means.

Taylor's principles of scientific management are:

1.   Move responsibility for the organisation of work from the worker to the manager;

2.   Use scientific methods (observation and measurement of routine tasks by means of time and motion studies) to determine the best way of doing a task;

3.   Select the best person to perform the task designed;

4.   Train the worker to do the task efficiently, that is according to the principles established in 2.;

5.   Monitor worker performance to ensure that appropriate work procedures are followed and that appropriate results are achieved.

In the continuing discussion of the work of Weber, Fayol and Taylor, it can be seen that, in general, theorists of the classical school of thought concentrated on the

specification of organisational goals, the design of tight organisational structures based on hierarchy, extreme specialisation, rules and the de-skilling of the work-force (we say 'in general' because it should be remembered that Weber's concerns were sociological and Fayol's work was more sophisticated than is implied here; in this context we are concerned with how the work of Weber and Fayol was interpreted). Basically, theorists of the classical school have sought to develop tools and techniques for facilitating management control of the work-place. The rights and influence of the worker were given very little or no consideration: workers were treated as merely cogs in the organisational machine - replaceable and entirely controllable. Managers' attitudes to workers were influenced by the common-sense of the time. For example, it was the opinion of many that workers had an entirely instrumental attitude toward their work. According to Perrow (1973), following Bendix (1956), whilst in the 19th Century employee failure had been put down to workers being biologically unfit, by the turn of the Century the dominant view was that employee failure was due to them not trying. Thus, based on the assumed recalcitrant nature of the work-force, managers were entirely justified in their instrumental approach.

Given the classical management school's attitude toward the status of the worker and the techniques of management control espoused by this school of thought, it is not surprising that a form of evaluation emerged which was based on the ideal of the goal-seeking unitary, given the primacy of owners' goals, organisation. The full implications of the principles of the classical school of thought for evaluation practice will be examined in the next sub-section.

c. Implications for Evaluation Practice

Goal based evaluation is the traditional and dominant form of organisational evaluation and is best reflected in comments a, e, h, and m. on the nature of effectiveness in section 1.2. It is founded upon the machine model of the organisation and, consequently, rests upon the belief that the organisation exists to serve some

purpose and a belief in the rationality of management. Incorporation of these principles results in a definition of effectiveness that relates to the rational accomplishment of goals.

In its purest form, that most closely aligned to the machine model, a goal based evaluation would take the stated objectives of the organisation's owners to be the legitimate goals of the whole organisation. However, in reality such goals in complex organisations tend to be at a high level of abstraction and quite meaningless from an operational, and hence an evaluative, point of view. The argument has been put forth, therefore, that evaluations should be based upon operational goals (Perrow, 1969). In seeking to determine operational goals, one tries to identify, by analysis of management work-plans, budgets and actual activities, what the organisation is really seeking to accomplish regardless of the objectives publicised in company reports and so on. If organisations are truly goal-seeking, rational entities then such analysis should reveal the clear operational goals of the organisation. As a result of goal based evaluations focusing upon operational goals, rather than universal abstract notions of purpose, a definition of effectiveness is produced by this approach which is unique and pertinent to the individual organisation only at that specific moment in time.

The practice of Management by Objectives (MBO), following Drury (1985), may be seen to be an example of the use of the goal approach to evaluation. In an MBO programme managers develop a set of individual, yet co-ordinated and appropriate, objectives. Performance indicators are then selected and the agreed objectives expressed in terms of such criteria. There then ensues a period of, hopefully, goal directed activity during which data on performance is collected. Upon elapse of a set programme period the actual state of the indicators achieved is assessed, as per the monitoring data, and comparison made with the targets set at the beginning of the period and thus the amount of goal accomplishment determined. Given that managers and workers are regarded as rational, it is

assumed that the overall task can be achieved by the implementation of a co-ordinated set of planned and quantified objectives for a given time period. It may be further assumed that if one sums individual achievement of objectives, an overall indicator of organisational effectiveness is produced.

Expanding on the notion of the assessment of organisation wide effectiveness from a goal perspective, Mohr (1973) defined two different types of organisational goal. According to Mohr, transitive goals have a point of reference external to the system itself and are thus concerned with the intended impact of the organisation upon its environment (p. 476) whereas reflexive goals are internally oriented and address the organisation's ability to evoke adequate contributions from all members of the organisation. Following Mohr's distinction between the two types of goal, a pure goal based evaluation, which considers only the owner's goals, can be said to deal simply with a very limited set of transitive goals. The point of reference for the evaluation, the owners' goals, are external to the organisation. Neglect of reflexive goals in a goal based evaluation of the organisation can then be rationalised on the grounds that, as has been previously discussed, workers' motivation to work is seen as purely instrumental. Reflexive goals have found their expression in a form of evaluation referred to in this thesis as culture based evaluation, which will be discussed in Chapter 7.

d.   Summary

In the preceding analysis it was established that a mechanistic approach implies a way of seeing the organisation as an instrument which is used by its owner to achieve his/her own goals. Gross (1969) epitomises this position in stating that "It is the dominating presence of a goal which marks off an 'organization'.....from all other kinds of systems." (p. 277). Accordingly, the organisation should be designed, as is the way with artificial systems, according to the principles laid down for the construction of a goal-achieving instrument or machine.

The mechanistic approach has many implications for management practice. As has been said, the main focus of management theory according to mechanistic principles has been on the design of methods and techniques which serve to control the work-force so that the goals of the worker are sacrificed to those of the owner and the organisation can be said to be in a unitary state. Indeed, according to Kanter (1983), in many of the writings of the classical management school of thought "...individuals constituted not assets but sources of error. The ideal organization was designed to free itself from human error or human intervention, running automatically to turn out predictable products and predictable profits." (p. 18).

Given the above, it is not surprising to find that a form of evaluation based upon the view of the organisation as a machine should promote a definition of effectiveness which can be summarised as: *effectiveness is the organisation's ability to achieve goals.*

2.2.2 Organisations as Organisms

a. The Organic Model

The organic metaphor implies a way of seeing the organisation as a living system. Like all living systems the organisation has needs which must be satisfied if the organisation is to survive. To a large extent the organisation depends upon its environment for the fulfilment of those needs; the organisation is an open system from the organic perspective, thus adaptation to environmental conditions is seen to be a critical determinant of the organisation's viability.

A comprehensive description of an organic system can be found in the work of Katz and Kahn (1978). They put forward ten characteristics which, they say, define all open systems. However, these are basically organic in nature:

a. The importation of energy.

    All open systems import some form of energy from their external environment. Organisations draw renewed supplies of energy from other organisations, people, and the material environment. No social structure is self-sufficient or self-contained.

b. The throughput.

    Open systems transform the energy they receive as inputs. The organisation creates a product, provides a service, and so on. All these activities entail some reorganisation of input.

c. The output.

    Open systems export some product into the environment. The continued ability to produce an output depends on the receptivity of the environment. Should the environment cease to be receptive to the organisation's output then the output may not be absorbed.

d. Systems as cycles of events.

    The energy exchange has a cyclic nature. The product exported into the environment secures the system sources of energy as input and the repetition of the cycle of activities. The commercial organisation utilises raw materials and labour to turn out a product which is marketed and the monetary return is used to obtain more raw materials and labour to perpetuate the cycle.

e. Negative entropy.

    The entropic process is a universal law of nature in which all systems move toward disorganisation or death. To survive, open systems must reverse the entropic process. Social systems are not bound by the same physical limitations as biological organisms and are capable of immortality.

f. Information input, negative feedback, and the coding process.

    Organisations constantly receive information. To avoid information overload informational inputs to a system are selective. Only those inputs to which the system is attuned are captured. This process is known as coding. The most

common form of data to which an organisation is attuned is negative feedback. With negative feedback the working parts of the system send data about the effects of their operations to a central mechanism which corrects the organisation's overall deviation from plan.

g. The steady state and homeostasis.

As has been said, open systems are characterised by a continuous inflow of energy and a continuous outflow of products. Open systems that survive maintain a ratio of input to output such that the system is seen to maintain a steady state.

In seeking to counteract entropy, most systems seek to acquire some margin of safety beyond the immediate level of existence and this is reflected in the acquisition of reserves and expansion.

h. Differentiation.

Open systems move in the direction of differentiation and elaboration of function. For example, organisations move toward the multiplication and elaboration of roles with ever greater specialisation of function.

i. Integration and co-ordination.

The negative effects of increasing differentiation are countered by processes that bring the system together for unified functioning. In social organisations these unifying processes are integration and co-ordination. Integration is the achievement of unification through shared norms and values. Co-ordination is the addition of devices for assuring the functional articulation of tasks and roles.

j. Equifinality

Open systems are characterised by equifinality, the ability to achieve the same final state from differing starting conditions and by a variety of means.

b.   Implications for Management Practice

Much work has been done on drawing out the implications of the organic model of the organisation for management practice. With the organic metaphor attention shifts from engineering, that is designing and controlling, the system, as with the machine model, to enabling the system to adapt and survive in a dynamic environment. The main focus of the work derived from the open systems school has been on ensuring that the form and structure of the organisation fit with the environment and the nature of the task (Burns and Stalker, 1966; Pugh, 1973; Lawrence and Lorsch, 1967), and on tracing the life-cycle of the organisation (Adizes, 1979; Lippitt and Schmidt, 1967; Kimberly and Miles, 1981; Cameron and Whetton, 1981; Quinn and Cameron, 1983).

General principles of management have been proposed by Peters and Waterman (1982) which may be said to promote the organic principle of survival by adaptation to the environment. Following an examination of the practices of successful US companies, Peters and Waterman derive eight characteristics many of which seem to rest on an organic approach to management:

1.   A bias for action.

Organisations should be oriented toward getting things done. This may best be achieved through the assignment of projects to teams of workers which are small, ad hoc and problem-action oriented. This type of structure enables the organisation to respond quickly to environmental change.

Additionally, the free flow of information is an essential element in promoting organisational adaptation to its environment as it ensures that information taken into the organisation reaches the spot where it is most needed and that the organisation as a whole is receptive to and aware of environmental events.

2. Close to the customer.

The organisation should be committed to the principles of service, reliability and quality. These principles enhance the organisation's ability to listen to the market and provide a product or service to a client's specifications. Listening to one's customers is a major element in being adaptable to one's environment.

3. Autonomy and entrepreneurship.

Adaptation implies constant and rapid change. Such is the nature of change necessitated by adaptation that it cannot be accommodated by an organisation with a centralised structure of authority as the official approval system is too cumbersome and slow. Hence, to achieve adaptation, there is a need for decentralisation which ensures the delegation of power and authority to authorise change to the level at which it is most needed.

4. Productivity through people.

It should be acknowledged that employees are people, a major asset (or resource for the system), and as such should be trusted, respected, inspired, and made winners. People are recognised to be an important sub-system in the organism based organisation.

5. Hands-on, value-driven.

Given that the need for adaptation necessitates that the organisation be split into project teams, the different teams should be guided and united by a clear sense of shared values, mission and identity. This unification should be achieved by means of inspirational leadership rather than bureaucratic control.

6. Stick to the knitting.

The organisation should adhere to the principle of building on strengths and knowledge of its own niche. An organisation which diversifies far from its core skills may find itself denatured and/or located in an environment about which it has little knowledge.

7.   Simple form, lean staff.

On the grounds that some elements of the organisation are in a perpetual state of change, some things should remain constant; a simple, stable organisational structure that everyone understands should provide a basis from which everyday complexities can be made sense of.

8.   Simultaneous loose-tight properties.

The organisational need for overall control within a system which encourages individual autonomy and entrepreneurship must be addressed.

Kanter (1983) has also put forth a theory of the principles of management which is implicitly based upon the organic model of the organisation. The organic nature of Kanter's theory is illustrated in her claim to "...describe how individuals can help corporations stay ahead of a changing environment by moving their organizations beyond what they already know, into the more uncertain realm of innovation." (p.18). Kanter defined five principles of management:

1.   Encouragement of a culture of pride.

Highlight achievements by applying innovations from one area of the organisation to another.

2.   Enlarged access to power tools for innovative problem-solving.

Provide vehicles, for example multi-disciplinary advisory groups, for supporting innovations.

3.   Improvement of lateral communication.

Bring departments together to enable the cross-fertilisation of ideas and the forging of cross-functional links.

4.   Reduction of unnecessary layers of the organisational hierarchy.

Eliminate barriers to resources. Push decisional authority downwards. Provide quick intelligence about internal and external affairs.

5.　　Increased and earlier information about organisational plans.

Reduce secretiveness and surprises to increase employee security. Give people at lower levels of the organisation the opportunity to contribute to plans before decisions are made at the top (empower and involve).
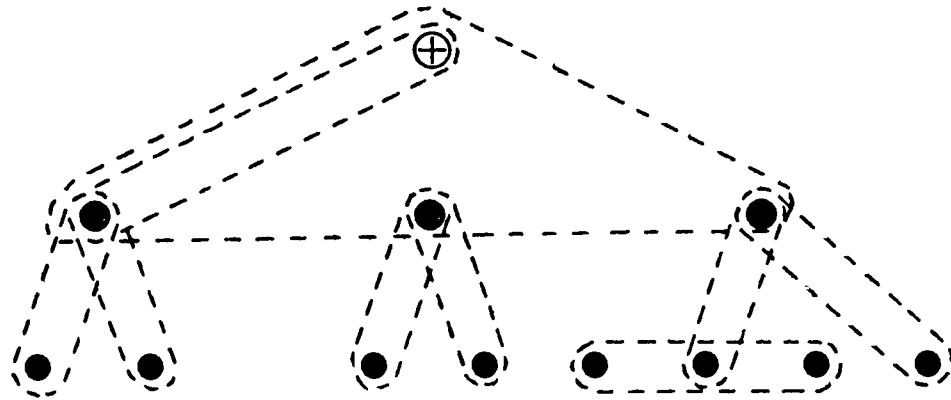
Figure 4. The Structure of the Organism Based Organisation

(The Project Organization, Morgan, 1989, p. 66)

It can be seen from the work of both Peters and Waterman, and Kanter that the organic notion of the organisation seeking to survive in a dynamic environment has been reflected in management theories promoting flexibility and environmental awareness. Flexibility is seen to result from group work, simple structures, a culture which anticipates change, etc., and environmental awareness is seen to result from close customer relations and a free flow of information between the environment and the organisation. The structure of the organic organisation, based on the idea of project teams, is shown in figure 4. Much emphasis is placed on the contribution made by staff to organisational flexibility; staff are regarded as an asset to be nurtured and valued rather than a liability to be controlled and limited. These inherent values of the organic approach are very much reflected in the system-resource form of evaluation.

c. Implications for Evaluation Practice

The system-resource form of evaluation is based on the organic model and is best reflected in comments b, c, d, f, p, and w. on the nature of effectiveness in section 1.2. In summary, from the system-resource perspective, the sovereign criterion of effectiveness is organisational survival. Given that an organisation may be said to be efficient on the survival criterion, a secondary criterion of efficiency may be based upon its ability to achieve supra-system goals. The main aim of system-resource theorists, though, has been the identification of the key functions of an organisation which contribute to its survival.

Etzioni (1960) proposed two different conceptions of what he termed the system model. The first model, the system survival model, adopted the optimum allocation of organisational resources as being the sole criterion of effectiveness. The second model proffered by Etzioni, the system effectiveness model, was based on a definition of effectiveness as the enactment of those processes most likely to result in the achievement of the organisation's operational goal(s). It can be said, therefore, that whilst Etzioni's work provided the impetus for a system-resource approach to evaluation, it contributed little to its theoretical distinction from a traditional goal approach (Mohr, 1973).

Following Etzioni, and picking up on his notion of resource allocation as a criterion of organisational effectiveness, Yuchtman and Seashore (1967) state that "...the interdependence between the organization and its environment takes the form of input-output transactions...of *scarce and valued resources.*" (p. 897). Managing these transactions to improve the organisation's bargaining position is the key to survival. Thus, "...the better the bargaining position of an organization, the more capable it is of attaining its varied and often transient goals, and the more capable it is of allowing the attainment of the personal goals of members." (p. 898). Yuchtman and Seashore's approach embraces the dynamic nature of social relations in that it

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acknowledges that, in securing resources, the organisation must adapt and change in line with the environment.

The approach of Yuchtman and Seashore, with its emphasis on the maximisation of organisational ability, is somewhat different to that of fellow system-resource theorists Katz and Kahn (1978). Katz and Kahn's definition of effectiveness as "...the maximization of return to the organization by all means." (p. 255) fails to accommodate any appraisal of the legitimacy of the means employed which, Yuchtman and Seashore feel, may jeopardise the long-term survival of the organisation. In commenting on Katz and Kahn's work, Yuchtman and Seashore state:

"...maximization of return, even if possible, is destructive from the viewpoint of the organization. To understand this statement it should be remembered that the bargaining position of the organization is equated here with the ability to exploit the organization's environment - not with the maximum use of this ability. An organization that fully actualizes its exploitive potential may risk its own survival, since the exploited environment may become so depleted as to be unable to produce further resources." (pp. 901-902).

With regard to evaluation practice, the organic approach seeks to examine the quality of those processes which enable long-term organisational survival. Hence, the system-resource approach does not judge the effectiveness of an organisation directly by its achievements as with the goal approach, rather achievements and effectiveness are seen to follow from the quality of organisational processes, such as information processing. As we shall see in Chapter 5, several ideal-type models can be identified (Parsons, 1960; Katz and Kahn, 1978; Beer, 1979; Checkland, 1981; Ackoff, 1983; Dyson and Foster, 1983;) from which criteria for the evaluation of an organisation may be derived. One such model is that put forward by Mahoney and Weitzel (1969).

Following a study of 283 organisational units, Mahoney and Weitzel identified 24 relatively independent criteria which cover not only internal relations but also external ones. The criteria include flexibility, development, cohesion, bargaining and so on.

d.   Summary

In the previous section it was argued that an organic approach implies a way of seeing the organisation as a biological entity which is dependent upon the environment which it inhabits for its continued survival. It is argued from the open-systems perspective that the organisation will operate according to the same principles which define all biological entities.

Seeing the organisation as a biological entity has certain implications for management practice. The main concern of management theorist of this school has been the organisation's relationship with its environment. This concern is justifiable since, according to Pfeffer and Salancik (1978), 'organizations are inescapably bound up with the conditions of the environment and, consequently, engage in activities which have as their logical conclusion adjustment to the environment'.

Given the above, it is logical that a form of organisational evaluation based upon organic principles should adopt a definition of effectiveness which can be summarised as: *effectiveness is the organisation's ability to survive and adapt in a dynamic environment.*

2.2.3   Organisations as Political-Systems

a.   The Political-Systems Model

From the political-systems perspective, organisations and their environments are viewed as arenas of conflict between individuals and groups whose activities are oriented towards the advancement of only their own individual goals, values and interests. Fox (1966), quoted in Morgan (1986), has drawn the distinction between the notion of the organisation as a team striving to achieve a common goal and the organisation as a coalition of groups/individuals with divergent interests. The structure of the political-systems based organisation, following Morgan's portrayal of the loosely-coupled network, is shown in figure 5.
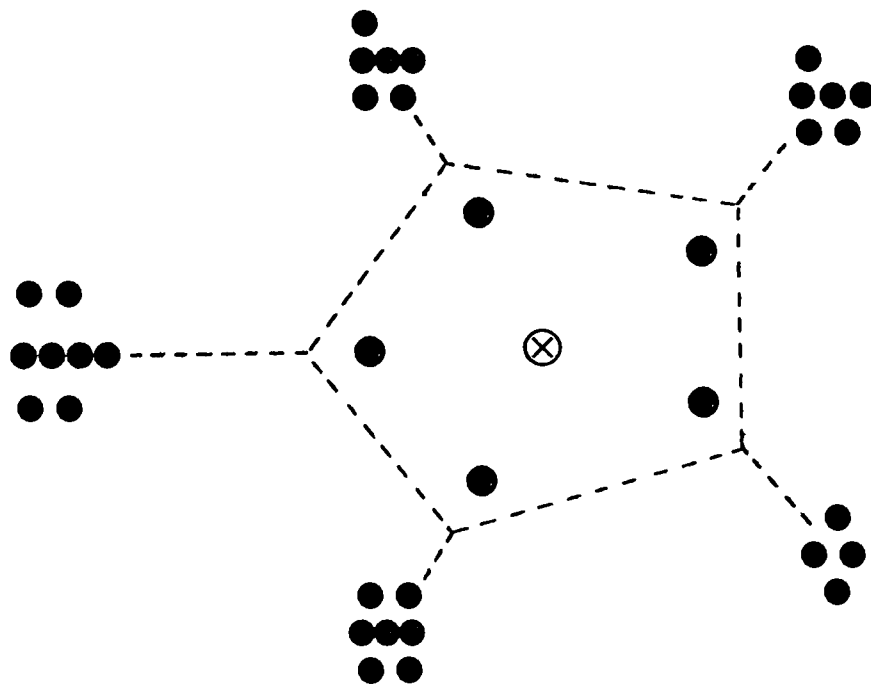
Figure 5. The Structure of the Political-Systems Based Organisation

(The Loosely-Coupled Network, Morgan, 1989, p. 66)

If one accepts the existence of sectional interests, conflict is seen to be an inevitable and ineradicable feature of organisations. From a pluralist stance, the formal goals of an organisation are little more than a facade under which a host of individual and

group interests are pursued. Indeed, pluralists theorise that organisational actors consistently engage in power-plays in order to control the situations in which they find themselves and to advance their own objectives. Given the endemic nature of such power-plays, the organisation is seen to be a loose-coalition of interested parties engaging in ongoing processes of bargaining and, as a result of this process, the adjustment of interests and objectives.

Blau's exchange theory (1964) provides a theory of social integration, based on the principles of pluralist theory, which focuses on the causes of divergent interests. Blau looks at the emergent properties of human interaction and attempts to account for the nature and patterns which exist within society in terms of the process of exchange. Social exchange geared to the satisfaction of different needs and interests is seen as creating inequalities of power and as generating a host of cross-cutting conflicts and oppositions which lie at the heart of change within society. Blau analyses the relationships between sub-elements within society and the way in which conflicts produce a pattern of dialectical change involving alternation between dis-equilibrating and re-equilibrating forces.

Building on the coalition theme, Hickson et al. (1971) formulate a strategic contingencies theory of intra-organisational power. Hickson views organisations as systems of interdependent sub-units which have a power distribution based on the division of labour. Following Emerson (1962), Hickson regards power to be a property of the social relationship not of the actor. Organisations are conceived of as interdepartmental systems in which a major task element is coping with uncertainty. The task is divided and allotted to the sub-systems, the division of labour creating an interdependency among them. Hence, after Thompson (1967), Hickson et al. claim that imbalance of the reciprocal interdependencies gives rise to power relations.

Cyert and March (1963) also adopt the pluralist view, seeing organisations as coalitions of individuals, and state that "People (i.e., individuals) have goals;

collectives of people do not..." (p. 26). Further, they argue that it is only when stated in ambiguous and non-operational terms that goals elicit wide-spread agreement and may be attributable to the various coalitions of individuals. Thus, organisations are characterised by a continuous bargaining-learning process that has irregular and inconsistent outcomes. The bargaining process, according to Cyert and March, is the means by which interested parties' aims and objectives are expressed and reconciled in a generally agreed statement of purpose. The goals emerging from this conciliatory bargaining process have three characteristics:

1.   they may be imperfectly rationalised and not necessarily consistent with existing policies;

2.   they are sometimes formulated not as absolute goals but as levels of aspiration;

3.   they may lack operational specification and, thus, are capable of appealing to opposing coalitions.

The core proposition of Cyert and March's argument is that organisational policies often reflect the incompatible goals of competing coalitions. This inconsistency is facilitated by sequential attention to goals, hence goals constantly shift in direction to hold the support of most of the organisation's constituencies.

Whilst conflict in organisations may be widely held to be inevitable and ineradicable, its desirability is somewhat disputed. According to Dahrendorf (1959), Dubin (1957) argues that conflict among groups is dysfunctional as it destroys social stability and may be evidence of a more fundamental breakdown in social control and hence of underlying instability in the social order. On the other hand, Coser (1956) argues that conflict is functional as it:

1.   removes dissociating elements in relationships and hence helps re-establish unity;

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2. resolves antagonisms and has a stabilising function;

3. prevents system oscillation by exerting pressure for innovation and creativity.

More succinctly Morgan (1989) stated that conflict can:

- energise;

- stimulate self-evaluation;

- promote adaptation;

- encourage innovation;

- enhance the quality of decision making;

   act as a release valve and maintain the status quo.

Based on the perceived positive functions of conflict, several theorists have sought to construct a pluralist theory of management.

b. Implications for Management Practice

In this section the implications of pluralist theory for management practice will be discussed. The pluralist perspective recognises that as individuals have different agenda, they are each likely to use their membership of the organisation for their own ends. The role of management is, therefore, focused on the balancing and co-ordinating of members' interests so that they can work together within the constraints of the organisation's abstract and often divergent, and superficially unifying, formal goals. According to Morgan (1986):

> "The pluralist manager recognizes that conflict and power plays can
> serve both positive and negative functions; hence the main concern
> is to manage conflict in ways that will benefit the overall organization
> or, more selfishly, in ways that will promote his or her own interests
> within the organization. The pluralist manager is, after all, not politically

neutral. He or she recognizes the politics of organization and accepts his or her role as an organizational power broker and conflict manager." (p. 190).

One of the main tasks of the pluralist manager is to maintain the amount of tension within the organisation which, whilst promoting an atmosphere of anticipation and competition between individuals and between groups, does not result in destruction of the whole. The pluralist manager must be able to analyse interests, understand conflicts and explore power relations so that at all times he is able to keep one step ahead of the state of play. By being ahead all the time, the keen manager should be able to manipulate constituencies' actions so that a tacit state of balance is preserved within and without the organisation.

Starbuck and Nystrom (1983) have recognised that the political-systems model has significant implications for the exercise of control over the organisation. They state "In order to preserve inharmonious goals, managers and analysts have to decompose organizational control, because a unitary, integrated control system will constantly encounter its internal inconsistencies and then try to reconcile them." (p. 142). Furthermore, Starbuck and Nystrom claim that the management of change in the pluralist organisation should be significantly different from that of the unitary. They claim that in the pluralist organisation change should be introduced incrementally, to prevent the disharmonies exposed by abrupt change. This piece-meal introduction of change, whilst maintaining the facade of superficial unity, allows for learning, reappraisal and "...can enable an organization to maintain a stable concept of its destiny." (p. 148). Similar advantages can be gleaned, according to Starbuck and Nystrom, from policies of sub-optimisation rather than optimisation.

Morgan (1989) cites Brown (1983) as having put forth three ways to promote constructive conflict as a management tool:

1. By changing perceptions:

    - through the use of symbolism and the management of meaning;

    - by redefining interests, by introducing a unifying meta-goal or by encouraging new ways of co-operative action;

    - by changing perceptions of interdependencies and relationships;

    - by manipulating feelings, understandings, stereotypes and general processes of enactment.

2. By changing behaviours:

    - by modifying reward and punishment patterns;

    - by training individuals on methods for dealing with and resolving conflict, such as bargaining, negotiation and team-building skills;

    - by altering interpersonal dynamics.

3. By changing structures:

    by redesigning roles and interdependencies;

    - by creating new contexts for conflict resolution;

    - by bringing in third parties to act as arbitrators;

    - by creating integrative roles and interface mechanisms;

    - by establishing consultative groups and modes of participative working to identify possible points of contention before conflicts actually arise.

Conflict is not confined to within the bounds of the organisation. The pluralist manager must also be aware of the existence of and employ strategies to control inter-organisational conflict. According to Morgan (1989), Trist (1983) has made a major contribution in this area. Trist argues that inter-organisational conflict can be most purposefully expressed by means of collaboration. Morgan states:

"The logic of Trist's argument is powerful yet extremely simple: The complexity and turbulence of modern environments is in large part the effect of individualized lines of action. Hence, if one can begin to

reshape these patterns of behavior (a) by establishing "referent organizations" (such as trade associations, labor-management committees, or special purpose organizations that negotiate policies and develop programs that can unite a wide range of different actors,) and (b) by encouraging other kinds of interorganizational collaborations (based on formal or informal networking, joint ventures, strategic alliances, and so on), one can have a major effect on the pattern of competition and cooperation in the environment at large." (p. 82).

It can be seen from the foregoing that management theorists of the political-systems school have focused, for the most part, on the accommodation of multiple perspectives of organisational goals. Whilst it has been argued that the tension which results from the existence of multiple perspectives can be dissipated by goals being deconstructed structurally and temporally, the view has also been expressed that this is not necessary since this tension is actually purposive in promoting organisational regeneration.

Given the link that has been established between the machine and organic models and forms of evaluation, it is not surprising to find an evaluative approach which corresponds to the political-systems school of organisational analysis.

c.   **Implications for Evaluation Practice**

Multi-actor based evaluation is founded on the model of the organisation as a political system and is best portrayed in comments n, q, r, and u. on the nature of effectiveness in section 1.2. The multi-actor approach embodies the notion that because everyone seeks to further his/her own interests the organisation will be subject to many different and often conflicting goals. Hence, what is seen to be effective action on behalf of the organisation will depend upon the values of the

party asked. The underlying principle of multi-actor based evaluation is that the different organisational stakeholders' conceptualisations of effectiveness must be included in the evaluation process. An example of a model of multi-actor evaluation is that put forward by Friedlander and Pickle (1967). Following a study of small business firms, Friedlander and Pickle concluded that there is generally a weak correlation between organisational stakeholders' judgements of effectiveness, hence it is possible to satisfy stakeholders with competing objectives simultaneously. They suggest three criteria for judging organisational effectiveness:

1. the profitability of the organisation;

2. the degree to which it satisfies its members;

3. the degree to which it is of value to the larger society (externally the organisation is seen as dependent upon the community, government, customers, suppliers and creditors) of which it is part.

It can be seen from the above that Friedlander and Pickle concentrate equally on internal and external factors of effectiveness. Furthermore, with the multi-actor model, the traditional evaluative assumption of output maximisation is replaced by one emphasising the organisation's ability to satisfy stakeholders.

Keeley (1978) adopted relativistic principles in his formulation of a participant satisfaction model. Unlike Friedlander and Pickle, Keeley does not seek to identify groups of stakeholders but he merely asserts that anyone who can effect or is effected by the activities of the organisation should be consulted in the determination of a statement of organisational effectiveness.

Zammuto (1982) further developed the multi-actor theme by adopting an evolutionary approach. According to Zammuto, effectiveness cannot be determined at a single point in time but emerges from the organisation's ability to satisfy interested parties' wants over time. Indeed, Zammuto foresaw that the

satisfaction of interested parties was crucial to the survival of the organisation, otherwise it would lose support and participants would create pressures for the establishment of alternative organisations. Whilst Zammuto acknowledged the importance of interested parties' preferences, he also realised that organisations face real constraints with regard to their operations and in such situations the organisation can hardly be held to be inefficient for failing to meet expectations. Hence, Zammuto included within his formulation of the concept of the effective organisation the ability to minimise the constraints which prevent the realisation of stakeholders' objectives.

d.   Summary

In this section it has been established that a political-systems approach implies a view of the organisation as a loose coalition of individuals and groups having divergent and often conflicting goals. From this perspective, organisations are seen to operate by a constant process of bargaining between groups of interested parties, each of which is seeking to advance its own objectives by marshalling the power at its disposal. The political-systems perspective has certain implications for management practice. The main focus of management theory from a political-systems perspective has been on the resolution or the expression of conflict which is seen as inevitable given the incompatibility of interested parties' interests. It is management's task to ensure that conflict is expressed in a positive way and, thus, does not endanger the continued survival of the organisation as a whole.

Given the basic tenets of the political-systems school of thought, it is not surprising that a form of evaluation from this perspective promotes a definition of effectiveness which can be summarised as: *effectiveness is the organisation's ability to satisfy the needs of all those parties influenced by and having an influence upon its activities.*

2.3   New Models in Organisation and Effectiveness Theory

In the first part of this chapter it was shown that the three dominant methodologies in organisational evaluation theory are each derived from a different model of the organisation. Hence, to fully understand an evaluation methodology one must be clear about the assumptions inherent in the model of the organisation upon which it is based and the prescriptions for management practice, as the means by which the ideal form of organisation can be realised in practice, made by that school of thought.

Having shown that traditionally evaluation methodologies, hybrids apart, have been derived from specific organisational models, the argument will now be taken a step further and it will be shown that a form of evaluation can be derived from any well grounded model of the organisation. In support of this argument, the latter part of this chapter is dedicated to deriving a form of evaluation from a model of the organisation which has not yet been subject to this form of analysis. The model which has been selected to illustrate this part of the argument is the culture model.

2.3.1   Organisations as Cultures

a.   The Cultural Metaphor and the Autopoietic Model

According to Morgan (1986), the culture metaphor derives from the practice of agricultural cultivation, that is the practice of tilling and developing land. When we talk about culture in the organisational context we are commonly referring to the "...system of knowledge, ideology, values, laws, and day-to-day ritual." (p. 112). As Smircich (1983) has it, it is important that the focus shifts from one of culture being a variable to one of culture being what the organisation is. This line of argument may be aligned with that put forth by Robb (1989) who claims that cultures are autopoietically generated and sustained. Others, for example Gomez and Probst (1989), claim that

organisations are not truly autopoietic on the grounds that the components of the system are not physically produced by the organisation, but are products of a variant of autopoiesis which is known as organisational closure. To better appreciate the alignment of the cultural and the autopoietic arguments it is necessary to address the underlying principles of autopoiesis.

According to Maturana and Varela (1980) the defining characteristic of a living system is the process of autopoiesis. Autopoiesis may be defined as the 'self-production of component parts' (Maturana, 1975). Thus, whilst autopoiesis is said to be exhibited by the system as a whole, it is realised through the properties and interactions of the components. The self-produced nature of component parts enables identification of the system as a whole as distinct from other systems. Hence, the system may be said to produce its own boundaries across which it physically takes inputs and disposes of outputs to maintain and support the autopoietic processes.

In an overview of the theory of autopoiesis, Mingers (1989a) claims that Maturana makes an important distinction between the use of the terms organisation and structure. As Mingers has it, "...organization is the relations between components and the necessary properties of the components which characterize or define the unity in general as belonging to a particular type of class...Structure, on the other hand, describes the *actual* components and *actual* relations of a particular real example of any such entity..." (p. 163). By way of illustration, Mingers cites the example of the organisation of a car as being "...the necessary relations between components such as steering, brakes, seating, power, etc." (p. 163), whilst the structure of a car may be "...the rusty blue Mini in my drive." (p. 163). Mingers goes on to say that "...the structure can change or be changed without necessarily altering the organization, for example, as the car ages, has new parts, and gets resprayed, it still maintains its identity as a car. Some changes, however, will not be compatible with the

maintenance of the organization, e.g., a crash which changes the car to a wreck." (pp. 163-164).

Mingers' emphasis of the particular usage of the terms organisation and structure is important for an understanding of the concept of structural coupling which is key to the process of autopoiesis. The autopoietic entity fits neither into the open nor closed system categories, rather it changes in response to environmental 'bumps'. However, the autopoietic entity is structurally constrained to react to the environment in a manner amenable to the maintenance of its own autopoietic state and failure to present the environment with an acceptable state or to maintain a state which supports the autopoietic processes results in the demise of the system. Therefore, the autopoietic system is neither determined by its environment nor its internal operations alone, more it is a product of the interaction of the two and, hence, it is said that the organisation is structurally coupled to its environment.

Given the foregoing overview of organisational culture and the process of autopoiesis it may now be appreciated how the two concepts are complementary. For, if it is accepted that culture is something that an organisation is and that cultures are autopoietic systems, it may be said that it is culture which distinguishes one organisation from another and it is the norms, values, aspirations and rituals of participants which are the 'self-produced component parts' of the autopoietic system. Further, though many organisational reactions or, in the language of management, strategies to deal with environmental perturbations are possible, the organisation's dominant norms and values, which form the structure of the autopoietic system, define those which are regarded to be feasible.

b. Implications for Management Practice

According to Mingers, Zeleny and Pierre (1975) articulate persuasive claims for organisations being designed to be autopoietic. Mingers summarises their arguments thus;

> "...humans are autopoietic entities and, as such, autonomous and independent. Traditional types of organizations, however, treat them purely as components within the system, that is, they treat them as allopoietic. Not only is this wrong in a moral sense, but it is also not necessarily good systems design. Autopoiesis shows how systems can function in a decentralized, nonhierarchical way purely through the individual interactions of neighbouring components." (p. 173).

If one accepts, as Zeleny and Pierre do, that the autopoietic organisation is a good thing, how might management go about facilitating and nurturing the autopoietic process?

It was argued in the above that the organisation is a culture which is autopoietically generated and sustained. Consequently, the organisation is held to be structurally coupled to its environment and, therefore, its survival is deemed to be dependent upon its ability to consistently produce reactions to environmental perturbations which are not only acceptable to the environment but which also support the autopoietic state. Hence it may be said that the autopoietic approach requires an organisation to develop its variety without the loss of its integrity or descent into chaos, and acceptance of this prerequisite bestows on management particular responsibilities. For example, it may be argued that enhancement of an organisation's variety depends upon the attraction of diverse but compatible groups of individuals to and within the organisation (diverse in experience and attributes but unified by commitment to a common set of core values). It is the role of

management to facilitate this attraction of variety to the organisation and structure the organisation in such a way that this diversity can be positively accommodated without undue tension.
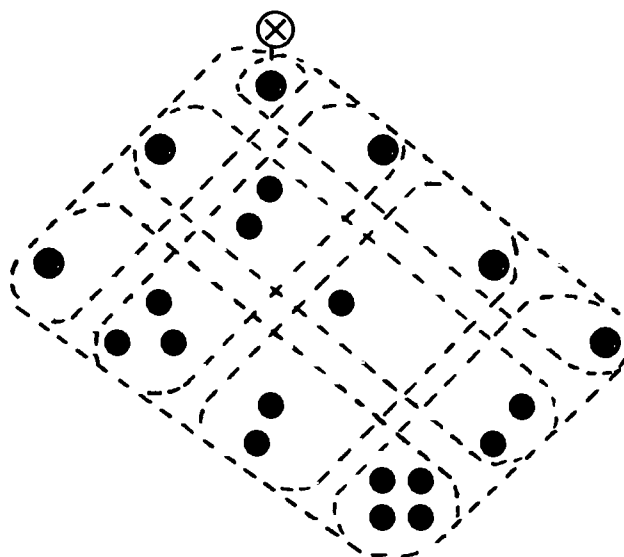
Figure 6. The Structure of the Culture/Autopoiesis Based Organisation

(The Matrix Organisation, Morgan, 1989, p. 66)

A possible structure for a culture based organisation is shown in figure 6. This matrix structure is suggested as appropriate in the case of the culture based organisation because in such an organisation people "...have to work with two perspectives in mind: functional and end product." (Morgan, 1989, p. 65) and this balancing act is, as has been previously discussed, essential in the autopoietic entity.

Schneider (1983) has shown that the attraction of a diverse range of characters to an organisation is not an easy task as, very often, similar people are attracted to one another, especially in the organisational context. Schneider draws on Owens and Schoenfeldt's (1979) work in stating "...people tend to cluster into types with similar attitudes and similar behaviors..." (p. 31) and states that this homogeneity, whilst giving the organisation a culture of strongly defined and generally agreed norms and values, severely limits the organisation's ability to adapt to changing circumstances and, hence, its effectiveness (if one accepts the autopoietic argument, the inhibition of the organisations ability to adapt would not only hinder its effectiveness but also

put in jeopardy its survival). However, management must not only seek to ensure that the diversity attracted to the organisation is of a kind which is purposive in enabling the organisation to cope with its environment but, also, management must seek to harness that diversity. This harnessing process is more commonly referred to as socialisation into the culture of the organisation. In the socialisation process the new recruit is persuaded to abandon those individual goals and objectives which are not of value to the organisation and to replace them with those that are. Hence, it is very important that management have a clear view of what type of action is purposeful to the organisation and what is not. The socialisation process is facilitated through the use of incentives (indeed, the pursuance of organisational goals is reinforced in existing members through the use of incentives). Thus, it is the task of management to develop in members the belief that their individual goals align with those of the organisation and that they are in fact one and the same. For example, employee training can be seen to be both in the organisation's interests, in that it enhances the organisation's variety, and in the individual's interests, in that it enhances his/her career prospects (of course, management must seek to ensure that the training serves to equip the individual with skills which are of either current or future use to the organisation).

Having discussed the arguments for the development of the autopoietic organisation and the means by which that development might take place, the statements of theorists who have argued against the development of the autopoietic organisation might be introduced. It should not be assumed that all theorists who have argued for the existence of the autopoietic organisation are implicitly claiming that the existence of such organisations is desirable. According to Beer (1975), quoted by Mingers, "...any cohesive social institution is an autopoietic system - because it survives, because its methods of survival answer the autopoietic criteria, and because it may well change its entire appearance and its apparent purpose in the process." (Mingers, 1989a, p. 172). This overarching ability of organisations to survive despite, as Mingers puts it, "...deliberate and sustained

attempts to destroy them..." (p. 172) surely introduces doubt about whether or not such organisations can be 'managed' or 'directed' given that Mingers cites Faucheux and Makridakis (1979) as arguing that they are characteristically autonomous. Indeed, Robb (1989a) declares that:

"To those who would see the achievement of autopoietic organization as a desirable objective in organizing, I warn that such an aim may result ultimately in the subordination of all human aspirations and ambitions, values, and welfare to the service of preserving the unity of such systems, and not to any human end. Once formed such organizations appear to be beyond human control, indeed, to be real-world living systems." (p. 348).

Whilst Robb's words of warning should not be ignored, for the sake of the present argument they can be, metaphorically, put aside.

In the next section the implications of the autopoietic/cultural approach for evaluation practice will be discussed.

c.   Implications for Evaluation Practice

Currently an autopoietic approach to evaluation does not exist but, perhaps, the grounds for such an approach are reflected in comments g, j, l, s, t, v, x, and y on the nature of effectiveness in section 1.2. Such an approach to evaluation would serve to support the views of theorists such as Zeleny and Pierre, as discussed above. Despite, therefore, Robb's view that "The received wisdom (e.g. Peters and Waterman, 1982) that we shall always be able to make interventions which will loosen up organisations and induce cultural changes so as to direct the organisations activities to serving human purposes is very much open to question." (1989b, p. 250),

we shall here attempt to outline a form of evaluation based on the principles of autopoiesis as it applies to the organisation as a culture.

As Mingers puts it, "...successful autopoiesis entails the continuous structural coupling of an organism to its medium..." (p. 177). Building on Mingers' prescription for 'successful autopoiesis' it may be said that the key criterion of organisational effectiveness from this perspective is the ability to accommodate and further variety within the organisation to facilitate coupling with the environment whilst maintaining a consistent value system or culture to which all members subscribe. Hence, an effective organisation from this perspective is one which enhances its own variety, through the attraction of members with diverse skills and characteristics and through the encouragement of diversity in its members by means of their further development or training; and, additionally, ensures the maintenance of a strong culture (the dual facets of effectiveness from this perspective critically depend on each other since the opportunity to develop may be seen to be an incentive for members to subscribe to the organisation's values). This view on organisational effectiveness is supported by Schneider who states that the main criterion of organisational effectiveness should be the "...attraction, selection, and retention of people who continuously question, probe, sense, and otherwise concentrate on their organisation of the future." (p. 47).

Further, according to Smircich (1983), viewing the organisation as a culture (rather than seeing it as something that the organisation has) implies a research agenda which focuses on "...the phenomena of organization as subjective experience..." (p. 348). Smircich takes this view following the work of Harris and Cronen (1979) who view cultures as master contracts or self-images which serve to order and direct members' beliefs and actions.

Thus, based on the work of Schneider, Harris and Cronen, and Smircich, a form of evaluation from this perspective might seek to address how the twin needs of both

the organisation and its members for development and change are aligned and mutually facilitated, and on how the variety which this change and development process necessarily implies is managed.

d.   Summary

In the foregoing, it has been established that the cultural approach implies a view of the organisation as an autopoietic system. From this perspective, organisations must seek to maintain a state of structural coupling with their environments. Structural coupling, with the added constraint that to survive the organisation must also seek to maintain a state which supports the autopoietic processes, implies that the organisation must seek to increase its variety. In the cultural sense, increased variety means that management should seek to attract diversity to and within the organisation. However, so that this diversity does not result in chaos, some form of mechanism for attenuating variety is also needed. In Chapter 7 it will be argued that the process of socialisation, the nurturing and reinforcement of members commitment to core organisational values, represents such a mechanism. Correspondingly, the cultural perspective has certain implications for management practice. For example, management are required to encourage diversity within the organisation.

Hence, a form of evaluation based upon the cultural/autopoietic perspective adopts a definition of effectiveness such as: *effectiveness is the organisation's ability to generate and perpetuate a culture which, by facilitating the development of its members, enhances the organisation's own variety.*

2.4   Conclusion

In this Chapter the models of evaluation which might form the basis of a complementarist approach to evaluation were discussed. In the first part, the three

dominant models in organisation and effectiveness theory were examined: the underlying principles established, the prescriptions for management practice derived and the implications for evaluation practice drawn out.

Having discussed the most popular models in organisation and effectiveness theory, in the second part of this Chapter the argument that a form of evaluation may be derived from any grounded model of the organisation was taken up. In support of this argument, a relatively new model of the organisation, the model of the organisation as a culture, was subjected to the same process of examination as the dominant models. Consequently, a definition of effectiveness was suggested which might be used in an evaluation of an organisation from the cultural perspective. Given that the autopoietic model was, more or less, randomly selected, the only selection criteria was that the model had not been previously subject to this form of analysis, it may be concluded, in support of the argument for a complementarist approach, that models of evaluation might be derived from other 'new' models of the organisation.

The first part of this thesis has served to establish the theoretical grounds for a complementarist approach to organisational evaluation. The derivation of a form of evaluation from the cultural model of the organisation was a major step in establishing the legitimacy and feasibility of such an approach. Whilst other theorists have conducted a similar type of analysis of the construct of effectiveness as that which has been undertaken in this first part, most have stopped at this stage: few theorists have taken their methodologies and tested them in practice. The second part of this thesis will be devoted to an account of the project with NACVS which sought to test the utility in practice of the four models of evaluation discussed in this chapter.

PART II

PRACTICAL APPLICATIONS

CHAPTER 3

THE NACVS PROJECT

3.1   Introduction

In this chapter a project will be described which sought to test the feasibility and desirability of the implementation and practice of the four models of evaluation discussed in the previous chapter. The project was a joint undertaking between the Department of Management Systems and Sciences, University of Hull, and the National Association of Councils for Voluntary Service (NACVS). Funding was provided by the Leverhulme Trust.

3.2   Background to the Project

3.2.1   History

The Department of Management Systems and Sciences at the University of Hull has a long association with voluntary organisations in Humberside. Hence, when the Council for Voluntary Service (CVS) for Beverley Borough was being established in 1986, the newly appointed General Secretary invited the University's involvement in a project to design self-evaluation procedures for the CVS. Review of both the nature of Beverley CVS and the literature on evaluation led to a form of what is known as multi-actor evaluation being designed for use by the CVS (see Jackson and Medjedoub, 1988). Over the years, this project has remained true to the principles of multi-actor evaluation (see Gregory, 1989), and with the support of student projects has been refined so that it has become well integrated into the Executive Committee's decision making procedure and the day-to-day activities of CVS staff.

Based upon the apparent success of this local project, in 1989 the University approached the Councils for Voluntary Service National Association (CVSNA), now known as the National Association of Councils for Voluntary Service (NACVS), with a proposal for a two year national evaluation project. At the time that the project was put to CVSNA, the pressures being placed on voluntary sector organisations to evaluate were becoming increasingly evident (for example, see the Report of the Nathan Committee, 1990, *Effectiveness and the Voluntary Sector*, NCVO). In the light of these pressures, more and more CVS were being required by funders to have their work and structures evaluated. In response to this trend and due to their commitment to encourage good management practice by CVS, CVSNA agreed to the project put to them by Hull University. Having secured CVSNA's approval of the project, the University approached the Leverhulme Trust for funding. Fortunately, the Leverhulme Trust accepted the project and agreed to fund the employment of a researcher for the duration of the project.

At this initial stage, the proposed project's aim was stated to be the design of an evaluation system suitable for all CVS, possibly a computer based system. Given the University's success with the Beverley project it seemed reasonable to imagine that most CVS faced the same issues and, consequently, were amenable to evaluation by the same multi-actor based methods. Hence the original conception of the project was that it should seek to refine and diffuse the evaluation method which had been developed by Hull University with Beverley CVS. However, once the project had the go-ahead, CVSNA started to become more specific about what they expected from the project (see Appendix 1). CVSNA wanted to progress to a situation where CVS had available to them a spectrum of appropriate and methodologically sound evaluation techniques. CVSNA's request for the development of multiple methods was based on the numerous reports to them of CVS who had suffered from an inappropriate use of evaluation; the most common culprit was seen to be the goal based method. Due to the nature of CVS work, such techniques as the goal approach are often inappropriate and the imposition of goal based evaluation can

be disastrous for the CVS concerned. At that time though, external evaluators were able to justify the imposition of goal based techniques upon CVS on the grounds that they are the only methods of evaluation which are methodologically sound.

It was realised at this stage that the scope of the project needed to be much wider than originally thought and that methods other than the multi-actor would need to be developed. Hence, it was decided that the methods of evaluation rejected as being inappropriate for use by Beverley CVS, should be examined again in the context of the national project. Thus, as a result of consultation with CVSNA and, resulting from this, an enhanced appreciation of the variety of roles and functions which a CVS can fulfil, the scope of the project was widened from its original specification. The final, agreed statement of project aim, as per the project 'Terms of Reference' (see Appendix 2), was that the project should "...help improve the effectiveness of CVS, and thereby help improve the support given by CVS to voluntary organisations, by developing an evaluation model, or models, applicable to CVS and to help CVS to use them.".

We shall now proceed to look at the design of the national project. However before this, in order to make sense of the actual format that the project took, a brief history and description of NACVS, the commissioning agency, and CVS in general, the subject of the study, will be given.

3.2.2   On the Nature of NACVS

The voluntary sector became an identifiable part of the modern economy at the time of the industrial revolution. In the latter half of the 19th Century the social problems of a shift from an agriculturally based economy to an industrial one became increasingly evident. In response to these problems, the number of voluntary organisations mushroomed. However, so rapid was the growth of the voluntary sector that little thought was given to co-ordinating and rationalising effort beyond

satisfying immediate and expressed needs. Given a plethora of voluntary organisations and yet the existence of unmet need, the Standing Conference of Councils of Social Service was formed in 1945 to oversee and co-ordinate the voluntary sector. Progress from the Standing Conference to its form today as NACVS was documented in the first annual report of NACVS:

1945	Formation of Standing Conference of Councils of Social Service.
1974	Chair of the Standing Conference of Councils of Social Service elected by membership for the first time.
1977	Change of name to Councils for Voluntary Service.
1981	Name changed to Councils for Voluntary Service National Association (CVSNA) - new constitution adopted. Written agreement between the National Council for Voluntary Organisations (NCVO) and CVSNA conferring the status of an NCVO staff department on CVSNA.
1988	CVSNA decided to become independent of NCVO.
1990	Conference adopts Memorandum and Articles of Association for new association, NACVS.
1991	Independent association is incorporated and registered as a charity. CVSNA wound down in March.

(Taken from the NACVS Annual Report, 1991, p. 21.)

The 1990 Annual General Meeting of CVS broadly outlined the form that NACVS should take:

Name:	National Association of Councils for Voluntary Service.
Location:	In Sheffield, at the hub of the network.
Staff:	Maintenance of current staff levels with the option for existing CVSNA staff to transfer to Sheffield from London where CVSNA had been based.
Management:	NACVS is to be run by a committee elected by members.

Finance: The annual running costs budget was initially set at £230,000 per annum. Two thirds of this was to be provided by the Voluntary Services Unit of the Home Office and the remainder was to come from a combination of income from membership and service fees, finance agreed by NCVO for a three year period and an appeal to trusts and business. Targets for the appeal programme were set at £26,000 (1991/92), £50,000 (1992/93) and £65,000 (1993/94).

Image: To use independence as an opportunity to create a new and distinct image for NACVS and CVS.

The appointment of the Director of NACVS in January 1991 was one of the first steps in the creation of NACVS. Apart from tasks associated with establishing the new organisation such as staff recruitment, two major strands of work occupied the attention of NACVS in its first year of life: establishing office systems and attracting funds to complement the contribution made by government.

For the most part, the relationship between NACVS, the CVS and voluntary organisations in general is designed according to the principle of recursion, for it is stated by NACVS that their aim is to "...provide support to the CVS network in the same way as the CVS provide it to their local membership." (NACVS Annual Report, 1991, p. 6). Major areas of NACVS work include the provision of:

-        Information and publications.
    -    Monthly NACVS circulation;
    -    General enquiry service;
    -    The CVS Information Services Group (a group facilitated by NACVS for the exchange of ideas and the development of good practice amongst those doing information work in CVS);
    -    Guidelines for CVS;

- A reference manual to encourage good management practice on behalf of CVS;
- NACVS produce and provide to CVS a comprehensive subject index of publications.
- Advice and guidance.

The support to CVS provided under this heading is more comprehensive than that provided under the heading of information and may involve visits to CVS, attending meetings and encouraging CVS to share support and ideas through regional and other networks. NACVS also prides itself on its ability to establish contacts with other organisations in the development of good working practices.

- Training and consultancy.

NACVS has limited resources to provide direct training, hence a collaborative approach to meeting CVS training needs is adopted. NACVS plans to establish a database of providers of training and consultancy as a means of improving access to the skills and experience that exists within the voluntary sector.

Membership work.

NACVS counsels individual CVS to ensure that they operate within agreed understandings of CVS functions and in a way that is appropriate to the needs of local groups.

- Issues affecting CVS and local voluntary action.

NACVS perceives one of its roles to be the channelling of views and information to policy makers about the effects of new initiatives and provide to voluntary groups, through their local CVS, with information necessary for them to take appropriate actions in the situations they find themselves in.

Working with the CVS network.

NACVS sees itself to be a medium through which initiatives developed at the local level can be passed on to other CVS.

- Working with others.

NACVS works with many national and local organisations and networks to ensure that the best use is made of the wealth of experience and knowledge which is evident in the voluntary sector. Close links are maintained with the National Council for Voluntary Organizations, the National Association of Volunteer Bureaux and, amongst others, ACRE, the national network of Rural Community Councils.

- Publicity and promotion.

NACVS promotes the role and function of CVS to a wide audience.

(Taken from the NACVS Annual Report, 1992.)

The audience for the work of NACVS is large. According to the NACVS Annual Report 1991, NACVS provides a national forum for its 200 plus members. Those members, it is estimated, have over 10,000 voluntary bodies as members themselves. Hence, NACVS has the potential to greatly influence the voluntary sector.

3.2.3   On the Nature of CVS

Councils for Voluntary Service (CVS) are umbrella organisations which exist to "...improve the quality of life for disadvantaged people by developing and supporting voluntary organizations." (Clemson and Jackson, p. 2). Registered as charitable organisations, they are managed by an Executive Committee of elected representatives of member voluntary organisations and various statutory agencies having an interest in the work of the CVS. Whilst on average a CVS employs a team of 4-10 members of staff, there are anomalies such as a rural CVS being operated by a sole employed worker or an inner city CVS which might be employing in excess of 20 members of staff.

As part of the rationalisation and co-ordination of effort, CVS tend to work to district council boundaries and tend to be concerned with urban areas (Rural Community Councils deal with the specific issues and problems of non-metropolitan areas).

Whilst recognising the tremendous variety of CVS functions, "The most conspicuous characteristic of CVSs is their diversity..." (Wolfenden, p. 103), in 1978 the Wolfenden Committee defined the functions of a CVS under four headings:

- Development: 'the process of reviewing existing service provision, identifying needs and initiating action to meet them, seeing where duplication in provision exists and trying to achieve a better match between needs and resources'.

- Services to other organisations: 'providing access to such services as: typing and duplicating, advice and information, help with the keeping of accounts, running training courses and so on'.

- Liaison: 'input into the process of information and opinion exchange between organisations'.

- Representation: 'articulating views, protecting interests, pressing for changes through negotiations and publicity, on behalf of the organisations represented by the CVS'.

Whilst the provision of 'direct services to individuals' was not recognised by the Wolfenden Committee as the function of an intermediary agency, it did acknowledge that many intermediaries do engage in this activity.

The contents of the Wolfenden Report proved to be quite controversial. In a circulation paper by Redbridge Voluntary Services Association (1989) the opinion was articulated that the purpose of the Wolfenden Report was to make CVS structurally more akin to local authorities so that working relations between the two might be facilitated, "Wolfenden's intermediary bodies should be seen as an attempt to give the disparate nature of the voluntary sector a corporate level, as an aid to communication and ultimately, co-operation." (p. 2). Whilst this facilitation of working relationships angle to the Wolfenden Report may appear innocent enough,

when one considers that Wolfenden's theoretical functions of a CVS are prescriptive rather than descriptive then the picture of manipulating expressed needs to fit in with corporate structures starts to emerge. The Redbridge circulation critically assesses the accuracy and relevance of the Wolfenden functions in the light of practical involvement with CVS:

- Representation/Co-ordination: Representation is a function which:

"...CVS have been uneasy with, preferring to facilitate representation rather than being a channel for it. In practice very few of the larger local organisations have been prepared to allow a CVS to represent their interests. Very few of the smaller ones have considered the issue. There are inherent difficulties in establishing a single consistent voluntary sector view to represent." (p. 2).

"CVS have never made explicit what is understood by co-ordination. At best it has been a variant of pressure group activity, bringing together a number of organisations with a shared interest (not necessarily the whole voluntary sector's interest) in an issue, for the purpose of collaborative action." (p. 2).

Liaison: Whilst defining liaison, stating the desirability of individuals skilled in its conduct, and anticipating its increasing need, the Redbridge report fails to comment on how well, if at all, CVS are engaging in liaison activities.

Development: "The development role of CVS is widely understood and much coveted." (p. 3).

- Services to organisations: "CVS will continue to provide a range of services in the changed environment; what they are will be largely determined, as now, by the small organisations with no other avenues of support." (p. 3).

The contents of the Redbridge Circulation give an indication as to the controversy caused by the Wolfenden Report; the definition of the four CVS functions by Wolfenden divided the CVS community - you were either a Wolfenden fundamentalist or you were not. However, the Wolfenden functions were included in the Code of Practice set by CVSNA (included in Appendix 3) and, furthermore, the newly appointed director of NACVS affirmed her commitment to the Wolfenden functions of services and support, liaison, representation and development by stating in her key note address to the 1991 National Conference for CVS that "These functions, I would argue, are just as vital and relevant today as they were then and continue to provide a meaningful way of describing the range of CVS work." (p. 3). Thus, it appears that whilst arguments may continue to rage in the field on the relevance and desirability of the Wolfenden functions, NACVS, as the voice of CVS in general, will continue to promote the functions prescribed for CVS by the Wolfenden Committee.

3.3 The Role of the Advisory Group and the Design of the Project

Given that to all intents and purposes CVSNA held ownership of the project, it was decided at the very earliest stage (May 1990) that an Advisory Group should be established by them to provide ongoing support and guidance to the project and to help monitor and evaluate the project's effectiveness (see Appendix 4). Given the overseeing function of the advisory group, their function was to informally meta-evaluate the project (a subject which will be returned to in Chapter 8). The Advisory Group was made up of several members of the CVSNA Executive Committee and representatives of local CVS having a particular interest in evaluation (Appendix 5). During the life of the project, seven formal Advisory Group meetings were held and

the group was extremely influential in determining the overall direction of the project. Some of the main events will now be related.

An ongoing debate by members of the Executive Committee of CVSNA (as it then was) over the composition of the Advisory Group delayed its formation and, consequently, also put back the initial work-plan for the period August 1990 to December 1990 (see Appendix 6). Upon formation, one of the most important decisions made by the Group was the selection of CVS to be included in the pilot project scheme in which the types of evaluation discussed in Chapter 2 were to be tested. The pilot project scheme was designed to run for the duration of 1991 and several CVS were to be involved.

In June 1990 a questionnaire was sent to all CVS in England by the project worker (see Appendix 7). One of the purposes of the questionnaire was to enable formulation of the national picture with regard to the extent and content of CVS involvement with evaluation (see Appendix 8). A second purpose of the questionnaire was to invite CVS to indicate their interest in being involved with the national project. The response was highly encouraging; fifty-five out of the sixty-six responding CVS wanted to be involved with the project.

Based upon the information given by the CVS in response to the questionnaire and a number of significant criteria (size, location, life expectancy), the Advisory Group suggested several CVS for inclusion in the pilot project scheme. A quotation from the minutes of the 19th October 1990 meeting of the Advisory Group illustrates the careful consideration which was paid to the nomination of CVS (Appendix 9):

> "It was suggested that the pilot could start with a larger number of CVS, but other suggestions were that a higher number could raise expectations of the Project Workers and the resources available; it

was important to ensure that CVS selected for the pilot are those most likely to succeed".

The word 'succeed' should be taken in context. The Advisory Group were not looking for CVS that would produce glowing evaluation results but instead they were looking for those CVS who would be committed to seeing the project through and taking the findings of the evaluation, good or bad, seriously. The CVS nominated by the Advisory Group were: Basingstoke, Cleveland, Doncaster, Hastings, Lewisham, North Warwickshire, Northern Devon, and Sunderland.

Following the Advisory Group's selection of CVS which it felt were suitable for inclusion in the pilot scheme, the project worker visited each of the nominated CVS. At that visit, the project worker discussed the criteria for establishing a CVS as a pilot and also sought from the CVS their reason for wanting to be involved in the evaluation project. Finally, the options as regards the different models of evaluation on offer were discussed and some tentative decisions were made about which types of evaluation system might be most appropriate should the CVS be selected as a pilot project. At this early stage of learning, discussion about the selection of an appropriate evaluation methodology was based around the issues raised by two very rudimentary questionnaires (see Appendix 10). Answers to the questionnaires were linked to a classification of evaluation methodologies (see Appendix 10). In the light of the project experience and developments in systems theory this classification has now been abandoned and it is a different meta-theory for the selection of evaluation methodologies which is suggested for use later in this thesis (for further discussion of the classification used in the pilot project scheme and the suggested meta-methodology, see Chapter 9).

After this series of visits, the project worker reported back to the Advisory Group. Out of the eight CVS initially suggested for inclusion in the pilot scheme only one was rejected on the grounds that it already had an effective and efficient evaluation

system in operation and would not greatly benefit from inclusion within the project (the CVS might benefit from the additional resources the national project would provide but would not provide a learning experience as such).

Having agreed which CVS should take part in the pilot scheme, the Advisory Group turned its attention to the nature of the CVSs' commitment to the national project. Whilst it was suggested that the CVS be asked by CVSNA to sign an agreement to encourage commitment and ownership of the evaluations, this was never realised in practice. In reality, commitment to the project was signalled by the acceptance of a set of responsibilities by the pilot project's Executive Committee (Appendix 11). Furthermore, it was suggested that the CVS be asked to establish a reference group for the evaluation of representatives from the local CVS's Executive Committee, funders, client groups and the staff team (henceforth this group will be referred to as the evaluation group). Whilst the proposal that the evaluation be subject to the scrutiny of an evaluation group was realised in almost all of the projects, very often this was a group already involved with the CVS which acted as an audience for the evaluation rather than a tailor-made group (this is common practice in CVS as they tend to rely on a small group of highly involved individuals for support).

Also, at this meeting of the Advisory Group a document which set out the theoretical grounds of the four types of evaluation was presented. Draft copies of the document were given to all members of the Advisory Group and comments invited. In the light of the Advisory Group's comments, the document was amended and circulated to all CVS in Britain (see Gregory, 1991). The purpose of this document was, on the one hand, to inform CVS in general of the basic hypotheses about evaluation which the national project was designed to test (that there are at least four fundamental evaluation methodologies, and which is appropriate in a particular instance depends upon the context in which the evaluation is being conducted) and, on the other hand, to encourage ownership of the project and of the methodologies. The strategy of exposing the hypotheses upon which the project was based was very

much a double-edged sword. Whilst this strategy meant that ownership of the project was encouraged and that the project was informed by other parties' experiences of evaluation, the project worker was quite often forced to publicly confront the limitations of her knowledge. Indeed, whilst the experience of being forced to recognise the limits of one's own thinking can be an enlightening one, it also had to be recognised that it had the effect of exposing the project to a certain amount of danger as the limitations exposed may be interpreted as being a lack of knowledge on the part of the researcher rather than the limits of knowledge in evaluation theory itself. Additionally, this consultation process may have been misinterpreted as self-indulgence on the part of the researchers as they could have been accused of overly seeking approval and justification of their methods and of having an academic approach, simply using CVS as the subject of research.

Despite the negative aspects, there was a strong commitment to the continuous flow of information throughout the project. This flow of information was not only to the CVS, though. CVSNA had a history of networking with other organisations, hence the Advisory Group was keen to encourage the project worker to establish links with other evaluation projects ongoing at the time. As a result of this, links were made with:

Sara del Tuffo   -   Thamesdown Evaluation Trust

Libby Cooper   -   The Charities Evaluation Service

Vivienne Robb   -   Kenilworth Group/National Council for Voluntary Organisations

These links provided a setting where the project worker could obtain advice on problems associated with the project from fellow researchers and also played a part in the diffusion of ideas coming out of the project.

Following discussion of the progress made with the pilot projects, a fixed agenda item at each of the Advisory Group meetings, the March 1991 meeting of the

Advisory Group was concerned with the problem of scheduling project work. The involvement of seven, geographically dispersed, CVS meant that the scheduling of the work and the number and timing of visits to the CVS by the project worker was crucial, especially given certain resource constraints such as project worker hours, finance, etc. In the light of these constraints and in conjunction with the individual CVS, the project worker put together a year long schedule of the critical project tasks which was presented to and agreed by the Advisory Group (Appendix 12). An interim report to the Leverhulme Trust was also produced at this stage (Appendix 13).

Consequently, the Advisory Group started to plan ahead for the completion of the project. It was decided that a meeting of the key people involved with the pilot scheme should be held in December 1991 so that each of the pilots could report to the others on their experience of the evaluation project. Furthermore, at this early stage, the Advisory Group started to detail its requirements of the final report. Whilst there had been few problems with language between the project worker and the Advisory Group, it was believed this was because the Advisory Group had read and digested all of the literature coming out of the project and, thus, were thoroughly acquainted with the terminology of evaluation. It was agreed that any material coming out of the project should be as user-friendly as possible thus it was decided that the Advisory Group should edit the final report to ensure that it was in CVS, rather than academic, language. It was planned that the final report be launched to CVS at a workshop to be held in May/June 1992. Finally, concern was expressed at this meeting that the project might be disrupted due to the changeover from CVSNA in London to NACVS in Sheffield. As a result of these concerns, it was decided that the Advisory Group be self-servicing in the short-term until a new contact person be appointed from NACVS .

The usual agenda pattern of the Advisory Group (progress report, discussion, planning for the dissemination of results) was disrupted at the July meeting of the Advisory Group. At this meeting the new General Secretary of NACVS, Chris Carling,

announced that the NACVS Executive Committee was very concerned about the composition of the Advisory Group which, due to illness of one member and the non-attendance of another, had become dominated by CVS representatives (see Appendix 9). Consequently, the NACVS Executive Committee appointed a new member to the Advisory Group. Whilst the Group acknowledged that NACVS's wish to maintain effective representation on the Advisory Group signalled their commitment to the project, as the person suggested for appointment to the Advisory Group by the NACVS Executive Committee was also a member of a pilot project's Executive Committee, the Advisory Group argued that her appointment challenged its discretion. The following points were put to and accepted by the NACVS Committee:

> "Members of the group expressed concern that the membership of the Advisory Group had been determined in this way. The Group had been set up to undertake a particular task which was due for completion by April, 1992.

> It was further pointed out that it had been previously agreed that members of the Advisory Group would not have a connection with the pilot projects." (minutes of the Advisory Group meeting held on 8th July 1991).

Whilst the Advisory Group successfully resisted the attempt to introduce a new member whose membership of the Advisory Group was overruled on the basis of the rules it had set out for itself, a second representative of the NACVS Executive Committee was successfully introduced to the Advisory Group at the November meeting.

Much of the November meeting was taken up with making plans for the December Project Day. The purpose of this Day was not only to encourage the sharing of

information but also to encourage the involvement of the pilots in the June launch of the findings of the National Project to the CVS network. It was planned that the December Project Day, whilst being hosted by the Advisory Group, should equally involve the Advisory Group, the project worker and the representatives of the pilot projects (see Appendix 14).

In fact, the day began with an introduction by a member of the Advisory Group which gave the history of the project and an overview of the role of the Advisory Group which, to the pilot projects, had been very much in the background. The project worker gave a short overview of the national project as a whole. Following this, each of the seven pilot CVS gave an account of the type of evaluation that they had undertaken and the type of results they had experienced (the pilot projects' accounts of the evaluation processes have proved a key resource and have been drawn upon at the launch, in the CVS evaluation manual and this thesis). The day culminated in a discussion session at which basic plans for the launch conference to the CVS network were set out in the light of the pilots' presentations.

Following the December Project Day, the February meeting of the Advisory Group was devoted to the specification of the final report. It was decided that this report should be in two parts: first, a theoretical report containing accounts of the evaluation models and case-studies of the pilot projects (this report has not been included in this thesis as it is too long a document and duplicates much of the thesis content) and, second, a 'manual' style report, containing evaluation techniques and advice about how to go about conducting an evaluation (Appendix 15). The latter report was meant to be more useful to the CVS network.

The funding of the production of the manual was the main topic of the final, May 1992, meeting of the Advisory Group (see Appendix 9). Although NACVS approached several firms for sponsorship, to cover the cost of editing and producing the manual,

ultimately the decision was made that the manual should be edited and produced 'in-house' by NACVS.

Whilst NACVS were provided with a comprehensive 'theoretical' report and, written in conjunction with the Advisory Group, a manual type workbook, the final manual was very much a product of NACVS editing. Indeed, the chair of the Advisory Group complained at length about the intervention of NACVS at this stage, especially about the editing of the pack without the approval of the Advisory Group.

Despite the minor dispute over the editing of the manual, it was launched to the CVS network at the NACVS Evaluation Day on 17th July 1992 in Sheffield. The event was facilitated by the Advisory Group and several members of NACVS staff who had been involved with the project. The event, charged at £10.00 per head, was attended by 38 CVS representatives, one of the experts from the system-resource project, 2 members of Hull University who had acted as the project worker and supervisor, and four members of NACVS.

The event revolved around the pilot projects accounts of their experiences of the evaluation projects, as told at the December meeting, and workshops which served to give the participants a taste of what each of the different types of evaluation involves (see Appendix 16). Given their expertise in the facilitation of group work, NACVS was highly involved with the workshops and, to ensure authenticity, they had taken a key role in developing the case-study around which the exercises were built (Appendix 17).

By this stage it was very clear that NACVS felt they owned the findings of the project. Indeed, the main focus of the Evaluation Day was on NACVS presenting the results of one of its projects to its members and whilst it was very tempting for the project worker to intervene at certain points when she felt a certain theoretical point was not being conveyed quite correctly, it had to be realised that ownership of the project had

passed over and, as far as the researchers and the Advisory Group were concerned, had ended (see Appendix 18). Accountability to the funders of the project, the Leverhulme Trust, concluded with the production of a final report (Appendix 19).

3.4   General Diffusion of Project Findings

At the start of the project it was realised that there were two separate audiences to which ideas and project findings should be reported, the CVS network and the academic community.

Whilst the reporting of the project findings to the CVS network was briefly discussed in the previous section it is interesting to examine the strategy for achieving this diffusion of results. A several pronged attack was planned and implemented:

> production of project reports:
>
> Gregory, A. J., 1991, *Evaluation: A User's Guide. A First Project Report.*
>
> Gregory, A. J., and Jackson, M. C., 1992, *NACVS Evaluation Project. A Final Report.*
>
> a session at a national voluntary sector conference;
>
> Kenilworth Group/NCVO Conference, "Local Development Agencies: How Do We Evaluate Ourselves?", 3 December 1991, London.

-       fringe workshops at NACVS Annual Conferences;

> CVSNA Annual Conference, 7-9 September 1990, Coventry.
>
> NACVS Annual Conference, 6-8 September 1991, Liverpool.

-       talks by the project worker at several regional meetings;

-       occasional project reports in the NACVS circulation;

-       informal spreading the word of the project and its work by members of the Advisory Group, NACVS staff and members of the pilot project CVS.

It was also recognised that should the CVS consultancy service be re-established (a selected and trained group of CVS General Secretaries who provide assistance to CVS requesting advice), then this would provide an excellent vehicle for further diffusion and use of the work done in the project.

The academic audience for the project work was very different to the CVS one in terms of language and the way in which ideas might be conveyed. However, the strategy for the diffusion of findings was quite similar (the results of the project were reported at conferences beyond the official end of the project):

presentation of papers at academic conferences;

"Evaluation of a CVS", OR32, Annual Conference of the Operational Research Society, 11-14 September 1990, Bangor.

"Evaluation in the voluntary sector", Community Operational Research Network, 13 March 1991, London.

"Evaluation of progressive organisations: A critical approach", International Society for the Systems Sciences Conference, 14-20 June 1991, Sweden.

"Which evaluation methodology when? A contingency approach to evaluation", Systems Thinking in Europe, Conference of the United Kingdom Systems Society, 10-13 September 1991, Huddersfield.

"Evaluation of a CVS: An update", OR33, Annual Conference of the Operational Research Society, 17-20 September 1991, Exeter.

"Evaluation and total systems intervention", OR34, Annual Conference of the Operational Research Society, 8-10 September 1992, Birmingham.

"Ecology and evaluation: The macro-quality perspective", Conference of the United Kingdom Systems Society, 27-30 July 1993, Paisley.

"Managerial problem solving and evaluation: A complementarist approach", Second European Congress on Systems Science, 5-8 October 1993, Prague.

- publication of papers in academic journals and proceedings;

Gregory, A. J., 1990, Evaluation procedures for CVSs, *Acorn* No. 4 .

Gregory, A. J., 1990, Project to design evaluation procedures for CVS, *Systemist* No. 12.

Gregory, A. J., 1991, Which evaluation methodology when? A contingency approach to evaluation, in: *Systems Thinking in Europe* (M. C. Jackson et al., eds.), Plenum Press, London, pp. 435-441.

Gregory, A. J., and Jackson, M. C., 1992, Evaluation methodologies: A system for use, *Journal of the Operational Society* 43: 19-28.

Gregory, A. J., and Jackson, M. C., 1992, Evaluating organisations: A systems and contingency approach, *Systems Practice* 5: 37-60.

Gregory, A. J., 1992, Evaluation of progressive organisations: A critical approach, *Proceedings of the 35th annual meeting of the International Society for the Systems Sciences*, Vol. II, , pp. 83-91.

Gregory, A. J., 1993, Ecology and evaluation: The macro-quality perspective, in: *Systems Science. Addressing Global Issues* (F. A. Stowell et al., eds.), Plenum Press, London, pp. 137-142.

Gregory, A. J., 1993, Managerial problem solving and evaluation: A complementarist approach, *Proceedings of the Second European Congress on Systems Science*, Vol. III, pp. 992-999.

Article forthcoming:

Gregory, A. J., Jackson, M. C., and Clemson, M., 1994, Evaluation of Beverley CVS, in: The forthcoming community operational research book (C. Ritchie et al., eds.).

3.5   Conclusion

In this Chapter the process of setting up a project to test the four types of evaluation discussed in Chapter 2 was described. Due to the unique nature of the commissioning organisation, NACVS, and the unique nature of the organisations with

which the project was concerned, CVS, a review of the history, structure and activities of both types of organisation was undertaken.

Following this review, an account of the setting-up of the national project, the role of the Advisory Group, the culmination of the project in the NACVS Evaluation Day and the launch of the manual, and the strategy for the general dissemination of project findings was given. Whilst this chapter very much focused on the overall direction of the project, in the following chapters detailed accounts will be given of the four types of evaluation discussed in Chapter 2 and the seven pilot projects in which they were realised in practice.

CHAPTER 4

GOAL BASED EVALUATION

4.1   Introduction

In this chapter the implications of the notion that organisational effectiveness relates to the accomplishment of goals will be examined. In conducting this examination, a structure will be set out which will provide the basis for the interrogation of the other forms of evaluation discussed in this thesis. Firstly, the theoretical foundations of the goal approach will be summarised and a method for implementing in practice the goal form of evaluation will be constructed. Following this, accounts will be given of the three projects which sought to test the goal based method and the reflections of the CVSs on the positive and negative aspects of the evaluation process recounted. A critique will then be compiled of the goal based approach and, finally, discussion will be made of whether evidence from the pilot projects stood to support or negate the critique.

4.2   Theoretical Foundations: A Summary

This chapter will draw on the arguments put forth in Chapter 2 in which it was established that the alignment of goal achievement with effectiveness follows from the closed system analogy of the organisation as a machine. With the machine metaphor:

> "A machine is recognised as a technical apparatus that has several (often standardised) parts each with a definite function. Much emphasis is placed on the efficiency of the parts. The machine operates in a routine and repetitive fashion and performs predetermined sets of activities, seeking the rational and efficient

means of reaching preset goals and objectives. More generally, much emphasis is placed on control while little emphasis is placed on environment." (Flood and Jackson, 1991a, p. 8).

Furthermore, this chapter will draw on the implications for management practice discussed in Chapter 2 where it was argued that the machine metaphor is reflected in the management thinking of Taylor (1947), Fayol (1949) and their followers. These theorists concentrated on the structure of social organisations and how these should be designed to promote goal achievement. Following Weber, Taylor and Fayol, organisations were regarded as being controlled by a group of rational minded decision makers who set clear and quantifiable goals for the organisation as a whole. In the theory, the goals are subsequently reduced to highly defined tasks which are distributed to the work-force for implementation. Thus, once the goals have been set, the organisation may be regarded to be a machine of the input-transformation-output type.

In wondering how these ideas can be turned into a method of evaluation, it is also worth considering the contribution of systems thinkers who have often gone further than other management thinkers in trying to turn theory into practice. Complementary to the work of the traditional management theorists is the work, in the systems literature, of the hard systems thinkers. An example of the hard system approach is that of systems engineering as popularised by Jenkins (1981). Systems engineering is a problem solving methodology which involves the ranking of objectives, the quantification of alternative strategies by which the objectives may be achieved and the selection of the preferred strategy based upon some overall criterion. The positivist underpinnings of systems engineering are quite explicit as the definition of the organisation's overall goal is regarded as being unproblematic and the modelling of an 'objective' social world, so that optimum solutions to problems can be extracted, is seen to be straightforward.

Having summarised the foundations for a form of organisational evaluation based on a definition of effectiveness as the accomplishment of goals, discussion can take place of how such an approach might be realised in practice.

4.3   Method

In its traditional form, a goal based evaluation accepts the stated objectives of management to be the legitimate goals of the whole organisation. Thus, there is explicit acceptance of the validity of management's statements of intention and a belief that these are the goals actually being pursued by the organisation in reality. However, there are many variations on goal based evaluation using different ways of defining the goals of the organisation. Once the goals to be pursued have been determined, though, the process of evaluating progress towards them must be the same.

Goal based evaluation can be defined as a nine stage process:

1.   Formulate the goal statement

2.   Translate the goal statement into a co-ordinated set of objectives

3.   Identify indicators relevant to the objectives

4.   Express the goal state in terms of the indicators (set targets)

5.   Implement objectives and monitor activities

6.   At period end, calculate the actual state of the indicators

7.   Compare the actual state of the indicators achieved with the targets

8.   Assess achievement

9.   Review the process

Whilst the process of goal based evaluation has been set out in sequential fashion in the above, in reality the evaluation is more likely to progress in an iterative manner.

A conceptual model of goal based evaluation is shown in figure 7.

1.	**Formulate** the goal statement
2.	**Translate** the goal statement into a co-ordinated set of objectives
3.	**Identify** indicators relevant to the objectives
4.	**Express** the goal state in terms of the indicators (set targets)
5.	**Implement** objectives and monitor activities
6.	At period end, **calculate** the actual state of the indicators
7.	**Compare** the actual state of the indicators achieved with the targets
8.	**Assess** achievement
9.	**Review** the process

Figure 7. Conceptual Model of Goal Based Evaluation

Having identified the major stages in conducting a goal based evaluation, we shall now look at each of the stages of the process as they may be practised by CVS in more detail. Whilst ideas about how best to conduct a goal based evaluation did not change to any great extent as a result of actually having implemented such an evaluation in the pilot project, the following account was written very much in the light of the learning from the pilot project. Hence this account emphasises what is practical and feasible for a CVS rather than a pure goal based methodology founded on the principles of the machine model.

1.   **Formulate the goal statement**

Whilst, in theory, goal based evaluation assumes the organisation to be in a unitary state, in practice, it is rare to find total agreement amongst organisational members about the organisation's purpose. This is especially the case with CVS which are managed by an executive committee and whose constitution demands that all 'major' decisions be made by a participatory process. In one of the pilot projects an attempt was made at restricting input to the definition of goals; the General Secretary alone attempted to formulate a goal statement for the CVS. However, as the General Secretary focused mainly on day-to-day issues, he found that his goals for the CVS were constantly changing. This example of a general secretary adopting an autocratic view and attempting to formulate goals in isolation reinforces the call for participatory decision-making methods for example by an executive committee who are distanced from day-to-day issues and are, therefore, better able to adopt a long term view. It is here suggested that the process of consultation be formalised by the use of nominal group technique (one of the consensus generating methodologies in Warfield's (1990) Interactive Management Spectrum). In the case of a CVS nominal group technique aims to provide a tool for use by executive committees for surfacing opinions about CVS goals.

i.   Independently each member of the executive committee should write down the five goals which he/she would like to see the CVS achieve during the period under review.

ii.   Each person should then read out his/her goal statement to the rest of the committee. Each of the goals should be recorded on a large sheet of paper. Where goals are stated by more than one person they need not be recorded twice.

iii. The sheets of paper detailing the goals should be pinned to the wall for everyone to read. Members of the committee should be asked if there are any other goals which they would like to suggest at this stage.

iv. Committee members should be allowed to read the statements and place a tick next to those five statements of goal with which they most strongly agree.

v. The number of ticks next to each of the goals should be calculated.

vi. A discussion amongst the committee members should then take place about how desirable and feasible it is that the most popular goals, those goals receiving the most number of ticks, become the subject of the CVS efforts for the coming period.

vii. Based on the discussion, a goal plan for the organisation should be put together. Attention should be paid to how well covered each of the CVS activity sections or departments are by the goal plan. It is recommended that each of the sections be given some form of goal to work toward as this common involvement in the evaluation process may serve to unite members of staff. How feasible the goals are in terms of resources and intervening factors, such as the actions of funders, should also be considered.

2. Translate the goal statement into a co-ordinated set of objectives

Having formulated a set of goals for the organisation, attention should be turned to the setting of objectives. Objectives may be thought of as the means by which the goals can be achieved. Numerous ways in which a goal can be achieved can often be evident and it may be difficult to decide which means are the most appropriate. Whilst it is not theoretically necessary, it was found in the pilot projects that it may be useful to consult a wider audience about their preferences on how the CVS should go about achieving its goals.

In the pilot projects it was found that often many objectives are needed to accomplish a single goal and It is easy to lose sight of the original goals and become too focused on detailed work-plans for the organisation. Checking the links between goals and objectives and the level of consistency of detail within the goal plan should help reduce confusion.

The distinction between effectiveness and efficiency objectives should also be made explicit at this stage as often both are needed to evaluate how well a goal has been achieved. For example, to undertake a survey about the feasibility of setting up a transport scheme would be seen as an effectiveness objective but to undertake that survey within 40 hours would be an efficiency objective.

If the achievement of an objective is to act as a criterion of the effectiveness/efficiency of an organisation, it must be set to a time scale. It is important that objectives are given realistic time periods for achievement since if the period is too short then staff are likely to feel overburdened and stressed but, on the other hand, if the time period is too long then the objective is unlikely to motivate the staff.

3.   Identify indicators relevant to the objectives

It is very difficult to measure the achievement of an objective directly, hence it is more common to substitute a number of output variables, which roughly correlate with the objective, which may be assessed relatively easily. These rough correlates are known as indicators.

In the pilot projects equal emphasis was placed on qualitative and quantitative indicators; hence, efforts should be made to include both types

of indicators. Qualitative indicators are commonly regarded as being the most difficult to capture and often result in, for example, participants being asked to rate their level of satisfaction on a quantitative scale.

Whilst in theory, the generation of indicators should be quite simple, in practice it was found to be difficult to define indicators which truly reflected the chosen objectives; this was especially the case where liaison and representation were concerned. Indeed, it may be said that this stage of the evaluation process may require more thought and discussion than anticipated and, consequently, may absorb more of the resources available for conducting the evaluation.

The selection of indicators implies what monitoring will need to be undertaken by the organisation. Whilst the more indicators one has, the better able one is to accurately assess the level of goal achievement, the organisation should not become overburdened by the task of collecting data. Based on the experience of the pilot projects, it might be suggested that forms be developed to make the collection of data quicker and easier. Also, if data is collected in specially designed data monitoring pads then it is less likely to get lost and more likely to be recorded consistently than if data is put down haphazardly on scraps of paper.

4.   Express the goal state in terms of the indicators (set targets)

Having decided which variables are going to be taken as indicators, the objectives should be expressed in terms of the indicators. This is known as the process of setting targets. Efforts should be made to ensure that the targets set are realistic, thus consideration should be given to resource availability, the organisation's past levels of achievement and so on. Indeed, in the case of the pilot projects it was necessary to undertake a period of research into past organisational operating to ensure that the targets set were realistic.

5.   Implement objectives and monitor activities

Following the setting of targets, instructions based on the objectives should be issued to the work-force so that there then ensues a period of, hopefully, goal oriented activity during which monitoring is undertaken.

6.   At period end, calculate the actual state of the indicators achieved

Following the period of goal oriented activity, the actual state of the indicators should be assessed as per the monitoring data collected.

7.   Compare the actual state of the indicators achieved with the targets

The actual state of the indicators achieved should be compared with the targets set at the beginning of the period and whether or not the targets have been reached should be determined.

8.   Assess achievement

The comparison of the state of the indicators achieved to targets should enable the determination of the amount of goal achievement in the period. A statement of goal achievement in the period should be input into the learning sub-system (see Chapter 8) so that changes may be implemented which improve the organisation's functioning in future periods.

9.   Review the process

Reviewing the process is part of the meta-evaluation sub-system (see Chapter 8). There are a number of points which are of particular relevance in the meta-evaluation of a goal based system (some of these questions might well also be posed in the future tense at the start of a goal based evaluation as well as in the past tense at the end of the evaluation as is reported here).

If the goals have been achieved very easily then it should be considered whether the goals set were a little unambitious and whether the targets were set too low.

If the amount of goal achievement is poor, the following should be considered:

- Were the goals those which were actually being pursued by staff?
- Were the goals those which were really important to the organisation?
- Given the context, were the goals realistic?
- Did the goals lose their relevance during the evaluation and, consequently, was organisational effort diverted elsewhere?
- Were the goals communicated well to staff?

As has already been said, when following the goal evaluation process it is unlikely to progress in the strict linear stages set out in this report. Often you will jump back and forth between the stages, clarifying and revising as you work through the exercise. You will notice that no ideal time-scale has been set for the exercise - this is because it was found in the pilot projects that the appropriate time scale will depend upon the organisation, its decision making cycle, the goals selected, etc. It might be found best to work through one iteration of the cycle quickly, to familiarise oneself and others with the process, and then follow-up the exercise by moving through the cycle more slowly and in more detail.

4.4   Case-Studies

4.4.1   Case Study: Worthley CVS

Worthley CVS served a large metropolitan district with a population of approximately 300,000. When the project started, the General Secretary, whilst having a wealth of experience of CVS, was new to Worthley CVS and felt the need for a study into where the organisation was going. With the support of the Executive Committee, a Strategy Sub-Committee (SSC) was established which developed a mission statement and a work programme for the CVS. Thus, having undertaken the ground work of examining the role of the CVS in terms of goals and objectives, the CVS was already well on the way to conducting a goal evaluation of its own accord. Hence, Worthley CVS was already committed to doing an evaluation when the invitation to express interest in the national project was issued.

During meetings with the project worker, it became evident that whilst Worthley CVS wanted to pursue a goal-based evaluation, and whilst they had already delineated the broad goals of the CVS, they felt the need to involve a wider audience in defining the ways in which the CVS should go about achieving its goals (as has been previously discussed in section 4.3, whilst the notion of participation in the definition of

the organisation's goals goes against the theoretical principles of the goal based model, in practice participation was regarded as being critical to the ongoing viability of the CVS and the evaluation process itself).

Approximately 200 questionnaires were circulated to CVS member organisations and selected significant others, including senior officers of the local health authority (see Appendix 20). The questionnaires asked respondents to go through the work programme and to say how they rated work done in the past by the CVS on a scale from 0-7 and to look through plans for the future and prioritise them on a scale from 0-7. The response rate to the survey was good, for a postal survey, at around 30%. Analysis of the replies gave an indication of how people thought the CVS had performed in the past and what activities interested parties would like the CVS to concentrate on in the future. Following analysis of the survey replies, a report was made to the Executive Committee through the SSC about CVS priorities.

The results of the survey were also used as the basis for the CVS Annual General Meeting (AGM) held in July. At that meeting, delegates were split into groups to discuss CVS performance and activities. Despite gloomy predictions of AGM failure, due to breaking with the traditional AGM habit of providing a speaker, the evening was a success - no fall in attendance over previous years and greater feedback from members.

Following this process of consultation with members, the SSC met to discuss how measures might be developed to indicate CVS achievement in the areas identified as being of priority. The definition of indicators was a long iterative process involving the General Secretary, the SSC and the project worker. A number of measures were identified which might have been taken as indicative of achievement of the objectives but great emphasis was placed on only selecting those indicators which could, in the eyes of those involved in the process, be said to truly correlate with the objectives. Whilst, theoretically, the definition of indicators is seen to be

unproblematic, in practice particular difficulty was found in developing indicators of success for those objectives which related to liaison and representation work. The indicator for liaison and representation work, which came up repeatedly, was the number of meetings attended but this did not seem to capture the quality of the work undertaken at those meetings. Ultimately, it was decided to just leave alone those objectives for which it seemed difficult to develop indicators and hope that suitable measures might suggest themselves during the monitoring period.

Having decided upon a set of indicators, attention then turned to the setting of targets (Appendix 20). Great emphasis was placed on ensuring that the targets were appropriate; set at a level which would motivate staff to put in a greater effort than previously but not so high as to be unachievable. Having set what was believed to be a feasible set of targets, those involved with the evaluation began to think about what data needed to be collected during the monitoring period. The data that needed to be collected readily suggested itself from the indicators and it was decided that a set of forms should be designed to make the recording of data easier and quicker (see Appendix 20). It was realised at this stage that those forms which related to the giving of advice and consultancy could be used as client records. These client records would mean that any member of staff could go to the files and find out what type of information any organisation had been given by the CVS in the past.

The monitoring period ran from the middle of August until the end of December. At the end of the period, the results of the monitoring process and assessment of the amount of goal achievement overall were fed into the decision making process of the Executive Committee via the SSC, and the results of the exercise affected the content of the work-plan for the coming year.

Worthley CVS committed themselves to the continued use of this evaluation process after the pilot project finished and the support which it offered was withdrawn.

However, it was stated that the survey of members views and use of the AGM to discuss the evaluation process would probably only be done bi-annually.

a. Reflections by the CVS

In this section the positive and negative aspects of the evaluation process discussed in the above case-study will be set out. These points were largely the outcome of the meeting of representatives of all the pilot projects. At this meeting, which took place once all of the pilots had finished, each representative gave an account of the evaluation process in which they had engaged and then, with the help of other participants, reflected aloud on the perceived positive and negative aspects of the evaluation. By way of conclusion, each representative was asked to suggest what they perceived to be a 'key issue' with the form of evaluation which they had engaged.

Positive Aspects of the Evaluation:

- Setting down what the organisation was about as a whole in the mission statement led to a lot clearer understanding within and between the Executive, staff, funders and members organisations.
- Positive feedback was received from interested parties about involving them in making decisions about priorities.
- The evaluation process raised the public image of the CVS.
- The exercise provided staff with some measures of the success of their work.
- Funders recognised the validity of the evaluation process and the efforts of the CVS to evaluate themselves.

Negative Aspects of the Evaluation:

- Determination of meaningful and relevant indicators was found to be difficult.

- Collection of data was time consuming and monotonous. A certain amount of staff resistance was experienced as there had been previous attempts at monitoring but the data had never been analysed.

- It was realised that in the longer term, the goal plan would have to be updated on a regular basis to reflect changes in resources, for instance the hiring of new staff which might serve to increase the goal capacity of the CVS.

Important Issue:

- How to deal with the increased demand for CVS services and raised expectations of the CVS due to the involvement of member organisations in the evaluation process and, as a part of that process, their specification of what the CVS should actually do?

4.4.2   Case Study: Voluntary Action Chatleton

Chatleton was a town of 70-80,000 population and, in one form or another, Voluntary Action Chatleton (VAC) had been around for a hundred years. When the evaluation project started, though, VAC had recently taken on a new form with a new General Secretary, new Executive Committee, new staff and new funders. The invitation to become involved with the national project came along just as the organisation was being set-up and it was realised that having evaluative measures built into the organisational processes from the very start would stand the organisation in good stead.

Initial talks about the form and content of the evaluation were between the General Secretary and the project worker. In talks with the General Secretary, the researcher found that the General Secretary was reluctant to allow the researcher to meet with other members of staff (perhaps this was due to him being new to VAC and him not wanting to relinquish control over the evaluation) and deciding which parts of VAC

work to focus on was a difficult process. Priorities jumped in and out of the frame of reference for the evaluation over a period of several months and what seemed important at one meeting, had lost its sense of urgency or had been dropped altogether, by the next. Finally, it was agreed that four parts of VAC work should come under the focus of the evaluation; the newsletter, the Volunteer Bureau, provision of training and the Executive Committee. Having decided the areas of work on which the evaluation should focus, the next stage of the process was to surface the goals held by the General Secretary for each of the four parts of VAC work. This was quite simple, since the goals accepted were very general in nature, for example to improve the quality of the newsletter (see Appendix 21).

The next stage in the process was the definition of objectives, what activities should VAC undertake in attempting to achieve its goals? The definition of objectives was one of the most difficult stages of the whole evaluation for VAC. As most of the staff were new to VAC and the General Secretary himself was fairly new to the town, it was very difficult for them to set down what changes should be made to VAC practice so that the goals determined might be achieved. Whilst, theoretically, the definition of objectives is seen to be unproblematic, in the case of VAC it became evident that quite substantial research was needed into determining how VAC should go about conducting its work and various surveys were undertaken to unearth this information. It should be said that the impetus for the surveys came from VAC itself and the staff were involved to a great extent with the design of the questionnaires. Indeed, the results of the surveys have had quite an impact, in particular there has been great influence in the area of training and VAC is now adopting a totally new approach in that area of work.

Having undertaken research to define how VAC should best operate in several areas, indicators were subsequently identified to enable measurement of VAC's success in achieving its goals by means of the revealed objectives. Particular emphasis was placed on qualitative indicators of achievement. Often this involved

asking people to indicate how satisfied they were with a service on a scale ranging from 0 (minimum satisfaction) to 7 (maximum satisfaction).

Having identified the indicators, attention was turned to the setting of targets. It was at this stage of the evaluation process that contact for the project worker broadened out and, whilst the General Secretary oversaw the process, the setting of targets for each of the sections of VAC work was the responsibility of the worker in charge of that area. However, the staff of VAC found the setting of targets for the indicators problematic. As has been said, the form of VAC, at the time of the project, was very new, hence staff did not have sufficient knowledge of CVS functioning in the past on which to base their estimates of how well VAC could be expected to operate in the future. Research and a period of monitoring had to be undertaken in which a basis for the indicators could be assessed so that targets could be set and improvements judged. Eventually, having completed a research and monitoring period, staff felt able to set realistic targets for the evaluation. Hence, for the most part, the targets set were determined by the staff themselves in discussion with the General Secretary and the researcher. Overall, emphasis was placed on setting targets that were 'realistic'.

Having defined the data that needed collecting to ensure that the actual state of the indicators at the end of the period could be assessed, a period of monitoring was undertaken by VAC. It was recognised that it was at this stage that there was the most potential for staff, disgruntled by their lack of involvement in the early stages of the process, to sabotage the evaluation. However, the attitude that the evaluation represented a 'learning opportunity' seemed to predominate and the data offered by staff was accepted by the researcher on trust.

At this stage it should be pointed out that the process of identifying goals, setting objectives, identifying indicators and establishing targets had been treated as a separate independent process for each of the four areas of work under scrutiny and

each part of the process had progressed at a different rate. Indeed, due to the different nature of each of the separate aspects of VAC work examined by the evaluation, it was realised early on in the project that the process had to be very fluid with some aspects of the work having long monitoring periods and others short.

Overall, the level of goal achievement by VAC was good. The only area in which there had been little progress was with improving the extent and nature of the Executive Committee's involvement with VAC; it was recognised, however, that this is a problem for most CVS. Hence, to achieve the goal in that area, it was agreed that what seemed to be needed was an attitude change on behalf of members of the Executive and such a change takes more time than, for example, altering the size of print of the newsletter.

a.   Reflections by the CVS

Positive Aspects of the Evaluation:

- The research put into question accepted/traditional methods and opened the CVS up to new ways of working, e.g. training has now been put out to a commercial organisation.
- The setting of appropriate and achievable targets acted as a source of motivation for staff.
- The involvement of staff in the design of the research and the evaluation exercise as a whole meant that they became committed to acting upon the evaluation findings.

Negative Aspects of the Evaluation:

- Changes within the organisation and its environment meant that the goal plan needed continuously updating as goals moved in and out of the frame of reference.

- The initial inertia of staff toward the project had to be overcome.

Important Issue:

- As a lot of research was necessary, the process absorbed a considerable amount of resources. Would the CVS have been able to take this evaluation on without the support of the national project?

4.4.3   Case Study: East Baldershot CVS

East Baldershot is a rural area and, at the time of the pilot project, the CVS was quite small with 1 full time worker, 1 part time clerical assistant, 1 part time project worker and a couple of volunteers. The CVS was crippled by lack of resources; funding was very insecure and the office accommodation was unsuitable to the needs of a CVS.

East Baldershot Social Services, who funded the CVS in part, had been proposing a review of CVS work for some time. The CVS was quite intimidated by the threat of an evaluation in which the criteria for success were defined for them, hence the General Secretary was keen to become involved with the national project (if only to take the wind out of the sails of the Social Services review).

During conversations with the General Secretary, it became evident that the Executive Committee were rather non-committal and the General Secretary felt rather lacking in support for her work. It was decided, therefore, that it would be beneficial to establish a sub-committee of the Executive Committee to act as an

evaluation group to support the project. Although, the Executive Committee were not really interested in the project, the General Secretary managed to establish a small group of Executive Committee members and interested parties to be involved with the design, implementation and dissemination of evaluation findings. Whilst the group was being set up, it was suggested by the General Secretary, in conjunction with the project worker, that the most appropriate form of evaluation for East Baldershot CVS would be the goal based model and this suggestion was verified by the evaluation group at its first meeting.

The evaluation group met for the first time in May to discuss the goals of the CVS but members found that they were not really clear about what the CVS was about. In preparation for the first meeting and given that the General Secretary had said that the group would need to be motivated, to provide fuel for debate a goal plan had been prepared by the project worker based upon the comments of the General Secretary and the stated work-plan of the CVS. The group rejected the proposed goal statement on the basis that it concentrated too much on the outcomes of CVS work rather than the processes engaged in. For instance, in the case of development, it was seen as not being appropriate to look at the success of any of the projects set up by the CVS because the contribution of the CVS to that success was too intangible to discern. As a result of that first meeting it was decided that the group required a wider brief and needed to look at the goals of the CVS itself.

Based upon the review of statements from other CVS, the group struggled on to formulate a mission statement for the CVS and to look at goals and objectives. The difficulty which the group experienced in formulating a mission statement did not seem to be due to their inability to achieve a consensus but, unfortunately, more due to the Executive Committee members of the group being more comfortable working with statements of day-to-day work rather than looking at the direction of the organisation as a whole. The Executive members of the group seemed unwilling to accept the argument that equal attention should be paid to the ends as well as the

means of CVS work. It appeared that lack of resources had forced the organisation and its management to act as if in a perpetual state of emergency and to them it seemed to be tempting fate to make long-term plans for the CVS. Papers concerning aims and objectives, a mission statement and work plans were put to the Executive by the group and the General Secretary for discussion in October but the Executive Committee returned the papers back to the sub-committee without comment. It appeared that members of the Executive Committee in general were uncomfortable with looking at the long term future of the CVS. A stale-mate had been reached which, in terms of the pilot project, proved fatal to East Baldershot's attempts to evaluate itself.

Whilst there was little progress toward establishing an evaluation system for East Baldershot CVS or even clarifying the aims or objectives of the organisation, the General Secretary realised that the development of a goal plan was essential to the future of East Baldershot CVS. Since the exercise, talks about evaluation have taken place between the General Secretary and Social Services. According to the General Secretary, involvement with the national project has significantly increased her awareness of different evaluation methods and has provided a sound basis for negotiation between the CVS and Social Services. Unfortunately for the CVS, given the good work she carried out in attempting to establish management systems, the General Secretary has, since the end of the pilot project, given notice of her resignation. The Executive Committee are unconvinced of the need for an evaluation system and appear to have satisfied themselves that the goals of a CVS are far too dynamic and intangible to define. Given the General Secretary's resignation and the general attitude of most members of the Executive Committee, how the organisation copes with the impending Social Services review has yet to be seen.

a.   Reflections by the CVS

Positive Aspects of the Evaluation:

- Undertaking the evaluation project impressed upon some members of staff and Executive the need to make long term plans for the CVS and the need to be proactive rather than reactive.

- Participation in the project forced the CVS to begin to organise in a way which would, eventually, allow it to carry out a proper evaluation.

Negative Aspects of the Evaluation:

- The inability of the CVS to set a goal plan seemed to imply poor management practice by the CVS.

Important Issues:

- Does an organisation have to be at a certain stage of development, which is not necessarily related to the age of the organisation, before an evaluation can be conducted?

- Given the lack of willingness on behalf of the Executive Committee to set goals for the CVS, why did the evaluation group, which is mostly made up of Executive Committee members, select this form of evaluation?

- Was the lack of long-term planning on behalf of the Executive Committee a symptom of the lack of funding or a cause?

4.5   Reflections on the Research Process

In section 4.3 a nine stage method was defined for conducting a goal based evaluation. As has been said previously, whilst the recommendations for

implementing in practice such an evaluation did not change to any great extent as a result of conducting the pilot projects, we are now, having discussed the pilot projects, in a position to reflect on the minor changes that were made to the method.

In summary, the following recommendations may be said to have resulted from the experience of carrying out the pilot projects:

- the goals which form the basis of the evaluation should be the product of a participatory process, for example using nominal group technique, and not just the result of consulting the 'owners' of the organisation;

- it is desirable that the organisation should be open to new methods of working and, in order to introduce a fresh perspective and some creativity, it may be necessary to consult a wide audience about how the organisation should go about the pursuit of the goals;

- a substantial amount of resources should be allocated for the definition of indicators of achievement. In the pilot projects this stage of the methodology was found to be problematic and it was necessary to engage in a thorough debate about whether each of the indicators was correct (it correlated with the goal) and adequate alone or whether it needed to be supplemented with data about another indicator;

- equal emphasis should be placed upon both qualitative and quantitative indicators of achievement;

- in the absence of adequate record keeping about the organisation's performance in periods previous to the evaluation, there may be a need to research this before realistic targets can be set;

- forms may need to be developed in order to make data collection as easy as possible and, consequently, for data to be collected consistently and correctly.

It should be mentioned that none of the above amendments to the basic model of goal based evaluation were made lightly; before each amendment was made the recommendation was thoroughly discussed by the researcher and the evaluation

group and only implemented in practice if it was generally agreed that should the change not be introduced then the viability of the evaluation process would be placed in jeopardy.

The method discussed in section 4.3 and set-out in figure 7 reflects the above points of learning about goal based evaluation which resulted from conducting the pilot projects.

4.6   Critique of the Goal Approach

In previous sections, accounts were given of the pilot projects which sought to employ the goal based methodology. Each of the case-studies concluded with a short discussion of the positive and negative aspects of the goal based methodology as perceived by the CVS themselves. In this section, a more formal critique will be undertaken. To start, the goal approach and its advantages will be summarised and then, in more detail, criticisms of this approach will be discussed.

Campbell (1977) summarised the goal approach to the organisation thus:

> "The goal-centred view makes a reasonably explicit assumption that the organization is in the hands of a rational set of decision makers who have in mind a set of goals that they wish to pursue. Further, these goals are few enough in number to be manageable and can be defined well enough to be understood. Given that goals can be thus identified, it should be possible to plan the best management strategies for attaining them. Within this orientation, the way to assess organizational effectiveness would be to develop criterion measures to assess how well the goals are being achieved." (p. 19).

Etzioni (1960), further, has provided a short summary of the positive aspects of this goal approach. According to Etzioni:

"Organizational goals serve many functions. They give organizational activity its orientation by depicting the state of affairs which the organization attempts to realize. They serve as sources of legitimation which justify the organization's activities and its very existence, at least in the eyes of some participants and in those of the general public or subpublics. They serve as a source for standards by which actors assess the success of their organization. Finally, they serve as an important starting point for students of organizations who, like some of the actors they observe, use the organizational goals as a yardstick with which to measure the organization's performance." (p. 257).

Having focused upon the positive aspects of having organisational goals, Etzioni then went on to discuss the less positive aspects which resulted in him calling for the abandonment of the concept of the organisational goal. In the following, we turn to the criticisms which have been aimed at the goal approach to the organisation and evaluation by Etzioni and others.

Firstly, the goal approach has been accused of promoting a false image of objectivity. According to Etzioni, the goal model "...is considered an objective and reliable analytical tool because it omits the values of the explorer and applies the values of the subject under study as the criteria of judgement." (p. 258). Guba and Lincoln (1989) opine that value-freedom is little more than a fallacy resulting in over-commitment to the scientific paradigm. Furthermore, Scott (1977) claims that:

"...assessments of organizational effectiveness are never purely descriptive or objective in character. The selections of properties, weights, and standards are decisions that always rest on more or less

explicitly formulated normative statements or assumptions. To seek purely empirical methods for making these decisions is to pursue an illusion." (p. 69).

Indeed, it has been argued by Guba and Lincoln that the prevalence of the scientific paradigm results in overuse of quantitative assessment which serves to promote the scientistic view that "...what cannot be measured cannot be real." (p. 37). Mohr (1982) argues that "The only hope for objectivity, then, would seem to lie not in the findings of scholars but in the orientations of organizational members themselves..." (p. 183), which would seem to reflect Ackoff's (1977) view that "...objectivity is the social product of an open interaction of a wide variety of individual subjective judgements." (p. 6).

Conversely, Yuchtman and Seashore (1967) have argued that the illusion of objectivity is often the rationale for the employment of the goal approach, "The goal approach is often adopted by researchers because it seems to safeguard them against their own subjective biases." (p. 893). Similarly, Guba and Lincoln claim that forms of evaluation, such as the goal approach, which purport to be value-free "...relieves the evaluator of any moral responsibility for his or her actions. One cannot be faulted for just telling the truth, for giving the facts, for "callin 'em as we sees 'em," or for "letting the chips fall where they may.""(p. 38). In the light of the debate on whether or not goals can be determined objectively, Mohr concluded that the goal concept is "...essentially arbitrary..." (p. 184).

Secondly, it has been claimed that the goal approach is guilty of reification, that is the practice of objectifying the organisation. On the issue of reification, Scott quotes Mohr (1973) as arguing that "...the notion of goal involves intent, and since only individuals, not organizations, can intend anything, we must employ aggregate rather than global measures of goal statements. Thus, the matter of agreement or consensus becomes crucial." (p. 70). For Gross (1969), however, focusing on the

small organisation, the attribution of goals to the organisation itself is unproblematic. He states that:

> "In a small organization...the top man's personal goals for the organization *are* the organization's goals. It is this simplification which made it possible for classical economics to develop the theory of the firm without being concerned much about developing a precise definition of organization goal which was any different than the goal of the entrepreneur." (p. 278).

Thus, based on Gross's argument, it would seem that in small organisations, where a unitary state might be reasonably assumed, the organisation may be said to have goals. The situation is somewhat more problematic in larger organisations where a plurality of individual goals and goals for the organisation may exist. Indeed, Simon (1964) comments that "If we use the phrase organizational goals narrowly to denote the generators, we will conclude that there is little communality of goals among the several parts of large organizations and that subgoal formation and goal conflict are prominent and significant features of organizational life." (p. 9). In larger organisations, members must be encouraged to surrender their individual goals to those of the organisation, and motivation theory is devoted to the study of how this might best be brought about. Indeed, much of organisation theory is traditionally premised on the notion that, even in large organisations, consensus amongst members about organisational purpose can be achieved. Thus, in situations where there is agreement about organisational goals, the accusation that to discern such goals is to reify the organisation would appear to be nullified.

Thirdly, it has been argued that the goal approach is inherently flawed since officially espoused goals are rarely reflected in the activities of organisational members. Georgiou (1973) has claimed that, "...commitment to a goal paradigm has retarded

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analysis by requiring the disassociation of conceptual schema from incompatible empirical findings on organizations." (p. 291). He goes on to state that:

"The "human relations" group (Roethlisberger and Dickson, 1939; Mayo, 1945) and many others found that people...often resisted behavior formally prescribed for them. The resulting accommodations sometimes so changed the organization as to make the stated goals completely irrelevant to organizational behavior and always limited very considerably the degree to which organizations could be understood through their goals." (p. 293).

Perrow (1969) also follows this line of argument:

"Official goals are purposively vague and general and do not indicate two major factors which influence organizational behavior: the host of decisions that must be made among alternative ways of achieving official goals and the priority of multiple goals, and the many unofficial goals pursued by groups within the organization." (p. 66).

As a result of this apparent incompatibility between what is officially promoted and what is actually guiding activities within the organisation, Gross, on the issue of goal analysis, states that:

"Two kinds of evidence are necessary before one can confidently assert that a goal is present: *intentions* and *activities*. By 'intentions' we understand what, in the *participants' view*, the organization is trying to do. That is, what they believe the goal of the organization to be, what they feel are its aims or the direction in which it is moving as an organization. Intentions will involve verbal statements or inferences that may be made from symbolic acts, gestures and other types of

meaningful acts. By 'activities' we understand what persons in the organization are in fact *observed to be doing*, how they are spending their time, how resources are being allotted." (p. 284).

Gross goes on to opine that "Before one can confidently speak of a goal one needs to have some degree of correspondence between intentions and activities" (p. 285).

Given the existence of both official and operative goals the issue is raised of which should be adopted in an evaluation. On the basis that 'organisations with identical official goals may be distinguished on the basis of the operative goals they employ' (Perrow, 1969, p. 67), Perrow holds that operative goals should be regarded as being most important. Likewise, Hannan and Freeman (1977) claim that; "Performances that may appear quite unsatisfactory relative to public goals may be quite satisfactory from the perspective of what have become operative goals." (p. 112). Thus, the popular view would appear to be that operative goals should be preferred over official goals. This popular view, however, would seem to be inconsistent with the model of the organisation as an owner-serving machine which underlies the goal approach. Indeed, the argument that the evidence of differing official and operative goals indicates that the organisation is not in a unitary state and, hence, that the goal model is not an appropriate model of evaluation has received summary attention from the theorists of this school who would rather, it appears, labour on with seeking to refine the goal approach so that it may be seen to be appropriate for all evaluation situations.

Fourth, it has been argued that it is incorrect to label an organisation ineffective for failing to achieve its goals because they are rarely, if ever, meant to be achieved. Etzioni says that goals are cultural entities and are not meant to be realised merely they are meant to act as motivators. He states, "Measured against the Olympic heights of the goal, most organizations score the same - very low effectiveness." (p. 259).

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Gross also comments on the tenuous nature of official goals and quotes Merton's (1957) argument that official goals are often subverted by the means to goal achievement becoming the goals themselves.

In the light of these claims that goals are unachievable and, further, often subverted, it is not surprising that Weick (1977) has turned the concept on its head. In reviewing the work of Weick, Scott (1977) states:

> "...it is probably Weick (1969) who has managed to stake out the most extreme agnostic position concerning the extent to which organizations set goals that direct behavior. He argues that goal statements, because of their diversity and vagueness and because of the uncertainty of the future, exert little control over participants' actions. If the concept is to be used at all, goals are better understood not as prescriptions for the future but as explanations of the past - as attempts to impose order in retrospect upon past choices and actions." (pp. 65-66).

Fifth, the assumption that organisational effectiveness is directly proportional to organisational effort has been brought into question. Etzioni argues, "The goal approach sees assignment of means to goal activities as functional. The more means assigned to the goal activities, the more effective the organization is expected to be. In terms of the goal model, the fact that an organization can become more effective by allocating less means to goal activities is a paradox." (p. 269). Likewise, Mohr cites Seashore (1972) as stating, "*Good*, for example, is not always a linear function of attainment; that is, after a certain point, additional achievement may have zero or even negative value." (p. 184).

Hannan and Freeman argue that it is not always clear how an organisation should expand its effort in the pursuit of its goals, "Due to the non-specificity of so many goals, it will often be unclear exactly what organizational action or what dimensions of outputs are relevant to goal attainment." (p. 114). Following a similar line of argument, Gross claims that "...an organization must do more than give attention to goal attainment in order to attain its goals." (p. 282). Thus, it would seem that planning for goal achievement is a very complex activity which must include consideration of a whole host of organisational variables.

Sixth, the evaluation of an organisation in goal based terms is problematic due to issues concerning the determination of outputs and outcomes. Hannan and Freeman ask, "Should we consider the properties of outputs as they leave the organization? Should we consider the organization's impact on the larger system? Does it suffice to employ information on average levels of output quality, or must we utilize information on distributions?" (p. 118-119). According to Scott:

"...outcomes are never pure indicators of performance quality since they reflect not only the care and accuracy with which activities were carried out but also the current state of the technology and the characteristics of the organization's input and output environments." (p. 76).

He goes on to state:

"Although we can safely assume that organizations have access to the same knowledge, we cannot assume that they have access to the same client pool or supply sources. Indeed, one of the principal ways in which organizations vary is in the amount and quality of inputs that they are able to garner." (p. 76).

Scott proceeds to claim that 'indicators of outcome do not simply reflect organisational performance but also market questions' (p. 79). Scott's comments on the nature of indicators, also bring into question the assumption, fundamental to the goal approach, that an organisation can be evaluated purely on the basis of its own effort, that is in isolation from its environment.

Scott goes on to discuss other problems which may be associated with outcomes based evaluation:

"...many other types of issues must be addressed when outcomes are to be evaluated. One important problem relates to the availability of information on outcomes (and on those other factors to be taken into account in their assessment) and to the relative validity and reliability of these data sources." (p. 80).

Further:

"Researchers have been encouraged to utilize data compiled by the organization itself, but many types of organizations have virtually no data on outcomes achieved. In addition to the difficulties entailed in measuring changes in underlying states, many organizations lose contact with their "products" - whether human graduates or manufactured commodities - immediately after the transformation process has been completed. The collection of relevant outcome measures can become very costly indeed if it entails tracking down such products after they are distributed throughout the environment." (p. 80).

According to Scott, the timing of outcome assessment is also crucial, "...selection of the time at which outcomes are to be assessed is an important decision that will have

consequences for the results observed and conclusions drawn." (p. 81). Hence, it may be said that there are many problems associated with outcomes based approaches and to simply seek to ignore those intervening environmental variables which make such approaches difficult is not satisfactory. Guba and Lincoln term the practice of "...assessing the evaluand as though it did not exist in a context but only under the carefully controlled conditions that are in force after a design is implemented. Such conditions are instituted in the hope that irrelevant local factors can be swept aside, and more generalizable results obtained..." (p. 36) as 'context stripping'. Whilst context stripping lends an appealing simplicity to the analysis of the organisation, in effect this practice commonly results in evaluations being found to be irrelevant at the local level and thus results in the non-use of evaluation findings. Further, Zammuto (1982) has argued that "Within a goal-based evaluative framework, context is irrelevant because the attainment of goals is the only standard against which performance is judged. The appropriateness or value of the goals is ignored." (p. 18).

Based on the above, it may be said that the analysis of organisational outputs and/or outcomes is a complex issue involving many factors such as the impact of intervening variables, timing, etc., and that alternatives to the goal methodology, for example the system-resource approach with its emphasis on environmental awareness, give more attention to the analysis of context of the organisation and to the appropriateness of the goals themselves. Hence, it may be argued that a goal based evaluation, due to its inability to account for environmental affects, may be complemented with information from a system-resource based evaluation.

Finally, it has been claimed that the concept of the organisational goal does not facilitate the comparison of one organisation with another. Mohr states; "Even if the content of the organizational goal were not too difficult to specify, *it is so intricately complicated and so dependent on persons and situations that there is probability zero that two organizations have the same goal*". (p. 185). It may be suggested that

the failure of goal based evaluation to facilitate inter-organisational evaluation is a positive attribute since to do so would necessitate isolating the organisation from its environment to enable comparison, the advantages of which, it has already been argued, are dubious.

In summary, eight criticisms have been levelled at the goal approach. It has been claimed that the goal approach:

1.   promotes a false image of objectivity;

2.   reifies the organisation;

3.   privileges official goals over operative goals;

4.   encourages pursuit of the unattainable;

5.   incorrectly assumes a positive function between organisational goal-seeking effort and effectiveness;

6.   adopts an over simplistic approach to the analysis of outcomes and outputs;

7.   'context strips' the organisation;

8.   does not enable inter-organisational comparison.

4.7   Reflections on the Critique

In this section consideration will be paid to whether or not the eight criticisms of the goal approach discussed in the previous section were borne out in the pilot projects. Each of the criticisms will be addressed in turn and, where appropriate, the evidence provided by the projects, which either serves to support or negate the criticism, cited.

Firstly, the goal approach was accused of promoting a false image of objectivity through the apparent omission of the researcher's values. It has to be said that where, as in the case of the pilot projects, there is a conviction to the principles of process consultation then this criticism is rendered invalid as the researcher's role is

reduced to advising merely on matters of process and, thus, his/her ability to influence the evaluation through the introduction of his/her own personal values is minimised. Further, in the case of the pilot projects, account was given of how the statements of goals were generated which served to reveal any influence that the researcher might have had. It is concluded that the goal approach only promotes a false image of objectivity when contextual information, such as how the goals were generated, is omitted from the evaluation report.

Secondly, the goal approach was criticised for reifying the organisation. In the cases of both Worthley CVS and Voluntary Action Chatleton, the ability to have goals was attributed to the organisations as there appeared to be a consensus between those involved with the organisation about what its goals should be. Had there not been a consensus about goals then it would not have been as easy to attribute goals to the organisation and, moreover, the goal approach might not have been deemed appropriate. In contrast, a statement of organisational goals was not achieved by East Baldershot. However this was due less to there being a plurality of opinions about what the organisation should be doing than the inability of those involved with the organisation to focus on the long, rather than the short, term. It is concluded that the goal based methodology is guilty of attributing the characteristic of having goals to the organisation but this is scarcely a heinous crime where a consensus of opinion exists about those goals.

Thirdly, it was claimed that the goal approach privileges official goals over operative ones. The distinction between official and operative goals is only problematic if one considers the two types of goal to be contradictory. In the case of CVS, because staff and members tend to have a moral commitment to the organisation and because statements of official purpose tend to be generated through a process of consultation rather than imposed from on high, operative and official goals tend to converge. Hence, no evidence was gathered from the pilot projects to either

support or negate this criticism as differentiation between the two types of goals was not really possible.

Fourth, the goal approach has been accused of encouraging pursuit of the unattainable. This criticism was not borne out in the pilot projects. Both Worthley CVS and VA Chatleton placed great emphasis on ensuring that the targets set were appropriate to the resources available, to the context and to the time period in which they were to be pursued. Additionally, in the project with VA Chatleton substantial research was conducted into what level of achievement had been occurring previous to the evaluation so that targets could be set which might serve to motivate staff on to higher levels of achievement.

Fifth, the goal approach was accused of assuming a positive function between effort and effectiveness. This turned out to be the case and was, indeed, sometimes problematic. When, for example, in the case of Worthley CVS, attention was paid to goals relating to representation and liaison, where the relationship between effort and effectiveness is somewhat tenuous, the goal approach broke down. Despite an ongoing debate, indicators of effort were never identified for the activities of representation and liaison. Consequently, it is concluded that the goal approach is only able to cope with activities for which there is a positive relation between the amount of effort attributed to them and their achievement. Further, the goal approach pays scant attention to the law of diminishing returns by which, after a certain point, the rewards of more effort increase at a declining, or even negative, rate.

Sixth, it has been argued that the goal approach oversimplifies the analysis of outputs and outcomes. This oversimplification was very much an issue in the project with East Baldershot CVS, especially with regard to the development activities of the CVS. For example, the point was made that it was not appropriate to look at the success of any of the projects set up by the CVS since the CVS's contribution to that

success was too difficult to discern. Thus, it is concluded that the goal approach is guilty of simplifying the analysis of outputs and outcomes. However, oversimplification might be avoided by conducting a period of organisational analysis, involving all of the parties to the evaluation, prior to the evaluation taking place.

Linked to the idea that the goal approach oversimplifies the analysis of outputs and outcomes, is the criticism that it also context strips the organisation. Due to a period of organisational analysis prior to the evaluations, this criticism was not upheld by the projects. Indeed, if the accusation were true that the goal approach context strips the organisation then the pilot projects in this section would appear significantly lacking in content when compared with the project reports contained in other sections and this does not seem to be the case.

Finally, the goal approach has been criticised for failing to enable inter-organisational comparison. In each of the pilot projects a set of goals which was unique to that organisation was developed; no attempt was made at developing a common set of goals for the CVS concerned. Hence the accusation that the goal approach fails to facilitate inter-organisational comparison is supported. However, this may be a good thing rather than a bad. It can be argued that inter-organisational comparison fails to respect the unique nature and context of each and every organisation. The issue of inter-organisational comparison will be revisited in Chapter 11.

4.8   Conclusion

In this chapter the idea that organisational effectiveness relates to goal achievement was examined. Firstly, an account of the theoretical foundations for such an approach was given and then an activity model for putting goal-based evaluation into practice was constructed. Accounts of the three pilot projects which attempted

to implement this type of evaluation followed. In order to present a balanced picture, equal attention was paid in the case-studies to both the positive and negative aspects of this type of evaluation as expressed by the CVS themselves. Following this, the learning which resulted from the pilot projects and the way in which that learning affected the definition of the methodology was reflected upon. This chapter concluded with a critique of the goal approach and an assessment of whether or not that critique was supported by evidence from the pilot projects.

Given that the system-resource form of evaluation has already been introduced in this Chapter as a form of evaluation which might compensate for the goal approach's failure to appreciate the complex organisation-environment relationship, in the next chapter this form of evaluation, which has its own set of positive and negative aspects, will be discussed.

CHAPTER 5

SYSTEM-RESOURCE BASED EVALUATION

5.1　Introduction

The implications of effectiveness being defined as the organisation's ability to survive and adapt in a dynamic environment will be addressed in this chapter. Following the pattern which was established in the previous chapter, the theoretical basis of the system-resource approach will be summarised and a method formulated. Following this, an account will be given of the pilot project which tested the system-resource based method and the reflections of the CVS on the process recounted. Critique will then be made of this approach and assessed in the light of evidence from the pilot project.

5.2　Theoretical Foundations: A Summary

It was argued in Chapter 2 that the notion that the organisation is like an open system seeking to survive by adapting in a dynamic environment follows from the organic metaphor. Further to this, according to Flood and Jackson (1991a), there is an extension of the organic metaphor in the idea that organisations are like brains. The brain "...metaphor emphasises active learning and control rather than the passive adaptability that characterises the "open system" view. In management and organisation theory it has led to attention being focused on information processing and viability." (p. 10). This view reaffirms the importance of control and environmental awareness and adds a further dimension in that "The neurocybernetic metaphor or "viable system" view adds to this the importance of "learning to learn" (i.e. accepting dynamic rather than static aims and objectives, and self-questioning rather than merely self-regulating)." (p. 11).

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The principles underlying the organic and neurocybernetic metaphors are exemplified by the structural functionalist school of thought. Structural functionalism focuses upon the identification and analysis of social system processes necessary for the survival and evolution of social systems such as organisations. Proponents of structural functionalism (e.g., Selznick, 1948; Parsons, 1960) set out lists of various 'needs' that have to be met for organisations by their sub-systems if they are to survive. The organisation is seen as being geared to ensuring its own survival and, therefore, as acting independently of individual members. It is the task of management to ensure that the organisation's needs are met whilst environmental conditions are constantly adapted to.

A strict structural-functionalist definition of an effective organisation is one that survives. However, Etzioni (1960) relaxed the traditional structural-functionalist emphasis on survival in order to allow organisations to be compared more readily for effectiveness. Hence, according to Etzioni, the proper functioning of organisational sub-systems or processes should be included as criteria of effectiveness. Further, Katz and Kahn (1978) argue that attention must be given to the functioning of production, supportive, maintenance, adaptive and managerial sub-systems in order to maximise the performance of the organisation.

System-resource theorists Yuchtman and Seashore (1967) adopt the stance that managing the various input-output transactions between the organisation and its environment is the key to organisational effectiveness and viability. Yuchtman and Seashore's approach embraces the dynamic nature of social relations in that it acknowledges that in securing resources the organisation must adapt and change in line with the environment, in other words the organisation must seek to learn about itself, its environment and its relationship with the environment.

Structural functionalism is represented in the field of systems thinking by the theory and practice of management cybernetics. Whilst traditional cybernetics has

concentrated on the study of mechanical and biological phenomena, management cybernetics focuses on the social structure of purposeful systems. Beer (1979) formulated a model of the organisation based upon those relationships and functions necessary for an organisation to have 'independent existence', this model was named the Viable System Model (VSM). The VSM represents an important tool of diagnostic enquiry in the field of organisation studies. The VSM incorporates the principal cybernetic tools of feedback, variety engineering and black-box theory (the principles of the VSM will be examined in greater detail in the next section).

Having established the foundations of a form of evaluation based on a definition of effectiveness as the organisation's ability to survive, learn and adapt in a dynamic environment, discussion will now be made of how such an approach might be realised in practice.

5.3   Method

With the system-resource form of evaluation, it is assumed that a system is effective if it is able to survive in a dynamic environment; survival is based on the organisation's ability to meet environmental demands and so it is appropriate to have an element of the supra-system evaluate the organisation. Hence, in a system-resource based evaluation, an expert or experts must rate the organisation with reference to some form of ideal model. The evaluation is based on the assumption that if organisational processes are of a high quality, then the organisation can be assumed to be capable of survival over time and of effective and efficient action. It is also possible to ask what desirable characteristics an organisation should have; this allows it to be evaluated not only on whether it has characteristics which make it viable, but also on other characteristics felt to be desirable. Hence, the focus of this form of evaluation is on helping the organisation learn about how it must change its processes and behaviour in order to be effective over time.

Theoretically, system-resource based evaluation can be defined as a six stage process:

1.   Appoint a trusted expert or experts

2.   Select ideal model(s) of the organisation

3.   Review the organisation

4.   Based on the review, compare the organisation with the ideal

5.   Report back

6.   Review the process

Whilst the process of a system-resource based evaluation has been set out in a linear format above, in practice the evaluation is more likely to progress in an iterative manner. The system-resource based evaluation cycle is shown in figure 8.
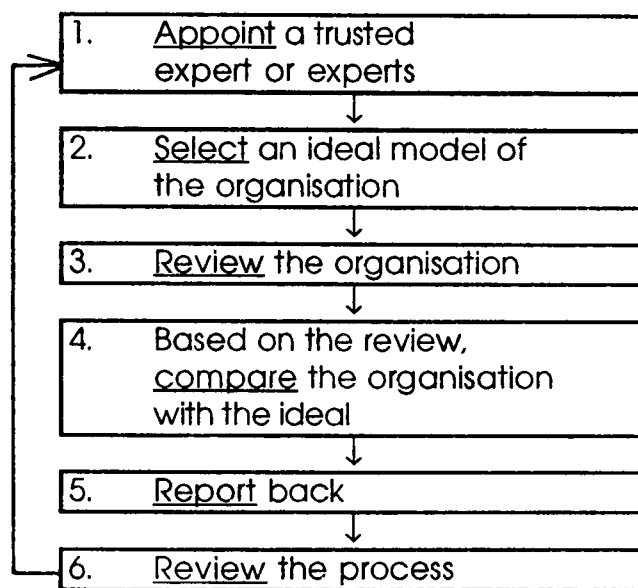
Figure 8. Conceptual Model of System-Resource Based Evaluation

We shall now look at each of the stages of the process in detail. A great deal of learning about how to conduct a system-resource based evaluation occurred as a result of the pilot project and the process detailed below is very much the product of that learning.

1. Appoint a trusted expert or experts

As has been said, the system-resource method of evaluation is based on the organisation being assessed by a supra-system component. Hence, the first stage of the process is the identification and appointment of an expert to undertake the evaluation. Consideration might be given to the employment of more than one expert with each of the experts having a different field of expertise. In the pilot project, two experts were used, one of the experts having specialist knowledge of the use of operational research in community organisations and the other expert having significant experience of CVS matters at both the local and national levels.

2. Select an ideal model of the organisation

Having secured the involvement in the exercise of the expert(s), a meeting between the expert(s) and evaluation group to discuss the model to be used in the evaluation should be held.

Cybernetics is a field of study which, among other things, looks at those characteristics which any organisation must have to enable it to survive in the long term. The characteristics which are put forth in the model detailed in this report have been taken from several cybernetic models of the organisation, including Katz and Kahn's Organisational Subsystem's Model (1978), Beer's Viable System Model (1979), Checkland's Formal System Model (1981), and Ackoff's Responsive Decision System (1983). The main principles of each of the models were represented in the viability characteristics used to evaluate the pilot project CVS. The main principles of each of these models will now be reviewed.

Katz and Kahn (1978) define five categories of sub-systems which "...perform functions vital for the organization in that the failure of any would in time incapacitate the organization itself." (p. 59). The sub-systems are:

1. the production or technical sub-systems, concerned with the work conducted on the throughput;

2. the supportive sub-systems, responsible for the organisation's transactions with its environment, such as the procurement of input and the disposal of output. These sub-systems are also concerned with ensuring the legitimation of and support for the organisation in the eyes of the environment;

3. the maintenance sub-systems, concerned with the well-being of the resources, generally human beings, for getting the work of the organisation done. Hence, "...the maintenance system is concerned with inputs for preserving the system either through appropriate selection of personnel or adequate rewarding of the personnel selected." (p. 53);

4. the adaptive sub-systems, which alert the organisation to changes in the environment and interpret the significance of the changes for the organisation (the sub-systems detailed in 1. to 3. are all internally oriented). According to Katz and Kahn an externally oriented system is needed as to ignore environmental changes is to "...risk the possibility that the transactions of procurement and disposal will be reduced or refused, or that the processes of maintenance will become increasingly difficult." (pp. 54-55);

5. the managerial sub-systems control, co-ordinate and direct the other sub-systems to ensure that they act in harmony and that the system as a whole adapts to its environment.

Having defined the various sub-systems, Katz and Kahn go on to state: "The significance of the different subsystems nevertheless varies at different times in the life cycle of the organization and in different environmental circumstances." (pp. 59-60).

The viable system model (VSM) is based, according to Jackson (1989), on the notion that; "The main problem for an organization in achieving viability is the extreme complexity and uncertainty exhibited by its environment." (p. 413). To deal with this complexity, following Ashby (1956), the VSM incorporates several forms of variety attenuator and amplifier in order that it can "...respond appropriately to the various threats and opportunities presented by its environment." (Jackson, 1989, p. 413). Beer identifies five sub-systems which must be present in any viable system, together with relevant information flows and control systems. System 1 is concerned with implementation and consists of the independent activity centres of the organisation. These centres interact with the organisation's environment and, in so doing, absorb some of the variety with which the organisation must contend. As per the principle of recursion upon which the VSM is based, each of these activity centres must be a viable system in its own right. Systems 2 to 5 oversee the operations of System 1 and the overall adaptation of the organisation as a whole. System 2 is concerned with co-ordination and serves to ensure that the activity centres of System 1 act in harmony. System 3 is the control function which is responsible for ensuring internal stability and that the sub-systems implement policy effectively and efficiently. System 4, intelligence, captures all relevant information about the environment, unites it with internal information and switches information up and down the organisation. System 5 is the policy making function which balances the opposing demands made by System 3 for stability to ensure optimisation of internal processes and by System 4 for change according to external

conditions. As per the principle of recursion, System 5 also represents the essential qualities of the whole to any wider system of which it is part.

The formal system model was an element in Checkland's (1981) soft systems methodology (SSM). According to Checkland the formal system model represents "...a general model of any human activity system..." (p. 173) and was used in SSM for checking the adequacy of conceptual models. Checkland states that a system (S) is a formal system if it:

a.   has an ongoing purpose or mission;

b.   has a measure of performance which signals progress towards the purpose or mission identified in a.;

c   contains a decision making process which may, in the light of feedback information provided by a. and b., regulate the systems activities;

d.   is recursive, its components exhibit all of the characteristics of formal systems;

e.   has interacting components so that each element of the system is linked with all others;

f.   interacts with wider systems and/or environments;

g.   has a boundary separating it from f. This boundary is defined to be the area in which the policy making process described in c has the authority to command action;

h.   has resources which are at the disposal of the policy-making process;

i.   has some guarantee of continuity and stability.

The responsive decision system model was formulated in the light of Ackoff's (1983) perception of:

"...a greater need for decision-making systems that can respond, learn, and adapt quickly and effectively than there is for one that, using the 'predict and prepare' paradigm, produces so-called 'optimal' solutions that either deteriorate rapidly with changing conditions or are still-born." (p. 64).

There are five essential functions in the responsive decision system:

1.　　Identification and formulation of problems or threats and opportunities;

2.　　Decision making about what to do about the problems identified by 1.;

3.　　Implementation or taking action based on the decisions made by 2.;

4.　　Control, that is determining whether the plans laid by 2. are carried out as intended by 3. and where a deviation occurs instigating remedial action;

5.　　Acquisition and distribution of information to enable the proper functioning of 1. to 4.

When constructing the model for use in the CVS pilot project, having gleaned from the four models discussed in the above those characteristics necessary for any organisation to be viable in the long term, attention was then turned to the specification of those characteristics which it was deemed most desirable, by CVS in general, that a CVS should exhibit. The inclusion of the desirable characteristics in the evaluation was legitimised on the grounds that as NACVS, which defines the characteristics which determine whether an organisation may claim CVS status, is made up of its members, one CVS is very much dependent upon others for its definition as such. Hence, it is crucial that all CVS are aware of what its fellow CVS believe to be desirable characteristics. The desirable characteristics were those selected by at least 40% of respondents to a national survey of CVS undertaken in December 1990. The questionnaire and characteristics are included in Appendix 22. The

inclusion of desirable characteristics was particularly pertinent in the case of the pilot project as the CVS concerned was generally regarded within the CVS network to engage in non-CVS activities and to have methods of operating which were not appropriate for a CVS. The CVS involved in the pilot project recognised that if it was to remain as a CVS it must at least be aware of when it was acting in a non-CVS manner.

Thus, from the review of the structural models, a set of viability characteristics was determined and, from the survey, a set of desirable CVS characteristics was defined. Both sets of characteristics were used in the pilot project.

3. Review the organisation

Having familiarised himself/herself/themselves with the ideal model, the expert(s) should undertake a thorough investigation of the organisation and its practices. In the case of the CVS pilot project, related to each of the characteristics identified at Stage 2 was a set of questions which served to enable the expert(s) to extract that information from the CVS which enabled him/her/them to formulate an opinion about how well the CVS was operating in relation to each characteristic. This set of questions was, in part, suggested by representatives of London region CVS at one of their local meetings.

Whilst the questions were derived from the individual characteristics, for the purposes of carrying out the evaluation the questions were related to one another so that the conversations between the expert(s) and the CVS flow in a more or less logical order (see Appendix 23). Following the discussion, the answers to the questions can then be related back to the individual characteristics for the purposes of analysis.

In conducting the pilot project, it was generally agreed that before the actual interviews took place, the expert(s) should be provided with any background information the CVS felt appropriate or any information requested by the expert(s) in preparation for the exercise. As well as information about the CVS, it is also helpful to provide the expert(s) with contextual information about the area which the CVS serves. The actual interviews may be as formal or as informal as the expert(s) see fit. He/she/they should be allowed the discretion to stick as closely to, or deviate as far from, the formal questionnaire structure as seems necessary. The purpose of the interviews is not to see how closely the expert(s) can stick to the questions, but to furnish the expert(s) with that information that he/she/they need to formulate an opinion about the organisation's operations.

When conducting the pilot project it was found that holding separate interview sessions for staff and the Executive Committee made the planning of the exercises easier. Consequently, separate sets of questions were drawn-up for the Executive Committee and the staff. Whilst in the ideal all members of staff and all members of the executive should be involved with the interviews, in the pilot project it was found that splitting the interviewees into small groups made the interviews easier to handle. A group of about four interviewees was found to be ideal since it gives all members of the group an opportunity to express their opinions. Tape-recording the interviews enabled the experts to listen repeatedly to the comments of the interviewees and, it was said, made writing the report on the CVS easier. At the end of the interviews, before writing the report, in the pilot project it was suggested that the expert(s) should be allowed to request any further information from the organisation which he/she/they feel necessary.

4. Based on the review, compare the organisation with the ideal

Having gone to some lengths to gather information from the organisation about its operations, the expert(s) by this stage will usually have formulated an opinion about how well the organisation is actually operating. At this stage in the pilot project it was suggested that the expert(s) give the organisation a rating, say out of ten, for each of the stated characteristics in the ideal model. The expert(s) should justify the rating with evidence from the interviews and information gathered. The statement of assessment should be supplemented with details of how, in the eyes of the expert(s), the organisation might improve its functioning.

5. Report back

A report from the expert(s) should then be made to the evaluation group.

6. Review the process

Reviewing the process is part of the meta-evaluation sub-system (see Chapter 8). There are a number of points which are of particular relevance in the meta-evaluation of a system-resource based system (several of these questions may also be posed, in the future tense, at the beginning of the exercise):

- How adequate was the ideal model(s)?

- Did the questions posed by the expert(s) capture the nature of the CVS?

- What aspects of the organisation, if any, did the exercise ignore?

- Were the expert(s) able to bring specialist knowledge from their field of expertise to bear on the exercise?

- In the light of the evaluation, what type of expert knowledge is the organisation most in need of?

5.4   Case-Study

5.4.1   Case Study: Newley Council for Community Service

At the time of the pilot project, Newley Council for Community Service (NCCS) had been in operation for 17 years and covered a borough with a population of approximately 300,000. NCCS had two branches in the areas of Deptley and Hunfleet. There were a number of problems facing the area but, particularly, the social and economic problems stemming from high unemployment were paramount.

In CVS terms, NCCS was quite radical. The single factor that separated NCCS from most other CVS, though, was the fact that it was rich! In recent years, NCCS had received large allocations of Government funds and had invested very wisely. NCCS was at the leading edge of new technology and management practice and was quite willing to offer its services to anyone, within reason, who was willing to pay for them. Hence, the General Secretary of NCCS was keen to become involved with the national project as it was believed that if the staff of NCCS could develop their evaluation skills then this service could be sold to others. Given the General Secretary's liking for anything that was new and/or novel, he was quite enthusiastic about trying out a form of evaluation which had not been undertaken in the context of a CVS before; it was decided that a system-resource based evaluation would be used by NCCS. The General Secretary was, however, quite cynical at this stage about whether the project would be allowed to go ahead. Indeed, he made a comment to the effect that 'NACVS would not allow NCCS to be part of the evaluation project because they were not one of NACVS's 'star' members! As the inclusion of NCCS was never raised as an issue by neither NACVS nor the Advisory Group one is

led to conclude that the General Secretary of NCCS had a tendency to over exaggerate any negative feelings held by NACVS towards NCCS.

Quite a lot of work had to be undertaken to ensure that the system-resource form of evaluation was appropriate to the specific nature of CVS. As was stated in the previous section, several structural models of the organisation were examined in the determination of a set of viability characteristics and a questionnaire was sent to all CVS in England asking them to define the characteristics which it is desirable that a CVS exhibit (see Appendix 22).

At this stage, it was decided that two independent experts should be used to evaluate NCCS in terms of the viability and desirable characteristics. It was hoped that coming anew to NCCS, the independent experts' insight into the operations of NCCS would be clearer than that of the staff or Executive as they would not be involved in the day-to-day issues affecting NCCS. However, the decision to use outsiders to undertake the evaluation introduced a new problem; how to introduce the experts to NCCS so that they could extract sufficient information to provide a fair basis for the assessment of the organisation in a single day? The single day constraint was introduced due to lack of project resources but it was widely held that, in the light of the funding constraints facing CVS, this was a realistic proviso to add. In response to this time problem, a set of questions was put together (see Appendix 24), by the project worker in conjunction with a number of CVS attending a regional meeting, which served to extract that information which it was deemed necessary for the experts to have in order for them to formulate an opinion about the organisation's functioning in relation to the agreed characteristics.

Having defined the basis for the evaluation, attention was turned to the matter of who would be suitable and willing (given the meagre consultancy fee the project was able to afford) to act as the experts. Whilst, theoretically it was not necessary to involve the staff and Executive Committee in the selection of the experts, in practice

it was vital to involve NCCS in the selection of the experts as it was realised that they would only act upon the advice and comments of someone whose opinion they trusted. Charles Ritchie, Community Operational Research Unit, and Gaynor Humphreys, former CVS General Secretary and CVSNA worker, stepped into the breach to undertake the awesome task of acting as the experts.

The evaluation day took place in October. In the morning, the experts split the staff into two groups and each group handled a separate set of questions. A lot of lively discussion took place and the general climate of the discussion was positive. In the afternoon, the experts met with the Executive Committee. Unfortunately, only four members of the Executive Committee were present at the session (however, it was said that a larger group might have been unmanageable as, by late afternoon, everyone was getting a little tired). It became evident, in discussion with the Executive Committee members, that they were not happy about the way in which the NCCS was being managed and they felt that the General Secretary was not responsive to decision made by the Executive. Indeed, the members of the Executive that attended the session were quite outspoken and it was stated that 'whilst they General Secretary may ignore the comments of the Executive, he cannot ignore the comments of two independent experts working on behalf of NACVS'. There was, however, a more positive and supportive attitude held by the Executive towards other members of staff. At the end of the day, there was a slight controversy about who should actually receive the final report first (this controversy was quite worrying as it seemed to be indicative of a complete lack of trust between the staff and the Executive). In the end, a compromise was reached whereby the evaluation report would be revealed at a joint meeting of both staff and Executive Committee.

The experts went away to gather their thoughts on the day and to construct a report on NCCS. Due to the time lapse in conducting the exercise, receiving the experts' reports, producing a unified evaluation document and getting it to the CVS, it was reported back to the project worker that staff and Executive had started to act on

their own initiative in addressing what they saw as being the main issues for NCCS as revealed by the discussion which took place with the experts.

Despite the negative feelings of the Executive Committee towards the General Secretary, in the final analysis, NCCS scored fifty-five out of a hundred and ten (50%) on the viability characteristics and sixty-four out of a hundred and ten (58%) on the desirable characteristics (see Appendix 24). Based on the experts' comments and ratings, a detailed report was presented to a meeting of both staff and Executive Committee. Surprisingly, many more members of the Executive attended this meeting than had attended the interviews with the experts. Much heated debate took place at this meeting but it was agreed that, whilst the evaluation had not really surfaced anything that was not already known, it had produced quite an accurate portrait of NCCS, provided an impetus for change and had made an opportunity for staff and Executive Committee members to get together to clarify several issues which had been blighting working relations.

Several months later, when reflecting upon the evaluation process, the General Secretary commented that 'all the evaluation had done was made staff and Executive Committee far more vocal about their demands'. The later reflections of the staff and Executive have not been recorded.

a.   Reflections by the CVS

As in the previous chapter, attention will now be turned to the CVS's thoughts about the evaluation process in which they engaged. It has already been said that these points were the outcome of a meeting of representatives of all the pilot projects.

Positive Aspects of the Evaluation:

- Designing the evaluation system was a difficult process but once done the model should be applicable to any CVS.

- There was a long gap between the evaluation day and NCCS receiving the reports back from the experts. This might have been a disadvantage but, in fact, NCCS began to implement changes for itself, in the light of what it anticipated as being the results of the evaluation.

- The evaluation provided an opportunity for staff and Executive Committee members to work together at clarifying several issues which had been blighting relations.

Negative Aspects of the Evaluation:

- The long gap between the evaluation day and NCCS receiving the report meant that the momentum for change in response to the evaluation findings might have been lost (fortunately, this did not happen).

- The appointment of trusted experts was crucial to the success of the exercise and may prove difficult for CVS wishing to use this model of evaluation. Also, the involvement of experts made the exercise quite expensive which might prevent the use of this type of evaluation by other CVS.

Important Issue:

- In this case, it was generally felt that the experts got to know the organisation quite well in a short period of time. However, the quality of the portrait of the organisation taken away by the experts in an evaluation of this kind depends on a number of factors, such as how well and honestly the questions posed by the experts are answered, the nature of background information supplied, and so on.

5.5　Reflections on the Research Process

Unlike with the goal approach, there is very little on conducting a system-resource based evaluation in the literature, hence the methodology was very much derived by working out what, logically, the theory of system-resource based evaluation tell us about how this methodology should be implemented in practice. The best example of this is the idea that the evaluation should be carried out by an expert, as a member of the supra-system to which the organisation is seeking to adapt, rather than, for example, members of the organisation itself. In the previous section an account was given of the system-resource based evaluation methodology being employed in practice. As a result of this account, we are now in a position to reflect on the generation of the model of system-resource based evaluation set out in figure 8.

It may be said that as a result of conducting the pilot project, the following was learnt about the process:

- members of the organisation are far more likely to take heed of the results of the evaluation if they are involved in the selection of the expert(s). If the expert(s) are not selected by means of a participatory process then the danger is encountered that the results of the evaluation may simply be disregarded by members;

- due to resource constraints, the amount of access that the expert(s) are able to have to the organisation may be limited. Consequently, for the expert(s) to be able to formulate a fair impression of the organisation's functioning, it is desirable that they should be given as much written information about the organisation and the context in which it works and that they be allowed to request any information that they feel is necessary from the organisation;

- in order for the information output by the expert(s) to be easily assimilated, it is recommended that the organisation be given a numerical rating for its performance for each of the characteristics in the ideal model and overall. The

evaluation report might be further enhanced by the inclusion of the expert(s) recommendations for change by the organisation.

The method discussed in section 5.3 and figure 8 reflects the above points of learning about system-resource based evaluation which resulted from conducting the pilot projects.

It can be seen from the above that few changes are recommended to the basic methodology as a result of conducting the pilot project.

5.6 Critique of the Organic Approach

In a previous section a short account of the positive and negative aspects of system-resource based evaluation was given from the point of view of the CVS involved in the pilot project. In this section a more in-depth approach will be adopted: the organic/system-resource approach and its advantages will be summarised and then, at greater length, criticisms of this approach will be discussed.

Yuchtman and Seashore (1967) provide a comprehensive overview of the organic model and its corresponding form of organisational evaluation. Yuchtman and Seashore state that the organic view:

> "...emphasizes both the distinctiveness of the organization as an identifiable social structure and the interdependence of the organization with its environment. The interdependence takes the form of transactions in which scarce and valued resources are exchanged under competitive conditions. The organization's success over a period of time in this competition for resources - i.e., its bargaining position in a given environment - is regarded as an expression of its overall effectiveness. Since the resources are of

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various kinds, and the competitive relationships are multiple, and since there is interchangeability among classes of resources, the assessment of organizational effectiveness must be in terms not of any single criterion but of an open-ended multidimensional set of criteria." (p. 891).

Further advantages can be gathered from Jackson's (1989) review of the VSM.

Firstly, it is claimed that the model is generally applicable as "...recommendations endorsed in the model do not tightly prescribe a particular *structure*; they relate more to a systems essential *organization*, to use a distinction drawn by Varela (1984). They are concerned with what defines a system and enables it to maintain its identity." (p. 415).

Secondly, the principle of recursion, upon which the VSM is based, enables the model to cope easily with, for example, the interdependence between a parent company and its various subsidiaries. As regards horizontal interdependence, Jackson argues that this is facilitated through the integration and guidance functions of the VSM.

Thirdly, Jackson argues that "...the model demands that attention be paid to the sources of command and control in the system..." (p. 417), Systems 2, 3, and 5 and that there is also System 4 to collect environmental information and details of internal operations, and to bring the two together in the formulation of policy which balances both external and internal demands. These functions are never so clearly delimited in other models.

Fourth, Jackson claims that the model recognises the importance of information, especially in holding the organisation together and in the management of the organisation-environment relationship.

Based on the above, Jackson concludes that the VSM, taken here to be representative of organic models in general, "...can be used to make specific recommendations for improving the performance of organizations as systems." (p. 418).

Having summarised the advantages of the organic model we shall now look in greater detail at criticisms which have been levelled at the model and its corresponding form of organisational evaluation.

Firstly, as with the goal approach, questions have been raised about whether it is appropriate to attribute biological and/or human characteristics to the organisation. According to Rivett (1977), it is wrong to believe that the human body can tell us anything about organisations. In illustrating this argument, Rivett asks "...why should the nervous system of (say) a monkey tell us much that is relevant about how ICI paints division should be organised?" (p. 35).

Katz and Kahn are well aware of the limitations in applying the organic analogy to organisations. They state; "Our discussion of the common characteristics of all open systems should not blind us to the differences that do exist between biological and social systems." (p. 36). However this criticism keeps appearing in different guises.

Secondly, Silverman (1970) quotes Krupp (1961) as claiming that the systems model is partial in that it only focuses on problems posed by the environment and in so doing ignores purposive human action. Krupp's viewpoint supports Jackson and Flood's (1991a) claim that the cybernetic model gives an impoverished picture of the organisation as it "...neglects qualities brought by the human actors who make up organisations. Thus it has little to say about the social processes that go on in organisations, about organisational culture and about politics and power struggles in enterprises." (p. 110). Indeed, in the organic model:

"The consequences of action are to be considered, but only in terms of the supposed 'needs' of the system; the explanation of causes is left to others or, at best, discussed in a circular way so that the 'cause' of any act is that the needs of the system made it necessary." (Silverman, p. 64).

Related to this criticism is the point, originally made by Ulrich (1981) and reiterated by Flood and Jackson, that "...the VSM neglects the purposeful role of individuals in organisations." (Flood and Jackson, 1991a, p. 110). For as Morris has claimed, cited in Jackson (1991a), in the organisational context 'the big toe also thinks'.

According to Jackson (1989) it is useful in evaluating the VSM, for example, to draw on Ulrich's (1981) distinction between purposive and purposeful systems:

"The VSM is purposive, being concerned with the effectiveness and efficiency of means or tools employed to achieve some end. Social system models should be purposeful; respecting the self-reflective individuals who participate in and are affected by social systems, and facilitating their awareness of the purposes being served." (p. 426).

Jackson goes on to criticise the VSM for failing to adequately consider the role of management in promoting self-reflection and shared purpose:

"For Beer, apparently, good management can be no more than management that establishes requisite variety between itself and the operations managed, and between the organization as a whole and its environment. This goes against the reasonable assumption that good management must also concern itself with the nature of the purposes being served and the meaning and significance of these for

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participants in the enterprise. The VSM, therefore, fails to facilitate any discussion about the goals to be pursued." (p. 433).

Incorporation of such mechanisms to facilitate debate about goals would seem to be necessary to counter the accusation that the cybernetic model has autocratic implications as a result of it serving the purposes of narrow elitist groups. As it is, Jackson states that the VSM's perspective on the practice of goal-setting is a consequence of the organic paradigm on which it is based and is not appropriate for social systems, "...because it implies that - as with organisms - goal-setting should be a privileged function of higher-order levels of the system." (p. 433). In the light of the above, it might be concluded that the system-resource model neglects the social aspects of organisation. Jackson (1989) has said:

"When it comes to bringing about change in social systems we need what De Zeeuw (1985) calls 'multiple actor design involving values'. Other methodological approaches, such as Checkland's 'soft systems methodology' and Ulrich's 'critical systems heuristics', fulfil this need more adequately than the VSM." (p. 434).

In the field of evaluation a similar argument might be made for the system-resource approach to be supplemented with information forthcoming from the multi-actor based approach.

Thirdly, the organic or system-resource approach has been accused of promoting stability over change. Jackson argues "...the enterprise is essentially robbed of an exceptionally important source of constructive change - internal change stemming from individual deviancy, group conflict, etc." (p. 427). Jackson goes on to quote Ulrich's statement that the VSM neglects the "...capability of social systems to change their goal-state and structure in a stable environment..." (p. 427).

Fourth, it has been argued that the notion of survival through resource acquisition by any means, a principle fundamental to many of the models of the organic school, is a dangerous one. It has been said by Jackson, following Morgan, that the organic model encourages maximisation of return which is dangerous for the organisation since "...the exploited environment may become so depleted as to be unable to produce further resources." (Yuchtman and Seashore, 1967, p. 902). This criticism was cast at the model proffered by Katz and Kahn by fellow system-resource theorists Yuchtman and Seashore.

As regards forms of evaluation based on the organic model, questions have been raised about whether or not it is useful to view the system-resource and goal approaches as two separate methodologies. For, according to Hall (1991), whether or not organisational growth is considered to be a form of resource acquisition or a goal is "...a question of semantics..." (p. 250). Indeed, the system-resource form of evaluation is widely regarded to be a derivation of the goal model with the individual goals of the organisation being substituted by the universal organisational goals of system survival and growth. Hall goes on to argue that "...resource acquisition does not just happen but is based on what the organization is attempting to achieve, namely, its goals." (p. 250). Further, Zammuto (1982) has stated:

> "...goal based researchers would approach an organizational assessment by asking or discovering what the operative goals of the organization are, while the systems researcher would begin by assessing the overall strength or viability of the organization. If either group of researchers carried their assessments to their logical ends, their efforts would converge." (p. 30).

The system-resource model has also come under attack from Steers (1975) who undertook a review of multi-variate models of organisational effectiveness and concluded that 'little overlap' existed between the evaluation criteria suggested by

the different models. According to Steers, difficulty in the assessment of organisational effectiveness may be attributed to eight core problems.

The first problem is that of construct validity. Steers argues that "...it appears that either the effectiveness construct is invalid or that there may indeed be such a valid construct for which the relevant observable criteria have not yet been discovered." (p. 552).

The second problem is that of criterion stability. Steers opines that "...evaluation criteria are relatively unstable over time; that is, the criteria used to evaluate effectiveness at one point in time may be inappropriate or misleading at a later time." (p. 552).

Thirdly, Steers points to the problem of the temporal dimension. He argues, following Gibson, Ivancevich, and Donnelly (1973), that what is meant by effectiveness in the short, intermediate and long term is different and, hence, must be evaluated using different criteria.

The fourth problem pointed out by Steers is that, in subsuming several variables under one unifying framework, very often the criteria are conflicting. As an example, Steers cites the conflicting criteria of productivity and employee satisfaction.

Fifth, Steers talks of the difficulty in assessing effectiveness criteria. According to Steers this assessment usually takes on a quantitative form which he finds unsatisfactory:

> "...such quantification is often difficult because of the magnitude and complexity of the concept. For example, how does one accurately measure performance or satisfaction? Moreover, how consistent are such measures over time? Existing models of effectiveness tend to

operationalize such factors rather loosely, often defining performance in terms of units of output or satisfaction as reduced turnover and absenteeism. Unfortunately, these operational definitions often allow for a considerable amount of error in measurement." (p. 553).

Sixth, Steers questions the generalizability of multi-variate models of effectiveness: "The assumption that one model is equally applicable to all organizations may, in the absence of empirical support, lose sight of the functional specialization or environmental variations across a diverse set of organizational entities." (p. 554).

Seventh, Steers questions the theoretical relevance of many of the models of multi-variate criteria which have been proffered by evaluation theorists. Steers goes on to discuss Katz and Kahn's model as an exemplar of a good model of effectiveness criteria, stating "...their model looks at *relationships* between important variables and does so within a systems framework capable of increasing our understanding of organizational dynamics. Such models are considerably more useful to the researcher and theoretician than the more static, prescriptive enumerations of what constitutes effectiveness." (p. 554).

Finally, Steers argues that little attention has been paid to the critical relationship between micro and macro criteria of effectiveness. Steers claims that this oversight is critical since:

"If we are to increase our understanding of organizational processes and, indeed, if we are to make meaningful recommendations to managers about effectiveness - models of organizational effectiveness must be developed which attempt to specify or at least account for the relationships between individual processes and organizational behavior..." (p. 554).

Goodman, Atkin and Schoorman (1983) also formulate a comprehensive critique of the system-resource approach. They state:

"The outcome approach, although prevalent in the OE literature, fails to increase substantially our understanding of OE because *(a)* the construct space of OE is never carefully delineated; *(b)* the relationship between indicators and OE is not examined; *(c)* most outcome approaches do not distinguish between determinants and indicators; *(d)* no well-specified model is presented for explaining variation in these indicators; and *(e)* the time frame for the indicators is not specified. These problems are inherent to the outcome approach and in the value-laden concept of effectiveness. No easy solutions seem available." (p. 171).

In a similar vein to Steers and Goodman et al., Campbell (1977) criticises the multi-variate approach which is the usual practical form of expression of the system-resource approach. Hall (1991) states that:

"While factor analysis is a fine methodological tool, it does not arrange the factors in the form of a hierarchy. Campbell is suggesting that some of the penultimate criteria may be more important than others, and thus that choices may have to be made among the criteria." (p. 250).

Thus, whilst on the one hand the goal approach is criticised for adopting a too simplistic view of the organisation and its analysis, the system-resource approach is criticised for failing to simplify enough.

In this section five criticisms of the organic model and its corollary, the system-resource form of evaluation were discussed. This school of thought was accused of:

1.   reification of the organisation;

2   discounting purposive human action;

3.   promoting organisational stability over change;

4.   endangering the 'environmental nest';

5.   failing to put forth a consistent model of organisational effectiveness.

5.7   Reflections on the Critique

In this section consideration will be paid to whether or not the five criticisms aimed at system-resource based evaluation were borne out in the pilot project. Taking each of the criticisms in turn, the pilot project experience will be reflected upon and evidence sought from that project which either serves to support or contradict the criticism.

Firstly, the system-resource approach has been accused of reifying the organisation. As regards the pilot project and the justice of this accusation, one must ask whether or not those involved attributed objective characteristics to the organisation. In conducting the interviews with staff and members of the Executive Committee reference was made, several times, to the subjugation of the needs of the individual to the needs of the CVS, for example with regard to time-off and wage levels. Despite the resentment which appeared to be expressed by members of the organisation when discussing occasions when their needs where sacrificed to the needs of the organisation, usually that sacrifice had been undertaken voluntary and there appeared to be a common commitment by staff and Executive Committee members to the ongoing survival of the organisation. It seems, therefore, that the evaluation was concerned with the needs of the system and if this implies reification

then this process was practised in the pilot project. However, it is not clear that this practice was dangerous in this instance.

Secondly, the criticism of discounting purposive human action has been directed at the system-resource approach. It can be seen from the account of the project given in section 5.4.1 and from the variables reported in Appendix 22, that attention was not only paid to external matters but also to internal matters such as staff development. Indeed, it has to be said that the discussions held between the experts, the staff and the Executive Committee members focused upon change as a product of politics and power struggles as opposed to change as a response to environmental conditions. Hence, the pilot project experience cannot be said to support the view that the system-resource approach discounts purposive human action.

Thirdly, it has been argued that this approach to evaluation promotes stability over change. At the interview sessions with Newley CCS there seemed to be an unspoken agreement that, whilst it was acceptable to voice ideas for radical change, often suggested ironically and involving more freedom and higher wage levels for staff, ultimately there seemed to be a consensus of agreement that any change should not endanger the life of the organisation. Further, there appeared to be a general agreement that, whilst most of those individuals involved with the organisation had suggestions for ways in which the organisation might change, things would not be so bad if they were to stay the same and that the, quite substantial, reserves of the organisation should be protected. Thus, it appeared that, in the short term, the system-resource form of evaluation did support, if not stability, minor change rather than radical change.

Fourthly, it has been claimed that the system-resource approach endangers the environmental nest by over-emphasising the importance of resource acquisition. As has been said previously, Newly CCS put great store by ensuring its ongoing survival through the maintenance of its reserves, financial and otherwise, and by maintaining

a state of balance with its members, organisations with which it was in competition, and so on. Indeed, whilst Newley CVS was one of the most commercial CVS, especially in the range of services it offered to its members, it was recognised that it had to be careful not to price itself out of the market. It is concluded, therefore, that there was not evidence from the pilot project to support the accusation that the system-resource approach of the endangers the environmental nest as careful consideration was taking place in order to avoid this.

Finally, the system-resource school of evaluation theory has been subjected to the criticism of failing to put forth a consistent model of effectiveness. The model of the organisation which was used in the pilot project was a composite of the characteristics contained in several popular system-resource type models and of the characteristics selected by CVS nation-wide as being, firstly, necessary and, secondly, desirable for a CVS. To determine whether or not this model fails to be consistently relevant to the evaluation of CVS, research on necessary and preferred CVS characteristics would need to be undertaken again. In the absence of such a longitudinal study we are unable to comment on the accusation that the system-resource model fails to put forth a consistent model of effectiveness criteria.

5.8   Conclusion

In this chapter the implications of evaluating an organisation according to its ability to survive and adapt in a dynamic environment have been assessed. A review was undertaken of the theoretical grounds for such an approach and, based on this, a conceptual model was constructed. An account of the pilot project which tested the system-resource form of evaluation was then given. As with the goal approach, the existence of both negative and positive aspects of the system-resource type of evaluation from the perspective of the CVS were discussed. Following this, discussion was made of how the learning which resulted from the pilot projects affected the

definition of the methodology. Finally, a critique of the organic approach was constructed and assessed in the light of evidence from the pilot project.

In a similar way as it was argued that deficiencies in the goal approach make way for the system-resource approach, it is here claimed that inadequacies in the system-resource approach lead us on to consider other methods of evaluation. For example, it has already been established that the system-resource approach pays scant consideration to the social aspects of organisation and this paves the way for the multi-actor based approach which will be examined in Chapter 6.

CHAPTER 6

MULTI-ACTOR BASED EVALUATION

6.1   Introduction

The consequences of a definition of effectiveness as the organisation's ability to satisfy the needs of all those parties influenced by and having an influence upon its activities will be taken up in this chapter. As with previous chapters, the theoretical foundations of the multi-actor approach will be summarised and a method for putting into practice this form of evaluation recounted. Next, account will be given of the two pilot projects and this will be followed by the CVSs' reflections on the positive and negative aspects of the evaluation process. A critique will then be made of the multi-actor based approach and, finally, discussion held of whether the critique was borne out in practice.

6.2   Theoretical Foundations: A Summary

The foundations for this chapter were established in Chapter 2, where it was claimed a definition of effectiveness based on interested parties' satisfaction follows from the political metaphor. With this metaphor the survival and success of the organisation depends upon the extent to which it can meet the demands of the various stakeholders with which it interacts; it has to adapt to meet the changing demands placed upon it by those stakeholders. Unlike the goal approach, this approach accepts that organisations are capable of pursuing multiple and often conflicting goals concurrently and that organisations exist within uncertain environments of which the organisation must be constantly aware.

Additionally, this chapter will draw on the interactionist/pluralist argument that, at the organisational level, social order is produced by the interaction of multiple groups of

individuals. As the beliefs and values of these different groups, and consequently the goals they hold for the organisation, may be conflicting it is the task of management to oversee these interactions to maintain a state of equilibrium within the organisation. It is as a result of the process of interaction between individuals and groups that organisational behaviour emerges.

The multi-actor approach to evaluation seeks to accommodate to differences in interested party opinion about what constitutes effectiveness by assessment of the general level of satisfaction with organisational processes. At a more abstract level this may be taken to represent public confidence in the organisation.

Multi-actor evaluation is founded on the principle that organisational stakeholders must take part in the evaluation process. This notion can be seen in the model of multi-actor evaluation put forward by Friedlander and Pickle (1967). They suggest three criteria for organisational effectiveness:

a.   The profitability of the organisation;

b.   The degree to which it satisfies its members;

c.   The degree to which it is of value to the larger society of which it is a part.

It can be seen from the above that Friedlander and Pickle concentrate equally on internal and external matters in judging effectiveness. Externally the organisation is seen to be dependent upon the community, government, customers, suppliers and creditors for its survival and growth. Having defined those parties upon whom the organisation may be said to be dependant, Friedlander and Pickle propose that an organisation's effectiveness may only be determined by seeking those parties' opinions about whether the organisation is fulfilling their needs. Hence, the traditional evaluative assumption of output maximisation is replaced by one emphasising the organisation's ability to satisfy stakeholders.

Zammuto (1982) developed the multi-actor approach by adding an evolutionary aspect. He stated that effectiveness emerges from the organisation's ability to satisfy interested parties over time and, thus, effectiveness cannot be determined at a single point in time. Furthermore, Zammuto's view was that if an organisation did not respect interested party wants, it would lose their support and they would create pressures for the establishment of alternative organisations.

Complementary to the interactionist and multi-actor schools of thought is the work of the soft systems thinkers. Checkland's soft systems methodology (1981) is based upon an approach to organisations as being social constructs which may be defined in many legitimate ways depending upon one's world-view. Hence, organisation problem solving rests on the bringing together of interested parties in order to define the problem and agree measures for its solution.

Having summarised the basis for a form of evaluation founded on a definition of effectiveness as the organisation's ability to satisfy the needs of all those parties influenced by and having an influence upon its activities, we shall now proceed to look at how such an approach might be realised in practice.

6.3   Method

With the multi-actor type of evaluation, it is theoretically imperative that efforts should be made to ensure that the evaluation involves representatives from all groups of interested parties or stakeholders. In practice it was found to be common for people to state that they do not know enough to express an opinion on the organisation's priorities and functioning. However, such individuals should be assured that it is their personal mental constructions of the organisation that the evaluation hopes to capture. From this perspective, the evaluation and, in the long run, the survival of the organisation depends on peoples' subjective judgements not on it meeting objective criteria. Hence, in the case of a CVS, the multi-actor type of evaluation

seeks to discover how satisfied interested parties are with CVS activities. It also seeks to enable an organisation to move closer to its interested parties' needs by serving to ensure that the way in which the CVS uses its time is apportioned according to stated interested parties' priorities.

Whilst in theory the evaluation is based solely on interested parties' perceptions, in designing the evaluation for use in practice it was found to be necessary to add an additional dimension to the evaluation in the form of time-activity monitoring. To enable the organisation to move closer to the ideal a single indicator of effort, time, is taken as a means of guiding changes to CVS activities. A separate indicator for each activity undertaken by the organisation could be constructed, but this would be a tedious and exhaustive process, hence it is best to take a single indicator which is common to all activities. The acceptance of time as the sole indicator may be open to criticism since a lot may be achieved in a little time and a little achieved in a lot of time, but this is an anomaly which must be tolerated.

Multi-actor based evaluation might, therefore, be defined as a ten stage process:

1.   Identify interested parties

2.   Design an activity monitoring system

3.   Monitor activities

4.   Design the means of surfacing opinions

5.   At period end, surface interested parties' opinions about past organisational activities and priorities and reveal interested parties' aspirations for future organisational activities and priorities

6.   Analyse the data

7.   Combine the two sets of data on activities and interested parties' opinions

8.   Assess the level of interested party satisfaction

9.   Revise planned activities

10.   Review the process

Whilst the process of multi-actor based evaluation has been set out in a linear format here, in reality the evaluation is more likely to progress in an iterative manner. The multi-actor based evaluation cycle is shown in figure 9.

1.	Identify interested parties
2.	Design an activity monitoring system
3.	Monitor activities
4.	Design the means of surfacing opinions
5.	At period end, surface interested parties' opinions and aspirations
6.	Analyse the data
7.	Combine the two sets of data
8.	Assess the level of interested party satisfaction
9.	Revise planned activities
10.	Review the process
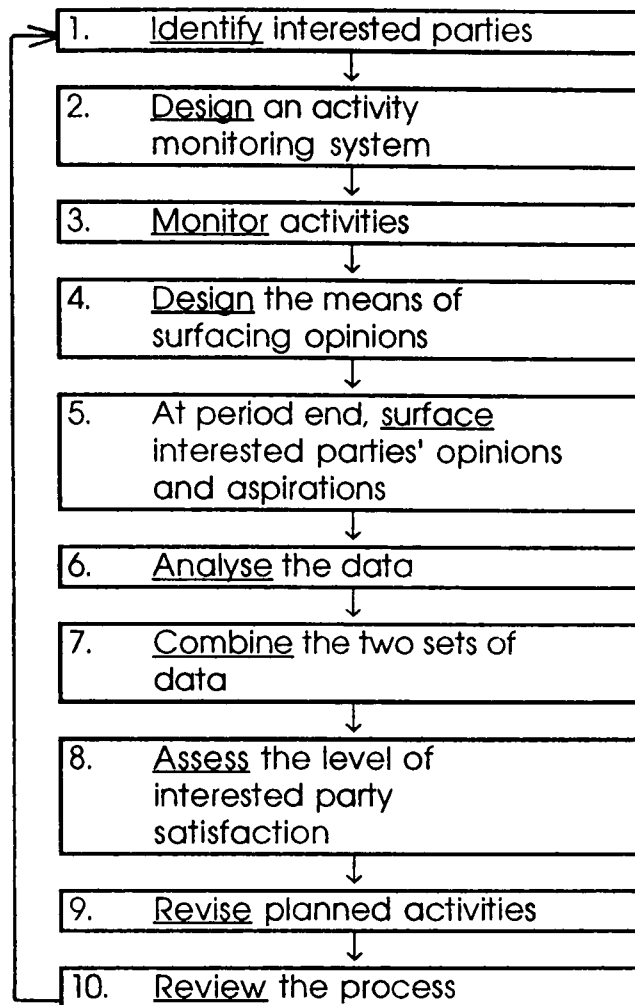
Figure 9. Conceptual Model of Multi-Actor Based Evaluation

Conceptualisation of the multi-actor methodology was very much influenced by a previous, and still ongoing, project between Hull University and the CVS for Beverley Borough (Jackson and Medjedoub, 1988; Gregory, 1989). Thus, whilst it may be said that the multi-actor based methodology was the only one which the researcher approached with experience of implementing in practice, any preconceived ideas were soon abandoned as it was realised that each evaluation had to be quite unique and that there are many variations on this single evaluation theme. The following account was written very much in the light of the amassed experience of both the Beverley CVS project and the pilot projects. Hence this account emphasises what is

practical and feasible for a CVS rather than a pure multi-actor based methodology founded on the principles of the political-systems model.

Having identified the major stages in conducting a multi-actor based evaluation, we shall now look at each of the stages of the process as they may be practised by CVS in more detail.

1. Identify interested parties

The first stage of a multi-actor based evaluation is the identification of all those parties who are affected by or are able to affect the operations of the organisation. The evaluation should seek to include representatives from as many categories of interested party as is possible. Interested parties in the case of a CVS might include staff, volunteers, executive committee, representatives of member organisations, funders, etc.

2. Design an activity monitoring system

Given that time is to be used as the indicator of effort, a time-activity coding system should be designed for the organisation. As has been said, whilst this is not necessary in theory, it was found to be desirable in practice. Whilst examples of the time-activity coding systems used by the pilot projects are contained within this thesis (see Appendix 25 and Appendix 26), they should only be regarded as examples - these systems are not transferable between CVS. In the pilot projects it was found to be important that effort is made to make the time-activity system as appropriate as possible to the CVS in question. A system which is not appropriate would be cumbersome to operate for any period of time and, in any case, the data output by such a system would be meaningless.

The pilot project experience suggests that in developing a time-activity coding system it may be useful to break activities into broad categories. However, careful consideration should be given to the definition of categories of tasks. The Wolfenden (1978) functions of development, support, liaison, representation and the additional function of management of the CVS itself might provide a useful framework. The definition of broad categories of activity also helps with presentation of the final analysis when pie-charts, for example, based upon the classification may be constructed.

Having defined the framework for the classification, one should then start to break the categories down into specific activities which, it is widely agreed, fall within them. Efforts should be made to ensure that categories of activity within the coding system are not so broad nor so detailed as to be meaningless. Also, the practicality of the system should be looked at - will staff need to be recording their activities every couple of minutes? Far better to go for a system where a time-sheet can be filled in at the end of the day.

The time-activity coding system should be run for a trial period of, say, two weeks and then a review of the whole process conducted.

3. Monitor activities

As a result of the learning from conducting the pilot projects, it may be said that the period that the time-activity system is actually implemented for depends upon the individual CVS and usually involves some bargaining process between staff and the evaluation group. In the pilot projects it was found that whilst some staff may welcome the exercise as an opportunity to show the diversity and difficulty of the activities they engage in during the course of a normal day's work, other staff may see the exercise as an

intrusion which brings into question their integrity. Whilst the way in which the evaluation process is introduced should be sensitive to the feelings of members of staff, one should attempt to implement the monitoring exercise for a period which is significant enough to give a general picture of the way in which time is used. From a practical point of view, two months may be thought of as a minimum monitoring period, six months as a usual maximum period.

4.   Design the means of surfacing opinions

During the time-activity monitoring period, a means of gathering interested parties' opinions about how well the organisation is operating should be designed. The number of interested parties included within the evaluation significantly affects the method of gathering opinions. Similarly, the resources available to the project and the nature of those individuals one is approaching have a great bearing on the choice of opinion gathering method. Thus, whilst in theory it is imperative that all interested parties be involved in the evaluation, this was not found to be feasible in practice. Those projects in the pilot scheme which tested the multi-actor form of evaluation elected to use postal surveys as the means of gathering opinions but other methods should not automatically be ruled out. Beverley CVS, which has used the postal survey technique with this form of evaluation for many years, has recently decided, due to the availability of extra resources for the exercise in the form of student time, to adopt a structured interview method of collecting opinions.

Some of the advantages and disadvantages of two of the most common types of opinion gathering method, the postal survey and the structured interview are:

Postal Survey:

- Good for approaching a large audience, which ensures that not only those individuals known to support the CVS can be approached.

- Answers to a well designed questionnaire can be analysed quite easily by the use of a computer.

- Careful consideration needs to be paid to the design of the questionnaire to ensure clarity. A pilot study is essential to the design of a good questionnaire.

- Low answer rates to postal questionnaires are common.

Structured Interviews:

- Whilst the interviewer should stick quite closely to the structure determined in advance, answers can be qualified by the respondent on the spot.

- Absorbs a lot of researcher time.

- Usually a smaller audience has to be approached.

- High answer rate.

Whatever form of interview or survey is used, the pilot project experience suggests that the structure should be closely linked to the time-activity coding system. The time-activity system serves to reveal exactly what activities the organisation has engaged in and what priority, according to the amount of time spent on them, has been given to these activities, whilst the interviews or surveys serve to surface interested parties' levels of satisfaction with the way in which the CVS has carried out the activities and with the level of priority which the CVS has attached to the different activities. Thus, given the nature of the analysis to be conducted at a later stage of the exercise, it is helpful if respondents are asked to express their level of satisfaction with the performance of each of the organisation's activities on a scale ranging from 0, representing minimum satisfaction, to 7, maximum satisfaction. The close

link between the structure and content of the time-coding and opinion gathering systems should enable easy comparison between the two sources of data.

5.   At period end, surface interested parties' opinions and aspirations

Whatever type of opinion gathering method has been selected, the exercise should be conducted at the end of the time-activity monitoring period as, logically, the effects of recent organisational activities should be uppermost in interested parties' minds at this time.

The survey should also be used to ask interested parties to consider what activities they think the CVS should be undertaking. This part of the exercise may be quite detailed with interested parties being asked to specify exact activities they would like to see the CVS engage in and to specify the exact proportion of CVS time they would like to see allocated to those activities. This unearthing of interested parties' aspirations for the organisation is very important as it may serve to guide the CVS's decision making about how the organisation should change in the light of the evaluation.

6.   Analyse the data

The time activity data and the results of the opinion surfacing exercise should be analysed so that the information can be easily assimilated.

7.   Combine the two sets of data

At this stage, having analysed the time-activity data and the interested parties' statements of opinion, one should be able to make a statement such

as the following for each of the CVS classes of activity: activity x absorbed y hours of time and generated level z of satisfaction in interested parties.

8. Assess the level of interested party satisfaction

Based on the combination of the two sets of data, the general level of interested parties satisfaction should be evident. The results of the evaluation exercise should then be fed into the learning sub-system.

9. Revise planned activities

Based upon the interested parties' levels of satisfaction, priorities, and aspirations, and the hours input to each activity, attention should be paid to the amendment of the work plan for the coming period. The amended work plan should enable the organisation to move closer to fulfilling the demands of its interested parties.

10. Review the process

Reviewing the process is part of the meta-evaluation sub-system (see Chapter 8). There are a number of points which are of particular relevance in the meta-evaluation of a multi-actor based system (some of these questions might well also be posed in the future tense at the start of a multi-actor based evaluation as well as in the past tense at the end of the evaluation as is reported here):

- How easy did staff find the maintenance of time-sheets?
- How flexible was the time-activity coding system?

- Did staff feel that the time-activity analysis accurately portrayed the way in which time had actually been used in the period? Did the opinion gathering tool operate as expected?
- What was the answer rate to the opinion gathering exercise like?

6.4   Case-Studies

6.4.1   Case Study: Netherhall Voluntary Action

Netherhall Voluntary Action (NVA) serves the population of the London borough of Netherhall, the population of which was about 230,000. At the time of the pilot study there had been severe annual cuts to local voluntary sector grants but NVA was struggling on to service a large and diverse voluntary sector (750 organisations/groups on the mailing list, about 150 requests per month for advice, information and consultancy). There were three parts to NVA: the Central Resources Team (CRT), the Volunteer Bureau and the Driving Scheme. Despite the great demands placed on NVA and the diversity of work in which NVA engaged, there were only three core staff and three project workers. Given the limited resources available to NVA, they wanted to ensure that they were maximising their utility, hence NVA wanted to develop evaluative methods to ensure that their activities were satisfying as many of their clients as possible.

NVA had a very involved Executive Committee, thus the decision about the form of evaluation which should be employed by NVA was taken jointly by staff and the Executive Committee. As NVA placed great emphasis on listening and responding to the needs of the local community, the form of evaluation they selected as being most appropriate was the multi-actor form of evaluation. It was also decided at this stage that, as NVA had a well developed sub-committee structure, with each of the three sections of NVA having its own support sub-committee, that the sub-committees should be involved with and support the evaluation process.

Given that the nature of the work undertaken by the different sections within NVA was very different and directed toward different audiences, it was decided at the very beginning of the project that, whilst the process each of the sections would go through would be the same, the different sections would require separate time-activity coding systems and separate surveys (see the time recording sheet for the CRT in Appendix 25).

Three separate time-activity coding systems relevant to the three different sections of NVA were designed, tested and amended. Whilst NVA took quite well to the design of the time-activity coding systems, they were quite apprehensive about the feasibility of maintaining such systems for a period of time long enough to capture the full variety of NVA activities or to see any trends emerging. The most vocal opponent to the keeping of time-sheets was the secretary. Other members of staff rationalised the secretary's opposition to the time-sheets on the grounds that as she was not in the 'front-line' of NVA work and, consequently, not in daily contact with interested parties, she was not able to fully identify with the chosen method of evaluation. Indeed, the secretary became less assertive about her negative feelings towards the evaluation process as other members of staff became more vocal about their perceptions of the positive aspects. With a little persuasion from the General Secretary, the staff of NVA undertook to maintain time-sheets for a period of eight weeks in total.

Once the design of the time-activity coding system was completed and the collection of data under-way, attention was turned to the design of the surveys. Questionnaires which would serve to surface interested parties' opinions about NVA past work activities and priorities, and potential areas of work were drawn-up in conjunction with the relevant sub-committees for each of the sections of NVA (for example, see the CRT questionnaire in Appendix 25). At the meetings of the relevant sub-committees there was a lot of discussion about to whom the questionnaires

should be sent. It was decided that questionnaires about the CRT should go to 20 member organisations and 80 non-member organisations; questionnaires about the volunteer driving scheme should go to referral agencies, passengers and drivers (140 questionnaires were sent out for the driving scheme in total); and questionnaires about the volunteer bureau should go to 60 volunteers. Unfortunately, due to time pressures on the pilot project, the surveys were conducted right in the middle of the holiday season. The survey answer rate was, therefore, expected to be low, however NVA were pleasantly surprised with the overall answer rate for the surveys which was approximately 41%.

By this stage, NVA had collected two sets of data; the time-activity system data and the survey data. Reports were produced for the various sub-committees which presented the data in such a way that one could make judgements about the extent to which NVA was meeting its clients' needs by matching the levels of satisfaction expressed by interested parties with how NVA staff devoted their time (see the analysis produced for the CRT in Appendix 25).

The reports were the subject of much discussion at the sub-committee meetings and, based on the evaluation reports, the sub-committees were able to make specific recommendations about the amount of time NVA staff should spend on specific activities; for example, it was suggested, given that the survey had revealed several 'new' areas of work for NVA, that less time might be spent on management activities. Based on the reports and the ensuing discussion between staff and sub-committee members, the work plans scheduled for approval by the Executive Committee were amended to reflect the evaluation findings.

a.   **Reflections by the CVS**

In this section the positive and negative aspects of the evaluation process will be discussed. As with the other methodologies discussed in this thesis, this summary of

positive and negative attributes was the outcome of a discussion about the methodology by a representative of the pilot project CVS with representatives from all of the other projects.

Positive Aspects of the Evaluation

- The evaluation findings served to reassure the staff and the Executive Committee that they were broadly doing the 'right' things.
- The high questionnaire answer rate received appeared to confirm that clients closely identified with the work of NVA, for example the volunteer driving scheme had a 63% answer rate from drivers.
- Taking part in a joint exercise united separate sections of NVA and the Executive and provided a learning experience for both.
- The evaluation may provide information to funders. For instance the driving scheme received glowing reports from everyone concerned and this information, it was stated, might be presented to funders in the hope of securing further grant aid for the project.

Negative Aspects of the Evaluation

- The design and monitoring stages of the process involved a lot of work and the organisation stated that they would not be able to do time recording annually as it would be too demanding.
- Asking people what they saw as NVA priorities created more demands and raised expectations of the organisation.

Important Issue

- Whilst NVA was very sensitive to its clients' needs, the General Secretary felt that it had to be realised that the organisation was not and, due to resource

constraints, could not be entirely demand led as perhaps the multi-actor approach implies.

6.4.2   Case Study: North Etherton CVS

North Etherton CVS had, at the time of the pilot project, had paid staff for only five years. During that period, however, the CVS had changed dramatically. The CVS was split into two sections - three members of staff who were concerned with core CVS work and two members of staff who worked for Age Concern but were seen to fall under the CVS umbrella. The General Secretary felt that, due to the pressures of setting up the CVS as a viable on-going concern and having recently undergone the upheaval of moving offices, little thought had been given to the direction of CVS activities. She hoped that evaluation might help guide CVS activities and so she was willing to be involved with the national project. Whilst the Executive Committee as a whole was quite unenthusiastic about the subject of evaluation, several Executive Committee members were willing to become involved with an evaluation group to support the project.

At the beginning of the project, the General Secretary stated that she was constantly coming up against the problem of, what she called, the 'rural mentality'. The 'rural mentality' deemed that 'all change is bad', hence, people were generally quite unwilling to express opinions or to become actively involved in anything. The General Secretary felt that to overcome the problem of the 'rural mentality' in relation to the CVS, what was needed was some means of opening the CVS up to comment and some process for actively seeking to gather and encourage comment on CVS activities and priorities (the General Secretary was also keen to establish a channel of communication in order to inform interested parties of the meeting room service which had been established upon the CVS's move to its new prestige office space). Based upon the General Secretary's wishes, a form of multi-actor evaluation was deemed most appropriate in the case of North Etherton CVS (given the CVS's initial

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enthusiasm for the evaluation little attention was paid at this point to the danger that the 'rural mentality' might also ensure the failure of the evaluation).

The first stage of the process was the development of the time-activity recording system. To start with the CVS decided to adopt, despite the researcher's reservations, an amended form of the time-activity recording system which had been developed for use by Beverley CVS. Although the amended Beverley system was tested out for a trial period, it was found by North Etherton CVS to be unworkable in the longer term (certain activities were found to be unclassifiable, other activities were fitting into multiple classes and so on). Hence, in the middle of the six month recording period that they had agreed upon, it was decided that a different time-activity system was needed. The second system was put together by the CVS very quickly and this time they designed a system which they felt met their needs more satisfactorily (see Appendix 26).

Toward the end of the time-sheet monitoring period the evaluation group set to work on the design of a questionnaire which would serve to reveal how satisfied interested parties were with the work undertaken in the monitoring period. The CVS decided to use an amended form of the questionnaire which had been developed for Beverley CVS and which had a second function to that of extracting opinions; the survey was also a means of drawing peoples' attention to the variety of work that the CVS had done or was interested in doing. Before the questionnaire was distributed en-masse, a pilot study was undertaken and, in the light of the results of that study, a 'don't know' column inserted on the questionnaire (see Appendix 26). However, this was later seen to be a mistake as given the 'don't know' option people often take it, whereas if the column is absent then they will only refrain from giving an opinion where they really do not know. Five hundred questionnaires were sent out with the CVS newsletter and a prize was offered, based on a draw of returned questionnaires, of a £10 donation to a charity of the winner's choice. The General Secretary felt it was important that such a wide audience was used for the survey so that the CVS could

not be accused of only surveying their supporters. Unfortunately, a very low answer rate was received (29/500 or 6%) and the realisation that the CVS and its work had, despite its efforts, not interested people sufficiently to lead them to fill in a questionnaire, had a bad effect on staff morale. It was generally felt that the CVS had a very low profile.

A meeting of staff and Executive Committee members was held to discuss the findings of the time-activity monitoring and the survey. At that meeting, the revelation that almost 60% of CVS time was being spent on management of the CVS itself (see Appendix 26) was discussed. In the light of this discussion it was revealed that included within this figure was CVS time devoted to managing projects, running the CVS building and services to tenants. CVS staff admitted that they had not been aware, until they started maintaining time-sheets on a regular basis, how much time they had been spending on services to tenants who represented a very small and narrow group of the CVS's potential clients. Discussion was then held about whether it was appropriate for the CVS to be using its time in this way and whether the CVS should actually be charging more for those services. The debate between staff and the Executive Committee also addressed the matter of the low survey response rate which, it was proposed, was possibly due to the way in which the questionnaire had been distributed. It was suggested that the questionnaires should have been distributed separately from the newsletter and with a personal letter to the recipient asking for prompt completion and return of the questionnaire. Whether or not the low response rate was due to the 'rural mentality' was an issue not addressed by the group.

Whilst, as has been said, the low questionnaire response rate had a negative effect on staff morale, there was a very positive feeling at the discussion group meeting. The members of staff seemed to be satisfied that the changes to be implemented in response to the evaluation findings were in their own interests as well as for the benefit of the organisation as a whole. However, given that the pro-active stance suggested

by the evaluation would require a fundamental change to the CVS and its ways of working, the researcher was left wondering whether or not the change would take place. A follow-up evaluation would have determined whether or not the CVS did change as a result of the pilot project but unfortunately there was not sufficient resources to conduct this exercise.

a.   Reflections by the CVS

Positive Aspects of the Evaluation

- The evaluation process enabled staff to see how they were actually spending their time, for example as a result of the exercise it was realised that far too much time was being spent on providing services to tenants.

- Discussion of reasons for the low answer rate to the survey led the staff and Executive Committee to consider the local profile of the CVS and inspired them to take action to raise the CVS's public awareness of the CVS and its activities.

- The questionnaire to interested parties was recognised as a means of informing people of the extent and nature of CVS work.

Negative Aspects of the Evaluation

- Staff realised that they should have paid even more attention to the design of the time-activity coding system as, in the light of the final analysis, they felt it still did not capture the way in which their time was actually used.

- Given what the General Secretary described as the 'rural mentality', attention should have been paid to how feasible the conducting of a survey actually was and the CVS prepared for the possibility, which turned out to be reality, of receiving a low survey answer rate.

- Debate about the evaluation data was important since it was only at this stage, in the light of contextual information, that meaning was read into the comments of interested parties and the time-activity analysis. For, whilst evaluative information can be analysed, it is only when it is interpreted in the context of what has been going on within and without the CVS that the evaluation can have real meaning. There is, therefore, an ever present danger, when conducting a multi-actor based evaluation, that the evaluation data might be taken out of context and misinterpreted, for example it was only at the discussion session that it was revealed that the 60% of staff time categorised as 'Management of the CVS' actually covered managing projects, running the CVS building and services to tenants.

6.5   Reflections on the Research Process

In section 6.3 a ten stage method was defined for conducting a multi-actor based evaluation. As this method had been employed and refined in an evaluation project with Beverley CVS previous to the NACVS evaluation project, relatively little was learnt about this process from the pilot projects.

However, the following points may be said to arise out of learning about the multi-actor based evaluation process as a result of its employment in practice:

- in order to facilitate the organisation's change in response to the findings of the evaluation it is desirable to include some indicator of effort. As time is generally seen to be an indicator of effort which is common to all activities, it was used in all of the pilot projects which employed the multi-actor based methodology. The recording of time as part of a multi-actor based evaluation enables the organisation to appreciate how staff have used their time, whether or not

interested parties were happy with the way staff used their time and to plan for how staff might best use their time in the future;

- unless an unlimited amount of resources is available for conducting the evaluation, it is not practical to endeavour to include 'all' interested parties in the evaluation. Consequently, efforts should be made to ensure that a representative sample of interested parties are consulted.

As a result of this methodology being employed in the Beverley CVS evaluation project, a further point of learning resulted from the pilot projects but this point was more about conducting an evaluation in general than about the multi-actor methodology in particular. In one of the pilot projects the CVS attempted to use the time-recording system and the questionnaire that had been used by Beverley CVS. However, neither the time-recording system nor the questionnaire 'fitted' the pilot project CVS, hence it may be deduced from this that evaluation systems cannot be directly transferred from one organisation to another without due consideration to the nature of the organisation and the environment in which it operates.

The method discussed in section 6.3 and set-out in figure 9 reflects the above points of learning about multi-actor based evaluation which resulted from both the Beverley CVS project and the pilot projects.

6.6 Critique of the Political-Systems and the Multi-Actor Based Approaches

In a previous section two short accounts of the positive and negative aspects of multi-actor based evaluation were given from the points of view of the CVS involved in the pilot projects. In this section a more in-depth approach will be adopted: the political-systems/multi-actor approach and its advantages will be summarised and then, at greater length, criticisms of this school of thought, which also encompasses the soft systems approach, will be discussed.

Hall (1991) referred to the type of model discussed in this chapter as 'participant satisfaction models' and defined them as "...models of effectiveness that, in various ways and at various levels, utilize individuals as the major frame of reference...the emphasis is on individual or group judgements about the quality of the organization." (p. 258). Whilst Hall classifies this type of model under the title of participant satisfaction, and it is here referred to as the multi-actor model, its variants are also referred to as fourth generation evaluation by Guba and Lincoln (1989) and as naturalistic evaluation by Williams (1986) and others. According to Scriven (1991), citing personal communication with Wolf, naturalistic evaluation:

"...(i) has more orientation toward "current and spontaneous activities, behaviors and expressions rather than to some statement of prestated formal objectives; (ii) responds to educators, administrators, learners, and the public's interest in different kinds of information; and (iii) accounts for the different values and perspectives that exist."" (p. 240).

In the light of this definition, Scriven reflects critically on the practice of naturalistic type evaluations:

"Much of the debate about the legitimacy/utility of the naturalistic approach recapitulates the idiographic/nomothetic debate in the methodology of psychology and the debates in the analytical philosophy of history over the role of laws. At this stage of the debate, while the principal exponents of the naturalistic approach may have gone too far in the **laissez-faire** direction (any interpretation the audience makes is allowable), and in caricaturing what they think of as the empiricist approach, their work has shown up the impropriety of many of the formalists' assumptions about the applicability of the **social science model.**" (p. 240, emphasis in the original).

Scriven's comments, however, merely scratch the surface of the critique which has been levelled against the practice of such soft methods (for the most part our critique will draw on the criticisms which have been directed at the soft systems problem-solving methodologies which may be said to share the same theoretical foundations and have common weaknesses as multi-actor, naturalistic and fourth generation models of evaluation).

Firstly, soft systems thinking, especially the work of Checkland, is accused by Jackson (1991a) of downplaying the significance of technical matters, "Soft systems methodologies do not give a great deal of useful support to the technical interest in predicting and controlling natural and social systems." (p. 167). Jackson goes on to argue that "What the best queuing system is for a particular supermarket or what would be an effective information-systems design for a particular organization are not simply matters of intersubjective agreement." (p. 172). Given Flood and Jackson's (1991a) similar criticism of Mason and Mitroff's (1981) strategic assumption surfacing and testing methodology (SAST), "There seems to be an unwarranted assumption with SAST that once pluralism has been dissolved, then the difficulties stemming from the complex nature of the context will disappear as well." (p. 133), a critically limited focus would appear to be a problem common to all of the soft systems methodologies, including the multi-actor based approach to evaluation. Indeed, whilst the multi-actor based methodology might serve to identify a problem with, for example, a financial budgetary process and to facilitate a consensus that the problem needs addressing, this approach would not provide the expertise to address the problem or even to indicate where help might be secured. The system-resource based methodology which is based on the involvement of an 'expert' may be said to more adequately address the technical interest.

Based on the above, the comment that "The main value of soft systems thinking, in terms of Habermas' schema, lies in the support it offers to the practical interest in

promoting intersubjective understanding." (Jackson, 1991a, p. 168) would appear to be legitimate. However, the ability of the soft methodologies to facilitate true understanding between groups having divergent viewpoints has also been brought into question on the grounds that "...appropriate rationalization in the sphere of social interaction demands not just any kind of understanding, but genuine understanding based on communication free from distortion. Methodologies purporting to support the practical interest must pay attention to the possibility that systematically distorted communication might jeopardize the emergence of *genuine* shared purposes." (Jackson, 1991a, p. 168), Jackson questions the validity of the understanding reached through the practice of the soft methodologies. Following the argument that "...the only possible justification for implementing the results of a soft systems study must be that the results and implementation have been agreed upon after a process of full and genuine participatory debate among all the stakeholders involved or affected." (p. 170), Jackson suggests that Habermas' theory of communicative competence be included as a criterion of validity in the meta-evaluation of the soft methodologies.

Given Jackson's claim that the notion of communicative competence is fundamental to the soft methodologies, one might ask whether Habermas' theory might provide the basis for a set of commitments which may ground SSM, perhaps in a similar way in which the five commitments (to critical awareness, social awareness, human emancipation, theoretical pluralism, and pluralism at the practical level) ground critical systems thinking (Jackson, 1991a). Adherence to the principles of communicative competence would meet Jackson's demand that "Soft systems thinking should therefore be critical of all social arrangements that prevent the kind of open, participative debate that is essential for the success of their approach and is the only justification for the results obtained." (p. 170). Jackson (1982 and 1991) and Willmott (1989) agree in attributing the current lack of critique exhibited by the soft methodologies to the absence of "...a social theory capable of accounting for why particular sets of perceptions of reality emerge, and why some perceptions are

found to be more plausible than others." (Jackson, 1991a, p. 170). This failure to reflect critically is particularly exhibited in the work of Ackoff which, according to Jackson, has a "...tendency to accept at face value, and work with, existing perceptions of reality. No attempt is made to unmask ideological frames of reference or to uncover the effects of "false consciousness."" (p. 175) . Based on this argument, Jackson is given to conclude that "SSM therefore merely facilitates a social process in which the essential elements of the status quo are reproduced - perhaps on a firmer footing, since differences of opinion will have been temporarily smoothed over. In doing so it supports the interests of the dominant group or groups in the social system." (p. 169), and that:

> "...the soft systems approach is particularly prone to slipping back into becoming no more than an adjunct of systemic modernism; readjusting the ideological status quo by engineering human hopes and aspirations in a manner which responds to the system's needs and so ensuring smoother functioning." (Jackson, 1991b, p. 297).

Whilst Jackson claims that the theory of communicative competence must stand as a grounding critical commitment underpinning SSM, others have critically reflected on a relativism which pervades soft system methodologies including those evident in evaluation practice. Keeley (1984) comments upon the relativism which is key in the work of Connolly, Conlon and Deutsch (1980). Keeley quotes Connolly, Conlon and Deutsch as believing that "Individuals become involved with an organization (as owners, managers, employees, customers, suppliers, regulators, etc.) for a variety of different reasons, and these reasons will be reflected in a variety of different evaluations. It appears somewhat arbitrary to label one of these perspectives a priori as the 'correct' one..." (p. 4). Thus from the perspective of Connolly et al 'each and all perspectives are equally valid'. However, "The drawback of an unqualified relativism is that it recognizes no limits on the validity of demands that organizational participants may place on one another. In attempting to avoid bias it may

unintentionally, but effectively, legitimate the most extreme demands, prejudices, and, in some cases, outright cruelty (thus calling into question its own claim to impartiality)." (Keeley, p. 5). Consequently, whilst the ordering of preferences may be theoretically in conflict with the principles of communicative competence which, it has been established, might provide the basis for the meta-evalaution of the soft methodologies, Keeley is led to conclude that it is often necessary; hence Keeley proceeds on a search for some grounds upon which this ordering might best be based.

To start with, Keeley examines Zammuto's (1982) evolutionary theory as an alternative to the strongly relativistic approach of Connolly et al. Keeley summarises the main thrust of Zammuto's approach thus:

"...should conflicts among constituent preferences arise, these should be handled not by subordinating some groups or by redistributing outcomes among groups, but by imaginatively expanding the range of possible outcomes so as to permit the satisfaction of both current and emerging preferences..." (p. 6).

In the light of Zammuto's arguments, Keeley reflects that, realistically, there are limits to an organisation's ability to satisfy the expectations of its constituents especially as expectations tend to rise in line with organisational capacity. Hence, Keeley is led to reinforce his statement that "...it is often necessary to distinguish between more or less legitimate preferences..." (p. 7) and to reject Zammuto's approach. Keeley then goes on to consider the power approach and the social justice approach as means for weighting constituency preferences.

Keeley summarises the power approach of Pfeffer and Salancik as follows: "Some participants contribute more critical and scarce resources to the organization, and it is primarily those persons, who have the most power to affect operations, whom an

effective organization must satisfy." (p. 8). The fundamental logic for Pfeffer and Salancik's weighting of constituency preferences is that "...the rewarding of uncommon skills and material contributions can increase organizational capacity to provide benefits for all participants..." (p. 8). However, Keeley considers that power based theories incur the problem of defining 'what is to everyones' advantage' and of what skills are critical to its attainment. He further objects to power based theories on the grounds that "...individual persons are ultimately granted only instrumental worth. Consumers, employees, and other participants take on importance only insofar as they can contribute to or threaten system survival..." (p. 10). Keeley argues that one must view individuals as having intrinsic worth, that is that their claims be based not only on their ability to affect the organisation's functioning.

According to Keeley the social justice theories reflect the intrinsic worth of the individual. Having considered several variations on the social justice theme, Keeley selects the 'harm based' option as the most preferable. As regards the ordering of constituency preferences, the basic rationale for this approach is that, following Kleinig (1978), they are evaluated on the criteria of the 'least impairment of persons' basic interests'. Following Keeley's stated preference for the harm based approach for ordering constituency preferences in an evaluation, Hall (1991) commented that;"One can disagree with the practicality of Keeley's approach from the standpoint of the difficulties in determining levels of regret or harm for all system participants, but the point on ethicality is one that should remain fixed in effectiveness modeling." (p. 261).

Having reflected upon the theoretical prerequisites of participation to the soft methodologies, consideration might also be given to Flood and Jackson's (1991a) comments on the practical implications of participation. In considering the worth of SAST, Flood and Jackson argue that "...circumstances in many organisations may frustrate honouring of the participative principle...It becomes little more than a kind of expanded multigroup brainstorming without any justification for its results." (p. 134).

Further, in considering the work of Ackoff, it is stated that the notion of participation is hampered through the various parties entering "...the process of interactive planning with widely divergent intellectual, political and economic resources." (p. 160). Guba and Lincoln (1989) also reflect critically on the feasibility in practice of their soft evaluation methodology which they term fourth generation evaluation. They ask "How can one manage fourth generation evaluation in the real world of power? Isn't it naive to believe that any group in power would willingly divest itself of that power in order to empower some other group?" (p. 267). In answering the question that they have posed, Guba and Lincoln suggest a reconceptualisation of power, "Rather than to regard it as a fixed-sum commodity, for example, so that the only way to acquire some of it is to take it away from someone who already has it, we may wish to regard it as (potentially) ever growing and enlarging, as in the case of love." (p. 267).

Further, Guba and Lincoln question "How can one hope to gain support for an evaluation in the face of the acknowledged inability to specify a design beforehand, and so have some sense of what will be involved (for example, who's at risk and how much it will cost)?" (p. 267). Guba and Lincoln draw on Dobbert's work (1982) and suggest that 'types of activities' and 'types of persons' be delineated in the project proposal. However, Guba and Lincoln realise that "...there will be some clients for whom this is not enough, and the evaluator will have to make a choice: to do the evaluation the client's way or not at all." (p. 268).

Guba and Lincoln also consider that it may be difficult to attract funders to this form of evaluation as, "Can you really expect support for a position that denies the general applicability (generalizability) of results?" (p. 269). However, Guba and Lincoln go on to say that funders should realise that this lack of generalizability is endemic in evaluation practice and not just particular to softer methods:

> "The commonsense, everyday experience of evaluators (and clients
> alike) is that evaluation results (in the broadest sense) rarely possess

generalizability in any meaningful (i.e., scientific) sense. When the findings from one site are transplanted to another, second site, they rarely exhibit much "fit" and, typically, are set aside in favor of "local knowledge" anyway." (p. 269).

Even assuming that one can bring all the parties to an evaluation or a problem situation together, it has further been claimed that the soft methodologies merely facilitate a superficial state of consensus. According to Jackson (1991a):

"All the soft methodologies admit that differences of opinion exist among actors in social systems. To be effective, however, they all depend ultimately on bringing about a genuine consensus or accommodation so that changes can be agreed upon. This would appear a forlorn hope to theorists adhering to the assumptions of the sociology of radical change and seeing social systems as riven by contradiction and structural conflict." (pp. 174-175).

Further, Flood and Jackson (1991a) are of the opinion that consensus is often manipulated through the researcher being selective in the issues he/she chooses to address. Flood and Jackson argue that Ackoff is particularly guilty of this practice:

"Ackoff's belief in a consensual social world, and in the efficacy of participation, is sustained because he artificially limits the scope of his projects so as not to challenge his clients' or sponsors' fundamental interests...

If, however, Ackoff were to broaden his studies to challenge the hierarchical nature of organisations, the ultimate decision-making rights of powerful stakeholders, or the unequal distribution of organisational resources to different stakeholders, then he would soon

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provoke conflicts which revealed deep status and economic inequalities in organisations which could not be spirited away by idealised design." (pp. 160-161).

Following Flood and Jackson's critique of Ackoff's work one might question, though, whether or not the issue of the soft methodologies facilitating a true consensus is important. It might be argued that the struggle for 'true' consensus is indicative of popular intolerance of pluralism and may have coercive implications. Perhaps a reconceptualisation of the concepts of conflict and diversity as positive system attributes, rather than negative ones, is needed. Indeed, it might be suggested that it would be better to stop berating the soft methodologies for failing to promote everlasting states of consensus but instead to applaud them for enabling temporary and constantly re-negotiated states of consensus which, in the long term, hold the organisation together; when the level of conflict in the organisation gets out of hand, the soft techniques are needed to reduce tension and conflict back down to a workable level.

In summary, four criticisms have been levelled at the school of thought which encompasses the political-systems, soft systems and multi-actor based theories and methodologies. It has been claimed that this school of thought:

1. neglects the technical interest;

2. is based on the ideals of communicative competence and absolute relativism;

3. due to the unachievable and/or undesirable status of the ideals expressed in 2. necessitates the prioritising of interested parties claims;

4. is expressed through evaluation and problem solving methodologies which are essentially consensus oriented.

6.7   Reflections on the Critique

In this section consideration will be paid to whether or not the four criticisms of the multi-actor approach discussed in the previous section were issues in the pilot projects which sought to employ this form of evaluation. Each of the criticisms will be taken in turn and, in the light of the projects, discussion conducted about whether the criticisms appear legitimate or not.

Firstly, the multi-actor approach was accused of neglecting the technical interest. In the pilot projects attempts were made at overcoming neglect of the technical interest by linking the evaluation into the planning and decision making systems of the organisation and debate took place about a wide range of issues including whether or not the organisation has the technical ability and capacity to undertake the changes suggested by the evaluation. How the organisation handles these changes might be evaluated using an approach which emphasises the technical aspects of organisations, for example the system-resource approach. Further, the multi-actor approach inherently assumes that once an agreement has been reached about what an organisation should be doing then obstacles to putting into practice such a course of action simply disappear. Difficulties arising from this assumption might be overcome by an evaluation from a cultural perspective. For example, the culture based form of evaluation might be useful to ensure that members of staff have the necessary expertise to meet interested parties' aspirations of the organisation.

Secondly, it has been stated that the only justification for implementing change on the basis of a multi-actor based evaluation is that the process was based on the ideals of communicative competence and absolute relativism. It is the case that the processes of communication with interested parties conducted in the pilot projects fell far short of the ideals of communicative competence. In defence of the pilot projects, however, it might be stated that the process of communication (questionnaires) and the number of parties involved were determined by the

resources available for the project. Little attention was paid by the project to the ability of the parties to contribute to the evaluation. However, every attempt was made to ensure that the questionnaires were as 'user-friendly' as possible and did not contain any academic or CVS jargon. As regards the ideal of absolute relativism, then it is the case that each of the interested parties construction of the organisation's effectiveness was held to be as valid as any other. So the project could have resulted in the confirmation of Keeley's fears with the CVS committing itself to radical activities to satisfy the aspirations of extremists.

Thirdly, given the impossibility of achieving communicative competence and absolute relativism, the multi-actor approach has been criticised for having to prioritise interested parties preferences without necessary reflection. In the pilot projects prioritising was not practised, instead interested parties preferences, given that they were all deemed to be equally valid, were averaged and the results debated by, in the case of Netherhall VA, the appropriate sub-committee, or, in the case of North Etherton CVS, a group of staff and Executive Committee members. In the light of Keeley's criticisms, it may be said that this averaging was undertaken without critical reflection and without reference to appropriate, for example harm based, criteria.

Finally, it has been argued that the multi-actor approach is essentially consensus oriented. Indeed, the generation of agreed plans for change was very much the purpose of both pilot exercises. Further, as has been stated, the process of averaging interested parties views was engaged in both pilot projects without critical reflection and, in both cases, plans for change were generated which neither totally offended nor satisfied any of the parties involved. One is led to conclude, that there is nothing in the multi-actor approach to force critical reflection and, as a result of this omission, that this methodology is essentially consensus oriented and might best be used in conjunction with a methodology which is appropriate for use in coercive contexts.

6.8   Conclusion

In this chapter the idea that organisational effectiveness relates to the satisfaction of interested parties was examined. Firstly, an account of the theoretical foundations for such an approach was given and then an activity model for putting multi-actor based evaluation into practice was constructed. Accounts of the two pilot projects which attempted to implement this type of evaluation followed. As in previous chapters, attention was paid in the case-studies to both the positive and negative aspects of this type of evaluation as expressed by the CVS themselves. Following this, the learning which resulted from the pilot projects and how that learning affected the definition of the methodology was reflected upon. The chapter concluded with a critique of the multi-actor approach. Once again, the negative aspects, reinforced by the logic of the complementarist argument, encourage us to examine the grounds for another form of evaluation. It has already been mentioned in this chapter that the multi-actor methodology might be complemented by a cultural form of evaluation. In the next chapter the grounds for a form of evaluation based on the cultural metaphor and the autopoietic model of the organisation will be examined.

CHAPTER 7

CULTURE BASED EVALUATION

7.1 Introduction

This chapter will seek to draw out the consequences of a definition of effectiveness as the organisation's ability to generate and perpetuate a culture which, by facilitating the development of its members, enhances the organisation's own variety. As with previous chapters, the theoretical foundations of such an approach will be discussed and a method for putting the cultural approach into practice drawn out. Then, an account will be given of the pilot project which sought to test the culture based method and the CVS's reflections on the process recounted. A critique of the culture based approach will be developed and, finally, discussion made of whether the critique was validated by evidence from the pilot project.

7.2 Theoretical Foundations: A Summary

It was established in Chapter 2 that a definition of effectiveness based on the organisation's ability to increase its variety through the appropriate recruitment and training of personnel follows from the cultural and, its corollary, the autopoietic metaphors. It should be said that, as there is great variety in what culture is taken to be, a somewhat limited perspective has been adopted; this thesis seeks to address the way in which the systems world has come to grips with organisational culture.

The idea that organisations generate and sustain specific cultures emerged in the late 1970s when the supremacy of Japanese firms over their American and European competitors came under scrutiny (see for example Deal and Kennedy, 1982; Peters and Waterman, 1982). Analysis of the differences between firms led many management theorists to believe that an organisation's culture could crucially affect

its performance. Consequently, it was deemed no longer acceptable to regard organisational culture as a black box: the means by which cultures came into being and were sustained came under analysis.

According to Smircich (1983), diversity in the way in which culture has been defined depends upon the underlying conception of the 'organisation'. Her definitions of the concept include: "Culture is an instrument serving human biological and psychological needs." (p. 342) and "Culture functions as an adaptive-regulatory mechanism. It unites individuals into social structures." (p. 342).

Whilst Smircich's relating back of the different conceptualisations of culture to the underlying definition of the term organisation gives some indication as to the variety inherent in the term, perhaps for our purposes a simpler approach would be preferable. According to Flood and Jackson (1991a):

> "At the level of the firm a culture is a shared reality, or a socially constructed reality (of values and beliefs), that deems certain social practices to be normal, acceptable and desirable. Culture is extremely important in all organisations because it determines how organisations react, for example, to change and what changes are perceived to be feasible." (p. 12).

This view of culture is supported by Kotter and Heskitt (1992) who claim that organisational culture operates at two levels:

> "At the deeper and less visible level, culture refers to values that are shared by the people in a group and that tend to persist over time even when group membership changes... At this level culture can be extremely difficult to change, in part because group members are often unaware of many of the values that bind them together. At the

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more visible level, culture represents the behavior patterns or style of an organization that new employees are automatically encouraged to follow by their fellow employees... Culture, in this sense, is still tough to change, but not nearly as difficult as at the level of basic values." (p. 4).

It was established in Chapter 2 that the notion of the organisation as a self-perpetuating culture may be said to be in-keeping with the autopoietic view of the organisation. In the following, the basic principles of autopoiesis will be examined, and then how those principles relate to the notion of organisational culture will be discussed.

The theory of autopoiesis evolved from Maturana and Varela's (1980) exploration of the question of what distinguishes living systems from non-living and how living systems persist despite changes in structure and components. Maturana and Varela proposed that the fundamental characteristic of living systems is autonomy which is realised through the process of autopoiesis. Given the notion of autonomy, autopoietic systems may be said to produce the components necessary for the maintenance of the autopoietic processes, indeed Maturana (1975) states "...autonomy in living systems is a feature of self-production..." (p. 313). Hence, an autopoietic system is made up of networks of recurring interactions of the production of component parts. It is this self-produced nature of components which enables the distinction of the autopoietic system from its environmental background. In goal-terms, then, maintenance of the autopoietic processes is the prime objective of the system and all other objectives are subordinate to it. Maturana states "...everything that takes place in an autopoietic system is subordinated to the realization of its autopoiesis..." (p. 313).

The autopoietic system interacts with its environment in the acquisition of inputs and the disposal of waste products. In conducting this relationship, the system is not

concerned with whether the relationship is 'beneficial' to itself or the environment. Nevertheless, whilst the autopoietic entity cannot be said to be environmentally determined, the system is not totally closed to its environment either; the autopoietic system is structurally coupled with its environment. The autopoietic system responds to environmental perturbations by producing a feasible set of responses, in such a way as to maintain its autopoietic state, from which the environment selects. On the issue of change within the autopoietic system, Gomez and Probst (1989) state that:

"...the constitutive feature of autopoietic systems is to maintain its organization. Whenever the organization of a system as a whole changes, the system itself changes and will form a new whole with a different identity; but whenever the structure changes but the organization is maintained, the system keeps its identity. A new structure may well be necessary to cope with a changing environment but the system maintains all these mechanisms that make it what it is; that is what is meant by not losing its identity." (p. 313).

The critical difference between structure and organisation in autopoietic systems was previously referred to in the discussion of Mingers' work in Chapter 2.

Having set down the basic principles of autopoiesis, attention can now be turned to assessing how those principles relate to the notion of organisational culture. Robb (1989b) has articulated the argument that the organisation as a whole may be said to maintain a distinctive culture by autopoietic processes. In furthering his argument on the emergence of the autopoietic organisation, Robb states that:

"If humans come to believe that, through the organisation, their perception of the world can be identified with that of their fellows in the organisation and that they can realise themselves within the

organisation and only in that way, then they truly become "components" of it." (p. 249).

A similar line of argument to that propounded by Robb has been developed by Gomez and Probst who claimed that "...systems of corporate culture...generate their own internal regularities and maintain their organization in a changing environment." (p. 314). Indeed, it may be said that it is culture which, through the self-production of its component parts of norms and values, distinguishes one organisation from another. In practical terms, this self-production of component parts implies that whilst an evaluation from an autopoietic/cultural perspective may be facilitated by 'an outsider', it can have meaning only at the individual, or component level. Robb (1989b) states that "Intervention, in an attempt to design or adapt such systems by humans, themselves systems of a lower logical order, will be "seen" by the organisation simply as a perturbation from its environment which, if it does not serve its autopoiesis, should, and, if the organisation is viable, can be dissipated." (p. 248). Hence, given that "The phenomena of living systems result purely from the interactions of neighboring components." (Mingers, 1989a, p. 161) an evaluation can only effect the organisation fundamentally if organisational actors are involved, claim responsibility for it and it has meaning at their level. Further, Wilkins and Ouchi (1983) state:

"...the people of the community come to share a rather complex understanding of their world, which is largely taken for granted and which they label with a special language. Because these socially acquired understandings are largely assumed, the patterned language and activities of such a community are "thick" with meaning (Geertz, 1973), which is relatively hidden to the outsider." (p. 469).

Consequently, the evaluator's role in this type of evaluation can only be one of facilitator.

On the basis of the above argument, it can be said that it is culture which bounds the organisation with respect to its environment. Gomez and Probst (1989) have argued, "The system...is this shared set of beliefs that we call corporate culture and every kind of institutionalization that goes with its. Quite naturally the system's boundaries are very fuzzy; but all members belonging to the system as well as the relevant environment know intuitively where they are." (p. 316). As regards the organisation's coupling with its environment, they state that, with reference to "...the fundamental issue of organizational closure: the system maintains its identity in a changing environment by holding invariant its beliefs (organization) while changing everything else about itself (structure)." (p. 316). Thus, whilst the structure of the organisation may change, the system maintains its core identity or integrity. However, failure by the organisation to present the environment with suitable states from which to select or to maintain a structure sustaining the autopoietic processes may result in the demise of the organisation. Hence, it may be claimed that the principle of requisite variety is critical to the maintenance of structural coupling between the organisation and its environment and, consequently, to the viability of the organisation (it may be recalled that Mingers (1989a) was quoted in Chapter 2 as stating that "...successful autopoiesis entails the continuous structural coupling of an organism to its medium..." (p. 177)).

To increase its variety, the number of organisational states which support the autopoietic processes, the organisation should seek to attract diversity to it by way of the members it recruits. This is a line of argument put forth by Schneider (1983): "...organizations are viable when they attract, select, and retain diverse kinds of people who are able and willing to comprehend what an organization's goals should be and to behave in ways that push the organization toward the future." (p. 30). Furthermore, Schneider claims that the existence of a strong organisational culture can, whilst having a positive effect on the harnessing of diversity, have a negative effect as it may actually inhibit the attraction of diversity to the organisation. As a

consequence of this, there will be a narrowing in the range of people, abilities and needs present within the organisation. Schneider argues, "If this happened, it would produce relative homogeneity and a certain amount of routine in response to stimuli from the external world. It could be predicted, then, that if the larger environment was relatively turbulent then organizations would be generally unable to respond to events outside the restricted range of the people's abilities and experiences." (p. 33).

Schneider's basic theses are:

a. the nature of an organisation is defined by the kind of people who are attracted to it, are selected by it, and who are retained by it;

b. as a result of this attraction-selection-attrition cycle of organisation incumbents, an organisation can become overly homogeneous which results in a reduced capacity for adaptation and change;

c. in response to environmental perturbations, an organisation can remain viable by attracting, selecting and retaining people in differentiated roles who are externally and future oriented.

The effect of organisational culture on the attraction-selection-attrition cycle is very clear in Schneider's exposition. His arguments about the way in which a strong culture can limit organisational variety and, thus, prevent the organisation from responding to organisational perturbations very much follows the autopoietic line of argument.

Perhaps the key to the attraction-attrition cycle is the socialisation process which organisational members are subjected to. For example, if, in their initial induction to the organisation, new recruits are taught that their unique abilities will be valued and that they will not be 'forced' to fit in then the attrition cycle might be broken (of course, this commitment must be reflected in practice). According to Wilkins and Ouchi (1983):

"By socializing parties to the exchange in such a way that, though self-interested, they see their objectives in the exchange as being congruent (not mutually exclusive), and by providing a general paradigm that can help to determine what is best for the relationship, the clan does not need to resort to close monitoring." (p. 471).

Note Wilkins and Ouchi see organisational members as forming a clan when a strong culture is evident.

With the development of the modern-day service based organisation the advantages of the strong corporate culture may not just be beneficial but crucial to the organisation's viability. Unlike the more traditional production based organisation, the output of the service based organisation is intangible and the whole organisation may be regarded as being 'enacted in process' (Cummings, 1977). From this perspective, the organisation's members may be regarded as agents who represent the organisation; to the client the agent he comes into contact with *is* the organisation. This is reflected in the comments of Angle and Perry (1981) who, after conducting an empirical study of the relationship between organisational effectiveness and employee commitment in 24 American bus companies, stated:

"For the passengers, the driver *is* the organization. The network of drivers that the organization puts out on the road constitutes the organization's public face. Ultimately, public attitudes toward the organization, and public utilization and support of the transit operation, may come to depend in large part on how well the drivers represent the organization to the public. Thus, as a true boundary-role person (Adam, 1976), the bus driver may be in a unique position to influence organizational outcomes, by her or his job-relevant behaviors." (p. 4).

Hence, the ability of socialisation to ensure that employees' do what is best for the organisation is vital in the service sector. Furthermore, socialisation serves to enhance organisational members' ability to deal with unfamiliar problems and circumstances in a manner in-keeping with the organisation's interests: "...the clan allows for more rapid processing of information (people are more able and more willing to coordinate without supervision) under high levels of uncertainty and complexity..." (Wilkins and Ouchi, p. 477) and this vastly increases the organisation's variety.

Indeed, according to Robb (1989b), Barnard anticipated the emergence of the autopoietic organisation in saying that "...the most important single contribution required of the executive, certainly the most universal qualification, is loyalty, domination by the organisations personality..." (p. 249). Thus it would appear that the commitment to the organisation's values and belief system, through the socialisation process, is a key element in the ongoing survival of the autopoietic organisation.

A similar line of argument can be found in the work of Angle and Perry (1981) who follow Porter et al (1974), and define this type of organisational commitment as having three components:

1.   a strong belief in and acceptance of the organisation's goals

2.   a willingness to exert considerable effort on behalf of the organisation

3.   a definite desire to maintain organisational membership.

So far, it has been established that commitment to the autopoietic organisation by its members may be critical to the ongoing viability of the system, and also what that commitment means in the organisational sense. But how does this commitment come about? It has been established that members coming anew to the organisation are introduced to and encouraged to adopt the dominant beliefs and values of the organisation through the process of socialisation. But is that introductory

process sufficient to ensure adherence of members to the organisation's dominant value system beyond the short term? According to Cummings (1977), organisations might well be conceived of as "...an arena within which participants can engage in behavior they perceive as instrumental to their goals." (pp. 59-60). From Cummings' perspective, it may be concluded that commitment to the organisation results from enabling the individual to achieve their own personal goals; however, according to Wilkins and Ouchi, members must also come to realise that "...joint effort is the best way to achieve individual self-interest..." (p. 476) and that "...in the long run they will be dealt with equitably." (p. 471). Hence, commitment to the organisation does not necessitate that everyone share common goals, simply that they have general orientations in common, as evidenced by their common subscription to the organisational culture.

Enabling the individual to achieve his/her individual goals is not the only incentive organisations employ to secure the commitment of their members. Clark and Wilson (1961) state that incentives fall into three categories:

1.   Material incentives are tangible rewards that have a monetary value or are easily translated into monetary terms, e.g. wages and salaries, fringe benefits such as the company car, etc.

2.   Solidary incentives are intangible rewards which derive from associating with the organisation, such as a sense of identity, status and belonging.

3.   Purposive incentives are intangible rewards which result from identification with the organisation's purpose.

Whilst an evaluation from a cultural perspective would include an assessment of material and solidary incentives, the prime focus would be on purposive incentives. It is on the assessment of purposive incentives which Cummings focused in his exposition on the instrumental organisation. Cummings' definition of the effective organisation (Chapter I, section 1.2, comment I) tends to promote the selfish pursual

of individual goals by members. Obviously this emphasis is incongruent with the cultural approach since it fails to acknowledge that the achievement of individuals' goals is a means to the enhancement of the organisation's variety and, hence, future viability. Consequently, Cummings' prescription for an evaluation from this perspective, "Measurement would need to focus on participants' perceptions of their present organization as an instrument compared with other organizations (for example, from previous experience) and on participants' perceptions of present (actual) instrumentalities compared with ideal, desired instrumentalities." (p. 61), needs to be supplemented with some kind of analysis of how the furthering of the individual's goals contributes to the organisation's overall variety and well-being.

In the next section, the process of conducting an evaluation from this perspective will be examined. Having established, in this section, the grounds for an approach to evaluation based on a definition of effectiveness as the organisation's ability to enhance its own variety through the development of the individuals who serve it, discussion will be turned to developing a method for putting such an approach into practice.

7.3   **Method**

In using the cultural and autopoietic metaphors to guide an evaluation, we are concerned with the way in which the individuals involved with the organisation derive benefit from it and contribute to its ongoing viability. This form of evaluation is founded on the notion that if participants are not fulfilling their potential due to restrictive norms and values, then neither is the organisation: if one strips away the facade of 'the organisation', the most important element is the people involved. Maturana and Varela (1980) state that, "To grow as a member of a society consists of becoming structurally coupled to it..." (p. xxviii) and surely the same principles apply to the individual's relationship with the organisation. Indeed, these are, in fact, the basic principles of the 'Investors in People' programme (IIP).

IIP is a national quality standard which is currently being promoted at the local level through the various regional Training and Enterprise Councils (TECs). The rationale for IIP is the development of the effectiveness and efficiency of business organisations by the equipment of staff, through appropriate training, "...with the skills and attitudes to respond quickly to technological and organisational change, more sophisticated customer demand and intensifying global competition." (p.1, The Standard, Leeds TEC). It may be surmised from the foregoing that the assumed key to organisational effectiveness is the appropriate training of staff, for "The full potential of your people and hence of your organisation, will only be achieved by developing an effective investment in people strategy." (p. 1). However, whilst the IIP programme clearly promotes employee training, it also advocates that training must be linked to the overall development plan for the organisation. The IIP programme may be seen to be the practical face of the theory of career planning and management.

According to Dégot (1989) there are three stages in a career management policy:

1.   "...establishment of job descriptions corresponding to the operating requirement of the corporation concerned." (p. 674);

2.   "...evaluation of cadre personnel performances, designed to assess not only that performance as displayed in their current posts, but also to judge their potential for future career steps, in the form either of promotion to a higher level of responsibility (managerial promise) or of transfer to another type of activity (latent skills more useful in other parts of the undertaking)..." (p. 674);

3.   "...positive staff administration, which consists in allocating - as far as possible the right jobs to the right people and satisfying the aspirations of those with good potential (who might otherwise seek employment elsewhere), while at the same time seeing that the undertaking uses its human resources to the best effect." (p. 674).

A corollary to development of the individual member, in a cultural evaluation, is the assessment of the organisation's cultural integrity. This has a twofold purpose: firstly, it ensures that the diversity within the organisation is being managed, safeguarding the organisation from descent into a state of chaos, and, secondly, it ensures that members are committed to the organisation and to doing what is right by it. As has been said previously, this simultaneous enhancement and restriction of variety is an essential part of managing the organisation's variety and, hence, essential to the organisation's structural coupling with its environment.

In considering practical applications, it is worth acknowledging Harris and Cronen (1979) who put forward a theory for evaluating organisations based on the notion of culture as a 'master contract' which might be useful in an assessment of organisational integrity. In reviewing the work of Harris and Cronen, Smircich (1983) states:

> "Their methodology examines the master contract/self-image and the degree of consensus on its constructs, assesses co-orientation (the extent to which members perceive others' construction of the organizational image accurately, so that they know how their behavior "counts" with others), and measures coordination (the extent to which members can organize the knowledge of the abstract image and constitutive rules into regulative rules that will be functional guides for cooperative action)." (pp. 348-349).

Hence, culture based evaluation seeks to culminate in the production of a more coherent and unified organisation with a higher level of understanding between members and greater appreciation of the rewards associated with organisational membership.

The methodology that is reported in here for conducting a culture based evaluation is very much a result of both the pilot project and reflection upon that experience. Indeed, the exercise was further amended in the light of the guidelines for the Investors in People programme. Consequently, cultural evaluation is here defined as a six stage process:

1.   Surface opinions and aspirations

2.   Vision the organisation's future

3.   Analyse the data

4.   Develop career plans

5.   Report back

6.   Review the process

Whilst the process of a culture based evaluation is here set out in a linear format, in reality the evaluation is more likely to progress in an iterative manner. The culture based evaluation cycle is shown in figure 10.
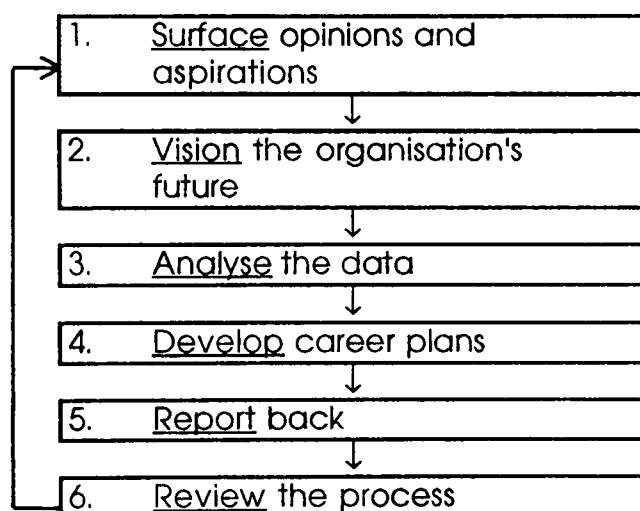
Figure 10. Conceptual Model of Culture Based Evaluation

In order to fill out the various stages of this process, a particular exercise was used in the project case study. This exercise, which was adapted to suit the needs of CVS, is from Woodcock and Francis (1982).

1.   Surface opinions and aspirations

Before engaging in the first exercise, the pilot project experience indicated that a warm-up exercise is advisable. A good warm-up exercise is detailed in Gawlinski and Graessle (1988). Basically this exercise involves mapping individuals' work relationships with key people and organisations on a chart and rating each relationship in terms of its importance to the work and its quality. Each of the charts should be displayed for everyone to look at and to stimulate discussion.

Having examined their relationships with others in the warm-up exercise, participants are then asked to change focus and participate in three exercises: the self survey, the work survey and the other survey (see Appendix 27). In the pilot project, a fourth exercise was also prepared for members of the executive committee. This self survey seeks to examine self-perceptions and should be completed on an individual basis. It enables an assessment of the individual's perception of his/her own strengths and blockages in twelve areas of competence:

1.   Ability to manage oneself. Making the most of one's time, energy and skills;

2.   Sound personal values. Having questioned one's own basic assumptions and prejudices;

3.   Clear personal goals. Knowing what one wants out of life;

4.   Ability to support others. Recognising the effects of one's actions on others;

5.   Emphasis on continuing personal growth. Constantly seeking challenge;

6. Effective problem-solving skills. Being able to employ the right approach in a problem situation;

7. Capacity to be creative and innovative. Being willing to experiment and try out new ideas;

8. Capacity to influence others. Having one's views respected by others;

9. Insight into styles of work/management. Being able to appreciate and respond accordingly to others' styles of working;

10. Supervisory competence. Being able to direct and control the work of others;

11. Ability to train and develop others. Helping others to fulfil their potential;

12. Capability to form and act within teams. Having oneself, and being able to develop in others, team spirit.

The second exercise should be completed on an individual basis but working with a partner. The purpose of this work survey is to determine how significant the twelve areas of ability are in determining the individual's performance at work (see Appendix 27). In completing the exercise one might find it helpful to discuss one's answers with a partner.

The third exercise, the other survey (see Appendix 27), is to be completed on behalf of the individual under review by trusted others. The purpose of the other survey is to see to what extent the self-perceptions, as revealed in the first part of the exercise, are confirmed by colleagues, friends, relatives, etc., and to determine how one's work/contribution counts with significant others. Hence, knowledge of the organisation, in this case CVS, is not relevant to the completion of the questionnaire. Each individual should seek three peoples' perceptions.

2. Vision the organisation's future

The specification of this stage as a separate part of the evaluation method only occurred upon the completion of the pilot project. The act of visioning the CVS's future in the actual project was very informal. However, it now seems that this stage should involve forecasting likely environmental preferences and designing organisational states that fit with those preferences, thus facilitating the organisation's structural coupling with its environment. Ackoff's (1981) 'Social Systems Sciences' may be drawn on for guidance at this stage of the method, although it must be recognised that Ackoff's iterative methodology promotes the idea that environmental restrictions can be designed around, whereas for the autopoietic system the satisfaction of environmental demands is imperative to the system's viability.

3. Analyse the data

Once the exercises in stages 1 and 2 of the method have been completed, they should be analysed. For the self and other exercise, three strengths and three blockages should be identified and for the work significant exercise three attributes should be identified.

As a supplement to the strengths and blockages exercise, a fourth exercise was prepared at the pilot project's request. The purpose of the fourth questionnaire is to reveal how committed people are to the CVS, how well they think it is functioning and how it might be improved. Separate exercises were prepared for the staff, volunteers and Executive members due to the differing nature of their involvement with the CVS (see Appendix 27 for a copy of the Executive questionnaire). Whilst the exercise was prepared in questionnaire format, its purpose is to provide a basis for debate, hence there may be little analysis of the results of this stage of the exercise. It is not

theoretically necessary for all of the groups to be present at the debates of the other groups, for example it is not necessary for the Executive Committee to be present at the staff's discussion, indeed their presence may even serve to inhibit debate.

4. Develop career plans

Following analysis of the information surfaced by the exercises and a critical assessment of the organisation's current and future positions, individual reports should be prepared for each of the participants. These reports should seek to capitalise on the individual's potential whilst realistically developing the individual in a direction which should benefit the organisation.

5. Report back

Following an assessment of the individual's aspirations and potential, and the visioning of how that individual might fit into the organisation's future, the information should be fed back to the individual. The individual should then be actively encouraged and enabled to pursue the necessary training to enable him/her to achieve his/her aspirations.

6. Review the process

Reviewing the process is part of the meta-evaluation sub-system (see Chapter 8). There are a number of points which are of particular relevance in the meta-evaluation of a culture based system. As with the other forms of evaluation discussed in this thesis, some of the questions might well be posed in the future tense at the start of the evaluation as well as in the past tense at the end of the process as is reported here):

- How comfortable did the participants feel; were the questions a little too intrusive?

- Did all the participants feel that there was something in the exercises for them? What did participants say about the exercises?

- Did the participants act upon the findings of the exercise?

- Did the participants identify with the strengths and blockages identified?

7.4   Case-Study

7.4.1   Case Study: Goxwell CVS

Goxwell CVS was established in 1965. At the time of the pilot project Goxwell was known as a new town which, due to the proliferation of sky-scrapers, had been dubbed the English version of Dallas, appropriately so, since the population was perceived to be quite affluent.

The core CVS team was of quite a large size (General Secretary, Deputy General Secretary, book-keeper, administrator, secretary), and Goxwell CVS also oversaw a number of projects such as a Volunteer Bureau, a counselling centre for sexually abused adults, a transport scheme, etc. Consequently, there was always a large number of staff and volunteers milling around the CVS building. The General Secretary had been in post for about eight years and he had a wealth of experience of CVS matters. Indeed, the General Secretary had undertaken work as a CVSNA consultant in the past and had also taken the opportunity of attending various commercially sponsored management training events.

Given the General Secretary's knowledge of management theory, Goxwell CVS had been involved with evaluation a lot in the past and had a number of formal evaluation systems already in place; for example, they had already operated a goal based

system and a formal staff appraisal system. Given their knowledge and experience of evaluation theory and practice, the CVS was willing to experiment a little and try something new in terms of the evaluation of a CVS. It was decided that an attempt should be made at evaluating the CVS in term of its ability to meet the needs of its staff, volunteers and Executive Committee whether those needs be of a support or developmental nature. It was felt that this issue was quite pertinent to the CVS because the General Secretary had been responsible for the initiating of an amendment to the CVS constitution which specified that a maximum period of time for serving on the Executive be defined. Since the introduction of the set period for members of the Executive, the question of how committed new members of the Executive Committee were to the CVS had been raised. Furthermore, it was stated by the General Secretary, in his usual caring and paternalistic manner, that this 'new' form of evaluation was seen to be particularly relevant to Goxwell CVS because they had used the services of several volunteers who were not subject to any form of formal staff appraisal and, hence, whose development needs it had been quite easy, unintentionally, for the CVS to overlook.

In conjunction with the General Secretary, the exercises, based upon those in Woodcock and Francis (1982), were put together to identify an individual's strengths and blockages. The exercises were amended several times to ensure that they were not only appropriate to Goxwell CVS in general but, also, appropriate to the different roles within the CVS. Indeed, given the General Secretary's vast managerial experience, he very much took the lead in defining how the evaluation should be amended and conducted, and consequently the project may be said to have been conducted according to the principles of Schein's (1969) 'purchase' model of consultancy.

The evaluation evening was designed around the completion of the surveys on an individual, pair and group basis. The exercise was split into four sections:

Section A

Survey completed on an individual basis to enable the assessment of an individual's perception of his/her own strengths and blockages.

Section B

A work survey completed by each individual working with a partner. The purpose of the survey was to determine how significant the various strengths and blockages were to the nature of that person's current work.

Section C

Separate survey for staff, volunteers and Executive Committee members. Surveys completed on an individual basis. The purpose of the survey was to reveal how well the individual felt the organisation to be operating and how involved that person felt with organisational activities. In practice, this session took on the format of a debate.

Section D

Survey completed on behalf of the individual by trusted others. The purpose of the survey was to determine to what extent the individuals' self-perceptions, as revealed in section A, were confirmed by others.

The exercise was held on a Monday evening in winter. The location for the exercise was not ideal - a theatre! Whilst, for the most part, members of staff were on time for the start of the session, other individuals drifted in late and, as it was important that everyone kept apace with the exercise, participants were forced to wait for late-comers which made some people irritable. Participants who wanted to leave early asked if they could get started with the exercises straight away. All in all, the evening did not get off to an ideal start and, in retrospect, a warm-up exercise should have been conducted to get everyone in the right frame of mind. As the evening progressed, some problems with the exercises became evident. Despite the changes which had been made to the exercises prior to the evaluation evening, it

became apparent that the exercises were not totally appropriate to a multi-functional audience such as that involved with the evaluation of a CVS (staff, volunteers, Executive Committee members, etc.). Indeed, in the light of the comments of participants involved in the evaluation of Goxwell CVS further amendments were made to the culture based evaluation methodology and, as has been stated previously, it is that amended model which has been reported in this thesis.

Following the evaluation evening, the data was passed on to the project worker for analysis. It was at this stage that the project worker began to realise how sensitive the information collected actually was. For example, one person within the organisation had been criticised quite severely by her friends and colleagues. It was decided that for each person a maximum of three blockages would be identified and the comments of trusted others would not be revealed. A paper was then prepared for each individual who took part in the evening specifying those strengths, blockages and abilities which were most relevant to his/her job. Further, information papers were also prepared on the most common areas of blockage detailing how they might be overcome. For example, papers on delegation and supervision, teamwork, self-management, and so on were put together.

This set of papers was then forwarded on to Goxwell CVS. Whether or not the individuals concerned took heed of the information on how to overcome their blockages was a matter of personal choice. However, it was reported that the exercise had revealed that one member of the Executive, who had felt previously felt 'unqualified' and unable to contribute adequately to the CVS, was an expert in Caribbean cookery, a talent she had previously disregarded as not relevant to her role within the CVS. She then offered to undertake the catering for the next meeting of CVS members!

It is recognised that, theoretically, the evaluation should have been concluded with a review. At the time of the pilot project however, a review did not seem feasible due to the limited nature of resources for the project and because many suggestions for amending the evaluation process had already been made during the course of the project. However, it has to be said that failure to ask participants how they felt about the evaluation project, after they had had the chance to disseminate and reflect upon their personal evaluation reports, was a lost opportunity.

a.   Reflections by the CVS

The CVS's perceptions (positive and negative attributes and a 'key' issue) of the cultural approach will be discussed in this section. As has been stated previously, these points were largely the outcome of a meeting of representatives of all of the pilot projects.

Positive Aspects of the Evaluation

- Individuals involved with the evaluation each received personal feedback on their strengths and blockages which focused on potential as well as actual strengths and blockages.
- People took seriously and devoted considerable thought to the process of critically reflecting upon their own and others' strengths and blockages.
- The exercise provided a means for the airing of criticisms without personalities getting involved. Also, the exercise was seen to be 'fair' because all participants had three areas of blockage and three areas of strength identified.

- Apart from the General Secretary, staff were not involved with design of the exercise. Hence at the actual evaluation event they had to be introduced to the process, instructed in filling out the forms and encouraged to actively participate. Additionally, a warm-up exercise should have been conducted to get everyone in the right frame of mind for such an experiment.

- Whilst for the most part the exercise revolved around independent surveys, more attention might have been paid to the interaction between staff, volunteers and Executive Committee and this process of interaction might have been better facilitated had more thought been giving to the timing of the event and the venue.

- Since the exercises were based around the collection of peoples' immediate impressions, a shorter time period for completion of the exercise should have been given since some people said that once one began thinking in detail about the statements, the exercises became almost impossible to complete.

- Sensitive, personal information was gathered as a result of the exercise thus feedback had to be conducted in a discrete manner.

Important Issue

- Does the evaluation need to be operated by an external facilitator? Could a member of staff act as the facilitator or would it be unacceptable to have personal data analysed by a colleague?

7.5   **Reflections on the Research Process**

In section 7.3 a six stage method was defined for conducting a culture based evaluation. As with the system-resource method of evaluation, the culture based

method was very much a product of logically deducing the steps which were implied from the theory. However, whilst with the system-resource method little amendment was made to the method following the pilot project, a great deal was learnt about conducting a culture based evaluation from testing it out in practice.

The following points of learning about conducting a culture based evaluation may be said to be a product of the pilot project:

- as the exercise requires a certain amount of what may be termed confidential or sensitive information to be surfaced, it is essential that the participants are in the right mood to engage in such an exercise. Consequently, consideration should be paid to ensuring that the venue is appropriate for the exercise and to conducting a warm-up exercise before the main evaluation exercises;

- an essential part of the evaluation is the visioning of the organisation's future. In the pilot project this step of the evaluation was very informal however, in retrospect, it is realised this part of the process should be promoted as a key part of the evaluation as a whole, as with IIP, and the work of Ackoff drawn on for guidance in conducting the visioning of the organisation's future;

- each participant should have the same number of strengths and blockages identified. It was not until the researcher came to analyse the data that resulted from the evaluation evening that she came to appreciation how sensitive that information was and that if the feedback process was handled badly that the evaluation could have potentially disastrous effects. Consequently, the decision was made that each participant should have the same number of strengths and blockages identified so that no one person felt particularly victimised as a result of participating in the evaluation project;

- a follow-up exercise should be conducted to find out whether or not participants identified with the strengths and blockages that the exercise identified and whether or not they had acted on the recommendations of the evaluation. Due to a lack of resources it was not possible to conduct a follow-up exercise in the pilot project and it was realised that this was a lost opportunity.

The method discussed in section 7.3 and set-out in figure 10 reflects the above points of learning about culture based evaluation which resulted from conducting the pilot project.

7.6   Critique of the Autopoietic and Culture Based Approaches

It has been said by Mingers (1989a) that 'Maturana and Varela coined the phrase autopoiesis to describe the process which they saw as distinguishing living from non-living systems' (p. 159). Since their initial laying down of the fundamentals of the process of autopoiesis, controversy has raged about whether this process has a wider field of application than first appreciated. In particular, it has been asked whether since:

"...organizations, exhibit the same characteristics that autopoiesis explains in physical living systems, namely, autonomy, and persistence and maintenance of identity despite wholesale changes of structure and turnover of components. Therefore, might they too be autopoietic?" (Mingers, 1989a, p. 172).

Mingers points out that "...Maturana and Varela themselves have never claimed that social institutions are autopoietic." (p. 176). According to Mingers, Varela's main objection to the application of autopoiesis to the organization is that "...the kind of relations that define units like a firm or a conversation are better captured by operations other than productions." (p. 176). Hence, Varela has sought to develop a variation of autopoiesis, organisational closure, which does not emphasise the production of component parts.

Following on from Varela's arguments regarding the production of organisational components, Mingers draws out the underlying ontological basis of this dispute. He states:

"To go beyond analogy, however, and claim that an Organization or a society *is* autopoietic is to raise contentious ontological claims that in many ways lie at the heart of social theory and its debates between objectivism and subjectivism (Mingers, 1984). Namely, to what extent can the terms which we use in social description (e.g., middle class, Organization, Warwick University) denote objectively existing entities as opposed to being constructs of the observer?" (p. 175).

Consequently, Mingers identifies three problems with the attribution of the process of autopoiesis to the organisation. Firstly, Mingers asks 'if autopoiesis is centrally concerned with the process of production then what, in the organisational setting, is being produced?' (p. 175). In addressing his own question, Mingers states: "If humans are taken as the components of social systems, then it is clear that they are not produced by such systems but by other physical, biological processes. If we do not take humans as components, then what are the components of social systems?" (p. 175). Following on from this, Mingers finds the notions of physical space and self-defined boundary difficult. Mingers argues:

"While space is a dimension of social interaction, it does not seem possible to sustain the central idea of a boundary between those components which are both produced by and participate in production and those which are not. Generally, people can choose to belong or not belong to particular institutions and will be members of many at any time. What is it that would constitute the boundaries of such systems..." (pp. 175-176).

Finally, Mingers asks "...how can it be said that such institutions act as unities. Is it not only individual people who act?" (p. 176). Mingers concludes that "...it seems difficult to sustain the idea that social systems *are* autopoietic, at least in strict accordance with the formal definition. However, it is possible that the concept can be useful metaphorically..." (p. 177) (given Mingers' compliance with the merely metaphoric use of the process of autopoiesis it is assumed that he would have no truck with the manner in which it is used in this thesis).

In response to Mingers' interpretation of Maturana and Varela's work on autopoiesis and in reply to his claim that organisations cannot be said to be autopoietic, Robb explored the application of autopoiesis in the organisational sense. Whilst Robb (1989a) agrees with Mingers on the point that "...humans cannot be seen as components of an autopoietic social system because it cannot be said that they are physically produced by that system..." (p. 344), Robb contends that "...it is only those human properties which contribute to the production of the autopoietic system which should be regarded as components." (p. 344). Thus, autopoiesis "...may demand less than the whole human, maybe simply passive compliance with the culture of the dominant coalition of the day or the avoidance of actions which threaten the unity of the entity." (p. 345).

Secondly, Robb, basing his argument on the notion that it is the mind-sets which are produced by the autopoietic organisation, contends that Mingers' second point on the definition of boundaries is problematic. Robb opines that:

> "We can see that the boundary not only divides some whole individuals from others, but also partitions the properties, the actions and thoughts, of those particular individuals who are related to the system. Some actions, those entailed in the self-production of the system, are partitioned from those which are not related to it. Where this boundary lies, what properties of the individual are required for the

time being by the system, are determined by the system itself. If the individual does not conform to this systematically imposed definition, then the individual is discarded and replaced or the system changes structurally to accommodate the loss." (pp. 345-346).

Finally, Robb seeks to address Mingers' concern over whether or not organisations can act. Robb states:

"Mingers also raises the question about whether an organization acts as an entity or whether it is only the individuals who act. Some modern organizations do appear to me to be much more than a temporary coalition of individuals who act on their own behalf. Such are the structures that many, if not all, of the individuals in such organizations so converge in their actions, and their thoughts, that their individuality becomes blurred, if not lost entirely. Insofar as the members of the organization play out their roles as components of the organization without regard to the personal consequences, so they are less whole as human entities. Inasmuch as they depend on the organization for their survival, they are properly seen as "components" of it, and as components their freedom to choose to act against the preservation of its unity is curtailed." (pp. 346-347).

Having put forward the case for autopoietic organisations, Robb goes on to articulate the rather pessimistic view that the existence of such organisations is perhaps not such a good thing. For the autopoietic organisation:

"exhibits such "single-mindedness of purpose" in preserving its own unity that heresy of thought or action becomes virtually unthinkable. Observation of some managerial organizations indicates that should heresy arise, through carelessness or ignorance, there are sanctions

which, although discreet and well-glossed, are nevertheless effective in ensuring that the unity of the entity is preserved. If indoctrination and "development" of human individuals are insufficient to effect conversion, then recourse is had to sidetracking or expulsion. Histories are rewritten, structural relationships are redefined, and cultural changes emerge in the interests of corporate integrity." (p. 347).

Robb's words of warning seem to point towards the metaphor of the organisation as an instrument of domination and perhaps, as with the other forms of evaluation discussed in this thesis, an evaluation from this perspective might be complemented by another methodology. In Chapter 10 suggestions for an evaluation methodology for use in coercive contexts will be made which might complement the cultural approach discussed in this chapter.

In reply to Robb, Mingers (1989b) states "My general response to Robb's formulation, is that it is much too vague and contentious to stand as a *proof* that there can be autopoietic social systems. It has little by way of a serious theoretical analysis of the nature of social organizations." (p. 350). The dialogue between Mingers and Robb went on to them debating the means by which a practical study might be conducted to determine whether an organisation embodies the principles of autopoiesis.

In this section the debate between Mingers and Robb over whether or not organisations may be said to be autopoietic has been reviewed. In summary, four problems with the autopoietic model of the organisation were identified:

1.   the false treatment of the organisation as an objective entity;

2.   the identification of the 'self-produced' components of the system;

3.   the specification of the boundary of the unity (based on 2);

4.   the question of whether organisations can act or whether it is only individuals who can act.

7.7   Reflections on the Critique

Following the critique of the cultural/autopoietic approach to evaluation in the previous section, discussion will now be made of whether those theoretical problems actually arose as issues in the pilot project undertaken with Goxwell CVS.

Firstly, the autopoietic approach was accused of falsely adopting an objective approach towards the organisation. In the pilot project which sought to test the cultural form of evaluation, there was much emphasis placed by participants on meeting the needs of the system. Hence, there did seem to be an overriding view that the CVS really existed as something that was bigger and better than the individuals involved. Further, whilst, due to the sheer number of people participating, there must have been both those of an objectivist and a subjectivist world-view, the issue of whether the organisation constituted an objective entity or only existed in peoples minds was never an issue. It can be concluded that in the pilot project the general view was that the CVS did exist as an independent entity and, consequently, the 'false objectivity' of which the cultural/autopoietic view is accused did not cause a problem.

Second, the cultural/autopoietic view has been accused of being problematic due to the difficulty of identifying the 'self-produced' components of the system. In the pilot project the view advanced by Robb, that it is the mind-sets which are produced by the system and that autopoiesis merely requires avoidance of actions which might disturb unity, was adopted. Throughout the pilot project emphasis was placed on ensuring that the balance of things was not disturbed, for example the idea that the same number of strengths and weaknesses should be identified for all participants in the exercise came from the participants themselves. Further, the significance placed on enabling people to do what they currently do, but more effectively and efficiently, supports the notion that peoples' perceptions of their own talents and of what it is reasonable to expect come to be determined by the cultures

of the organisations with which they are involved. This line of reasoning supports Robb's view on the self-produced nature of components parts; that the mind sets are produced by the cultural system. Further in support of Robb's view is the fact that discussion took place at the evaluation session on what individuals could give back to the CVS as they saw that involvement with the CVS had not only benefited but educated and, therefore, changed them personally. As a result of this, the evidence from the pilot project would not appear to support the criticism that the identification of the self-produced component parts is problematic; that is if one accepts Robb's arguments on the nature of the component parts of the autopoietic system.

Thirdly, and following on from the previous point, it is argued that the specification of the system boundary is problematic. According to Robb those components which are deemed to belong to the system and, hence, its boundary are determined by the system itself. This point was supported by the pilot exercise. Indeed, part of the session conducted with Goxwell CVS was specifically dedicated to identifying those previously unexpressed skills and abilities held by participants which were of particular relevance to the CVS. Thus, the specification of the system boundary was not problematic in the pilot project.

Finally, the cultural/autopoietic view has been accused of falsely promoting the view that organisations can act. In the pilot project the opinion was expressed by staff and members of the Executive Committee that the CVS had powers which were beyond those of any individuals involved and that far more could be achieved by the CVS than by the parties concerned acting independently. Hence, there did seem to be a generally held belief that the CVS, as body, could act. However, before any comment could be made on the legitimacy of that belief, or on its dangers, further investigation would be required.

7.8   <u>Conclusion</u>

The grounds for a form of evaluation based on an organisation's ability to generate and sustain a culture which nurtures its work-force, and in so doing secures its own future in a changing environment, have been discussed in this chapter. The theoretical basis for such an approach, following the argument that organisational cultures are autopoietically generated, was assessed and a conceptual model for the practice of such an approach was developed. An account was then given of the pilot project which sought to introduce this form of evaluation and, as with the other models of evaluation tested in the pilot project scheme, an assessment of the positive and negative aspects of this type of evaluation was undertaken. Following this, discussion was made of how the learning which resulted from the pilot projects affected the definition of the methodology. Finally, a critique of the culture based approach was developed and discussion made of whether the critique was supported by evidence from the pilot project.

In this second part, four evaluation methodologies were examined: three methodologies derived from what may be said to be the dominant models in organisation theory, and a fourth model taken from a relatively 'new' model of the organisation. In each case, the positive and negative aspects of the evaluation methodology were assessed and, where appropriate, suggestion made of a complementary form of evaluation. Firstly, it was proposed that, in the light of the goal approach's rather simplistic orientation towards the analysis of outcomes, that the goal approach might be used in conjunction with the system-resource approach which facilitate a deeper analysis of the organisation-environment relationship. Secondly, it was suggested that, as the system-resource approach pays inadequate attention to the social aspects of organisation, it might be complemented by the employment of a multi-actor form of evaluation which focuses more on, for example, politics within and without the organisation. Thirdly, it was argued that the multi-actor form of evaluation, whilst identifying what the

organisation should be doing, fails to facilitate the organisation's ability to move towards that ideal and, hence, might best be used in conjunction with the cultural/autopoietic approach which serves to ensure that the organisation is able, through the development of its members, to implement desired changes. Finally, in this chapter, it was stated that, as the cultural/autopoietic approach might have oppressive implications, it might best be used in conjunction with a method of evaluation designed for coercive contexts (such a form of evaluation will be discussed in Chapter 10). Based on the foregoing examination of the evaluation methodologies, it is concluded that no single approach stands out as better than all the rest; each has its strengths but each, also, has its weaknesses. Fortunately, the weaknesses of one approach appear to be the strengths of another and, taken together, the approaches appear to form a complementary set. Thus, having established the need for all the different approaches to evaluation in this second part of the thesis, the final part will seek to address the implications of a complementarist approach.

PART III

IMPLICATIONS AND CONCLUSIONS

CHAPTER 8

THE EVALUATION PROCESS AND ISSUES OF VALIDITY

8.1   Introduction

In Part II of this thesis appraisals were made of the four evaluation methodologies set out in Chapter 2 and accounts given of the pilot projects in which they were employed. As a result of the foregoing, it was concluded that, as each of the methodologies has its own strengths and weaknesses, all of them are needed if a complementarist approach to evaluation theory and practice is to be advanced. This acceptance of multiple methodologies must not be entered into lightly; care must be exercised to avoid the dangers of slipping standards and pragmatism. In the avoidance of pragmatism, Chapter 9 will be dedicated to the search for an appropriate meta-methodology for evaluation theory. This chapter will be aimed at the prevention of slipping standards with the definition of a 'good' evaluation structure and criteria of validity.

Firstly, some common models of evaluation systems will be reviewed and, then, the structure of the pilot project evaluation systems considered. Following on from this, an 'ideal' evaluation model will be designed and, in the light of a discussion on validity issues, duly updated to accommodate appropriate indicators of validity.

8.2   The Structure of Evaluation Systems

When one talks of the structure of evaluation systems, basically, one is referring to the organisation of the activities involved in conducting the exercise. Many models have been proposed of the structure of evaluation systems. For example, Shadish et al. (1991) cite Wholey as proposing a four stage model based on the 'sequential purchase of evaluation information' by managers:

1.   Evaluability assessment

Assessment of "...whether the program is ready to be managed for results, what changes are needed to do so, and whether the evaluation would contribute to improved program performance." (Shadish et al., 1991, p. 225).

2.   Rapid feedback evaluation

"A quick assessment of program performance in terms of agreed-upon objectives and indicators; also provides designs for more valid, reliable, full-scale evaluation." (p. 225).

3.   Performance monitoring

"Establishment of ongoing process and outcome program monitoring system." (p. 225).

4.   Intensive Evaluation

"Rigorous experimental evaluations to test the validity of causal assumptions linking program activities to outcomes." (p. 225).

It can be seen from this that emphasis is very much on the evaluation process becoming more rigorous as one progresses from stage 1 to stage 2 and so on; hence, it may be said that Wholey adopts a developmental approach to the structuring of evaluation systems. However, due to Wholey's commitment to serving the information needs of managers, there is no pressure to progress to the latter, more intensive, stages of evaluation. Implicit in Wholey's model of the evaluation process is the meta-evaluative criterion of information being satisfactory to managers' needs. If those needs are fully satisfied by information resulting from an evaluation assessment or rapid feedback then that system is judged to be fully effective and there is nothing, as regards manager satisfaction, to be gained from progressing on to performance monitoring or intensive evaluation.

A similar form of classification to that of Wholey, but with reference to internal evaluation, has been proposed by Love (1991). Following Attkisson and Hargreaves

(1977), who proposed that an organisation's capacity for evaluation develops in stages (with the success of later stages being dependent on former ones), Love defined a six stage model of the development of an organisation's internal evaluation capacity.

Stage 1   Ad hoc evaluation

-    data fragmented and largely subjective;

-    definition of data and data collection methods not standardised;

-    data about inputs not available routinely;

-    goals and assumptions not explicit.

Stage 2   Systematic internal evaluation

-    information is descriptive ('What is?');

-    system is well documented;

-    formal processes are established to identify information needs;

-    the need to plan for evaluation is recognised.

Stage 3   Goal evaluation

-    information is comparative ('Is this what should be?');

-    formal systems for defining goals, negotiating reasonable and measurable goals among constituent groups, assessing managers' information needs, involving workers, designing the data collection and reporting processes are established.

Stage 4   Effectiveness Evaluation

-    effectiveness criteria and methods for measuring whether criteria were achieved are defined;

-    evaluative information begins to be seen as a corporate resource.

Stage 5   *Efficiency Evaluation*

-     improvement of accounting, financial and information systems to enable the establishment of criteria for comparing the ratio of inputs to outputs.

Stage 6   *Strategic Benefit*

-     assessment of social costs and benefits of products/services;

-     focus on organisational boundaries to facilitate the assessment of the organisation's impact on its environment.

The models proposed by Wholey and Love embody the notion that evaluation practice can be represented as stages along a continuum. According to Love progress along the continuum is desirable whilst according to Wholey such progress may not necessarily be desirable.

Not all theorists, though, subscribe to the continuum model of evaluation. As discussed by Shadish et al., Scriven (1980) proposed a dichotomy of evaluation models based on the purpose which the evaluation is seen to serve. Scriven argues that "Evaluation may be done to provide feedback to people who are trying to improve something (formative evaluation); or to provide information for decision-makers who are wondering whether to fund, terminate, or purchase something (summative evaluation)..." (Shadish et al., 1991, p. 78). Having made this distinction and given this chapter's focus on structure, one is driven to address the issue of how the process of conducting the two forms of evaluation might differ. Does an organisation's capacity for conducting both formative and summative develop over time? Is it only formative evaluations which are likely to be internalised whilst summative evaluations are more likely to be one-off events?

It can be seen from the above, that the formative-summative dichotomy is an interesting one. Indeed, it is a notion which has been widely internalised into evaluation practice and has even been used as a rationale for evaluation practice. Traditionally, the goal model has been relied upon by funding agencies to provide summative information, probably as this model gives the funders a certain amount of control as they are able to pre-define the goals and because this model outputs quantitative data which enables inter-organisational comparison. However, it will be realised that all four of the models discussed in previous chapters may be used in either the formative or summative mode. In the NACVS project, whilst for the most part the CVS stated that they wanted the evaluations for their own purposes, there was always the hidden agenda that the information forthcoming from the evaluations might be used in support of their case to funders and would provide funders with a richer picture of the range of CVS activities than that provided by the goal model alone.

Whilst an awareness of the various general models available in evaluation theory alerted the researcher to the dual purpose of the evaluation information in the NACVS project, they were not found to be instructive in carrying out the pilot projects. It was believed that, for the most part, such models concentrated on the classification of evaluation systems rather than on specifying and ordering the activities involved in carrying out a 'good' evaluation. Hence, in the next section, based on the learning from the pilot projects, an attempt will be made at coming up with proposals for designing a 'good' evaluation system.

8.3   Reflections on the Structure of the Pilot Project Evaluation Systems

Based on the pilot projects and the theoretical principles which have formed the content of previous chapters of this thesis, in this section a general model of evaluation, relevant to all four of the types of evaluation discussed in the thesis, will be prescribed. There are three sub-systems to this general model: the meta-evaluation

system, the evaluation sub-system, and the learning sub-system. Each sub-system will be discussed in turn.

8.3.1 The Meta-Evaluation Sub-System

The meta-evaluation sub-system serves to ensure the effectiveness and efficiency of the evaluation.

a. Selecting

The impetus for the setting up of an evaluation system is usually a feeling of slight unease on behalf of staff and members of the executive committee. What has generated that feeling of unease may be a very important determinant of the form of evaluation which would be most appropriate for the organisation, hence it is very important that this is revealed and discussed at this initial stage.

As has been said, it is the function of the meta-evaluation sub-system to ensure that the most effective and efficient evaluation methodology is employed. Given multiple methods of evaluation, the task of selecting the most appropriate form of evaluation is critical (as has already been suggested, selection between methodologies is a major dilemma for complementarists and will be discussed at length in the next chapter). Here, suffice to say that choice of methodology is a function of the meta-evaluation sub-system.

b. Boundary Setting

A critical stage in the evaluation process is the unearthing of the criteria which determine what is relevant to the evaluation and what is not. This setting of the

boundary for the evaluation is primarily a function of the meta-evaluation sub-system and focuses on issues of value which relate to the subject of the evaluation and the methodology being employed (these issues will be further discussed in later sections when the work of Brinberg and McGrath, and Ulrich will be discussed).

c. Reviewing

The basic steps in conducting the evaluation should be set out in the evaluation plan statement which is part of the evaluation sub-system and will be discussed later. At the review stage, following the evaluation, investigation should be made of how well the evaluation process served the purposes defined in the evaluation plan. Consideration should be given to:

- How well the information generated by the evaluation process met the organisation's needs.

- How satisfied those parties initiating the evaluation were with the adequacy of the data.

- Whether or not it was generally held that the evaluation presented an accurate portrait of the organisation.

- Whether or not it was generally believed that the information forthcoming from the evaluation was interesting and useful.

- Whether or not the process absorbed significantly more than or less than the resources planned for it.

- Whether or not the process managed to stick closely to the work-plan/time-scale devised for it.

The information generated by the posing of the above questions should be interpreted and, in the light of that information, a debate conducted about how the evaluation system should change. On the basis of that debate,

recommendations for change should be specified and implemented in practice.

8.3.2 The Evaluation Sub-System

The evaluation sub-system serves to carry-out the actual work of conducting the evaluation.

a. Planning

Experience of the pilot projects has shown that the best and most effective evaluations are those which have been designed, implemented and reviewed by a working party rather than by an individual. Such a working party will, henceforth, be referred to as the evaluation group. In the ideal, the evaluation group should comprise of five or six persons who are interested in the organisation, current local events and evaluation. Members of the group may be drawn from, in the case of a CVS, staff, volunteers, executive committee members, funders, representatives of member organisations and so on.

One of the first tasks of the evaluation group should be the appointment of a chair and a secretary for the group and, also, a facilitator for the evaluation system. The facilitator will take care of any administrative tasks incurred by the evaluation and will be responsible for keeping members of the evaluation group informed of how the evaluation process is progressing overall. However, whilst the role of the facilitator is one of privilege, it does not involve making decisions about the form and content of the evaluation independently but, instead, involves enabling others to make decisions.

Having attended to the administrative tasks involved with group formation, the group can turn its attention to the selection of the evaluation methodology to be employed (as has been stated previously this is an activity which belongs to the meta-evaluation sub-system). In previous chapters, four types of evaluation have been discussed and the selection of the type of evaluation which is most appropriate for use in a given context depends on a number of factors which should be made explicit in the evaluation plan. This plan is important as it should provide the basis for the meta-evaluation process. The plan should specify:

- Why is the evaluation process being initiated?

- By whom is the evaluation being initiated?

- What are the boundaries of the evaluation?

- What resources are available for the evaluation?

- What methodology is most appropriate for the evaluation?

- What is the work-plan/time-scale for conducting the evaluation?

b. Designing

Having conducted the meta-evaluation task of selecting the evaluation methodology, it should be customised where necessary. The amount of work this will involve will depend on the form of evaluation selected. A multi-actor form of evaluation requires a significant design phase, as a time-activity coding system and questionnaire need to be designed. On the other hand, a system-resource based evaluation requires comparatively less design since the criteria upon which this form of evaluation is based are common to all CVS. However, the methods used to conduct the evaluation should not be limited to those which have been used before. It was found with the pilot projects that the most rigorous evaluations were those where the CVS had questioned accepted methods and come up with their own way of doing

things; for example there are many ways in which opinions can be collected - postal questionnaires, telephone interviews, face-to-face interviews, etc.

It is important, though, that all data collection tools be tested where possible. For example, a small error may have been made in the phrasing of a question which makes it ambiguous and open to all sorts of different interpretations which would serve to negate the comparison of data since respondents had, in effect, answered different questions. A test run makes it possible to correct errors relatively quickly and easily.

A common comment from those involved in the pilot projects was that they wished they had spent more time and made more of an effort with the design stage of the evaluation. It is a frequent mistake to rely on the efforts of a so called expert for the design of an evaluation. An expert rarely has the detailed knowledge of an organisation that those working within the organisation have. Hence, an evaluation which is designed by those working within an organisation will usually be far more appropriate to that organisation than that designed by an expert. Furthermore, by involving staff with the design of the evaluation process at this stage, commitment may be secured which could make or break the whole exercise. Indeed, staff are far more likely to take heed of data generated by an evaluation process which they have helped to design than one which they have not (Schein (1969) makes similar comments about participation in the consultation process in general).

Whilst the work-plan/time-scale for the evaluation should have been set down in rough in the evaluation plan, it is at this stage that the plan should be revised and made specific. Each of the tasks involved with the process should be set down, estimates of the time absorbed by each task made and responsibility for the tasks allocated.

c.   Operating

How the evaluation is operated will depend on the type of evaluation selected. However, it is true to say that all forms of evaluation involve some form of data collection.

Some types of evaluation, for instance multi-actor based, often require staff to maintain detailed records of their time and activities. The maintenance of such detailed records can be monotonous and time-consuming in the long run, hence, careful consideration should be given at the design stage to the types of information to be recorded, how that information will be recorded and the time period for collection. In many evaluations there is an iteration between stages two and three, that is between designing and operating the evaluation.

Staff may feel particularly vulnerable at this stage of the proceedings. Some individuals may start anticipating evaluation findings and interpreting their actions in the light of the evaluation which in turn may affect the way in which data is recorded. Some staff may try to capture the ideal rather than the reality. This is a common problem of insecurity, hence discussions about how the evaluation is progressing should be scheduled with feedback from the evaluation going to staff during the process so that the final results do not come as any major surprise. Such discussions should also seek to ensure that there is a general understanding about how items/variables should be recorded and that there is consistency in data recording between staff.

d.   Analysing

The analysis of evaluation data is usually the role of the facilitator. How that analysis is conducted will depend upon the nature of the data.

Having analysed the data, special attention should be paid by the facilitator to the way in which the information is to be presented to the evaluation group.

Evaluations very often result in the production of long lists of quantitative data. Given time, one can assimilate large amounts of data, but when presentations are being made the audience needs to be able to pick out the main points quickly. Hence, it is common to use graphs and charts when presenting evaluation analyses to a group. There are several diagrammatic means of presenting statistics; bar-charts, graphs, pie charts and pictograms. An overhead projector is the most effective means of presenting information. Handouts tend to divert the audience's attention away from the presentation and the annoying rustling of paper can distract the presenter.

The presentation of qualitative information is usually more difficult. Reading out a long statement of peoples' opinions fails to have the visual impact of, say, a graph or bar-chart and the impact of the statement can be lost. In such instances it is preferable to pick out the most common or pertinent statements of opinion for discussion and consign a full statement of opinions to a handout which the group can look at in more detail after the presentation. In many of the pilot projects, a quantitative assessment was made of a qualitative variable. For instance, in one of the projects members were asked to rate their level of commitment to the CVS on a scale ranging from 0 (minimum commitment) to 7 (maximum commitment). Whilst these scales are often criticised as being arbitrary, they do enable an overall assessment of some qualitative variable and can be used to focus peoples' attention on more detailed statements of individual opinion.

8.3.3 The Learning Sub-System

The learning sub-system serves to ensure that the organisation changes as a result of the evaluation.

a. Interpreting

The evaluation group should have the analysis of the evaluation findings presented to them without comment by the facilitator. However, an evaluation analysis is pretty meaningless without an understanding of how and why things happened since monitoring data tends to take that which is under study out of its wider context. Hence, it is at this stage that contextual and environmental information should be discussed. For example, very often evaluation results will be influenced by intervening factors such as the work of competing organisations, changes in policy and so on. The influence of such factors cannot be ruled out and, often, cannot be predicted at the start of the exercise, therefore it is at this stage that they should be accounted for.

b. Debating

The nature of the debate which follows the presentation and interpretation of the data will depend on how contentious the evaluation findings are. This debate is probably the most important stage of the whole evaluation process, for it is at this stage that the personal opinions of those most closely involved with the organisation will be surfaced and possible changes to the organisation's operations floated.

c.   Recommending

Following debate of the evaluation findings, a statement of recommendations for organisational change should be formulated. All statements of recommended change should first be considered with reference to the criteria of desirability and feasibility in the light of resources available to the organisation, its history, its environment and so on.

d.   Implementing

A summary report of the evaluation and the evaluation group's recommendations for change should be forwarded to the executive committee. Once the report has reached the committee it is their responsibility to address the issues of whether and how the CVS should change in response to the evaluation. Indeed, it is only the executive who have the authority to actually make decisions about how the organisation should change and what policies should be implemented by the CVS.

Based upon the executive committee's decisions about what should be implemented following the evaluation, a co-ordinated plan for change should be constructed. The plan should, quite succinctly, set out the actions which need to be undertaken following the evaluation. This plan for change should provide the basis for the next iteration of the evaluation cycle.

8.3.4   Summary

In the previous section a three sub-system structure for an evaluation system was prescribed based on the learning derived from the pilot projects and the theoretical study which has previously been recounted in this thesis. The basic structure of the suggested evaluation system is shown in figure 11.
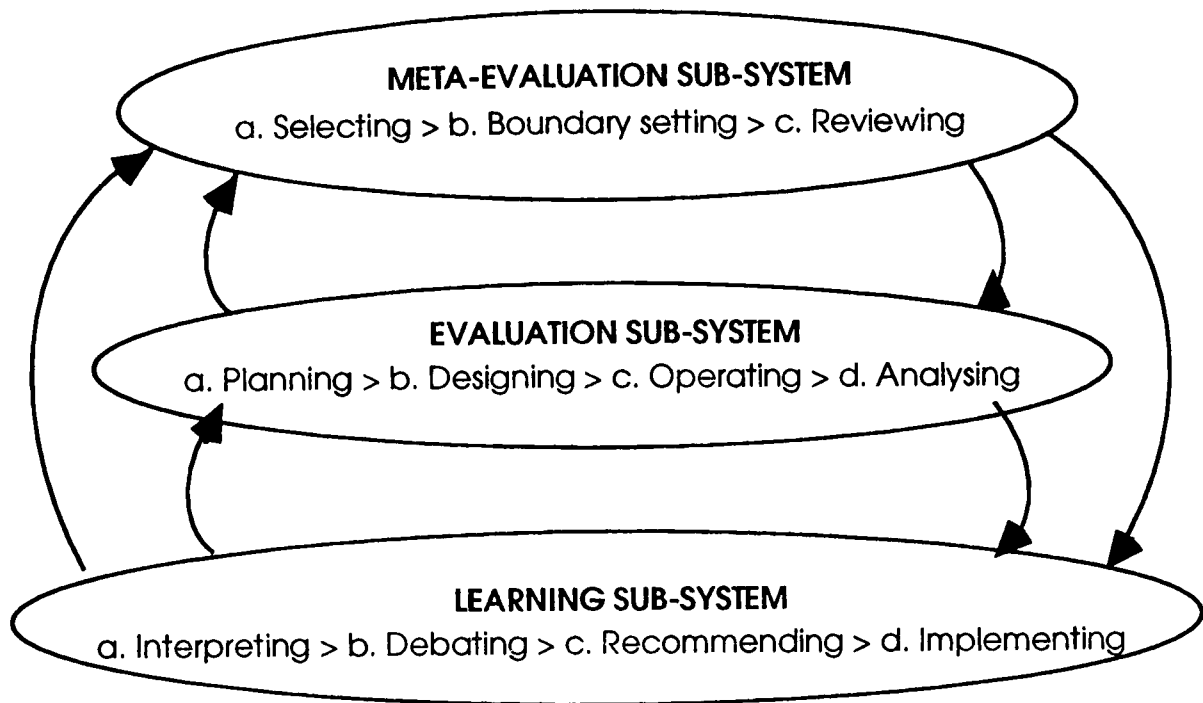
Figure 11. The Structure of an Evaluation System

In practice, conducting an evaluation based upon the above model would involve iterating between the different sub-systems. An evaluation might logically involve the following eleven steps:

1.   Selecting (meta-evaluation sub-system)

2.   Boundary setting (meta-evaluation sub-system)

3.   Planning (evaluation sub-system)

4.   Designing (evaluation sub-system)

5.   Operating (evaluation sub-system)

6.   Analysing (evaluation sub-system)

7.   Interpreting (learning sub-system)

8.   Debating (learning sub-system)

9.   Recommending (learning sub-system)

10.   Implementing (learning sub-system)

11.   Reviewing (meta-evaluation sub-system)

8.4   Issues of Validity and the Evaluation Process

In retrospect, what was needed when carrying out the pilot projects was some general model of research which would enable us, without directing our activities too much, to critically reflect on the structure of the evaluation systems as they were being built. Following this logic, a model of research can be discussed which might have been helpful, instructive even, had it been put to use in the pilot projects. This model of the process for conducting research of all kinds is that proposed by Brinberg and McGrath (1985).

8.4.1   The Brinberg and McGrath Model of Research

According to Brinberg and McGrath, research involves three domains:

1.   The substantive domain which comprises some entity that is of interest;

2.   The conceptual domain which is constituted of ideas that give meaning to the entity;

3.   The methodological domain which is made up of the procedures by means of which the ideas and content can be studied.

Having defined the three domains which, they believe, research involves, Brinberg and McGrath go on to propose that there are three stages in the research process:

1.   The pre-study stage which involves the generation, identification, development and clarification of concepts, methods and substantive phenomena;

2.   The central stage which involves doing the study by way of a path which combines the selection, combination, relation and use of elements from all three of the domains;

3. The follow-up stage which involves exploring the scope and the limits of the second stage findings.

It can be seen from the above that concepts from the three domains are drawn on at each stage of the research process. This definition of the domains and stages of research offers a clarity to the intervention process which is lacking in most thinking about the process of conducting an evaluation. Indeed, this model is particularly recommended due to its emphasis on making explicit the boundaries of the research in the first and third stages (the relevance of this will become more evident when the work of Ulrich is discussed in Chapter 10).

In proposing their model of the research process, Brinberg and McGrath do not stop merely at defining domains and stages. They go on to propose what validity means at each of the stages in the research process and how it might be assessed. This emphasis on issues of validity particularly recommends the Brinberg and McGrath model to evaluation theory for, as Weiss (1970) has argued, "Once evaluation studies are seen as likely to have important political consequences, they become fair game for people whose views are contradicted (or at least unsupported) by the data." (p. 59), and further, Shadish et al. (1991) quote Weiss and Bucuvalas (1980) as stating that 'challenges to the status quo are more credible if they are based on high quality research' (p. 195).

According to Brinberg and McGrath, validity has a different meaning at each stage of the research process; in Stage 1 validity means value, in Stage 2 validity means correspondence, and in Stage 3 validity means robustness. In order to appreciate how and why validity has a different meaning at each of the stages of the research process, it is necessary to look in more detail at the activities of each stage.

As has been said, the first stage of the research process involves the identification, development and clarification of elements, relations and embedding systems for

each of the three domains. Thus, in this first stage one is defining the scope, or setting the boundaries, of the research by asking what is of value, and should be included, and what is not of value, and should not be included. This setting of boundaries applies not only to the definition of the entity under study (the substantive domain) but also it applies to the definition of relevant ideas (the conceptual domain) and methods (the methodological domain). Based on this process of questioning what is to be included and what is not, Brinberg and McGrath suggest some criteria for evaluating elements and relations in each of the domains:

Domain	Criteria for Evaluating Elements and Relations
Conceptual (C)	Parsimony, internal consistency, subsumptive power, testability, etc.
Methodological (M)	Efficiency, power, unbiasedness, explicitness, reproducibility, etc.
Substantive (S)	System effectiveness, cost/benefit, feasibility, etc.

In the second stage, elements and relations from all three domains are selected, combined and used in the production of a set of empirical findings. According to Brinberg and McGrath:

"We can regard stage two of the research process as proceeding in three steps. First, the researcher selects elements and relations from one of the domains. We argue that the first domain is the one in which the researcher has some preference or special interest. Second, the researcher brings those elements and relations together with elements and relations from a second domain to form an intermediate or instrumental structure. Third, the researcher brings elements and relations from the third domain into that structure. Because there are three domains, there are three places to start, and

there are three instrumental structures that can be built in the first two steps." (p. 60).

They then go on to state that the three starting places represent three research orientations or paths (Table 3.).

Table 3. Brinberg and McGrath's Three Research Paths

Path	Step 2	Step 3	Product
Experimental	Study design - conceptual and methodological domains	Implementation - application of study design in substantive domain	Set of Empirical Findings
Theoretical	Set of hypotheses - conceptual and substantive domains	Test of hypotheses application of hypotheses in methodological domain	Set of Empirical Findings
Empirical	Set of observations - substantive and methodological domains	Interpretation - application of interpretation in conceptual domain	Set of Empirical Findings

In this second stage, emphasis is placed on validity as correspondence. According to Brinberg and McGrath correspondence can be defined as: "The degree to which there is a match between the values (of features of relations) that contain potential information in one domain, and the values (of those features of those relations) that contain potential information in another domain(s)." (p. 116).

In the third stage, the empirical findings, which are the outcome of stage 2, are critically reflected on. Brinberg and McGrath propose that there are three questions to be addressed in the verification, extension and delineation of the findings:

Replication: Are the findings reproduced when all factors in the three

domains are kept the same?

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Convergence analysis:	Over what range of values in the three domains do the findings hold?
Boundary search:	Beyond what range of values in the three domains do the findings fail to hold?

Whilst validity is a an issue of critical concern in research in general, that concern has been expressed most loudly in relation to matters relating to evaluation. Commonly, the question of validity has been regarded as difficult by evaluation theorists and, perhaps, we now see why. The difficulty which evaluation theorists have had in addressing the concept of validity has been a product of their lack of clarity about the different domains and stages of conducting research. This lack of clarity has resulted in their failure to appreciate the multi-faceted nature of the concept of validity. In retrospect, this lack of clarity permeated the NACVS project and it is only now that we can begin to understand the problems that were caused by not using the framework provided by Brinberg and McGrath.

8.4.2 <u>Evaluation, Structure and Validity</u>

In this section we shall look at how the Brinberg and McGrath model might be used to guide an evaluation. As an example, we shall look at how a goal based evaluation might be conducted as per the principles of this model.

Stage 1

Firstly, we would define the assumptions inherent in and the limitations of our knowledge about the subject, about the method and about what we believe to be true about the subject. For example:

Methodological domain:

The goal model is based on the premise that organisational goals are so abstract that they must be translated into more tangible statements of objective for which correlates, known as indicators, can be found - on what grounds can this assertion be substantiated?

Substantive domain:

What is the subject of the evaluation and what criteria are being used to draw the boundary around the subject?

Conceptual domain:

The goal model of evaluation is based on the machine model. What are the assumptions inherent in this mode of thinking? When does this mode of thinking break-down?

Stage 2

The selection, combination and use of elements and relations from all three domains by way of one of three paths (experimental, theoretical, empirical). Brinberg and McGrath's argument that each of the paths relate to a different way of conducting research and are, therefore, mutually exclusive is disputed here. They claim that it is the different domain starting points of the paths which make them mutually exclusive. It may be argued that Brinberg and McGrath merely point out the different categories of assumption which ground the different paradigms of thought, not the paradigms themselves. This can be most clearly seen if the principles grounding Brinberg and McGrath's paths are compared with the classes of assumption grounding Burrell and Morgan's (1979) paradigms. Consequently, Brinberg and McGrath's conceptual domain can be equated with Burrell and Morgan's ontology, the substantive can be equated with the real world and the methodological can be equated with epistemology. Following this, the experimental, theoretical and empirical paths may be seen as complementary and dependent stages in the evaluation process. For

example, it can be seen how the three paths are involved in a goal based evaluation:

Experimental	What is the ideal goal state of the organisation?
Theoretical	What is a realistic goal state for the organisation?
Experimental	What is the goal state expressed in terms of objectives and targets?
Empirical	What monitoring information must be collected? What is the end of period state of the organisation as per the monitoring data?
Theoretical	What does this information tell us about the effectiveness of the organisation in achieving its goals?

Thus, it can be concluded from the above that all three paths are necessarily involved and inter-linked in the process of conducting a goal based evaluation.

Stage 3

In the third stage the focus is directed towards the practice of meta-evaluation and the issue of what other factors, not accounted for in stage 1, influenced the results achieved. For example, in the case of goal based evaluation, one would question whether initial assumptions about resource constraints had been realised and how they had affected goal achievement.

It can be seen from the above that the Brinberg and McGrath model very easily lends itself to goal based evaluation. However, perhaps that happy fit is due to the inherent epistemological assumptions of the Brinberg and McGrath model itself. They state:

"We do intend to provide an account of the logic of the knowledge accrual process itself. Such an account requires a commitment on

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our part to some epistemology. Our leaning is toward Campbell's "hypothetical realism" (Brewer and Collins, 1981; Campbell, 1981). Using that viewpoint, one proceeds *as if* there were a real and knowable world beyond the phenomenological evidence of our senses, at the same time recognizing that such a belief is itself an underjustified and perhaps unjustifiable presumption." (p. 24).

Thus, the ease with which the Brinberg and McGrath model lent itself to the goal model in our example would seem to be attributable to their shared paradigmatic assumptions. Here, we are addressing the same issues contemplated by Guba (1988), and quoted by Smith (1990), who asked:

"Is it possible to devise a set of goodness criteria that might apply to an inquiry regardless of the paradigm within which it was conducted? Or is it the case...that goodness criteria are themselves generated from and legitimated by the self-same assumptions that undergird each inquiry paradigm, and hence are unique to each paradigm?" (p. 168).

Given the inherent epistemological leaning of the Brinberg and McGrath model towards the goal model, if it is to be used in conjunction with the other forms of evaluation in our classification, it must be expanded to include criteria of validity appropriate to the inherent logic of these other schools of thought and, further, as each of the three stages of the model imply different criteria, we must also address each stage in turn.

We have little problem with the first stage of the model as it is deemed good practice from the meta-paradigm perspective of complementarism to seek to unearth the assumptions and limitations of our world view. Hence, the criteria of validity

suggested for the first stage of the Brinberg and McGrath model holds good for all of the models of evaluation.

The first problematic point is the second stage of the methodology which results in the production of a set of research findings. Validity at this stage would seem to correspond with what Campbell (1986), as discussed by Shadish et al., has termed internal validity, or local molar causal validity, and his work can be used as guidance in the search for criteria appropriate to this second stage and to the different models of evaluation. In defining what Campbell meant by internal validity Shadish et al. put forth a very positivistic definition, "The validity of a claim that A caused a change in B, with causation meaning the change in B would not have occurred without A." (p. 119); which may be appropriate for goal-based evaluation but not appropriate for the other models of evaluation addressed in this thesis.

Following Campbell, others have considered the issue of internal validity and their theories would seem to fall into two groups: those that are concerned with subjective interpretations of effectiveness and qualitative data, which seem most pertinent to multi-actor and value based evaluations, and those that are concerned with establishing the effectiveness of an organisation objectively and quantitative data, which seem to be most relevant to goal and system-resource based evaluations. For example, according to Shadish et al., Scriven (1983) advocates the employment of perspectivism. Scriven claims that perspectivism promotes "...the need for multiple accounts of reality as perspectives from which we build up a true picture, not as a set of true pictures of different and inconsistent realities..." (p. 76) and this would appear to be a test appropriate to the multi-actor or culture based forms of evaluation. Also, Cronbach and Meehl (1956), in examining construct validity in psychological tests, have suggested that 'validity is dependent on the network of relationships in which a construct is embedded'. Cronbach and Meehl's comments on validity would appear to be most pertinent to system-resource evaluation where selected experts are seeking to develop a full understanding of an organisation's

functioning and, based on that picture, make suggestions for improvement. Further, following Cronbach and Meehl, it might be said that the most valid evaluations are those which merely serve to reiterate what the majority of organisation participants believe to be true.

Thus, based on the foregoing comments of Campbell, Scriven, et al. that what is meant by internal validity should be dictated by the logic of the evaluation methodology and, whilst this thesis in no way attempts to undertake a full investigation of this, some issues might be suggested which may be considered relevant in an assessment of internal validity:

Goal

• Do the indicators selected closely correlate with the objectives (causal validity)?

• Do the goals portrayed reflect those that are actually being pursued?

System resource

• Does the model selected accurately portray a viable system?

• Have the experts been given access and time to absorb information about the organisation in order for them to formulate an accurate picture of the organisation's operations?

• Are the experts 'expert'?

Multi actor

• Have all groups of parties affected by and able to affect the organisation been identified and included?

• Have interested parties been given equal opportunity to express their opinions?

• Have interested parties opinions been accurately represented?

(For a more comprehensive discussion of the criteria of goodness relevant to the multi-actor based methodology see Guba and Lincoln, pp. 233-251).

- Are the goals set for individuals actually internalised and reinforced in their daily life activities?

- Do the individual goals when taken together serve towards the overall organisational goal?

In the third stage of the evaluation process, the emphasis is on robustness analysis or what Campbell has termed external validity or proximal similarity. In similar vein to Brinberg and McGrath, Shadish et al. interpret Campbell's external validity as "The warrant for asserting that findings of a particular study generalize to other persons, settings, and times." (p. 120). Shadish et al. go on to discuss the work of Cronbach (1982) who proposed the means by which the research findings from quantitative type evaluations, such as goal based, may be generalised. According to Cronbach, the assessment of external validity centres around four concepts:

utos	the data collected in terms of units, treatments, observations and settings;
UTOS	the populations of units, treatments, observations and settings around which the research was formulated;
*UTOS	the populations of units, treatments, observations and settings which are different from those to which utos corresponds;
sub-UTOS	the sub-samples of units, treatments, observations and settings, for example breakdown by ethnicity.

Generalisation of the evaluation data from utos to *UTOS is the main function of external validity and this type of approach would seem to be best suited to the goal form of evaluation in which such quantitative data would be most readily available. However, as with internal validity, what is meant by external validity is dictated by the internal logic of each of the approaches and Cronbach went on to propose a more subjective definition of validity than that associated with the concepts of utos, UTOS,

*UTOS and sub-UTOS. Cronbach is quoted by Shadish et al. as arguing that "...validity is subjective rather than objective: The plausibility of the conclusion is what counts. And plausibility, to twist a cliché, lies in the ear of a beholder..." (p. 343). Similarly, in discussing the practice of naturalistic generalisation which in this thesis has been aligned with the multi-actor form of evaluation, Shadish et al. have considered the issue of validity in relation to case-studies. They cite Stake and Easley (1978) as saying that "The validity of a case study then is dependent on the observer's point of view, and its utility to a reader will be dependent on recognition of that point of view." (pp. 290-291). Thus, Cronbach's later work on validity and Stake and Easley's comments on case-studies would seem to be most pertinent to an assessment of the external validity of multi-actor and value-based forms of evaluation.

In this section we have now sought to amend and expand the Brinberg and McGrath model. What validity means at each stage of the evaluation process and according to the inherent logic of each of the different evaluation paradigms has been defined and, consequently, the model can now be said to have meta-level status. In the next section this model will be summarised.

8.4.3 Summary

Based on the analysis of the Brinberg and McGrath model and of validity factors appropriate to both the stages of the evaluation process and the inherent logic of the different evaluation paradigms a model of the evaluation process may be proposed. This ideal model is shown in figure 12.
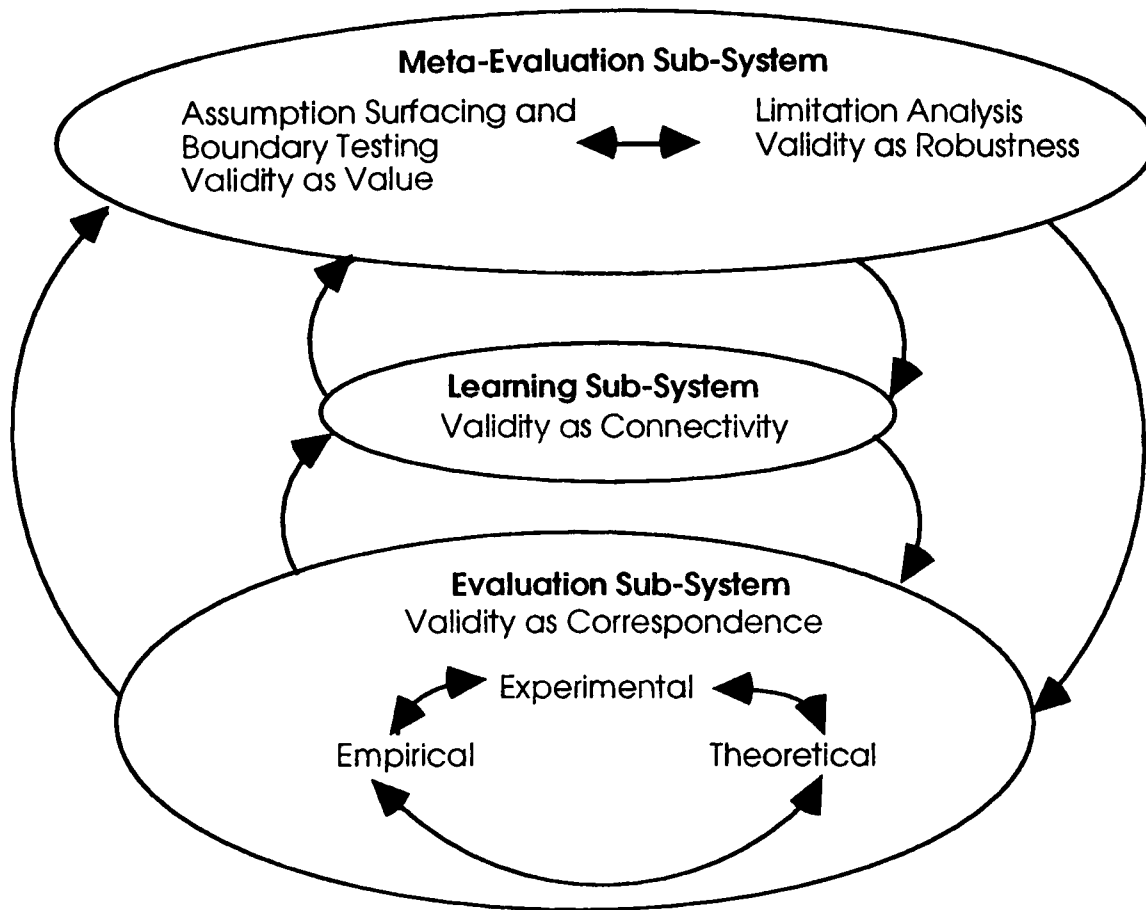
Figure 12. Model of an Evaluation System Incorporating Criteria of Validity

Ideally, the process starts off with the meta-evaluation activities of surfacing the assumptions and defining the boundaries of the evaluation (stage 1 in Brinberg and McGrath's model), where value is the relevant criterion of validity. One then proceeds on to the next stage which is actually conducting the evaluation. As has already been said, in an evaluation this stage involves all three of the paths and one actually iterates between the three in producing the evaluation findings. At this second stage, the criterion of validity is correspondence. Once a set of findings has been produced one then proceeds on to the meta-evaluative activity of seeking to assess the limitations inherent in the study (reinforcing stage 1), and here robustness is the criterion of validity. Once the validity of the evaluation findings has been assured, the evaluation information is then input into the learning and decision making function of the organisation where it is interpreted in the light of existing dominant ideas about

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performance and acted upon accordingly. In the final stage of the evaluation process the appropriate criterion is connectivity. As has been stated previously, in practice, one may reiterate between the different stages of the model and that is why all of the sub-systems are shown as being linked in figure 12.

Following Brinberg and McGrath, in this section an ideal model for conducting an evaluation has been put forward which accommodates criteria of validity pertinent to each stage of the process and consistent with the undergirding logic of the different evaluation methodologies.

8.5   Conclusion

In this chapter the structure of evaluation systems and the issue of validity in the research process were discussed. Based on the learning from the NACVS project, an ideal model, comprising of an evaluation sub-system, a learning sub-system and a meta-evalaution sub-system was proposed. Reflection upon this model led to a discussion of Brinberg and McGrath's work. Consideration of the points Brinberg and McGrath make about validity and the research process led to an assessment of what validity means in terms of the evaluation process and, in due course, amendment of the model which had earlier been designed.

In a discussion of this model, it was suggested that the evaluation cycle both start and finish with meta-evaluation activities. From the complementarists' viewpoint, the meta-evaluation function does not only serve to ensure the development of the organisation's capacity for conducting a single type of evaluation in the most effective and efficient manner but, also, it serves to ensure that the organisation is employing that form of evaluation which best serves its needs at that moment in time. Thus, there is a critical link between the meta-evaluation function and the process of selecting the most appropriate form of evaluation in a given context. This is an issue

which will be taken up in the next chapter which seeks to unearth a meta-theory for evaluation.

CHAPTER 9

TOWARDS A META-METHODOLOGY FOR EVALUATION PRACTICE

9.1   Introduction

In the first two chapters of this thesis a brief overview of the numerous approaches to the definition of effectiveness and the various taxonomies of evaluation theories was given. In the following chapters, an attempt was made at ordering these definitions of effectiveness into four dominant approaches to evaluation: the goal approach, the system-resource approach, the multi-actor approach and the cultural approach. Attention was then turned to what the different approaches implied for the structure of evaluation systems and the assessment of validity. In this chapter there will be discussion of the complementarist dilemma: given multiple methodologies, how to choose the most appropriate in a particular context. This discussion will commence with a study of Burrell and Morgan's Theory of Sociological Paradigms (1979) as this provides a contrast for Morgan's (1986) later arguments for complementarism in social theory which, in turn, influenced Flood and Jackson's (1991a) theory of Total Systems Intervention (TSI).

9.2   Burrell and Morgan's Sociological Paradigms

Burrell and Morgan proposed a four paradigm framework for helping unearth the assumptions which organisation theorists bring to their studies. They state "Central to our thesis is the idea that 'all theories of organisation are based upon a philosophy of science and a theory of society.'" (p. 1). Based on these two dimensions, Burrell and Morgan formulate a four celled grid onto which, they believe, all theories about the nature of organisations can be mapped.

9.2.1 Definition of the Four Paradigms

According to Burrell and Morgan, assumptions about the nature of the social world and the way in which it can be investigated fall into four categories:

a.   assumptions of an *ontological* nature: is reality objective and external to the individual (realism) or subjective and the product of individual consciousness (nominalism)?

b.   assumptions of an *epistemological* nature: is knowledge real and capable of being communicated to others (positivism) or more personal and based upon experience (anti-positivism)?

c.   assumptions about *human nature*: do humans react in a mechanistic way to environmental stimuli (determinism) or are they capable of exhibiting free-will (voluntarism)?

d.   assumptions of a *methodological* nature: is the main concern understanding that which is general through the use of quantitative analyses (nomothetic) or understanding that which is unique to the individual through the use of qualitative analyses (ideographic)?

The extremes of these four categories of assumption creates a continuum which ranges from the subjective through to the objective approach to social science (Table 4.).

Table 4. A Scheme for Analysing Assumptions About the Nature of Social Science

SUBJECTIVIST		OBJECTIVIST
Nominalism	Ontology	Realism
Anti-positivism	Epistemology	Positivism
Voluntarism	Human Nature	Determinism
Ideographic	Methodology	Nomothetic

Source: Burrell and Morgan, 1989.

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The second dimension of the Burrell and Morgan framework is concerned with the way in which social scientists understand society - either in terms of regulation or radical change. The differences between these two sociologies are best understood through a diagram (see Table 5.).

Table 5. The Regulation-Radical Change Dimension for Studying Social Systems

REGULATION	RADICAL CHANGE
Status quo	Radical change
Social order	Structural conflict
Consensus	Domination
Integration and cohesion	Contradiction
Solidarity	Emancipation
Need satisfaction	Deprivation
Actuality	Potentiality

Source: Burrell and Morgan, 1989.

Combination of the 'subject-objective' dimension and the 'regulation-radical change' dimension results in the production of a four celled matrix which defines four distinct sociological paradigms. Burrell and Morgan label these paradigms 'functionalist', 'interpretive', 'radical humanist', and 'radical structuralist' (figure 13.).

```
                          Regulation
                              |
         Functionalist        |        Interpretive
                              |
Objective ————————————————————+———————————————————— Subjective
                              |
         Radical              |        Radical
         Structuralist        |        Humanist
                              |
                          Radical
                          Change
```
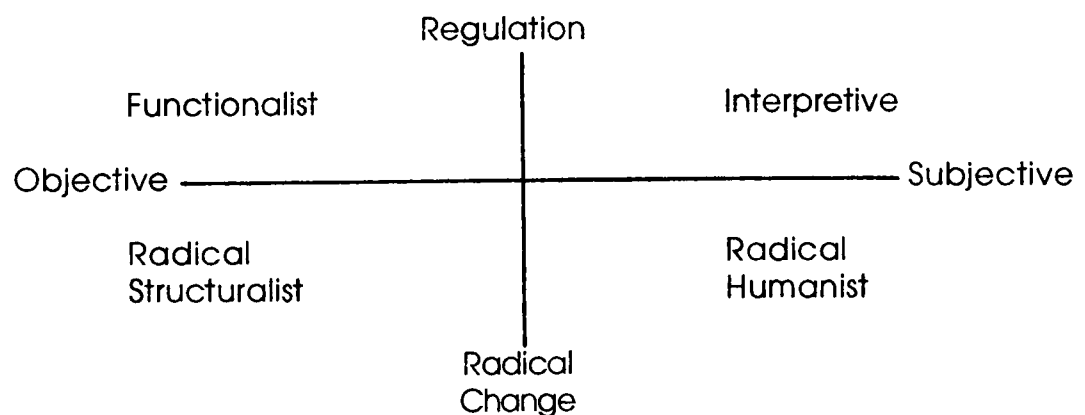
Figure 13. Four Paradigm Framework for Organisational Analysis

Source: Burrell and Morgan, 1989.

Burrell and Morgan state that "It is our contention that all social theorists can be located within the context of these four paradigms according to the meta-theoretical assumptions reflected in their work." (p. 24). Whilst seeing the four paradigms as separate, yet contingent, and together as forming a unified whole (like Yin and Yang), Burrell and Morgan view the paradigms themselves as being incommensurable given the different nature of the assumptions upon which they are based. Thus, whilst a theorist may move between the different paradigms it is impossible to occupy two paradigms concurrently:

"...the four paradigms are mutually exclusive. They offer alternative views of social reality, and to understand the nature of all four is to understand four different views of society. They offer different ways of seeing. A synthesis is not possible, since in their pure forms they are contradictory, being based on at least one set of opposing meta-theoretical assumptions. They are alternatives, in the sense that one *can* operate in different paradigms sequentially over time, but mutually exclusive, in the sense that one cannot operate in more than one paradigm at any given point in time, since in accepting the assumptions of one, we defy the assumptions of all the others." (p. 25).

(We shall return to the issue of paradigm incommensurability in section 9.2.3 and the grounds for Flood and Jackson's complementarism will be discussed in section 9.5.)

9.2.2 Note on the Four Types of Evaluation

The first part of this thesis established the need for a complementarist approach to evaluation. That need was based on the surfacing of the different strengths and weaknesses of the various approaches. We are now in a position to relate the methodologies to their grounding paradigms, the inherent assumptions of which may be said to be the source of those strengths and weaknesses.

The goal model rests on the assumption that organisations are goal-seeking machines and is a functionalist approach (in social theory terms). The system-resource model rests on the assumption that organisations are open-systems seeking to ensure their own survival in a turbulent environment and is a variant of functionalism. The multi-actor model rests on the assumption that organisations exist to serve the interests of a coalition of stakeholders and moves close to being an interpretive approach. The culture based model rests on the assumption that organisations are autopoietic systems which seek to reproduce themselves principally through their cultures, and is (very roughly) another variant of functionalism.

As has been said, these approaches to evaluation and the corresponding approaches to social theory are the usual alternatives found in the literature. However, some social theory (usually deriving from Marxism) takes a 'radical change' rather than a 'regulative' view of organisations and society. On this basis, it should be possible to consider types of evaluation methodology designed to judge how effective organisations are in bringing about radical change. The matter of evaluation in radical change contexts, where the prison and instrument of domination metaphors are highlighted, will be returned to in the next chapter where the issue of coercive contexts will be discussed.

9.2.3   From Incommensurability to Complementarity

Having defined the four paradigms, it is necessary to go on to look at how they were intended to be used. Reflecting on his earlier work with Burrell, Morgan (1990) states that:

"The paradigms discussed by Burrell and Morgan are not merely typologies, and the primary purpose of conceiving social theory and

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organisational analysis in these terms is not simply to classify theory and research in terms of different dimensions and to determine the location of one social or organizational theorist *vis-à-vis* another. The paradigms and the dimensions through which they are characterized present the interested social scientist with an invitation to discern and explore the deep structure of assumptions which underlie different modes of theorizing." (p. 14).

Thus, it can be said that in their early work Burrell and Morgan, as true pluralists, were not merely seeking to comment on the diversity which they found in organisation theory and to bring some order to it but, also, they were seeking to encourage theorists to critically reflect on the assumptions they were making and, consequently, the limitations of their own work. Having provided the means by which theorists might come to acknowledge the existence and validity of other 'world views', Morgan proceeded to develop his arguments on the complementary nature of the different paradigms. Indeed, in his later work, Morgan (1983) focused on the notion of 'creative conversation' between the paradigms. This gradual relaxing of the concept of paradigm incommensurability by Morgan culminated in his development of a full-blown complementarist theory in the book 'Images of Organizations' (1986). In this book, Morgan orders organisation theory around eight metaphors which each offer some kind of insight, based on their underlying theory, into the operations of the organisation.

Whilst Morgan's work is illuminating, the variety which it offers to the average practitioner is overwhelming. It is all very well to say that all of these metaphors and, consequently, all of these theories are equally relevant to the organisation concurrently but, practically, how might a complementarist, given the cognitive capacity of the average person, approach an intervention? Cybernetically speaking, the practitioner requires some 'tool' to attenuate the variety of the subject and enable him/her to identify the most critical issues and, based on this, to choose

the most appropriate methodology to employ. It is the nature of this 'tool', or meta-methodology, which is problematic.

9.2.4   <u>Note on the NACVS Pilot Projects</u>

It was reported in section 3.3 that, at the start of the NACVS project, selection of the most appropriate evaluation methodology for use in each of the pilot projects was based around the issues raised by two questionnaires (Appendix 10). Answers to the questions raised by the questionnaires were linked to a classification of evaluation methodologies which was, it can now be seen, based on the Burrell and Morgan classification. Formulation and use of this grid was quite pragmatic: we were under pressure to provide a classification of evaluation methodologies as a starting point from which the pilot projects could commence and it seemed to do the trick (in retrospect, it has to be said that the initial grid provided more of a stimulus for discussion and learning than a 'set in stone' guide to the most appropriate evaluation methodology). It is not surprising, therefore, that by the end of the project this grid had been dropped and in the NACVS Final Project Report (Gregory and Jackson, 1992) it was concluded that "In selecting an evaluation methodology there are some broad issues, to which general consideration should be given, and some more specific questions, to which yes or no answers may be given." (p. 51). The broader issues affecting the process were:

- the influence of powerful external parties, e.g. funders;
- the level of development of an organisation's management systems;
- the organisation's ability to stimulate interest and involvement in its evaluation;
- the availability of resources for the evaluation exercise.

The more specific issues which it was felt might guide the selection of the appropriate evaluation methodology were based on the key characteristics of the four different methodologies (see Table 6.).

Table 6. Summary of Issues Relevant to the Selection of an Appropriate Evaluation Methodology

	Goal	Multi-Actor	System-Resource	Culture
Quantitative Orientation	√	x	√	x
Qualitative Orientation	x	√	√ / x	√
Attempts to clarify organisational goals	√	√	x	√
Helps to clarify individuals' goals	√ / x	x	x	√
Focuses on the organisation within its environment	x	√	√	√
Requires the services of an expert	x	x	√	√ / x
Takes more than one day to operate	√	√	√ / x	√ / x
Involves long term monitoring	√	√	x	x
May be useful to show to funders	√	√	√	√ / x

√   Represents 'Yes'

x   Represents 'No'

√ / x   Represents 'Maybe'

In view of the early project experience and, ironically, as the pressure to provide a theory was not as intense at the end of the project as at the beginning, the guidelines were suggested in a more tentative manner in the NACVS Final Project Report: "The guide-lines are by no means conclusive, very often intuition leads one to the most appropriate form of evaluation" (p. 52). Thus, it can be said that thought about how best to classify evaluation contexts and discern the most appropriate methodology for use in an evaluation changed during the course of the life of the NACVS project. By the end of the pilot projects we were not too proud to admit that, upon reflection, we had learnt very little about how to select the most appropriate evaluation methodology in a given context. The fact that each of the pilot projects seemed to 'get something' from their evaluation appeared to add force to the complementarist

argument (that all grounded theories are equally relevant). But this did not help our ability to surface the critical issues to ensure that the most relevant form of evaluation was being employed. Reflection on this unsatisfactory state has resulted in the hypothesis that evaluation might borrow a meta-methodology from systems theory.

9.3   Flood and Jackson's Total Systems Intervention (TSI)

9.3.1   Introduction

Morgan's (1986) ideas on metaphor have been incorporated into Flood and Jackson's (1991) systems meta-theory Total Systems Intervention (TSI). TSI:

> "...uses a range of systems metaphors to encourage creative thinking
> about organisations and their problems. These metaphors are linked
> by a framework - the system of systems methodologies - to various
> systems approaches, so that once agreement is reached about
> which metaphors are most relevant to an organisation's concerns and
> problems, an appropriate systems-based intervention methodology
> (or set of methodologies) can be employed." (Jackson, 1991a, p. 271).

Given the common development of evaluation theory and systems methodology, it would seem logical that TSI may be appropriate for use by both. This is a tentative proposition which requires both theoretical and practical assessment. To explore it, we must first look at the principles and methodology of TSI as applied to systems intervention. The following summary of the TSI meta-methodology is adapted from Jackson (1991a).

9.3.2   Principles of TSI

1.   Organisations are too complicated to understand using a single management model of the organisation and organisational problems are too complex to be treated with the "quick fix";

2.   Organisations and their problems are best investigated using a range of systems metaphors;

3.   Systems metaphors can be linked to systems methodologies to guide intervention;

4.   Different systems metaphors and methodologies may be used in a complementary way to address different aspects of organisations and their problems;

5.   It is possible to surface the assumptions, strengths and weaknesses inherent in the different systems approaches and to relate each to its most appropriate context for use;

6.   TSI represents a systemic cycle of inquiry with iteration between the 3 phases of creativity, choice and implementation;

7.   Facilitators, clients and all other interested parties are engaged in each of the stages of TSI.

9.3.3   The Methodology of TSI

Stage 1   *Creativity*

The task at this stage of the methodology is to highlight aims, concerns and problems through the use of systems metaphors. TSI employs a set of metaphors which "...capture, at a general level, the insights of almost all management and organisation theory." (Flood and Jackson, 1991a, p. 7). The metaphors are:

the organisation as a "machine";

the organisation as an "organism";

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the organisation as a "brain";

the organisation as a "culture";

the organisation as a "team";

the organisation as a "coalition";

the organisation as a "prison".

The metaphors act as filters which offer insight into the problem situation and thus encourage those involved to think creatively about the problem situation. Flood and Jackson recognise, however, that the direct use of the metaphors may be deemed too 'abstract' and, consequently, recommend the employment of three questions as a means of surfacing the dominant and dependent metaphors in a given problem situation:

1. Which metaphors reflect current thinking about organisational strategies, structures, and control and information systems (including past, present and future concerns)?

2. Which alternative metaphors might capture better what could be achieved by this organisation?

3. Which metaphors make sense of this organisation's difficulties and concerns?

Following this analysis, the outcome should be the identification of dominant and dependent metaphors which highlight the major issues.

Stage 2   *Choice*

The task at the second stage of the meta-methodology is to choose an appropriate systems based intervention methodology (methodologies) based upon the issues revealed in the first stage. The tool provided by TSI to facilitate this choice is the System of Systems Methodologies (SOSM), originally devised by Jackson and Keys

(1984) and developed by Jackson (1987). A previous attempt at aligning approaches to evaluation with the SOSM was made by Jackson and Medjedoub (1988).

The SOSM is an ideal-type grouping of problem contexts based on the two dimensions of:

1.   system complexity, which ranges from simple to complex; and

2.   nature of relationship between participants, which may be classified as unitary, pluralist or coercive.

Combining these two dimensions results in a six-celled grid of problem contexts (figure 14.).

	UNITARY	PLURALIST	COERCIVE
SIMPLE	Simple- Unitary	Simple- Pluralist	Simple- Coercive
COMPLEX	Complex- Unitary	Complex- Pluralist	Complex- Coercive

Figure 14. An Ideal Type Grouping of Problem Contexts

Source: Flood and Jackson, 1991a.

Flood and Jackson then proceed to analyse the various problem-solving methodologies by surfacing the assumptions inherent in them and, on the basis of this analysis, assigning the methodologies to their appropriate cells in the framework (figure 15.).

	UNITARY	PLURALIST	COERCIVE
SIMPLE	<u>S-U</u> • Operational research • Systems analysis • Systems engineering • Systems dynamics	<u>S-P</u> • Social systems design • Strategic assumption surfacing and testing	<u>S-C</u> • Critical systems heuristics
COMPLEX	<u>C-U</u> • Viable systems diagnosis • General systems theory • Socio-tech • Contingency theory	<u>C-P</u> • Soft systems methodology • Interactive planning	<u>C-C</u> ?

Figure 15. A Grouping of Systems Methodologies Based Upon the Assumptions They Make About Problem Contexts

Source: Flood and Jackson, 1991a.

In summarising their arguments, Flood and Jackson formulate the SOSM through the metaphors (figure 16.).
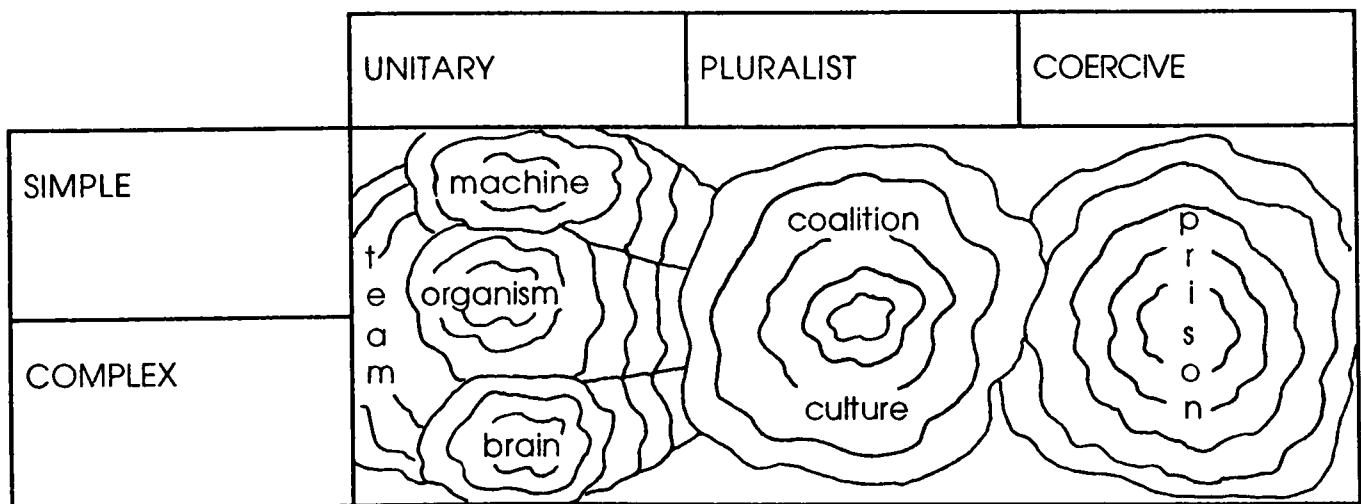
Figure 16. Constituting the System of Systems Methodologies Through Dominant Metaphors

Source: Flood and Jackson, 1991a.

Thus, the outcome of this second stage of TSI should be the identification of the most appropriate systems methodology for use given the issues raised.

Stage 3   *Implementation*

The final stage of the TSI methodology is the implementation stage in which the task is to arrive at and implement specific change proposals. The identification in the two previous stages of dominant and dependent metaphors and, consequently, dominant and dependent problem solving methodologies should, it is concluded, serve to ensure "...coordinated change brought about in those aspects of the organisation currently most vital for its effective and efficient functioning." (Flood and Jackson, 1991b, p. 329).

9.4   TSI: A Meta-Methodology for Evaluation Theory?

In the previous section a review of the principles and methodology of TSI, a meta-methodology for enabling the employment of the most appropriate systems methodology in a given context, was undertaken. Given that we have already linked the development of evaluation theory with that of systems methodology, it would seem logical that TSI may be appropriate for facilitating selection between evaluation methodologies. In the next section, we shall investigate the possibility of using TSI as an appropriate meta-methodology for evaluation theory.

9.4.1   Unearthing Assumptions and Constituting the SOSM Through the Evaluation Methodologies

At the heart of TSI is the SOSM. In order to demonstrate the usefulness of TSI to evaluation, it is first necessary to demonstrate that the SOSM can be employed to classify evaluation methodologies. If this can be achieved, a big step in showing the value of TSI in the evaluation context will have been taken. To do this, we must analyse the dominant evaluation methodologies in terms of the assumptions they

make about system complexity and the relationship between the systems participants.

In its purest form, goal based evaluation accepts the goals of the owners or controllers of the organisation as being those of the whole organisation. The allegiance of other stakeholders to these goals is taken for granted. Thus, goal based evaluation is founded on the assumption that the organisation is in a unitary state. As regards system complexity, the organisation is regarded as being a closed system with routine, mechanistic operations and, consequently, may be classified as simple on the system complexity scale. Based on this analysis, the goal form of evaluation may be placed in the simple-unitary cell of the framework.

The system-resource form of evaluation emphasises the organisation's adaptation to and interactions with its environment; its various sub-systems together meet its needs in order that it can do this (the sub-systems act in harmony like the organs of the body). Hence, this form of evaluation regards the organisation to be in a unitary state as it seeks to rise to the challenges thrown up by the environment. At the heart of the system-resource form of evaluation is the comparison of the actual organisation with some ideal model. Whilst ideal models may vary, each serves to propose a set of critical processes necessary for the organisation to maintain its viability. These models assume greater complexity and turbulence than the goal based models. Hence, it seems that the system-resource form of evaluation assumes a complex system. Thus, system-resource based evaluation can be placed in the complex-unitary cell of the framework.

The multi-actor form of evaluation revolves around the surfacing and collecting of interested parties' opinions and is quite explicit about its pluralist orientation. As regards system complexity, with its emphasis on the identification of interdependent groups of interested parties, within and without the organisation, this form of

evaluation may be regarded as assuming a complex system. Hence, the multi-actor form of evaluation may be placed in the complex-pluralist cell of the framework.

The culture based form of evaluation concentrates on the determination of a future state of being for the organisation which, unlike the goal approach where the goal state is determined with reference to an external entity such as the system owner, is the product of both the intrinsic abilities/nature of the elements and reflection upon the desired future individual and collective state. Thus, with the culture form of evaluation, whilst the system is seen as comprised of elements which are capable of exhibiting high variety, this variety is highly restricted and predictable, being based on the gradual development of only those abilities, values, etc. which are of worth to the organisation and, consequently, the system is regarded as being of low complexity. This classification of culture based evaluation may be further justified on the grounds that, whilst the system may be said to be structurally-coupled to its environment, for the most part the evaluation focuses only on internal matters. However, given the potentially diverse nature of the elements, that they are capable of exhibiting free-will and having goals separate from, even conflicting with, those of the system as a whole, the system is classified as being pluralist. Based on this, the culture form of evaluation may best be placed in the simple-pluralist cell of the framework.

It can be seen from figure 17. that the combination of the two dimensions of 'system complexity' and 'nature of relationships between system participants' provides a 'good' means for differentiating between the evaluation methodologies. Thus, the classification inherent in TSI is, for our purposes, more discriminatory than that proposed by Burrell and Morgan (1979) which, for the most part, classified the evaluation methodologies in the functionalist school of thought.

	Unitary	Pluralist	Coercive
Simple	<u>S-U</u> • Goal Based Eval.	<u>S-P</u> • Culture Based Eval.	<u>S-C</u> • ?
Complex	<u>C-U</u> • System-Resource Based Eval.	<u>C-P</u> • Multi-Actor Based Eval.	<u>C-C</u> • ?

<u>Figure 17. A Grouping of Evaluation Methodologies Based Upon the Assumptions They Make About Problem Contexts</u>

9.4.2   Comment

In section 9.2.4 the absence of and the need for a meta-methodology for evaluation was discussed. Following a review of the basic principles of TSI, it has been shown in the previous section that TSI might be adapted for use with the evaluation methodologies. But demonstrating that TSI can accommodate evaluation theory does not mean that it should. Before we take further steps along this path we need to consider the theoretical and practical pluses and minuses of TSI.

9.5   TSI: The Debate

There can be no doubt that TSI has been the subject of severe criticism, indeed it has been said of the debate over TSI that "The bloody engagement is making previous skirmishes in the systems community resemble minor spats at a sewing circle in comparison." (Brocklesby, 1994, p. 75). In the following account of the debate, or 'brawl', which is going on about TSI, we shall focus on, for the most part, two critiques:

the critique put forth by the practitioner Green (1993) and the critique proposed by the theorist Tsoukas (1993).

Having used TSI in a project which addressed the problems of organisational communication in North Yorkshire Police, Green critically reflected upon the meta-methodology. Whilst Green claims to base his critique on the criticisms anticipated by Flood and Jackson, for example that TSI may be viewed as 'a massive over-elaboration which exposes the practitioner to a huge range of systems metaphors and methodologies', he does, in fact, also seek to level at TSI a new set of criticisms.

Firstly, Green calls for the abandonment of the SOSM. He argues:

> "Given the invaluable bridge....which the metaphors provide between the methodology and the practicing managers, this has led me to question whether or not the methodology could operate without any reference to the SOSM. I can understand the value of the Systems of Systems Methodologies in establishing, in the mind of a first-time user, an initial critical appreciation of the methodologies which can be accessed through TSI. This, however, suggests that the "grid" is a necessary stage in *learning*, rather than *using*, TSI and does not suggest that the System of Systems Methodologies needs to be visited on every occasion of every use, by every user, of the methodology." (p. 74).

Green's arguments for the abandonment of the SOSM may be disputed on the grounds that once the foundations of TSI, including the SOSM, are absorbed, the theoretical principles of TSI become second nature to the practitioner. Furthermore, learning and using TSI should be one and the same - as every problem situation is unique, so the application of TSI is unique and so there is much to be learnt, about TSI as well as about the problem situation, every time the meta-methodology is used.

Second, Green argues that TSI is "...a prisoner of the range of systems methodologies to which it provides access." (p. 75). Given that TSI is restricted to those methodologies which already exist, it is hard to dispute that TSI offers a narrow selection of methodologies for use if one consider the variety of methodologies which might potentially be developed. However, it may be said that, whilst TSI may be limited to a narrow range of systems methodologies, those proffered by TSI do have a sound theoretical foundation, as evidenced by the surfacing of their inherent assumptions as per the SOSM (many of the other methodologies on offer may be seen to be composites of these grounded models). Perhaps TSI is a prisoner but this is attributable to the level of current knowledge and its own standards of quality and theoretical purity which is no bad thing. Perhaps some freedom will be granted to TSI if Green's call for the development of a new set of methodologies which are true to the principles of each of the cells embodied in the SOSM is met.

Commenting further on the variety of systems methodologies which TSI offers access to, Green points out that if TSI suggests for use a methodology with which the practitioner is not versed, this may result in frustration and/or the calling in of an expert. It appears somewhat ironic that whilst Green argues that, from a theoretical viewpoint TSI only includes a restricted range of systems methodologies, from a practical viewpoint the variety inherent in the systems methodologies may be too much for the average practitioner to cope with.

Cummings (1994) has also discussed this point about the feasibility in practice of complementarism, "In theory complementarism is a worthy ideal. In practice it is culturally infeasible...Respecting other approaches is one thing, having the inclination and the ability to implement them is another." (p. 4). As a solution to the problems of lack of ability or inclination, Cummings suggests that teams be employed which cover the range of skills required by TSI. However, Cummings also finds problems with his own suggested solution. He argues that such a group would

be combustible, given the different paradigmatic leanings of each of the consultants, and that the fee implications of employing a team rather than an individual consultant would render the approach not feasible, especially as all of the consultants must be actively involved in the creativity phase to prevent the pre-judging of the most relevant methodology. It would seem that there is no easy resolution between the desire for theoretical diversity and the need for ease of use in practice.

Third, Green states that, whilst Flood and Jackson claim that TSI is the practical face of critical systems thinking, "...there is nothing intrinsic to the methodology which forces users to embrace the cause of emancipation. TSI could easily be "hijacked" and used in as oppressive a way as the user desired." (p. 77). Green concedes, though, that the inclusion of the political metaphor does ensure that issues of coercion are discussed, in however a cursory manner, in every intervention. This 'hijacking' of TSI is a concern shared by Brocklesby who states "While it is hard to imagine practitioners not already committed to CST using TSI in the prescribed manner, it is relatively easy to imagine them employing the *technology of TSI*, divorced from CST." (p. 82). In voicing his concerns, Brocklesby comes up with the only answer, however unsatisfactory, to this criticism, "...the question of how the SOSM is used is beyond Flood and Jackson's control. This is an epistemological matter that users will resolve according to their own paradigmatic allegiances." (p. 82).

It can be seen from the foregoing discussion of Green's critique that his comments are not 'life-threatening' to TSI. Indeed, he concludes that "...TSI, as an approach to managing organizational problems, has a bright future ahead of it." (p. 79). Of more concern to the supporters of TSI, then, may be the comments made by Tsoukas. He claims that "...TSI is fraught with logical contradictions, methodologically weak, and practically incoherent." (p. 54). Indeed, such stinging remarks have led Cummings to paint the scenario of Tsoukas as an 'academic hooligan' against which TSI has rallied

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a 'posse of supporters'. As TSI's fiercest opponent, Tsoukas' damning critique demands attention.

First, Tsoukas argues that the SOSM, as used by Flood and Jackson, represents 'a confusion of logical types' and questions whether it 'unearths assumptions inherent in methodologies or presents an ideal representation of problems contexts'. According to Tsoukas, one must be explicit about how the SOSM is being used as "...problem-solving methods belong to a higher logical type than problem situations per se (i.e., at a meta-level), and a discourse on problem-solving methods (which is one version of what SYSM aspires to be) would belong at an even higher logical type (i.e., at a meta-meta-level)..." (p. 59, note that Tsoukas refers to the SOSM as the SYSM). Thus, it would seem that Tsoukas is asking for a point of clarity here and Jackson (1993) has answered his request, "...in TSI, SOSM is used to classify the assumptions made by problem-solving methods. It has nothing to do with classifying problem situations. SOSM operates, therefore, at what Tsoukas calls the meta-meta-level." (p. 289). However, anticipating Jackson's reply, Tsoukas argues that "...Jackson is free to view SYSM as a typology for classifying problem-solving methods....he is not free, from a logical point of view, to criticize others for viewing the same typology as a device for the classification of *problem situations*." (pp. 59-60). Tsoukas' point here is perhaps more critical than his previous one. As a complementarist, Jackson must accept the existence of positivists and thus be prepared for a positivist interpretation of the SOSM (this harks back to Green and Brocklesby's arguments on the fact that Flood and Jackson have no control over the spirit in which TSI is employed). Indeed, so thorough is Tsoukas in his critical reading of Flood and Jackson that he is even able to discern positivism creeping into their writings, "Flood and Jackson's preoccupation with coercive contexts implies that they accept the reality of such contexts, namely, that these contexts exist in the real world and not simply in the analyst's method of inquiry, which, of course, contradicts an important premise of CSP." (p. 60).

Following on from this, Tsoukas develops his arguments about 'the inadequacy of complementarism'. Flood and Jackson base their arguments for complementarism on Habermas' theory of knowledge constitutive interests. Flood and Jackson align different systems methodologies with the three interests and opine that, on this basis, the systems methodologies may be considered complementary. However, Tsoukas finds this separation problematic:

> "To say, following Habermas, that "work" leads "human beings to have a 'technical interest' in the prediction and control of natural and social affairs" (Flood and Jackson, 1991b, p. 200) hence the need for positivism - is only half-true. The other half is that "work" is fundamentally, and inextricably, linked to "interaction" (the practical interest) and "power" (the emancipatory interest) in ways that a discourse addressing "work" alone inevitably makes assumptions about the other two anthropological interests." (p. 62).

Tsoukas' comments here undoubtedly strike at the heart of Flood and Jackson's complementarism. However, in TSI Flood and Jackson have sought to balance the three knowledge constitutive interests through the use of both dominant and dependent metaphors. Indeed, the use of the metaphors in a complementary way has raised questions about how one goes about prioritising the metaphors and distinguishing which should be classed as dominant and which dependent given that all issues raised are relevant in and contributory to a problem situation. Cummings has suggested that the metaphors should all be pursued equally as this would further endorse TSI's complementarist roots in respecting multiple perspectives of a problem situation. Despite the negative practical implications of pursuing all of the metaphors, perhaps this would satisfy Tsoukas' reservations about the grounds for a complementarist approach based on Habermas' knowledge constitutive theory.

Tsoukas's second line of attack on the complementarist approach is directed at the different paradigmatic assumptions embodied by the different systems methodologies. Tsoukas states:

"To say, therefore, that hard systems methods work to support the technical interest, and soft systems methods can assist the practical interest - hence their compatibility - would be true only if these methods were mere techniques disconnected from broader paradigms. However, Flood and Jackson (as well as others) have spent a great deal of their time trying to convince their colleagues that these methods are not just neutral instruments but also ways of managing problems that incorporate fundamental ontological and epistemological assumptions." (pp. 62-63).

Given that the unearthing of the paradigmatic assumptions which undergird the different systems methodologies is fundamental to TSI it is difficult to see the basis for Tsoukas' claiming that Flood and Jackson have ever based the complementarity of the systems approaches on their being regarded as mere value-free techniques (is this comment due to Tsoukas assuming a positivist interpretation of the SOSM?). In a similar vein, Brocklesby argues that systems methodologies cannot be regarded as neutral, technical instruments for cultural reasons:

"...one has to question whether the availability of formal guidance for methodology choice is sufficient to nullify the influence of the complex configuration of contextual factors that predispose systems people to favor particular methodologies and avoid others, irrespective of the situation in which the intervention occurs." (p. 77).

Having made this statement, Brocklesby congratulates TSI for, at the same time as providing formal guidance, Its explicit acknowledgement of the influence of cultural factors through its fundamental commitment to 'sociological awareness'.

Third, Tsoukas argues that the use of metaphors in organisational diagnosis is both redundant and circular. Tsoukas states that, whilst the use of metaphors may be justified on the grounds of facilitating communication with those involved in the problems situation, there are no cognitive grounds for the use of metaphor and, hence, "...the use of metaphors in the creativity phase appears to be *contingently* connected to TSI, not intrinsically." (pp. 63-64). Furthermore, Tsoukas claims that:

> "...the very use of these metaphors will not merely reveal an otherwise mute, independent reality but, in an important way, will also help define that reality....How do you know that these problems are "out there," independent of the analyst's vocabulary, rather than being created by the analyst as a result of using a particular vocabulary?"
> (p. 64).

Tsoukas seems to have rather shot himself in the foot here, for Flood and Jackson explicitly embrace the subjectivist position and, indeed, see the practitioner as part of the problem situation. Furthermore, as has been previously said, Flood and Jackson have sought to ensure that the practitioner does not create the problem situation through the use of 'a particular vocabulary' by instructing him in the use of multiple metaphors.

Fourth, Tsoukas claims that TSI is contingently not intrinsically linked to critical systems practice. Tsoukas asks "Could not one use TSI without subscribing to CSP? What happens to all those lofty ideals of "emancipation" and "social awareness" when CSP is put into practice?" (p. 67). Once again, Tsoukas has doubled back on himself. How can he criticise Flood and Jackson for failing to recognise that systems

methodologies are not mere value-free techniques but the practical expressions of a host of paradigmatic assumptions, on the one hand, and then ask them what they are going to do when TSI is used as a, seemingly, value-free technique? In response, Flood and Jackson reaffirm their commitment to their belief that, when employed in the spirit in which it is meant to be employed, TSI is the practical expression of critical systems thinking.

It can be seen from the above that Tsoukas' comments are often not as 'fatal' to TSI as they first appear. It must be appreciated that Tsoukas subscribes to a different Weltanshauung, or world-view, to that of Flood and Jackson hence, whilst his comments may appear reasonable, they can always be opposed with a competing argument and reasoned away.

In the foregoing, the main arguments and criticisms which have been levelled against TSI, from both the practical and theoretical stances, were reviewed. TSI held its corner well and, it now may be said, appears as robust and well-thought out a meta-methodology as currently exists. Based on this conclusion, the next section will be dedicated to demonstrating how TSI might be used to guide the choice of evaluation methodology.

9.6   The Use of TSI in an Evaluation

In previous sections it has been established that not only is it possible to apply TSI to evaluation theory but, also, that it may be deemed desirable to do so. In this section, summary discussion will be made of how TSI might be used in an evaluation by running through the three stages of creativity, choice and implementation.

Stage 1   Creativity
In this stage, the systems metaphors would be used to surface the main issues of concern and the aspects of the organisation's functioning it is most desirable that the

evaluation address. As has been stated in section 9.3.3, the metaphors are best applied indirectly through the discussion of the three leading questions suggested by Flood and Jackson. Hence, the output of this first stage of the intervention should be the selection of dominant and dependent metaphors.

Stage 2   Choice

In the second stage, the dominant and dependent metaphors identified in the creativity stage should be located in the grid of the SOSM formulated through the metaphors. Based on the location of the metaphors, the assumptions about system complexity and the nature of relationships between system participants inherent in the chosen metaphors should be revealed. Following this, the version of the SOSM formulated through the evaluation methodologies should be turned to. Based on the assumptions revealed in the dominant and dependent metaphors, the equivalent cell in the SOSM should be identified and, as a result, the most appropriate form of evaluation detected.

Stage 3   Implementation

Following the detection of the most appropriate form of evaluation (from the dominant metaphor) and other relevant forms of evaluation (from the dependent metaphors), their use in practice should result in the production of highly relevant information upon which plans for change to improve effectiveness and efficiency of the organisation might be based.

9.7   <u>Conclusion</u>

In this chapter the grounds, based on complementarism, and the need, based on the NACVS pilot project experience, for a meta-methodology for selecting the most appropriate form of evaluation to employ in a given situation were addressed. It was argued that, as no appropriate meta-methodology currently exists in evaluation theory and as the selection of the models of evaluation in the pilot projects was more

'ad hoc' than based on solid theory, it might be appropriate to 'borrow' the meta-methodology known as TSI from systems theory. Following a review of the principles of TSI, it was established that it was theoretically possible to fit the evaluation methodologies in the TSI framework. Having established that it was possible to use TSI with reference to evaluation, consideration was paid to whether or not this was a 'good' thing to do. Following a critique of TSI, it was concluded that TSI appears to be as robust and well-thought out a meta-methodology as currently exists and that its use in relation to evaluation methodologies, as was demonstrated in section 9.7, may be no bad thing.

It may have been noted that question marks were placed in the coercive cells of figure 17. In the next chapter suggestions will be made of appropriate evaluation methodologies for use in such contexts.

CHAPTER 10

THE ROLE OF THE EVALUATOR AND THE TRICKY ISSUE OF COERCIVE CONTEXTS

10.1   Introduction

In the previous chapter it was suggested that the meta-methodology known as Total Systems Intervention (TSI) was the most appropriate framework for surfacing organisational issues and the assumptions inherent in evaluation methodologies and, thus, enabling the choice between the different methodologies.

Based on the critique of TSI developed in the previous chapter, it was concluded that TSI is as robust a meta-methodology as any that currently exists. Furthermore, there is a pleasing 'fit' between the models of evaluation derived from the literature in the early chapters of this thesis and the classes of assumptions used by TSI. However, whilst we were able to fit models of evaluation to the unitary and pluralist contexts we have not, so far, been able to identify appropriate models of evaluation for coercive contexts (in Chapter 9 when investigating the ability of Burrell and Morgan's (1979) classification to distinguish between the different evaluation methodologies none were found to fit into the radical paradigms either). In the NACVS project there was no pressure to develop additional models of evaluation and the question of coercive contexts never arose (given the limited size of the pilot project scheme, perhaps we did not experience such contexts or perhaps we did not find them because we did not look). So, should coercive contexts simply be disregarded or do evaluation theorists and practitioners have an ethical responsibility to question whether such contexts exist and what forms of evaluation might be appropriate for use therein?

In this chapter the role of the evaluator as a key factor in the determination of the nature of the evaluation context and the nature of the change that is brought about

by the evaluation will be discussed. Following this, a critical assessment of the roles open to an evaluator will be undertaken and discussion made of how the evaluator's 'tool-bag' might be enhanced by the development of methodologies which embody 'radical' principles and, thus, might be appropriate for use in coercive contexts.

10.2   The Nature of Change and The Role of the Evaluator

TSI is based on the idea that the selection of an intervention methodology fundamentally depends upon two variables: the nature of the relationship between system participants and the level of system complexity. It may be argued that this is a gross over-simplification, not only in terms of the variables guiding the methodology choice but, also, as regards the nature of a practical intervention. Brocklesby (1994) has claimed that elements of culture often have more of an influence on the intervention process than any formal guidelines that the practitioner might profess to adhere to. Also, in view of the pilot project experience, it might be said that another key determinant is the nature of the evaluator and how he/she perceives his/her role. It is very difficult to discuss the role of the evaluator without touching on the issue of divergent viewpoints about the extent and nature of the change that evaluation is seen to be purposive in bringing about, as one is very much dependent on the other. Hence, in this section discussion will be made of the nature of the change which evaluation is seen to bring about and the role of the evaluator. To start with, though, the different stances adopted by several popular evaluation theorists will be examined.

Cronbach (1980) is identified by Shadish et al. (1991) as holding the, some might say, realistic view that "...most social change is gradual. Still, successive small repairs and added fixtures do accumulate over time to create a different edifice." (p. 337). Hence, the type of evaluation advocated by Cronbach was very much oriented towards the achievement of minor or piece-meal change which serves to maintain

the status quo and, thus, may be classified as falling within the regulation oriented contexts of the Burrell and Morgan (1979) classification and the unitary/pluralist contexts of Jackson and Keys' (1984) system of systems methodologies.

Cronbach, according to Shadish et al., believes evaluation to be most effective in stimulating change when the evaluator maintains an independent stance as he/she:

> "...has a political influence even when he does not aspire to it. He can be an arm of those in power, but he loses most of his value in that role if he does not think independently and critically. He can put himself in the service of some partisan interest outside the center of power, but there again his unique contribution is a critical, scholarly habit of mind. He can, we assert, render greatest service if he becomes an informant to and educator of all parties to a decision, making available to them the lessons of experience and critical thinking. Since information produces power, such diffusion of information is power equalizing." (p. 341).

Given Cronbach's arguments for evaluation's role in bringing about minor change and for 'crafting the evaluation to the political system' it is not surprising to find him adopting an essentially pro-management stance; although not so explicitly as suggested by Bellavita, Wholey and Abramson (1986).

Shadish et al. have said that Bellavita et al. call for evaluators "...to limit their role as social critics and to be team players working with management to improve programs..." (p. 233). In further exploring the implication of the 'team player' evaluator, Shadish et al. cite Bellavita et al. as stating that:

> "The new evaluator is a *program advocate* - not an advocate in the sense of an ideologue willing to manipulate data and to alter findings

to secure next year's funding. The new evaluator is someone who believes in and is interested in helping programs and organizations succeed. At times the program advocate evaluator will play the traditional critic role: challenging basic program assumptions, reporting lackluster performance, or identifying inefficiencies. The difference, however, is that criticism is not the end of performance-oriented evaluation; rather, it is part of a larger process of program and organizational improvement, a process that receives as much of the evaluator's attention and talents as the criticism function." (p. 234).

Cronbach and Bellavita et al. may be accused of, given the very pro-management stance they advocate, depriving the evaluator of his/her ability to be critical. However, they would probably respond that they are all about bringing about change which is, one might argue, the fundamental purpose of evaluation. Indeed, it might be claimed by Cronbach and Bellavita et al. that it is far easier to ignore as unrealistic and impossible proposals for far-reaching changes than it is to ignore suggestions for incremental or minor change such as might be the result of the types of evaluations they prescribe. This is the dilemma faced by Weiss (1970).

In her early work, Weiss made many pragmatic statements which, it may be claimed, were in the same frame as those of Cronbach and Bellavita. For example, Shadish et al. quote Weiss as stating:

"Evaluation is intended for use. Where basic research puts the emphasis on the production of knowledge and leaves its use to the natural processes of dissemination and application, evaluation starts out with *use* in mind. In its ideal form, evaluation is conducted for a client who has decisions to make and who looks to the evaluation for answers on which to base his decisions. Use is often less direct and

immediate than that, but it always provides the rationale for evaluation." (p. 182).

Further, Weiss is quoted as arguing that "...it does appear that evaluation research is most likely to affect decisions when the researcher accepts the values, assumptions, and objectives of the decision-maker..." (p. 187). However, whilst Weiss' arguments for facilitating the use of evaluation would seem to align her with Cronbach and Bellavita et al., unlike them Weiss called for evaluation to play a part in bringing about major, rather than minor, change. She states "...the basic proclivity of evaluation research is reformist. Its whole thrust is to improve the way that society copes with social problems..." (Shadish et al., p. 187). Thus, Weiss upholds the role of the evaluator as critic whilst, at the same time, she seeks to promote the practice of conducting evaluation in such a way that its findings cannot be ignored. Weiss adopts this tricky issue as the main subject of her work. However, as is the way when tackling difficult issues, Weiss is want to comment pessimistically, or one might say realistically, that "...in some fields there is a limit to how much more evaluation research can accomplish." (Shadish et al., p. 188) and, on an even more pessimistic note, that the traditional view of "...evaluation itself is problematic....Its decline is not the worst of the alternative futures we can imagine..." (Shadish et al., p. 190).

Scriven is part of the school of evaluation theorists who have argued for the independence of the evaluator. Shadish et al. quote Scriven as stating that "Bad is bad and good is good and it is the job of evaluators to decide which is which..." (p. 74). According to Scriven, evaluators can best make judgements through the use of an approach termed 'the science of valuing' which, he claims, serves the public interest and not the interests of any particular group. Thus, whilst Scriven argues for the primacy of the evaluator's judgement in an evaluation, he tempers that claim for expertise by stating that the evaluator's judgement should be based on the views of all those affected by a programme/organization (a model of evaluation which is referred to in this thesis as multi-actor evaluation).

Rossi takes this line of argument on the role of the evaluator a step further and adopts the view that the assignment of value should not be the task of the evaluator nor the manager but the task of those receiving the evaluation report. According to Rossi:

"In any political system sensitive to weighing, assessing, and balancing the conflicting claims and interests of a number of constituencies, one can expect an evaluation to play the role of expert witness, testifying to the degree of a program's effectiveness. A jury of decision makers and other stakeholders may give such testimony more weight than uninformed opinion or shrewd guessing, but it is they, not the witness, who reach a verdict." (Shadish et al., p. 385).

Thus, from this viewpoint, a report output from an evaluation should, to as large an extent as possible, simply be a statement of events from as many perspectives as possible and the value of those events is then read into them by those receiving the evaluation report. Rossi's conceptualisation of the role of the evaluator and evaluation would seem to be an ideal, stemming, perhaps, from his own role as an academic. Indeed, in reviewing the work of Rossi, Shadish et al. argue that each evaluator should draw on the particular strengths of his/her situation:

"The academic evaluator has more freedom and time to pursue critical questions about program outcome...It may well be that academic evaluators *should* take advantage of their opportunities to exercise independence of inquiry, because they are best placed to do so and such inquiries are badly needed. Similar but opposite arguments could be made about public and private sector evaluators, that they should tailor their efforts somewhat to the strengths that their situations give them - fast response time and

greater flexibility in the private sector, and access to powerful decision makers, managers, and funding mechanisms in the public sector." (p. 428).

Based on the foregoing, it may be argued that prescriptions for the role of the evaluator fall into three categories:

1.   the evaluator as management advocate (Cronbach, Bellavita, Weiss)

2.   the evaluator as independent critic (Scriven)

3.   the evaluator as channel of communication (Rossi)

To these three roles discernible from the popular literature on evaluation, a fourth might be added:

4.   the evaluator as facilitator

In this fourth role, the evaluator seeks to surface and balance the expression and influence of stakeholders opinions and thus achieve, as far as is practically possible, something akin to what, according to Philp (1990), Habermas has termed an 'ideal speech' situation.

Each of these roles of the evaluator may be looked at on the basis of its ability to enable change and on what it sees as the point of leverage for that change. Also, we can use emancipation as a criteria, one of Jackson's (1991a) five commitments of critical systems thinking. The first role, the evaluator as management advocate, locates the point of leverage for any change with management. This role is consistent with those theories of evaluation which are primarily oriented to maintaining the status quo in society and is associated with incremental, one might even say superficial, change. The second role, the evaluator as independent critic, locates the point of leverage for change with the evaluator. This role has been widely

criticised for allowing the evaluator to 'play God' and may result in recommendations for far reaching changes which are easily dismissable as 'unrealistic'. This role is sometimes associated with the academic evaluator who, on the grounds of 'academic freedom' and expertise, is often not called to justify any conclusion he/she comes to in an evaluation as would be the average manager. With the third role, the evaluator as channel of communication, value is read into the evaluation report by those receiving it. In this situation the most powerful are likely to determine interpretation of the report through the control of norms and values. Hence, this role locates the point of leverage for any change which is to result from the evaluation with the most powerful parties in the situation and, again, may be seen to contribute to the maintenance of the status quo in society. The fourth role, the evaluator as facilitator, locates the point of leverage with stakeholders. In the facilitator role the evaluator is faced with the possibility of identifying situations in which coercive forces seem to be in operation and, therefore, in which it is most desirable that radical change be brought about. To a large degree this opening of the evaluator up to such contexts, determined the selection of the role of the evaluator as facilitator as the preferred role out of the four alternatives identified. Further, in support of the facilitator role, Stake is quoted by Shadish et al. as stating: "I admire most the modest evaluator, playing a supportive role, restraining his impulses to advocate, unlike the crusading evaluator, however honestly and forthrightly he announces his commitments....I emphasize the facilitator role more than the deliverer of insights." (p. 273).

Thus, there are many roles which a consultant or practitioner can occupy and this is an issue which concerns management theory as a whole not just evaluation theory. Opening up the role of the evaluator so that he/she is able to act independently and seek to serve all the parties in an evaluation context, introduces the evaluator to contexts in which some stakeholders may be said to be oppressed (where the evaluator adopts such a role as that of management advocate then it is simpler to assume a unitary or pluralist context). So far, such contexts, and consequently

methodologies for use therein, have not been considered. In the next section, we shall seek to determine if there currently exists an appropriate methodology for use in coercive contexts.

10.3   An Evaluation Methodology for Coercive Contexts?

In the previous section a review was undertaken of the various roles which an evaluator might adopt. Following a critical assessment of each of the roles, it was argued that the role of the evaluator as facilitator was worthy of further consideration given our current concerns. However, in the preferred role, the evaluator might come across situations of coercion and it is difficult to advocate this role if the evaluator's 'tool-bag' is seriously under endowed with methods for dealing with those situations in which, given the commitment to emancipation, it is most desirable that change is introduced - coercive contexts. Midgley and Floyd (1990) have also considered evaluation practice in coercive contexts. Based on their classification of an actual evaluation situation as being complex-coercive Midgley and Floyd advocated the use of, for example, semi-structured interviews. It is here argued that the failure of such techniques to address issues of structure makes them more appropriate for use in simple-coercive contexts or pluralist contexts. Flood and Jackson (1991a) advocate the use of a problem-solving methodology known as critical system heuristics (CSH), as proposed by Ulrich (1989), for use in simple-coercive contexts. As a guide to the type of evaluation methodology we are seeking, we shall review the principles of CSH.

10.3.1   Ulrich's Critical Systems Heuristics

According to Ulrich (1991), "*Critical Heuristics*...concentrates on providing planners as well as affected citizens with the heuristic support they need to *practice* practical reason; i.e. to lay open, and reflect on, the normative implications of systems designs, problem definitions, or evaluations of social programs." (p. 105). To achieve

this end, Ulrich sees three requirements to be essential and offers a key concept to deal with each.

Requirement 1:

> To provide applied scientists in general, and systems designers in particular, with a clear understanding of the meaning, the unavoidability and the critical significance of justification break-offs.

Key Concept 1:

> Justification break-offs as boundary judgements.

Ulrich states that whenever the notion of a system is applied in a real-world intervention, judgements are implicitly introduced about what belongs to the system and what does not. It is this 'implicit' decision making which Ulrich finds objectionable:

> "In contemporary systems science, the problem of boundary judgments is either entirely ignored (typically in textbook exercises and case studies) or else it is discussed in terms of formal criteria of modelling, rather than in terms of the normative content of whole systems judgments and corresponding justification break-offs. Frequently, models of "systems" are presented as if the boundaries were objectively given, and the model itself does not tell us whether the boundaries in question have been adequately chosen." (p. 106).

This critical awareness of justification break-offs will, Ulrich considers, have far reaching implications for systems science, for example: a system will only be deemed adequate if it makes explicit its own normative content and system designers should aim at reaching a critical solution to boundary decisions, having made them explicit.

Requirement 2:

> To give systems designers and affected citizens a conceptual framework that would enable them systemically to identify effective break-offs of argumentation in concrete designs and to trace their normative content.

Key Concept 2:

> A priori concepts of practical reason.

According to Ulrich, boundary judgements represent 'a priori concepts of practical reason' that is, they are answers to questions which are merely accepted at face-value and not subjected to critique. The logic of such answers is evident only to the system designer who passes them off as 'reality'. Thus, a framework is required for making explicit such decisions and for interrogating their empirical and normative content. To this end, Ulrich has developed a checklist of twelve boundary questions:

1. Who ought to be the client (beneficiary) of the systems S to be designed or improved?

2. What ought to be the purpose of S; i.e. what goal states ought S be able to achieve so as to serve the client?

3. What ought to be S's measure of success (or improvement)?

4. Who ought to be the decision taker, that is, have the power to change S's measure of improvement?

5. What components (resources and constraints) of S ought to be controlled by the decision taker?

6. What resources and conditions ought to be part of S's environment, i.e. should not be controlled by S's decision taker?

7. Who ought to be involved as designer of S?

8. What kind of expertise ought to flow into the design of S; i.e. who ought to be considered an expert and what should be his role?

9.   Who ought to be the guarantor of S; i.e. where ought the designer seek the guarantee that his design will be implemented and will prove successful, judged by S's measure of success (or improvement)?

10.   Who ought to belong to the witnesses representing the concerns of the citizens that will or might be affected by the design of S? That is to say, who among the affected ought to get involved?

11.   To what degree and in what way ought the affected be given the chance of emancipation from the premises and promises of the involved?

12.   Upon what world-views of either the involved or the affected ought S's design be based?

Ulrich recommends that the set of questions should be posed first in the 'ought' mode and then in the 'is' mode and then the answers from both compared and contrasted.

Requirement 3:

> To offer a practicable model of rational discourse on disputed validity claims of such justification break-offs, that is to say, a tool of cogent argumentation that would be available both to 'ordinary' citizens and to 'average' planners, scientists, or decision takers.

Key Concept 3:

> The polemical employment of boundary judgements.

Having suspended the notion that the boundary of a system can be objectively defined and, furthermore, that such a task requires expertise, Ulrich then seeks to empower the ordinary citizen in order that he/she can "...expose the dogmatic character of the expert's "objective necessities"..." (p. 113). It is this empowerment of the ordinary citizen which critically distinguishes CSH from the multi-actor approach. Ulrich (1993) recommends the use of polemics to "...ensure to those affected a position of equal critical competence." (p. 600). It is stated that:

"A polemical argument has only critical validity; but in regard to this merely critical intent, it must be rational, i.e. cogent...The use of boundary judgments for merely critical purposes almost ideally fulfils this condition: boundary judgments that are introduced overtly as personal value judgments entail no theoretical validity claim and hence do not require theoretical justification. Hence no theoretical knowledge or any other kind of special expertise or "competence" is required." (Ulrich, 1991, p. 112).

It can be seen from this that Ulrich's theory critically rests on the empowerment and involvement of the affected individual through the disproof of any claims to expertise on the part of the systems designer. It is this emphasis on the empowerment of the stakeholder which facilitates the classification of CSH as appropriate for use in coercive contexts.

In the next section, an evaluation methodology which, it will be argued, is complementary to the theory of CSH, proposed by Stake and known as responsive evaluation, will be reviewed.

10.3.2 Stake's Responsive Evaluation

Stake, like Ulrich, is concerned with identifying and serving parties with an interest, however minor, in a given situation. Indeed, according to Shadish et al., he states that the evaluator should "...reveal minority value-positions..." (p. 275). Further, Stake states that an:

"...evaluation is *responsive evaluation* (1) if it orients more directly to program activities than to program intents, (2) if it responds to audience requirements for information, and (3) if the different value-

perspectives of the people at hand are referred to in reporting the success and failure of the program." (Stake, 1980, p. 77).

Whilst Stake's emphasis on stakeholder involvement might seem to place him in the multi-actor school of evaluation, his distaste for achieving objectivity through the engineering of subjectivities, an implicit element of the multi-actor methodology, clearly sets him apart, "whatever consensus in values there is...should be discovered. The evaluator...should not create a consensus that does not exist..." (Shadish et al., p. 274).

Furthermore, Stake is explicit, once again like Ulrich, that evaluation should not encourage the abdication of control by stakeholders to experts who might prescribe solutions to a 'problem situation'. In discussing Stake's work Shadish et al. argue that "Responsive evaluation helps stakeholders recover as much control as possible over interventions..." (p. 279). Stake's conviction to de-expertise evaluation when stating: "Responsive evaluation is less reliant on formal communication, more reliant on natural communication." (Stake, p.76). According to Stake, the promotion of natural communication in a responsive evaluation involves the evaluator in several activities:

"He makes a plan of observations and negotiations. He arranges for various persons to observe the program. With their help he prepares brief narratives, portrayals, product displays, graphs, etc. He finds out what is of value to his audiences. He gathers expressions of worth from various individuals whose points of view differ. Of course, he checks the quality of his records. he gets program personnel to react to the accuracy of his portrayals. He gets authority figures to react to the importance of various findings. He gets audience members to react to the importance of his findings. He does much of this informally, iterating, and keeping a record of action and reaction. He chooses

media accessible to his audiences to increase the likelihood and fidelity of communication." (Stake, p. 77).

Given that Stake places great emphasis upon natural communication, it is not surprising that he is a great advocate of case-study reporting as they give "...great prominence to what is and what is not 'the case' - the boundaries are kept in focus..." (Shadish et al., p. 283). The introduction of the concept of boundaries in this comment once again aligns the work of Stake with that of Ulrich as the concept of boundary definition forms a great part of Ulrich's work, although Ulrich himself sees the question of boundaries as being commonly ignored in the reporting of case-studies.

Thus, with their common focus on the identification of minority interests, the involvement of stakeholders, the disproof of experts' claims to specialist knowledge, the empowerment of affected individuals, and the making explicit of boundary judgements, Ulrich's and Stake's work may be considered complementary. On this basis, Stake's responsive evaluation, like Ulrich's CSH, is a reflection of the possibility that relationships between system participants might be viewed as coercive. Having classified Stakes work, attention must now turn to the methodology of responsive evaluation.

According to Stake (1980) there are twelve activities associated with conducting responsive evaluation which may be represented as a twelve hour clock:

12 o'clock:	Talk with clients, program staff, audiences.
1 o'clock:	Identify program scope.
2 o'clock:	Overview program activities.
3 o'clock:	Discover purposes, concerns.
4 o'clock:	Conceptualise issues.
5 o'clock:	Identify data needs, issues.
6 o'clock:	Select observers, judges; select instruments if any.

7 o'clock: Observe designated antecedents, transactions, and outcomes.

8 o'clock: Thematise; prepare portrayals, case studies.

9 o'clock: Validate; confirm; attempt to disconfirm.

10 o'clock: Winnow, match issues to audiences.

11 o'clock: Format for audience use.

(Taken from Stake, 1980, p. 81)

On conducting responsive evaluation, Shadish et al. cite Stake as reflecting that it:

> "...allocates a large expenditure of evaluation resources to observing
> the program. The plan is not divided into phases because observation
> and feedback continue to be the important functions from the first
> week through the last. I have identified twelve recurring events. I show
> them as if on the face of a clock. I know some of you would remind me
> that a clock moves clockwise, so I hurry to say that this clock moves
> clockwise and counter-clockwise *and* cross-clockwise. In other
> words, any event can follow any event. Furthermore, many events
> occur simultaneously, and the evaluator returns to each event many
> times before the evaluation ends." (Stake, pp. 80-81).

In further discussing the practice of responsive evaluation, Stake compares it with preordinate evaluation. Whereas in a preordinate evaluation 'preconceived notions of success' are accepted, in a responsive evaluation statements of value should emerge through the answers of stakeholders to the open-ended and flexible questioning of the evaluator, for: "The important matter for the evaluator is to get his information in sufficient amount form numerous independent and credible sources so that it effectively represents the perceived status of the program, however complex." (Stake, p.80). Also, in a responsive evaluation emphasis is placed on the reiteration of a cycle of surfacing and critique of stakeholders statements of value

which 'might culminate in a written report, depending on the output agreed with the clients of the evaluation at the beginning of the process'.

In reviewing the work of Stake, Shadish et al. propose that there are three main advantages to responsive evaluation:

1.   it allows variables to emerge during the course of the evaluation

2.   it encourages change efforts in local stakeholders

3.   it increases local control as opposed to expert control.

Based on the foregoing examination of Stake's work, it might be said that responsive evaluation, like critical system heuristics, promotes what Habermas has termed 'an ideal speech situation'. According to Giddens (1990), "An ideal speech situation is one in which there are no external constraints preventing participants from assessing evidence and argument, and in which each participant has an equal and open chance of entering into discussion." (p. 131). Thus, in the evaluation context, decisions about organisational change would be based on a rational consensus, that is to say 'the force of the better argument', and not on the use of power or coercion. Consequently, it is can be concluded here that responsive evaluation is the most appropriate form of evaluation currently available for use in coercive contexts.

However, on the basis of his statement that "The ethics of the evaluation specialist should be such that the mere act of carrying out an evaluation study should not in itself result in a change in the power structure." (Shadish et al., p. 279), Stake might, himself, dispute this classification. If, with this statement, Stake was arguing for the role of evaluation in contributing toward the maintenance of the status quo then he clearly would not be happy with our recommending responsive evaluation's role in bringing about radical change. On the other hand, if what Stake was meaning was that the evaluator should not act as 'independent critic' and engineer the situation but,

instead, should seek to enlighten those involved in the situation who, through their enlightenment, may of their own accord seek to change the power structure, then our categorisation of Stake and his theory of responsive evaluation is correct. Whilst the second interpretation of Stake's remark fits in better with our classification of his work it is still problematic - surely the expert holds the power to enlighten or not!

In this section the work of Ulrich and Stake was aligned. Following this, it was proposed that Stake's responsive evaluation is the most appropriate form of evaluation for use in simple-coercive contexts since it serves to facilitate an 'ideal speech' type situation. In the next section, discussion will be made of how evaluation methodologies might be developed which reflect radical-change theories and, hence, may be associated with complex-coercive contexts.

10.3.3   Other Forms of 'Radical' Evaluation

In the previous section, the complementary nature of Ulrich's and Stake's work was discussed and it was proposed that Stake's responsive evaluation is the most appropriate form of evaluation for use in simple-coercive contexts. That recommendation was based on the proposition that responsive evaluation, like critical system heuristics, promotes what Habermas has termed 'an ideal speech situation'. Implicit in the work of Habermas (and, also, Ulrich and Stake) is the notion that through the notion of rational consensus there might be advancement to some improved state of being. The notion of progression is characteristic of the modernist school of thought and it is to the work of Marx, whose philosophy has been said to exemplify the modernist grand narrative (Jackson, 1991b), to whom we now, therefore, turn in our search for evaluation methodologies appropriate for use in more complex-coercive contexts.

According to Burrell and Morgan (1979), Marx viewed society as being based upon two dependent structures:

1. the sub-structure

    The sub-structure is the economic base of society and is characterised by 3

    elements:

    a. mode of production (feudalism, capitalism, communism)

    b. means of production (technology, land, capital, labour)

    c. relations of production (producers and non-producers, owners and

        non-owners, the class system)

2. the super-structure

    The super-structure is made up of all the non-economic factors within society,

    for example, the state, religion, art, literature, and so on.

Central to Marx's thesis is the notion of contradiction, that is "...the idea that society

contains within it elements which stand in antagonistic relationships to one another,

and which generate conflicts which eventually lead to the breakdown of the mode of

production and its related social configurations." (Burrell and Morgan, p. 328).

Furthermore, "Marx saw these crises within a given mode of production as getting

progressively worse and eventually leading to the cataclysmic crisis which would

overthrow the society as a whole." (Burrell and Morgan, p. 329). Given that Marx

perceived man to be in an alienated state of being due to his status as a commodity

in a capitalist regime, then such a 'crisis' might be seen as no bad thing. Indeed, from

this perspective a form of evaluation might be formulated which is based on an

organisation's ability to, not only redistribute wealth within society, but also to

redistribute ownership of the means of wealth production. Thus, a form of evaluation

based on Marxist philosophy would focus on the encouragement of radical structural

change within society.

Marx's emphasis on progress and rationality, as was said previously, clearly places

him within the modernist school of thought. Indeed, it might be said that all of the forms

of evaluation so far discussed in this thesis embody modernist principles. In recent

times, however, the assumptions inherent in modernist thought have been subjected

to critical attack from the post-modernists. The practice of evaluation would, it might be assumed, be abhorrent to post-modernism with its emphasis on "...instability, disruption, disorder, contingency, paradox and indeterminacy." (Jackson, 1991a, p. 33). Thus, we are led to ask 'can evaluation be post-modernist?'.

One of the most celebrated post-modernist thinkers is the philosopher Foucault. Foucault's work contrasts vividly with that of Marx. Indeed, it has been said that "Foucault gives voice to the anarchic urge, rather than to the urge for new system (which is why he distrusts Marxism). His support is lent to those who resist the subjugating effects of power..." (Philp, 1990, p. 76). Central to Foucault's work is 'genealogy' which "...involves a painstaking rediscovery of struggles, an attack on the tyranny of what he calls 'totalising discourses', and a rediscovery of fragmented, subjugated, local and specific knowledge." (Philp, p. 76). Given Foucault's rejection of totalising discourses and the notion of progression, assumptions fundamental to most forms of evaluation, is it possible to formulate a form of evaluation from the post-modern perspective? Before we attempt to address this question, we might be wise to look at Jackson's (1991b) comments on post-modernism which preceded his search for systems methodologies which express the spirit of post-modernism.

According to Jackson:

"...lessons stem directly from the cultural change that *is* post-modernism. If history is no longer seen as unilinear and predictable, then there is little point in promulgating forecasts of the future. If there is a decline in belief in rationality and an optimum solution to problems (increase in performativity) then the problem solving techniques will lack legitimation. At a time when the scientific method is being challenged as the sole means of producing knowledge, other forms of learning - from the case study, experience, intuition - may become more acceptable. Deep analysis of systems in search of laws and

regularities is unlikely to receive much support. It will be more productive to emphasise the superficial, to concentrate on image, to take note of accidents and to respect arbitrariness and discontinuities. If there are no acceptable grand narratives to guide the idea of progress, then systems methodologies can only hope to bring about temporary and contested improvements. Indeed, in a world of multiple truths competing for prominence, systems practitioners will be impotent unless they recognise the social, political and ethical contexts of their work. Finally, the post-modern world does not value "seriousness" very highly - better introduce a bit of humour, lightness, irony, sarcasm and racy language into our systems approaches." (pp. 292-293).

Following Jackson's comments, a starting point for a form of post-modernist evaluation might be support for those who 'resist' and emphasis on 'the local'. As has been said, post-modernists lend support to those who resist the effects of power in society, and it would seem reasonable that a form of evaluation might be formulated on the basis of ability to privilege the 'under-dog'. This privileging would, promote a state of flux in society in which the positions of 'top-dog' and 'under-dog' were, on the grounds of consecutive evaluations, repeatedly swapped (this constant swapping of position would seem in-keeping with post-modernist thought as there would certainly be no progression).

The second line of argument which might be central to the formulation of a form of post-modernist evaluation is his promotion of 'the local'. This promotion of 'the local' may be best realised in evaluation through the use of, for example, the case-study. As has been said previously in this chapter, one of the main advocates of the case-study in evaluation practice is Stake. He proposed the Case Study Methodology which, according to Shadish et al., embodies the:

"...use of interviews, observation, examination of documents and records, unobtrusive measures, and investigative journalism, resulting in a case report that is complex, holistic, and involves many variables not easily unconfounded. Writing is informal, narrative, with verbatim quotations, illustrations, allusions, and metaphors." (p. 270).

Thus, Stake's Case Study Methodology would seem to be consistent with Foucault's emphasis on the local. Furthermore, emphasis on the local would completely negate any calls for external validity (as discussed in Chapter 8), as, indeed, the issue of general validity would not arise in a post-modern form of evaluation as the assignment of value would be seen to be something relevant only to a specific context. Thus, the only grounds for judging the legitimacy of a post-modern evaluation would be its value in that context.

10.4   Conclusion

In this chapter different interpretations of the nature of the change which evaluation should bring about and how this affects the role of the evaluator was discussed. In all, four roles of the evaluator were defined and considered. On the basis of this assessment, the role of the evaluator as facilitator of an 'ideal speech situation' was deemed worthy of exploration. However, this role, unlike the other three, introduces the evaluator to the possibility of classifying an evaluation context as being coercive. As a model of evaluation did not immediately recommend itself for use in such situations, reference was made to the underlying principles of the problem-solving methodology CSH which is recommended for use, by Flood and Jackson, in simple-coercive contexts. Having discussed the basic principles of CSH it became evident that Stake's responsive evaluation, as it had basic principles in common with CSH, was most appropriate for use in simple-coercive contexts. Following a discussion of responsive evaluation, attention was turned to considering what form an evaluation methodology for use in complex-coercive contexts and from other radical change

perspectives might take. In due course, suggestions were made for evaluation methodologies drawing upon both modernist and post-modernist points of view.

Having taken evaluation theory into the radical domain, an area into which few other evaluation theorists have dared venture, we are now, in the next chapter, in a position to conclude the argument advanced in this thesis.

CHAPTER 11

THE CONCLUSION: REFLECTIONS ON LIMITATIONS, ACHIEVEMENTS AND FUTURE WORK

11.1 Introduction

This thesis has been structured around the old adage 'tell 'em what you are going to say (introduction), say it (Chapters 1-10) and then tell 'em what you have said (the current chapter)'. Hence this chapter will serve to reiterate the main points of this thesis and to establish that the argument has come to a satisfactory conclusion. In achieving these ends, appraisal will be made of the adequacy of the reductionist approach which was employed (the overall goal of achieving a complementarist approach being split into more manageable objectives which formed the basis of the chapters of this thesis). On the grounds that, as a consequence of this approach, several pertinent matters were overlooked, a section will be dedicated to covering the most obvious of those matters. Attention will then be paid to what was 'new' in this thesis in a section on achievements. Finally, suggestions for further work will be made.

11.2 Achievement of the Overall Goal

It was stated in Chapter 1 that the goal of this thesis was the establishment of a true complementarist approach to organisational evaluation. This overall goal was then translated, in the reductionist way, into several objectives:

Objective 1

Review of the various approaches to organisational evaluation.

Objective 2

Identification of the popular schools of evaluation thought and review of the organisational models and principles underlying the dominant evaluation models.

Objective 3

Testing of the hypothesis that a form of evaluation can be generated from any theoretically grounded model of the organisation.

Objective 4

Appraisal of the feasibility in practice of the dominant models in evaluation theory and of the newly generated model.

Objective 5

Consideration of what was learnt from the practical interventions about 'good evaluation practice', with particular emphasis on issues of structure and validity.

Objective 6

Suggestion and critical appraisal of a meta-methodology for facilitating choice between the different models in evaluation theory.

Objective 7

Consideration of the contexts defined by the meta-methodology but commonly ignored by evaluation theorists and discussion of forms of evaluation which might be suitable for use in such situations.

Each of the above objectives may be aligned with the chapters of this thesis thus:

Objective 1 relates to Chapter 1

Objective 2   "   "   "   2

Objective 3   "   "   "   2

Objective 4   "   "   "   3-7

Objective 5   "   "   "   8

Objective 6   "   "   "   9

Objective 7   "   "   "   10

Thus, to all extents and purposes, it can be seen from the above that the objectives of this thesis have been addressed. But has the accomplishment of the objectives resulted in the satisfaction of the overall goal? Obviously the author considers this to

be so since this is the final chapter of the thesis. However, there is also an awareness that, whilst the reductionist approach lent a nice clear structure to the thesis, there are certain issues which were omitted because they did not quite 'fit' with the flow of the argument. This chapter provides an opportunity for such matters to be briefly considered. In the next section, attention will be given to matters which either have so far only been mentioned in passing or which have been overlooked entirely. Where appropriate, some defence will also be offered.

11.3   Omissions and Limitations

a.   Overly restricted subject matter.

According to Scriven (1991) evaluation:

> "...is said to be one of the most powerful and versatile of the 'transdisciplines' - tool disciplines such as logic, design, and statistics - that apply across broad ranges of the human investigation and creative effort while maintaining the autonomy of a discipline in their own right." (p. 1).

Of necessity the subject of this thesis was restricted to addressing a single sub-set of evaluation theory. But why that sub-set of evaluation theory concerned with organisations? It is believed that Hall (1991) has best summarised the reasons for studying organisations, "Organizations surround us. We are born in them and usually die in them. Our life space in between is filled with them. They are just about impossible to escape. They are as inevitable as death and taxes." (p. 1). Further, Hall goes on to state that "Hart and Scott (1975, p. 261) have noted that whatever is good for humanity can only be achieved through modern organizations. The reverse is also true, since it is organizations that discriminate, pollute, and wage wars." (p. 2). For

similar reasons, the currently popular practice of program evaluation, the assessment of "...how much any social program improves welfare, how it does so, and how it can do so more effectively." (Shadish et al, 1991, p. 19), also appealed when choosing the subject of this thesis. However, the ability to relate the popular models in organisational evaluation theory to theoretically grounded models of the organisation won out in the end. Interestingly, though, recourse was made in Chapter 10 to program theory when organisation evaluation theory failed to provide an adequate methodology for use in coercive contexts. Thus, it is argued that the subject matter of this thesis was of necessity, due to the sheer size of the amount of material on the subject of evaluation, restricted. However, when it was appropriate to the discussion of that sub-set of evaluation theory relating to organisations, reference was made to other sub-sets of evaluation theory such as program evaluation.

b.   **Poor reflection on the model of consulting practice employed in the pilot projects.**

In conducting the pilot projects the process consultation model of consulting practice, following Schein (1969), was adhered to. As per the principles of this model, the researcher was there only to provide advice on the mechanics of conducting the evaluation and to, where possible, teach those involved in the projects about evaluation practice. However, this teaching was a two way process as those participating in the evaluations were assumed to be the experts about the CVS whilst the researcher was the novice. Hence, whilst the researcher could make suggestions, based on theory, about how the evaluation should proceed, it was the evaluation group made up of CVS staff, executive committee members, etc. who were best able to judge how the process might work in the context of that particular CVS. It was this dual teaching-learning aspect of process consultation which led to its adoption in

the pilot scheme. Upon reflection, and particularly bearing in mind what has been said in the previous Chapter about coercive contexts, it is realised that process consultation is perhaps not an appropriate model of consulting practice for all interventions. For example, in coercive contexts process consultation would serve to further enhance the ability of the powerful, through their instruction in evaluation methods, to subjugate the rights of the less powerful. Hence, it is concluded that without a commitment to emancipation process consultation is not an appropriate model of consulting practice for use in coercive contexts and further consideration needs to be given to the design of a suitable model.

c. **Scant consideration paid to whether the findings of the pilot projects can be generalised to large and/or profit making organisations.**

The involvement of NACVS and the network of CVS provided a convenient testing ground for the evaluation methods and facilitated the completion of the pilot project scheme (seven CVS tested out four different evaluation methodologies) in as short a time as was possible. However, whilst it is widely held by those involved with CVS that each is unique and its nature crucially dependant upon the area in which it is based, the argument that all CVS are linked through their common subscription to the common functions, as defined by Wolfenden (1978), of support, development, representation and liaison implies that all CVS are fundamentally alike. Hence the pilot project scheme may be accused of having a very narrow focus, especially if one considers the variety of organisations which the project scheme might have embraced. As a result of this, the question of whether the findings of the study may be generalised to, for example, large and/or profit-making organisations inevitably arises. Perhaps it is relevant here to reiterate the researcher's conviction that, whilst the general principles which ground the different models of evaluation can be set down, the way in which those

models are realised in practice largely depends upon the context of the evaluation. Hence, an effort has been made to only set down the most rudimentary instructions for conducting each of the forms of evaluation; in carrying out the evaluation the onus is on the researcher to be alert to all factors which make each evaluation unique and which effectively shape the evaluation process. As will be discussed later, it this ability to be alert and adaptable to those factors which make each evaluation unique which renders evaluation as much of an art as a science.

d.   The practical project only sought to test the evaluation methodologies; the ability of TSI to facilitate choice and enable the selection of the 'best' methodology was not tested.

The notion that TSI might constitute an appropriate methodology for facilitating the choice between the different evaluation methodologies only emerged towards the end of the pilot project scheme. Only summary attention was paid at the commencement of the evaluation projects to those factors which guided the selection of the methodology via the questionnaires contained in Appendix 10. The significance of this selection process was to a large extent lost due to the pressures of getting a national project up and running and, it has to be said, more emphasis at this early stage was placed on developing the methodologies rather than on the selection procedure (it was assumed that when presented with a range of methodologies the CVS concerned would automatically recognise the right one for it).

Whilst the pilot scheme failed to test TSI in practice this omission is not critical, since others have used TSI in practice as a means of selecting the most appropriate problem-solving methodology and found TSI to be adequate (for example see Green, 1993). Future work in this area might involve comparing the effectiveness and efficiency of the problem-solving or

evaluation methodology suggested by TSI against that suggested by other meta-methodologies. The feasibility of putting into practice such an experiment is, however, hampered by the need for identical contexts so that any improvement of the problem situation is attributable to the intervention methodology employed and not some intervening variable.

e.   Acceptance of TSI as the basis for a complementarist approach to evaluation without reference to other meta-methodologies.

The only meta-methodology considered in this thesis was Flood and Jackson's TSI. As the theoretical framework underlying TSI enabled distinction between the evaluation methodologies it was assumed that not only was TSI appropriate to the task in hand but also, given that it withstood the critique which had been directed at it, that TSI was as robust a meta-methodology as existed at that time. In the light of this conclusion, to seek alternatives to TSI would have been beyond the scope of the exercise of developing a complementarist approach. It is recognised, though, that the investigation of methodologies other than TSI might prove an interesting project.

f.   No reference was made to the common evaluation practice of inter-organisational comparison.

In the evaluation project no attempt was made at comparing the results of the evaluations in order to formulate some kind of assessment of which, out of the seven involved, was the best CVS.

Inter-organisational comparison would have required all of the pilot projects to employ the same evaluation methodology and this was counter to the logic of the pilot scheme which sought to test out several different models of evaluation. If further support is necessary for this argument against inter-

organisational comparison, consideration might be paid to Hannan and Freeman's (1977) article entitled 'Obstacles to Comparative Studies'. With reference to goal based evaluation they state that:

"When the standard against which performance is evaluated is the set of goals of the organization, comparative studies are hampered by logical difficulties similar to those that arise in attempts at making interpersonal comparisons of utilities. We argue that current conceptions of organizational goals do not permit the establishment of organizational preference functions with properties strong enough to justify interorganizational comparisons of goal attainment." (p. 107).

Following on from this, Hannan and Freeman consider whether inter-organisational comparison is appropriate when the study is based on the values of the researcher. They assert that:

"When the standard of comparison is the values of the researcher or critic, the methodological problem is different. As long as the standard is applied consistently, there is no obstacle to systematic comparisons of effectiveness (so-defined) across organizations. We argue that the difficulty in this case is that the information produced does not meet the minimal standards for scientific analysis. The comparisons depend intimately on the properties of the observer. Any knowledge claims that result are subjective and not falsifiable." (p. 107).

Accordingly, it was concluded that the practice of inter-organisational comparison is not a good idea.

g.   Inadequate consideration of the organisational capacity for conducting evaluation.

As has been previously discussed in Chapter 8, Love (1991) defined a six stage model of the development of an organisation's internal evaluation capacity. In this thesis an all or nothing approach was adopted. For each of the evaluation methodologies several necessary tasks were laid down; how the tasks were achieved was left to the discretion of the CVS and, one might suppose, was dependent upon the resources available for the exercise and, in Love's terms, the organisation's evaluation capacity. It was suggested throughout the pilot scheme that failure to undertake a particular stage in a methodology rendered the exercise imperfect (as was the case with East Baldershot where failure to formulate a goal statement effectively brought the project to an early end). The joint issues of whether an organisation needs to be at a certain stage of development, which is not necessarily related to the age of the organisation, before an evaluation can be conducted and of whether and how an organisation's capacity for conducting evaluations grows (and declines?) are recognised to be highly significant and require further investigation beyond the summary treatment which has been allowed to them in this thesis. Further, it might also be considered whether the ability to conduct an evaluation is actually an effectiveness correlate in itself.

h.   Little attention was paid to the effects of the temporal dimension and the differing results given by long and short term assessment.

In this thesis and the pilot project scheme the problem of specifying the time frame for the evaluation was regarded as being unproblematic. It was recognised that "Just as individuals may differ in their time horizons or time discounts (their preferences for immediate versus long-term gratification), so

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too may organizations." (Hannan and Freeman, 1977, p. 113). Hannan and Freeman go on to illustrate their arguments thus:

"To the extent that the goals function stresses quick return on investment (as in many business ventures, disaster relief organizations, military field units, and so on) the short-run outcomes should be given highest priority. For those organizations that orient toward continued production (for example, many other types of business ventures, universities, research and development organizations, and so on) the year-to-year fluctuations in performance should be discounted and the average performance over longer periods emphasized." (p. 113).

Following on from this, the decision about the period of the evaluation was duly negotiated in each pilot project by all those parties involved in the evaluation, usually staff and executive committee members. Leaving the decision about the time-frame for the evaluation to the CVS could, however, be interpreted as another element in respecting the unique nature of the organisation.

i.   **Little attention was given to the politics of evaluation.**

Whilst this thesis has concentrated for the most part on setting down the evaluation methodologies in a clear step-by-step form, it is recognised that one factor which can disturb and distort an evaluation in practice is the influence of politics.

For example, in one of the pilot projects a member of the CVS consistently tried to pre-empt the project worker in the design of questionnaires which

would serve to evaluate the work in which he was involved. If successful, his intervention would have enabled him to control the evaluation process by ensuring that the criteria upon which the evaluation was based were those upon which he believed he would score highly. It was made clear to this person that, whilst his contribution to the project was appreciated, the evaluation and the questionnaires would best be based upon the criteria established by the evaluation group. Fortunately, that person's fears proved to be unfounded. He was just anticipating negative evaluation findings. This is just one minor example of how a single person, in wanting to do what they perceive to be for the best, can distort an evaluation. Of course evaluations are not only affected by internal politics. For example, a funder evaluating an organisation by means of inappropriate criteria increases the likelihood that the organisation under review will appear to be operating badly and may pave the way for the implementation of previously decided upon but seemingly, based upon the evaluation results, legitimate grant cuts.

Hence, it is recognised that the politics of evaluation represents a large body of relevant research which is worthy of further consideration.

j.   **Failure to make explicit whether evaluation is being treated as an art or a science.**

The view that evaluation is an art is propounded by Cronbach. His approach is best summarised by Rossi and Freeman (1993) thus, "Evaluation is an art, and every evaluation represents, or should represent, an idiosyncratic effort to meet the needs of program sponsors and stakeholders." (p. 30). In contrast, Rossi and Freeman cite Campbell as extolling the view of evaluation as a science: "His perspective was that policy and program decisions should emerge from the continual testing of ways to improve the social condition and that social change efforts should be rooted in social experimentation.

The community and the nation, if not the world, should be seen as a laboratory for social experiments." (p. 29). Whilst a systematic approach to evaluation is proposed in this thesis it does not seem to support either of the views advocated by Cronbach or Campbell. A pragmatic stance, such as that suggested by Rossi and Freeman, is supported in this thesis. For, as they state, "...each assignment is truly a unique case." (p. 32) and as such "...there is an art as well as a science to evaluation research." (p. 32). Logically following on from this, Rossi and Freeman reflect on the consequences of this approach for training evaluators:

"Teaching evaluation is analogous to training physicians to be diagnosticians. Any intelligent person can be taught to understand the values obtained from laboratory tests and to use them in reaching a diagnosis, but a doctor becomes an astute diagnostician only through practice, experience, and understanding of each individual case. In this sense, learning from a text can provide only part of the knowledge base needed to undertake maximally useful evaluations." (p. 32).

It is concluded that evaluation is both an art and a science and that, as has been discussed previously, this view significantly affected the content and format of this thesis.

In this section several issues were discussed which had previously received little or no attention. We are nearly at the end of our endeavours. By way of conclusion, though, what is 'new' in this thesis will be summarised in the next section.

11.4   <u>Achievements and Contributions</u>

a.   Determination of a 'new' evaluation methodology from the cultural/autopoietic model of the organisation.

It was stated in Chapter 2 that the logic of the complementarist argument implied that, theoretically, it is possible to formulate a model of evaluation from any grounded model of the organisation. As a test of this hypothesis, having examined the derived models of evaluation from the three usual models of the organisation, the model of the organisation as a culture which is generated by autopoietic processes was analysed and a form of evaluation produced. In due course, this model of evaluation was tested out in the pilot project scheme and found to be as legitimate and illuminating a form of evaluation as any of the others discussed in this thesis.

b.   The setting out of the activities involved in the evaluation methodologies in a step-by-step fashion.

Having established that, in theory, it is possible to derive a model of evaluation from any grounded model of the organisation in the first part of this thesis, the question of whether the models were useful in practice was raised. In order for the feasibility in practice of the models to be tested, they first had to be set out in a step-by-step fashion. As one would expect with the most common form of evaluation, the goal model of evaluation had been expressed in very clear form in several other places (for example see Suchman, 1967) and the multi-actor type methodology had been advanced to a similar level of development by Guba and Lincoln (1989). However, this thesis sought to set out the methods for conducting each of the popular evaluation methods in a simple and, for ease of comparison, where possible, consistent manner. The reason for this was to ensure theoretical and practical

complementarity between the methodologies in terms of development without any divergences between the models on the basis of depth of theoretical grounding or ease of use. As has been said, due to the work of others, this task was relatively simple in the cases of goal and multi-actor forms of evaluation (however it should be recognised that the form of multi-actor based evaluation discussed in this thesis does differ from that propounded by Guba and Lincoln which merely focuses on stakeholder satisfaction and fails to include a measure of organisational effort). More difficult was the setting down of the methods implied by the logic of the system-resource and the cultural forms of evaluation. Indeed, whilst a set of activities which seemed to be logically implied by the methodologies were set down at the beginning of the projects, much had to be learnt about conducting these forms of evaluation from practice.

c. Completion of the practical project.

Following the statement of the methodologies in step-by-step fashion, they were employed in a year long pilot project scheme involving seven, geographically dispersed CVS. Given that, for the most part, this project was supported by a single researcher, this project represented quite a feat of project management. Indeed, a further strain was placed on the resources available for the project by a commitment, made at the start of the project, to disseminating the findings of the project to as wide an audience as possible. It has to be said that the pressure to produce written work on how the projects were progressing whilst at the same time actually working on the projects was difficult to manage. However, that written work has provided the basis for this thesis. Furthermore, the CVSs' own accounts of the projects and their reflection upon the evaluation processes, which they were asked to present at the end of the pilot project scheme, represent a major achievement and have been useful in teaching CVS about the range of appropriate evaluation

methodologies that they now, as a result of the project, have available to them.

d. **Prescription of a model of evaluation involving three sub-systems: the meta-evaluation sub-system, the evaluation sub-system and the learning sub-system.**

Given that the theoretical and practical grounds for a complementarist approach were established in Parts I and II of this thesis, in Part III attention was turned to the implications of such an approach. In Chapter 8 concern was expressed that complementarism should not be interpreted as an 'anything goes' approach and, in an effort to prevent slipping standards, a model of 'good' practice was prescribed.

As has been pointed out in the above, in conducting the projects much was learnt about what was necessary to realise a form of evaluation from the different perspectives, and what might seem logical in theory but was, in fact, redundant in practice. Hence, it was only following the conclusion of the pilot scheme that reflection was made upon groups of activity common to all of the projects and all of the methodologies. With the benefit of both hindsight and the time to reflect, it was realised that not only were many of the different activities serving a common purpose but also that there was a linking of those functions. Indeed, many of the activities only made real sense at this late stage of the project. For example the notion that the first stage of the project, the selection of the methodology, was actually part of the meta-methodoloy occurred very late in the project scheme. Similarly, the idea that there was a mixture of both common and specific validity criteria was a late reflection. Hence, the general model of evaluation which was duly formulated upon the conclusion of the project included a good deal of prescriptions for good

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practice which were only evident after having had the experience of several evaluation projects.

e.   **Generation of validity factors consistent with the internal logic of the evaluation methodologies and specific to each of the stages of the intervention.**

Following on from the reflection upon the structure of the pilot projects, the question was raised of how it was known that the evaluations conducted in the pilot project scheme were 'good' and what standards should be set to ensure the legitimacy of the evaluations conducted as per the models discussed in this thesis. It was realised that each of the projects had implicitly embraced certain measures of validity and that for each of the methodologies different measures of validity had been employed. Hence it seemed that much could be learnt if these validity factors were made explicit and compared and contrasted. Further this process enabled the fitting of the factors to the evaluation structure prescribed. However, deliberation about validity issues made the researcher aware of how naively the pilot projects had been approached. It was realised that the researcher accounting for her actions to the Advisory Group at every stage of the pilot scheme, and the overriding commitments to doing the best possible job and to ensuring that the evaluation proceeded in a proper manner, were not good enough. A debate about validity issues and standards should have been conducted at the outset of each project and, as a result of this thesis, this would now be possible.

f. **Suggestion of an appropriate meta-methodology for facilitating selection between the evaluation methodologies.**

Having established that there are several, theoretically grounded and practically feasible methodologies in organisational evaluation theory, the complementarists' dilemma was faced: given a multiplicity of methodologies, how to select the most appropriate for use in a given context? In Chapter 9 it was suggested that Flood and Jackson's (1991) Total Systems Intervention (TSI) might constitute an appropriate meta-methodology for enabling choice between the different evaluation methodologies. The first step in establishing that TSI was appropriate to this task was the alignment of the evaluation models with the intervention contexts defined in the System of Systems Methodologies. This achievement was a major step in proving the value of TSI in the evaluation context. Having demonstrated that the methodology of TSI could accommodate the main models in evaluation theory, attention was then paid to whether TSI was an appropriate methodology. Following a critique of TSI, it was concluded that TSI is as robust a meta-methodology as currently exists. Further, it lends itself to the evaluation methodologies under consideration. Hence, it was concluded that TSI is an appropriate basis for a complementarist approach to organisational evaluation. To establish whether or not TSI is the best methodology for this purpose would involve subjecting several other meta-methodologies to analysis and a comparison made of the results.

However, whilst the possibility of using TSI with the evaluation methodologies has been demonstrated in section 9.6, this represents only an initial exploration and further work, both theoretical and practical, is necessary before any firm conclusions may be drawn about the use of TSI in the evaluation context.

g.   **Consideration of the practice of evaluation in, commonly neglected, coercive contexts.**

Whilst the goal, multi-actor, system-resource and cultural models of evaluation fit neatly into the contexts offered by the system of systems methodologies, the coercive cells of the grid were left empty. It may be concluded from this that in popular evaluation theory there did not exist an evaluation methodology satisfactory for use in coercive contexts. Following a review of the principles of Ulrich's (1989) critical system heuristics, a methodology deemed adequate for use in such contexts by Flood and Jackson (1991a), a form of evaluation, Stake's responsive evaluation, was identified from Shadish et al.'s (1991) review of the literature on program evaluation which seemed to equate with the principles of CSH. Hence, a form of evaluation was identified which might be appropriate for use in simple-coercive contexts. As this model of evaluation was 'borrowed' from program evaluation more work may be required before it may stand alongside the other models of organisational evaluation discussed in this thesis. For example, the question of its 'fit' with the prison and instrument of domination metaphors should be addressed. Also, further work might be conducted on what forms of evaluation might be suggested from other 'radical' perspectives including the Marxist and post-modernist perspectives which might be appropriate for use in complex-coercive contexts and which were summarily discussed in this thesis. The suggestions for the development of evaluation methodologies appropriate for use in coercive contexts, represent the conclusion of the complementarist argument developed in this thesis.

11.5 Suggestions for Future Work

Based on the above discussion of the limitations and achievements of this project, a summary can now be compiled of suggestions for future work. These suggestions relate to the project overall as opposed to the development of the individual evaluation methodologies; recommendations for future work on the methodologies have, where appropriate, been included in the corresponding 'Reflection on the Critique' section. Thus, it is suggested that the following represent the main areas of work:

a.   Further consideration of how TSI might be used in conjunction with the evaluation methodologies and of how other meta-methodologies might work in the evaluation context. Appraisal might also be made of TSI's ability to suggest the most appropriate evaluation methodology for use in a given context when compared with other meta-methodologies;

b.   Investigation of organisational capacity for evaluation. The study might include the assessment of capacity size, development trends, effect of the organisational life-cycle, consideration of whether evaluation capacity is an effectiveness correlate, and so on;

c.   Development of suitable models of evaluation for use in coercive contexts and the further consideration of what evaluation would look like from Marxist and post-modernist perspectives.

11.6 Conclusion

The aim of this thesis was to develop a complementarist approach to organisational evaluation. In order to achieve this aim, the first step was the establishment of the argument that there are several valid models of organisational evaluation. The chosen way of doing this was to relate each of the popular models in organisational evaluation back to the principles implicit in the model of the organisation upon which

they are based and to develop a form of evaluation from a 'new' model of the organisation which had not previously been subjected to this form of analysis.

Having established the theoretical validity of the four types of organisational evaluation being taken as examples of the plethora of potential models, step-by-step methods for implementing the evaluations were produced and case-studies of the practical application of the methodologies recounted.

In the light of both theory and practice, a critique was made of each of the methodologies and it was demonstrated that, whilst each of the methodologies had factors which recommended it, each also had weaknesses. Where appropriate the suggestion of a complementary evaluation methodology was made. Based on the acceptance of both the strengths and weaknesses implicit in each of the evaluation methodologies, it was concluded that, taken together, they represent a complementary set.

Given the existence of multiple methodologies the danger that complementarism is seen as an 'anything goes' type of approach is ever present. In order to avoid this, a general model of good practice was prescribed and the meta-methodology known as TSI tested out for use with the evaluation methodologies. As a result of the testing of TSI for fit and consideration of the theoretical and practical critique of that meta-methodology, it was concluded that TSI was appropriate for use with the evaluation methodologies and that it represents as robust a meta-methodology as currently exists.

Finally, critical reflection upon the content of this thesis and the practical project was made with the identification of limitations, achievements and areas of future work. It may be said that the critical reflection conducted in this chapter represents an evaluation in itself; and a goal based evaluation, at that. How well the goal methodology is implanted in our way of thinking when, after all that has been said,

that model was selected without due consideration of the alternatives. Is it not relevant to ask: What satisfaction have interested parties gained from this thesis? What are their suggestions for its improvement? (Multi-actor approach); Was this thesis well argued and structured? Does it attain the standard of analysis and critical thought expected of such a thesis? (System-resource approach); How has the author developed, intellectually and spiritually, as a result of producing this thesis? (Cultural approach). If this thesis has been successful, the reader should be able to conduct the suggested evaluations for him/herself.

COUNCILS FOR VOLUNTARY SERVICE NATIONAL ASSOCIATION

CVSNA EVALUATION PROJECT

Meeting with Amanda Gregory, Mike Jackson, (Hull University),

David Cheeseman and Coreen Allen - 31 May 1990

Terms of Reference

- Amend for discussion at 5 July Executive Committee meeting.

- CVSNA/Hull University to confirm partnership post Executive Committee meeting.

Advisory Group

- Draft Terms of Reference for Advisory Group to be agreed at first meeting week beginning 16 July.

- Other agenda items to include criteria for selecting pilot CVS and Contract for CVS involved; programme of work for 6 months.

- Membership of Group - three Executive Committee members and two local CVS (5) preferably not CVS involved in pilot exercise.

- Meeting planned for July, September, December and March 1991. Possibly one residential to cover wider area of work.

- Development Officer to service Advisory Group.

Budget

Hull University to meet all expenses for worker, Advisory Group and admin. CVS Department responsible for administrative costs to service Advisory Group.

Project Work

Promote project through CVSNA circulation, CVS Regional Meetings and Annual Conference Workshop. First information out in June.

Development Officer to act as link between CVS Department and Project Worker.

Pilot to involve 3-5 CVS.

- Use range of models for evaluation.

- Important to diffuse confusion about evaluation and encourage CVS to own project.

- Pilot to start in September - first report in April 1991.

- Questionnaire on evaluation possibly with State of the Nation.

- Prepare draft criteria for selecting CVS.

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APPENDIX 2

AN EVALUATION AND FORWARD PLANNING SYSTEM FOR CVS

PROJECT TERMS OF REFERENCE

A. OBJECTIVE

To help improve the effectiveness of CVS, and thereby help improve the support given by CVS to voluntary organisations, by developing an evaluation model, or models, applicable to CVS and to help CVS to use them.

B. METHODS

1. To obtain all information relevant to the project from the CVSNA and CVS.

2. To visit relevant CVS to discuss evaluation techniques and associated issues.

3. To gather literature on evaluation in the voluntary sector.

4. To develop and make available appropriate evaluation techniques to CVS and assist with their implementation.

C. RIGHTS AND RESPONSIBILITIES OF THE CVSNA

1. To establish approval of the project by the CVSNA Executive Committee.

2. To provide a member of CVSNA staff willing to act as a contact for the project.

3. To establish a reference group to oversee the project.

4. To allow access to CVSNA data.

5. To allow use of CVSNA facilities and services.

6. To actively promote the project via the CVSNA network, regional meetings, CVSNA conferences, etc.

7. To give positive consideration to the recommendations resulting from the project.

8. To reserve the right to comment on articles arising from the project before their publication (excluding the PhD thesis).

9. To expect that CVSNA confidentiality will be respected and that the project will be conducted in an ethical manner.

10. To maintain the right to amend the form of CVSNA involvement with the project in light of any changes resulting from CVSNA's independence from NCVO.

D. RIGHTS AND RESPONSIBILITIES OF HULL UNIVERSITY

1. To manage the research assistant and oversee the allocation of time to the project.

2. To provide and manage those facilities and resources necessary for successful completion of the project, including the funding of meetings of the CVSNA project reference group.

3. To provide a work-plan linked to project targets and a time-scale over two years from 1st April, 1990.

4. To report to the Leverhulme Trust, who are the project funders, as required.

5. To produce six-monthly progress reports for the CVSNA Executive Committee.

6. To have the right to publish the findings of the research during and upon completion of the project, bearing in mind section C.8 above.

7. To provide the CVSNA with a final report upon completion of the project detailing recommendations for an evaluation system, or evaluation systems, applicable by CVS.

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│      COUNCILS FOR VOLUNTARY SERVICE NATIONAL      │
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CODE OF PRACTICE

(as amended by CVSNA's Executive Committee on 3.9.87)

1.0 Preamble

1.1 This Code of Practice is issued by the Councils for Voluntary Service National Association, in accordance with clause 4 of the constitution.

1.2 The purpose of membership is:

1.2.1 To create a national movement with a clear focus to achieve greater influence for CVS, both locally and nationally.

1.2.2 To encourage good practice by its members and to assist the CVS National Association in the achievement of the above.

1.2.3 To assist forward thinking and suggest ways in which CVS might help with social problems and develop opportunities for improvement in community life.

2.0 Desirable attributes for members

2.1 The Model Constitution sets out both the objectives and structure of a CVS. It is not expected that all CVS will adopt the model as issued, and for companies limited by guarantee it would not be appropriate, but all will be expected to adhere to the objectives and structure it contains.

2.2 Members will be expected as far as possible to use the name Council for Voluntary Service.

2.3 Members will be expected as far as possible to include on their headed paper the fact that they are members of the Councils for Voluntary Service National Association and/or whatever trade name or logo is used by the National Association.

3.0 Values underlying the work

3.1 The Association is committed to promoting equal opportunities for all, regardless of race, gender, disability, age, sexual preference and to giving priority to the needs of poor and powerless people in our society. The Association is committed to combating prejudice and discrimination in relation to all these groups.

3.2 As part of this policy, the Association passed a resolution at the 1986 AGM making it a condition of membership for CVS to adopt a declaration of intent on racism in accordance with the national model. New members have twelve months from the date of their acceptance into membership to produce a declaration of intent on racism acceptable to CVSNA.

3.3 Having a solid basis of values is a hallmark of a sound CVS, and members will be expected to show that their policy and practice on these matters are being developed in accordance with the policy of the Association.

4.0 A broad cross-section of organisations in membership of a CVS

4.1 In asking members to represent a broad cross-section of organisations, the National Association wishes to emphasise that a CVS is not just concerned with social services or environmental matters, but is established to take an interest in every aspect of community life.

4.2 Not all organisations will wish to become members of the CVS, but this should not prevent a CVS from working with agencies of every kind, both members and non-members on suitable occasions.

4.3 However many organisations belong to the CVS, it should endeavour to make sure that they involve those which are concerned with social welfare, environment, ethnic minorities, cultural, social, recreational and religious activities. Both statutory and voluntary bodies should be included. Each organisation should be allowed one representative and one vote at Council meetings, so that no one agency can control the voting.

4.4 Councils for Voluntary Service exist to help organisations to be as effective as possible and to work together in their area of benefit. This means working closely with those who have responsibility for services of all kinds, including the statutory authorities, both local government and local officers of central government, such as the police, probation and health services, and all organisations in the voluntary sector.

4.5 Where a CVS is concerned with contentious issues, there may be no consensus of opinion within the Council. On these occasions, the CVS should make sure that everyone is aware of the various arguments. A CVS need not take a particular point of view on every or all of the issues presented to it, but where it does so it must clearly state that it is its own opinion. It is more important that a CVS helps individual organisations express their own views clearly.

5.0 Functions, issues and activities

5.1 A CVS should perform a number of key functions and cover a wide range of issues. These are set out in the Wolfenden Committee report on 'The Future of Voluntary Organisations.'[*] The National Association has agreed to use the following categories of key functions:

5.1.1 Development. This can be described as a process of reviewing existing provision, identifying unmet needs and initiating action to meet them, seeing where duplication exists and trying to achieve a better match between needs and resources.

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[*]Wolfenden. 'The Future of Voluntary Organisations. Report of the Wolfenden Committee'. Croom Helm, London 1978.

5.1.2 <u>Services to other organisations</u>. There are a variety of services which a CVS may provide for other organisations; for example, typing and duplicating facilities, the provision of information, help with the keeping of accounts, running or developing training courses, giving advice about relationships with statutory authorities.

5.1.3 <u>Liaison</u>. This may be defined as the exchange of information and opinion between organisations. Agreements between organisations and policy changes by individual bodies may result, but the CVS promoting the liaison can exert no sanctions over the liaising bodies. Liaison may be most productive as the means to pursuing other objectives - such as development - rather than as an end in itself.

5.1.4 <u>Representation</u>. This may involve articulating views, protecting interests, pressing for changes through negotiations and publicity, on behalf of the organisation represented. The value of representation is likely to be much affected by the extent of common ground existing between the organisations involved. It is often concerned with representing the voluntary to the statutory sector and should enable voluntary organisations themselves to speak more effectively to statutory agencies.

6.0 Direct services and projects

6.1 The running of direct services for individuals and specific projects are most worthwhile functions in themselves, and should be done well. They are not, necessarily, an integral part of a CVS. Such services and projects can demand a lot of management time, premises and other resources; they need immediate attention and can diminish concentration on longer-term planning and other activities.

6.2 They can also arouse false expectations on the part of other agencies, particularly local government departments who might begin to see the CVS as primarily a service-giving body. If the CVS is seen as such, its ability to develop other agencies of a quite different nature or to act as a channel of communication or an unaligned liaison body could be seriously reduced.

6.3 If a CVS finds that direct servicing is becoming a major part of its work, it should seriously consider how much of its time and resources are being used in that way. When this happens, it is important to review the total work it is undertaking and to consider the desirability of the direct services being 'hived off' as independent organisations. If, after such a review, the organisation decides that the direct services are its main reason for existing, then it should consider ceasing to be a CVS. This same yardstick should be applied to any projects, including those under the auspices of the Manpower Services Commission and the provision of a pool of volunteers for direct services under the control of the CVS.

6.4 When a CVS initiates the growth of a new individual service agency or project, which it may have to nurture and run for a time, it should be made clear that it is doing so in order to develop the new body prior to its eventual independence. The timing of independence is a matter for local determination.

6.5 Each CVS will have to deal with different local circumstances and will undertake different activities in order to perform the key functions. It is expected, however, that each CVS will have a basic information and

advisory service for the benefit of other agencies, and will strive to put itself into a position where other agencies will look to it to initiate liaison and development, and provide opportunities for representation.

7.0 Relationships with local government

7.1 It will be clear from the foregoing that relationships with statutory authorities are seen as important, from the point of view of policy development rather than service delivery. The effective working relationship does not refer to whether there is an agreed scheme for instance, for the CVS to run a meals-on-wheels service or a transport scheme, but to the effective relationship with both officials and councillors on overall matters and policy development. The CVS should be in a position where a local authority would look to it to discuss matters which may affect the voluntary sector, such as criteria for grant aid or listing of inner city projects or starting a new voluntary agency. The relationship or partnership, however unequal in terms of cash and responsibility, should, or course, provide a line of communication between the voluntary sector and local government.

7.2 It is this conception of the role of the CVS which underlies the expectation a CVS will normally cover an area which is the same as that covered by a local government boundary. Anything less than a local government district would be undesirable, unless there are very special circumstances and it can be shown that the CVS is considered by local government to have some part in the overall policy-making process.

8.0 Staffing of a CVS

8.1 Staff - The National Association strongly recommends that all CVS employ paid staff, and that they should have at the very least a full-time General Secretary or Director and supporting staff.

8.2 Salaries and conditions of service - Although salaries and conditions of service are not included in the membership conditions, the National Association will expect that where staff are employed, their salaries and conditions of service will not seriously differ from those recommended by the National Association (based on those of the National Joint Council for Local Authority Administrative, Professional, Technical and Clerical Services). If a CVS cannot offer the salaries recommended, it should consider its own local policy for pay and conditions - for instance, it could consider employing staff on a pro rata basis: four days' work for four-fifths of recommended salary. The National Association would wish to be assured that such a CVS had seriously considered the matter and had a local policy.

8.3 Training and staff development - Included in the recommended conditions of service is one which suggests that CVS have a staff training ad development policy. This is considered to be important and the National Association will endeavour to see that opportunities for staff training are made available. General information seminars will also be provided from time to time for honorary officers and committee members, and it is hoped that they will take advantage of them and suggest areas of interest which might be covered in addition.

9.0 **Membership**

9.1 Applicants for membership will be expected to provide written evidence (on an application form) of their compliance with the conditions of membership. Within five years, there will be a review which will be conducted under the auspices of the Executive Committee of the National Association.

10.0 **Benefits of membership**

10.1 Full members will receive all available services, and will be able to participate in all activities, as well as nominate for and elect to positions in the National Association.

10.2 Associate members will receive all the available services and will be able to participate in the activities organised by the National Association.

September 1987

COUNCILS FOR VOLUNTARY SERVICE NATIONAL
ASSOCIATION

TERMS OF REFERENCE FOR CVS EVALUATION PROJECT ADVISORY GROUP

1.	Name	CVS Evaluation Project Advisory Group.
2.	Status	Sub-group of the Executive Committee and responsible to the EC.
3.	Purpose	To advise on the development of the Project.
4.	Functions	To help develop, monitor and evaluate the Project. To help solve any difficulties as necessary.
5.	Membership	The group should have five representatives from the EC and local CVS.
6.	Meetings	Four times per year to be held in CVSNA's offices.
7.	Finance	All expenses, including travel expenses will be met by the Project.
8.	Administration	The Sub-group will be serviced by the Development Officer.
9.	Commitment from members of the Sub-group	Members of the Sub-group will be expected to attend meetings and to support the work of the Project.
10.	Time-scale	To July 1992.

COUNCILS FOR VOLUNTARY SERVICE NATIONAL ASSOCIATION

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26 Bedford Square, London, WC1B 3HU Tel. 01-636 4066

29 June 1989

CVS Evaluation Project

CVSNA is concerned that an increasing number of local CVS are required to have their work and structure evaluated by funders or that new conditions of funding require them to conduct a programme of self-evaluation. CVSNA is concerned to ensure that the results of any evaluation exercise should reflect the range of issues CVS are faced with.

The National Association and the Centre for Community Operational Research (CCOR) at the University of Hull have initiated a joint two-year project to develop evaluation techniques appropriate to local CVS.

The project has originated from work currently being done with two local CVS in Humberside. The aim will be to:

help improve the effectiveness of CVS and thereby help improve the support which CVS provide to other voluntary organisations, by assisting them to develop a range of evaluation models; appropriate to CVS work and structure.

It is planned that a small number of CVS will be invited to participate in a pilot project to develop and test evaluation techniques. Those techniques which prove to be suitable to a range of CVS will be made more widely available to the network. Similarly the project will provide information and material on evaluation to all CVS on a regular basis.

The work of the CVS Evaluation Project will be assisted by an Advisory Group which will be responsible to the Executive Committee. The proposed functions of the Advisory Group will be to:

- provide advice on the project's development

- help monitor and evaluate the project's effectiveness

The Advisory Group is expected to meet four times per year.

We hope that you will be able to join the CVS Project Advisory Group. The first meeting has been planned for Thursday 19 July at 11.30 in London. If you are unable to attend on that day, but would like to become involved in the Group, please indicate which of the dates on the attached slip is most suitable for you.

Do please contact me if you require any further information about the CVS Evaluation Project.

Coreen Allen
Development Officer

CVS EVALUATION PROJECT ADVISORY GROUP

Name ....

I am able/unable to join the Advisory Group

I am able/unable to attend the meeting on 19 July 1990

I am able to attend on (please tick one):

Tuesday   7 August 1990

Wednesday   8 August 1990

Please return to Coreen Allen in CVS Department. Please use stamped-addressed envelope provided. Thank you.

APPENDIX 6

CVSNA EVALUATION PROJECT

WORK-PLAN (AUGUST 1990 - DECEMBER 1990)

8th/9th August	-	First meeting of Advisory Group.
(Actually achieved by 19th October)	-	Selection of first and second choice CVS for pilot projects.
September-October	-	Meetings with first choice CVS.
(Actually achieved during the period October-November)	-	Determination of evaluation procedures appropriate to first choice CVS.

As the four modes of evaluation should be covered by the projects, meetings with second choice CVS if imbalance in variety of evaluation methods to be employed by pilot project scheme.

Agree project terms of reference with selected pilot project CVS.

Design of evaluation procedures.

5th-6th December	-	Second meeting of Advisory Group.
(Actually achieved December)		Discussion of project progress and the design of evaluation methods appropriate to CVS.

> COUNCILS FOR VOLUNTARY SERVICE NATIONAL ASSOCIATION

CVSNA EVALUATION PROJECT

Background

CVSNA and the Centre for Community Operational Research (CCOR) at the University of Hull have developed a joint initiative to develop evaluation techniques appropriate to CVS.

The Project, which originated from the work of CCOR with two local CVS in Humberside, will be funded by the Leverhulme Trust for a period of two years.

Aims of the Project

The Project aims to help improve the effectiveness of CVS and thereby help improve the support given by CVS to other voluntary organisations, by assisting them to develop an evaluation model, or models, applicable to CVS and to help them to use those models.

The work of the Project will be supported and directed by an Advisory Group which will have representation from CVS, the Executive Committee of CVSNA and CCOR. The Advisory Group will be accountable to the Executive Committee of CVSNA.

How CVS can become involved with the Project

A number of CVS have experienced evaluation of their work and structures by funders and other interested bodies. The results of the evaluation exercises have often failed to reflect many of the difficulties which CVS face. In some other cases, CVS are requested to provide results of evaluation as a condition of funding. The Project aims to provide local CVS with a range of evaluation models and techniques to enable them to respond appropriately to such demands.

CVS might also consider how developing appropriate evaluation techniques could enable them to make more informed decisions about activities and priorities.

The Project plans to provide information and material on evaluation to all CVS on a regular basis. In addition to this, it is planned that a small number of CVS will be invited to join a pilot project scheme to develop and test evaluation techniques. Those techniques which prove to be suitable to CVS will be made more widely available to the network.

As a first step all CVS are invited to complete the short questionnaire attached. CVS are also invited to indicate an interest to be involved with the pilot scheme. Please return the completed questionnaire to Coreen Allen in the CVS Department by 13 July 1990.

Coreen Allen   Amanda Gregory
Development Officer   CVSNA Evaluation Project Worker

CVSNA EVALUATION PROJECT

QUESTIONNAIRE

Please return the completed form to Coreen Allen, CVSNA, 26 Bedford Square, London WC1B 3HU.

The information provided in this questionnaire will help the Evaluation Project understand better CVS involvement with evaluation. Please delete as appropriate.

1.   What is the name of your CVS? ....

    ....

2.   Has your CVS been involved with evaluation before?

    Yes [   ] No [   ]

3.   Was the evaluation carried out by:

    the CVS   [   ]

    Funders   [   ]

    Others   [   ]

4.   Is the work of your CVS currently being evaluated?

    Yes [   ] No [   ]

5.   Who initiated the evaluation exercise:

    the CVS   [   ]

    Funders   [   ]

    Others   [   ]

6.   Would your CVS like to be involved with the CVSNA Evaluation Project?

    Yes [   ] No [   ]

7.   Does your CVS plan to become involved in other evaluation exercises other than through the CVSNA pilot scheme?

    Yes [   ] No [   ]

APPENDIX 8

NATIONAL QUESTIONNAIRE ON EVALUATION

In June 1990 a questionnaire was sent out to all CVS in England by the CVSNA Evaluation Project Team. The purpose of the questionnaire was to enable formulation of the national picture with regard to CVS involvement with evaluation. Response to the questionnaire was quite good, sixty-six out of the two hundred and fifty sent out were returned completed (26%).

Thirty-six out of the sixty-six responding CVS (55%) have been involved with evaluation in the past. These evaluations had been carried out by:

	No.	%
CVS	15	42
Funders	3	8
Others	3	8
CVS/Funders	5	14
CVS/Others	3	8
Funders/Others	3	8
CVS/Funders/Others	2	6
No Answer	2	6
	36	100

Twenty-seven out of the sixty-six responding CVS (41%) were having their work evaluated at the time of the questionnaire. These evaluations were initiated by:

	No.	%
CVS	13	48
Funders	5	19
CVS/Funders	9	33
	27	100

Fourteen of the respondents (21%) planned to do evaluation other than through the CVSNA pilot scheme.

Thus, whilst the amount of self-evaluation by CVS appears to be rising steadily, from 42% to 48%, the amount of funder initiated evaluation has increased significantly from 8% to 19%. Also, there does appear to be a substantial increase, from 14% to 33%, in the percentage of joint evaluations between CVS and funders.

(Evaluation: A User's Guide. A First Project Report by A. Gregory, 1991)

COUNCILS FOR VOLUNTARY SERVICE NATIONAL ASSOCIATION

Meeting of the CVS Evaluation Project to be held on

Friday 19 October 1990

10.30 am - 3.00 pm at NCVO

AGENDA

1. Terms of Reference.

2. Background to Project.

3. Project Work Plan   September 1990-March 1991:

   a)   Progress to date

   b)   Links with other areas of CVSNA's work

   c)   Links with other evaluation initiatives

   d)   Pilot Project on local CVS

4. Date and venue of future meetings.

5. Any other business.

Minutes of the first meeting of the CVS Evaluation Project Advisory Group, held on 19 October 1990.

Present: Rachel Carmichael (LAVA)
             Sumita Dutta (CVSNA EC)
             Amanda Gregory (Project Worker/Hull Univ.)
             Jonathon Hall (CVSNA EC)
             Mike Jackson (Hull Univ.)
             Audrey Middleton (Scunthorpe CVS)

1.   Apologies

Received from J. Hall for the first part of the meeting.

2.   Chair

Audrey Middleton agreed to Chair the Advisory Group.

3.   Terms of Reference

It was agreed to amend item (6) of the Advisory Group's Terms of Reference to read '. . . . in CVSNA's offices or other suitable venue.' Item (10) was also amended to read 'To March 1992.'

4.   CVS Project Background and Progress

The AG discussed the origins of the Project. The Project Worker outlined her work with Hull and Beverley CVS, which would not be considered as part of the national initiative with CVS. There was also a commitment to the Project funders (the Leverhulme Trust) to prepare a series of articles on evaluation.

The CVS Evaluation Project had been promoted at the CVSNA Annual Conference and at a number of regional meetings, where CVS had expressed support for the initiative. The Project Worker also presented an analysis of local CVS experience of evaluation; the analysis was based on information provided by the State of the Nation report and a short questionnaire circulated to local CVS in July. Eighty-two percent of CVS responded to the questionnaire and over half expressed an interest in being involved with the Project.

5.   Project Work Plan

a)   **Pilot Scheme**: The AG discussed the need to 'pilot' a range of evaluation techniques among a small number of CVS. It was felt that CVSNA's experience of involving local CVS in similar initiatives suggested that results can be unclear if too few CVS remain involved to the end. It was suggested that the pilot could start with a larger number of CVS, but other suggestions were that a higher number could raise expectations of the Project Worker and the resources available; it was important to ensure that CVS selected for the pilot are those most likely to succeed.

b) **Selected CVS:** The AG considered a range of criteria for selecting CVS to be involved in the pilot scheme. These included geographical location, long/newly established CVS and whether the agency is involved in value-based work.

Twelve CVS were selected for consideration - Basingstoke, Bassetlaw, Cleveland, Doncaster, Hastings, Lewisham, N. Devon, N. Warwicks. and Sunderland.

It was decided not to include in the pilot scheme, CVS represented on the Advisory Group.

The Project Worker agreed to contact the CVS to discuss the proposal before taking any decision about which would be invited to participate. A copy of the amended draft contract would also be sent to CVS.

It was reported that the Project was already disseminating information on evaluation techniques to CVS, but that CVS would have difficulty using most of the available material before modifying it. Concern was shown that CVS need material which is quick and easy to adopt.

c) **Time-table 1990-92:** A proposed time-table was agreed to broadly cover:

- (Oct-Dec 90)   Promote Eval. techniques
- (Dec 90)   Establish Pilot Scheme
- (April 91)   First Project Report to NACVS
- (End June 91)   Project Seminar
- (Dec 91)   End of Pilot Scheme
- (Jan/Feb 92)   Seminar to Discuss Lessons Learned
- (Mar 92)   End of Project/Final Report

6. Date of Next Meeting

18 December 1990 at a venue outside London.

7. Any Other Business

It was agreed that Sumita Dutta would report to the December EC Meeting on behalf of the Advisory Group.

CVS Evaluation Project Advisory Group Meeting, to be held on

Tuesday 18 December 1990.

AGENDA

1. Apologies

2. Minutes of Last Meeting

3. Project Report

   a) Pilot Scheme - response from CVS

   b) Questionnaire sent to CVS Nov/Dec

   c) Links with CVS/Other networks - regional conferences

4. Draft Paper on Evaluation

5. Date of Next Meeting

6. A.O.B.

Minutes of the CVS Evaluation Project meeting held on 18 December 1990 at NCVO.

Present: Audrey Middleton (Chair)
             Rachel Carmichael
             Amanda Gregory
             Mike Jackson
             Coreen Allen
             Sumita Dutta

1.   Apologies

Apologies were received from Jonathon Hall.

2.   Minutes of Last Meeting

The second paragraph of item (4) was amended to read:

"Twenty-six percent of CVS . . ." and "82% expressed an . . ." Item 5(b) was also amended to add N W Leicestershire, Bradford and Wolverhampton to the number of CVS considered for the pilot scheme.

3.   Project Report

(a)   Pilot Scheme - The Project Worker reported that she had discussed the pilot scheme with selected CVS and that Basingstoke, Doncaster, Hastings, Lewisham, North Devon, North Warwickshire and Sunderland CVS were enthusiastic to participate. The evaluation methods chosen were multi-active, goal-orientated and systems resource. The Project Worker recommended that Basingstoke CVS could test the culture-based approach to evaluation.

It was agreed that the CVS involved should be asked to sign an agreement with the Evaluation Project to encourage commitment and ownership of the work being undertaken. Each CVS would be asked to establish a "Reference Group", which would include representatives from the local CVS Executive Committee, funders, user groups and the staff team.

It was acknowledged that some of the chosen evaluation methods would require a longer time-scale to set up within the CVS; others could work successfully with fewer visits from the Project Worker once the pilot was established. It was agreed that on average, the worker could spend up to days with each CVS.

(b)   CVS Evaluation Questionnaire - Eight-seven CVS had returned the questionnaire circulated to the CVS network in November. The questionnaire asked CVS to indicate ten characteristics which they felt CVS should have. The information would be used by the Project when developing evaluation models for the pilot and for wider use by CVS.

It was reported that one of the Pilot CVS had requested assistance in using the questionnaire as a model against which to "test" the CVS strengths and weaknesses. The Advisory Group felt that the exercise could be useful, but could best be done if a third person was involved "observing" the CVS at work.

It was suggested that the observer would need to be familiar with the evaluation technique to be used and also with CVS role and functions. It was also suggested that Jane Isaacs (CVSNA Consultant) and Charles Ritchie (Hull University) could be approached to assist with the exercise.

(c) **Links with other networks** - The Advisory Group discussed working links between the CVS Evaluation Project and other agencies also involved with evaluation projects. It was felt that these links were important and that CVSNA has traditionally networked with other organisations on a range of issues. However, it was important that material developed by the Project and with CVS should be safeguarded. Similarly, it was important to ensure that the Project is promoted within the CVS network, so that local CVS wishing to become involved in evaluation issues with other bodies would be aware of the Project.

4. Draft Paper on Evaluation

It was agreed that the document should be re-titled to include the words "CVS Evaluation Project: A User's Guide". A copy of the draft should be sent to all members of the Advisory Group, asking them to direct comments to Amanda Gregory as soon as possible.

It was suggested that the Project could levy a small fee per copy for the document, but that this would need the agreement of the Leverhulme Trust.

5. Date of Next Meeting

It was agreed that this should be 19 March 1991 at 12.00 in Sheffield.

CVS Evaluation Project Advisory Group Meeting to be held on

Tuesday 19 March at NCVO

AGENDA

1. Apologies

2. Minutes of Last Meeting

3. Project Report

4. Links with NACVS Executive Committee and Staff

5. Date of next meeting and venue

6. Any other business

Present: Audrey Middleton (Chair)
             Rachel Carmichael
             Sumita Dutta
             Mike Jackson
             Coreen Allen
             Amanda Gregory

1.   Apologies

Apologies were received from Geoff Ludden and Jonathan Hall.

2.   Minutes of Last Meeting

The first paragraph of item 3(a) was amended to read: "The evaluation methods chosen were multi-actor . . ." and the third paragraph of 3(a) was altered so that it read "the worker could spend up to five days . . .". Item 5(b) was also amended as Charles Ritchie is a member of Northern College and not Hull University.

3.   Project Report

(a)   Pilot Scheme - The project worker reported that all of the pilot projects had been visited and the design of each of the evaluation procedures was underway. A time-table detailing the significant stages in each of the pilot projects was presented to and agreed by the group.

(b)   Pilot Project Meeting - It was decided that a meeting of people involved with the pilot scheme should be planned for Wednesday 11th December 1991 (Adams Room, NCVO).

(c)   Final Project Report - It was suggested that following the pilot project meeting, a draft version of the final report might be completed by February 1992 and put to the following NACVS Executive meeting. Concern was expressed that the final report be in CVS, rather than management systems, language hence the Advisory Group agreed to edit the final document.

(d)   Final Project Presentation - It was agreed that the final presentation of the project findings should be made to CVS at a conference to be held in May/June 1992.

(e)   Report to NACVS Executive - The Advisory Group decided that a presentation should be made at the NACVS Executive summer meeting by Sumita Dutta and the project worker on project progress to date.

4.   Links with NACVS

It was reported that due to the change-over from CVSNA to NACVS, the Advisory Group was expected to be self-servicing in the short-term. However, contact would be established with NACVS and it was hoped that a contact person would be appointed for the project worker once NACVS is fully operational.

5.   Date of Next Meeting

It was agreed that the next meeting should be **8th July 1991 at 12.00 in Sheffield**.

<u>CVS Evaluation Project Advisory Group Meeting to be held on</u>

<u>8th July 1991 at 12.00</u>

<u>at the NACVS offices in Sheffield</u>

A G E N D A

1.   Apologies

2.   Minutes of Last Meeting

3.   Project Report

4.   Links with NACVS Executive Committee and Staff

5.   Date and venue of next meeting

6.   Any other business

The National Association

of Councils for

Voluntary Service

CVS EVALUATION PROJECT ADVISORY GROUP

Notes of a Meeting Held on 8th July, 1991

Present: Audrey Middleton (Chair)
Rachel Carmichael
Sumita Dutta
Mike Jackson
Amanda Gregory
Chris Carling
Nick Waterfield

1.   Apologies

No apologies had been received. It was noted that Jonathan Hall had been ill and that his future involvement with the Advisory Group was unlikely.

It was reported that Geoff Ludden had resigned from the group at the NACVS Executive Committee held in February and that Elizabeth Farrelly had been appointed instead. Unfortunately, however, Elizabeth had been omitted from the distribution list for this meeting.

Members of the group expressed concern that the membership of the Advisory Group had been determined in this way. The group had been set up to undertake a particular task which was due for completion by April, 1992.

It was further pointed out that it had been previously agreed that members of the Advisory Group would not have a connection with the pilot projects. Elizabeth is a member of Sunderland CVS. Agreed that Chris would tell Elizabeth this and a report made to next EC.

2.   Minutes of the Meeting held on 19th March, 1991

These were approved and there were no matters arising.

3.   Project Report

Pilots

Amanda tabled a progress report and schedule of work up to the end of the year and gave a verbal report.

Hastings

Steady progress. CVS engaged in a significant amount of research work establishing appropriate goals and targets.

Doncaster

Good progress, members of CVS involved in defining goals. Moving towards establishing performance indicators, data to be collected in August.

North Warwick

Formulating goal plan in Sub-group of Executive Committee.

Lewisham and North Devon

Progressing well.

Basingstoke

Culture based approach. Workshops on this approach at recent London Regional Conference had proved useful to feed into this evaluation.

Sunderland

Systems Resource approach. Required CVS and Evaluation "experts" to rate the organisation. Gaynor Humphreys and Charles Richie had been approached. Amanda and Mike to clarify that funds are available in their budget to pick up any costs of this, alternatives available if this is not the case.

Dissemination

Mike raised the need to disseminate information about the Evaluation Project throughout the CVS network. A range of options were discussed. The Information Circulation was available as a vehicle for communicating with members. Short progress reports may be useful.

The role of the final report was discussed and it was agreed that this be in two parts. First, a research oriented report, containing the evaluation models and case studies of the pilot projects. Second, a "manual" style report giving the techniques of evaluation and advice as to how to go about it. The latter would be most beneficial to the network and would probably require separate and additional funding. Chris to liaise with Mike regarding this funding. In view of this a May/June launch may not be possible. It was also noted that it is important to schedule the launch into the overall NACVS development strategy.

The role of Amanda's presentation to regional and other meetings was discussed. It was agreed that Amanda respond to each request as it arose and that this was not necessarily the best way of disseminating information at this stage. It was also agreed that a fringe meeting at this years AGM would be useful, provided it was clear that this was a forum for information exchange. Amanda to organise.

The difficulties of presenting information to audiences with a range of attitudes to evaluation was noted.

Pilot Project Meeting

The role of the meeting, as information exchange and mutual support for the pilots, was confirmed. As such, the travel costs to be borne by participating CVS, any experiencing financial problems to contact Amanda, some assistance may be available from the Project budget. Amanda to confirm booking of Adam's Room and make arrangements for the day. Members of

the Advisory Group to be present.

4.   **Links with NACVS Executive Committee and Staff**

Agreed the main link point to Executive Committee is through Sumita, particularly with her role as Chair of Services Sub-Committee. Agreed to recommend that this continue into the new committee year provided Sumita continues as Executive Committee member. Also that Advisory Group membership remain the same. Chris/Nick will continue to provide the staff link. Agreed the importance of fitting the evaluation project into staff-led development work.

5.   **Date and Venue of the Next Meeting**

Thursday, 14th November, 1991 at 12.30 p.m. in Sheffield.

Agenda -   Final Reports
            Final Project Presentation

AGENDA

1.   Apologies

2.   Minutes of the Last Meeting

3.   Project Report

4.   Final Reports

5.   Final Report Presentation

6.   Any Other Business

7.   Date and Venue of Next Meeting

The National Association

of Councils for

Voluntary Service

CVS EVALUATION PROJECT ADVISORY GROUP

Notes of a Meeting Held on 14th November, 1991 in Sheffield

Present: Audrey Middleton (Chair)
             Rachel Carmichael
             Mike Jackson
             Amanda Gregory
             Chris Carling
             Nick Waterfield

1.   Apologies

Apologies had been received from Sumita Dutta.

2.   Minutes of the Meeting Held on 8th July, 1991

Chris apologised for failing to distribute these after the meeting. The minutes were approved as a correct record.

3.   Matters Arising

The matter of Elizabeth Farrelly's membership of the Advisory Group had now been clarified and she would not be joining the group. Jonathon Hall would not be serving on the Executive Committee for 1991/2. A new member of the Executive Committee had shown interest in the work of the Advisory Group. It was noted that the research work would be completed by April 1992, but that a launch and 'manual' were planned for the summer so that the work of the group would continue into the coming year. Agreed to invite Anne Pearce to join the group.

3.   Project Day/Project Reports

3.1   Project Day

The room is booked. All seven pilot projects have said they will come. Agreed the need to limit numbers attending from one CVS to allow balance and maintain manageable size. Shape of day - each CVS to make 10-15 minute presentation. Final session to identify key issues for exploration at launch conference and possibly for feeding into 'manual'. Timing 11.00a.m.-4.00p.m. Rachel to Chair the morning session, Audrey to introduce. Audrey to Chair the afternoon session. One or more NACVS staff to be present (Nick and/or Erica) - their role to be to gather themes/issues to feed into final session and future work. NACVS to resource this.

Amanda to co-ordinate arrangements for the day with CVS's Rachel/Audrey/Erica/Nick, and arrangements for room, tape recorder etc.

3.2   Pilot Projects

Lewisham (Multi-actor) - Complete, Executive Committee and staff pleased with process and outcome. Some concern that 50% of time identified as management tasks. Raises questions of how to define management tasks and how to 'sell' the need for management, internally and externally and how results of evaluation should be presented to funders/supporters.

Northern Devon (Multi-actor) - Still recording time-sheets. Contents of time-sheets reviewed part way through process - points to the need for each CVS to design their own time-sheet rather than use a model or other CVS sheet. Recording should be complete by the end of December, then analysed by Amanda.

Doncaster (goal-based) - Goals determined by questionnaire to membership. Monitoring is ongoing, due for completion December - January. Illustrates point that evaluation works best where there is an existing sub-group or committee working on evaluation, or commitment already exists in another way.

Hastings (goal-based) - Continuing the process of researching goals. Some difficulties arising from working with different people with different or shifting goals. Working to a group rather than an individual may assist with continuity.

Sunderland (systems) - "Evaluators" had visited CVS. Some concerns about who 'owns' the report. Amanda agreed joint session for staff and committee to present the report. Illustrates importance of placing CVS in context.

Basingstoke (culture-based) - An evening session had been held for the staff, volunteers and Executive Committee to conduct the evaluation exercise. The final report is to be written up by Amanda. North Warwickshire (goal-based) - Executive Committee experiencing some problems in defining goals. Work should be complete by January.

In the course of the work with the pilot projects, Amanda had identified some difficulties in working with CVS committees and staff. It was agreed that, in order for the results of the project to be of most use to the CVS network, such difficulties, and ideas for their solution, need to be incorporated into any 'manual'.

4.   **Final Reports and Presentation**

Agreed that NACVS would take lead role in preparing and publishing the Evaluation Manual for CVS. Probably a folder/looseleaf presentation priced to break-even. Chris to look for sponsorship to float initial costs.

Amanda to provide draft by February, 1992 for final production for early June Launch.

Report to be launched at Conference/Event held in Sheffield. Pilot CVS to make presentation. Chris/NACVS to Chair. Event to be costed on break-even basis - Conference fee to include venue, presenters expenses, evaluation manual. Need to link to London region to ensure London/Southern dissemination via Northern event. Venue to be sought in Sheffield to accommodate 80-100 attenders. Next meeting of this group to be devoted to planning this event.

5.   **Date and Venue of the Next Meeting**

Wednesday, 29th January, 1992 at 11.30a.m. NACVS Offices in Sheffield.

<u>CVS Evaluation Project Advisory Group Meeting to be held on</u>

<u>Wednesday, 5th February, 1992 at 11.30am</u>

<u>in the meeting room at NACVS,</u>

<u>3rd Floor, Arundel Court, 177 Arundel Street, Sheffield</u>

AGENDA

1.   Apologies

2.   Minutes of the Last Meeting

3.   Matters Arising

4.   Pilot Project Reports

5.   Report Back on the Project Day (11th December 1991)

6.   Final Reports and Presentation

7.   Date and Venue of Next Meeting

8.   Any Other Business

The National Association

of Councils for

Voluntary Service

CVS EVALUATION PROJECT ADVISORY GROUP

Notes of a Meeting Held on Wednesday 5th February, 1992

at NACVS in Sheffield

Present: Audrey Middleton (Chair)
                   Mike Jackson
                   Amanda Gregory
                   Erica Dunmow
                   Chris Carling

1.   Apologies

Apologies had been received from Sumita Dutta and Rachael Carmichael.

2.   Minutes of the Last Meeting Held on 14th November, 1992

The notes were agreed.

3.   Matters Arising

There were no matters arising.

4.   Pilot Project Reports

All of the projects were in the process of winding up.

5.   Report Back on the Project Day (11th December, 1991)

The day had proved a good opportunity for information exchange between the projects and to inform Amanda. A number of issues had emerged which could be usefully incorporated into a manual and for future use of the evaluation techniques. These included: how the models were variously interpreted by the CVS and the people involved; the importance of the existing profile of the CVS when using the multi-actor approach and that this approach can improve profile; the need to continue the evaluation process beyond the term of the project where possible; the importance of having good management and administrative systems in place; the importance of a good relationship between the staff and committee of the CVS; the need to locate the evaluation process in organisational and other development of the CVS. In summary, it was recognised that a CVS needed a baseline organisational effectiveness to undertake evaluation and that the models need to be adapted to meet local conditions.

6. Final Reports and Presentation

It was agreed that plans for the presentation/launch day in June go ahead. One day in Sheffield was agreed. The format for the day was discussed. Reports of the experience of the pilots together with exposition of the models to be a central feature. There was discussion of timing and organisation of the day. A workshop format was agreed for the discussion of the four models. Amanda will organise this. NACVS will continue to look for sponsorship of the event and publication. If this fails, to plan for break-even price for attendance.

7. Date and Time of Next Meeting

Thursday, 21st May, 1992 11.30a.m.-3.00p.m. at NACVS in Sheffield.

AGENDA

360

1.   Apologies for absence

2.   Minutes of the last meeting

3.   The evaluation manual

4.   The NACVS workshop on evaluation, 17th July 1992

5.   Any Other Business

The National Association

of Councils for

Voluntary Service

CVS EVALUATION PROJECT ADVISORY GROUP

Notes of a Meeting Held on Thursday 21st May, 1992

at NACVS in Sheffield

Present: Audrey Middleton
            Anne Pearce
            Amanda Gregory
            Mike Jackson
            Erica Dunmow
            Nick Waterfield

1.   Apologies

Apologies had been received from Sumita Dutta, Rachel Carmichael, Chris Carling.

2.   Minutes of the Last Meeting Held on 5th February, 1992

Anne Pearce was added to the present list. The notes were then agreed.

3.   Matters Arising

All matters arising were covered under the agenda items.

4.   Evaluation Manual

Erica Dunmow reported that although several firms approached for sponsorship to cover the cost of editing and publication had expressed interest, none has so far given a firm yes. Additional possible sources were suggested.

A fall-back strategy was agreed as follows:

early June   -   if no money promised NACVS produces edited test in-house, but continues to pursue production and launch sponsorship.

end June   if no money promised NACVS does in-house production using standard folder and continues to pursue launch sponsorship.

mid June onwards   if no money available, launch happens entirely on self financing basis, but NACVS pursues money to undertake re-publication of high quality produced pack.

5. Evaluation Day

This has been put back to 17th July, 1992 to allow a longer lead-in for fundraising. Amanda reported that all the facilitators originally identified are free for the new date. The Group re-iterated its hope that Rachel Carmichael would introduce the day given her long-running commitment to the work.

The timetable was finalised and the contents of the workshops discussed in detail. A registration fee of £10.00 was set to ensure that all basic costs, including refreshments, lunch, venue hire and a copy of the pack for all attenders could be covered in case no sponsorship is obtained. Hull agreed to produce the workshop papers for attenders. NACVS to advertise the event in June Circulation and elsewhere.

6. Any Other Business

There was no other business.

7. Date of Next Meeting

There was no meeting set as the Group has completed its task. Thanks were expressed to all involved.

MEMORANDUM

TO: Members of the CVS Evaluation Project Advisory Group

FROM: Erica Dunmow, Assistant Director (Field Support and Development)

DATE: 5th June, 1992

RE: Progress Update

The fundraising approaches made have so far produced no positive results, although several are outstanding.

The first deadline has passed so we have made arrangements for 'in-house' editing of the Pack. Mike Clemson at Beverley CVS has kindly agreed to do this for us.

Sponsorship of the production and launch of the Pack continues.

Erica Dunmow

SELECTION OF AN APPROPRIATE EVALUATION METHOD

EVALUATION QUESTIONNAIRE 1

A's   B's

1. Generally, do you want the evaluation to concentrate on:
   A. Tangible facts and concrete reality.
   B. Personal accounts of events and individuals' perceptions.

2. Does the evaluation have to generate data capable of enabling comparison of the organisation with others?
   A. Yes.
   B. No.

3. Is the organisation being treated as:
   A. One of a type.
   B. A unique entity.

4. Is the evaluation exercise part of an accountability exercise for more powerful external parties, for instance funders?
   A. Yes.
   B. No.

5. Do you believe that:
   A. Objectivity is achievable by eliminating individual biases.
   B. Objectivity is achievable by incorporating everyones' individual biases.

6. Is the evaluation exercise to be:
   A. A one-off exercise.
   B. Integral to the management system.

7. Do you want the evaluation findings:
   A. To speak for themselves.
   B. To provoke discussion and debate.

A's   B's

1. Is the size of the group:
    A. Between 4 to 10 persons.
    B. Less than 4 or more than 10 persons.

2. Would you say the level of knowledge about evaluation is:
    A. Good, or moderate, people have read around the subject and are keen to undertake an actual evaluation exercise.
    B. Poor, people have little idea of what an evaluation exercise involves, the alternative forms of evaluation or what might be appropriate for this organisation.

3. Do you have access to expert sources of knowledge about evaluation?
    A. Yes.
    B. No.

4. How important are decisions contingent upon the evaluation?
    A. Crucial, we plan to integrate the evaluation system into the strategic decision-making system of the organisation.
    B. Minor, it will be interesting to see what the evaluation comes up with but we don't have any real plans for using the evaluation findings.

5. Are resources incl. time, manpower, etc:
    A. Abundant.
    B. Scarce.

6. Would you describe the Evaluation Group as:
    A. Highly integrated, members are comfortable with each other, the Group is geared up to take action and members are highly committed to the exercise.
    B. Poorly integrated, members are not acquainted, the Group does not really know what it should be doing and consequently commitment to the exercise is poor.

7. How would you describe the Group's decision making ability:
    A. Good, the Group is free to design the evaluation itself and may determine its own terms of reference for the project without undue interference from outside elements, such as funders.
    B. Poor, the Group is being forced to accept the terms of reference and form of evaluation dictated by a body upon which the organisation is dependent.

A CLASSIFICATION OF APPROACHES TO EVALUATION

		Orientation to Evaluation:	
		Quantitative	**Qualitative**
Variety	**High**	System-Resource Based Approach	Multi-Actor Based Approach
of the Evaluation Group	**Low**	Goal Based Approach	Culture Based Approach

Appendix 11

RESPONSIBILITIES OF AN EVALUATION PROJECT PILOT STUDY

Responsibilities of the CVS:

(1) to establish approval of the project by the Executive Committee and their commitment to the use of information forthcoming from the evaluation process;

(2) to secure staff support for the project and their willingness to act in a conscientious and cooperative manner with regard to all matters concerned with the project;

(3) to provide a member of staff/volunteer willing and able to act as a system administrator (eg. to distribute and collect time-sheets, etc.);

(4) to be open to the opinions of external parties and, if necessary, to construct a list of a significant number of individuals and representatives of groups having an interest in the CVS who are willing to be surveyed on such matters as CVS activities and priorities at regular intervals;

(5) to establish a reference group to oversee the project and to disseminate evaluation findings.

WORK PLAN FOR 1991

	SUNDERLAND	BASINGSTOKE
JANUARY		
FEBRUARY	Formulation of evaluation criteria (including a survey of CVS and review of cybernetic models of organisations).	
MARCH		
APRIL	G.H. and The Centre for Community O.R. agree to be involved with the evaluation in the Autumn.	
MAY		Evaluation exercise tested out at London region CVS conference.
JUNE		
JULY		Evaluation exercise redesigned.
AUGUST		
SEPTEMBER	Material about the CVS and evaluation sent to evaluators.	
OCTOBER	Evaluators spend a day at the CVS talking to staff and Executive.	Evaluation exercise conducted.
NOVEMBER	Report made to CVS.	
DECEMBER		

WORK PLAN FOR 1991

	NORTH DEVON	LEWISHAM
JANUARY	Design of time-recording system.	
FEBRUARY		Design of time-recording system.
MARCH	Time-sheet trial run and revision of coding system.	
APRIL		Time-sheet trial run and revision of coding system.
MAY	Evaluation Group of 3-4 Executive Committee members established.	13/05/91 Time-recording start in proper.
JUNE	01/06/91 Time-recording start in proper.	Questionnaires designed and revised.
JULY	Meeting to discuss design of the questionnaire.	Time recording ends. Questionnaires produced and distributed.
AUGUST	Questionnaires produced and interested parties list formulated.	Questionnaires returned. Questionnaires and time-sheets analysed. Reports to sub-committees.
SEPTEMBER		
OCTOBER	.	
NOVEMBER	30/11/91 Time-recording ends. Questionnaires sent out.	
DECEMBER	Analysis and report.	

WORK PLAN FOR 1991

	NORTH WARWICKSHIRE	DONCASTER
JANUARY		
FEBRUARY		Questionnaire designed.
MARCH	Following meeting, goal-plan sent to CVS for comment. Evaluation group of 3 Executive Members established.	
APRIL		
MAY	17/05/91 Evaluation Group reject proposed goal-plan.	Questionnaire produced and distributed. Returned questionnaires analysed and report made to Sub-Committee. Goal-plan drawn-up.
JUNE		
JULY	09/07/91 Evaluation Group put together goal-plan (future of N. Warks as a pilot project to be discussed at meeting).	
AUGUST		
SEPTEMBER		Goal oriented activity and collection of monitoring data.
OCTOBER		
NOVEMBER		
DECEMBER		Analysis and report to Sub-Committee.

	HASTINGS
JANUARY	
FEBRUARY	
MARCH	
APRIL	Work areas to be researched decided.
MAY	
JUNE	Research questionnaires designed.
JULY	Research conducted. Monitoring data collected.
AUGUST	Analysis of research. Goal-plan drawn-up.
SEPTEMBER	
OCTOBER	Goal oriented activity and collection of monitoring data.
NOVEMBER	
DECEMBER	Analysis of data and presentation to Evaluation Group.

APPENDIX 13

PROJECT TO DESIGN EVALUATION PROCEDURES FOR

COUNCILS FOR VOLUNTARY SERVICE

ANNUAL REPORT TO 31/3/91

Ref: F.1811;S.893175

PROJECT OUTLINE

The project being undertaken by the Department of Management Systems and Sciences at the University of Hull in conjunction with the National Association of Councils for Voluntary Service (NACVS) is to design several models of evaluation for use by Councils for Voluntary Service (CVS). The project and the evaluation techniques developed are to have a sound theoretical grounding and the project is to be based around action research.

PROGRESS TO DATE

An advisory group of NACVS Executive members and representatives of local CVS has been established to inform and support the project. To date there have been three meetings of the Advisory Group.

Following a national survey to establish the extent of CVS involvement with evaluation and to invite CVS to indicate their interest in the project, the Advisory Group selected seven CVS as pilot projects with whom the Research Assistant is to work for the period 01/01/91 to 31/12/91. The pilot CVS and the types of evaluation to be tested are:

Doncaster CVS - Goal based evaluation
Hastings CVS - Goal based evaluation
North Warwickshire CVS - Goal based evaluation
Sunderland CVS - System-resource based evaluation
Lewisham Voluntary Action - Multi-actor based evaluation
North Devon CVS - Multi-actor based evaluation
Basingstoke Council of Community Service - Culture based evaluation

All of the pilot projects have received at least two visits from the Research Assistant and all projects are well under way. Efforts have been made to ensure that each of the projects establishes an evaluation group of local interested parties to assist with the design of the evaluation procedure and disseminate the evaluation findings.

The design of the evaluation procedures has involved substantial research, for example the system-resource based evaluation has involved a national survey of CVS to determine desirable CVS characteristics.

A first report, outlining the methods of evaluation being tested by the project, has been sent to all CVS.

Conferences At Which Sessions About The Project Have Been Held

CVSNA Annual Conference, 7-9 September 1990, Coventry.

OR32, Annual Conference of the Operational Research Society, 11-14 September 1990, Bangor.

"How do we evaluate ourselves?", Kenilworth Seminar Day, 4 December 1990, London.

"Evaluation in the voluntary sector", Community Operational Research Network, 13 March 1991, London.

CVS Regional Conferences At Which Sessions About The Project Have Been Held

25 September 1990, Herts, Beds and Essex.

9 October 1990, Midlands.

14-15 November 1990 and 27-28 February 1991, Yorkshire and Humberside.

Journals And Conference Papers

"Evaluating Organizations: A Systems and Contingency Approach" by A.J. Gregory and M.C. Jackson accepted by Systems Practice.

"Evaluation Methodologies: A System for Use" by A.J. Gregory and M.C. Jackson submitted to the Journal of the Operational Research Society.

International Society for the Systems Sciences, 14-20 June 1991, Sweden.

Systems Thinking in Europe, Conference of the United Kingdom Systems Society, 10-13 September 1991, Huddersfield.

OR33, Annual Conference of the Operational Research Society, 17-20 September 1991, Exeter.

Short Papers

"Evaluation Procedures for CVSs", Acorn, No. 4, June 1990.

"Project to Design Evaluation Procedures for CVS", Systemist, Vol. 12, No. 3, August 1990.

6th November 1991

Dear Pilot Project

<u>CVS Evaluation Project Meeting</u>

As you already know, a meeting of representatives from the seven pilot projects is to be held from 11.00am to 4.30pm on 11th December in the Adams Room, 5th floor, Metropolis House, 22 Percy Street, London (lunch to be provided).

There are two basic purposes for the meeting:-

1)   to bring the pilot projects together so that they might hear from 'the horse's mouth' what methods of evaluation the other projects have been testing and how they have progressed

2)   to plan for the launch of the final project report in May/June of next year at an evaluation workshop which will be open to all CVS. It is hoped that representatives from the pilot projects will be willing to take major roles in presenting information about the different forms of evaluation at the workshop.

I would be most grateful if you or one of your representatives coming to the meeting on 11th December would prepare a short presentation (approximately 10-15 minutes) detailing:

1)   the major stages to the evaluation process you are going/have been through

2)   what you feel to be the positive aspects to the evaluation process you are going/have been through

3)   what you feel to be the negative aspects to the evaluation process you are going/have been through.

Finally, would you please complete and return to me the slip detailing who you will be sending to the meeting by 20th November 1991.

Many thanks.

Yours sincerely,

Amanda Gregory
Research Assistant

EVALUATION PILOT PROJECT MEETING

11th December 1991

The Adams Room, 5th Floor, Metropolis House,
22 Percy Street, London

11.00 - 11.15	Coffee
11.15 - 11.30	Project Beginnings (A. Gregory)
11.30 - 11.45	The Role of the Advisory Group (A. Middleton)
11.45 - 12.10	Doncaster CVS (Goal based evaluation)
12.10 - 12.35	Hastings VA (Goal based evaluation)
12.35 - 1.00	North Warwickshire CVS (Goal based evaluation)

Chair for the morning session:
R. Carmichael

1.00 - 1.45	Lunch
1.45 - 2.10	VA Lewisham (Multi-actor based evaluation)
2.10 - 2.35	Northern Devon CVS (Multi-actor based evaluation)
2.35 - 3.00	Sunderland CVS (System-resource based evaluation)
3.00 - 3.25	Basingstoke CCS (Culture based evaluation)
3.25 - 4.30	Themes and Issues (Planning for the launch of the final project report on 10th June 1991!!!)

Chair for the afternoon session:
A. Middleton/S. Dutta

THE NACVS EVALUATION MANUAL

EVALUATE!

- **doing it right**

- **doing it well**

An Information Pack for CVS

EVALUATE!

- doing it right

- doing it well

An Information Pack for CVS

CONTENTS

Acknowledgements

Section I - Introduction to the project and the pack

CVS are increasingly concerned with evaluation as part of a move to greater effectiveness and clarity within the voluntary sector. CVS have a complex role and it is therefore difficult to find the most appropriate way for CVS to evaluate themselves.

Every CVS should have an effective evaluation system that meets its needs, otherwise funders may request the use of ones which may not be as appropriate or helpful. However, the chief value of an evaluation system is not to satisfy funders, important though that is, but to enable CVS to be more systematic and objective in determining how well they are performing, and what they should be doing in the future.

At a time when contracting and changes in local government are likely to affect most CVS, it is vital that CVS develop systematic ways of identifying and reviewing priorities and assessing effectiveness. This pack, based upon the work of the NACVS Evaluation Project, is designed to help you do it.

For those interested in reading more about the theoretical basis of evaluation as well as a more detailed account of the project, a copy of the final project report, by Amanda Gregory and Michael C Jackson, is available on loan from NACVS.

Background

This Information Pack has been prepared from the final report of the NACVS Evaluation Project. The project was a joint undertaking between NACVS and the Department of Management Systems and Sciences, University of Hull. This two year project was funded by the Leverhulme Trust.

Hull University initially proposed the project to NACVS (then CVSNA), following a more limited study undertaken for Beverley Borough CVS. This was at a time when it was becoming evident that an increasing number of CVS were being required by funders to have their work and structures evaluated. In response to this trend and as part of their commitment to encourage good practice by CVS, CVSNA adopted the project. To ensure that the project truly reflected the interests of CVS, CVSNA set up an Advisory Group of its Executive Committee members and representatives of local CVS to inform and support the work.

One of the objectives of the project was to develop a range of methods of evaluation suitable for use by CVS. The project identified four major types of evaluation. Each type was tested by at least one CVS, in a year-long pilot scheme which operated for the duration of 1991. Their experiences are described in Section IV, Getting Started.

A day event was held in December 1991 for the CVS involved to reflect upon the process. The findings from the pilots were fully reported to NACVS in the final project report in March 1992. NACVS will continue to monitor other work being undertaken on evaluation techniques for voluntary organisations and the implementation of the techniques outlined in this pack.

It is hoped that the systems identified will be improved and refined with further experience.

How the pack is organised

Section II briefly overviews the purpose of evaluation and the basic components of any evaluation systems, and some general points to bear in mind.

Section III outlines the four evaluation models and what each model is designed to measure.

Section IV gives much more detailed guidance on how to set up and run each system.

Section V outlines the positive and negative aspects of the evaluation systems from the point of view of the CVS who piloted the systems.

Section VI gives guidance on where to go for further help with evaluation.

Section VII is a glossary of terms used in the pack.

The aim of both the project and the pack is to help CVS understand the underlying basis of evaluation in order that they feel confident in undertaking the process and in choosing a system that meets the needs of the individual CVS - its members, committee, staff and local voluntary sector.

Section II - Why and how evaluate

The purpose of evaluation

An evaluation system seeks to do two things -

- To establish as clearly as possible what functions and activities should be pursued by a CVS to fulfil its role

- To assess whether it is making the best use of its available resources, that is:

  - Is your CVS doing the right things?

  - Is it doing them as well as it can?

The components of an evaluation system

An evaluation system has three parts -

- the planning, design and execution of the process and the analysis of the results. This will probably have two elements - acquiring information about what the CVS *should* be doing, and recording information about what the CVS *actually* is doing.

- assessment of the value of the evaluation process when compared to the extra work and level of disruption generated, possibly leading to proposals to change monitoring procedures.

- using the information from both of these parts to alter, or confirm, what the CVS is doing or planning to do.

General points

- Be explicit about the reasons for doing the evaluation and its purpose. It is only when what is required from an evaluation is revealed that the most appropriate methodology can be selected.

- Whilst it is important to involve various categories of external 'interested parties' in the evaluation exercise, it is crucial that the opinions of staff, volunteers, committee and so on, are given equal consideration by the evaluation.

- Make clear and communicate to everyone concerned the reasons for undertaking the evaluation and who owns it.

- Do not underestimate the importance of the design stage of the exercise as very often this will determine the success of the exercise overall and will effect staff willingness to undertake a similar exercise in the future.

- Most people have had some experience of evaluation, find out what evaluation experiences your staff, volunteers and committee have had. Also, find out if there are any 'experts' in you area who are willing and able to help with your evaluation exercise.

- Aim to build evaluation into the normal course of work so it is no longer seen as a threatening exercise but a normal control procedure and try to incorporate the data collection procedures into the day-to-day activities of staff and volunteers so that they are not seen as an additional burden.

- Ensure the evaluation is conducted in such a way as to provide information which will enable you to make better decisions at the operational as well as the strategic level.

- Be sensitive to concern about the evaluation and reassure everyone involved that evaluation can be a positive exercise, giving the opportunity to learn from past behaviour, and practice what you preach!

- If you have a computer at your disposal, use it to analyse the evaluation data. Most CVS use a computer for word-processing purposes and forget that it can use other types of software package such as spreadsheets, databases, etc. which might make the analysis of evaluation data quicker and easier.

- Own you evaluation, make sure the methods involved are appropriate to your organisation, and learn from the evaluation findings.

- Evaluation can produce information which was not anticipated, such as the proportion of time spent on management tasks. This is an important area of work, although often hidden.

Section III - Choosing an evaluation system

This section outlines the four evaluation models, what each model is designed to measure and their advantages and disadvantages. Section IV gives a more detailed guide of how to set up and run each system, and Section V outlines the positive and negative points drawn out from the pilot CVS.

Goal based evaluation

Effectiveness is the organisation's ability to achieve its goals

This takes as its starting point goals chosen by the CVS. There are different ways to identify goals, but the simplest, if a task or working group is used to guide the evaluation process, is for each member to write down an agreed number of goals, then for the group as a whole to agree a certain number from those which are most popular. The goals much be clear and capable of measurement, for instance, to establish a new group to do x; improve the newsletter; run training courses on y, etc.

Once the goals are established, the ways in which each goal is to be achieved are identified, and indicators of success decided. For instance, a proposed training course might use as indicators the number of participants and their expressed level of satisfaction with the training. Obtaining this information is the main part of the goal based evaluation process.

Capabilities

- often, but not necessarily, concentrates on quantitative measures and outputs

- ties in well with work planning, very difficult to do without one

- can give clear indications of work levels

- liked by funders as seen to be objective

Points to watch

- are goals capable of being changed to reflect changing external factors?

- who sets the goals? Is there pressure to accept goals from funders or others?

Multi-actor based evaluation

Effectiveness is the organisation's ability to satisfy the needs of all those parties influenced by and having an influence on its activities.

This may be seen as particularly relevant to the structure of a CVS as they are membership bodies, accountable to a range of different organisations. The starting point of this form of evaluation is the views of people in voluntary and statutory agencies about what the CVS should be doing. Having obtained these views, the evaluation process goes on to identify those which have widest support, and then to measure how effectively the CVS puts them into practice. This may involve coping with conflicting views, for example that the CVS may need to spend more or less time on development as against support type activities; and with views which may vary

from values held by the CVS itself, for instance to do more work on equal opportunities. This form of evaluation sees the effectiveness of the CVS as dependent on how well it serves the needs and interests of a range of different interested parties.

Capabilities

- measures both quantitative and qualitative factors, for instance time recording and opinions, but stresses qualitative, that is it is more about process and outcomes than outputs

- measures how the CVS appears to outside people and organisations and less about its day to day operations

- can reveal the extent of the impact of CVS work

- good results can help convince funders of the value and role of CVS

- needs to have well-designed questionnaires

Points to watch

- questionnaire design and sample selection are critical

- getting information back from people not closely linked to CVS without spending a great deal of time and money can be difficult

- if CVS impact is low, poor rates of questionnaire returns may be a problem

- sending out questionnaires can be a form of publicity for the CVS and itself help to raise profile

- important to get back to questionnaire respondents to let them know what will happen as a result of the exercise

System-resource based evaluation

Effectiveness is the organisation's ability to survive and adapt in a dynamic environment

This involves an expert or experts rating the organisation with reference to a set of stated characteristics. The characteristics are of two kinds:

- **Viability characteristics** are those which enable an organisation to survive in the long term, for example:

  - the ability to pick up information which will influence the CVS activities

  - the ability to assess the impact of its work

  - the ability to make policy and to translate policy into an implementable work programme

- **Desirable characteristics** are those that, according to a nation-wide survey of CVS, a CVS should exhibit, for example:

  - credibility

  - flexibility

  - reliability

  - accessibility

In order to give the CVS a rating for its performance on these characteristics, the expert(s) should get to know the CVS and its operations as well as possible, for example by examining key documents, by interviewing staff and committee members and so on.

Capabilities

- measures both qualitative and quantitative factors, for instance process, outputs and resources

- can require an outside expert and thus have higher cost implications

- often seen as objective if outside experts are used, therefore like by funders

- links the organisation to the external environment

Points to watch

- need to feel that the expert has sufficient understanding of CVS

- need to be clear about criteria for 'scoring' the ratings

- CVS personnel need to feel they can trust the expert

- if an expert is brought in by a funder, do they have a hidden agenda?

Culture based evaluation

Effectiveness is the organisation's ability to realise the potential of the individuals who serve it

This takes as its starting point the needs and potential of the people who contribute to the CVS - the staff, volunteers and members of the committee, and the ability of the CVS to respond to these. The process involves each individual involved assessing their own strengths and weaknesses in terms of what they bring to the CVS, and doing the same for others, by rating statements such as 'I find it difficult to handle information' and 'I do not question my own values sufficiently'. These are examples from a full list of 120 statements. A separate set of statements is used by participants to rate others. This type of evaluation obviously needs handling delicately since its result is to identify individuals strengths and weaknesses both through their own eyes and those of their colleagues. The selection of someone to receive and analyse the information, and to present the analysis in a way which enables the CVS to move forward constructively, is therefore something which is key to the success of the exercise.

Capabilities

- measures mostly qualitative factors and concerned with process

- measures only internal matters, and little about CVS impact and role of outside people and organisations

- suitable for internal use only

- operates in a similar way to informal, non-hierarchical staff appraisal

Points to watch

- relies upon considerable trust between people in the CVS

- requires good group work skills from participants

- can feel threatening and requires sensitive follow-up and support to staff

- could, if used with outside facilitator, be useful to 'unblock' a CVS staff team

Summary table

The following guidelines may be found useful in making the choice since they classify the key characteristics of the four different approaches.

	Goal	Multi-Actor	System-Resource	Value
Quantitative Orientation	√	x	√	x
Qualitative Orientation	x	√	√ / x	√
Attempts to clarify organisational goals	√	√	x	√
Helps to clarify individuals' goals	√ / x	x	x	√
Focuses on the organisation within its environment	x	√	√	√
Requires the services of an expert	x	x	√	√ / x
Takes more than one day to operate	√	√	√ / x	√ / x
Involves long term monitoring	√	√	x	x
May be useful to show to funders	√	√	√	√ / x

√ Represents 'Yes'
x Represents 'No'
√ / x Represents 'Maybe'

(The system-resource based evaluation may take more than one day to operate, the exercise will almost certainly involve the expert in more than one day.)

These guidelines are by no means conclusive, very often intuition leads one to the most appropriate form of evaluation.

Section IV - Getting started

This section gives general guidance on setting up evaluation and describes the four methods in detail.

Setting up an evaluation system

- The first, and most crucial, stage is for the CVS committee and staff to discuss the reasons for having an evaluation process and to establish a joint commitment to establishing an appropriate system. The CVS will need to set aside time, money and other resources to undertake this process.

- It may be that the CVS already has some way of evaluating or monitoring activities. If so, it may be an appropriate time to review it in the light of the information in this pack.

- A decision then needs to be made about which system to use. This decision can either be made by the Committee, who can then establish an evaluation working group to implement the chosen system; or the committee could delegate the choice to the evaluation group.

- Choosing members of the evaluation group is crucial. It can be composed of members of the committee, although there is a case for having a group of people a little removed from the normal decision making processes of the CVS. It should certainly include representatives of the committee and staff. It may be worth specifically looking for people with appropriate expertise, for example, from the local university or college.

- The evaluation group needs someone to do the work of running the evaluation process, including collection of data from staff and presenting the analyses of the results to the group. This may be a member of staff, a volunteer with appropriate skills, a secondee, a student on placement or someone paid to do the job.

- Finally, the evaluation group needs to consider the results and decide how they are to be presented to the committee for further action.

If you need help when devising the systems for the evaluation, sample sets of questionnaires, tick sheets, etc. are available from NACVS.

The remainder of this section outlines in detail the requirements and processes involved in using the four different evaluation methods. This should help CVS decide which method is best for them.

Goal based evaluation

Requirements

Clear goals The CVS must have a clear idea of its purpose, laid out in a mission statement or similar, and a set of objectives. It also needs a workplan which outlines goals that it wishes to achieve over a set period of time. For example, if an objective is to maintain and improve the information service, a goal for the year might be to continue to publish six issues of the newsletter in the year and improve its quality. These goals are what the work of the CVS is then measured against.

Agreed goals The CVS needs to be sure that both staff, volunteers and committee are clear what the goals are and that there is agreement about their importance and how much they govern the actual work undertaken.

Knowledge of the work As performance indicators need to be set for each of the goals, in order to have something to measure, people within the CVS need sufficient knowledge of the work and what can be achieved to set realistic indicators.
Some monitoring of work may need to happen before performance indicators can be set. A facilitator may be brought in to help CVS to set and agree the goals.

Things to watch for:

- lack of real agreement on goals

- people wanting to measure things they think are important and not others

- people feeling threatened by having work questioned, need to allay their fears

- need to motivate people to record data and record it accurately

Evaluation process

Set objectives and targets   Objectives need to be set by the evaluation group. For each goal an objective that will implement the goal needs to be set. For example, for the goal of improving the newsletter, objectives might be:

- conduct a survey of readers, including current subscription rates and suggestions for improvement (target: 50% satisfaction, 30% questionnaire return)

- implement suggestions (target: make changes over two issues)

- conduct a second survey after further time period or number of issues to assess whether satisfaction rate improves (target: 75% satisfaction, 30% questionnaire return)

The sort of things that might be set as targets are:

- inputs - how much time, money, equipment resources are needed to do a piece of work, including planning meetings, etc.?

- process   who is involved in the piece of work - e.g. just CVS staff? CVS staff, volunteers and committee members? people form other voluntary organisations? people form statutory bodies? commercial organisation? general public? how long do things take?

- outputs - definite pieces of work, e.g. newsletters, meetings, training events, information sheets, enquiries answered

- outcomes - less concrete but can be just as tangible as outputs e.g. more organisations in membership, wider representation on committees, greater satisfaction with CVS services, successful negotiation of grants criteria with local authority

The terms in which they are measured are:

- numbers - how many things, people, hours?

- rates - how long do things take, are more or less people needed each time an activity takes place?

- quality - is uptake of a service growing or falling? as an indicator of quality are people satisfied with the piece of work? actual quality of the product - does it work?

Gather data This will have to be done over a specified time period, probably at least one month.

Ways to gather data include:

• tick sheets		good for simple accounting of inputs or outputs
		quick to record
	-	need to be clear about what things go in which columns
• time-record	-	needed where want to measure how long things take
	-	longer to fill in
	-	people need to be disciplined to be aware of time taken
• questionnaires		keep simple
	-	often fairly low return without incentive, e.g. prize draw for luck number questionnaire
	-	be specific and unambiguous with questions
• evaluation sheets	-	to be handed out when people use specific service or attend specific event
• interviews	-	more difficult to structure
		more easily swayed by interviewer

Points to watch out for include:

- feelings of threat and inadequacy on the part of people responding or recording

- respondents giving replies they think you want to hear

- people trying to fit data to their own idea of the CVS

- data taking almost as long to record as the task to do

- people feeling too bored or demotivated to record data

- sloppy and inadequate recording

- gaps in records when work is very busy

- data being recorded after a lapse of time

Analyse data It can be done annually, but access to a database programme can ease drawing up tables, graphs, statistical analyses, etc.

Points to watch out for include:

- results may lead to unexpected conclusions which may also be of benefit

Present data This needs to be done in such a way that the main conclusions are clear For example:

- extract typical quotations from survey respondents

- present data as graphs and charts

- always have full data to had to substantiate conclusions

Points to watch out for include:

- temptation to hide less positive conclusions

- defensiveness from people whose work seems less effective

- 'political' considerations over how much information is given to whom, both within and without the organisation

Make recommendations and further plans Where work is satisfactory and meets targets, all that needs to happen is a discussion about whether the work and targets are still relevant and a priority for the organisation. This discussion needs to take place to determine the next year's work plan.

Where work is not satisfactory and does not meet targets fully, recommendations need to be made to improve matters. These may include acknowledging the work plan is too ambitious within available resources and re-prioritising the goal or setting more realistic targets.

Implement conclusions Evaluation is only of real use if its results are used to inform future planning and enable the organisation to learn from its experience. The whole CVS needs to be involved in assessing the report and deciding which recommendations can be implemented.

Points to watch out for include:

- changing workplans may mean dropping work that some people value

- implementation will not happen unless people own the evaluation process and are committed to doing so

- if expectations of change are not fulfilled may lead to frustration and unwillingness to take part in further evaluation

Multi-actor based evaluation

Requirements

Stated functions Some preparation work is needed on clarifying the CVS functions, which should focus on:

- a broad framework of functions of the CVS within which to categorise work, for example development, support, liaison, representation, organisational maintenance or management of the CVS

- categorisation of activities within the functions

Understanding of terms People taking part must be clear what the terms mean, and what work is undertaken under which category.

Knowledge of the environment Local knowledge of people and organisations relevant to CVS work is needed:

- the voluntary organisations who are in membership or who are potential members

- the relevant people in statutory authorities who have voluntary sector responsibility, both officers and elected members

Evaluation process

Decide indicator of organisational effort This model of evaluation seeks to measure how much effort is spent on each of the CVS activities, and how people outside the CVS view those activities.

Different indicators could be used to measure the inputs needed for different activities, but this could be time-consuming. A clearer method is to use time as a measure of this, although crude, can be applied to all activities.

Things to watch out for include:

- the amount of time taken as an activity does not necessarily reflect its value to the CVS

- different people may have different views of the value of time spent on meetings, etc., which should not concern the evaluation at this stage

- do not forget organisational maintenance activities

Gather data on time-activity This is most easily done by pro-forma sheets. They should be simple enough to be filled in once or twice a day rather than every five minutes. The monitoring needs to be tested for inconsistencies, glitches and so on for a couple of weeks, refined and then run for two to six months.

Point to watch out for include:

- be careful that people filling in the sheets are consistent in how they measure and allocate time, for instance are meetings broken down if they cover more than one issue?

- some people might want to present themselves as busy and active, others may resent intrusion into their working practice

Decide method of gathering opinions Both who's and how opinions are to be sampled about the work of the CVS under each of the activity headings will have to be decided. Basic social science and market research surveying techniques can be used.

The different sections of the interested parties need to be identified. For example:

- CVS committee members, staff, volunteers

- member voluntary organisations, non-member voluntary organisations

- statutory authority staff, elected members (both from departments the CVS works closely with and others such as library services, recreation, etc.)

Then a representative sample of each section needs to be established.

Points to watch out for include:

- balance the breadth and size of the sample against the cost and the practical ability to collect the data and analyse it

- need to plan for follow-up contact with people sampled

- use the drawing of the sample as a publicity opportunity and to ask people what work they think the CVS should be doing

Gather data on opinions This should be done at the end of the time-activity monitoring period. This sample should ask people what priority they put on each activity and what level of satisfaction they have about it. Keep the questions as short and simple as possible and aim for easily quantifiable data. Sample methods could include a postal survey and structured interviews:

Postal survey

- good for approaching a large audience, which ensures that not only those individuals known to support the CVS can be approached

- opens up the CVS to opinions of a large audience

- answers to a well designed questionnaire can be analysed quite easily using a computer

- careful consideration needs to be paid to the design of the questionnaire to ensure clarity; a pilot study is essential to the design of a good questionnaire

- low response rates to postal questionnaires are common, to cut expense use Freepost if you can

Structured interviews

- high response rate

- answers can be qualified by the interviewee on the spot

- usually a smaller audience has to be approached

- needs a lot of researcher time

Points to watch out for include:

- do not ask leading questions

- ask questions that relate to the time-activity and not general questions

- consider the 'political' sensitivities of asking about some areas of work

- do not ask questions about activities if people cannot be expected to know

Analyse and compare sets of data The data from the time-activity monitoring and the opinion sampling should be combined to give an indication of what inputs on what activities led to what outcomes in terms of satisfaction. This should give an indication of how the CVS could best allocate its time in response to its members' needs.

Points to watch out for include:

- some staff tasks, especially on the administrative side may be less visible to those surveyed, care must be taken that the people doing them are not undervalued

- do not be led into using the evaluation as an excuse to drop pieces of work that seem a short-term drain on the organisation for little return if these are contributing to a longer term aim

Presentation of data This should be done for the committee and can be used as a basis for annual reports, etc. Visual presentation methods and statistical analysis are good.

Points to watch out for include:

- be careful to explain how time spent is only an indicator of inputs - there are others such as material, for instance a paid consultant to do an evaluation takes much less CVS staff time but may cost more

- be careful that less public but essential tasks do not get hidden in presentations

- use the opportunity to educate CVS people and outside bodies of the range and complexity of the organisation

Implement conclusions Be prepared to take hard decisions about dropping some pieces of work if they really do seem to have little impact or value for outside parties. All CVS personnel must be agreed on what should or should not be implemented.

Points to watch out for include:

- some people will be resistant to dropping areas of work they enjoy and have always done

- be aware of the fact that some areas may be vulnerable to loss of funding if tasks shift too much

- be aware of 'political' issues behind going public with some information

System-resource based evaluation

Requirements

- sufficient funding to pay for an outside facilitator or consultant to act as an expert, although the process could be done more informally on a self-scoring basis

- a clear idea of what the characteristics and functions of the CVS should be

- agreement of nature and purpose of CVS

Evaluation process

Decide characteristics The characteristics are divided into those that are critical and those that are desirable.

Critical characteristics are defined as those that any organisation much have to survive, such as:

environmentally intelligent	policy-making
controlled	purposeful
resourceful	recursive
self-maintaining	communicative
bounded	self-representing

Desirable characteristics may be drawn up by the CVS, or those that were identified in a survey of CVS in 1990 can be used. Examples of these are:

credible	flexible
developing	democratic
accessible	professional
mutual	reliable
delegating	

Detailed definitions of both critical and desirable characteristics are available from NACVS.

Appoint consultant or facilitator If funding is available, a paid outside expert can be appointed although volunteer consultants can also be used.

Points to watch out for include:

- make sure that a clear contract is negotiated, whether this is a paid person, volunteer or secondee. This should include preparation, travel and follow-up elements as well as time actually spent at the CVS

- care must be taken to appoint a facilitator or consultant who will be constructively critical and yet sufficiently familiar with the voluntary sector and the complexities of CVS to give a realistic assessment. Section VI gives information on contacts.

- all parties must trust the consultant

- the evaluation group need to be clear about the brief for the consultant

Decide indicators for each characteristic These need to be decided with the consultant. In order to ensure the exercise is not too cumbersome, pick out two or three key indicator for each characteristic, although the consultant will need to be aware of other factors. For example, for the characteristic 'accessible' indicators might be the opening hours of the CVS, whether CVS staff are able to attend meetings with member voluntary organisations, and whether the CVS is on a bus route.

Points to watch out for include:

- when setting indicators avoid the tendency only to set those where you know the CVS performs well

- thinking about indicators and characteristics can itself be a useful task

Undertake the review Interviews should ideally be held with all people closely involved with the CVS   paid staff, volunteers and committee members. They should be conducted by the consultant who should use the indicators as a basis for the questions but may explore the characteristics more broadly.

Points to watch out for include:

- time needs to be allocated for the interview

- interviews may draw out issues about the way the CVS functions or about the roles of certain people which will need to be dealt with as part of the follow-up

Present the results The consultant is usually responsible for writing up interview results and rating the CVS for how it is operating within each characteristic. The consultant may also be given the brief of recommending action to be taken to improve the functioning of the CVS or highlighting areas of lack of clarity on policy or planning processes and structures. The presentation will normally be in the form of a written report, rather than graphic presentation of data.

Points to watch out for include:

- the status of the recommendations and how detailed they are should be agreed in advance

- the results may be quite challenging: rather than using them as a basis for further negative comment, use them as a baseline for improvement

- try to avoid the linkage of poor performance with lack of resources as there may be other ways of working to achieve good ratings under the same characteristic

Implementing recommendations Realistic plans including finance and time allocation need to be set to ensure recommendations are implemented. It may not be possible to implement them all, so it may be necessary for the CVS to prioritise them. Some areas of weakness may require further in-depth evaluation and discussion.

Points to watch out for include:

- ensure that recommendations are fully discussed with people concerned

- possible ratings of a range of characteristics may be an indicator that the CVS is overstretched and there needs to be greater prioritisation of work

- the objective report from an outside facilitator or consultant can be used as a useful addition to arguments when applying for increased or additional funding

- evaluation can sometimes reveal that people are doing more complex work than realised and may lead to the need for revision of job descriptions and salaries

Culture based evaluation

Requirements

Team relations This method focuses on the people involved with the CVS and requires a considerable level of trust between people if it is to be really effective. If it is to be used to reveal areas of suspected tension and conflict, follow-up must be carefully planned.

Group work skills The method requires someone who can hold the process together and for people to be able to deal with the feelings that may surface during the exercise. It may be helpful to pay an outside trainer or facilitator to play a neutral role in this.

Time and commitment The exercise is best done in one day with all people present. This could be seen as part of an awayday or residential event. This has the added advantage of being neutral territory and away from the usual work environment.

Points to watch out for include:

- because of the level of feelings that may surface pre-preparation to ensure commitment and a positive working atmosphere is vital

- cannot be seen as a way of building better team working unless there is a good follow-up as a group and individually

- be clear that this is about people's capabilities and is not a formal appraisal process

Evaluation process

Set individual questionnaires and programme Individual questionnaires need to cover the basic personal skills that a person will need to undertake any role within the CVS. A useful set are (taken from *The Unblocked Manager*, M Woodcock and D Francis, Gower Business Skills):

ability to manage oneself	sound personal values
clear personal goals	ability to support others
continuing personal growth	effective problem-solving skills
able to be creative and innovative	capacity to influence others
insight into styles of work/mgt.	supervisory competence
ability to train and develop others	able to form and act within teams

You may wish to add questions of commitment and involvement to the CVS. The questions or statements need to elicit to what extent people have these skills. For example, for supervisory competence the statements might include: I need to assess the achievements of others.

The exercise is best constructed with tick boxes for each statement or question, for easy rating and collation. Questionnaires need to be designed for people to fill in about themselves and others.

Points to watch out for include:

- questionnaires should not be too simple, but should not take more than half an hour to fill in

- care must be taken so that questions can be answered by all of those involved in the CVS, not just those with certain responsibilities

Undertake the evaluation This can be done all together in one place or can be undertaken by individuals working alone or in pairs over a set period of time. People may ask friends or relatives as well as other staff to evaluate them, as knowledge is needed of the person not the work. Each person should be evaluated by three other people.

If undertaken together over one day, warm-up games may be useful at the start of the day to create a good working environment.

Points to watch out for include:

- ensure that boundaries of confidentiality are very clearly set and adhered to, for example, does the person's supervisor or manager see the returns, how much will be shown to the committee, etc.

- exercises in the giving of feedback may also be a useful preparation to help ensure a supportive atmosphere

Analyse results The ratings on the three evaluations by others are aggregated and compared with the self-evaluation questionnaire. This can be done by each person for themselves or by a facilitator.

If a facilitator undertakes the analysis, a report should be given to the person concerned.

Feedback This should be made in a structured way and planned for whether supervisors, managers or others doing the evaluation have a chance to talk through with each person about their ratings.

Points to watch out for include:

- receiving feedback from others can be challenging: you may need to negotiate in advance whether people can question the people who have evaluated them and on what basis

- be careful that people do not become stereotyped if their strengths and weaknesses tend one way

Implementation of results There are no set recommendations from this exercise, but it may reveal aspects of the way the CVS and the people involved with it work that could be improved. If all people reveal weaknesses in the same area, some joint training or a change of working practices may be a good idea.

In order for best use to be made of the exercise, it can be used to inform the planning of individual work programmes and assessment of training needs, but is not a formal part of this.

Points to watch out for include:

- acknowledgement of the feelings surfaced by the exercises if as important as planning ways to improve the use made of people's potential skills

- can be a useful way of acknowledging the value of people who do not have an apparently important place within the CVS

- can lead to a positive improvement in the working environment and a sense of working through something together and being valued

Section V - Evaluation in practice

The project arranged for each method to be piloted by at least one CVS. Each CVS was then asked to give a list of what they felt were the positive and negative aspects of using the system.

Goal based evaluation

Effectiveness is the organisation's ability to achieve its goals

tested by three CVS

CVS A

Positive aspects

- setting down what the organisation is about as a whole in a mission statement led to a lot clearer understanding within the committee, staff, funders and members

- positive feedback was received from interested parties about involving them in making decisions about priorities

- raised the public image of the CVS

- the exercise provided staff with some measures of success for their work

- funders have recognised the process and CVS efforts to evaluate

Negative aspects

- determining meaningful and relevant indicators was found difficult

- collecting data was time consuming and monotonous, some staff resistance was experienced since there had been previous attempts at monitoring but the data had never been analysed

- in the longer term, the goal plan would have to be updated on a regular basis to reflect changes in resources, for instance the hiring of new staff increased the capacity of the CVS

CVS B

Positive aspects

- research has put into question accepted or traditional methods and the CVS has opened up to new ways of working, for instance, training has now been put out to a commercial organisation

- setting realistic targets acted as a motivator for staff

- the involving of staff in the design of the evaluation has resulted in commitment to acting on the evaluation findings

Negative aspects

- changes within the CVS and its environment meant that the goal plan needed continuous updating as goals moved in and out of the frame of reference

- initial inertia of staff toward the project had to be overcome

CVS C

Positive aspects

- undertaking the evaluation project has impressed upon some staff and committee the need to look at the long term plans for the CVS and the need to be proactive rather than reactive

- the CVS began to organise in a way which will eventually allow it to carry out a proper evaluation

Negative aspects

- evaluation was hindered by an unconstructive attitude on behalf of some members of the evaluation group who were eager to criticise but unwilling to put forward practical suggestions

- the inability of the CVS to set a goal plan seemed to imply that it is a poorly managed CVS

Multi-actor based evaluation

Effectiveness is the organisation's ability to satisfy the needs of all those parties influenced by and having an influence on its activities

tested by two CVS

CVS D

Positive aspects

- the process endorsed work previously done by the CVS on statements of aims and objectives

- high questionnaire response rate where there was a close sense of identity with the work, for example, the volunteer driving scheme had a 63% answer rate from drivers

- taking part in a joint exercise united separate sections of the CVS and the committee, a learning experience for staff and committee

- the evaluation may provide information to funders, for instance the driving scheme received glowing reports from everyone concerned and this information may be presented to funders in the hope of receiving grants for the project in the future

Negative aspects

- the design and monitoring stages of the process involved a lot of work and the CVS stated that they could not do time recording annually as it would be too demanding
- asking people what they saw as CVS priorities created more demands on the organisation

CVS E

Positive aspects

- enabled staff to see how they were actually spending their time, for example as a result of the exercise it was realised that far too much time was being spent on services to tenants

- low survey response rate illustrated to the staff and committee the low profile the CVS had locally and inspired them to take action to raise the profile

- the questionnaire was used as a means of informing people what the CVS actually does

Negative aspects

- more attention should have been paid to the design of the time-activity coding system since staff felt it distorted the way in which their time was actually used

- given what the General Secretary described as the 'rural mentality' attention should have been paid to how feasible the conducting of a survey actually was and the CVS prepared for the possibility, which turned out to be reality, of receiving a low survey answer rate

System-resource based evaluation

Effectiveness is the organisation's ability to survive and adapt in a dynamic environment

tested by one CVS

CVS F

Positive aspects

- designing the evaluation system was a difficult process but now that it is done the model should be applicable to any CVS

- there was a long gap between the evaluation day and the CVS receiving the reports back from the experts, and the CVS began to implement changes for itself in the light of anticipated findings

- the evaluation provided an opportunity for staff and committee members to work together clarifying several issues which had been blighting relations

Negative aspects

- the long gap between the evaluation day and the CVS receiving the report may have resulted in the momentum for change being lost

- appointment of trusted experts was crucial to the success of the exercise and this may prove difficult for CVS wishing to use this model of evaluation also, involvement of experts made the exercise expensive

Culture based evaluation

Effectiveness is the organisation's ability to realise the potential of the individuals who serve it

tested by one CVS

CVS G

Positive aspects

- individuals received a personal report on their strengths and blockages in relation to the CVS work in general which was not tied to a narrower appraisal of abilities which they use in their own work

- people were open and honest when defining their own and others' strengths and blockages

- the exercise provided a means for the airing of criticisms without personalities getting involved, and the exercise was seen as fair because everyone had three areas of blockage and strength identified

Negative aspects

- apart from the General Secretary, staff were not involved with the design of the exercise hence their commitment to it was low

- more attention should have been paid to timing, the venue and a warm-up exercise should have been conducted to get everyone in the right frame of mind for such an exercise

- since the exercises were based around the collection of peoples' immediate impressions, a shorter time period for completion of the exercise should have been given since some people said that once one began thinking in detail about the statements, the exercise became almost impossible to complete

- sensitive, personal information was gathered as a result of the exercise hence feedback had to be conducted in a sensitive manner

Section VI - Where to go for help

As the voluntary sector becomes aware of the need to organise its work more effectively, so sources of information on evaluation are growing. There may well be sources of information available to you locally, but the task of evaluating an organisation as complex as a CVS may mean that more specialist advice from within the CVS network would be useful.

If for any stage of the process, you feel that outside guidance would be helpful, ask NACVS. We cannot promise, but we would hope to identify someone who could assist you.

NACVS has lists of trainers and consultants who have skills and experience of evaluation. This includes details of those who have undertaken work for CVS. We also have access to information held by NCVO Management Development Unit, including the Advancing Good Management Scheme.

The Charities Evaluation Service is setting up regional offices offering evaluation support.

There are many publications available. A useful basic pack is *'How do we evaluate ourselves?'* by the Kenilworth Group, published by NCVO.

Section VII - Glossary

Effectiveness   The ability to achieve desired goals

Efficacy   The ability to achieve goals

Efficiency   The ability to use the minimum amount of resources

Evaluate   To estimate the worth of a plan, project, object, individual or organisation

Goal   Broad statement of ambition or destination; statement of the state one intends to pursue. Timing is commonly left unspecified for a goal

Indicator   A measure which correlates with the achievement of goal and the objectives, and is used to signal the amount of progress toward the goal

Input   A resource of money, time, personnel, equipment, etc. needed to undertake a piece of work. Measuring these is associated with economy

Monitoring   The recording of data relevant to the evaluation; maintaining surveillance over

Objective   Specific statement of the means by which a goal is to be achieved. Statements of objective are commonly set to a time scale for achievement and responsibility for completion of the task specified

Outcome   A tangible but not physical result of a piece of work; a reflection of quality of output e.g. a successful event. Measuring this is associated with effectiveness

Output   A definite, objective piece of work which is the result of the process acting on the inputs; capable of quantitative and qualitative measurement e.g. an event, a publication. Measuring this is associated with efficacy

Process   Series of operations; a course of action. Includes information about who and what is involved in the course of action and how these interact. Measuring this is associated with efficiency and accountability

Qualitative   Concerned with or depending on quality; based upon subjective expression of personal opinion

Quantitative   Measurable by or concerned with quantity; capable of numeric expression

Target   Expression of the goal in terms of the indicator; can be output or outcome

Viable   Exhibiting those characteristics which enable the maintenance of existence

APPENDIX 16

NACVS EVALUATION DAY, 10TH JUNE 1992, SHEFFIELD

It is planned that on 10th June 1992 a work-shop on evaluation will be held in Sheffield to launch the NACVS Evaluation Project Manual to the CVS network. As your CVS took part in the pilot project scheme conducted last year, it is hoped that you will be willing to support the day. A draft programme for the day has been prepared by the advisory group:

10.30	-	11.00	Coffee
11.00	-	11.15	Introduction
11.15	-	11.30	Goal Based Evaluation
11.30	-	11.45	Multi-Actor Based Evaluation
11.45	-	12.00	System-Resource Based Evaluation
12.00	-	12.15	Culture Evaluation
12.15	-	1.15	Workshop Session I
1.15		2.00	Lunch
2.00	-	3.00	Workshop Session II
3.00	-	4.00	Plenary

EVALUATION EXERCISES

GOAL BASED EVALUATION

Instructions

1. Read the case study on Newville CVS.

2. Working with a partner, formulate a possible goal statement for Newville CVS.

3. When you have thought of a possible goal make it specific by linking it to objectives, indicators and targets. An example to help you is given on the answer sheet.

4. Join the rest of the group and discuss the exercise, especially the goals selected, what difficulties occurred, how well the exercise would operate in a real situation, etc.

GOAL   :   Broad statement of ambition or destination; statement of the state one intends to pursue. Timing is commonly left unspecified for a goal.

OBJECTIVE   :   Specific statement of the means by which a goal is to be achieved. Statements of objectives are commonly set to a time scale for achievement and responsibility for the completion of the task specified.

INDICATOR   :   A measure which correlates with the achievement of the objectives and is used to signal the amount of progress toward the achievement of the goal.

TARGET   :   Expression of the goal state in terms of the indicator.

EXAMPLE

GOAL

To establish a reliable driving scheme.

OBJECTIVES	INDICATORS	TARGETS
To either encourage the	Number of volunteer	Currently
volunteer currently working	hours dedicated to	5-30 hrs pw.
on the scheme to dedicate	the scheme.	
more time to it or to		Target
recruit another office-		20 hrs pw.
based volunteer to develop		
the scheme.		
To increase the number of	Percentage of	Currently
requests for drivers the	satisfied requests.	25%.
scheme is able to fulfil.		
		Target
		70%.
To recruit more drivers.	Number of drivers.	Currently
		22.
		Target
		60.
To increase the number of	Number of driver	Currently
driver hours.	hours.	15 hours
		pw.
		Target
		60 hours
		pw.

SYSTEM-RESOURCE BASED EVALUATION

Instructions

1.   Read the case study on Newville CVS.

2.   Working with a partner, evaluate Newville CVS in terms of the stated criteria on the following sheets. There are two sets of criteria; critical CVS characteristics, which are necessary for a CVS to be viable, and desirable CVS characteristics, specified by CVS in a national survey undertaken in December, 1990. The questions listed beneath the criteria should enable you to formulate an opinion on how well the CVS is operating in terms of the criteria.

      Remember, the questions are merely samples, in a proper evaluation the questioning and general investigation of the CVS operations would be far more intensive.

3.   Join the rest of the group and discuss the exercise, especially how well it was thought the CVS was operating in terms of the criteria, what was thought to the criteria and their relevance to CVS, how well the exercise would operate in a real situation, etc.

CRITICAL CVS CHARACTERISTICS

1.   ENVIRONMENTALLY INTELLIGENT

      Being aware of, and monitoring changes in, issues that affect the organisation, the geographical area it serves and the people and organisations who influence it.

      *   How does the CVS keep up to date with issues affecting the voluntary sector?
      *   Does the CVS have knowledge of the working practices of other CVS?

2.   POLICY-MAKING

      Planning the organisation's role in the light of information about the organisation and the issues, geographical area, people and organisations affecting it. Having the ability to reappraise and recognise the organisation's strengths and weaknesses.

      *   How and by whom is policy made?
      *   Does the CVS have a work-plan?

3.   CONTROLLED

      Translating policy into a coordinated work-plan covering the whole organisation. Having the work-plan implemented. Receiving feedback information on work undertaken. Having the ability to directly influence the work of staff. Establishing job specifications and general standards of procedure.

      Having an Executive Committee which can take informed decisions about CVS policy and practice and see evidence of their decisions being implemented.

      *   How does the General Secretary ensure that work is done?
      *   Does the Executive ensure that its policy decisions are carried out in practice?

4. PURPOSEFUL

Having tasks and functions which are deemed desirable by the organisation's clients. Making things happen. Directed toward the achievement of stated objectives.

* What have been the most major achievements of the CVS in recent years?
* What services does the CVS offer?

5. RESOURCEFUL

Initiating new ways of generating and utilising resources (money, person-power, equipment, knowledge, etc).

* How is the CVS funded?
* What are the skills/interests of staff and Executive?

6. RECURSIVE

Having staff/committees/departments which are able to act appropriately to the organisation without direct control from the organisation itself.

* How much discretion do staff have in how they go about their work?
* Does the Executive have sub-committees?

7. SELF-MAINTAINING

Recruiting staff appropriately to the organisation's needs. Induction of staff into organisational roles. Having established methods of planning and prioritising work according to the resources available.

* How involved are Executive members with CVS issues?
* How is it ensured that staff do not become overburdened?

8. COMMUNICATIVE

Free flow of information within the CVS and between the CVS and other significant organisations.

* How often do staff meet and how well are CVS issues discussed?
* How are the opinions of staff put to the Executive and vice versa?

9. BOUNDED

Recognising the limits to the appropriate work and influence of the CVS.

* How much influence does the CVS have over its members?
* How and how well does the CVS seek to influence statutory agencies?

10. SELF-REPRESENTING

Maintaining and furthering favourable relationships with the people and organisations whom CVS staff have contact.

* How and to whom is the CVS accountable?

DESIRABLE CVS CHARACTERISTICS

1. **CREDIBLE**

   Ability to develop and sustain a positive name in the local community.

   * Is membership increasing, decreasing or remaining stable?
   * What type of help do organisations come to the CVS for?

2. **FLEXIBLE**

   Willing and able to alter work priorities in the light of unpredicted events.

   * How does the CVS organise work when so much of it is reactive?

3. **DEVELOPING**

   Can encourage and provide opportunities for the development of staff, membership and CVS activities. Initiates changes in ways of working and areas of activity.

   * What training have staff and Executive undergone?
   * What is the future of the CVS?

4. **DEMOCRATIC**

   Can encourage and use input into decision-making from all interested parties, such as staff, members, volunteers and so on.

   * Do staff, Executive and members get together to discuss policy?

5. **ACCESSIBLE**

   Has established systems for dealing with enquiries/requests from external parties.

   * What hours is the CVS open to the public?
   * Do CVS staff regularly attend the meetings of member groups?

6. **PROFESSIONAL**

   Encourages good practice in the way in which staff and Executive members represent the CVS.

   * What part of the CVS would you identify as being a model of good practice and why?

7. **MUTUAL**

   Ability to appreciate the position of other organisations and support them appropriately.

   * How well would CVS handle the situation if it were competing for funds with its members?

8. <u>RELIABLE</u>

    Can consistently meet expectations with regard to the standard of service offered to member organisations.

    *   How consistent is the level/quality of service offered to groups by the CVS?

9. <u>DELEGATING</u>

    Tasks are assigned to those individuals having the experience, knowledge and interest to best perform them.

    *   How is it ensured that tasks are dealt with by the person best able to do them?
    *   How closely involved with CVS work do Executive Committee members actually get?

10. <u>FOCUSED</u>

    Organisational philosophy and directives are understood and respected by everyone involved with the CVS.

    *   Is there general agreement about what areas of activity and issues CVS should get involved with?

<u>Comments</u>

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MULTI-ACTOR BASED EVALUATION

Instructions

Group A

1. Read the case study on Newville CVS.

2. Based on the case study, construct a list of the activities Newville CVS staff engage in, include in that list the management activities which staff might logically engage in to ensure the ongoing smooth running of the organisation.

3. Construct a list of the agencies/groups/individuals with which the CVS works and who benefit from the work of the CVS.

4. Based on the lists resulting from stages 2 and 3 construct a time-recording system for the CVS. Think carefully about how activities might be grouped together (for example, you might want to base the system on the Wolfenden functions of support, development, liaison and representation) so that when operated the data coming out of the system might be analysed easily. Also think about how the forms for recording time and activities might best be designed.

Group B

1. Read the case study on Newville CVS.

2. Draw up a list of interested parties, all the agencies/groups/individuals who have an interest in the work of the CVS.

3. Construct a questionnaire, appropriate for sending to all members of the different groups of interested parties, which covers:

    -   The current activities and groups with which the CVS is concerned;
    -   How satisfied interested parties are with current CVS activities and clients served;
    -   What activities interested parties would like to see the CVS engaging in:
    -   What client groups interested parties would like to see the CVS working with.

    THE TIME-RECORDING SYSTEM AND THE QUESTIONNAIRE SHOULD FIT WELL TOGETHER, SO THAT STATEMENTS SUCH AS "ACTIVITY W CONCERNED CLIENT GROUP X, ABSORBED Y HOURS OF STAFF TIME AND GENERATED LEVEL Z OF SATISFACTION WITH INTERESTED PARTIES" CAN BE MADE.

    THE TWO GROUPS WILL NEED TO CLOSELY LIAISE OVER THE CONSTRUCTION OF THE TIME-RECORDING AND THE QUESTIONNAIRE TO ENSURE THAT THE TWO ARE COMPATIBLE.

Groups A and B

1. The two groups should join together to discuss the exercise, especially it should be considered how well the exercise would operate in a real situation. For example, what are the practical problems of operating a time-recording system and postal questionnaire.

Time-Activity Recording System

Code

Activities

Management
AGM 01
Evaluation 02
Finance Administration 03
Servicing Executive Committee/Sub-Committees 04

Developing
Giving advice/information 10
Training 11

Support
Giving advice/information 20
Office services 21

Liaison
Community lunches 30
Meetings 31
Newsletter 32

Representation
Comments on issues 40
Meetings 41

Client Groups

The CVS
(benefits from all management activities) .... A
Statutory Agencies .... B
Voluntary Groups C
Other CVS/NACVS .... D

Time-Sheet

Activity code	Client Code	Mon	Tue	Wed	Time Thu	Fri	S/S	Total
							Total	

CASE STUDY: NEWVILLE CVS

Background

Newville CVS was established in 1965. Newville was a sixties new town and has a relatively prosperous population of 50,000 inhabitants. There is a proliferation of mother and toddler groups and neighbourhood watches in the town but there is a general unwillingness to acknowledge any major social problems. The setting up of a battered wives hostel in the town, an initiative supported by the CVS, was widely opposed. Currently, there is a teenage alcohol/drug problem in Newville. Whilst there are several, poorly attended church youth clubs in the town, the teenagers gather every evening in a local shopping precinct and there have been many complaints from local residents about noise levels. Joy-riding has also recently become a problem. The CVS has attempted to negotiate with several parties, including the Local Authority, the Education Authority and several schools about the establishment of a youth centre but this idea has received little effective support.

Funding

The Local Authority makes grants of approximately £3m to voluntary organisations every year in Newville. However, this year it plans to make cuts in the region of 10% as part of an overall budget strategy aimed at avoiding Poll Tax capping.

The Local Authority wants to negotiate with the CVS, which it sees as the main co-ordinating body representing voluntary sector interests, as to how these cuts can be made. The Voluntary Sector Forum within the Borough are looking to the CVS to co-ordinate a strategy to oppose this impending threat. In advising the Local Authority where cuts might be made, the CVS has decided, rather than to have an across the board cut in grants or have the grant cuts administered in an ad hoc fashion, to recommend cuts to the grants of several voluntary groups which the CVS has effectively rescued over the past couple of years. This decision is contentious as the voluntary groups concerned may claim that the CVS's recommendation is based upon confidential information to which the CVS only had access because of the support they offered to the voluntary group at a time of crisis. The CVS feels this decision may be justified on the grounds that, following the intervention by the CVS, the groups have not fully established independence from the CVS and continue to draw quite heavily on CVS resources.

Whilst the CVS is very concerned about the impending budget cuts, its own budget will not be affected. Newville CVS has negotiated a budget of £50,000 p.a. for the next three years which the Local Authority has stated it intends to fully honour (this is the first year of the grant). The CVS also has other sources of income; the £50,000 from the Local Authority represents approximately 40% of the CVS's total annual budget. In past years, the CVS has received large allocations of Community Programme (CP) money which it used wisely. Newville CVS's action with regard to CP money made it largely unpopular with other CVS in the local area. For many years, Newville discontinued links with the CVS network however, recently, the General Secretary has made efforts to re-establish these links and is an active supporter of regional CVS meetings. Indeed, through her links with local business and training organisations, she has arranged speakers for several, well attended and received, regional meetings.

Staff and Staffing

The CVS staff team has 5 workers; General Secretary, Deputy General Secretary, Information Officer, Finance Officer and Secretary. A volunteer works on a volunteer driving scheme each week. There is also a Volunteer Bureau (VB) within the CVS which, for the most part, operates under the CVS umbrella. One full-time and one part-time members of staff are employed by the VB.

In recent years, much new blood has been introduced to the CVS. The Information Officer is the longest serving member of staff with 15 years of service, all other members of staff have been with the CVS for less than 5 years.

The CVS does not have a training programme for either its staff or its Executive Committee. However, each member of staff has his/her own abilities/talents and, on an informal basis, one member of staff will often assist/train another. For example, the Information Officer is able to produce high quality posters and has passed this skill on to the Deputy General Secretary. The CVS now often produces posters for display in public places to promote CVS services and events.

Executive Committee

The Executive Committee consists of paid workers from other voluntary organisations, lay members who have been involved with the organisation for a number of years and two councillors appointed by the Local Authority who rarely attend Executive Committee meetings.

The Executive Committee is split on the role of the CVS; half of the Executive believe the CVS should be campaigning and proactive, whilst the other half see the CVS in the more reactive role of providing direct services to voluntary organisations. In particular, the Chair has loudly voiced the argument for the reactive/service provision role and has been openly critical of the work of the General Secretary who, he believes, spends all her time in meetings which do not produce tangible results.

There has been a high degree of involvement in the management of the CVS by a number of the longer serving Committee members. The Chair is very involved with the CVS on a day-to-day basis; he helps the Information Officer maintain a comprehensive and well used library of voluntary sector directories and publications.

There are several sub-committees which carry out the detailed work of the Executive. These sub-committees generally do good work and provide an opportunity for staff and Executive Committee members to get together. However, it is, for the most part, the same people who drop in to the CVS on a regular basis, who regularly attend Executive Committee meetings and who contribute to the work of the sub-committees. Generally, CVS staff have good working relations with about half of the Executive who, it might be said, are more informed about CVS issues than the other half who are not so involved.

CVS Work

The CVS office is open to the public from 9am to 5pm Monday to Friday. The General Secretary is currently considering the idea that the CVS should be closed to the public on Fridays so that staff can catch up with their work without being disturbed by inquiries. However, it is generally agreed within the CVS that inquiries should be treated as a priority and receive immediate attention. The CVS prides itself on its fast and efficient inquiry system. The CVS operates an inquiries monitoring system to ensure that standards are maintained. The name of each inquirer, the medium for the inquiry (face-to-face, telephone), the subject of the inquiry and the length of time taken to deal with it are recorded and the data is analysed by the Deputy General Secretary on a monthly basis.

Each member of CVS staff has a general knowledge of CVS issues and a specialist knowledge of a given area, for example the Finance Officer is an expert on sources of funding and the drafting of grant applications. Enquiries are generally passed on to the member of staff best able to deal with them. When CVS staff cannot help with an inquiry themselves, they will usually have a contact who will be able to help the inquirer.

At present, most members of CVS staff are devoting more hours to CVS work than they are paid for and new members of staff, several of whom are single and more flexible in their working hours, often work late and attend meetings of voluntary groups in their own time on an evening. The Information Officer, on the other hand, maintains strict 9am to 5pm hours and rarely attends evening meetings. The General Secretary, a working mother, feels the pressure to work longer hours and attend evening/weekend meetings but is often unable to do this. However, she makes a considerable effort to keep up to date by chatting to members of staff about issues affecting local groups.

The introduction of new members of staff has meant that traditional ways of working have increasingly come into question and many of the traditional, but increasingly ineffective, CVS activities have been dropped. The younger and newer members of staff have fought to make the CVS a more open organisation, for staff to go out into the community and for the CVS to adopt a proactive stance with regard to lobbying the statutory sector on certain issues. The argument for a more open, proactive CVS has been actively opposed by the Information Officer, who has loudly voiced the argument that the CVS should limit its role to producing a newsletter, to wait until members come to it for help and to maintain a non-political stance.

Staff meetings are held every other Monday morning. At these meetings, Executive Committee decisions are discussed, often heatedly, and the work-plan put together. For the most part, members of staff find the work-plan useful and try to adhere to it, although most members of staff are quite flexible and will reschedule work according to changing priorities. Indeed, CVS staff are very aware, perhaps more so than the Executive, of the need to prioritise issues. As per decided priorities, the CVS has offered little support to local groups wanting to apply for Section 11 and Ethnic Minority Grant money and it has not been greatly involved with the local Training and Enterprise Council. On the other hand, The CVS has been very active on Community Care issues and is nurturing the emerging Borough Community Care Forum. The Director of Social Services for the Borough has indicated that, in principle, he would support an application from the CVS for a Community Care Development Worker to develop joint planning between the voluntary and statutory sectors and to encourage community participation in planning social and health care services.

Despite its priority status on the CVS agenda, in the past year, the quality and regularity of the newsletter has declined. This has been due to the poor health of the Information Officer and his unwillingness to temporarily involve other members of staff in activities which he feels are his responsibility. Receipt of the newsletter is the only benefit conferred by membership of the CVS, at an annual charge of £15, and the popularity of the newsletter, according to the Chair, is demonstrated in the fact that membership has fallen by 25% in the past year.

Due to the pressure to regain the regularity of the newsletter, the Information Officer, with the support of the Chair, has introduced an appointments system for anyone wishing to see him or to use the library. The introduction of the appointments system was opposed by the other members of staff who feel that people should be encouraged to drop in to the CVS when they feel like it. The General Secretary, recognising that the Information Officer is under great stress at present, approved the short term implementation of the appointments system.

The Finance Officer is a bit of a computer whiz-kid and has introduced computers to many areas of CVS work. The efficient keeping of CVS accounts has meant that he has sufficient time to devote to supporting a pay-roll service which is offered to both member and non-member voluntary groups. This service, operated on a non-profit basis, is well used by voluntary groups but few of them are members.

The CVS is presently seeking to set up a local volunteer driving scheme using the services of a volunteer to administrate and co-ordinate the service. However, the volunteer is often unreliable and the hours she works ranges from 5-30 hours per week. Whilst there seems to be a great demand for such a driving scheme in the town, the number of drivers recruited so far is small and, therefore, the service offered is patchy and unreliable.

NATIONAL ASSOCIATION OF COUNCILS FOR VOLUNTARY SERVICE

3rd Floor
Arundel Court
177 Arundel Street
Sheffield
S1 2NU

Tel: (0742) 786636
Fax: (0742) 787004

31 July 1992

Dear Amanda,

Re: NACVS Evaluation Project

On behalf of NACVS, I would like to thank you for your work on the above project. We are aware that due to the transition between CVSNA and NACVS and the consequent staff changes, you have had to undertake more of the servicing of the Project Advisory Group and of the project itself than is ideal. We are sorry that this was the case and appreciate the fact that the project was able to develop to a successful conclusion despite these difficulties.

We feel that the CVS involved have largely benefited from the experience, and the network as a whole will be using the work as a very useful resource.

Thank you also, for the additional work that you undertook for the evaluation Day on 17th July. I hope that you felt that this was an appropriately useful rounding-off of the project. All the feedback we have had so far indicates that CVS attending found it a very helpful way of getting a better feel of the realities of evaluation.

The Information Pack available on the Day will be re-edited to include the points that came out of the Day and any substantive feedback that we have from attenders. If you would like to make any comments on the draft pack, please do get back to me. The final version will be available in September and we will send you a copy.

Again, our thanks for your work on this project. We send you best wishes for your future work.

Yours sincerely,

Erica Dunmow
Assistant Director (Field Support & Development)

APPENDIX 19

NACVS EVALUATION PROJECT

FINAL REPORT

by

M.C. JACKSON & A. GREGORY

JUNE 1992

1.   Final Statement of Expenditure

LEVERHULME TRUST GRANT F.181.S.893175

Our Ref DKCZ002

FINANCIAL STATEMENT OF EXPENDITURE
FOR THE PERIOD 1 APRIL 1990 TO 31 MARCH 1992

Staff Costs

Miss Gregory (1.4.90-31.3.92)

	£
Salary	25,539.27
NI	1,885.87
USS	4,700.66
Fee Payment	126.00

	32,251.80
Travel	4,087.35
Recurrent	151.19

Expenditure	36,490.34
Income Rec'd	34,200.00

Balance O/S	(2,290.34)
	=======

R Blakey
Research Grants
25 June 1992

2. Project Summary

(a) What Has Been Done

The project to design methods of evaluation for use by Councils for Voluntary Service (CVS) was a joint undertaking between the Department of Management Systems and Sciences, University of Hull, and the National Association of Councils for Voluntary Service (NACVS), formerly Councils for Voluntary Service National Association (CVSNA).

At the very start of the project it was decided that an advisory group should be established to provide on-going support and guidance to the project. The advisory group was up of several members of the CVSNA Executive Committee and representatives of local CVS. During the life of the project the advisory group met on several occasions and was extremely influential in determining the overall direction of the project. As a result of early deliberations between the advisory group and the researchers, it was decided that the project should seek to develop a spectrum of appropriate and methodologically sound evaluation techniques.

Based upon a review of the literature on evaluation, four theoretically distinct forms of evaluation were identified (goal based, system-resource based, multi-actor based and culture based). The four different types of evaluation were tested for feasibility of application in a pilot project scheme. All CVS were invited to indicate an interest in being involved in the scheme and, from the fifty-five CVS wanting to be involved, the advisory group, using specific criteria, selected seven. The pilot project scheme operated for the duration of 1991. The CVS involved and the types of evaluation tested were:

- Doncaster CVS , Goal Based Evaluation;

- Hastings Voluntary Action, Goal Based Evaluation;

- North Warwickshire CVS, Goal Based Evaluation;

- Voluntary Action Lewisham, Multi-Actor Based Evaluation;

- Northern Devon CVS, Multi-Actor Based Evaluation;

- Sunderland CVS, System-Resource Based Evaluation;

- Basingstoke Council for Community Service, Culture Based Evaluation.

During the course of 1991, CVSNA not only changed its name to NACVS but it also underwent an almost total change of staff and moved from London to Sheffield. Despite these changes, commitment to and support for the project was maintained.

Following the completion of the pilot projects, a report detailing the steps involved in carrying out the four types of evaluation, reporting on the pilot projects, and suggesting what needs to be borne in mind in selecting a particular evaluation methodology, was submitted to NACVS. NACVS then took responsibility for producing a 'how to do it' manual to be launched to the CVS network by NACVS at an evaluation workshop day, involving the pilot project CVS, to be held on July 17th, 1992.

(b) Conclusions Reached

(i) The academic side of the project involved a comprehensive review of the different approaches to evaluation and their theoretical underpinnings. It was discovered that, on the basis of these theoretical underpinnings and particularly what each approach assumes about organisations and what makes them successful, it is possible to reduce evaluation methods to four pure 'types'. It was then possible to specify the nature of these types and to consider their particular strengths and weaknesses. It was these four types which were refined for use by CVS.

(ii) As a result of the pilot projects it was found that no single model of evaluation is appropriate for use by all CVS. Each of the four evaluation methodologies offers something to CVS; all of the pilot project CVS seemed to benefit from their projects. It was, however, possible to provide guidelines to be considered in selecting a particular approach to evaluation.

(iii) Much was learnt about the detail of using the evaluation methods as a result of the pilot projects and it became possible to specify how each might operated in a stage-by-stage format. Systematic procedures were set down which would enable organisations, particularly CVS, to employ each method themselves. Tools were provided to help with each stage of, for example, multi-actor evaluation.

(iv) It was found that, as long as broad guidelines were followed, the best evaluations are those designed by the CVS themselves. Many of the CVS underestimated the amount of work the design of the evaluation involved to ensure it was appropriate to them. In one of the projects the CVS insisted that they were satisfied that the time-recording system they had modified from another CVS was suitable for them, but a month into the project they confessed that they were finding the system unworkable and hence had to interrupt the process whilst they designed a system for themselves.

(v) As a result of the pilot projects much has been learnt about the management of projects with CVS in particular and voluntary organisations in general. Furthermore, consideration had to be given to the role of the evaluator/evaluation facilitator, the ethics of evaluative information disclosure, the politics of evaluation, and evaluation good practice in general.

(vi) Constant appraisal of the methodologies has meant that knowledge was gained about what meta-evaluation methods are appropriate for each of the methodologies. Indeed, meta-evaluation led to the severe amendment of one of the four types of evaluation and a critical awareness of the situations in which each of the types of evaluation work best.

(c) Significance of the Work for the Future

In order to ensure that CVS own and use the findings of the project, efforts have been made to keep the CVS network informed and involved. This entailed:

- sessions at national voluntary sector conferences;
- fringe workshops at CVSNA/NACVS Annual Conferences;
- talks given by the project worker at regional meetings of CVS;
- occasional project reports in the CVSNA/NACVS circulation;
- informal spreading the word of the project and its work.

Now that the project is complete, promotion of the findings is being undertaken by NACVS, who are planning, producing and promoting both the manual and the evaluation workshop day.

It is also recognised that should the CVS consultancy service be re-established (a selected and trained group of CVS general secretaries who provide assistance to CVS requesting advice), then this would provide an excellent vehicle for further diffusion of the work done by the project.

The results of the project are also being reported widely to the relevant academic community. This is on-going and has involved:

- presentation of papers at academic conferences;
- publication of papers in academic journals and proceedings.

The project findings will receive further diffusion and promotion through the Centre for Systems Studies which is being established by the Department of Management Systems and Sciences, University of Hull. The Centre is establishing an evaluation service for voluntary and community groups and experience of the project will shape the form of the evaluations undertaken and the way in which such projects are managed.

(d)   Investigator's Personal Evaluation of the Project

It is the researchers' opinion that the project progressed well. From the academic point of view, reducing the great diversity of evaluation approaches to four pure types, based on their theoretical orientations, was a major achievement. On the practical side, most of the CVS approached their projects with open minds and were willing to take on the extra work tasks that the evaluations involved. People were willing to accept that we were trying out/experimenting with evaluation methods and hence were quite willing to criticise the methods. This was most obviously the case with the culture based evaluation approach which had to be completely amended following the pilot exercise.

NACVS support lasted throughout the project and the fact that they have taken on and disseminated the findings is an indicator of the project's success.

One of the hardest aspects of the project was the managing of it. Operating seven evaluations with seven very different geographically dispersed CVS, as well as attending regional meetings etc., was very demanding and made the efficient scheduling of project work critical.

Perhaps one of the most difficult aspects of the project was the translation of reports from academic language into CVS language and the communication of the evaluation models. The pressure to produce simple models of evaluation for use by CVS was evident even at the beginning of the project but it was only once the learning from the pilot projects had been gained that this was achieved. The work involved in this was, however, very necessary and worthwhile. The production of four simple step-by-step procedures for carrying out evaluation from the mass of theory and obfuscation that surrounds evaluation was a success of the project.

3. Publications

(a) List of Publications

"Evaluation Methodologies: A System for Use" by A.J. Gregory and M.C. Jackson. Journal of the Operational Research Society, 43, 1992, pp 19-28.

"Evaluating Organisations: A Systems and Contingency Approach" by A.J. Gregory and M.C. Jackson. Systems Practice, 5, 1992, pp 37-60.

"Evaluation of progressive organisations: A critical approach" by A.J. Gregory. Proceedings of the 35th annual meeting of the International Society for the Systems Sciences, 11, 1991, pp 83-91.

"Which evaluation methodology when? A contingency approach to evaluation" by A.J. Gregory. In M.C. Jackson et al (eds.), 1991, Systems Thinking in Europe, Plenum Press, London, pp 435-441.

"Beverley Council for Voluntary Service (BCVS) and Hull University". In the Kenilworth Group/NCVO report, 1991, Local Development Agencies: How Do We Evaluate Ourselves?

"Evaluation Procedures for CVS", Acorn, 4, June 1990.

"Project to Design Evaluation Procedures for CVS", Systemist, 12, August 1990.

"Evaluation: A User's Guide. A First Project Report" by A. Gregory, January 1991.

"NACVS Evaluation Project. Final Project Report" by A. Gregory and M.C. Jackson, March 1992.

An as yet untitled paper to be submitted to the Journal of the Operational Research Society setting out the findings of the project.

Paper planned for inclusion within a collection of papers on community operational research to be compiled by the Community Operational Research Unit at Northern College.

4. Dissemination of Final Results

A final report of the project has been submitted to NACVS. This report contains the theoretical background of the evaluation methodologies, a history of the project and pilot interventions and sections on choosing an appropriate approach, the politics of evaluation, etc.

Based upon this final report, a user-friendly manual of evaluation methods is being compiled for the general CVS audience. The manual is to be launched to the CVS network by NACVS at an evaluation workshop day, involving the pilot project CVS, to be held on 17th July, 1992. The workshop day is to be a non-profit making event and NACVS is endeavouring to find the funds to publish the manual for general sale to CVS.

WORTHLEY COUNCIL FOR VOLUNTARY SERVICE (WCVS)

WORK PROGRAMME QUESTIONNAIRE 1991

A   TO LINK AND EMPOWER VOLUNTARY AND COMMUNITY ORGANISATIONS, STATUTORY AUTHORITIES, OTHER BODIES AND INDIVIDUALS

      CURRENT WORK

A1   JOINT PLANNING AND COMMUNITY CARE   0-1-2-3-4-5-6-7
       Providing support to voluntary sector representatives on
       Joint Consultative Committee. Representative on Joint
       Care Planning Team. Forum for voluntary sector
       representatives involved in joint planning.

A2   DIRECTORY OF VOLUNTARY AND COMMUNITY   0-1-2-3-4-5-6-7
       ORGANISATIONS
       Directory available but not comprehensive.

A3   PUBLIC SECTOR   0-1-2-3-4-5-6-7
       Informal links with Borough Council, Health Authority, and
       Family Health Services Authority. Applied for funding to
       develop a network of groups around the Training and
       Enterprise Council.

A4   PRIVATE SECTOR   0-1-2-3-4-5-6-7
       Informal links with Chamber of Commerce and member
       of Worthley Action.

A5   COMMUNITY LUNCH   0-1-2-3-4-5-6-7
       First Community Lunches held November 1990 and
       February 1991.

A6   LOCAL NETWORKS   0-1-2-3-4-5-6-7
       Involvement with Community Training Network, Racial
       Equality Council and Voluntary Sector Representatives
       in Joint Planning.

A7   ELECTIONS   0-1-2-3-4-5-6-7
       Organiser of elections for voluntary sector
       representatives to Community Health Council and Joint
       Consultative Committee (when requested by Regional
       Health Authority).

A8   REPRESENTATION   0-1-2-3-4-5-6-7
       Responds to consultation papers from public sector
       bodies. Represents, within limits, local voluntary sector.

PROPOSED WORK

A1 JOINT PLANNING AND COMMUNITY CARE   0-1-2-3-4-5-6-7
Develop forum for all voluntary sector representatives
involved in joint planning. Work with statutory agencies
to enable groups to take active and full involvement in
the production of the Community Care Plan including a
one day conference. Make available speakers to
groups on community care issues. Seek adequate
voluntary sector representation at all levels.

A2 DIRECTORY OF VOLUNTARY AND COMMUNITY   0-1-2-3-4-5-6-7
ORGANISATIONS
Revise and update directory using computerised
database to make it as comprehensive as possible.
Better publicise directory and make available at
agreed charges. Investigate the possibility of
sponsorship for printed directory.

A3 PUBLIC SECTOR   0-1-2-3-4-5-6-7
Seek to develop better links with Borough Council,
Health Authority, Family Health Services Authority and all
their respective departments. Develop network of
groups and support network around the Training and
Enterprise Council.

A4 PRIVATE SECTOR   0-1-2-3-4-5-6-7
Develop existing relationships.

A5 COMMUNITY LUNCH   0-1-2-3-4-5-6-7
Develop a regular programme of community lunches in
Worthley town and investigate possibility of others in
selected townships and localities in the Borough.

A6 LOCAL NETWORKS   0-1-2-3-4-5-6-7
Develop existing networks. Develop an advocacy
issues group.

A7 ELECTIONS   0-1-2-3-4-5-6-7
Organise when required.

A8 REPRESENTATION   0-1-2-3-4-5-6-7
Inform groups of opportunities and methods for
representation around specific issues as they arise.
When approached for voluntary sector viewpoint put
organisation in contact with relevant groups. Encourage
public bodies to specify in annual service plans the way
in which they will involve voluntary sector in service and
policy planning.

B   TO FOSTER DEVELOPMENT OF VOLUNTARY AND COMMUNITY ACTIVITY

CURRENT WORK

B1 OVERVIEW   0-1-2-3-4-5-6-7
Contacts maintained with many organisations, giving
limited overview of activity in the area.

B3	DEVELOPMENT WORK Ability to respond to needs expressed by the local community. Work in this area currently involves Age Concern, Worthley Unemployed Community Group, Crisis at Christmas, Ethnic School Association and Worthley Coalition of Disabled People.	0-1-2-3-4-5-6-7

PROPOSED WORK

B1	OVERVIEW Expand information available in particular through work on community care plan and directory.	0-1-2-3-4-5-6-7
B2	PRO-ACTIVE DEVELOPMENT WORK Work with groups around issues of advocacy, contracting, evaluation and equal opportunities including providing appropriate information, training and support.	0-1-2-3-4-5-6-7
B3	DEVELOPMENT WORK Further assist all groups requesting help to develop their work by providing advice, information and support.	0-1-2-3-4-5-6-7

C   TO PROVIDE RESOURCES, WHERE PRACTICABLE, FOR VOLUNTARY AND COMMUNITY ORGANISATIONS

CURRENT WORK

C1	FUNDING Copy of 'Directory of Grant Making Trusts' and information about Urban Programme, Joint Finance and other statutory resources available. Limited assistance given to groups in identifying and applying for funding.	0-1-2-3-4-5-6-7
C2	PREMISES Offices for 3 groups plus meeting room available.	0-1-2-3-4-5-6-7
C3	CONTACT POINT Postal address provided for groups on request.	0-1-2-3-4-5-6-7
C4	TRANSPORT WCVS pick-up loaned to certain member groups on very occasional basis.	0-1-2-3-4-5-6-7
C5	PUBLICITY Promotion of groups via Community Service Announcements. Occasional articles by groups in the newsletter. Poster display service in office window.	0-1-2-3-4-5-6-7
C6	TRAINING Member of Community Training Network Committee, responsible for some tutoring on their courses. Distribution of information about national and regional training in the newsletter.	0-1-2-3-4-5-6-7
C7	REPROGRAPHICS Photocopying at agreed charges. Typing for groups including ticket production.	0-1-2-3-4-5-6-7

C8	EQUIPMENT	0-1-2-3-4-5-6-7

C8   **EQUIPMENT**   0-1-2-3-4-5-6-7
Flip-chart and overhead projector available on an ad
hoc basis.

C9   **ALMONING**   0-1-2-3-4-5-6-7
Grants from several local grant making trusts are received
and passed on to non-registered charitable groups
nominated by the donor.

C10   **VOLUNTEER BUREAU**   0-1-2-3-4-5-6-7
Prospective volunteers are given information on an ad
hoc basis about groups who may be looking for
volunteers.

C11   **INFORMATION**   0-1-2-3-4-5-6-7
Newsletter produced 10 times a year. Directory of groups
available.

C12   **MANAGEMENT ADVICE**   0-1-2-3-4-5-6-7
Groups are given advice on ad hoc basis when
requested on management issues. Occasional
information provided in the newsletter.

PROPOSED WORK

C1   **FUNDING**   0-1-2-3-4-5-6-7
Better publicise available sources of funding.

C2   **PREMISES**   0-1-2-3-4-5-6-7
Better publicise meeting rooms service. Investigate the
possibility of alternative building providing more and
better office and meeting room space.

C3   **CONTACT POINT**   0-1-2-3-4-5-6-7
Better publicise postal address service.

C4   **TRANSPORT**   0-1-2-3-4-5-6-7
Publicise availability of Worthley Community Transport
Group hire bus.

C5   **PUBLICITY**   0-1-2-3-4-5-6-7
Encourage groups to make better use of the poster
display service. Investigate possibility of a community fair
and encourage voluntary organisations' presence at
such events.

C6   **TRAINING**   0-1-2-3-4-5-6-7
Development of WCVS training events across the
Borough. Improved distribution of information about
national and regional training.

C7   **REPROGRAPHICS**   0-1-2-3-4-5-6-7
Better publicise service.

C8	EQUIPMENT	0-1-2-3-4-5-6-7
	Develop equipment loan service at agreed charges.	
	Publicise service. Produce directory of equipment that	
	groups and other bodies may be willing to loan to other	
	groups.	

C9	ALMONING	0-1-2-3-4-5-6-7
	Investigate possibility of payroll scheme through a	
	consortium.	

C10	VOLUNTEER BUREAU	0-1-2-3-4-5-6-7
	Develop Volunteer Bureau services (subject to	
	availability of funding).	

C11	INFORMATION	0-1-2-3-4-5-6-7
	Review content, production and distribution of the	
	newsletter. Revise and update the directory of groups.	
	Establish a library of reference books and directories.	
	Better publicise services. Provide groups with information	
	about new public, private or quasi-voluntary agencies	
	being established.	

C12	MANAGEMENT ADVICE	0-1-2-3-4-5-6-7
	Establish a Management Advisory Service, subject to	
	availability of Urban Programme funding, to provide	
	information, training, individual group support and crisis	
	work on all aspects of group management.	

D   TO RAISE AWARENESS OF DISADVANTAGE AND INJUSTICE AMONG ALL
     SECTIONS OF THE COMMUNITY

CURRENT WORK

| D1 | INFORMATION | 0-1-2-3-4-5-6-7 |

| D2 | PROMOTING EQUAL OPPORTUNITIES | 0-1-2-3-4-5-6-7 |

PROPOSED WORK

D1	INFORMATION	0-1-2-3-4-5-6-7
	Develop links with ethnic groups and groups of disabled	
	people and through work with them identify areas of	
	need. Encourage wider voluntary sector to meet	
	identified needs.	

D2	PROMOTING EQUAL OPPORTUNITIES	0-1-2-3-4-5-6-7
	Draw-up, adopt and implement WCVS equal	
	opportunities policy, subject to regular review. Support a	
	network of groups interested in equal opportunities.	
	Ensure groups know of minimum legal requirements and	
	encourage groups to take wider responsibility.	
	Encourage involvement of ethnic and disabled people	
	with WCVS and wider voluntary sector. Promote	
	discussion and implementation of advisory schemes.	

WORTHLEY COUNCIL FOR VOLUNTARY SERVICE (WCVS)

GOAL PLAN FOR 1991

GOAL

To improve the overall effectiveness and efficiency of WCVS by concentrating on those activities identified as being the most important in a recent survey concerning the work of WCVS.

OVERALL INDICATORS OF EFFECTIVENESS

Indicator(s)	Target(s)
Membership	30 organisations
AGM attendance	50 individuals

OBJECTIVE I

Joint Planning and Community Care

Develop forum for all voluntary sector representatives involved in joint planning. Work with statutory agencies to enable groups to take active and full involvement in the production of the Community Care Plan including a one day conference. Make available speakers to groups on community care issues. Seek adequate voluntary sector representation at all levels.

Indicator(s)	Targets(s)
Participant's overall level of satisfaction with forum meetings	?
Conference attendance	35
Number of organisations making comments to Social Services on the Community Care Plan	10

OBJECTIVE II

Representation

Inform groups of opportunities and methods for representation around specific issues as they arise. When approached for voluntary sector viewpoint put organisation in contact with relevant groups. Encourage public bodies to specify in annual service plans the way in which they will involve voluntary sector in service and policy planning.

Indicator(s)	Targets(s)
Amount of contact with the representatives of statutory agencies:	
committee meetings	?
telephone calls	?

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OBJECTIVE III

Development Work

Work with groups around issues of advocacy, contracting, evaluation and equal opportunities including providing appropriate information, training and support.

Indicator(s)	Targets(s)
Number of hours spent on development work: advice & enquiries	2.75 per week
consultancy	3.50 per week
Number of enquiries:	
face to face	20 per week
telephone	20 per week
Number of organisations receiving development advice (excluding consultancy)	5 per week

OBJECTIVE IV

Information

Review content, production and distribution of the newsletter. Revise and update directory of groups. Establish a library of reference books and directories. Better publicise services. Provide groups with information about new public, private or quasi-voluntary agencies being established.

Indicator(s)	Targets(s)
Number of clients using the library	2 per week
Number of times an article from the library is photocopied and sent to a relevant organisation	2 per week
Time taken to produce WCVS leaflet	12 hours or less
Number of issues of the newsletter produced and distributed	10 per annum

OBJECTIVE V

Work with Minority Groups

Develop links with ethnic groups and groups of disabled people and, through work with them, identify areas of need. Encourage wider voluntary sector to meet identified needs.

Indicator(s)	Targets(s)
Number of ethnic/minority groups	6
Number of times WCVS contacted/used by an ethnic/minority group.	3 times per week

Worthley Council for Voluntary Service

Enquiries Form

INQUIRER: Name
Organisation
Address
Telephone number

CATEGORY: M - Minority/Ethnic Group
N - Non-minority/Non-ethnic Group

MEDIUM: T - Telephone
W - Written
F1 - Face-to-face (initiated by them)
F2 - Face to-face (initiated by CVS)
F3 - Face-to-face (jointly initiated)

ENQUIRY: What subject/issue was advice/information requested on?
Was it an enquiry or consultancy?

TIME: Time taken to deal with the enquiry

NAME:	DATE:

INQUIRER	CAT.	MED.	ENQUIRY TIME
	M ☐	T ☐	
	N ☐	W ☐	
		F1 ☐	
		F2 ☐	
		F3 ☐	

<u>LIBRARY SLIP</u>

NAME:

DATE: ___/___/___

ORGANISATION:

HOW DID YOU FIND OUT ABOUT THE CVS LIBRARY?

FOR WHAT PURPOSE DID YOU USE THE LIBRARY?

DID YOU FIND THE INFORMATION YOU WANTED IN THE LIBRARY?   YES/NO

ANY SUGGESTIONS FOR IMPROVING THE LIBRARY?

VOLUNTARY ACTION CHATLETON

GOAL PLAN

GOAL

To improve the quality of the Newsletter.

OBJECTIVES

- To conduct an initial survey of the readership (300 questionnaires sent out) on how the newsletter might be improved (October 1991).

  To implement changes to the design/content/distribution of the newsletter based on the survey findings (November 1991-March 1992).

- To conduct a follow-up survey of sample a of 100 of the readership to check the effect of the changes (March 1992).

INDICATORS	TARGETS
Level of sample readership satisfaction.	? (Oct. '91 = 5.07 on a scale ranging from 0-7.)
Rate of return of follow-up survey.	? (Oct. '91 = 29%.)

GOAL

To increase the number of VB recruits.

OBJECTIVES

- To reapproach the local newspaper for more free advertising (September - November 1991).

- To investigate the possibility of the production of a publicity poster for display in public meetings places (September-November 1991).

  To continue to promote voluntary work through the Job Centre (September-November 1991).

INDICATORS	TARGETS
Number of volunteers recruited.	8 per week.
Number of adverts in local paper.	1 per week.

GOAL

To organise relevant and well attended voluntary sector training courses.

OBJECTIVES

- To undertake target marketing for the individual courses (September-Ongoing).

- To evaluate individual courses and implement changes based on the results (Ongoing).

- To undertake a survey of 50 voluntary and statutory agencies to investigate what is needed by way of training and how training might be made accessible to the mass (Late October-Early November 1991).

Update - Actual survey size was 129 voluntary and statutory agencies. As a result of the survey findings it was decided to discontinue the training courses.

INDICATORS	TARGETS
Number of people attending the training courses.	?

GOAL

To promote ownership of VAC to the Executive Committee.

OBJECTIVES

To hold a review of VAC work and facilitate the Executive's formulation of a work-plan for the organisation (September 1991).

- To discuss the results of the first Executive Questionnaire and clarify any issues (September 1991).

To undertake a second Executive Questionnaire to see whether and how attitudes have changed to VAC since the first questionnaire (December 1991).

INDICATORS	TARGETS
Number of Executive members who feel they are not on the Executive as representatives of another organisation but as a manager of VAC.	? (1 person out of 8 on the first Exec. questionnaire.)
Number of Executive members who want a more pro-active role and more information about VAC and its work.	? (3 out of 8 people on the first Exec. survey wanted day-to-day contact with staff but no one was willing to devote more time and effort to VAC.)

A SYSTEM-RESOURCE MODEL OF A CVS

EVALUATION CRITERIA QUESTIONNAIRE

A. WHAT IS YOUR CVS CALLED?_____

B. INDICATE THE 10 MODEL CHARACTERISTICS, OUT OF THE FOLLOWING 25, WHICH YOU BELIEVE A CVS SHOULD HAVE. FEEL FREE TO ALTER ANY ASPECT OF THE FOLLOWING IF YOU FEEL IT WOULD BE HELPFUL IN COMPLETING YOUR ANSWER.

1. DELEGATING
Jobs are assigned to those individuals having the experience, knowledge and interest to best perform them. ☐

2. DEVELOPING
Can encourage and provide opportunities for the development of staff, membership and CVS activities. ☐

3. SUPPORTING
Can take steps to ensure staff/volunteer job satisfaction, identify potential sources of stress for workers and take appropriate action. ☐

4. MANAGED
Performance not disrupted by personnel absences, staff turnover or lost time. ☐

5. DEMOCRATIC
Can encourage and use input into decision-making from all interested parties, such as staff, members, volunteers and so on. ☐

6. PROFESSIONAL
Encourages good practice in the way in which staff and executive members represent the CVS. ☐

7. COHESIVE
Can resolve differences of opinion and conflict by discussion and compromise. ☐

8. FOCUSED
Organisational philosophy and directives understood and respected by everyone involved with the CVS. ☐

9. DIVERSE
Displays a wide range of abilities, interests and services. ☐

10. LEARNING
Ability to gather information about the effect of ones activities and learn from that information. ☐

11. INITIATING
Can initiate changes in ways of working and areas of activity.

☐

12. DISCERNING
Able to identify and withdraw from inappropriate or unproductive activities or associations.

☐

13. PLANNED
Ability to schedule internal operations to minimise duplication of activity and ensure priority tasks are attended to.

☐

14. CONTROLLED
Executive committee can take informed decisions about CVS policy and practice.

☐

15. RATIONAL
Can examine the possible implications of different priorities and work-plans.

☐

16. CONTINUITY
Can set long-term goals for the organisation and translate them into a feasible short-term work-plan.

☐

17. FLEXIBLE
Willing and able to alter work priorities in light of unpredicted events.

☐

18. COMMUNICATIVE
Free flow of information within the CVS and between the CVS and other significant organisations.

☐

19. ACCESSIBLE
Has established systems for dealing promptly and competently with enquiries/requests from external parties.

☐

20. BARGAINING
Ability to secure necessary resources when in competition with others.

☐

21. COORDINATING
Sets priorities in consultation with other parties, such as local government, and schedules activities accordingly.

☐

22. CREDIBLE
Ability to develop and sustain a positive name in the local community.

☐

23. INFLUENTIAL
Ability to influence the policy making of significant others, for instance member organisations.

☐

24. MUTUAL
Ability to appreciate the position of other organisations and support them appropriately.

☐

25. RELIABLE
Can consistently meet expectations with regard to the standard of service offered to member organisations.

☐

CRITICAL CVS CHARACTERISTICS

Detailed below are those characteristics which enable an organisation to be viable. The characteristics are taken from several models, including Checkland's Formal Systems Model, Beer's Viable Systems Model, Ackoff's Responsive Decision System and Katz and Kahn's Organisational Subsystem's Model.

ENVIRONMENTALLY INTELLIGENT	Monitoring changes in the environment. Awareness of the organisation's effect upon the environment.
POLICY-MAKING	Planning the organisation's role in the light of information about the organisation and the environment. Having the ability to reappraise and recognise the organisation's strengths and weaknesses.
CONTROLLED	Translating policy into a coordinated work-plan covering the whole organisation. Having the work-plan implemented. Receiving feed-back/auditing information on the operations of components. Revising work-plans in the light of feedback information. Having the ability to directly influence the operations of components. Establishing job specifications and general standards of procedure.
PURPOSEFUL	Having a transformation.
RESOURCEFUL	Procuring appropriate inputs. Disposing of outputs.
RECURSIVE	Having components which are themselves viable systems which are able to act appropriately to the organisation without direct control from the organisation itself.
SELF-MAINTAINING	Recruiting components appropriately to the organisation's needs. Socialising components into organisational roles. Having procedures for rewarding appropriate behaviour. Having procedures for sanctioning inappropriate behaviour.
INTERNALLY COMMUNICATIVE	Having channels of communication between all of the organisation's components.
BOUNDED	Recognising the policy-making function's sphere of direct influence and acting accordingly.
SELF-REPRESENTING	Maintaining and furthering favourable relationships with environmental components.

DESIRABLE CVS CHARACTERISTICS

Detailed below are the ideal characteristics of a CVS. The characteristics were those chosen by forty per cent or more of the respondents to a national survey of CVS undertaken in December 1990. Response to the questionnaire was good with eighty-seven of the two hundred and thirty questionnaires completed and returned.

The information about the ideal characteristics generated by the survey will aid in the construction of CVS model for use in system-resource type evaluations.

(The percentage of respondents selecting that criteria is given in brackets.)

COMMUNICATIVE (74%)   Free flow of information within the CVS and between the CVS and other significant organisations.

CREDIBLE (64%)   Ability to develop and sustain a positive name in the local community.

FLEXIBLE (64%)   Willing and able to alter work priorities in light of unpredicted events.

DEVELOPING (60%)   Can encourage and provide opportunities for the development of staff, membership and CVS activities.

DEMOCRATIC (59%)   Can encourage and use input into decision-making from all interested parties, such as staff, members, volunteers and so on.

ACCESSIBLE (57%)   Has established systems for dealing promptly and competently with enquiries/requests from external parties.

PROFESSIONAL (56%)   Encourages good practice in the way in which staff and executive members represent the CVS.

MUTUAL (56%)   Ability to appreciate the position of other organisations and support them appropriately.

RELIABLE (48%)   Can consistently meet expectations with regard to the standard of service offered to member organisations.

INITIATING (45%)   Can initiate changes in ways of working and areas of activity.

DELEGATING (44%)   Jobs are assigned to those individuals having the experience, knowledge and interest to best perform them.

FOCUSED (40%)   Organisational philosophy and directives understood and respected by everyone involved with the CVS.

CONTROLLED (40%)   Executive committee can take informed decisions about CVS policy and practice.

Appendix 23

A SYSTEM-RESOURCE BASED EVALUATION

In rating the CVS on the stated characteristics, answers to the following questions may be found to be relevant.

Questions for Staff

Block A

A1.   How and by whom is policy made?
A2.   Does the CVS have a mission statement? What is the mission statement?
A3.   How is the mission statement reflected in practice?
A4.   How are the opinions of staff put to the executive committee?
A5.   How often do staff and executive committee meet?
A6.   Are the members of the executive committee involved enough with the CVS/give enough support to the CVS?
A7.   How is the CVS funded? Is that funding secure?

Block B

B1.   How and by whom is the work-plan put together?
B2.   How does the CVS set a work-plan when so much of the its work is reacting to immediate member needs e.g. enquiries?
B3.   How is it ensured that tasks are dealt with by the person best able to do them?
B4.   How is the work-plan implemented in practice?
B5.   Does the CVS have a code of practice and a complaints/compliments procedure? How did they come about? Are they used?

Block C

C1.   How does the chief officer ensure that the work of the CVS is done?
C2.   Has the chief officer ever had cause to correct the actions of the staff?
C3.   Would the chief officer say that at times (s)he is over-burdened with work?
C4.   How do you manage when the chief officer is away?

Block D

D1.   What hours is the CVS open to the public?
D2.   How do staff deal with: telephone enquiries?
                                     drop-in enquiries?
                                     written enquiries?
D3.   What type of help do organisations come to the CVS for?
D4.   What services does the CVS offer?
D5.   Would you say that staff are constantly faced with the same problems/issues day-in day-out or are staff constantly facing new challenges?
D6.   Has the CVS developed working practices to deal with different types of enquiries/issues?
D7.   Does the CVS keep files on clients/enquiries?
D8.   How have working practices/areas of CVS work changed in recent years?
D9.   What part of the organisation/work of the organisation would you identify as being a model of good practice and why?
D10.   Are the premises suitable for CVS work? Who owns the premises? How long does the CVS have them for?
D11.   Are the staff up to date with new technology? Do they have that technology available to them?

Block E

E1. Is the CVS fully staffed?
E2. Does the CVS use the services of volunteers?
E3. Does the CVS operate a staff appraisal system?
E4. What is staff turnover like?
E5. What are the abilities/interests of the staff?
E6. What training have staff undergone? What training would they like?
E7. How do individual members of staff go about organising their work? How much discretion do they have in how they go about their work?
E8. Do members of staff often work together on tasks?
E9. How is it ensured that the staff are not overburdened/overstressed?
E10. How often are staff meetings held? What are they like?
E11. How do staff share information about tasks/members/problems?
E12. What are the advantages and disadvantages of working for a CVS?
E13. What career ambitions do staff have?

Block F

F1. What is the CVS's actual and potential membership?
F2. Does the CVS charge a membership fee? How much is it?
F3. How is membership of the CVS promoted?
F4. How is contact maintained with the membership?
F5. How and in what situations does the CVS influence its members?
F6. How often do members meet?
F7. What are AGMs like (attendance/format)?
F8. How would the CVS handle the situation if it were competing for funds with its members?
F9. What would be the immediate and long term effects if the CVS ceased to exist?

Block G

G1. How and to whom is the CVS accountable?
G2. How does the CVS promote/represent itself?
G3. How does the CVS seek to influence statutory agencies?
G4. Do statutory agencies approach the CVS for input when planning policy?

Block H

H1. How do staff keep up to date with issues affecting the voluntary sector?
H2. What is the most important source of information for the CVS about voluntary sector issues?
H3. What newsletters does the CVS receive and who reads them?
H4. Do staff have contact with and knowledge of the working practices of other CVS?
H5. How much contact does the CVS have with the private sector? What is the nature of that contact?

Block I

I1. What do staff consider to be the strengths and weaknesses of the CVS?
I2. What have been the major achievements of the CVS in recent years?
I3. What is the future of the CVS?

Questions for Executive Committee

Block A

A1.   How often are executive committee meetings held?
A2.   What is attendance of executive meetings like?
A3.   How often are the executive elected? Are there rules regarding the composition of the executive and what are they?
A4.   Have changes in the composition of the executive significantly affected the policies of the CVS?
A5.   How many member of the executive committee are there?
A6.   What is the role of the executive?
A7.   How informed are the executive about CVS issues?
A8.   Does the executive usually follow the recommendations put to it by the chief officer? How thoroughly are issues discussed?
A9.   How does the executive ensure that its decisions are carried out?
A10.   Does the executive have sub-committees? What are they?
A11.   How closely involved with actual CVS work do executive members get?
A12.   How often do executive committee members and staff meet to discuss issues?
A13.   Does the executive perform its role well?

Block B

B1.   From what organisations are executive members drawn and what are their roles in those organisations?
B2.   What training have executive members undertaken?
B3.   What are the advantages and disadvantages of being a member of the CVS executive committee?
B4.   How do executive members separate their role as an agent of an organisation other than a CVS from their role as a member of the CVS executive?

Block C

C1.   Does the CVS have a mission statement? What is it?
C2.   How is the policy/mission statement set and how often is it reviewed?
C3.   How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?

Block D

D1.   How and to whom is the CVS accountable?
D2.   Does the CVS have rules of membership? What are they?
D3.   What benefits does membership of the CVS confer over non-membership?
D4.   How and by whom is the work-plan put together?
D5.   What part of the organisation/work of the organisation would the executive identify as being a model of good practice and why?
D6.   How does the CVS promote/represent itself?
D7.   What have been the major achievement of the CVS in recent years?
D8.   What does the executive consider to be the strengths and weaknesses of the CVS?
D9.   What would be the immediate and long term effects if the CVS ceased to exist?
D10.   What is the future of the CVS?

THE QUESTIONS RELATED TO THE CHARACTERISTICS

Democratic

Staff

A1.   How and by whom is policy made?
A4.   How are the opinions of staff put to the executive committee?
A5.   How often do staff and executive committee meet?
B1.   How and by whom is the work-plan put together?
F7.   What are AGMs like (attendance/format)?

Executive

A3.   How often are the executive elected? Are there rules regarding the composition of the executive and what are they?
A6.   What is the role of the executive?
A12.   How often do executive committee members and staff meet to discuss issues?
D2.   Does the CVS have rules of membership? What are they?
D4.   How and by whom is the work-plan put together?

Recursive

Staff

B3.   How is it ensured that tasks are dealt with by the person best able to do them?
B4.   How is the work-plan implemented in practice?
C3.   Would the chief officer say that at times (s)he is over-burdened with work?
E5.   What are the abilities/interests of the staff?
E7.   How do individual members of staff go about organising their work? How much discretion do they have in how they go about their work?

Executive

A6.   What is the role of the executive?
A10.   Does the executive have sub-committees? What are they?
A13.   Does the executive perform its role well?

Controlled

Staff

A1.   How and by whom is policy made?
A2.   Does the CVS have a mission statement? What is the mission statement?
A3.   How is the mission statement reflected in practice?
B2.   How does the CVS set a work-plan when so much of the its work is reacting to immediate member needs e.g. enquiries?
B4.   How is the work-plan implemented in practice?
C1.   How does the chief officer ensure that the work of the CVS is done?
C2.   Has the chief officer ever had cause to correct the actions of the staff?
E7.   How do individual members of staff go about organising their work? How much discretion do they have in how they go about their work?
G1.   How and to whom is the CVS accountable?

Executive

A6. What is the role of the executive?
A8. Does the executive usually follow the recommendations put to it by the chief officer? How thoroughly are issues discussed?
A9. How does the executive ensure that its decisions are carried out?
A13. Does the executive perform its role well?
C1. Does the CVS have a mission statement? What is it?
C2. How is the policy/mission statement set and how often is it reviewed?
C3. How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?
D1. How and to whom is the CVS accountable?
D4. How and by whom is the work-plan put together?

Delegating

Staff

B3. How is it ensured that tasks are dealt with by the person best able to do them?
B4. How is the work-plan implemented in practice?
C3. Would the chief officer say that at times (s)he is over-burdened with work?
C4. How do you manage when the chief officer is away?
E9. How is it ensured that the staff are not overburdened/overstressed?

Executive

A10. Does the executive have sub-committees? What are they?
A11. How closely involved with actual CVS work do executive members get?

Professional

Staff

B5. Does the CVS have a code of practice and a complaints/compliments procedure? How did they come about? Are they used?
D2. How do staff deal with:　　　telephone enquiries?
　　　　　　　　　　　　　　　drop-in enquiries?
　　　　　　　　　　　　　　　written enquiries?
D6. Has the CVS developed working practices to deal with different types of enquiries/issues?
D7. Does the CVS keep files on clients/enquiries?
D9. What part of the organisation/work of the organisation would you identify as being a model of good practice and why?
E3. Does the CVS operate a staff appraisal system?
E6. What training have staff undergone? What training would they like?
E7. How do individual members of staff go about organising their work? How much discretion do they have in how they go about their work?
G2. How does the CVS promote/represent itself?

Executive

B2. What training have executive members undertaken?
D2. Does the CVS have rules of membership? What are they?
D5. What part of the organisation/work of the organisation would the executive identify as being a model of good practice and why?
D6. How does the CVS promote/represent itself?

Accessible

Staff

D1.   What hours is the CVS open to the public?
D2.   How do staff deal with: telephone enquiries?
                                        drop-in enquiries?
                                        written enquiries?
D10.   Are the premises suitable for CVS work? Who owns the premises? How long
        does the CVS have them for?
F2.   Does the CVS charge a membership fee? How much is it?
F3.   How is membership of the CVS promoted?
F4.   How is contact maintained with the membership?
F6.   How often do members meet?
G2.   How does the CVS promote/represent itself?
G4.   Do statutory agencies approach the CVS for input when planning policy?
H4.   Do staff have contact with and knowledge of the working practices of other
        CVS?
H5.   How much contact does the CVS have with the private sector? What is the
        nature of that contact?

Executive

D6.   How does the CVS promote/represent itself?

Resourceful

Staff

A7.   How is the CVS funded? Is that funding secure?
D10.   Are the premises suitable for CVS work? Who owns the premises? How long
        does the CVS have them for?
D11.   Are the staff up to date with new technology? Do they have that technology
        available to them?
E1.   Is the CVS fully staffed?
E2.   Does the CVS use the services of volunteers?
E5.   What are the abilities/interests of the staff?
E8.   Do members of staff often work together on tasks?
E11.   How do staff share information about tasks/members/problems?
F1.   What is the CVS's actual and potential membership?
F2.   Does the CVS charge a membership fee? How much is it?
F3.   How is membership of the CVS promoted?
G2.   How does the CVS promote/represent itself?
G4.   Do statutory agencies approach the CVS for input when planning policy?
H1.   How do staff keep up to date with issues affecting the voluntary sector?
H2.   What is the most important source of information for the CVS about voluntary
        sector issues?
H3.   What newsletters does the CVS receive and who reads them?
H4.   Do staff have contact with and knowledge of the working practices of other
        CVS?
H5.   How much contact does the CVS have with the private sector? What is the
        nature of that contact?

Executive

A11.   How closely involved with actual CVS work do executive members get?
B1.   From what organisations are executive members drawn and what are their
        roles in those organisations?
D3.   What benefits does membership of the CVS confer over non-membership?

Bounded

Staff

F1.　　What is the CVS's actual and potential membership?
F5.　　How and in what situations does the CVS influence its members?
F8.　　How would the CVS handle the situation if it were competing for funds with its members?
G1.　　How and to whom is the CVS accountable?
G3.　　How does the CVS seek to influence statutory agencies?

Executive

B4.　　How do executive members separate their role as an agent of an organisation other than a CVS from their role as a member of the CVS executive?
D1.　　How and to whom is the CVS accountable?
D2.　　Does the CVS have rules of membership? What are they?

Developing

Staff

D6.　　Has the CVS developed working practices to deal with different types of enquiries/issues?
D8.　　How have working practices/areas of CVS work changed in recent years?
E3.　　Does the CVS operate a staff appraisal system?
E6.　　What training have staff undergone? What training would they like?
E13.　　What career ambitions do staff have?
I3.　　What is the future of the CVS?

Executive

B2.　　What training have executive members undertaken?
D10.　　What is the future of the CVS?

Flexible

Staff

B2.　　How does the CVS set a work-plan when so much of the its work is reacting to immediate member needs e.g. enquiries?
B4.　　How is the work-plan implemented in practice?
D2.　　How do staff deal with:　　　telephone enquiries?
　　　　　　　　　　　　　　　　　　　drop-in enquiries?
　　　　　　　　　　　　　　　　　　　written enquiries?
D3.　　What type of help do organisations come to the CVS for?
D4.　　What services does the CVS offer?
D6.　　Has the CVS developed working practices to deal with different types of enquiries/issues?
D8.　　How have working practices/areas of CVS work changed in recent years?
E5.　　What are the abilities/interests of the staff?
E6.　　What training have staff undergone? What training would they like?
E7.　　How do individual members of staff go about organising their work? How much discretion do they have in how they go about their work?
E8.　　Do members of staff often work together on tasks?

C3.   How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?

Credible

Staff

A7.   How is the CVS funded? Is that funding secure?
D3.   What type of help do organisations come to the CVS for?
F1.   What is the CVS's actual and potential membership?
F2.   Does the CVS charge a membership fee? How much is it?
F7.   What are AGMs like (attendance/format)?
G4.   Do statutory agencies approach the CVS for input when planning policy?
H4.   Do staff have contact with and knowledge of the working practices of other CVS?
H5.   How much contact does the CVS have with the private sector? What is the nature of that contact?

Executive

A2.   What is attendance of executive meetings like?
B1.   From what organisations are executive members drawn and what are their roles in those organisations?

Self-Representing

Staff

F7.   What are AGMs like (attendance/format)?
G1.   How and to whom is the CVS accountable?
G2.   How does the CVS promote/represent itself?
G3.   How does the CVS seek to influence statutory agencies?
H4.   Do staff have contact with and knowledge of the working practices of other CVS?
H5.   How much contact does the CVS have with the private sector? What is the nature of that contact?
I1.   What do staff consider to be the strengths and weaknesses of the CVS?
I2.   What have been the major achievements of the CVS in recent years?
I3.   What is the future of the CVS?

Executive

D1.   How and to whom is the CVS accountable?
D5.   What part of the organisation/work of the organisation would the executive identify as being a model of good practice and why?
D6.   How does the CVS promote/represent itself?
D7.   What have been the major achievement of the CVS in recent years?
D8.   What does the executive consider to be the strengths and weaknesses of the CVS?
D9.   What would be the immediate and long term effects if the CVS ceased to exist?
D10.   What is the future of the CVS?

Self-Maintaining

Staff

A5.   How often do staff and executive committee meet?
A6.   Are the members of the executive committee involved enough with the CVS/give enough support to the CVS?
A7.   How is the CVS funded? Is that funding secure?
D10. Are the premises suitable for CVS work? Who owns the premises? How long does the CVS have them for?
D11. Are the staff up to date with new technology? Do they have that technology available to them?
E1.   Is the CVS fully staffed?
E2.   Does the CVS use the services of volunteers?
E3.   Does the CVS operate a staff appraisal system?
E4.   What is staff turnover like?
E5.   What are the abilities/interests of the staff?
E6.   What training have staff undergone? What training would they like?
E9.   How is it ensured that the staff are not overburdened/overstressed?
E10. How often are staff meetings held? What are they like?
E12. What are the advantages and disadvantages of working for a CVS?
F2.   Does the CVS charge a membership fee? How much is it?
F8.   How would the CVS handle the situation if it were competing for funds with its members?
G2.   How does the CVS promote/represent itself?

Executive

A1.   How often are executive committee meetings held?
A10. Does the executive have sub-committees? What are they?
A11. How closely involved with actual CVS work do executive members get?
A12. How often do executive committee members and staff meet to discuss issues?
B2.   What training have executive members undertaken?
D6.   How does the CVS promote/represent itself?

Policy-Making

Staff

A1.   How and by whom is policy made?
A2.   Does the CVS have a mission statement? What is the mission statement?

Executive

A6.   What is the role of the executive?
A8.   Does the executive usually follow the recommendations put to it by the chief officer? How thoroughly are issues discussed?
C1.   Does the CVS have a mission statement? What is it?
C2.   How is the policy/mission statement set and how often is it reviewed?
C3.   How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?

Focused

Staff

A3.   How is the mission statement reflected in practice?
B1.   How and by whom is the work-plan put together?
B2.   How does the CVS set a work-plan when so much of the its work is reacting to immediate member needs e.g. enquiries?
B4.   How is the work-plan implemented in practice?
D4.   What services does the CVS offer?
D5.   Would you say that staff are constantly faced with the same problems/issues day-in day-out or are staff constantly facing new challenges?
D6.   Has the CVS developed working practices to deal with different types of enquiries/issues?
F3.   How is membership of the CVS promoted?
F5.   How and in what situations does the CVS influence its members?
G1.   How and to whom is the CVS accountable?
G2.   How does the CVS promote/represent itself?
G3.   How does the CVS seek to influence statutory agencies?
I1.   What do staff consider to be the strengths and weaknesses of the CVS?
I3.   What is the future of the CVS?

Executive

C1.   Does the CVS have a mission statement? What is it?
C2.   How is the policy/mission statement set and how often is it reviewed?
C3.   How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?
D1.   How and to whom is the CVS accountable?
D6.   How does the CVS promote/represent itself?
D10.   What is the future of the CVS?

Environmentally Intelligent

Staff

B5.   Does the CVS have a code of practice and a complaints/compliments procedure? How did they come about? Are they used?
D7.   Does the CVS keep files on clients/enquiries?
F1.   What is the CVS's actual and potential membership?
F4.   How is contact maintained with the membership?
F9.   What would be the immediate and long term effects if the CVS ceased to exist?
G1.   How and to whom is the CVS accountable?
G2.   How does the CVS promote/represent itself?
G3.   How does the CVS seek to influence statutory agencies?
H1.   How do staff keep up to date with issues affecting the voluntary sector?
H2.   What is the most important source of information for the CVS about voluntary sector issues?
H3.   What newsletters does the CVS receive and who reads them?
H4.   Do staff have contact with and knowledge of the working practices of other CVS?
H5.   How much contact does the CVS have with the private sector? What is the nature of that contact?

Executive

B1.   From what organisations are executive members drawn and what are their roles in those organisations?
D1.   How and to whom is the CVS accountable?
D9.   What would be the immediate and long term effects if the CVS ceased to exist?

Internally Communicative

Staff

A4.   How are the opinions of staff put to the executive committee?
A5.   How often do staff and executive committee meet?
B4.   How is the work-plan implemented in practice?
E8.   Do members of staff often work together on tasks?
E10.   How often are staff meetings held? What are they like?
E11.   How do staff share information about tasks/members/problems?
F6.   How often do members meet?

Executive

A1.   How often are executive committee meetings held?
A2.   What is attendance of executive meetings like?
A7.   How informed are the executive about CVS issues?
A8.   Does the executive usually follow the recommendations put to it by the chief officer? How thoroughly are issues discussed?
A9.   How does the executive ensure that its decisions are carried out?
A12.   How often do executive committee members and staff meet to discuss issues?

Purposeful

Staff

D3.   What type of help do organisations come to the CVS for?
D4.   What services does the CVS offer?
F9.   What would be the immediate and long term effects if the CVS ceased to exist?
I2.   What have been the major achievements of the CVS in recent years?

Executive

D7.   What have been the major achievement of the CVS in recent years?
D9.   What would be the immediate and long term effects if the CVS ceased to exist?

Reliable

Staff

A7.   How is the CVS funded? Is that funding secure?
B5.   Does the CVS have a code of practice and a complaints/compliments procedure? How did they come about? Are they used?
D6.   Has the CVS developed working practices to deal with different types of enquiries/issues?
D7.   Does the CVS keep files on clients/enquiries?
E4.   What is staff turnover like?

Executive

A4.   Have changes in the composition of the executive significantly affected the policies of the CVS?

Mutual

Staff

B2.   How does the CVS set a work-plan when so much of the its work is reacting to immediate member needs e.g. enquiries?

D3.   What type of help do organisations come to the CVS for?

F2.   Does the CVS charge a membership fee? How much is it?

F4.   How is contact maintained with the membership?

F5.   How and in what situations does the CVS influence its members?

F8.   How would the CVS handle the situation if it were competing for funds with its members?

G3.   How does the CVS seek to influence statutory agencies?

G4.   Do statutory agencies approach the CVS for input when planning policy?

H1.   How do staff keep up to date with issues affecting the voluntary sector?

H4.   Do staff have contact with and knowledge of the working practices of other CVS?

H5.   How much contact does the CVS have with the private sector? What is the nature of that contact?

Executive

C3.   How is it possible to set meaningful policy and a work-plan when so much of the CVS's work is reactive?

EVALUATION OF NEWLEY COUNCIL OF COMMUNITY SERVICE (NCCS) (AS PER THE AGREED MODEL CHARACTERISTICS)

In the following, the characteristic is named followed by, in brackets, either the letter V, which represents those characteristics which an organisation much exhibit to be viable, or the letter D, which represents those characteristics which it is desirable for a CVS to exhibit. There then follows a score out of ten for NCCS's functioning with reference to that characteristics.

Accessible (D; 8/10)

Has established systems for dealing with enquiries/requests from external parties.

The location and opening hours of NCCS appear to be good - particularly with the branch in Deptley. However, the lack of access for the disabled at the main office is a serious handicap to NCCS.

Although no formal systems exist, NCCS staff feel that most queries and requests are handled promptly. However, there are no set standards and there does not appear to be sufficient record keeping to verify how queries are dealt with. No comments were made by the Executive to doubt that queries are dealt with anything but promptly.

Reliable (D; 8/10)

Can consistently meet expectations with regard to the standard of service offered to member organisations.

No formal standards of service are set and no client records are held but staff expressed a willingness to always try and help, and to seek the assistance of others if they could not help themselves.

Feedback about the quality of NCCS services is sporadic, usually via a member of the Executive. Strong positive or negative reactions seemed to be infrequent.

However, there is a clear record of achievement. NCCS is financially secure and staff turnover is low so that the cumulative experience is clear. Unfortunately, the lack of client records means that should a member of staff leave then they would take with them the knowledge about the organisations they have advised and dealt with.

Delegating (D; 8/10)

Tasks are assigned to those individuals having the experience, knowledge and interest to best perform them.

Delegation appears to operate quite effectively on an informal basis. Staff seem to be aware of each others' competencies and weaknesses and work is distributed accordingly.

Initiating (D; 7/10)

Can initiate changes in ways of working and areas of activity.

NCCS appears to be quite good at initiating new work and activity, as evidenced by their programme to deal with Care in the Community, the establishment of the Deptley branch of the CVS, public health meetings, Disabled Transport, and so on.

It is not clear whether what is being initiated by NCCS is actually that which is most appropriate for the local area, but NCCS should be congratulated for its ability to initiate projects despite staffing constraints.

Resourceful (V; 7/10)

Procuring appropriate inputs. Disposing of outputs.

Currently, NCCS appears to be strong in this area. Good, hard-working staff; lots of new technology, well used; strong funding (though work is needed to keep this secure).

NCCS has been successful in generating a substantial cash surplus through the astute handling of available funds. This has not been without significant non-financial costs, though.

The staff show a good, complementary mix of skills. There appears to be a good co-operative working spirit within the organisation.

Clearly the skills and experience of members of the Executive could be used to a greater extent. This appears to be changing with there being more use of the skills of the Executive Committee members but this will not be done in a systematic manner unless the Executive undergo some form of skills assessment.

A variety of information sources are apparently well tapped and used by the NCCS.

The wider picture of the voluntary sector as a resource does not seem to figure in the thinking of most of the staff. They seem to value NCCS by how it does things for others rather than its function as a conduit for local information and the circulation of other resources.

Self-Maintaining (V; 6/10)

Recruiting components appropriately to the organisation's needs. Socialising components into organisational roles. Having internally oriented systems for facilitating the continuing survival of the organisation.

There appears to be good, positive and friendly working relationships between staff. Trainees and volunteers seem to be assimilated well and there are few disciplinary or control problems. However, there is also a good deal of stress - partly caused by the volume of work but also, perhaps, by the current atmosphere of uncertainty generated by changes to the Executive.

There do not appear to be any formal mechanisms whereby the work of staff is appraised and rewarded. Indeed, there was some criticism of the current system of annual wage settlements and this was causing some insecurity and morale problems.

Staff meetings have recently been re-instituted. It is important that these continue in some form.

Training appears to be a problem - for both staff and Executive. There is no training budget. This is an important omission as there are clear training needs but training seems to be regarded as time away from the real job. NCCS should also consider a formal appraisal system to help identify training needs, though great care would need to be taken over its form and implementation.

Executive elections have always been contested, hence it would seem that NCCS has little trouble in securing the involvement of interested individuals in its work. However, it is not clear whether or not the most appropriate persons have been elected to the Executive or if there has been sufficient clarity about the role of an Executive Committee member and the necessary commitment required.

Communicative (V; 6/10)

Free flow of information within the CVS and between the CVS and other significant organisations.

Communication between staff is largely on an informal basis. Staff indicated that they only knew what each other was doing in the most general sense. This situation is likely to be improved by the re-institution of regular staff meetings.

Members of the Executive receive briefing papers for committee meetings and a number of the Executive keep in regular touch by visiting the main office. Hence, there appeared to be the potential for Executive members to keep in touch with NCCS, but few members of the Executive actually take advantage of this. Communication with the Executive as a whole seemed to be primarily through the General Secretary. The belief was expressed that half of the Executive were not really in touch with NCCS activities.

Links between staff and Executive need to be improved, with staff receiving much more direct feedback about their work. Executive members should take it upon themselves to informally visit NCCS, though they should not be affronted if staff are too busy to entertain them. Staff should be invited and actively encouraged to attend Executive meetings (the ability of the staff to attend Executive Committee meetings is currently hampered by them being held during NCCS opening hours).

The flow of general voluntary sector information to affiliated groups was praised. However, there seemed to be doubts about the reporting back by representatives attending working parties. Systems to ensure written feedback from working parties need to be established.

Democratic (D; 6/10)

Can encourage and use input into decision-making from all interested parties, such as staff, members, volunteers, and so on.

Staff involvement in policy making appears to be limited, although they have great flexibility in determining their detailed work programme. Indeed, as has been said, staff, other than the General Secretary, do not regularly attend meetings of the Executive.

The structures for the democratic input of member organisations seem to be in place but the active involvement of affiliates needs to be encouraged, perhaps through the establishment of a regular forum.

Bounded (V; 6/10)

Recognising the policy-making function's sphere of direct influence and acting accordingly.

Membership of the CVS is relatively low and needs to be increased. There is a lack of clarity about what actually constitutes a body eligible for affiliation - this needs to be resolved.

Links with statutory agencies seem to be reasonable, though NCCS is realistic about what actual impact it is able to have in influencing statutory bodies' decision making. However, NCCS takes seriously its role in trying to ensure that consultation between statutory agencies and the voluntary sector does at least take place.

Flexible (D; 6/10)

Willing and able to alter work priorities in the light of unpredicted events.

NCCS is certainly willing to alter priorities, though it is limited in terms of available effort. Staff felt that they needed at least one more member of staff in order to undertake new development work. However, they have been able to respond to changes thrust upon them, e.g. The Disabled Transport Scheme.

Although NCCS does seem to be flexible within a narrow brief, they do not seem to be willing to entertain different interpretations of their purpose.

Purposeful (V; 5/10)

Having a transformation. Directed toward the achievement of stated objectives.

NCCS offers a range of practical and cheap services to organisations and individuals, including desk top publishing, funding assistance, information, photocopying, printing, Public Service Announcements, assistance with CVs and so on. These services seem to be provided efficiently and well used.

The co-ordinating, liaison and policy development side of CVS work appears under-developed. Without it, NCCS is imposing narrow bounds upon itself in relation to its functions. Building up trust, in order to be effective in these wider roles, will take time.

There has not been (and, perhaps, there continues not to be) a clear agreement about the priorities of NCCS. Establishing aims and priorities should be the main area of work for the joint working party in order to plan over the medium term.

Environmentally Intelligent (V; 5/10)

Monitoring changes in the environment. Awareness of the organisation's affect upon the environment.

The environmental awareness of NCCS is one of the most important problem areas facing NCCS. There are clear indications from the new Executive that the CVS has become out of touch with the voluntary sector in the area. The relatively low affiliation rate (100/400) perhaps confirms this, as does the poor response to the recent NCCS inspired public meetings.

There appears to be relatively few formal mechanisms for ensuring that relevant information is gathered and used - no codes of practice, complaints procedures, files on queries/clients. A survey of the membership which asked what members wanted from NCCS does not appear to have been acted upon. Staff appear to make use of informal, and it might be said less reliable, mechanisms such as the grapevine and intuition for keeping up to date with changes in local voluntary sector needs.

Staff, particularly through the General Secretary, seemed well informed about national voluntary sector issues.

A good deal of informal contact with the voluntary sector is maintained through the Executive Committee. NCCS is well represented on local working parties involving the statutory sector. However, comments were made about the breakdown of mechanisms to ensure that feedback from working parties reach the relevant groups or individuals.

Contact with other local CVS seemed reasonable, although NCCS perceives itself to be more pragmatic than many other CVS.

Steps appear to be underway to improve the affiliation rate and representation to the local voluntary sector. There are necessary, though the staff and Executive of NCCS do need to clarify and agree membership rules. More formal mechanisms need to be established to maintain contact and gather local voluntary sector information - the Executive have an important role to play in this and the effort to develop clearer links with affiliated bodies. Perhaps a forum for affiliates, meeting on a quarterly basis, might be established.

Controlled on a Day-to-Day Basis (V; 5/10)

Translating policy into a co-ordinated work-plan covering the whole of the organisation. Having the work-plan implemented. Receiving feedback/auditing information on the operations of components. Revising work-plans in the light of feedback information. Having the ability to directly influence the operations of components. Establishing job specifications and general standards of procedure.

No formal work-plans are produced, rather people maintain plans in their own heads. This style of working is in line with the General Secretary's hands-off style of management. There appears to be a distinct lack of feedback mechanisms to ensure that work is actually being done. However, the General Secretary's willingness to trust his staff may be seen as a strength of the organisation. Staff have a fair degree of autonomy in organising their own work, although the General Secretary keeps in close contact with individual members of staff and is able to direct as necessary.

Recursive (V; 5/10)

Having components which are themselves viable systems and are able to act appropriately to the organisation without direct control from the organisation itself.

Members of staff appear to have a fair degree of autonomy within the organisation and a high degree of discretion in how they approach their work; this seems to work well. The ability of staff to get on with their work frees the General Secretary from continuously monitoring their activities and enables him to get on with other tasks, thus increasing the overall output of the organisation.

Developing (D; 5/10)

Can encourage and provide opportunities for the development of staff, membership and CVS activities.

There is no training programme for either staff or Executive. Several training areas were identified. Staff felt that they would benefit for training in computing and management skills, whilst the Executive wanted training on management, voluntary sector issues and 'what is a CVS'. However, despite lack of formal training, staff felt that they undertook a variety of work and had the opportunity to learn new skills.

Activities in terms of development and training for local groups seemed limited. This was largely because of lack of effort (priorities?) since a number of development/training areas were identified - finance, contracting, Care in the Community.

Consideration might be given to the employment of an additional member of staff to allow further out-reach and development work.

Professional (D; 5/10)

Encourages good practice in the way in which staff and Executive members represent the CVS.

There is no co-ordinated attempt to promote good practice, particularly by the Executive. Staff felt that the onus was on them to promote the good image of NCCS rather than on the Executive.

Focused (D; 4/10)

Organisational philosophy and directives are understood and respected by everyone involved with the CVS.

Both staff and Executive feel that there is a broad understanding of what NCCS is about. However, this is not exhibited in any formal sense - no code of practice, lack of knowledge of the mission statement, and so on.

Self-Representing (V; 4/10)

Maintaining and furthering favourable relationships with environmental components.

Representation and accountability to the local voluntary sector are poor - with some Executive members admitting that they are not actually accountable to the wider membership.

NCCS does not promote itself to any great extent, though the Deptley branch does produce a weekly column in the local paper.

NCCS needs to promote itself more consciously and actively. This may in part be achieved by publicising more clearly what it currently does (it was not clear that even Executive members were aware of the range of activities and achievements), by recruiting members more widely and by using members of the Executive Committee more actively. It was not clear whether the majority of Executive members were actually asked to do anything or whether they were relied upon to 'put themselves forward' but, clearly, they represent an under-utilised resource.

Mutual (D; 4/10)

Ability to appreciate the position of other organisations and support them appropriately.

The CVS has taken the lead in a number of areas and attempts to act as a focus for voluntary sector input into various statutory sector activities.

It appears that the employment of NCCS funds has had repercussions on the relationship between NCCS and (some) voluntary sector groups. Disagreements were also evident about the type of organisations that NCCS should support. NCCS needs to make clear policy in these areas and to be more aware of the wider implications of future associations.

Credible (D; 3/10)

Ability to develop and sustain a positive name in the local community.

It seems that there is a great deal of doubt about NCCS's reputation within the local voluntary sector. A membership of 100 voluntary groups out of a possible 400 and references to an alternative voluntary sector umbrella organisation seem to confirm this doubt.

However, NCCS would now appear to have the ABILITY to develop and sustain a positive for itself.

Controlled by the Executive Committee (V; 3/10)

Executive Committee can take informed decisions about CVS policy and practice and see evidence of their implementation.

The recent changes in the Executive should ensure that the Executive Committee will be adequately informed. It appears that there is doubt over whether the Executive have been fully informed in the past about significant issues. Past problems this may be overcome by more members of the Executive taking the initiative, actively seeking out information for themselves and carefully reading the information which is passed on to them by NCCS.

There is a system of sub-committees which appear to do much of the detailed work of the Executive but the majority of the Executive appear to accept what is put in front of them. Whilst the General Secretary is trusted and respected, there is a feeling that in the past the majority of the Executive have, unquestioningly, followed his advice.

The changing level of input by the Executive needs to be handled carefully so that the current good working atmosphere and co-operation between staff is not dissipated.

Policy-Making (V; 3/10)

Planning the organisation's role in the light of information about the organisation and the environment. Having the ability to reappraise and recognise the organisation's strengths and weaknesses.

Both staff and Executive feel that, in theory, it is the responsibility of the Executive Committee to make policy. The impression is that, until recently, the Executive were not highly active in making a coherent overall policy for NCCS and this is borne out in the way in which the mission statement was formulated, i.e. by a student on placement, at the instigation of the General Secretary. Although it does appear that important policy decisions were taken in the past, it is believed that they largely reflected individual Executive member's concerns and interests.

Whilst it is held that it is the Executive Committee's job to decide policy and the staff's job to implement it, in practice this appears to be unrealistic. It was said that, on most issues, the advice of the General Secretary would be accepted by the Executive. However, there still needs to be a clearly defined process of consultation between staff and Executive in the making of policy decisions.

It appears to be a staff held belief that policy is rarely relevant to their day-to-day work. The staff's clear belief in 'getting on and doing the job' calls in to question how much actual heed they pay to the policy decisions of the Executive. Perhaps the staff's attitude is that of 'whilst the Executive are making policy they leave us alone'.

There is a clear lack of an agreed 3/4 year plan for NCCS. A joint working party, involving staff and Executive, should be established to develop medium term plans

for NCCS. It is important that it is a joint working party to allow the concerns of both groups to be expressed, to ensure continuity and to use the experience and strengths that both groups could bring. It would also provide an opportunity for both groups to work together closely and to build the trust and confidence which will be necessary for such a plan to be successfully implemented.

ORGANISATIONAL OVERVIEW FROM THE PERSPECTIVE OF EXPERT I

NCCS has a number of tremendous strengths: in particular, experienced and committed staff, substantial financial reserves and a newly elected Executive Committee with energy and commitment. It operates, largely successfully, with an informal managerial style, with staff being allowed substantial day to day control, which seems to compensate for the pressures of the workload, lack of formal training and career development within NCCS. However, the lack of formal communication and reporting procedures throughout NCCS has contributed to the uncertainty and apprehension noted. It is not clear how well NCCS would operate without the good internal staff relations which exist. The move to re-establish staff meetings is welcome.

NCCS provides a number of practical services to individuals and groups including information sheets, printing and desk-top publishing. In the past, it has assisted in a number of fund-raising projects. NCCS has organised a series of meetings to facilitate the public consultation process and NCCS has also been represented on various working parties with statutory sector bodies. The Deptley branch contributes a column to the local paper.

However, there is a lack of clarity about NCCS priorities. The lack of clarity may, in fact, be an expression of a change in priorities following the election of the new Executive Committee. This confusion is compounded by a lack of medium term (3 to 4 years) planning. In the past, decisions have been based on short term considerations without a full analysis of any longer term implications.

Whilst the astute investment of NCCS funds has given it significant financial strength, it has, to a certain extent, soured the relationship between NCCS and (some of) the local voluntary sector.

NCCS needs to generate a higher profile and repair links with the wider voluntary sector in Newley, otherwise it is likely to continue to find it difficult to co-ordinate the voluntary sector response to issues - recognised as a difficult task at any time.

The input of the Executive Committee, until recently, seems to have been fairly limited. Obviously, this is not uncommon within CVS or the voluntary sector in general. However, it has meant that NCCS's relationship with the local voluntary sector is significantly weaker than it should be. There is a lack of awareness about what is expected of members of the Executive and a lack of training opportunities - for both Executive members and staff.

As noted above, the increasing involvement of the new Executive Committee has contributed to uncertainty and apprehension about the future. There is a need to build a closer working relationship and trust between staff and Executive Committee. This can best be achieved through joint working between staff and members of the Executive, as well as training in management, finance and CVS issues.

The major practical decision facing NCCS is what to do with its financial reserves. In making this decision, NCCS will need to address the crucial issue of what its priorities are. Any decision will have a substantial impact on both the range of activities which

can be undertaken and the long-term security of NCCS and its staff. Therefore, it is important that the issues are thoroughly investigated and that the consequences for all parties are considered. Consideration of this issue should allow the ideal opportunity for joint work between staff and Executive Committee - it is vital that both groups are actively involved. It may be necessary to consider some training or facilitation in group work before undertaking this task.

Clearly, it is a time of change for NCCS and it is difficult to disentangle what is, has and should change and, certainly, it is too early to assess the impact of any changes. This process of change has led to a great deal of apprehension about the future and strained relationships between staff and Executive Committee. Now is a time for building bridges - not burning them.

ORGANISATIONAL OVERVIEW FROM THE PERSPECTIVE OF EXPERT II

NCCS has a lot going for it: lively, interested, committed staff; an Executive Committee of great variety and encompassing much knowledge; reasonable financial resources; a good track record in specific sorts of service delivery; some good project development. It is, nonetheless, a very lop-sided organisation: limited development of any role in liaison in the voluntary sector, in the growth of new, independent services , or in policy development. Some forays into these areas have clearly been made with some success and some acknowledged failures. The failures can be attributed to at least three factors.

The first - simple lack of experience.

The second, NCCS's apparent unwillingness, at present, to 'talk', plan a strategy, and very consciously see it through - analysing the effectiveness of every step taken, repeating steps where necessary, and learning from mistakes rather than just being thrown off course by them. The skills are present within the staff and Executive Committee to do this.

The third is a more intractable problem and relates to the poor image of NCCS, as a result of its recent history which means that it is seen as a project-based, resource-hungry body, servicing its own, very specific, needs. It will take great effort to counteract this and the current preoccupation with the tangible service delivery will make it all the harder. Service provision should a jumping off point not a definitive, delimiting factor.

The Deptley base, if activity is seen to be sustained and consistent, seems to cover a wide range of tasks, functions and methods, albeit at a local level. This sort of approach shows how NCCS could turn itself round to create a new image overall.

To sustain the work of NCCS, a close, open and trusting relationship is needed between staff and Executive Committee members. The small number of Executive members present at the evaluation was a disturbing feature of the day.

The, apparently, comfortable staff team masks an unwillingness to take risks, bring in new approaches, and accommodate differences. It also, clearly, leaves some staff believing themselves as limited to functioning well in this particular team and does not enable an understanding of the skills being used and their transferability. Despite expressed 'cosiness' there seem to be some fairly obvious stresses on staff which need to be addressed.

The initiative for change appears to lie with the Executive Committee and new blood promises much. Establishing (internally and externally) the validity of a new approach

is, however, essential. This involves laying down foundations and systems, not to hamper the CVS but to ensure it does not lose its place in the local voluntary sector, now or in the future, and to make it a more controlled, mature and systematic organisation whose views are respected and heard and which can promote the voluntary sector locally from a point of strength.

The pervading philosophy seems to be to denigrate time spent 'running the organisation' rather than 'doing the work'; a better balance between these activities is essential if the organisation's resources are to be fully used.

SUMMARY OF RECOMMENDATIONS

- A joint working party of staff and Executive Committee members should be established to draw up a 3/4 year plan for NCCS. This will need to address questions of structure, priorities, evaluation, use of the financial reserve and membership qualifications.

- Consideration should be given to the establishment of a quarterly forum for affiliates or, alternatively, the holding of regular community lunches to discuss NCCS activities.

- Consideration (within the 3/4 year plan) to the appointment of an additional worker to allow greater out-reach and development work. The employment of such a person should facilitate more grass roots work with local groups as well as providing another liaison worker for NCCS.

- The establishment of more formal reporting procedures for representatives on working parties.

- Re-establishment of regular staff meetings.

- Establishment of a training budget for both staff and Executive. Training should focus on staff and Executive development in the areas of committee skills (which might facilitate the involvement of more staff in liaison and representation activities as a well as serving to improve the staff and Executive relationship through improved clarity about each other's role) and marketing.

- Consideration should be given to the development of a staff appraisal scheme which is sensitive to apprehension about security and fairness. Such a scheme might provide a basis for the specification of training needs.

- Increased promotion and publicity of NCCS activities, facilitated by staff training in this area. The possibility of a weekly column in the local press for NCCS should be looked into.

- More use of the voluntary sector as a resource. NCCS should tap into the expert knowledge that is present within many voluntary organisations.

- The development of recording systems for queries and clients.

NETHERHALL VOLUNTARY ACTION (NVA)

EVALUATION QUESTIONNAIRE (JULY 1991)

A.   How important are our current activities?

The following list details work that has been agreed by the Netherhall Voluntary Action (NVA) Executive for the NVA Central Resources Team work programme for 1991/1992. Please tick the relevant box to indicate how important you believe each of these activities to be.

		Very Important	Important	Not So Important	Unimportant
1.	Maintaining a database of local voluntary organisations.	☐	☐	☐	☐
2.	Publishing and updating a directory of local voluntary organisations.	☐	☐	☐	☐
3,	Producing and distributing the newsletter.	☐	☐	☐	☐
4.	Providing a mailing service.	☐	☐	☐	☐
5.	Providing free information, advice and consultancy on the development and maintenance of voluntary organisations.	☐	☐	☐	☐
6.	Helping voluntary organisations with their constitutions and organisational structures.	☐	☐	☐	☐
7.	Giving information and advice on funding and grant applications.	☐	☐	☐	☐
8.	Giving information and advice on training courses, trainers and consultants.	☐	☐	☐	☐
9.	Providing photocopying/ duplicating/graphics services.	☐	☐	☐	☐
10.	Supporting the development of new groups.	☐	☐	☐	☐
11.	Organising training courses for staff and committee members.	☐	☐	☐	☐

12. Supporting the development of a voluntary sector TEC network. ☐ ☐ ☐ ☐

13. Supporting the development of networks in the voluntary youth service. ☐ ☐ ☐ ☐

14. Supporting the Voluntary Sector Community Care Forum. ☐ ☐ ☐ ☐

15. Supporting the voluntary sector reps. involved in statutory bodies committees and working groups. ☐ ☐ ☐ ☐

16. Organising meetings to share information and enable voluntary organisations to express their views collectively. ☐ ☐ ☐ ☐

17. Seeking to ensure that the views of the voluntary sector are heard and responded to. ☐ ☐ ☐ ☐

18. Promoting equality of opportunity and actively combating oppression. ☐ ☐ ☐ ☐

19. Are there any other activities which you think NVA should be involved in? Please detail:

_____
_____
_____
_____
_____

B. How well do we conduct our work?

The following list details the major areas of NVA work. Please tick the relevant box to indicate how well you believe NVA is operating in relation to each of these activities.

		Very well	Well	Not So well	Not at all well
1.	Giving information and advice on voluntary sector training courses, trainers and consultants.	☐	☐	☐	☐
2.	Organising training courses for NVA staff and Executive members.	☐	☐	☐	☐
3.	Providing a mailing service.	☐	☐	☐	☐

4. Organising meetings to share information and enable voluntary organisations to express their views collectively. □ □ □ □

5. Promoting equality of opportunity and actively combating oppression. □ □ □ □

6. Producing and distributing the newsletter. □ □ □ □

7. Giving information and advice on funding and grant applications. □ □ □ □

8. Supporting the development of new groups. □ □ □ □

9. Supporting the Voluntary Sector Community Care Forum. □ □ □ □

10. Publishing and updating a directory of local voluntary organisations. □ □ □ □

11. Seeking to ensure that the views of the voluntary sector are heard and responded to. □ □ □ □

12. Providing free information, advice and consultancy on the development and maintenance of voluntary organisations. □ □ □ □

13. Maintaining a database of local voluntary organisations. □ □ □ □

14. Helping voluntary organisations with their constitutions and organisational structures. □ □ □ □

15. Supporting the voluntary sector reps. involved in statutory bodies committees and working groups. □ □ □ □

16. Providing photocopying/ duplicating/graphics services. □ □ □ □

17. Supporting the development of a voluntary sector TEC network. □ □ □ □

18. Supporting the development of networks in the voluntary youth service. □ □ □ □

19. Given NVA's available resources, in what ways could NVA increase its efficiency and effectiveness?

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_____
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THANK YOU FOR YOUR TIME AND CONSIDERATION IN COMPLETING AND
RETURNING THIS QUESTIONNAIRE.

CENTRAL RESOURCES TEAM

QUESTIONNAIRE/STAFF TIME - COMPARISON OF RESULTS
(August 1991)

Written Information (13.7% of total time May and June)

	VI	I	NSI	U	V W	W	NSW	NWAA
Directory	58%	42%	0%	0%	28%	44%	28%	0%
Newsletter	50%	38%	11%	0%	54%	32%	14%	0%
Training Information	31%	42%	27%	0%	30%	60%	10%	0%

Advice and Consultancy (8.3% of total time May and June)

	VI	I	NSI	U	V W	W	NSW	NWAA
Providing information	46%	54%	0%	0%	30%	40%	25%	5%
Help with constitutions	31%	42%	23%	4%	11%	56%	33%	0%
Funding advice	54%	31%	11%	4%	10%	70%	20%	0%

Networks (8.2% of total time May and June)

	VI	I	NSI	U	V W	W	NSW	NWAA
TEC	17%	48%	35%	0%	7%	67%	27%	0%
Voluntary youth service	27%	46%	23%	4%	6%	63%	27%	0%
Community Care Forum	31%	35%	35%	0%	17%	72%	11%	0%
Support of VS reps.	23%	46%	31%	0%	18%	65%	18%	0%

Information Systems (7.6% of total time May and June)

	VI	I	NSI	U	V W	W	NSW	NWAA
Database of VOs	81%	19%	0%	0%	25%	70%	5%	0%

Events (6.2% of total time May and June)

	VI	I	NSI	U	V W	W	NSW	NWAA
Internal NVA training	28%	44%	28%	0%	31%	61%	8%	0%
VS meetings	38%	50%	11%	0%	33%	43%	19%	5%

North Etherton Council for Voluntary Service
Time-Sheet

Name: _____

Date: _____

	Mon	Tue	Wed	Thur	Fri	S/S	Total
Advice							
AGM/annual report							
Attending meetings with vol orgns							
Attending meetings with stats							
Attending training courses							
Community lunches							
Evaluation							
Executive Committee							
Financial admin							
Forward planning							
Funding							
Information							
Meetings with individuals							
County/nat & reg meetings of CVS							
Membership/council							
NACVS Executive							
Newsletter							
Office admin							
Office services for vols							
Premises matters							
Promotion/liaison							
Reading/research							
Reception - CVS							
Reception - others							
Staff meets/liaison							
Staff training							
Telephone enquiries - CVS							
Telephone enquiries - others							

NORTH ETHERTON COUNCIL FOR VOLUNTARY SERVICE

A VOLUNTARY ORGANISATION AND REGISTERED CHARITY WITH A MEMBERSHIP OF VOLUNTARY ORGANISATIONS. WE AIM:

- TO DEVELOP VOLUNTARY EFFORT

  We are well placed to bring statutory and voluntary groups together. In touch with national networks, we can relay new developments and opportunities available to local groups and reflect their experiences. Our overview helps us to identify new needs, to alert local groups to them or to initiate new activities.

- TO SHARE RESOURCES

  It makes sense to share scarce resources, from books to meeting rooms, from transport to photocopiers. We can attempt to match resources with needs, cutting costs and improving efficiency.

- TO WORK IN HARMONY

  Part of our work is to bring voluntary groups, statutory agencies and other concerned people together to share knowledge, engage in collective action when appropriate and so respond more coherently to the community's needs.

- TO REPRESENT A COLLECTIVE VIEW

  From time to time it is necessary for voluntary organisations to make their views known collectively or to act together on an issue. In such instances, the CVS can do all it can to help interested groups to come together. It can open channels to enable genuine communication to take place.

From your experience

HOW WELL ARE WE WORKING?

The CVS covers a wide geographical area. Is the CVS helping voluntary groups in . .

YOUR AREA

	Very well	Well	Not So Well	Not At All Well
Togleton Area				
Linton Marsh				
Pottering				
Garglesworth				

Part of CVS work is to start to help new organisations to form. Also to assist groups to develop new activities as needs and policies change. How well do we assist development?

NEW GROUPS

	Very well	Well	Not So Well	Not At All Well
By providing info				
Helping to establish principles				
Identifying training needs				
Research				
Providing local links				
Providing national links				
Suggesting sources of funds				

The CVS offers support to all voluntary organisations. How well do you feel the CVS provides support services in these ways?

NEW GROUPS

	Very well	Well	Not So Well	Not At All Well
Advice and info				
Office services				
Attending meetings				
Community lunches				
Directory of orgns				
Newsletter				
Training				
Service to tenants				

Are there other support services you feel the CVS should provide?

_____

_____

The CVS has a role to improve links between statutory and voluntary organisations as well as representation of the voluntary sector. How successful do you see our links with these?

LINKS

	Very well	Well	Not So Well	Not At All Well
Health Authority				
Social Services				
District Councils				
Community Health Council				
Others (name)				

_____

The CVS aims to support voluntary groups involved in many kinds of work to help them succeed. How successful are we In your experience with groups working in these fields?

WHO BENEFITS

	Very well	Well	Not So Well	Not At All Well
Advice and info				
Aids/HIV				
Carers				
Chronically ill people				
Disadvantaged people				
Environmental matters				
Families/children				
Homeless people				
Isolated people				
People with learning difficulties				
Lone parents				
People with mental health problems				
Offenders				
People with physical problems				
Self-help				
Unemployed people				
Women				
Young people				

All organisations need to tell people of the services they offer in order to reach those they exist to help. How well does the CVS publicise itself through these?

OURSELVES

	Very well	Well	Not So Well	Not At All Well
AGM/annual report				
Executive meeting				
Press publicity				
Exhibitions				
Participation in meetings				
Providing speakers				

QUESTIONNAIRE ANALYSIS (DECEMBER 1991)

Number of questionnaires sent out - 500.

Number of questionnaires return - 29 (6%).

Is the CVS helping voluntary groups in . . .

	Very Well		Well		Not So Well		Not At All Well	
Torr Area	3	(33%)	4	(44%)	2	(22%)		
Bodeford	4	(36%)	6	(55%)	1	(9%)		
Thurnlow	1	(17%)	4	(66%)	1	(17%)		
Holswar	1	(20%)			2	(40%)	2	(40%)
North Etherton	5	(45%)	6	(55%)				
Stapley	8	(50%)	8	(50%)				
Fracomb	1	(8%)	8	(67%)	3	(25%)		
Braunhill	1	(9%)	6	(54%) ·	3	(27%)	1	(9%)
South Icks			2	(29%)	3	(43%)	2	(29%)
Lynlow			1	(17%)	2	(33%)	3	(50%)

How well does the CVS assist development?

	Very Well		Well		Not So Well		Not At All Well	
By Providing information	16	(64%)	9	(36%)				
Helping to establish principles	7	(44%)	8	(50%)	1	(6%)		
Identifying training needs	4	(28%)	6	(43%)	4	(28%)		
Research	2	(17%)	7	(58%)	3	(25%)		
Providing links locally	10	(40%)	15	(60%)				
Providing links nationally	4	(12%)	5	(42%)	3	(25%)		
Suggesting sources of funds	9	(41%)	12	(54%)	1	(5%)		

How successful do you see the CVS's links with these agencies?

	Very Good		Well		Not So Good		Not At All Good	
Health Authority	6	(30%)	11	((55)	3	(15%)		
Social Services	6	(29%)	12	(57%)	3	(14%)		
District Councils	4	(29%)	5	(36%)	3	(21%)	2	(14%)
Community Health Council	4	(27%)	9	(60%)	2	(13%)		

Links with others?

- Schools/colleges/parish councils (not at all good).
- NACVS (very well).
- Adult Based Education (good), adult education (don't know).
- Volunteer Bureau (good).
- Parish councils (good).

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How successful are the CVS, in your experience, with groups working in these fields?

	Very Good		Well		Not So Good		Not At All Good	
Advice & Information	13	(65%)	7	(35%)				
Aids/HIV	6	(100%)						
Carers	8	(50%)	8	(50%)				
Chronically Ill People	2	(33%)	3	(50%)	1	(17%)		
Disadvantaged People	2	(18%)	6	(55%)	3	(27%)		
Environmental Matters			4	(40%)	5	(50%)	1	(10%)
Elderly People	8	(44%)	10	(56%)				
Families/Children	4	(44%)	4	(44%)	1	(11%)		
Homeless People	3	(37%)	1	(13%)	4	(50%)		
Isolated People	1	(10%)	4	(40%)	4	(40%)	1	(10%)
People with Learning Difficulties	2	(29%)	3	(43%)	1	(14%)	1	(14%)
Lone Parents	1	(17%)	2	(33%)	3	(50%)		
People with Mental Health Problems	2	(25%)	4	(50%)	2	(25%)		
Offenders			1	(17%)	3	(50%)	2	(33%)
People with Physical Problems	3	(30%)	7	(70%)				
Self-help	1	(12%)	4	(50%)	3	(38%)		
Unemployed People	1	(17%)	2	(33%)	2	(33%)	1	(17%)
Women	1	(20%)	3	(60%)	1	(20%)		
Young People			4	(67%)	1	(17%)	1	(17%)

Whom are we overlooking?

- Don't know doesn't really answer the question. Perhaps more detailed reports to the Executive would have enabled me to answer more adequately.
- No-one.
- None I can think of.

How well do you feel the CVS provides support services in these ways?

	Very Good		Well		Not So Good		Not At All Good	
Advice	15	(68%)	7	(32%)				
Information	19	(76%)	6	(24%)				
Secretarial Help	11	(79%)	3	(21%)				
Attending Meetings	10	(67%)	5	(33%)				
Community Lunches	9	(56%)	6	(37%)	1	(6%)		
Directory of Organisations	12	(57%)	6	(29%)	2	(9%)	1	(5%)
Enquiries	16	(76%)	5	(24%)				
Economic Supplies	9	(64%)	5	(36%)				
Reception	11	(73%)	4	(27%)				
Membership	4	(36%)	6	(54%)	1	(9%)		
Newsletter	20	(87%)	3	(13%)				
Community Care Forum	10	(67%)	5	(33%)				
CVS Council Meetings	8	(53%)	5	(33%)	2	(13%)		
Training	4	(28%)	6	(43%)	4	(28%)		
Services to Tenants	4	(80%)	1	(20%)				

Are there other support services you feel the CVS should provide?

- Legal advice/service.
- Possible scope to develop training opportunities.
- Placing volunteers.
- All well covered by you.

How well does the CVS publicise itself through . . .

	Very Good		Well		Not So Good		Not At All Good	
Annual General Meeting	9	(45%0	7	(35%)	4	(20%)		
Annual Report	10	(53%)	7	(37%)	2	(10%)		
Executive Committee	5	(42%)	4	(33%)	1	(8%)	2	(17%)
Press Publicity	1	(6%)	3	(18%)	10	(59%)	3	(18%)
Exhibitions	4	(29%)	3	(21%)	6	(43%)	1	(7%)
CVS Office	14	(64%)	8	(36%)				
Participation in Meetings	6	(40%)	9	(60%)				
Providing Speakers	6	(55%)	3	(27%)	2	(18%)		

- CVS leaflets (very well).

How would you describe the CVS?

- A first class service.
- An advice or coordinating body for lay people trying to run a voluntary organisation on a professional basis.
- An independent agency giving services to voluntary organisations.
- Information service.
- A knowledgeable resource, easily available.
- Forum for very different organisations, still developing its own identity.
- A voluntary organisation which aims to aid, support and promote all charities and voluntary organisations.
- A professional support service for voluntary groups.
- An organisation to enable many sections of the community to have valuable experience and information.
- A useful organisation but the publicity is low-key in its role in the community.
- Very helpful.
- An organisation which can stimulate and initiate groups or individuals to help themselves provide coordinated service to people requiring help.
- A central resource for many of the needs of smaller voluntary organisations.
- An organisation linking voluntary organisations together, giving advice and information.
- Efficient/excellent organisation and staff. You do all the spade work.
- A supportive and information body.
- An umbrella organisation to promote and support voluntary agencies, to assist new groups in becoming established. A voluntary organisation's self-help group.
- A facilitator, development agent.
- A useful and important contact that provides essential information and updated.
- Excellent.

How do you feel the CVS should change?

- By way of covering the rural areas like Holswar.
- I don't.
- Produce a development plan which will incorporate all or any new ideas appropriate to CVS work.

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- Greater marketing.
- No change needed very well organised.
- By participation In open-days, women's days (organised In local areas) with stalls, etc.
- Stronger promotional role.
- Smaller committee. Greater publicity (??) by way of talks, Information to parish councils.
- Perhaps a better explanation of all ways you help at the introduction, ie. telling any Interested parties all the services and help you can provide.
- Don't feel qualified to say.
- More support from Its executive committee would benefit the CVS and Its clients greatly.
- It seems to be on the right track to me. It seems difficult to decide how it should change until we know how the future Community Care Plans will affect voluntary organisations.
- I do not think that it needs to. It is giving a good service. If voluntary organisations do not take advantage of the service available, that is their problem!
- Just keep up the good work. However this is just like filling in exam papers!!!
- Higher public profile to the man in the street not only organisations. I am amazed at what I don't know about CVS, if you could fill in on my 'don't knows' I would be happy to know.
- Generally no overall need. Possibly needs to publicise itself more in a wider context and speak on behalf of many small groups who need a voice. If you really are a "chamber of commerce" type organisation possibly need to act more as a forum.

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Management:
AGM/Annual Report
Evaluation
Executive Committee
Finance Administration
Forward Planning
Office Administration
Premises Matters
Reading/Research
Reception
Staff Training
Telephone Enquiries (Support/Development)

Support:
Advice (Development?)
Attending Meetings with VOs (Development/Liaison?)
Funding (Development?)
Information (Development?)
Newsletter
Office Services for VOs
Organising Meetings for VOs
Reception for Others
Staff Meetings/Liaison (Management if internal CVS matter being discussed?)
Telephone Enquiries for Others

Liaison:
Community Lunches
NACVS Executive
Promotion/Liaison

Other
Attending Meetings with Statutory
Agencies (Liaison/Representation?)
Attending Training Courses (Management?)
County/National/Regional Meetings of CVS (Liaison)
CVS (Liaison)
Meetings with Individuals (Development)
Membership/Council (Management?)

NORTH ETHERTON CVS

STAFF TIME ANALYSIS FOR JUNE 1991

MANAGEMENT

SUPPORT

LIAISON

REPRESENTATION
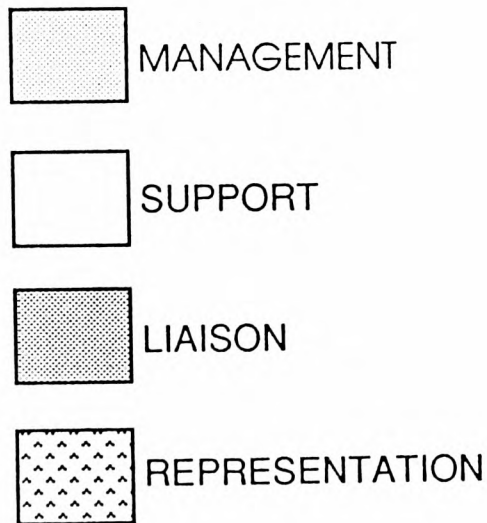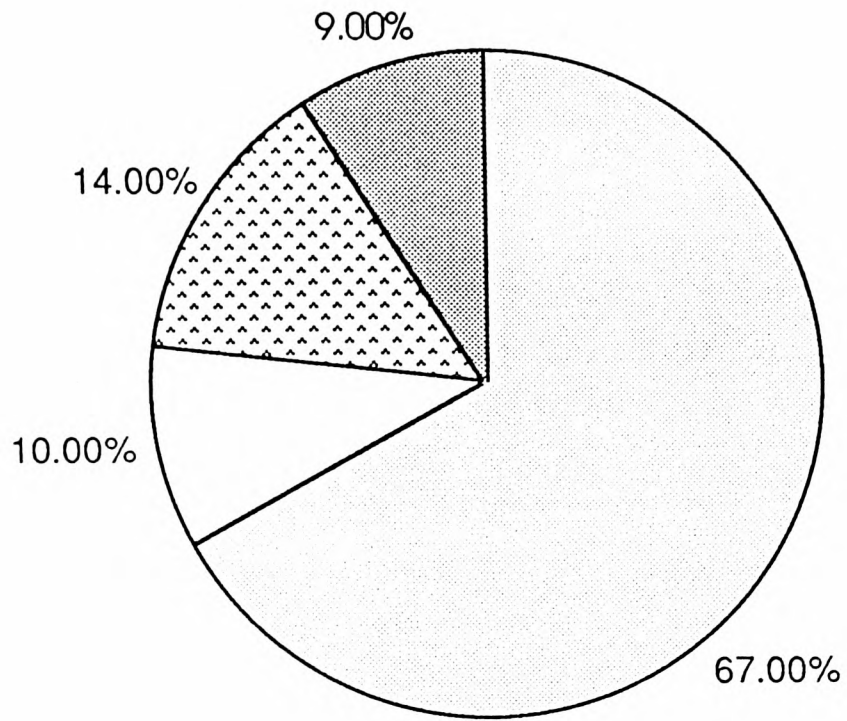
NORTH ETHERTON CVS

STAFF TIME ANALYSIS FOR JULY 1991

3.00%
2.00%
30.00%
65.00%

- MANAGEMENT
- SUPPORT
- LIAISON
- OTHER
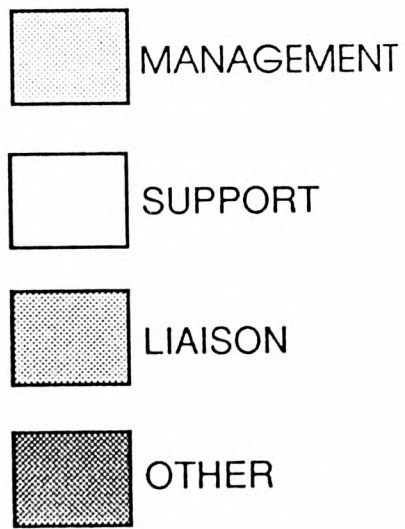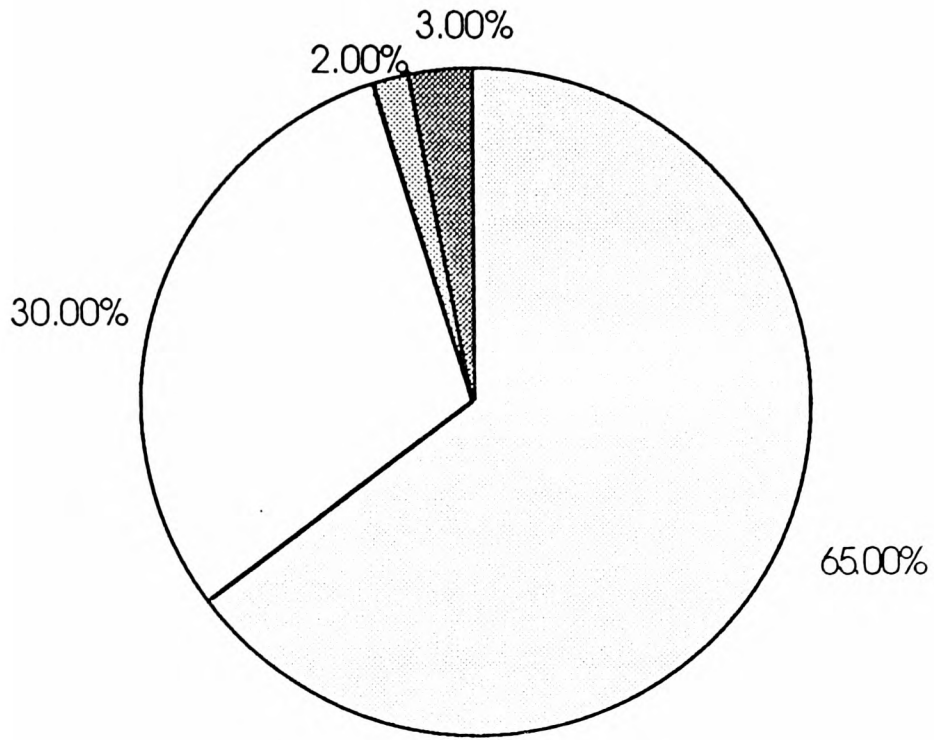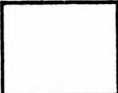
NORTH ETHERTON CVS

STAFF TIME ANALYSIS FOR AUGUST 1991

MANAGEMENT

SUPPORT
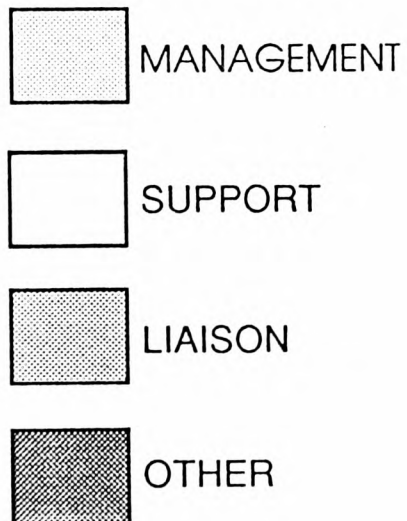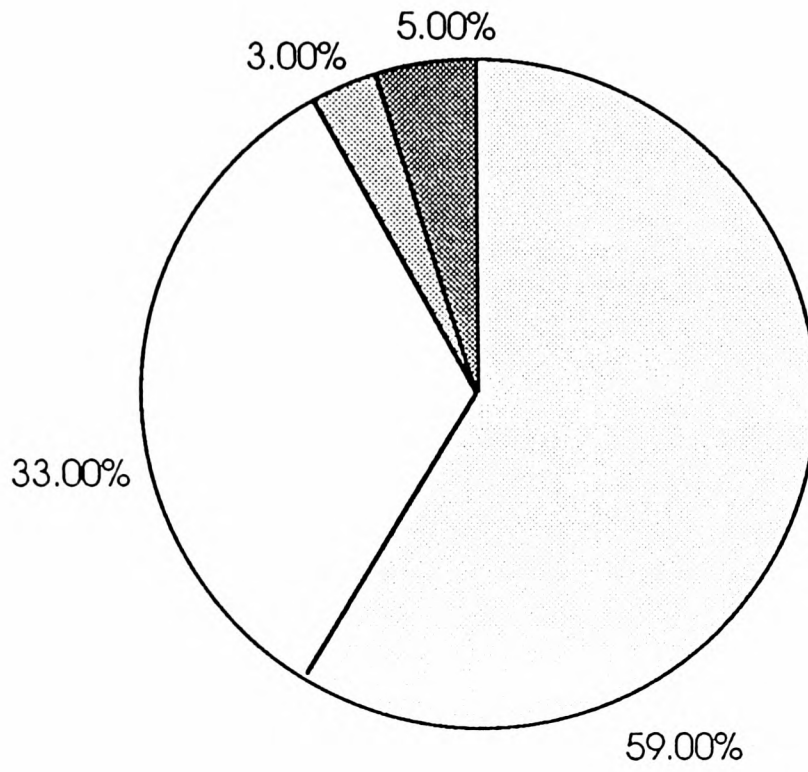
LIAISON

OTHER

NORTH ETHERTON CVS

STAFF TIME ANALYSIS FOR SEPTEMBER 1991
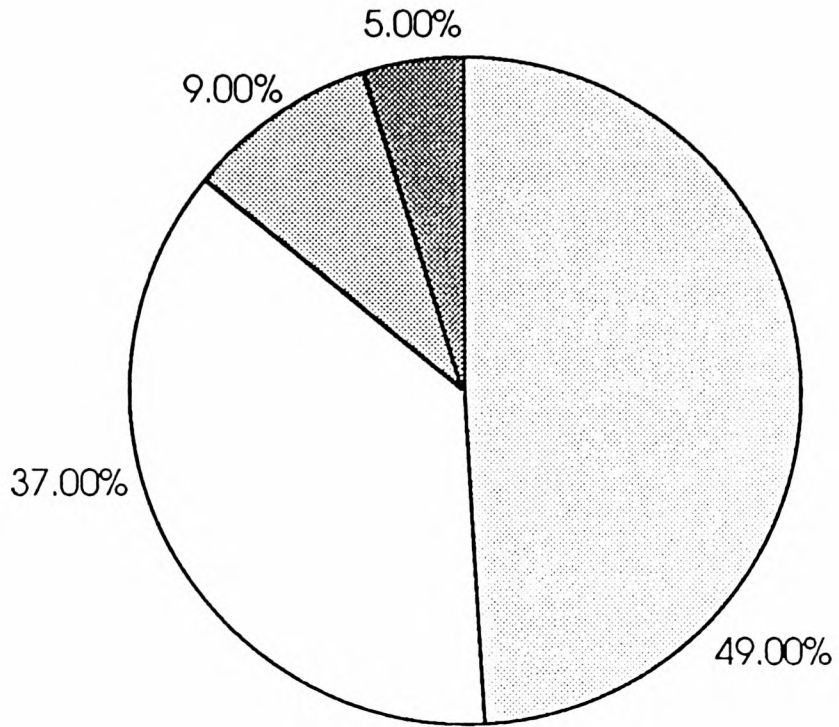
MANAGEMENT

SUPPORT

LIAISON

OTHER

NORTH ETHERTON CVS

STAFF TIME ANALYSIS FOR OCTOBER 1991

7.00%

7.00%

25.00%

61.00%

☐ MANAGEMENT

☐ SUPPORT

☐ LIAISON

☐ OTHER
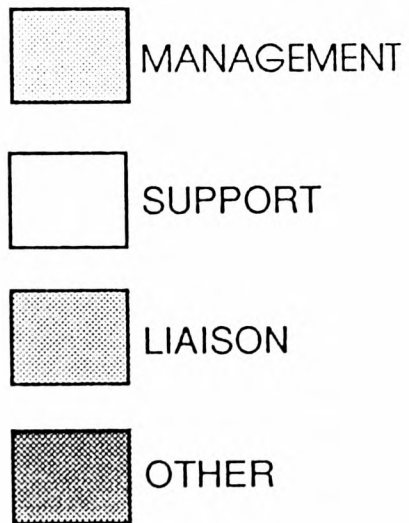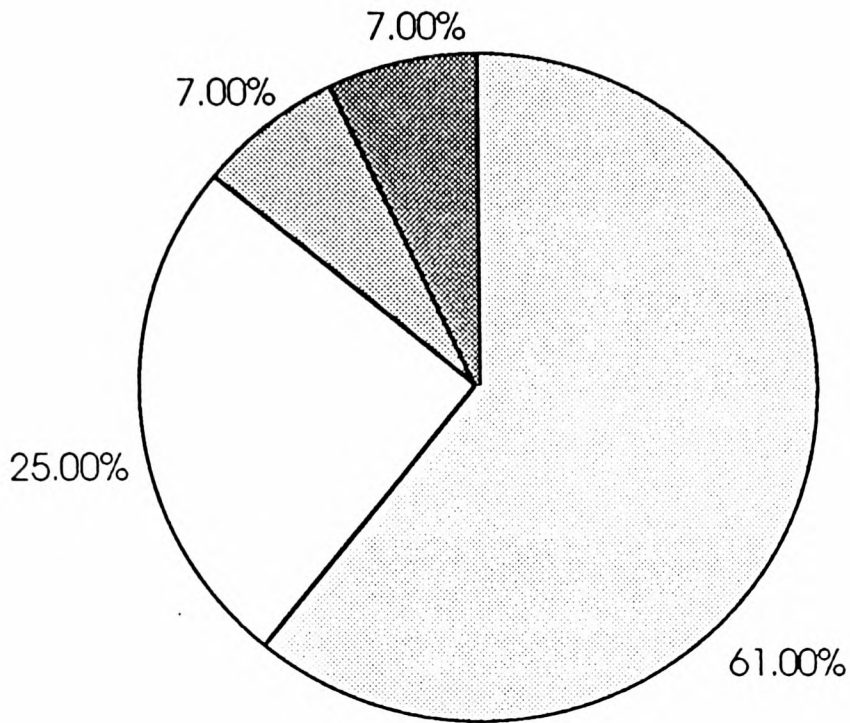
CULTURE BASED EVALUATION

Self Survey

On the following pages you will find 120 statements of strength that you feel you may or may not have. Read each statement carefully. If you feel that statement the statement true of yourself then mark an 'X' in the appropriate numbered square on the answer grid sheet. Be as honest in answering as possible. You have 15 minutes to complete this exercise.

1. I cope well with the pressures inherent in my work.
2. My stand on important issues of principle is clear to me.
3. When important decisions about my life must be made, I act decisively.
4. I put considerable effort into developing myself.
5. I am prepared to order my work according to other peoples' schedules.
6. I am able to resolve problems effectively.
7. I often experiment and try new ideas.
8. My views are usually taken into account by my colleagues and I often affect their decision-making.
9. I am clear about the principles that underlie my relationships with others.
10. I find little difficulty in ensuring that those individuals whom I influence act effectively and efficiently.
11. I consider myself to be a good example to others.
12. When asked to chair or lead a meeting, I do so well.
13. I sometimes feel in poor physical health.
14. I rarely ask other people to comment on my basic approach to life and work.
15. I would have difficulty telling someone what I want to do with my life if asked.
16. I do not act as if I have large potential for further learning and development.
17. I am willing to do what is required to get by and that is all.
18. I have an unsystematic approach to problem-solving.
19. I could be described as a person who dislikes change.
20. I often find it difficult to influence other people successfully.
21. I have not really thought through my approach/style of work.
22. I seem to get less than full support from my colleagues.
23. I put little energy into the development of others.
24. I lack skills in operating effectively within groups.
25. I am prepared to be unpopular when necessary.
26. I rarely take the easy option rather than doing that which I know to be right.
27. My work and my personal goals are largely complementary.
28. My working life is often exciting.
29. When someone tells me to do something, I will do it to the best of my ability whether I enjoy the task or not.
30. I regularly review my work objectives.
31. It seems to be that many other people are less creative than I am.
32. I usually make a good first impression.
33. I initiate discussions and seek feedback concerning my strengths and weaknesses.
34. I am good at building positive relationships with others.
35. I am aware and supportive of others' developmental needs.
36. I understand the principles underlying effective team development.
37. I find it difficult to manage time effectively.
38. I find it difficult to stand firm on matters of principle.
39. I do not attempt to measure achievements objectively.
40. I rarely seek out new experiences.
41. I often misinterpret instructions.

42.   I find it difficult to handle information.
43.   I sometimes emphasis orderliness at the expense of experimentation.
44.   I am often not assertive enough.
45.   I work on the assumption that you cannot change peoples' attitudes to work.
46.   I have colleagues who I feel are unresponsive.
47.   I have little belief in appraisal schemes.
48.   I have colleagues with whom I find it difficult to be open and honest.
49.   My private life is not adversely affected by my work.
50.   I rarely behave in ways contrary to my beliefs.
51.   My work makes an important contribution to my enjoyment of life.
52.   I regularly seek feedback about my performance and/or abilities.
53.   I am able to operate with the minimum of supervision. I do not need to be told to do something twice.
54.   I am a good planner.
55.   I do no lose heart and give up when solutions cannot be readily found.
56.   It is relatively easy for me to create rapport with others.
57.   I understand what motivates people to high performance.
58.   I am able to identify when work falls within the responsibilities of others and assign it appropriately.
59.   I am able and willing to give personal feedback to my colleagues.
60.   My relationships with colleagues are healthy and co-operative.
61.   I often look tired.
62.   I do not question my own values sufficiently.
63.   I do not have a high sense of achievement from work.
64.   I do not enjoy challenge.
65.   I resent taking a back-seat to others and in such situations I tend to be uncooperative.
66.   I do not review my own progress and performance adequately.
67.   I am sometimes over confident.
68.   I find it difficult to get others to behave as desired.
69.   I am quick to judge the actions of others.
70.   I do not sufficiently encourage the effective performance of others.
71.   I rarely counsel others.
72.   I support the view that a manager should be the leader of subordinates on all occasions.
73.   I balance my eating and drinking in the best interests of my health.
74.   I almost always act in a way that is consistent with my personal beliefs.
75.   I have a good understanding with my colleagues.
76.   I often think about what is preventing me from becoming more effective and act upon my conclusions.
77.   Whilst my work is supervised, I often act upon my own initiative.
78.   I consciously use other people to help me to solve problems.
79.   I am involved and influenced by highly innovative people.
80.   I usually perform well at meetings.
81.   I manage in different ways to motivate others.
82.   I rarely have difficulty in dealing with my colleagues.
83.   I do not allow opportunities for the development of others to pass.
84.   I feel that my colleagues clearly understand the objectives of the organisations with which we have an interest in common.
85.   I rarely feel energetic and lively.
86.   I have not questioned how my upbringing has affected my beliefs.
87.   I do not have an identifiable career/life plan but I would benefit from having one.
88.   I tend to give up when the going gets tough.
89.   I find it difficult to trust the expertise of others.
90.   I lack confidence when leading group problem-solving sessions.
91.   I have difficulty in generating ideas.
92.   I sometimes do not practice what I preach.
93.   I do not like people to question my decisions.
94.   I put little effort into defining the roles and objectives of others.

95.   I do little to improve others' skills.
96.   I lack the skills required to build an effective work-team.
97.   My friends say that I look after my own well-being.
98.   I am willing to discuss my personal beliefs with others.
99.   I discuss my long-term aims with others.
100.   I could be accurately described as open and flexible.
101.   I feel secure that I have a niche within the organisation.
102.   In general, I adopt a methodical approach to solving problems.
103.   When I make an error, I put the matter right without becoming upset.
104.   I am a good listener.
105.   I am able to delegate and seek help with work when necessary.
106.   If I were in a tight spot, I am confident that I would receive full support from my colleagues.
107.   I am good at counselling others.
108.   I constantly try to improve the contribution of my colleagues.
109.   I sometimes find it difficult to resolve my own emotional difficulties.
110.   I have values inconsistent with those of the organisation.
111.   I do not achieve my own personal ambitions.
112.   I seldom stretch my own abilities.
113.   I am often inflexible.
114.   I seem to have more problems today than a year ago.
115.   In general, I do not value light-hearted behaviour.
116.   I am often not taken seriously by others.
117.   I tend to relate to others in rather a formal, impersonal way.
118.   I get little respect from my colleagues.
119.   I am not willing to share information with others about how to do work which I see as being mine.
120.   I could not be described as a team player.

SELF SURVEY - ANSWER SHEET

Name:

You have 15 minutes to complete this exercise.

In the grid shown below are 120 numbered boxes, each one corresponds to a statement on the Self Survey. Mark an X through the boxes which correspond to those statements on the Self Survey which you feel to be generally true of yourself. Leave blank those boxes which correspond to statements which you believe generally do not apply to you. Be careful not to miss a statement.

A	B	C	D	E	F	G	H	I	J	K	L
1	2	3	4	5	6	7	8	9	10	11	12
25	26	27	28	29	30	31	32	33	34	35	36
49	50	51	52	53	54	55	56	57	58	59	60
73	74	75	76	77	78	79	80	81	82	83	84
97	98	99	100	101	102	103	104	105	106	107	108

A	B	C	D	E	F	G	H	I	J	K	L
13	14	15	16	17	18	19	20	21	22	23	24
37	38	39	40	41	42	43	44	45	46	47	48
61	62	63	64	65	66	67	68	69	70	71	72
85	86	87	88	89	90	91	92	93	94	95	96
109	110	111	112	113	114	115	116	117	118	119	120

When you have considered all 120 statements, total the number of Xs in each vertical column in the top box and write the total in the space provided, then do the same for the bottom box.

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Other survey

On the following pages you will find 120 statements of strength that may or may not be used to describe the person who is the subject of this review. Read each statement carefully. If you feel that the statement is true then mark an 'X' in the appropriate numbered square on the answer grid sheet. If you feel that the statement is not true or you do not have an opinion on this point, then leave the box corresponding to that statement blank. Feel free to give your own subjective impressions as the results will be assessed on that basis. Your feedback will be most helpful if it is entirely truthful.

1. Drives himself/herself too hard.
2. Is not clear on important issues of principle.
3. Is not decisive enough when important personal decisions should be made.
4. Does not put much effort into personal development.
5. Is not responsive to the needs of others.
6. Is often unable to resolve problems effectively.
7. Cannot be described as an innovative thinker.
8. Holds views that are not usually taken into account by others.
9. Appears to lack understanding of the principles underlying his/her relationships with others.
10. Finds difficulty in getting those over whom he/she has an influence to perform effectively/efficiently.
11. Does not consider the effects of his/her actions on others.
12. Finds conducting meetings difficult and unrewarding.
13. Takes good care of his/her physical health.
14. Sometimes asks other people to comment on his/her approach to life and work.
15. If asked, he/she would be able to describe what he/she wants to do with his/her life.
16. Has considerable potential for further learning and development.
17. If asked, he/she would put in more hours of work than is usually expected.
18. His/her approach to problem-solving is systematic.
19. Could be described as a person who enjoys change.
20. He/she usually influences other people successfully.
21. He/she seems to believe that his/her working style is appropriate.
22. He/she appears to have the support of colleagues.
23. Puts considerable effort into nurturing the abilities of others.
24. He/she believes that the ability to operate within groups is important to effectiveness.
25. He/she strongly dislikes being unpopular.
26. Sometimes takes the easy option rather than doing what is right.
27. Often needs to change life or work goals because things do not work out satisfactorily.
28. Does not seek to find excitement in his/her working life.
29. Resents being asked to do certain tasks and will consciously under-perform on such tasks to avoid being assigned them in the future.
30. He/she seldom reviews work objectives.
31. Is not very creative.
32. Does not make a good first impression.
33. Seldom discusses or seeks feedback on strengths or weaknesses.
34. Finds it difficult to build positive relationships with others.
35. Rarely sets aside time to review the developmental needs of others.
36. He/she has no real experience of team building.
37. He/she appears to manage time effectively.
38. Frequently stands firm on matters of principle.
39. Whenever possible, he/she tries to measure achievements objectively.
40. Often seeks out new experiences.
41. If given an ambiguous instruction, he/she is quick to seek clarification rather than do the job wrongly.
42. Handles complex information with competence and clarity.

43. Is prepared to go through a period of uncertainty in order to try a new idea.
44. Might be described as assertive.
45. He/she believes that it is possible to change the attitudes people have towards their work.
46. Believes that his/her colleagues make a maximum contribution to the organisations with which they are involved.
47. He/she is willing to regularly, informally appraise the performance of his/her colleagues.
48. Works to build open and trusting climates in the groups with which he/she is involved.
49. Allows private/family life to be adversely affected by his/her work.
50. Sometimes behaves in a way contrary to stated beliefs.
51. Allows work to make excessive in-roads into personal time.
52. Rarely seeks feedback from others about his/her performance or abilities.
53. Needs constant supervision.
54. Is not a good planner.
55. Tends to lose heart and give up when solutions cannot be found readily.
56. Finds it difficult to create rapport with others.
57. Does not fully understand what motivates people to high performance.
58. Finds it hard to assign work to others effectively even when that work is more in others' line of interest.
59. Tends to avoid giving personal feedback to others.
60. Should improve relations between himself/herself and others.
61. Rarely allows his/her work to exhaust him/her.
62. Fundamentally questions his/her values from time to time.
63. Seems to value a sense of achievement.
64. Enjoys challenge.
65. Undertakes work which supports that of others.
66. Reviews progress and performance regularly.
67. Is self-confident.
68. He/she can generally influence the behaviour of others.
69. Does not judge people on hear-say or by their appearance. He/she takes time to get to know people.
70. When he/she sees that others have done well, he/she will let them know.
71. Believes that it is an essential part of work to counsel others.
72. Believes in democratic decision-making and participative leadership.
73. Tends to eat and/or drink too much.
74. Is frequently inconsistent.
75. Lacks a good understanding with colleagues at work.
76. Rarely considers what is preventing him/her from being more effective.
77. Is reluctant to act on his/her own initiative.
78. Does not use other people to help solve problems.
79. Has difficulty working with highly innovative people.
80. Performs poorly at meetings.
81. Deals with all people in the same way.
82. Sometimes has real difficulty dealing with others.
83. Lets opportunities for the learning and development of others slide-by.
84. Does not help to clarify what is expected from others.
85. Generally appears energetic and lively.
86. He/she has explored how his/her own upbringing has affected his/her beliefs.
87. Has an identifiable career/life-plan.
88. Refuses to give up when things are not going well.
89. He/she has particular skills which underpin the work of others.
90. Feels confident about leading problem-solving sessions.
91. Has no problem in generating ideas.
92. Practices what he/she preaches.
93. He/she believes decisions should be questioned and assumptions revealed.
94. Seems to be clear about the roles and objectives of his/her colleagues.
95. Is willing to help his/her colleagues to develop the skills that they need.

96. If called upon, he/she has the skills needed to build an effective work-team.
97. Has been observed to neglect himself/herself.
98. Is hesitant to discuss personal beliefs with others.
99. Hardly ever discusses long-term aims with others.
100. Could not be accurately described as open and flexible.
101. Is insecure in his/her work.
102. In general, he/she does not adopt a methodical approach to solving problems.
103. Is clearly irritated or upset when he/she makes an error.
104. Is not a good listener.
105. Finds it difficult to seek help with work when necessary.
106. Would probably not be fully supported by colleagues if a problem arose.
107. Works on the assumption that there is little to be gained by counselling others.
108. Does little to help others to contribute beyond that which they currently offer.
109. Finds ways to resolve emotional difficulties.
110. Has compared his/her values with those of the organisations with which he/she is involved.
111. Usually seems to achieve his/her personal ambitions.
112. Continues to develop and stretch himself/herself.
113. Understands that at times his/her colleagues might be under pressure and, at such times, is willing to take on extra work to ease that pressure.
114. Does not appear to have more or bigger problems today than a year ago.
115. At times, he/she values unconventional behaviour.
116. Generally, people take his/her views seriously.
117. Believes that the methods that he/she uses to relate to others are effective.
118. Has colleagues who respect his/her work.
119. Thinks that it is important for someone else to be capable of doing his/her work.
120. Believes that teams can often achieve than individuals working alone.

OTHER SURVEY - ANSWER SHEET

SUBJECT:

REVIEWER:

In the grid shown below are 120 numbered boxes, each one corresponds to a statement on the Survey. Mark an X through the boxes which correspond to those statements on the Survey which you feel to be generally true of the person being reviewed. Leave blank those boxes which correspond to statements which you believe generally do not apply to that person or about which you do not have a view. Be careful not to miss a statement.

A	B	C	D	E	F	G	H	I	J	K	L
1	2	3	4	5	6	7	8	9	10	11	12
25	26	27	28	29	30	31	32	33	34	35	36
49	50	51	52	53	54	55	56	57	58	59	60
73	74	75	76	77	78	79	80	81	82	83	84
97	98	99	100	101	102	103	104	105	106	107	108

A	B	C	D	E	F	G	H	I	J	K	L
13	14	15	16	17	18	19	20	21	22	23	24
37	38	39	40	41	42	43	44	45	46	47	48
61	62	63	64	65	66	67	68	69	70	71	72
85	86	87	88	89	90	91	92	93	94	95	96
109	110	111	112	113	114	115	116	117	118	119	120

When you have considered all 120 statements, total the number of Xs in each vertical column in the top box and write the total in the space provided, then do the same for the bottom box.

NAME:

You have 45 minutes to complete this exercise.

The survey consists of a twelve part questionnaire. Score each statement on the following pages as very true, moderately true, or untrue in relation to your present work (in certain instances for Executive members it might be useful to give an overall answer which covers both their paid employment and their work as an Executive member). As you complete each part of the survey, total your score before moving on, giving 2 points for each true answer, and 1 point for each moderately true answer, no points are given for untrue answers.

1.   I have to work alone quite a lot.

     Very True   Moderately True   Untrue
        2   1   0

2.   I have to work under pressure.

     Very True   Moderately True   Untrue
        2   1   0

3.   Sometimes I need to make unpopular decisions.

     Very True   Moderately True   Untrue
        2   1   0

4.   I have a great deal of discretion.

     Very True   Moderately True   Untrue
        2   1   0

5.   My work responsibilities are often in conflict with my private/family life.

     Very True   Moderately True   Untrue
        2   1   0

6.   I have to work unusual hours.

     Very True   Moderately True   Untrue
        2   1   0

7.   My work requires me to eat out or entertain a great deal.

     Very True   Moderately True   Untrue
        2   1   0

8.   I have to make important decisions without reference to others.

     Very True   Moderately True   Untrue
        2   1   0

9.   I have to travel or stay away from home a great deal.

     Very True   Moderately True   Untrue
        2   1   0

10. My work makes emotional demands on me.

     Very True   Moderately True   Untrue
        2   1   0

SCORE FOR PART 1 _____

PART 2

1. I must be clear on issues of principle.

Very True	Moderately True	Untrue
2	1	0

2. My personal philosophy of life is on view to others.

Very True	Moderately True	Untrue
2	1	0

3. I frequently have to state personal beliefs.

Very True	Moderately True	Untrue
2	1	0

4. I have to stand firm on issues of principle.

Very True	Moderately True	Untrue
2	1	0

5. I take decisions that concern human values.

Very True	Moderately True	Untrue
2	1	0

6. My values are frequently questioned.

Very True	Moderately True	Untrue
2	1	0

7. I must be seen as fair to others.

Very True	Moderately True	Untrue
2	1	0

8. I influence key policy decisions.

Very True	Moderately True	Untrue
2	1	0

9. I have to settle matters of principle.

Very True	Moderately True	Untrue
2	1	0

10. I need to advise and counsel others on personal matters.

Very True	Moderately True	Untrue
2	1	0

SCORE FOR PART 2 _____

PART 3

1. I set goals with others.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

2. I do not find my work satisfying.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

3. My work is often in conflict with my private life.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

4. I do not often get the opportunity to review my goals with others.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

5. My work often "spills over" into my personal life.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

6. My work does not provide me with opportunities for achievement.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

7. I need to assess the achievements of others.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

8. I have to communicate objectives clearly to others.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

9. I take part in long range planning.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

10. My work is often in conflict with my personal ambitions.

| Very True | Moderately True | Untrue |
| 2 | 1 | 0 |

SCORE FOR PART 3 _____

PART 4

1. My work demands that I constantly learn new skills and abilities.

    Very True   Moderately True   Untrue
       2   1   0

2. I expect that either my work will grow or I will move into an area with larger scope.

    Very True   Moderately True   Untrue
       2   1   0

3. In the future, my work will make significant new demands on me.

    Very True   Moderately True   Untrue
       2   1   0

4. My work is likely to change significantly in the next few years.

    Very True   Moderately True   Untrue
       2   1   0

5. I am likely to be faced with increasing environmental change.

    Very True   Moderately True   Untrue
       2   1   0

6. My work is challenging.

    Very True   Moderately True   Untrue
       2   1   0

7. My work is likely to require me to be more effective/efficient than I am now.

    Very True   Moderately True   Untrue
       2   1   0

8. I have to develop trusting relationships with others.

    Very True   Moderately True   Untrue
       2   1   0

9. I must be constantly open and receptive to new ideas and new ways of doing things.

    Very True   Moderately True   Untrue
       2   1   0

10. It will become more difficult for me to succeed in the future.

    Very True   Moderately True   Untrue
       2   1   0

SCORE FOR PART 4 _____

PART 5

1. My work underpins that of others.

     Very True   Moderately True   Untrue
        2   1   0

2. My work revolves around particular technical skills which I have.

     Very True   Moderately True   Untrue
        2   1   0

3. My work is supervised and my workload is determined by others.

     Very True   Moderately True   Untrue
        2   1   0

4. I have to work to others' deadlines.

     Very True   Moderately True   Untrue
        2   1   0

5. I am often the first person someone coming into the CVS meets or speaks to.

     Very True   Moderately True   Untrue
        2   1   0

6. I often undertake routine tasks which keep the CVS 'oiled' and running well.

     Very True   Moderately True   Untrue
        2   1   0

7. People are constantly in and out of the office in which I work.

     Very True   Moderately True   Untrue
        2   1   0

8. Parts of my work are repetitive.

     Very True   Moderately True   Untrue
        2   1   0

9. My work tends to be planned day-to-day rather than months ahead.

     Very True   Moderately True   Untrue
        2   1   0

10. The work I do is not specific to the CVS, I do the types of task which are carried
    out in most organisations.

     Very True   Moderately True   Untrue
        2   1   0

SCORE FOR PART 5 _____

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1.   Problem solving is an important part of my work.

        Very True   Moderately True   Untrue
           2   1   0

2.   I have to exercise a high degree of personal judgement.

        Very True   Moderately True   Untrue
           2   1   0

3.   Few procedures are laid down for me to follow.

        Very True   Moderately True   Untrue
           2   1   0

4.   I have to deal with a great deal of complex information.

        Very True   Moderately True   Untrue
           2   1   0

5.   My work involves a lot of planning.

        Very True   Moderately True   Untrue
           2   1   0

6.   I need constantly to amend plans on the basis of past experience.

        Very True   Moderately True   Untrue
           2   1   0

7.   I need to capitalise on new opportunities quickly.

        Very True   Moderately True   Untrue
           2   1   0

8.   A lot of problems have to be solved in group meetings.

        Very True   Moderately True   Untrue
           2   1   0

9.   I need to make choices about techniques to be used to solve problems.

        Very True   Moderately True   Untrue
           2   1   0

10.   I often have to deal with unpredictable or nonroutine situations.

        Very True   Moderately True   Untrue
           2   1   0

SCORE FOR PART 6 _____

1. I often need to try out new or novel ways of doing things.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

2. Certain areas of my work are changing constantly.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

3. I need to be more creative than most of my colleagues.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

4. I need to question the assumptions of others.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

5. I need to utilise new developments in thinking.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

6. The right answer often takes a lot searching and debating.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

7. I work with innovative people.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

8. I need to generate or obtain new ideas.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

9. I often have to proceed by trial and error.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

10. I often have to do things that are unconventional.

    | Very True | Moderately True | Untrue |
    | 2 | 1 | 0 |

SCORE FOR PART 7 _____

PART 8

1.   To achieve success, I must see that my views are taken into account by others.

                 Very True   Moderately True   Untrue
                     2   1   0

2.   Influencing others is the key to my success.

                 Very True   Moderately True   Untrue
                     2   1   0

3.   I need to make good first impressions.

                 Very True   Moderately True   Untrue
                     2   1   0

4.   I have to be assertive.

                 Very True   Moderately True   Untrue
                     2   1   0

5.   I have to have good rapport with those with whom I work.

                 Very True   Moderately True   Untrue
                     2   1   0

6.   I need to advise or persuade others a great deal.

                 Very True   Moderately True   Untrue
                     2   1   0

7.   Meetings are an important part of my working life.

                 Very True   Moderately True   Untrue
                     2   1   0

8.   I need to present clear cases to others.

                 Very True   Moderately True   Untrue
                     2   1   0

9.   I need to take account of the views of others.

                 Very True   Moderately True   Untrue
                     2   1   0

10. It is important that people take a serious view of what I have to say.

                 Very True   Moderately True   Untrue
                     2   1   0

SCORE FOR PART 8 _____

1.   I work with people of significantly differing abilities.

        Very True   Moderately True   Untrue
            2   1   0

2.   I need to discuss work style openly with others.

        Very True   Moderately True   Untrue
            2   1   0

3.   I can make a significant contribution to morale in my group.

        Very True   Moderately True   Untrue
            2   1   0

4.   I counsel my colleagues about their style or approach.

        Very True   Moderately True   Untrue
            2   1   0

5.   My colleagues have to be highly motivated.

        Very True   Moderately True   Untrue
            2   1   0

6.   I am required to adopt a progressive working style.

        Very True   Moderately True .   Untrue
            2   1   0

7.   I need to deal with different areas of work/colleagues in different ways.

        Very True   Moderately True   Untrue
            2   1   0

8.   I have to help evolve more effective work practices.

        Very True   Moderately True   Untrue
            2   1   0

9.   I need to be aware of others areas of work and work-loads.

        Very True   Moderately True   Untrue
            2   1   0

10.   I assist with the review of and am constantly aware of the effectiveness of the organisation.

        Very True   Moderately True   Untrue
            2   1   0

SCORE FOR PART 9 _____

1. I need to analyse and determine other people's roles.

Very True	Moderately True	Untrue
2	1	0

2. I have to depend on my colleagues a great deal.

Very True	Moderately True	Untrue
2	1	0

3. I help to organise the way others spend their time.

Very True	Moderately True	Untrue
2	1	0

4. The day-to-day motivation of my colleagues is part of my responsibility.

Very True	Moderately True	Untrue
2	1	0

5. I pass work on to others if I feel unable to deal with it.

Very True	Moderately True	Untrue
2	1	0

6. I significantly influence the performance of my colleagues.

Very True	Moderately True	Untrue
2	1	0

7. I have to deal with some very difficult people.

Very True	Moderately True	Untrue
2	1	0

8. I am clear about the roles and contributions of my colleagues.

Very True	Moderately True	Untrue
2	1	0

9. I help others improve their performance by giving feedback information to them.

Very True	Moderately True	Untrue
2	1	0

10. I help to establish work procedures for the organisation.

Very True	Moderately True	Untrue
2	1	0

SCORE FOR PART 10 _____

1.   I help my colleagues acquire new skills.

	Very True	Moderately True	Untrue
	2	1	0

2.   I help to identify and capitalise on learning opportunities for others.

	Very True	Moderately True	Untrue
	2	1	0

3.   I play a significant part in determining the roles of my colleagues and their development.

	Very True	Moderately True	Untrue
	2	1	0

4.   I function as a part time trainer.

	Very True	Moderately True	Untrue
	2	1	0

5.   I help to appraise the performance of others,.

	Very True	Moderately True	Untrue
	2	1	0

6.   Counselling others is part of my job/role.

	Very True	Moderately True	Untrue
	2	1	0

7.   If my colleagues were not trained properly it would significantly affect the success of the organisation.

	Very True	Moderately True	Untrue
	2	1	0

8.   I can spot the potential in others.

	Very True	Moderately True	Untrue
	2	1	0

9.   I help to develop constructive attitudes in others.

	Very True	Moderately True	Untrue
	2	1	0

10.   I help to recommend appropriate training for others.

	Very True	Moderately True	Untrue
	2	1	0

SCORE FOR PART 11 _____

PART 12

1. I often take the lead at meetings.

Very True	Moderately True	Untrue
2	1	0

2. I am required to associate with differing groups of people from time to time.

Very True	Moderately True	Untrue
2	1	0

3. My work requires me to be able to operate well in a team.

Very True	Moderately True	Untrue
2	1	0

4. It is important for an open and trusting climate to exist in the organisation.

Very True	Moderately True	Untrue
2	1	0

5. My organisation needs good relations with other organisations/agencies.

Very True	Moderately True	Untrue
2	1	0

6. I have to work with others on common problems.

Very True	Moderately True	Untrue
2	1	0

7. I need to assess the performance of other organisations/agencies.

Very True	Moderately True	Untrue
2	1	0

8. It is important that my colleagues and I understand and subscribe to the goals of our organisations.

Very True	Moderately True	Untrue
2	1	0

9. My colleagues and I are very dependent upon one another.

Very True	Moderately True	Untrue
2	1	0

10. In the course of my work, I operate in task groups.

Very True	Moderately True	Untrue
2	1	0

SCORE FOR PART 12 _____

CVS Executive Member's Questionnaire

NAME:

_____

PART 1

1.   How long have you been serving on the Executive Committee?

_____

2.   Why did you become a member of the Executive Committee?

_____
_____
_____
_____
_____
_____
_____

3.   What are your responsibilities to the CVS?

_____
_____
_____
_____
_____
_____
_____

4.   What abilities and skills do you believe are essential for a member of the
      Executive Committee to have?

_____
_____
_____
_____
_____
_____
_____

5.   Is enough information about CVS activities and issues sent to Executive
      Committee members?

            Yes [   ]   No [   ]

      If no, what type of additional information would you like to receive from the
      CVS?

_____
_____

6. In general, what is attendance at Executive Committee meetings like:

Good ☐ Adequate ☐ Poor ☐

7. Do you attend meetings of the Committee on a regular basis?

Yes ☐ No ☐

If no, why?

_____
_____
_____
_____
_____
_____
_____

8. When making a decision, how thoroughly would you say the Executive Committee debates the issues concerned:

Well ☐ Adequately ☐ Poor ☐

9. In general, how do you think the CVS operates?

Well ☐ Adequately ☐ Poor ☐

10. Would you like to be more involved with of CVS work?

Yes ☐ No ☐

If yes, what is preventing you from becoming more involved?

_____
_____
_____
_____
_____
_____

11. Should the CVS organise social events to enable staff and Executive members to get to know one-another better?

Yes ☐ No ☐

12. Overall, do you feel clear about:

a. CVS policies?

Yes ☐ No ☐

b. your role as a member of the Executive Committee?

Yes ☐ No ☐

For each of the 6 cases below decide whether you feel statement A or statement B is most true and tick the appropriate box.

1.   A. You relish the demands of CVS work. ☐

       B. You feel CVS work is a burden you could do without. ☐

2.   A. Your abilities and efforts are acknowledged and appreciated by other members of the Executive Committee. ☐

       B. You often feel your efforts are unappreciated by the CVS and/or fellow Executive Committee members. ☐

3.   A. Executive policy effects the operating of the CVS constantly, at all levels, and the Executive receives feedback information to ensure that its decisions are carried out. ☐

       B. Whilst the Executive sets CVS policy, it is the staff who carry out CVS work and, in reality, it is they who set CVS policy. ☐

4.   A. You feel comfortable with the people who work for the CVS and fellow Executive members and, hence, you feel free to express your opinions and discuss matters of ethics openly. ☐

       B. You do not feel at ease with the people who work for the CVS and fellow Executive members and, thus, do not feel able to openly express your opinions and are reluctant to openly debate matters of ethics with them. ☐

5.   A. CVS policies are informative, supportive, practical and morally sound. ☐

       B. CVS policies are restrictive, demanding, impractical and either weak or wrong on moral issues. ☐

6.   A. At Executive Committee meetings there is a positive working atmosphere - members will take time and effort to ensure that issues are fully addressed. ☐

       B. At Executive Committee meetings there is a negative working atmosphere - members are often unprepared to discuss issues and the first solution to a problem is often accepted without analysis of alternatives. ☐

1. Tick a number on the scale below to indicate how morally committed you are to the CVS.

    Minimum   Maximum

    0   1   2   3   4   5   6   7

2. Have you recently altered your level of moral commitment to the CVS?

    Yes [   ]   No [   ]

    If yes, has your moral commitment become:

    More [   ]   Less [   ]

3. Tick a number on the scale below to indicate how satisfied you are, in general, with your involvement with the CVS.

    Minimum   Maximum

    0   1   2   3   4   5   6   7
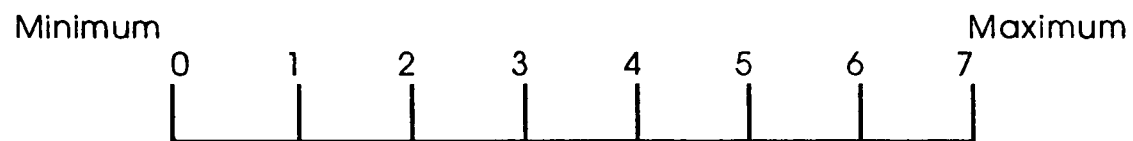
EVALUATION SUMMARY SHEET

Personal Strengths Summary Box

1.

2.

3.

Personal Blockages Summary Box

1.

2.

3.

Work Significant Summary Box

1.

2.

3.

Other Blockages Calculation Box

	A	B	C	D	E	F	G	H	I	J	K	L
Survey 1.												
Survey 2.												
Survey 3.												
Total												

Other Blockages Summary Box

1.

2.

3.

Other Strengths Calculation Box

	A	B	C	D	E	F	G	H	I	J	K	L
Survey 1.												
Survey 2.												
Survey 3.												
Total												

Other Strengths Summary Box

1.

2.

3.

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