

EFFECTIVE MANAGEMENT OF CHANGE
IN FURTHER EDUCATION:

A STUDY OF SIX COLLEGES

MARGARET MARY HOBSON

LIVERPOOL.

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GLOSSARY OF TERMS

ALF	Average Level of Funding
DES	Department of Education and Science
DfEE	Department for Education and Employment
FE	further education
FEDA	Further Education Development Agency
FEFC	Further Education Funding Council
FEU	Further Education Unit
GNVQ	General National Vocational Qualification
ISR	individualised student record
IT	information technology
LEA	local education authority
LSDA	Learning and Skills Development Agency
MIS	management information system
NVQ	National Vocational Qualification
QA	quality assurance
RDA	Regional Development Agency
SMT	senior management team
TDLB	Training and Development Lead Body
qualifications	
TEC	Training and Enterprise Council
UK	United Kingdom
Ufi	University for Industry

Abstract

The Effective Management of Change in Further Education:

A Study of Six Colleges

Margaret Mary Hobson

This thesis focuses upon the experiences of six colleges of further education, in the North West of England, between the years 1993 and 2000. This was a period of significant change for further education in response to the Further and Higher Education Act 1992, which, simultaneously, removed responsibility for colleges of further education from Local Education Authorities and created independent colleges within the newly defined Further Education sector. The Act created the Further Education Funding Council (FEFC) which had responsibility for funding and monitoring college provision. By adopting the use of a qualitative research methodology the thesis provides a detailed insight into the colleges' experience of managing nationally mandated change while modifying their internal organisation to respond to the pressures. Open-ended interview questions were used to interview thirty senior and middle managers from the six colleges. In addition, the thesis examines the historical and legislative context from the Education Act 1944 up to the present.

The thesis examines and discusses the colleges' approach to managing change. An examination of the colleges' response to external pressures identifies common themes and considers their strategies for managing the change. Middle managers are highlighted as key staff in converting policy into practice. Staff development for middle managers had, at the time of the study, focused on functional matters, for example changes to funding and inspection. Staff development for middle managers to support them in their changing roles was limited and managers did not have understanding of the concepts of capacity-building and distributed leadership. The thesis examines the culture of each college and the pressures and tensions in response to change. The data is presented, discussed and analysed in four chapters: College Culture, Change in Colleges, the Management of Change, and Effective Change. The thesis concludes by proposing that colleges should monitor the level of innovation and change occurring within the organisation, while developing a strategy for building the capacity within the colleges in relation to the effective management of change. It recommends awareness that 'change is about people not content' and that all change processes should focus on improved relationships and culture within the change context. The concept of colleges as learning organisations is promoted.

CHAPTER ONE

INTRODUCTION AND CONTEXT

The primary purpose of this study is to examine the process of change for six colleges of further education (FE) in the North West of England using a qualitative paradigm, guided by two research questions:

1. What are the key changes that have taken place in the FE sector since incorporation in 1993?
2. What are the critical factors that determine that one college can manage change more effectively than another?

These two research questions, and the research objectives which are discussed in Chapter Three, were developed from the researcher's own experience as a manager in a college during this period and clarified during the early stages of the research. The research focuses on exploring the issues and problems that arose from the nationally mandated change in the six colleges during the period 1993 to 2000, and the strategies developed to manage such change.

The purpose of this chapter is to establish the context in which FE colleges operate. This involves establishing a framework of key legislation and government policies which have added to the agenda for change in colleges and consideration of how these have shaped the sector. In this way, to make explicit the wider contextual setting in which the empirical research is undertaken and the external pressures for change.

Two key issues need to be considered when placing the FE sector in context for this study. The first is definition of the sector and how this has change, and the second is the prevailing attitudes which have helped to shape the sector. The term 'further

education' has been used generically to cover all forms of post-school education, except that provided by universities or other higher education providers. This is a definition, which remained unchanged for decades. Under this definition, the sector was usually subdivided into advanced further education (AFE) and non-advanced further education (NAFE). The former consists of all courses leading to a final qualification above GCE Advanced level or its vocational equivalent, for example, the Business Technology Education Council (BTEC) Higher National Diplomas and Certificates. It is in this area of its provision that the work of FE colleges begins to overlap with that of higher education. Non-advanced provision (NAFE) consists of all courses leading to a final qualification up to and including GCE Advanced level or its vocational equivalent.

The Context for Further Education

For the research within the six colleges, the period since 1993 has been chosen because of the significant change required in response to the Further and Higher Education (FHE) Act 1992. This Act simultaneously removed responsibility for colleges of FE and sixth form colleges from local education authorities (LEAs) and created independent colleges within the newly defined further education sector. In addition, it created a radical shift in structure and policy which presented significant challenges to colleges and to the professionals employed within the sector.

While the focus for the research is on the period post 1993, the period since 1944 will be considered in relation to the context of legislative change. It is important to consider the broader impact that legislation has had on the FE sector because it helped to shape attitudes and practice after the Second World War. In addition, this section will also identify key issues within the FE sector which will contribute to themes as a basis for data analysis. This will be considered in more detail in Chapter Three.

The cornerstone in defining 'further education' is the 1944 Education Act which established the office of Minister of Education whose duty it was to promote, direct and enforce a national education policy. The Act placed on local education authorities a duty to secure the provision of education at all its stages, adequate to the entire needs of the community. Section 41 of the Act (HMSO, 1944) provides a broad definition of further education as full- and part-time education and organised leisure-time occupation for people over compulsory school age. In this definition, further education was perceived as the third of a continuous series of education stages. It was felt at the time that there should not be a strict divide between the continuum of further and higher education and hence the terms advanced (AFE) and non-advanced (NAFE) further education were introduced.

Three major pieces of legislation have changed this longstanding definition of further education. The first, was the 1988 Education Reform Act which omitted the term 'advanced further education', and legally defined public sector higher education outside of the universities which resulted in the polytechnics, colleges and institutes of higher education moving out of the FE sector and away from LEA control. The second piece of legislation was the Further and Higher Education (FHE) Act 1992, which redefined the further education sector in England and Wales and removed it from LEA control. The 1992 Act builds on the definition of the sector used in the 1944 Act by linking the terms 'vocational' and 'training' with education. In addition, Schedule Two of the 1992 Act provides descriptions of the courses of further education to be funded by the Councils within the new further education sector. Successive governments have attempted and still intend to reform vocational education and training. The use of such language in the 1992 Act reinforces their intentions. The third piece of significant legislation is the Learning and Skills Act 2000 which changed the FEFC structure established by the 1992 Act and replaced it with a single national Learning and Skills Council (LSC) for England and up to 50 local LSCs. From 1st April 2001, the FEFC and TECs ceased to exist and colleges had to adapt to these structural changes and a new more rigorous inspection regime. This Act will be discussed later in the chapter.

Further education has expanded significantly in response to national initiatives since the 1944 Act, although this has not been without its setbacks and changes in the makeup of the student population. The growth of vocational education in FE colleges slowed significantly in the first half of the 1970s due to an economic recession resulting mainly from an oil crisis following the war in the middle east in 1973 (Cantor and Roberts, 1986, pp.3-4). This highlights the way in which the further education sector is intrinsically linked to developments in the labour market. During the early 1970s, many colleges' engineering departments went into decline (Hall, 1990, p.4). As a compensatory mechanism, most colleges started to offer courses for unemployed adults and young people on government training vocational programmes. A White Paper: 'Education: A Framework for Expansion' was published in December 1972 and called for an expansion in higher education of over fifty percent by 1981. An expansion which it proposed should be shared equally between the further education sector and the universities (Cantor and Roberts, 1986, p.4). The range of provision, including vocational programmes for unemployed adults and young people, and higher education, highlights the diversity and complexity of the FE curriculum which has helped to shape the sector and some of the pressures upon colleges.

Attitudes towards further education must also be considered. Most colleges of further education have grown from either the former Mechanics Institutes or the technical schools earlier in the nineteenth century. This gives them a distinctive vocational character. In addition, until the 1960s the tripartite system of grammar, technical and secondary modern schools meant that the less able pupils did not go to grammar school. This resulted in the vocational work in the technical school or secondary modern being perceived as a second class substitute. The legacy of this attitude still remains in relation to FE colleges today.

Vocational and technical training is a strong feature of the curriculum offered by FE colleges. The industrial training boards, created in 1964, were criticised for not having the intended impact on the quantity and quality of training. The structure

was felt to be too weak to be effective. The Employment Training Act of 1973 established the Manpower Services Commission (MSC) in January 1974 under the aegis of the Department of Employment (DoE). It was created to supervise both employment and training. Hall (1990, p. 84) criticises the structure of the MSC as creating a division between colleges and training organisations. Some elements of this division exist still to this day. Although, as will be considered later in this chapter, the current government has indicated the importance of bringing these closer together within a learning and skills sector.

The work of the MSC increased significantly in response to a rapid rise in unemployment from 1974 which impacted on one aspect of colleges' work. The main focus was on job-creation and training for the increasing numbers of unemployed people. A joint initiative by the Department of Education and Science (DES) and the National Training Advisory Service (TSA), which was, called the Unified Vocational Preparation scheme (UVP), was developed. This involved a limited number of training schemes for young people in employment, which began in 1977 and included 4,500 trainees by 1981 (Cantor and Roberts, 1986, p.7). Other initiatives included the Community Programme of job creation for adults; and a range of training schemes for the young unemployed, including the Youth Opportunities Programme (YOP), which culminated in the Youth Training Scheme (YTS) in 1983.

Significantly, the development of such programmes introduced into FE colleges a group for whom they had catered little before. They also introduced the dual challenges of how to cater for a group disaffected by education and how to develop an appropriate curriculum. Concurrently, the work of two Councils, the Technician Education Council (TEC) and the Business Education Council (BEC) which had been established early in the 1970s, focused on developing an entirely new pattern of courses for technicians in industry and in the area of business and office studies. The setting up, in 1977, of the Further Education Curriculum Review and Development Unit (FEU) was a welcome government funded initiative to provide

impetus to research into curriculum development in further education. This organisation has provided a significant number of research papers and bulletins to support the development of further education over the past three decades. The original FEU has undergone two name changes: to Further Education Development Agency (FEDA) and currently as the Learning and Skills Development Agency (LSDA). The name changes reflect a changing philosophy in the further education sector from a focus on the college and staff needs, to a clear focus on the learner and the process of learning.

Staffing has changed since the 1944 Act. In 1985 fewer than half the FE teaching staff possessed a DES-recognised teaching qualification (Cantor and Roberts, 1986, p.9). This situation was considered unacceptable but there remained an imperative to employ staff with industrial experience and relevant craft qualifications, in order to ensure an appropriate focus in vocational provision within colleges. Colleges struggled to find the balance between the quality of teaching and the appropriate vocational focus. It is only since incorporation in 1993 with the establishment of the inspectorates that this issue has started to be addressed. It has also contributed to the division between colleges and training organisations. A recent paper 'Success for All' (DfES, 2002, p. 16) which outlines the structure of the proposed learning and skills sector highlights that a key goal of the government's strategy is to develop the expertise, skills and rewards for effective teachers and trainers. The need for appropriate staff development for managers is a key theme for this study given the rate and diversity of change in the FE sector between 1993 and 2000.

It is possible to identify several recurring themes during the decades since 1944. One underlying theme is that of FE as a national investment and not merely as an aid to employers, which is linked to the development of skills for the labour market. Another recurring theme has been to increase the numbers of school leavers entering further education. However, by the mid-1960s nearly half of the population, aged fifteen and over but under nineteen, received no organised education at all. More specifically, only forty per cent of sixteen year-olds received any daytime education

(ibid., 1967, p.282). Other recurring themes include the need to increase the number of employees' given day release and the need to improve both the quality of and participation in apprenticeship schemes and hence the skills base of the population. During these decades many reports have considered and advised on modernising and improving vocational education and training, including the Confederation of British Industry (CBI, 1989). A White Paper, 'Working Together: Education and Training', published in 1986, reinforced the government's aim of establishing standards of competence for all the major craft, technician and professional skills to replace apprenticeships (HMSO, 1986). One of the recommendations in the 1986 White Paper was the establishment of the National Council for Vocational Qualifications (NCVQ) as a regulatory or quality assurance body. Part of their role was to regulate the work of awarding bodies and maintain the standards of qualifications (Cantor et al., 1995, p.7).

The second key piece of legislation which has helped to shape the further education sector is the 1988 Education Reform Act (ERA) which has been one of the most far-reaching pieces of education legislation since the 1944 Act. Although, it was mainly concerned with primary and secondary education, the Act had major implications for further and adult education. It clarified the legal basis for further education and reorganised the finance and governance of the colleges. One of the main imperatives of this and subsequent legislation was to strip LEAs of their powers to control colleges, a policy which culminated in the provisions of the Further and Higher Education Act 1992. The 1944 Education Act had placed on the LEAs a duty to provide further education. This duty, however, was not clearly defined and included what may now be called higher education. The 1988 Act did not use the term 'advanced further education' and legally defined the public sector higher education outside of the universities, by establishing the Polytechnics and Colleges Funding Council (HMSO, 1988, S.132). This Act redefined the term 'further education' as non-advanced college work. In addition, the Act placed considerable emphasis on the monitoring of the educational process through performance indicators. This was

the start of the quality initiatives in the FE sector which will be considered in the study.

The 1988 Act served to highlight the extent of unfinished educational reform. Kenneth Baker, the then Secretary of State for Education and Science, speaking in 1989 at a conference, highlighted the need for a 'powerful thrust towards education and training - building on the work already done through the Technical Vocational and Educational Initiatives'. He indicated that it was 'time for an initiative to promote Further Education' (Maclure, 1991, p.1).

In December 1988, a further government White Paper was published, 'Employment for the 1990s', which recommended the establishment of a national network of 82 Training and Enterprise Councils (TECs) throughout England and Wales (HMSO, 1989). In addition, the TECs would be local bodies funded by the Education Department to foster economic growth by promoting and fostering training, and replacing the MSC. The TECs were to consult with colleges and draw up strategic plans for the provision of training in their local areas. They were also given financial control of the 25 per cent of work-related further education in the colleges. The TECs were created to play an important part in the planning, design and delivery of vocational education and training in relation to local market needs. Colleges were now responsible to both LEAs and their local TEC.

The emphasis, during the 1980s, was on quality and standards, core and key skills, and curriculum change for further education. This focus accelerated during the 1990s, starting with the publication of a government White Paper 'Education and Training for the 21st Century' (HMSO, 1991). Its major aims were based on several recurrent FE themes, including, to end the divide between academic and vocational qualifications, to encourage more young people to take up vocational training, to promote the role of employers in education, and to give colleges more freedom to expand their provision and be more responsive to the demands of their customers. It proposed that all further education, tertiary and sixth-form colleges should be given

independence from the LEAs. In addition, Chapter Eight of the White Paper indicated that external inspection would play its part in improving the quality and effectiveness of the colleges (HMSO, 1991, S8.2). These far-reaching proposals were implemented in the Further and Higher Education Act (FHE) 1992 and the newly defined further education sector came into being on 1st April 1993 with colleges becoming independent corporations. This redefined sector, under the auspices of two Further Education Funding Councils (FEFC), one for England and one for Wales, consisted of approximately 289 general and 50 specialist further education colleges, 67 tertiary colleges and 117 sixth form colleges, with over 2,800,000 students enrolled (Cantor et al., 1995, p.2).

The most significant change arising from the FHE Act 1992 is that the now independent colleges gained responsibility for their own budgets, with the systems and policies inherent in such control. The English FEFC, the major funding body for the further education sector, adopted a funding policy which departed from the previous practice of resourcing colleges mainly on the basis of the number of students enrolled on the different types of courses. The new funding methodology now resourced colleges in terms of standardised funding units, generated for the entry, on-programme and achievement elements of each student's learning programme. Funding units also became available for fee remission and additional support. These were significant changes that the colleges had to learn to manage and linked colleges' funding to retention and achievement of students.

Research undertaken into the impact of FEFC funding on 14 colleges between 1997 and 1999 indicated that this was a period of high growth targets, efficiency savings, redundancies, growth of part-time staff and dispute over contracts (McDonald and Lucas, 2000, pp. 374-375). In addition, a funding crisis in winter 1996-97 had been precipitated by the refusal of the DfEE and the Treasury to provide the additional money to fund the growth in the sector which had been encouraged by the funding methodology. In the subsequent funding allocations, 86 per cent of colleges faced cuts. In addition, colleges would have to make efficiency gains of 7.6 per cent after

inflation, 2.3 per cent more than they were expecting (ibid., 2000, p.376). This was a major pressure on colleges, and how they planned and operated. Colleges who derived a high proportion of their funding from the FEFC were vulnerable. The period between 1997 and 1998 is when the empirical research, in this study, took place. One of the aims of the funding methodology was to provide the sector with a measure of stability but research found that this was undermined by the constant adjustments and shifts within the methodology (Lucas, 1998, pp.299-306; McDonald and Lucas, 2000, pp.374-376). Alongside this were prescriptive FEFC-driven auditing requirements that some believed had become out of control and could not be sustained (ibid., 1998, pp. 299-306). The theme of funding and its impact on the six colleges will be considered during this study.

The FEFC produced a series of circulars to clarify the nationally mandated change required within the sector and to help colleges establish the systems needed for management. Circular 93/28 'Assessing Achievement' (FEFC, September 1993), outlined the implementation of the FEFC inspection framework and inspection arrangements which had been established by the FHE Act 1992. Colleges were to be inspected by regional teams of FEFC inspectors, on a four-year cycle, against a clear set of quality indicators, leading to published reports with grades. This was followed by Circular 94/31 'Measuring Achievement' (FEFC, 1994b) which detailed the performance indicators which would be used to assess efficiency and effectiveness. Colleges would be measured against these with a league table published annually. The underlying implication of these indicators highlighted the need for more sophisticated management information systems to allow collection of statistics and reporting to the FEFC.

The further education sector had entered a new era of information management. There were several reasons for this change (Lumby, 2001, pp.107-108). With the growth in the sector and the increased numbers of staff and students, colleges had become larger and more complex, increasing the need for more sophisticated record-keeping. With the structural change in the sector brought about by the FEFC,

external demands for data had increased significantly. Prior to incorporation there was little history of the use of data as a basis for management (ibid., 2001, p.107). Most colleges' management information systems (MIS) were unable to cope with this increased demand. This led to the purchasing of new systems, the use of consultancy to develop managers' skills and a significant increase in the number of staff employed to manage the collection and validation of this data. It also introduced the need for middle managers to understand and analyse data and for lecturers to be involved in the process.

Alter (1996, p.30) argues that the usefulness of MIS systems may be limited by a combination of factors such as information, its quality, accessibility and presentation, and that it has the potential to waste time and resources through collection of data, which are not used. Later research (Lumby, 2001, pp.108-111), indicates that some colleges were still having problems including a lack of interest in quantitative data and a lack of skills in interpreting and using such information. This lack of interest was for several reasons. Lecturers see their primary role as teaching and not data analysis. Indeed, such data may be seen as a threat. Analysis of data on student retention, achievement and progression outcomes may indicate unsatisfactory provision. Colleges could no longer afford to maintain unsatisfactory provision with the new funding methodology. The new inspection regime expected colleges to have managed such situations within their internal quality monitoring processes. This was a major and complex change for the further education sector which had an impact on all teaching staff within the organisation. The middle managers, inevitably, had a key role in the monitoring of quality.

Post-incorporation, the further education sector had several years of serious industrial action and poor staff morale, which was a major pressure on colleges. This arose from a range of pressures: financial, political, the need for flexibility to support the changes taking place, and in some instances, a lack of expertise in managing people. Prior to incorporation in 1993, LEAs had managed the personnel function. After incorporation, colleges took on the range of personnel activities and

the underpinning legal aspects. Colleges had no prior experience and it was a challenging process. Most colleges employed human resource specialists who worked directly with the middle managers who found themselves with this new responsibility. This pressure for change resulted in the sector importing some business practices which were alien to the managers and staff within the colleges (Lumby, 2001, p27). Colleges now adopted a strategic human resource perspective, moving from the previous secure tenure position of staff to having to use people more flexibly. Pay and reward systems were now viewed as potentially fluid with the structure expected to reflect local need rather than national agreement. There was also a blurring of the previously strong demarcations between professional and non-teaching staff (ibid., 2001, p.27). This change was within a context of a funding system that in effect cut colleges' budgets each year. In addition, the sector was being coerced by government through the linking of funds to the introduction of new contracts (Gorringe, 1994, p.49). Previously staff under LEAs had conditions of service encapsulated in the 'Silver Book'. With the proposed new contracts staff lost their protected conditions of service, and the elitist perception of the role of the lecturer supported by lesser non-teaching staff was challenged by the changes that took place after incorporation. The biggest staffing change was an increase in non-teaching staff to support the range of functions that colleges had to introduce as part of the funding methodology and with other changes through incorporation. Many of these staff were recruited for new market-oriented positions that included income generation, enterprise and quality. The human resource strategy was an area that allowed for flexibility and therefore, cost-cutting through efficient deployment of staff. One of the efficiency changes that some colleges introduced was the facilitator or trainer role on a lower rate of pay and different conditions of service. Staff who refused to sign new contracts suffered penalties, including financial, as some received no pay award for several years and an increasing psychological sense of alienation from the emerging further education culture (Lumby, 2001, p.33). The contracts issue damaged significantly human relations within the further education sector. These themes, including the changing role of middle managers, will be considered within the study. The structural change in colleges brought about by

incorporation inevitably impacted on the role of middle managers at the interface between strategic managers and an increasingly disaffected lecturer cohort (Leader, 2004, p. 76).

A major change has been in relation to strategic planning. Prior to the enactment of the FHE Act 1992, LEAs managed the formal strategic planning for FE colleges. Post-incorporation, FE colleges became corporate businesses operating in a competitive marketplace. A definitive framework was established by the FEFC to monitor the strategic intentions of colleges and to engender some uniformity in the development of strategy (FEFC, 1992b). This was intended to support government proposed national developments and to consolidate some changes in terms of customer responsiveness and efficiency (Leader, 2004, p.70). In addition, government set clear priorities in terms of the strategic terms of reference to ensure agreement on the fundamental purpose and direction of the college (FEFC, 1992b). By 2000 and the subsequent imminent changing context of the FE sector with the establishment of Learning and Skills Councils, a new set of challenges and criteria were highlighted to meet the government's lifelong learning agenda, with its emphasis on widening participation, improving standards and skills development (FEFC, 1999a, 1999b). A review of the FEFC strategic planning framework reflected the need to drive strategy in response to college needs rather than for planning information, to minimize the administrative on colleges, and to rationalise provision (ibid., 2004, p.70). Other research, however, has identified that since incorporation, colleges have been limited in making effective strategic choices through a lack of financial resources (Lumby, 2001, pp.71-83). With the demise of the FEFC in 2001 the responsibility for strategic planning has been taken forward by the Learning and Skills Council (LSC). The role of strategic planning for the management of change will be considered within the study.

The ideologies of social inclusion, widening participation and lifelong learning have helped to define the sector, its perceived responsibilities and have brought about a

change in the curriculum. These policies have permeated FE through a series of reports and legislation since 1992.

The Tomlinson Report (FEFC, 1996b), 'Inclusive Learning' looked at the provision for students with learning difficulties and disabilities (LDD). The Committee was established as a response to the new responsibilities placed on the FEFC and colleges in the FHE Act 1992. The report made a number of significant proposals to improve educational opportunities for students with LDD in both the short-term and structural proposals for the long-term. Several developments within the sector supported the implementation of the report including the more structured framework of strategic planning, the establishment of an additional support funding framework based on the individual needs of students, and three Inclusive Learning Quality Initiatives (FEFC, 1997a, 1998, 1999). Each of these initiatives included funding to encourage colleges to adopt the report's recommendations which were externally managed by FEDA. Stage three of the initiative includes the basic skills initiative following on from the publication of the Moser Report: 'Improving Literacy and Numeracy: A Fresh Start' in February 1999. As part of this ideology of inclusion, the Special Educational Needs and Disability Act 2001 amends part 4 of the Disability Discrimination Act 1995 and introduces rights for people with disabilities in further and higher education. There has been significant impact through the quality initiatives and with ongoing staff development. At each stage, the developments and use of this funding have been monitored carefully, initially by the FEFC inspectorate, then from April 2001 by Ofsted and the Adult Learning Inspectorate. The impact of the pressures for social inclusion has been to increase the diversity of the students within the FE sector. These initiatives have added to the agenda for change within the sector and increased pressure on teaching staff.

The Widening Participation committee, chaired by Helena Kennedy, produced a series of publications; however, its key report entitled 'Learning Works' appeared in June 1997. The emphasis in the report is on widening and not simply on increasing participation of disadvantaged groups in FE colleges. The key issues of this report

(Kennedy, 1997) relate to establishing a strategy framework including new national learning targets, a consistent policy framework by government for publicly funded further education, the establishment of learning centres to promote learning at work, with a national system of permanent local strategic partnerships to facilitate collaboration, and revision of the articles of governance to give corporations a responsibility to meet local needs. In addition, it called for a review of the funding methodology which had been set up in 1993, to award entry units to young people in inverse proportions to their previous level of attainment and to adults on the basis of relative levels of socio-economic deprivation using postcodes. It also recommended the creation of new systems of financial support. Local strategic partnerships were established to promote learning generally, to improve the sharing of information and to produce locally agreed targets and action to widen participation. This report and the subsequent review of the funding methodology called a halt to the 'new culture' in FE which had developed since incorporation, where 'financial considerations were pre-eminent' (Lumby, 2001, p.42). Subsequent government directives called for more collaboration and less competition between colleges.

The Fryer Report, 'Learning for the 21st Century' was published in November 1997 (Fryer, 1997) and its stated aims were to present the case for the development of a culture of lifelong learning for all, throughout the United Kingdom. The government had already announced (Fryer, 1997, Introduction) plans for expansion of an additional half million students in further and higher education by 2002 and four major initiatives to support the development of lifelong learning: New Deal, University for Industry (Ufi), Individual Learning Accounts (ILAs) and the National Grid for Learning. Ufi/Learndirect was launched in late 1999 and has established, with partners, a learndirect e-learning network. Learndirect is the national lifelong learning helpline for initial advice and guidance. In the first eighteen months 300,000 people registered for over 700,000 courses including information and communication technology, business and management, and basic skills (Ufi, 2002, Foreword). The Fryer Report led to a Green Paper, 'The Learning Age' (DfEE, 1998a) which was published on the same day as the response to the Kennedy

Report: 'Further Education for the New Millennium' (DfEE, 1998b). The key message in the Kennedy response document was very linked with the message in the Green Paper in terms of the Government's commitment to a learning society as central to social inclusion and economic success. The Government recognised the urgency of improving the nation's qualification base. Skills audits had shown that the UK had very significant underachievement at lower levels compared with other industrial nations. Seven million adults had no formal qualifications, the number of jobs requiring low level skills was in decline, 62 per cent of the adult population of working age did not have a level three qualification, and over 20 per cent of adults had poor basic skills (DfEE, 1998b, S2.4). In 'Further Education for the New Millennium', the Government recognised the FE sector as central to its educational policies and wider social agenda. One hundred million pounds of additional funding for colleges was announced to support this agenda, as well as increased access funds to directly support disadvantaged students, and the introduction of a widening participation factor based on the DoE index of deprivation linked to the tariff over three years. An additional ten million pounds was allocated for 1998 to 1999 as a first step in the process.

The consultation Green Paper, 'The Learning Age' had several implications for the FE sector. A key issue being widening participation in further education through Ufl and a restatement of commitment to raising standards, a collaborative approach to support and develop skills, and development of the qualification system (DfEE, 1998a, Introduction).

There have been several significant reports in the 1990s linked to White Papers, which have brought about major changes in the curriculum and learning in FE. The Dearing 'Review of Qualifications for 16-19 year olds' (Dearing, 1996) recommended a new national framework of qualifications with three pathways: GCE Advanced level and GCSE, Applied education (GNVQ) and vocational training (NVQ). Within this framework it proposed four National levels: Advanced (level 3), Intermediate (level 2), Foundation (level 1) and a new Entry level (pre-level 1).

The concept of Entry level was to allow access to learning pathways as part of the social inclusion and widening participation agendas. In order to provide flexibility and breadth, the new curriculum offer would allow students to mix a range of academic and applied GCE A levels within new modular qualifications which would include key skills awards. A new regulatory body, the Qualifications and Curriculum Authority, was established to bring together regulation and approval of academic and vocational qualifications for the new qualifications framework. The new framework of qualifications was implemented in September 2000. The impact of this change on colleges was very substantial as it comprised a very different curriculum, with a short period of time for staff to familiarise themselves with and implement these new qualifications.

A White Paper, 'Learning to Succeed – a new framework for post-16 learning' (DfEE, 1999b) set out radical reforms to modernise and simplify arrangements for the planning, funding, and delivery of quality assurance of post-16 education and training. Its proposals included the establishment of a single Learning and Skills Council (LSC) for England from April 2001 which would cover all post-16 education and training, excluding HE. The Paper reinforced the government policies of widening participation, the learning age, social inclusion and insufficient participation rates in post-16 education and training (DfEE, 1999b, chapter 1). The proposals were implemented in the Learning and Skills Act 2000 which brought about a change in the structure of the FE sector which had been established in 1993. The new quality framework, the Common Inspection Framework (CIF), related to all post-16 vocational training in schools, colleges and training providers. It would allow the government to apply common standards across post-16 vocational training and make value-for-money comparisons. In addition, the two inspectorates, the Office for Standards in Education (Ofsted) and the Adult Learning Inspectorate (ALI) started a cycle of area inspections of post-16 and vocational provision within LEAs. The aim was to provide strategic information for local LSCs to make decisions about the quality of provision within the area. The implementation of the Learning and Skills Act 2000 in April 2001 brought about changes to the FE sector

with a new funding body, a new and more rigorous inspection regime, and an ongoing series of political imperatives and curriculum changes. These changes were implemented only eight years after the major changes wrought by incorporation.

The final stage in this historical and legislative perspective on FE is consideration of further proposed changes. A discussion document 'Success For All' was published in June 2002 by the Department for Education and Skills (DfES, 2002) who were renamed at the implementation of the Learning and Skills Act 2000. This document redefines further education as a 'diverse learning and skills sector' which provides a 'diverse range of opportunities for 6 million learners' (ibid., 2002, p.3). This newly defined learning and skills sector (ibid., 2002, p.4) provides academic and vocational learning for 16-19 year olds; vocational education and training for adults seeking employment; workforce development for employers; second chance general education for adults; and learning for leisure and personal development. This redefinition widens the FE context which has a range of 4000 providers (ibid., 2002, p.4) including: general further education colleges, some HE institutions providing further education, sixth form colleges, specialist colleges, school sixth forms, local authority adult education institutions, and private and voluntary sector providers. In addition with the government's initiatives, the learning is delivered through a diverse range of settings including classroom-based provision, e-learning through learndirect centres, and training in the workplace (ibid., 2002, p.4). The discussion document identified, in explicit detail, the problems in FE sector colleges which had been caused by incorporation and the introduction of a 'harsh national funding regime which forced colleges to expand while cutting unit costs' (ibid., 2002, p.4). These include (ibid., 2002, p.5), a culture of decision-making which had been reactive to funding opportunities rather than based on a clear analysis of the organisations' mission and strengths; widely varying quality with an insufficient emphasis on standards, success rates and the development of excellence; and patterns of provision based on a history of competition and opportunistic provider expansion. There had been little strategic planning for coherent longer-term development of the supply side to provide the type and quality of provision local

learners and employers want. Within the sector, there was a workforce whose skills and career development had often been neglected. In addition, it was acknowledged that there has been a legacy of under-investment in the capital infrastructure with too much learning taking place in unattractive and inefficient buildings. 'Success for All' does, however, identify several strengths including commitment to inclusion, the important role that colleges play in their locality, and the scale and richness of innovation and good practice in learning delivery (ibid., 2002, pp.5-6).

The consultation process ended on 30th September 2002 with the final strategy being published in November 2002. 'Success for All' clearly brings together and extends other initiatives, which the government has set in place since 1993. It is linked to the curriculum reports, for example Kennedy (1997), Dearing (1996), Tomlinson (1996), and Fryer (1997) in that it states that the government are exploring opportunities for opening up unit achievement, the feasibility of a credit-based approach and their funding implications. This will support social inclusion and widening participation. Whereas, in the past only full achievement was funded, not partial achievement. Curriculum changes in 2000 and the national Entry level qualifications support access to the national framework. Work is still ongoing at level one and level two in the framework to support access. The area inspections which were introduced in 2001, which used both Ofsted and the Adult Learning Inspectorate (ALI), have provided information whilst the LSCs were becoming established. It will now be used as part of this planning process of colleges to enable them to decide with the Learning and Skills Council which strengths in their provision they will focus on. This will be done in liaison with the Local LSCs and their learning strategy and the skills needs of the area. The government's agenda on quality and standards, social inclusion, widening participation and providing the skills for a modern economy are central to this Paper. What was the Further Education sector has been redefined as the Learning and Skills sector and includes all post-16 provision (excluding HE). This requirement is central for the government strategies to be implemented.

Summary and Issues

The FE sector has changed significantly in the six decades since the 1944 Act. By 1956, student numbers had increased to 2,272,000 (HMSO, 1960) from 1,597,000 in 1946/47 (HMSO, 1950). This was the first real growth in the further education sector. The number of full-time teachers in further education increased from 4360 in 1946, to 12,477 in 1956, to 28,606 in 1963, to approximately 50,000 in 1970 (Cantor and Roberts, 1986, p.5). This significant increase in teachers occurring to meet the needs of the increase in full-time and part-time day students. Over the next decade, the number of students within further education increased from 2,092,000 total students in 1980 to 2,581,000 total students in 1987 (HMSO, 1990). The FEFC's final Annual Report (FEFC, 2000) 'A Landmark Year' provides some information about this specific time in the history of colleges under the auspices of the FEFC. In 1998-99, 3.8 million students enrolled at colleges in the FE sector in England, whilst 300,000 students enrolled at external institutions funded by FEFC (ibid., 2000, p.7). Of the students on FEFC-funded provision, 19.7 per cent were aged under 19 years and 80.3 per cent were adults (2000, p.7). For the same period, there was a two per cent rise in FEFC-funded student numbers in colleges, a four per cent rise in achievement rates, and almost one per cent rise in retention rates (ibid., 2000, p.8). In addition, the financial health of colleges had improved during 1999-2000. With 49 per cent of colleges financially robust, an increase of five per cent, and 18 per cent financially weak, a four per cent reduction (ibid., 2000, p.6); it appears that the FE sector had, after the initial hiccup that was incorporation, completed one section of its history with some improvements in quality and financial health. The recent proposals for a 'diverse learning and skills sector' acknowledge the significant and complex change brought about by incorporation in 1993. This is the context within which the study of the six colleges has taken place.

This chapter has considered a brief legislative and policy perspective on further education, the changes in its structure and definitions of the sector. The legislative and policy changes have resulted in a paradigm shift for the FE sector. From being

a fragmented, hard to define sector it is, through a need for implementation of government proposals, being carefully defined. It is also perhaps its broadest, albeit sharpest, definition since it began. Since 1993 there has been significant intervention by government with major changes in the way in which the sector is funded, a series of key reports which have established political imperatives for change, and the restructure of the curriculum to support such change. The focus has returned again to learning and the learner, whereas this focus was lost at the time of incorporation. This has involved a focus on helping students to learn how to learn and the inclusive learning quality initiative with its staff development has supported this. New technology and the National Grid for Learning have brought about change in colleges and the way in which students' learn. 'Pragmatic and social pressures have come together simultaneously with a shift in the paradigm of education' (Lumby, 2001, p.122). The focus of attention has moved from the intentions of the lecturer, that is, teaching, to the experience of the student, that is, learning. This paradigm shift has not been achieved without FE colleges undergoing major change in a short period of time. Some staff have found it difficult to adjust their perception and hence, the sector went through a phase of industrial conflict with their management. The role of middle managers has changed significantly in response to structural changes in FE colleges. In addition, social inclusion, quality and standards, and new technologies are now part of the sector. All of the themes and issues highlighted within this chapter establish the context in which the six case study colleges have operated during the empirical research study. The aim of this research is to look at how the six colleges have managed this imperative for change during the context of this short period from 1993 to 2000 with consideration of some of the themes that have been raised in this chapter.

The thesis is organised into eight chapters. Chapter One has been concerned with a description of the context within which the six colleges have had to function and evolve. It has reviewed the legislative imperatives which have defined its work and practices, examined the rate and nature of change and identified a significant number of themes for consideration within this study. Chapter Two is a review of

literature with a focus on theories of change, the organisational factors and the process of change. The aim is to provide a structure for consideration of the six case studies. Chapter Three discusses the methodology and procedures used in the research. Chapters Four, Five, Six and Seven present, analyse and discuss the research findings. Chapter Eight outlines the conclusions and recommendations.

CHAPTER TWO

A REVIEW OF THE LITERATURE

Introduction

Chapter One considered the significant change within the FE sector since the 1944 Education Act and the more recent imperative for nationally mandated change since 1993. In addition, several major themes were highlighted including how the FE sector has been shaped through legislation, national reports and the prevailing attitudes. Such breadth and rate of change, since 1993, inevitably raises the question of how colleges have managed this process. The first chapter identified that it is not just FE colleges that have changed but the wider context within which colleges operate. The implications will be considered within this chapter.

Further education has been intrinsically linked to developments in the labour market. The political and economic imperatives to increase the skills base within the United Kingdom, to ensure that it operates competitively within a global economy, have also had an impact on FE. In addition, government initiatives on social inclusion, quality, standards and new technologies have added to the increasing momentum of change. These factors have helped to shape the diversity of the student cohort in colleges, the curriculum delivery and the FE curriculum. Moreover this has resulted in key changes in personnel management and staffing requirements. Chapter One concluded that from being a fragmented, hard to define sector, FE is, through a need for implementation of a wide range of government initiatives, being carefully defined.

This chapter focuses on a review of relevant literature in relation to theories of change, organisational factors and the management of change. The aim is to provide a structure of key themes for the analysis of data from the six case studies. There

are no existing change models specific to the FE sector. Researchers at the University of Warwick criticise the available, albeit limited, literature on the FE sector as 'descriptive, policy-orientated and focused on single institutions' (Hughes et al., 1996, p.1). This issue influenced the decision to adopt a multi-site approach to the research paradigm within this specific study. Much of the current literature relates to business processes, although it may be argued that, with incorporation, FE colleges have had to introduce a more business-oriented approach, as well as reconcile the tensions between business efficiency and educational delivery. . Moreover, it is argued that education can learn from business models in the management of change because many commercial companies are more person-centred than many educational organisations (Morrison, 1998, p.9).

This chapter is structured into three main sections: the rhetoric of change which considers the general arguments about change; a theoretical framework for organisational change which considers a range of theoretical perspectives; and a theoretical framework which examines theories relating to organisational elements and change. The summary at the end of the chapter will identify key issues for FE which have been highlighted from this review of literature.

1. The Rhetoric of Change

In FE, there has been a radical shift of power, in 1993, from local education authorities to individual institutions overseen by a central funding body. The process of incorporation has brought about a significant change in the way in which colleges operate as independent organisations. The key to the level of impact of the change is the 'scope, scale and complexity of the change' (Carnall (1995, p.3). The more complex the change, then the greater the likelihood of adopting a more radical approach to that change (ibid., 1995, p.3). Not only have the changes involved structural alterations to the service, but these have led to significant cultural changes and increased customer expectations (Lumby, 2001, p.157). There is perceived to be an 'imperative of change' caused by major factors including: increased

competition through globalization and new technology, a demographic slump resulting in fewer 16 to 19 year-olds, changing workplace and skills shortages, more women managers, and increases in the size and complexity of organisations, including FE colleges (Mc.Calman and Paton, 1992, pp. 4-5; Dawson, 1994, p.13; Fullan, 2001a, p.6). These are part of the broader contextual changes within which colleges must operate.

It is argued that the 'crux of change is how individuals cope with it in reality' (Fullan, 1991, pp.30-31). Change, as a reality, plus the factors and processes involved, are perceived as greatly underestimated (ibid., 1991, pp.30-31). While individuals should accept change as a fact of life and work towards 'shared meaning, shared cognition, or interactive professionalism in making significant change a reality' (ibid., 1991, p.46). In support of this, there are arguments against 'individualism', which means the perception of the individual as being in control of his or her environment, towards an emphasis on the individual, and his or her abilities, as one facet of the many variables within any situation (Handy, 1999, pp.13-15). Implicit within this argument is a process of capacity-building. Capacity-building involves helping staff to be able to respond effectively to changes that they encounter by ensuring that they have the skills and knowledge required (Fullan, 2001b, p.269). Intrinsic to the capacity-building model, it has been argued, is 'distributed leadership along with social cohesion and trust' (Hopkins and Jackson, 2002, p.95). Much of the research on effective leadership and distributed leadership has focused on the schools sector, supported by the work of the National Council for School Leadership (NCSL). There has, however, been little empirical research of 'distributed leadership in action' (Bennett et al., 2003, p.4). Distributed leadership focuses on 'engaging expertise wherever this exists within the organization' rather than just through formal position' (Harris, 2004, p.13). In practice, it means giving authority to others throughout the organisation and empowering them to lead (Harris, 2002, p.22). Both of these concepts, distributed leadership and capacity-building, are linked to the importance of developing a learning organisation. These will be considered within this chapter and are themes

that will be considered within the case studies in relation to whether the colleges have prepared their managers and staff to facilitate change and, if so, how was this done.

Linked with this issue are the sometimes unacknowledged external pressures, the effects of which have to be integrated with the more overt nationally mandated change. Weil (1994, p.22) outlines some of the conflicting accountabilities and pressures currently within the broader context of the FE sector. These include: increased demands for improved comparative performance and specific performance indicators, increased competition, funding methodology, efficiency gains, increased accountability with a wide range of stakeholders, provision of high quality services, new technology, changes in curriculum, generation of additional income sources within a converging public sector expenditure, and steering a course between professionally determined criteria of effectiveness and those set by the stakeholders.

Educational change may often be seen as problematic because of the skills, knowledge and attitudes of those involved rather than the nature of the change (West-Burnham, 1994, pp.93-96). Within this perspective, the most significant barriers to educational establishments being able to incorporate new demands, as part of the normal processes of organisational life, are conservatism, concern about resources, the volume of change and inappropriate management styles (ibid., 1994, pp.93-96). One of the barriers to change in FE colleges is the 'conservative' attitude of some longer-serving staff to changes. This is highlighted in the case studies. Moreover, successful organisational development begins with the individual and their perception of change as a norm. This argument supports the need for extensive planning for change in FE, including capacity-building and effective communication with staff to ensure that they understand the underlying reasons for the change. However, without effective leadership, the 'process is doomed from the start' (ibid., 1994 p.96). As will be argued later in the chapter, leadership should be promoted at different levels within a college.

Several studies (Ulrich and Lake, 1991, pp.77-92; Vesey, 1991, pp.23-33; Senge, 1990, p.20) argue that effective leadership is a significant factor in managing change. As stated previously, change should be seen as the norm rather than as a series of one-off activities and managers should act as leaders of change and be proactive in the search for effective strategies. Moreover, this proactive approach involves facing up to difficult issues and resolving problems before they develop into crises (Senge, 1990, p.21). This new rhetoric of organisation action (Senge, 1990; Peters, 1987, p.401; Gray and Smeltzer, 1990, pp.615-616) or 'proactive leadership' is based on the premise that companies which cannot manage change will cease to exist. Given the complexity and pace of change within the FE sector, such rhetoric is relevant. It must be acknowledged that 'proactive leadership' requires a high level of skills and understanding for FE managers, many of whom began as lecturers. Colleges should be building the development of such skills into their management training programmes. Given the structure of colleges and the increasingly devolved responsibility, how can managers proactively manage change and ensure that their staff teams understand the process, if they do not have the relevant management skills. The themes of leadership and planning for change will be considered within the college case studies.

The counter argument to the rhetoric of change must be reviewed in order to present a balanced approach. There is a difference between voluntary and nationally mandated change, which must be acknowledged. All real change inevitably will involve 'loss, anxiety and struggle' (Marris, 1975, p.2). In addition, innovation 'cannot be assimilated unless its meaning is shared' (ibid., 1975, p.121). Individuals will have a sense of ambivalence during the transition period and be unsure in relation to the meaning of the change. What this study must address is the support and capacity-building, which the individual case study colleges have provided for their staff, including information on the rationale for change and an explanation of the process.

One of the key difficulties with educational change is that, in order to achieve greater meaning, we must understand both the 'small and big pictures'. The 'small picture' is concerned with 'the subjective meaning or lack of meaning for individuals at all levels within the educational system' (Fullan, 1991, p.8). Neglect of the phenomenology of change, or how people actually experience change in contrast with how it might have been intended, is central to the 'lack of success of most social reforms' (Fullan, 1991, p.4). More recent researchers have considered the negative side of the emotional aspects of change on individuals (Fullan, 2001b, pp.49-54; Morrison, 1998, pp.136-137; Carroll, 1996, p.43; Clarke, 1994, p.53-54). There are several issues that need to be considered by FE managers when planning for change. The first is the need to consider seriously the emotional aspects of change on staff. Secondly, if change deskills, which is inevitable, then loss of self-esteem and self-knowledge may follow, for all levels of staff. In addition, self-esteem and performance are perceived as being interlinked, perhaps through stress (Morrison, 1998, p.136). Finally, it is important for managers to analyse the factors affecting the initiation stage of change in order to identify facilitating and inhibiting factors at this key stage (Fullan, 2001b, pp. 49-54). These issues may be best defined as a series of staff needs which include their need to understand the change, its meaning for them and that change is now the norm. In addition, there must be a shared understanding of the context within which the change takes place as educational change is a socio-political process. There are several implications for FE colleges. The key implication is the effectiveness of leadership and management and its impact on how well change is planned and managed. Inherent within this is the capacity-building of middle managers and staff to give them the skills and confidence to deal effectively and proactively with the process of change. It also involves the effectiveness of the communication channels and information-flow in relation to staff understanding of the rationale for change and the process of change as a norm. Closely linked is the issue of support for staff for both the practical and emotional aspects of change.

2. Theoretical Framework for Organisational Change

This section reviews the theoretical perspectives underpinning organisational change. There are several difficulties in relation to the application of organisational theories within an educational context, and particularly within FE. A major difficulty has been the diverse background disciplines of the leading theorists, including anthropology, sociology, psychology, or social psychology, and its influence on their approach (Handy, 1999, p. 377). The second difficulty is that there is no single all-embracing theory relating to educational management. This is partly a reflection of the diversity of educational organisations and partly the varied nature of the problems encountered, which require diverse approaches and solutions. A third issue is that theories or 'perspectives' (House, 1981, p.17) in education and the social sciences are very different from scientific theories. These former perspectives relate to a changing situation and are different ways of viewing a problem rather than a scientific consensus as to what is true. Scientific theories, however, comprise a set of beliefs, values and techniques that are shared within a particular field of enquiry. Moreover, 'in education several perspectives may be valid simultaneously' (House, 1981, p.17). The fourth issue is that theoretical approaches taught at British, American and Australian educational institutions, and promoted in textbooks, have tended to be conservative and rigid (Dawson, 1994, pp.10-11). Such conservatism may limit discussion on alternative models and the ongoing academic debate. A fifth difficulty, about the research ethos, proposes that the research in organisations is 'an empirical science premised on quantitative data' and may give rise to a research ethos based on a macho approach, where theoretical mastery can only ever be ceded by those who control their numbers (Clegg, 1990, p.105). In the next chapter it will be seen that the decision to adopt a qualitative research paradigm arises from review of these issues. An additional issue may lie within the structure and status of the FE sector itself and the difficulties in its definition that are only now being resolved. The final difficulty lies in the use of differing terms to explain similar phenomena.

The differing terminology emanates from organisation theory which tends to be theory for understanding, or from management theory which has a more direct relevance for practice (Bush, 1989, p.21). There are some disadvantages of educational management theories (ibid., 1989, p.21) in that they tend to be normative as they reject beliefs about the nature of educational institutions and the behaviour of individuals within them. Yet these are significant factors in relation to how colleges operate. In addition, they tend to be partial in that they emphasise certain aspects of the institution at the expense of other elements. These issues reinforce the underlying rationale for adopting a qualitative paradigm for this research.

Several researchers' emphasise the importance of managers having an overview of organisational theories and concepts to provide a framework for managerial decisions (Argyris and Schon, 1978, p.5; Bush, 1989, p.19; Handy, 1999, p.16). These researchers' emphasise the links between an understanding of the theory, and its relevance to the practical environment through analysis of each situation, followed by action and implementation. This highlights a need for capacity-building within the FE sector. Fullan (2001b, pp.187-188) expands on this by explaining that for effective change in educational settings, there needs to be a theory of pedagogy and a theory of change which interlink constantly. The former is perceived as focusing on assumptions about learning, instruction, and performance, whereas the latter tends to focus on local context such as the conditions under which the model will work (ibid., 2001b, p.187). Fullan (2001b, pp. 187-188) cites several researchers (Stokes, Sato, McLaughlin, and Talbert, 1997; Lewis et al., 1998; and McLaughlin and Mitra, 2000) who analysed intervention models and found that, within educational contexts, the models which focused on both pedagogy and local context were more successful. This has significance for the FE sector as both pedagogy and context have undergone significant change since incorporation.

In order to provide a comprehensive basis for the theoretical framework, an overview, of several diverse but fundamental theories, is provided. These include the modernist and post modernist perspective of the world in which organisations exist, theories of chaos and complexity, motivation theories, and theories of power and influence.

a) Modernist and Post-modern Perspective on Organisations

Morrison (1998, p.2) argues that ‘we are moving from a modernist world and its modernist conception of the world and industry to a post-modern world and a postmodernist conception of the world and industry’. The modernistic institution is perceived as large, bureaucratic, departmentalised, hierarchical and inflexible with clearly defined power-bases for control and decision-making (ibid., 1998, p.2). He cites Hargreaves (1994) who perceives most large educational institutions as typifying modernistic conceptions of education as a mass factory model. With postmodernism, however, has come a shift towards flexibility, responsiveness, consumerism and client satisfaction (ibid., 1998, p.2). This perception reflects the paradigm shift towards customer orientation that has developed within the FE sector since incorporation. In the first round of post-incorporation FEFC inspections from 1993 to 1997, colleges were inspected and graded on their responsiveness to the community needs. Provision in FE colleges has to be flexible to meet the needs of an increasingly diverse college population. College charters have to communicate explicitly their service standards to their customers. This all reflects the postmodernist perspective of organisations and is one of the key issues identified in the case studies.

The post-modernist perspective has brought about changing assumptions in relation to organisational thinking, including the extent to which ‘brains have replaced muscles as the key component of added value’ (Handy, 1999, p.349). It may be argued, however, that information only becomes valuable in a social context when it is used for organisational learning, knowledge and making judgements (Brown and

Duguid, 2000, p.213). Only with this attitude would there be a knowledge-based culture.

Although educational organisations may have invested heavily in technology and possible training, there has been little investment in knowledge sharing and creation (Fullan 2001a, p.79). When they do attempt to share and use new knowledge they find it difficult (ibid., 2001a, p.79). One example is the sharing of best practice within an organisation, which is a highly relevant issue in the FE sector. Identification of best practice usually goes reasonably well, but difficulties arise when it comes to transfer and use of knowledge. Within educational contexts the benefits of local networks are highlighted because 'it is when we are learning in context that knowledge becomes specific and useable' (ibid. 2001a, pp.104-105).

Postmodernism, however, brings its own difficulties. It is suggested that much of postmodernism is an indulgence of the affluent and is too time-bound (Jameson, 1991, p.376). It has brought a rise in uncertainty, fragmentation, a search for meaning and authenticity, the need for flexibility and problem-solving capability, unpredictability, the compression of time and space that can lead to stress and burnout, and the uncertain, intangible and provisional nature of knowledge (ibid., 1991, p.376). The results may then be predictable as work becomes instrumental, is done only for its extrinsic rewards and results in a fairly high level of absenteeism (Handy, 1999, p.349). Change and reform in FE are inescapable. These changes are and have been wide ranging, and have had a significant impact on all aspects of FE colleges, not least the college culture and management of change. The broader context with its shift towards a post-modernist culture inevitably contributes towards the change in colleges.

b) Theories of Chaos and Complexity

With the change to a postmodernist paradigm, there has been a convergence of theories, knowledge bases, ideas and strategies that help people and organisations to

confront complex problems (Fullan, 2001a, pp. 2-5). This convergence has created a 'new mind-set' (ibid., 2001a, p.3) or framework to analyse and lead complex change more effectively. In addition, 'all this complexity keeps people on the edge of chaos' and it is important to be on that edge because 'that is where creativity resides, anarchy lurks there too' (ibid., 2001a, p.6). Earlier in this chapter, the issues of proactive leadership and the emotional aspects of change on staff were highlighted. It was argued that managers should be provided with the skills to lead and manage change. Inherent within the process of managing change is the need to plan effectively and communicate clearly with staff about the change and the process. For individuals to participate within a creative process of change, they need to understand it fully.

Daft (2002, p. 13) reviews the work of Wheatley (1992). Wheatley explores how leaders are redesigning organisations to survive in a 'quantum world', that is fast-paced and chaotic. Within this perspective, rigid, control-oriented organisations do not work well in a world of instant information, constant change, and global competition. Order emerges through a web of relationships that make up the whole, not as a result of controls on individual parts. In organisations, the relationships or 'fields' that bind people include vision, shared values, culture and information. Organisations, like all open systems, grow and change in reaction to disequilibrium, and disorder can be a source of new order. This highlights several implications for leading modern organisations (Daft, 2002, p.13). Leaders should nurture relationships between people with clear strategic management and freedom from strict rules and controls. Boundaries between departments and organisations should be reduced to allow new patterns of relationships. Leaders and staff within organisations need to become comfortable with uncertainty and recognise that solutions are only temporary and specific to the immediate context. Creative solutions are developed through the relationship of people and their understanding of the circumstances. Finally, there needs to be recognition that healthy growth of people is found in disequilibrium and not in stability. Certainly the disequilibrium is true of the rate of change required by colleges since incorporation. This emphasises

the need for colleges to be learning organisations within a culture where staff are comfortable with uncertainty. Staff within such a culture, need to understand fully the change process. In a postmodernist paradigm, there is a clear concept of knowledge management, which relies on a culture of sharing, and collaboration. Reduction in boundaries helps this process and highlights the importance of organisational structures. Again, an emphasis is on a culture with effective communication, capacity-building and leadership.

Relationship-building is a key issue for leaders. A key measure of successful reform in educational organisations is whether relationships improve (Fullan, 2001b, pp.101-102). This is a difficult challenge when the focus is on solving complex problems as an ongoing process. In complex environments, a primary management task is that of coping with and even using unpredictability, clashing counter-cultures, disensus, contention, conflict and inconsistency (Stacey, 1996a, pp. xix-xx). In short, the main task, which justifies the existence of all managers, has to do with instability, irregularity, difference and disorder. In this complexity theory of organisations (ibid., 1996a, p. 349), organisations are made up of webs of non-linear feedback loops linked to other people and organisations by webs of non-linear feedback loops. The perception is that all organisations are paradoxes and are powerfully pulled towards stability by the forces of integration, maintenance controls, and human desire for security and certainty. At the same time, however, they are also pulled towards the opposing extreme of unstable equilibrium by the forces of division and decentralisation, human desire for excitement and innovation, and isolation from the environment. A key issue is that if an organisation gives in to the pull for stability it fails because it ossifies and therefore, cannot change easily. In contrast, if it gives in to the pull for instability it disintegrates (ibid., 1996a, p.349). Within this theory, success lies in sustaining an organisation in the borders between stability and instability. This is seen as a state of chaos, a difficult-to-maintain dissipative structure (ibid., 1996a, p. 349). Long-term development is seen as a spontaneously self-organising process from which new strategic directions may emerge. Within this perspective, spontaneous self-organisation is political

interaction and learning in groups. This is a fundamental issue in relation to how colleges perceive the overall process of change and how they plan to manage it. The research suggests the only through a learning orientation, with a culture of sharing and collaboration, can such complex problems be resolved in complex organisations (Senge et al., 1999, p.26). Learning organisations will be examined later in the chapter. In the post-modernist society, 'change, uncertainty, openness are the order of the day' and a premium is placed on organisations that can respond to, cope with and lead change (Morrison, 1998, p.5).

c) Motivation Theory and Change

At the time of incorporation there was little experience of human resource management in the FE sector as such areas were dealt with by the local education authorities. Conditions of service were encapsulated in the 'Silver Book' which offered staff the protection of a nationally agreed framework. Silver Book conditions of service had implicit within them a model or set of assumptions about how colleges worked. These included a separation between lecturers and other staff. The key pedagogic role of the lecturer was standing in front of a classroom group, the notion of teaching as the role of the lecturer as opposed to the management of learning, and the view that traditional patterns of college terms and holidays are the right way to deliver education and training (Gorringe, 1994, p.49). The changes at incorporation challenged these traditional assumptions and created an FE context where some of the lecturers felt that their position was undermined. Many lecturers chose to work in the FE sector because of these very assumptions. This situation led to industrial action and considerable discord between lecturers and management. An additional issue, is that many curriculum managers had entered FE colleges as lecturers and been promoted. At incorporation, their jobs changed and because of this, they found themselves in conflict with staff who were colleagues. From this researcher's experience, many middle managers suffered role conflict because of their own personally held assumptions. With industrial dispute, some crossed picket

lines involving colleagues. This did not help relationship development and was a difficult context within which to manage staff motivation.

Motivation theory, however, is central to the management of change within FE colleges because effective change in many respects hinges on the people within the organisation, their involvement and development (Harvey-Jones, 1988, p.249). Implicit within this concept is an acknowledgement that most individuals have considerable personal and emotional investment in the organisation in which they work. Earlier in this chapter, the counter argument to the rhetoric of change considered the impact of change on individuals including the personal and social aspects. Change is intensely personal because it requires people to do something different, to perceive something in a different way and to feel something different (Duck, 1993, p.109). However, it is not the individual's perception of change as negative or positive that is the key but how they handle this feeling (ibid., 1993, p.113). The concept of empowerment of employees, which many senior managers in the case study colleges talk about, may be defined as 'involvement and support for people in change rather than abandonment' (Morrison, 1998, p.121). Discussion of the complexities of motivation, poses the question as to whether there is an internal decision-making process, 'any one set of forces' within individuals which 'pushes us one way or the other' (Handy, 1999, p.29). The body of knowledge covering these questions is motivation theory.

The early motivation theories may be placed under three headings. First are satisfaction theories, which hold the assumption that a satisfied worker is a productive worker. There is strong support for the suggestion that a satisfied worker tends to stay in the same organisation and there is a positive correlation with mental health. There is, however, little evidence to support the premise that a satisfied worker works harder (Handy, 1999, p.31). The second group of theories are incentive theories, whose underlying assumption is based on the principle of reinforcement. Individuals will work harder given specific reward or encouragement for good performance. Most of the studies in this area have

concentrated on 'pay' or 'money' as a motivator (ibid., 1999, p.31). The third set of theories, intrinsic theories, derive from the seminal work of Maslow who categorised human needs in a hierarchical structure, with a lower order of physiological needs, rising through safety needs, belonging and love needs, esteem needs, to self-actualisation needs. Research, however, does not support the idea that needs become less powerful as they are satisfied, except at the foundation level and indeed, the issue is more complex than that as each of us may have different levels of each kind of need (ibid., 1999, p.33). An assumption of intrinsic theorists is that the higher order needs are more prevalent in modern individuals than we acknowledge. More specifically, that we can gain satisfaction from the job itself, provided that we have freedom to determine what the job is and how we do it (ibid. 1999, pp.33-34). Rewards tend to lie in the task itself or in the relationships with the group. These theories are appealing but there is evidence to suggest that they do not work well if technology prevents the individual from having control over his or her job design; and when the individual does not have strong needs for self-actualisation, or alternatively likes an authoritarian approach (ibid., 1999, pp.33-34).

These theories are all based on underlying assumptions about individuals. Given the context of FE and the issues of de-motivation of staff, highlighted by many interviewees, a brief review of motivation theories is justified. The type of theory, that we each subscribe to, will affect our views about management and the people in the organisation (Handy, 1999, p.35).

It is important to relate motivation theories to the process of change. Individuals react to and cope with change in a variety of ways, ranging from complete rejection to complete acceptance. Senge (1990, pp. 219-220) identifies a continuum for this motivation, which moves from apathy (no interest or energy), to non-compliance (sees no benefits in the change and will not be forced), to grudging compliance (forced to change against their will – does not want to lose their job), to formal compliance (doing what is expected but no more), to genuine compliance (doing everything expected but no more – follows the letter of the law), and enrolment

(doing whatever is required within the spirit of the law), to commitment (complete involvement to make it work). There is, however, a difference between being genuinely compliant and enrolled and committed (ibid., 1990, p.221). People who are enrolled and committed truly want the vision. Whereas genuinely compliant people accept the vision for a variety of reasons. They may want it in order to get something else, for example, to keep their job, or to make their manager happy, or to get a promotion. They do not, however, truly want the vision in and of itself. Individuals' reactions to change vary in accordance with their perceptions of the change. This relates to several factors, whether they find the change attractive, revolutionary, and whether they themselves are comfortable with change. Some people are more naturally committed to change: 'the innovators' (Morrison, 1998, p.122). Whilst some people fear change, others want it, others are cautious about whether it is possible, and others struggle to ensure that it works (Harvey-Jones, 1988, p.107-108). Underlying this range of emotions is the central issue of the individual's motivation for change. One key factor is that people's motivation to change is often a function of whether they regard the change as an improvement. If they do not then some resistance can be anticipated (Morrison, 1998, p.122).

As identified previously motivation is based on individual need, and it is important to consider that each individual has his, or her, own set of individual needs, sets that may differ widely. The relative importance of each need in a set may change over time (Handy, 1999, p.40). Under Northouse's path-goal theory linked with leadership, the challenge is to use a leadership style that best meets individuals' motivational needs. This is achieved by choosing behaviours that complement or supplement what is missing in the work setting (Northouse, 2000, p.90). For example, leaders provide information or rewards, or elements that they think are needed to help individuals reach their goals.

Resistance to change is a significant issue for this study. It is natural and, in some instances, may be unavoidable. There are four significant barriers to change (Morrison, 1998, p.122). The first are value barriers, where the proposed change challenges one's value system. Second are power barriers, where individuals may

accept an innovation if it brings them greater power, or conversely, they may resist if it diminishes their power. Third are psychological barriers, where people resist the challenge to security, confidence, emotional well-being and homeostasis that change brings. Finally, practical barriers are where people will resist change if it threatens to deskill them, if the investment in reskilling is too daunting, or if resources (e.g. materials, people, time, money, space, administrative support, expertise) are insufficient to support the change. This is a key area of knowledge for FE managers to understand and identify during the planning stage.

The theory of cognitive dissonance argues that if a change is proposed that is dissonant with the attitudes, practices and beliefs of those involved, then resistance should be expected, unless those affected are prepared to change their attitudes (Burnes, 1996, p.320). There are four main types of resistance: people focused, system focused, organisation focused, and politics focused (Markus, 1983, pp.430-434). If resistance is encountered in the first two types then solutions might be relatively straightforward, for example, improved training, better staff. However, if resistance is in the latter two, then these are more difficult to resolve (ibid., 1983, pp.430-434).

Change affects behaviour, psychological state and social relations, and these are devolved on predispositions and feelings about change. These include feelings of security and insecurity; potential for conflict between existing and proposed norms; the degree of trust in colleagues, senior managers and unions; recent events; the perceived degree of the threat; specific anxieties about aspects of the change; and concerns about how the change will be implemented (Judson, 1991, pp.66-67). There are several critical dimensions of resistance to change in relation to those factors that will maximise or minimise resistance (ibid., 1991, p.67). These factors include potential economic losses and gains, personal security and insecurity, personal convenience and inconvenience, job satisfaction and dissatisfaction, interpersonal relationships and whether they are improved or worsened, satisfaction and dissatisfaction with the management of the change, and change to beliefs and values. Judson (ibid., 1991, pp.66-67) offers a whole spectrum of techniques for use

by managers to address these factors, including compulsion, persuasion, reassurance and security; empathy and understanding; managers personally involved in the change; their openness to criticism of the change and being prepared to make modifications.

A different perspective is that organisations need to take a very different planning approach to resisters to change as they may have some good ideas and 'you ignore them at your peril if they stay around for implementation' (Fullan, 2001b, pp.91 – 100). FE managers, therefore, should take resisters to change very seriously and treat them as a source of learning. Resisters may be right and have 'good sense' in seeing through the change as faddish, misdirected and unworkable. Therefore, resistance to change can be instructive. In addition, 'they may see alternatives we never dreamed of' (Maurer, 1996, p.49). While it is healthy for senior managers to be questioned, it is not proposed that resistance 'should carry the day' (ibid., 2001b, p.100). There is a need, however, for more powerful and sensitive strategies to help instigate the learning and commitment that is required for actual implementation and sustained impact. Communication with the implementers about the intended change and its outcomes is vital to allow continual development of initial ideas and effective implementation. This will allow 'people to react, to form their own position, to interact with other implementers, and to obtain technical assistance' (Fullan, 2001b, p.108). Fullan calls this 'a process of clarification' for those implementing the change (ibid., 2001b, p.108).

So how can people be motivated? As identified previously, individuals are variable, unique and therefore, have differing needs and motivations. Their needs vary in content, priority and importance, and interact with each other to produce new needs. Needs and motivations change over time and context, and at any one time there will be a combination of motivations and needs at work. This appears to reject the simplistic concepts of individuals in the rational-economic, social and self-actualising perspectives. A significant key to motivation appears to be empowerment (Morrison, 1998, p.131). Empowerment may be developed through widespread involvement in decision-making, listening, celebrating, recognising

achievement, training and developing people, providing incentive pay for everyone, providing security of employment, and eliminating humiliating and unsatisfactory working conditions and management styles (Peters, 1987, pp.283-286). A cautionary note is that incentives and reward systems must motivate everybody, rather than a select few, which sends out a message that some people are more valuable than others (Wickens, 1995, p.115-116).

The human relations model, which is a social-psychological approach to change based on the work of Mayo (1933, 1945) and Likert (1961, 1967), focuses on the emotional side of individuals and organisations, calls for flexibility, networking, motivation and for a move away from rigid rules. It argues that people will direct and control themselves in the service of objectives to which they are committed (Morrison, 1998, pp.149-150). It is, therefore, the role of management to create the conditions so that members of the organisation can achieve their own goals successfully by directing their activities towards the corporate success of the organisation (McGregor, 1960, p.49). This approach highlights two significant issues relating to the management of change (Guest, 1984, p.184). The first is its focus on the importance of the social system and social relations. The assumption is that improving the social system would result in cohesive social groups and the integration of management and worker goals. These in turn would lead to improved staff satisfaction, morale and commitment. The second is its advocacy of a highly participative style of management, based on a principle of organisational integration with a positive focus on human resources. The approach to the management of change should focus on the whole organisation and include use of feedback and restructuring, together with planned training programmes to develop participative management and open communication (ibid., 1984, p.184). In support of this approach, Morrison (1998, p.148) advocates that, for change to be successful in educational institutions, work will need to be delegated to multifunctional teams whilst project managers will replace hierarchical management structures. Structures, therefore, will become flatter, networking will be extensive and change will be facilitated through experts and expertise.

So, what are the implications of these theories for this study of FE colleges? One of the key issues is around empowerment a concept that many senior managers highlighted during the interviews. In addition, managers in further education need an understanding of the phenomenology of change, to be able to identify and be aware of motivation and resistance for change and be prepared to modify initial plans for the change as part of the change process. Managers, therefore, need to have an understanding of the theories of motivation, their impact on the change process and be able to analyse the implications for their own organisation at each of the planning stages. In addition, there are implications for the style of management in relation to motivating staff resources, which links back to organisational culture, communication channels and capacity-building for managers. Indeed the culture of the organisation is dependant upon the managers having an appropriate management style and attitude to the staff.

d) Theories of Power and Influence, and Change

Aspects of the power-political theory of organisations have been discussed earlier in this chapter. Motivation theory looked at why people behave as they do. Power and influence permeate the texture of organisations and their interactions. Power enables individuals to have influence both internally and externally to their organisation. As highlighted in the section on motivation theory, perceived loss or gain in power may act as a significant resistor or motivator to change implementation (Morrison, 1998, p.122).

A political environment is one in which 'who' is more important than 'what' (Senge, 1990, p.273) For example, if a senior manager or other key manager proposes an idea, the idea is taken seriously. If someone else proposes a new idea, it may be ignored. Within this environment, therefore, there will be 'winners' and 'losers', people who are building their power and people who are losing power. The wielding of arbitrary power over others is the essence of authoritarianism. So in this

sense, a political environment is an authoritarian environment, even if those possessing the power are not in official positions of authority. Power is relative and as such will change as the context within which it is exercised changes (Handy, 1999, pp.125-133). Power can be about resources, role or position within an organisation, acknowledged expertise, charisma or popularity or even negative power such as acting as a 'gatekeeper' to screen out information or activities (ibid., 1999, p.131).

What are the implications for FE managers of power and influence within an organisation? An individual's role and role relationships between the individual and those he or she wishes to influence will tend to determine the methods of influence used. As a leader of a group or department, the individual's estimate of the source of power in relation to the group will affect their leadership behaviour on the leadership behaviour continuum (Handy, 1999, pp.148-149).

In the field of education, the significance of micropolitics cannot be overstated, as it has been acknowledged for over two decades that schools and colleges are micropolitical organisations, where an apparently rational, logical approach to management may conceal powerful tides of values and allegiances, which have at least as much effect as shaping what happens within the organisation as the overt rationale (Lumby, 2001, p.5). Micropolitics may be more concerned with interests rather than goals, influence rather than authority, coalitions rather than departments, groups rather than the whole institution, and strategies rather than procedures (Hoyle, 1986, pp.125-149). Hoyle proposes that a significant theoretical underpinning of micropolitics is exchange theory in that there is no single locus of power. Exchange theory or 'exchange methods of influence' (Handy, 1999, pp. 133-135) derive from the work of Foucault (1980) who argues that power is relative rather than absolute. In addition, power is plural, mobile, fluid, negotiated, constantly distributed and redistributed, and fragmentary (ibid., 1980, p.98). Power manifests itself in the network of social relationships (Usher and Edwards, 1994, p.89). In relation to this theory then, we might regard the process and dynamics of

change as a series of trade-offs (Morrison, 1998, p.133). Morrison examines exchange theory for the management of change and suggests that there is a need to take seriously the view that trade-offs will have to be made in the management of change and that the micropolitics of the organisation will have to feature when planning the change process. In addition, individuals and groups have a legitimate expectation of something to be gained by the change.

Challenging internal politics starts with building shared vision, as without a genuine sense of common vision and values, there is nothing to motivate people beyond self-interest (Senge, 1990 p.274). Merit and not politics should dominate an organisational culture. To develop a non-political culture requires openness. This openness should have two elements: participative openness where there is a norm of speaking openly and honestly about important issues, and reflective openness which involves the capacity to continually challenge one's own thinking (Senge, 1990, p.274). Teamwork and connection, empowerment and trust, risk-taking and innovativeness, and support for action, needs to replace the hierarchical, bureaucratic and more controlling approaches (Carnall, 1995, p.38). As Senge identifies, one of the strengths of the concept of a culture is the significance it places on shared norms, assumptions, values, beliefs and practices (ibid., 1990, p. 274). Concepts of leadership, culture and learning organisations will be considered later in the chapter.

3. Theoretical Framework: Organisational Elements and Change

This section will examine the organisational elements, and the way in which they support the processes of change. As an introduction to these elements it is important to identify and discuss the characteristics of the change process. The key organisational elements to be reviewed are culture, structure, leadership and management, planning for organisational development, and teamwork. In addition, the concept of learning organisations and knowledge building will be considered.

In 1993 the FEFC emphasised strategic planning as the vehicle for the management of the long-term direction of a college. Inherent within the process of strategic planning is the strategic management of change. Strategic change may be defined as 'the reshaping of strategy, structure and culture of an organisation over time' (Grundy, 1994, pp.19-20). This definition identifies the three elements of the change system as the strategy, structure and culture of an organisation. Central to the model is the need for the skilful and conscious co-ordination of the elements. Leadership is perceived as the key link between strategy and the organisational structures, which include the formal reporting relationships, and the roles and activities within the organisation. Burnes (1996, p.151) suggests that the components of an organisation include structure, politics, culture and managerial style, which have a correlation with Grundy's elements defined above. Within this definition, organisational change comprises three elements, the process of choice which refers to how decisions are taken within the organisation; the trajectory process which is the history of where the organisation is coming from and its vision or where it is going to; and the change process which is how the vision will be realised in practice (ibid., 1996, p.323).

Egan (1994) has referred to the 'shadow side' of organisations meaning the dynamics at work within organisations. He defines this (Egan, 1994, p.4) as:

All the important activities and arrangements that do not get identified, discussed, and managed in decision-making forums that can make a difference.

As such they fall outside the reach of ordinary managerial intervention and can affect both productivity and quality. Egan argues that the 'shadow-side' needs to be identified and managed to support a preferred culture and so facilitate change. This relates to the political theories outlined in the previous section.

a) Characteristics of the Change Process: Planning for Change

It is possible to identify several stages to change. One model identifies invention, development, diffusion or dissemination, adoption, implementation, institutionalisation and recommendation (Morrison, 1998, p.18). Fullan (1991, pp. 47-48) identifies four phases of change, initiation, implementation, continuation, and outcome. There are correlations between these models, although Morrison's model is broken down into smaller stages. For example, Fullan's 'continuation' correlates with Morrison's 'institutionalisation' and refers to whether the change gets built in as an ongoing part of the system (Fullan, 1991, p.48).

There are several issues to consider. First, these are very simplified versions and there are numerous factors operating at each phase. Secondly, it is not a linear process because events at one phase can feedback to alter decisions made at previous stages and these then proceed to work their way through in a continuous and interactive way. The third issue is that of timescale for phases as well as sub-phases. Fullan (1991, p.49) argues that implementation for most changes takes two or more years and only then can the change be considered to have been implemented. The line between implementation and continuation is, therefore, somewhat arbitrary.

It is important to consider some of these underlying issues in relation to the planning for the management of change. The four factors related to the characteristics of change include need, clarity, complexity and quality (Fullan, 2001b, pp. 75- 79). No organisation should attempt a change project without a careful examination of whether it addresses priority needs. The key issue is how important the change is relative to other needs and the establishment of priorities. In many instances, precise needs are often unclear at the beginning, especially when the change is complex and it may become more or less clear during implementation. In addition, need interacts with the other factors, clarity, complexity and quality as well as local characteristics and external factors. Finding clarity among complex change is a major problem. The more complex the change, the greater the problem of clarity (Fullan, 2001b, p.77). A lack of clarity about goals or unspecified means of

implementation represents a significant planning problem at the implementation stage. When the interpretation of change is oversimplified, it may be described as 'false clarity' (Fullan, 2001b, p.77) and the proposed change has more to it than people perceive. This can lead to anxiety and frustration for those trying to implement the change. Complexity refers to the difficulty and extent of change required of the people responsible for implementation. For instance, simple changes may be easier to carry out but may not make much difference. Whereas complex changes promise to accomplish more but also demand more effort. In this instance, however, failure takes a greater toll. There is a need for a greater understanding of the 'big picture' as well as the individual's place in it (Fullan, 2001b, p.78). The history of the quality of attempted changes relative to the other three variables, (need, clarity and complexity) is revealing. Inadequate quality and even the simple unavailability of materials and other resources can result when adoption decisions are made on the grounds of political necessity, or even on the grounds of perceived need without time for development. Key issues for planning change projects include planning sufficient time between the initiation decision and the start-up of the project to review matters of quality and a greater attention to front-end quality (Fullan, 2001b, p.79).

Other necessary conditions must be carefully planned for effective change to occur (Carnall, 1995, p.6). The first condition is that the stakeholders have a good awareness of the proposed change so that they understand and believe in the vision, the strategy and the implementation plans. The second condition is the stakeholders' belief in their capability to develop the necessary skills and be able to cope with and take advantage of these changes. The final condition relates to inclusion, in that the stakeholders feel that they value the new jobs, opportunities etc, and choose to behave in the new ways. These new ways may include new attitudes, skills and ways of working.

An underlying theme highlighted by consideration of these elements is the importance of communication as a fundamental condition of the management of

change. In addition, it also highlights the multi-level nature of change. Change can occur at several levels (Morrison, 1998, p.49): at the individual level involving attitudes, values, behaviour and skills; at the structures and systems level with the organisation of work, incentives and rewards; and at the cultural level including organisational climate affecting styles of decision-making and the management of conflict. Within an educational setting, where there is a focus and dependency on people to support organisational effectiveness, the 'culture is developed and maintained through carefully managed communication' (Bennett, 1993, p.28).

It may be argued that effective change management engages the whole question of organisational development and requires organisational learning. Central to effective strategic planning is the drawing up of objectives, aims, goals or targets, and an effective organisation is 'future-oriented' (Morrison, 1998, p.38). Effective organisations focus the planning of their objectives on four phases in the change process: the trigger or impulse for change when consideration is given of how to start; the remit which identifies the tasks and purposes of the change; the assessment team with clearly identified purposes, roles and tasks which feed into the processes of change; and the assessment of the impact and effectiveness of the change (Burnes, 1996, p.323).

For planned change strategies to be effective, their implementation should not 'cut across' existing organisational practices or structures (Morrison, 1998, p.36). Organisations' must consider several factors to help plan for successful change strategy implementation. Accountability and responsibility for the success of the change project must be clearly allocated. The organisation must place limits on the number of change strategies taking place at any one time. The actions that need to be taken in order to achieve the strategic objectives must be specified clearly with allocation and agreement of responsibilities for each of these actions. The project evaluation processes must be identified at the beginning in terms of clear milestones, progress points and evaluation criteria. In addition, there must be identification of the key performance measures that will be used for monitoring the project, together

with an appropriate recording system (Morrison, 1998, p.37). Such planned strategy development for the management of change can only be achieved through collective staff involvement, empowerment and open consultation. In respect of the required change in the human and social systems of an organisation, this is closely interlinked with culture change through organisational development (OD) (Daft, 2002, p.603), which is seen as a 'planned systematic process of change'. The OD model is based on analysis of the organisational needs for development and the development of an appropriate strategy for change. This approach uses behavioural science knowledge and techniques to improve an organisation's ability to adapt to the environment, improve internal relationships, and increase learning and problem-solving capacity.

Several advantages have been identified by researchers. First, the overall approach of OD is to find ways of integrating the goals and values of the individual with that of the organisation, and its worth lies in its willingness to focus on the problems of the organisation directly (Handy, 1999, p.248). Second, the OD approach is perceived as sensitive to the history and micropolitics of the organisation and to the need for trust and morale to be established as a foundation for change. It recognizes the value of people to organisations and that their motivation is essential for organisational effectiveness (Morrison, 1998, pp.41-42).

An organisational development (OD) model (McCalman and Paton, 1992, p.124) identifies four priority areas to focus on when planning for effective change. The first involves motivation of the individual which is dependant on situational and personality variables, including the range of outcomes provided by the work roles, and individual differences in response to these outcomes. Job and work design are key features of OD models. The third area is that of interpersonal relationships. The work of Argyris (1970, 1985, and Argyris and Schon, 1978) underpins the OD model because of its emphasis on individual development towards maturity in the workplace and interpersonal relations within the work group. Argyris (1970, pp.38-39) argues that maturity in individuals in the workplace is hindered by the

management approach and poor interpersonal competence. The last priority area to consider for planning is participative management which uses techniques to enable workforce participation and involvement. In order to facilitate effective change, an organisation must be able to establish performance criteria and design itself to meet those criteria (McCalman and Paton, 1992, pp.124-128).

This section has considered some of the key characteristics of the change process when planning for change as part of the theoretical framework. The importance of strategic planning and effective communication has been emphasised, and of planned staff awareness and involvement. The review has highlighted that it is difficult to focus on an individual organisational element when looking at the change process. Change is not a linear process and planning for change is a crucial foundation as there are a number of factors operating at each phase, and at multiple levels.

b) Organisational Culture

Culture has been recognised as a critical factor in how organisations function (Lumby, 201, p.143). Defining and understanding culture is difficult because it may be deeply embedded within the structures of an organisation. Culture, however, has different aspects to it. It has a ‘thinking’ side in the shared beliefs and a ‘doing’ side in the patterns of behaviour that this type of thinking drives (Egan, 1994, pp.76-77). Understanding culture in any college is, therefore, a question of decoding the signals to arrive at the central beliefs of the organisation (Morrison, 1998, p.143). Organisations have many cultures, or ‘multiple realities’, and this is certainly true of FE colleges across different sites or departments (Morgan, 1986, p.133). In addition, distinct cultures may exist relating to different groupings of people (Lumby, 2001, p.144). Even given these ‘multiple realities’, a dominant paradigm exists in that ‘there is likely to exist at some level a core set of beliefs and assumptions held relatively common by the managers’ (Johnson, 1993, p.61).

There are four main types of culture in organisations (Handy, 1999, pp.181-191). The first is power culture which is frequently found in small entrepreneurial organisations and which is epitomized by a powerful central figure. The second is role culture which is often stereotyped as bureaucracy and is co-ordinated at the top by a narrow band of senior management. Task culture, the third, is job or project oriented and its whole focus is on getting the job done. This may also be defined as 'achievement' culture (Morrison, 1998, p.153). The final type is personal culture. This is more unusual and will not be found in many organisations, yet many individuals adhere to some of its values. In this culture, the individual is the central point and structures exist only to support the individuals within it (Morrison, 1998, p.153). Organisations have different cultures, sets of values, beliefs and norms which are reflected in different structures and systems. Cultures rightly differ as they are affected by a variety of factors, which are reflected in diverse systems and structures. Difficulties arise, however, when an organisation attempts to impose an inappropriate structure on a particular culture, or when an organisation has unrealistic expectations of developing a particular culture in an inappropriate environment (Handy, 1999, p.180).

In order to facilitate a culture change, an organisation should consider 'what kind of culture do we need to serve our business?' (Egan, 1994, p.110). In addition, organisations should identify and make explicit their espoused beliefs and values. A distinction is made between 'espoused' or overt beliefs and covert or unpublished norms which are the real drivers of behaviour. The degree to which overt and covert beliefs, values and norms actually influence and drive behaviour varies greatly and gives rise to strong, weak and adaptive cultures (ibid., 1994, p.90). Strong cultures, whether organisation enhancing or limiting, drive behaviour consistently while weak cultures do not. Adaptive cultures are the desired model. They are usually strong cultures that are sufficiently flexible to meet the changing needs of the organisation.

Shared 'norms', however, are complex because they 'sit on the edge of behaviour', spell out the kinds of behaviour that will be rewarded and set limits on the kinds of

behaviours that will be tolerated (Egan, 1994, p.84). These are part of a 'preferred culture' in relation to cultural behaviour patterns. For shared patterns of behaviour to be developed then consideration needs to be given to several elements (ibid., 1994, pp.75-85). The elements accord closely with key themes to be considered within this research. A fundamental element is the formulation of a viable strategy through working with middle managers in the organisation and which provides a clear direction and focus for the organisation. The organisational structure needs to be straightforward and optimise information-sharing, decision-making and workflow. Jobs should be flexible and based on strategic and operational needs. Communication and flow of information to teams is vital to ensure a shared understanding of both organisational and unit strategy. Operational processes must be well co-ordinated to ensure that strategy is translated into high quality products, or in relation to FE colleges, high quality educational and administrative services. Other key issues include an effective human resource management process which ensures that appropriate staff are employed, socialised into the culture and strategy, equipped with the relevant competences, and deployed usefully with ongoing relevant staff training and development. Within this model is the importance of appointing and developing managers with the right skills and positive attitudes to human resource management. The final element involves having a critical mass of leaders at all levels within the organisation that play a key role in fostering innovation and change to enhance the organisation. For culture to be changed, managers need to audit the embedded culture to determine what needs to be changed. The organisation needs to formulate culture-change strategies that fit the character and resources of the organisation in order to develop the beliefs, values and norms of the preferred culture.

A key principle is to build in culture change to every key project or change effort (Egan, 1994, p.124; Carnall, 1995, pp.167-168). Although, an attempt at cultural change can only be justified where the environment is highly competitive, is undergoing fundamental and rapid change, and where an organisation is growing rapidly (ibid., 1995, pp. 167-168). Under such conditions, changes in attitudes and

behaviour are essential, although culture change is a slow process requiring sustained effort. These conditions relate closely to the further education sector since incorporation.

More specifically to the FE sector, Lumby (2001, p.144) proposes two hypotheses. The first is that there is a dominant paradigm in further education which is different to the paradigm that prevailed before incorporation. The second is that cultural change is a shift in power and that in further education since 1993, the shift in power has been away from lecturers and towards students and managers. This change has been supported by the introduction of a range of new jobs to support a focus on customer service and support. She also argues that government used such levers as the funding mechanism to exert pressure for cultural change in colleges (*ibid.*, 2001, p.157).

Simkins and Lumby's (2002, p.13) review of a range of research, highlights a dichotomy in perception on the culture of colleges pre-incorporation. One perspective is that the focus of colleges was firmly on teaching and the needs of learners, to the latter group's advantage. An alternative perspective sees the situation as one of complacency and essentially lecturer-centred to the disadvantage of students. This researcher's perception of the prevalent culture pre-incorporation is that elements of both existed. The debate on post-incorporation culture involves the identification of the emergence of managerialism and with it an emphasis on the significant role of managers. This is a key theme that emerges through analysis of the case study material. In the managerialist society, influence is exercised through organisations (Enteman, 1993, p.154). Several themes have been identified as emerging from the 'managerialist critique' (Simkins and Lumby, 2002, p.13). The first concerns a discourse, which, it is claimed is replacing traditional and professional public service values with those of management and the private sector. The second emphasises the embodiment of these values in a range of managerial approaches, such as strategic planning, human resource management and a focus on measured outcomes as primary indicators of success. These management approaches

have had increasing significance within the FE sector since incorporation and are now well integrated as a requirement of management. The third issue, and underpinning the first two, is a set of ideas about the distribution of power in the FE system, which claims that the authority and autonomy of professionals is being diluted and replaced by the power of managers to establish agendas and to determine modes of work. This last issue encompasses arguments relating both to the disempowerment of lecturing staff and the co-option of lecturers into managerial roles, and therefore the managerialist agenda (Simkins and Lumby, 2002, p.13). It would be too simplistic, however, to explain the changes that have occurred in further education through a managerialist paradigm, as frequently the managerialist and professional paradigms are set against each other. It is important not to use a perspective drawn from one side of the 'professional-managerialist' divide to draw simplistic conclusions that sanctify some positions and demonise others (ibid., 2002, p.14). Managers and lecturing staff are not homogeneous groups in terms of their attitude to their roles or their responses to change. The changing role of support staff is helping to blur the distinction between 'them' and 'us', between managers and lecturers. In addition, the distinct differences between colleges in the sector, their history and varying cultures are likely to all lead to a range of experiences of cultural change within colleges.

Other models of culture and their characteristics, which need to be considered, include organic organisations and collegial models. There is overlap between the two models, in that they are characterised by an adaptive style of management, some sharing of power and decision-making through a process of discussion leading to some consensus, with mutual understanding about organisational objectives (Bush, 1995, p.53; Morrison, 1998, pp. 155-156). Bush argues (ibid., 1995, p.53) that as the collegial model involves a whole-institution approach it seems to be particularly appropriate for schools or colleges where there are significant numbers of professional staff. Within this whole-institution approach, the role of the senior managers is crucial in determining the extent, nature and boundaries of collegiality

and requires careful management of subgroups to ensure that factions and interest groups do not exert disproportionate influence (ibid., 1995, pp.66-68).

The final concept to consider, within this section, is that of 'reculturing' (Fullan, 2001b, p.34; 2001a, pp. 43-49). This is distinguished from restructuring which occurs frequently, whereas reculturing, which is how lecturers or teachers come to question and change their beliefs and habits, is what is needed. Reculturing may be described as 'a matter of developing relationships, building knowledge and striving for coherence in a non-linear world' (ibid., 2001a, p.44).

There are strong arguments against off-the-shelf solutions to change, and leadership is perceived as a critical role in changing the culture (Morrison, 1998, p.153; Pascale et al., 2000, p.6; Fullan, 2001a, pp.43-49; Lumby, 2001, p.157). Changing staff within further education, particularly as those who hold to the previous culture leave and are replaced, is an essential part of the process of culture change (Lumby, 2001, p.157). Reculturing (Fullan, 2001a, pp. 43-49) epitomises the developmental approach to changing culture through the use of collaborative work cultures to activate and deepen moral and shared purpose, which develops relationships, builds knowledge and leads teachers to question and change their beliefs and habits in an environment which allows individuals to learn through making mistakes.

While the discussion has focused on culture and the processes involved in its change, central to this is the critical role of leadership. Leading in a culture of change means creating a culture, not just structure, for change. This involves creating the capacity to selectively and critically seek, assess and incorporate new practices within an organisation (Fullan, 2001a, p.44). The development of the organisational culture is a key component in managing successful change and has to be addressed as a long-term feature, but built into every change process. The culture of an organisation has to be matched and supported by the organisational structures. Organisational structures will be examined in the next section. Leadership and the concept of capacity-building will be considered later in the chapter.

c) Organisational Structures

The structure of an organisation is made up of the 'deliberate, formal systems and processes of authority, power, decision-making and relationships' which allows the organisation to fulfill its work (Charan, 1996, p.19). At a more pragmatic level, the structure also involves all procedures and systems, including administration, resourcing, co-ordination, monitoring, accountability, documentation, division of labour, positions and seniority of authority, roles and tasks (O'Neill, 1994, pp.112-113). The inherent danger with formal systems is that they become so entrenched that information no longer flows down to the people on the chalk-face who can then use it to do their jobs better. This impacts on the culture of an organisation and, in part, explains why culture and structure are very closely interlinked.

Several types of structure have been identified but not all are relevant to colleges. These structures include entrepreneurial, functional, product, divisional, matrix and federal (Carnall, 1995, pp.17-32). For example, the simplest or entrepreneurial structure is highly flexible but is characterised by an absence of a formal structure and typically depends on the owner of the company (ibid., 1995, pp. 17-18). While these structures may not relate fully to the structures within colleges, there are aspects of them that relate, in particular the product, divisional and matrix structures. In practice, a college may operate relatively autonomous units or divisional structures with divisional leaders and divisional committees, alongside some elements of matrix management for specialist areas. In the divisional structure, accountability is pushed down the organisation (ibid., 1995, p.19). This is a common pattern for colleges because of the need for cross-curricular teams of 'specialists' for issues such as internal verification, key and basic skills, work experience, pastoral tutors and other specific needs. Matrix structures allow for the development of cohesive and effective teams of specialists working towards the objectives of a key project. It has the advantage of allowing for flexible use of specialist staff (ibid., 1995, p.20). Federal structures may be seen in larger colleges and represents the

further decentralisation of the divisional structure with the establishment of strategic business units. Controls are from the centre without an intervening divisional structure (ibid., 1995, pp.20-21). An important issue to consider is that growth or the need for diversification within an organisation can create pressures and the structure of an organisation may hinder their flexibility to respond quickly (ibid., 1995, p.18; Daft, 2002, p.544).

With all of the change within the FE sector since incorporation, it has been argued that if organisations are to survive they need to become 'more flexible, responsive, adaptive and engaged in continuous development and change' (Morrison, 1990, p.148). For this to occur, several researchers argue a need for the development of learning organisations (Senge, 1990, p.14; Morrison, 1998, p.148; Fullan, 2001a, pp.270-271; Fullan, 2001b, pp.136-137; Daft, 2002, p.544). The concept of the learning organisation relates to an organisation's 'constant expansion of its capacity to create its future' and includes not just 'adaptive learning' to ensure survival but 'generative learning' which enhances the organisation's capacity to create (Senge, 1990, p.14). This capacity is underpinned by a series of 'personal' learning disciplines, such as the ability to see the deeper patterns behind events (systems thinking) (ibid., 1990, p. 73); the fundamental discipline of continually clarifying and deepening the individuals' personal vision of life as a creative process (personal mastery) (ibid., 1990, p.149); the sharing of mental models, which are the individuals' constructs of the world, to allow the organisation to learn through new insights (ibid., 1990, p.8); the building of shared vision to enhance commitment and learning, rather than vision imposed from above (ibid., 1990, p.206); and team learning through 'dialogue' and genuine 'thinking together' to ensure commitment to an aligned vision (ibid., 1990, p.10). Working together is a central feature of the learning organisation in that they need 'to set in motion the internal process by which people progressively learn how to do what they need to do in order to achieve what is worthwhile' (Fullan, 2001b, p.269).

Recent Government White Papers and legislation, discussed in Chapter One, refer to 'a learning age', 'lifelong learning' and learning organisations. This externally mandated change helps to set the context for the FE sector and for employers, and signals the importance of regarding organisations as learning organisations which are constantly evolving and developing.

There are many significant characteristics of the learning organisation in relation to organisational structure. Within this perspective, the traditional organisations with strong vertical hierarchies, specialised jobs and formal information and control systems no longer work in the current 'fast-shifting environment' (Daft, 2002, p.544). The argument is that while vertical structures work well during stable times, they become a liability in a fast-changing environment. Therefore, management structures need to become flatter, more horizontal than vertical, with employees empowered to act independently and creatively rather than performing routine standardized jobs (Daft, 2002, p.544). The structure is related around workflows or work processes rather than departmental functions and the vertical structure is disbanded in favour of a horizontal structure based on self-directed teams. In a learning organisation 'adaptive learning' is important (Senge, 1990, p.14). A key fundamental issue within this model is the need for the effective training of teams to provide them with the skills, tools and authority to make decisions central to the team performance. Related to this is the need for good communication structures to support this effectiveness, in particular as strategy is perceived as emerging from collaborative links both within and among similar organisations (ibid., 2002, p.550). In order to support the effectiveness of self-directed teams, the culture of such an organisation should encourage experimentation and adaptability. Further education has become knowledge and information-based and this type of work relies on project teams and cross-functional collaboration. In the learning organisation, systems are fluid, based on networks of shared information. People in teams talk to whoever has the information they need. Open communication is encouraged, knowledge is shared rather than hoarded and ideas may be implemented anywhere in the organisation to bring about improvement (ibid., 2002, pp.556-557). Networking

is a current word used extensively within the FE sector. Similarly the notion of empowerment, or the idea of encouraging employees to participate fully in the organisation, is discussed widely. The significant themes of training, communication and structures will be considered when looking at the college case studies.

d) Leadership and Management

The purpose of this section is to review the literature on the concept of leadership and the role of managers within a changing FE sector. Before we can examine what makes an effective leader, there needs to be a consideration of what leadership means. Leadership may be defined as ‘an influence relationship among leaders and followers who intend real changes and outcomes that reflect their shared purposes’ (Daft, 2002, p.5). The key elements of leadership may be identified within this definition (ibid., 2002, pp.5-6). ‘Influence’ highlights that the relationship among people is not passive, and inherent in this definition is the concept that influence is multidirectional and noncoercive. Leadership is seen as reciprocal because in most organisations, ‘superiors’ influence their subordinates, but subordinates also influence their ‘superiors’. It involves creating change not just maintaining stability and in this perspective, these changes reflect the shared purpose of the organisation. A key aspect of leadership is influencing others to come together around a common vision. As such, leadership is a people activity; it occurs among people rather than something that is done to them. It may be argued that the qualities needed for effective leadership are the same, as those needed to be an effective follower (Daft, 2002, p.6).

In relation to clarifying the role of leaders, some researchers’ argue that managing culture is one of the most important tasks of leadership (Schein, 1997, p.5; Lumby, 2001, p.144). This argument includes a clear distinction between leaders and managers, with the rationale that ‘leaders create and change cultures, while managers and administrators live within them’ (Schein, 1997, p.5). In this model, distinctions are being made between the two processes in order to facilitate the separation of

leadership elite from those whose work is being routinised. Leadership is defined through notions of controlling uncertainty by charismatic behaviour and strategic tasks, while management is concerned with systems maintenance (Gunter, 2001, p.28). Other researchers, however, are sceptical that culture can be managed. Turner (1990, p. 11) argues that something as powerful as culture can be little affected by the 'puny' efforts of top managers. Within this research it is argued that managers can and do influence culture, in both a positive and negative way, especially given the government pressures that are prevalent currently in further education.

Other researchers' suggest that there is an overlap between leadership and management and attempts should not be made to distinguish between them as both qualities are required (Fullan, 2001a, p.2; Northouse, 2000, p.8). Indeed, given the scale of the externally mandated change required in the FE sector there is a need for managers with an understanding of the change process and effective leadership skills. Managerial performance may be defined as 'a combination of knowledge and skill applied in practice' (Carnall, 1995, pp.193-195). Leadership, in contrast, involves that additional dimension, in that effective leaders are those 'who bring human scale to risk' (ibid., 1995, p.193). We should be looking for leaders who will make us face complex problems for which there are no simple solutions and who consequently make us learn new ways (Heifetz, 1994, p.21). Fullan (2001a, p.2) concurs with this issue when he argues that leadership is needed for problems that do not have easy answers.

The search for a theory of leadership has proved somewhat elusive. A range of theories has been proposed. Style theories assume that staff will work harder for managers who use specific styles of leadership (Handy, 1999, p.100). This approach emphasises the behaviour of the leader but does not provide a set of prescriptions for effective leadership behaviour (Northouse, 2000, p.35).

Daft (2002, p.123) suggests two specific personality attributes that have a significant impact on behaviour and are, therefore, relevant to discussions on leadership. He

argues that understanding how personality traits affect behaviour may be a valuable skill for leaders. This knowledge can give valuable insight into personal behaviour as well as that of others. The two personality attributes are locus of control and authoritarianism.

Some individuals believe that their actions can strongly affect what happens to them. While others believe that they have little control over their fate and what happens is because of outside forces. A person's locus of control defines whether they place the primary responsibility within themselves or on outside forces. Those who believe their actions determine what happens to them have a high internal locus of control (internals). The second group has a high external locus of control (externals). Daft (2002, p.123) argues that research on locus of control has shown real differences in behaviour between internals and externals across a wide range of settings. Internals in general are more self-motivated, are in better control of their behaviour, participate more in social and political activities, and more actively seek information. They are better able to handle complex information and problem solving, and are more achievement-oriented than externals. In addition, people with high internal locus of control are more likely than externals to try to influence others and are, therefore, more likely to seek leadership opportunities. In contrast, people with a high external locus of control typically prefer to have a structured, directed work situation. They are better able to handle work that requires compliance and conformity, but are generally not as effective in situations requiring initiative, creativity and independent action. In summary, they are less likely to enjoy or succeed in leadership positions (Daft, 2002, p.123).

The second personality attribute, authoritarianism, may be defined as 'the belief that power and status differences should exist in an organisation' (Daft, 2002, p.124). Individuals who have a high degree of this personality trait tend to adhere to conventional rules and values, obey established authority, respect power and 'toughness', judge others critically, and disapprove of the expression of personal feelings. A leader's degree of authoritarianism will affect how that person wields

and shares power. A highly authoritarian leader is likely to rely heavily on formal authority and is unlikely to want to share power. This is associated with a traditional, rational approach to management. Daft argues (2002, p.124) that the 'new leadership paradigm' requires that leaders be less authoritarian, although people who rate high on this trait can be effective leaders. Leaders, however, should be aware of the degree to which 'followers' possess authoritarianism because when leaders and followers differ in their degree of this trait, effective leadership may be more difficult to achieve. A closely linked trait is 'dogmatism' (ibid., 2002, p.126). This refers to a person's receptiveness to the ideas and opinions of others. Effective leaders generally have a lower degree of dogmatism, which means they are open-minded and receptive to others' ideas (ibid., 2002, p.126).

Other perspectives identify four approaches to leadership which are significant in understanding the issues (Northouse, 2000, pp.4-10). The four approaches include trait versus process leadership; assigned versus emergent leadership; leadership and power; and leadership and coercion. The trait perspective suggests that certain individuals have special innate or inborn characteristics or qualities that make them leaders. Examples include physical characteristics (height), personality (extroversion) and ability characteristics (speech fluency). The process viewpoint, however, suggests that it is a phenomenon, which resides in the context and makes leadership available to everyone. It is, therefore, something that can be learned.

In the second approach, assigned versus emergent leadership, some people are leaders because of their formal position within an organisation (assigned leadership), whereas others are leaders because of the way other group members respond to them (emergent leadership). Some of the positive communication behaviours that account for successful leader emergence include being verbally involved, being informed, seeking others' opinions, initiating new ideas, and being firm but not rigid (Northouse, 2000, p.6). In addition, personality plays a role in leadership emergence. In a research study, those individuals who were more dominant, more intelligent and more confident about their own performance were more frequently

identified as leaders by other members of their group (ibid., 2001, p.6). It must be noted that this research was undertaken within a male sample and therefore does not encompass a total context.

In the third approach, power is identified as the capacity or potential to influence. People have power when they have the ability to affect others' beliefs, attitudes, and behaviour. In organisations, there are two types of power, position power and personal power. Position power refers to the power a person derives from a particular rank in a formal organisational system. Whereas, personal power refers to the power a leader derives from followers. It may be that some managers have power because they are perceived as good role models or are perceived as highly competent. The power is based on how they are perceived in their relationships with others.

In the final approach, coercion is one of the specific kinds of power available to leaders and involves the use of force to effect change. It relates to influencing others to do something by manipulating the penalties and rewards in their work environment. Northouse argues (2000, p.7) that leadership is reserved for those individuals who influence a group of individuals towards a common goal; whereas, leaders who use coercion are interested in their own goals.

Goleman (2000, pp.82-83) in his research has identified six leadership styles, relating to the behaviour of leaders and their relationships with others in the organisation. The six styles include coercive, authoritative, affiliative, democratic, pacesetter, and coaching. In the coercive style, the leader demands compliance. The authoritative leader mobilises people towards a vision. The affiliative leader creates harmony and builds emotional bonds. The democratic leader achieves consensus through participation. The pacesetter leader sets high standards for performance. The coaching leader develops individuals for future needs. In analysing these styles, Goleman (2000) found that the coercive and pacesetter styles negatively affected organisational climate. In addition, people resent and

resist the coercive style. The pacesetter style causes people to feel overwhelmed and burn out. In this style, the leader sets extremely high performance standards and exemplifies them as an individual (ibid., 2000, p.86). This style of leader often ends up being isolated (Senge et al., 2000, p.426). The other four styles have significant positive impact on both climate and organisational performance. Underpinning these four styles is high emotional intelligence. Emotional intelligence may be defined within five domains: knowing one's own emotions, managing emotions (both linked as personal competence), motivating oneself, recognising emotions in others and handling relationships (these last three are linked as social competence). Goleman (1998, pp.26-27) divides the original five domains into two domains of personal competence and social competence, as highlighted. Low emotional intelligence is perceived as the hallmark of coercive and pacesetter leaders.

Within the FE sector, research indicates that whereas each institution has managed the same external pressures, these differences are increasingly influenced by the management style and approaches to change that have been adopted in response (Weil, 1994, pp.25-26). An additional factor is that colleges are staffed predominantly by education professionals which has implications for the nature of management, as research has demonstrated that professionals seek a measure of control over their working environment (Handy, 1999, p.7; Grace, 1994, pp.18-19, Bush, 1995, p.11). The Further and Higher Education Act 1992 was concerned with freeing colleges from historical constraints. With market forces, it unquestionably changed the context within which colleges operate and changed the nature of management in colleges. Managers needed to develop new strategies for the management of the additional responsibilities that colleges' acquired through incorporation. In addition, given the rate of nationally-mandated change, FE managers need to be developed as effective managers within the context of the agreed college culture. This has implications for capacity-building strategies.

Five possible differences in the nature of leadership in colleges may be identified (Lumby, 2001, pp.22-23). More specifically, the nature of leadership of an

individual manager may be plotted against five spectra to indicate an individual approach in leading. The five spectra are: external focus versus internal focus; vision and inspiration versus advice; systems creation versus day-to-day management; distant from staff versus close to staff; and educational leadership versus pedagogic leadership. Research identifies (Lumby, 2001, p.23) that principals and senior managers are more likely to adopt the focus on the left-hand side of each of the spectra. Although, there is no consistent relationship between approach and hierarchical level, as middle managers can and do focus on creating vision and inspiration. In addition, some principals might work in an environment where their focus is primarily internal. Within this model, leadership is seen as contingent and therefore, not static and respondents identified a need to adapt their approach to the circumstances. There does appear to be differences in the approach to leadership in further education with a relationship between hierarchical level and leadership (Lumby, 2001, p.24). At the same time, there is strong evidence that leadership is dispersed and different levels of management within a college can adopt the left-hand side of the spectra, indicating transformational leadership. Transformational leadership is about building a unified common interest in which motivation is underpinned by 'attempts to elevate members' self-centred attitudes, values and beliefs to higher, altruistic attitudes, values and beliefs' (Starratt, 1999, p.25).

Research on effective leadership and management (Peters, 1987, pp.253-255), suggests that managers can support innovation in a variety of empowering ways. Examples include, being aware of one's every actions; behaving with 'purposeful impatience' and being responsive to requests for innovations; finding the innovators in the organisation, celebrating and rewarding them and all those contributing to the innovation; and rewarding small as well as large innovations. Effective leaders have characteristics such as, energy idealism, pragmatism, cunning, 'towering impatience', an unrealistic intolerance of any barrier to success, development or change, and frequent love-hate relationships with subordinates (ibid., 1987, p.248). Morrison (1998, p.212) argues that it is essential to move away from a coercive,

blaming and bullying style of leadership and replace it with an empowering view at all levels. Leading by empowering people is a key principle, with the leader listening, acknowledging that the experts are the 'chalk-face' workers, that delegation is important and that bureaucracy should be removed (Peters, 1987, pp.380-390). This reinforces the value of flatter, less bureaucratic styles of management. The move from vertical to horizontal relationships of influence and the clear distinction between managers and managed is changing through networks (Kanter, 1996, p.190). It is argued that effective leaders are aware of the organisational micropolitics and acknowledge the need to bargain, negotiate and 'sell' ideas instead of taking an authoritarian stance (ibid., 1996, p. 190).

An additional key issue for leadership and organisations is 'a focus on capacity-building' (Fullan, 2001b, p.196). This is seen as how external ideas can increase the motivation and 'know-how' of leaders within the organisation to help lead others in generating commitment. In essence, capacity-building is a system of guiding and directing people's work, which is carried out in a highly interactive professional learning setting. The potential dilemma is that 'it takes capacity to build capacity' (ibid., 2001b, p.196). He emphasises (ibid., 2001b, p.269) the need for a capacity-building strategy in which the larger organisation policy system focuses on preparing staff for context-based solutions as part of local problem-solving capacity. For capacity-building to take place, time and resources need to be invested in professional development and opportunities for collaboration (ibid., 2001b, pp.233-234). This has significant implications for staff training and its link with the strategic planning for change. However, 'capacity is seriously undermined if it does not have quality leadership' (ibid., 2001b, p.146). As argued previously, central to the capacity-building model is the concept of 'distributed leadership' (Hopkins and Jackson, 2002, p.95). While there seems to be 'little agreement as to the meaning of the term' (Bennett et al., 2003, p.2), in this context it relates to 'the human potential available to be released within an organization' as a means of sustaining improvement (Harris, 2004, p.12). The distributed leadership model does not only relate to formal leadership roles but also to informal leadership practices as a

curriculum leader, or teacher (ibid., 2004, p.12). Gunter (2001, p.131) argues that distributing leadership has 'less to do with managerial efficiency and more to do with educational leadership working within and developing a democracy'. Research suggests that successful leaders are those who 'distribute leadership, understand relationships and recognize the importance of reciprocal learning processes that lead to shared purposes' (ibid., 2004, p.21). Review of research in the schools sector (Harris, 2002, p.22) emphasises the importance of developing the organisation as a 'professional learning community' marked by constant interchange of information at both a formal and informal level. This promotes an emphasis on 'collegial ways of working' (ibid., 2002, p.22) which focuses on the relationships and connections among individuals within an organisation.

A fundamental issue in the FE sector relates to the changing role of senior managers since incorporation. Simkins and Lumby (2002, p.15) identify that senior managers in general and specialist further education colleges have changed their profile of activity. A major consequence of incorporation appears to have been an increase in the percentage of time spent on technical aspects such as business and financial planning, monitoring of performance and links with external agencies. This has drawn the focus of senior managers away from pedagogical issues. The demands of ensuring that millions of pieces of data are accurately communicated to the funding body, that planning accurately predicts the nature and number of these pieces of data in the form of how many students and funding units are to be achieved, that bids and external contacts generate sufficient funding from sources other than state funds, and that political lobbying attempts to minimise the damaging effects of the next round of efficiency savings, precludes the time of the principal being primarily concerned with issues of pedagogy. Much of this discussion has focused on senior managers, but a key question relates to how these changes since incorporation have affected the roles of middle managers in colleges.

Briggs (2002, p.63) investigates a range of middle manager roles in further education in order to identify features of the 'environment for management' which

facilitate and impede the middle managers' role. Lumby's research in further education (2001, p.18) identifies that principals are emphatic about the importance of other managers and are aware of how difficult the role of senior and middle managers has become. The relationship between hierarchical tiers and leadership in FE is not clear-cut (Lumby, 2001, p.19).

The managerial critique in further education argues that lecturers have been co-opted into management roles (Simkins and Lumby, 2002, p.13) and many had not received training for management. Briggs (2002, p.65), in seeking to clarify the nature of middle manager roles, identifies four dimensions in the work of academic middle managers in schools which she argues could be applied to the role of further education middle managers. First, there is the bridging and brokering role, where the policies and perspectives of senior management are translated by the middle manager into departmental practice. Second, there is a transformational dimension, where the middle manager encourages staff to cohere and establish a group identity, creating a collaborative departmental culture where creativity is fostered. A third dimension is where the expert knowledge of the middle manager is used to improve staff and student performance. This implies the existence of a transactional role, which has the added dimension of mentoring, and could be described as supervisory leadership. Finally, there is the dimension of representative leadership, which emphasises the liaison role of the middle manager, both inside and outside the organisation, both representing departmental interests, and enabling departmental colleagues to maintain their own liaison networks (Briggs, 2002, p.65). She argues that the role of middle managers in further education presents possibilities for a greater range of management functions.

Bennett (1995, p.18) suggests that the middle managers are the ones who 'articulate the vision'. On a day-to-day basis they make the business of the college happen. The middle manager role could bring with it substantial local autonomy and job satisfaction. Briggs argues that the role could also result in 'sent role conflict' (ibid., 2002, p.67) with the simultaneous occurrence of demands from the groups above

who hold significant power and who carry the burden of corporate accountability, and from those below, who are substantial in number, and who interact on a daily basis with students and clients. Their own accountability will lie in both directions. They also carry accountability for their own specialism, whether that is a curriculum area or an area of service provision. The role of middle managers will intersect with others. For example, curriculum heads manage finance and human resource needs for their departments. There is potential role ambiguity between the specialists in any given management area, and others whose specialist function intersects with theirs. Middle managers perceive themselves as operating in an environment of distributed leadership, including the development of strategy at a local level (Briggs, 2002, p.70). This research indicates a prevailing intuitive style of leadership (ibid., 2002, p.71). Whilst there is training for managers in specific college functions, there is no systematic training for management. From initial analysis of the data, (ibid., 2002, p.73) three perspectives emerge clearly on generic factors, which facilitate or impede the middle manager role: the senior management preoccupations are with the cultures and systems; the middle managers concerns focus on role (clarity, authority, and the perceptions and the support offered by members of the role set); and the team is concerned with the skills, experience and attitude of the middle manager, as well as the level of support he or she receives from senior management. Briggs argues (2002, p.73) that in practice middle managers will be affected by all three sets of perceptions, as all will contribute to their received role. Most of the impediments are not seen as fixed. There is, however, a consensus that current training offered to middle managers is not adequate. Other impediments are the need for further role clarity and a mismatch of role expectations. The most immovable impediment appears to be workload, 'being on everyone's agenda' (ibid., 2002, p.75). Interpersonal skills in both senior and middle managers are 'highly prized' by all. A key facilitating factor of the middle manager role is having a 'champion' 'someone with time for you' at the next level of the hierarchy (ibid., 2002, p.75). These issues have clear relevance for styles of management, more specifically issues such as interpersonal skills and role champions.

Teams are very important within FE colleges and a discussion of leadership would not be complete without consideration of team leadership. Morrison (1998, p.193) argues that the effectiveness of a team is partly a function of its leadership. Team leaders have several tasks (ibid., 1998, p.193): to ensure that all individuals are both supported and giving his or her best; to ensure that tasks are distributed equitably; to manage meetings and development; to focus the team on the shared goals and to ensure they are meaningful; and to ensure that the team works together effectively to achieve the shared goals.

Characteristics of effective team leaders (Adair, 1987, pp.117-119) include, the ability to enthuse team members, to set directions and goals, to lead by example, to maximise resources, to be effective in team building and to develop and build on the commitment and confidence of team members. As with all leaders they need integrity, ability to establish and communicate trust, good interpersonal skills, flexibility in leadership style, a willingness to be 'out-in-front' and a high degree of self-awareness, plus awareness of the needs of the team. In addition, team leaders need the ability to develop the leadership potential of others, to create opportunities for the team members' development and set high standards for themselves and others (ibid., 1987, pp.117-119). In addition, effective teams are also a product of the key characteristics of the individuals within them (Evenden and Anderson, 1992, p.180). The team members need to be goal directed, enthusiastic, assertive, competent, open, flexible, supportive, constructive, and be able to take on leadership roles (ibid., 1992, p.180). Individuals who may be counterproductive to effective teamwork include those who are aggressive, awkward or simply out to block proposals; those seeking only personal recognition and gain; and if they are over-dominant and always requiring help. These characteristics of effective team leaders, members and teams accord with other aspects of effective leadership and management and support the theme that has permeated this section, that effective leadership is crucial at all levels.

This section has considered the interlinked concept of leadership and management and issues relating to effectiveness and management styles relevant to educational organisations. It is clear that there is an overlap between leadership and management. Burnes (1996, p.152) suggests that leaders and senior managers overlap considerably and that the difference between them is mainly due to leadership style. Kotter (1990, p.104) argues that leadership is concerned with coping with change. One fundamental message is clear from the literature; it is essential to move away from a coercive, blaming and bullying style of management and replace it with an empowering view of leadership at all levels (Morrison, 1998, p.212). There is also a case for 'transformational leadership' (Daft, 2002, pp.148-149) which is characterised by the ability to bring about significant change. Such individuals are able to effect vision-drive, values-based, structural, cultural and systemic changes, through commitment, example, empowerment, being proactive, developing ownership, communicating widely, enthusing others, hard work and energy, both in themselves and in others.

As stated previously, leadership is less about status and position in a hierarchy than the possession of essential competencies, skills and expertise. Leaders and potential leaders, therefore, can be found everywhere in an organisation (Morrison, 1998, p.205). Brandon (1992, p.32) argues that an organisation cannot afford not to recognise that its leaders of change can be found throughout the organisation. As such, leadership and initiative should be concerned with tapping into the creative capacity of employees and potential leaders at all levels, as agents for change.

4. Summary of Key Issues for Colleges Arising from a Review of the Literature

There are many common themes running through the literature reviewed in this chapter, which have significance for this study. Examination of these has clarified the themes to be used for analysis of the case studies. The review of the literature research identifies the following key issues for colleges:

a) College Culture

Managers need an awareness of the elements of the culture within their organisation and the factors that contribute to it. Underlying a strong appropriate college culture is the need for clearly defined and effective communication channels. If culture change is required, a culture audit should be undertaken to identify those elements of the culture that need changing, with decisions made on the preferred culture. The principal should make explicit to all staff the espoused beliefs, values and norms of the preferred culture. The desired cultural change should be built in to every change project.

Improvement of relationships is a key issue in successful change for any organisation. It is central to cultural change and should be a priority for leaders. This fundamental principle is embodied in literature on organisational development (OD) models, learning organisations, organic and collegial organisations, and knowledge sharing. In addition, the OD model argues that the motivation of individuals is a key component in managing effective change, as well as review and development of job and work design (McCalman and Paton, 1992, p.124).

Alongside collaboration and cultural changes, in terms of promoting improved relationships, colleges should develop a strategy for knowledge creation and sharing. This links to capacity-building and the concept of the learning organisation. As part of promoting a change in culture the principal should make explicit a core value of knowledge building and sharing and the mechanisms for allowing this to happen. Staff at all levels should be encouraged to participate in local networking, both internally and external to the organisation. Collaboration and sharing should be

encouraged to enhance innovation. The use of new technologies to support this process should be reviewed.

College cultures must allow people to be comfortable with conflict and disagreement about change. Resistance should be seen as a healthy part of any change process and as an opportunity for debate and shared understanding. This issue relates to managers' understanding of the change process and has implications for the quality of managers and their training, as well as culture.

b) Leadership and Management

Leaders and managers should have an overview of organisational theories and concepts to provide a framework for managerial decisions, with understanding of their relevance to the practical environment. In addition, they should have an awareness and understanding of positive management styles and their strengths, weaknesses and impact on the culture of the organisation and staff motivation. They should be aware of the need for an adaptive, or flexible, style based on positive approaches as required by the organisational context. Training should be appropriate to ensure that leaders have a proactive approach to managing change.

Empowerment of staff is seen as a requirement for effective change (Morrison, 1998, p.131; Peters, 1987, pp.283-286). This principle is linked to organisational culture and management style. Empowerment may be considered part of the rhetoric of change but may be defined as involvement and support for staff during change rather than 'abandonment' (Morrison, 1998, p.121). This process of empowerment would be supported by regular feedback on the progress of the change. The absence of feedback may lead to hostility and reduced confidence (Handy, 1999, p.44). In addition, organisational development should take place to raise awareness of emotional intelligence and its impact on motivation.

The complex role of the middle manager should be acknowledged, reviewed and developed within the organisation. They are the ones who 'articulate the vision'

(Bennett, 195, p.18). The 'managerial critique' argues that lecturers have been co-opted into management roles (Simkins and Lumby, 2002, p.13) and many have not had the relevant training for management. This demonstrates a lack of awareness of the need for a capacity-building strategy.

There should be distributed leadership which is not about hierarchy within the organisation. Potential leaders are at all levels and the organisation should identify and support their development in the essential competencies, skills and expertise. Creation of leaders, at all levels, should be part of a capacity-building strategy which will allow for sustainable performance. The organisation should recognise staff with leadership potential and support their development as change agents.

Leaders should have an understanding of the elements of learning organisations and identify and plan for those elements appropriate to the individual needs of the organisation and its development. Leaders have a role in making coherence out of change and feeding it back into the organisation. This requires a high level of skills.

c) Capacity-Building

A strategy for capacity-building should focus on preparing staff for context-based solutions as part of a local problem-solving capacity (Fullan, 2001b, p.196). Any strategy should include identification of the skills and knowledge to develop capacity. Resources need to be invested in professional development and opportunities for collaboration. Accountability should be made explicit. Review of research in the schools sector (Harris, 2002, p.22) emphasises the importance of developing the organisation as a 'professional learning community' marked by constant interchange of information at both a formal and informal level. This promotes an emphasis on 'collegial ways of working' (ibid., 2002, p.22) which focuses on the relationships and connections among individuals within an organisation.

Managers and teams should understand the change process, the phases and underlying factors, which operate at each stage. There should be shared understanding of the meaning of any change project, with explicitly expressed goals, priorities and timescale. Leaders and managers should understand the micropolitics of change. The organisation should not neglect the phenomenology of change, which is how people actually experience change as distinct from how it might have been intended (Fullan, 1991, p.4).

An organisation should have clear strategies to empower staff and encourage their full participation in the organisation and the change processes. Collaboration can help to develop strategy. Managers and teams should be provided with the skills, information, tools, motivation and authority to make decisions central to their area of work. It may be appropriate, in some instances, for authority to be delegated to self-directed teams. There should be planned team learning, which will help to foster dialogue and confirm commitment to explicit and shared vision, values and norms.

Middle manager development should be a priority as they are the key to articulating the organisation's vision and ensuring it is translated into action. They are critical to the change process.

d) The Management of Change

A key issue for the FE sector is the need for all staff to understand that in complex, public sector organisations like colleges, change is continuous, multidimensional and requires continuous attention (McCalman and Paton, 1992, pp.13-14; Fullan, 2001b, pp.29-35). This involves a significant shift in culture and should involve all staff.

Leaders have a responsibility to ensure that change priorities are identified in order to prevent innovation overload. Such an approach may include a forum which has an overview of all changes taking place, establishes priorities and reviews the

implications of each change for the college. In addition, they should review the implications of not implementing the change immediately. Part of this process involves clear understanding of the difference between voluntary and the, more complex, nationally mandated change, including the impact this has on the way in which staff are prepared and how the change is managed.

Managers should have the ability, skills and knowledge to understand change, to act as leaders of change and ensure coherent strategic planning and implementation. This should involve understanding of how the larger culture, structures and norms will react to their efforts (Senge et al., 1999, p.26). Change will only be effective under conditions that allow individuals to react, to form their own position, to interact with other implementers and to obtain any technical assistance required (Fullan, 2001b, p.108). Planning should be comprehensive and allow for these ongoing processes of communication. It should include time for all staff to fully understand the meaning of the change and to ensure that common goals, values and strategies are understood fully. A central part of the planning should be an analysis of the college as a micropolitical organisation, including vested interests by individuals or groups, power-bases, influences and coalitions within the organisation. This should lead to appropriate strategies integrated within the change process to prevent interventions by micropolitical interests. Ultimately, challenging internal politics starts with a shared vision and an openness of culture (Senge, 1990, p.274).

The communication channels need to be carefully evaluated, planned and monitored. This issue is critical in cascading information from senior managers, through middle managers to teams or individuals. Accessibility of managers will help communications. The key issue is to ensure that messages about change and the process of change are communicated accurately. Deviation from the main message may undermine, or dilute, the process of change. This issue is related to that of shared meaning.

e) Organisational Structures

The structure of the organisation should be appropriate to its needs, in that the formal systems and processes of authority, power, decision-making and relationships allow the organisation to fulfil its work (Charan, 1996, p.19). Managers should have understanding of the types of structure and their implications. With the FE context of ongoing complex change, horizontal, fluid structures based on networks of internal and external relationships allow greater adaptability to the external environment. Boundary constraints on staff should be minimised to allow collaboration, open communication, sharing of ideas and encourage creativity. Through this process learning will take place.

At the heart of this chapter has been the centrality of understanding, working with and developing the organisational dynamics of colleges including the interpersonal relationships and structures in managing change and the underlying theoretical perspectives. The chapter argues for colleges to establish an adaptive culture which supports the process of change; to plan carefully their strategy for capacity-building so that all staff are confident in their involvement in supporting and managing change; to ensure that the leaders and managers have the range of skills and appropriate understanding of management style to promote effective change; to carefully evaluate and establish an organisational structure which ensures effective communication channels and supports the desired cultural values. In addition, that the strategic management of change is supported by effective planning by managers who understand the change process and have real communication with staff at all stages.

The focus has been on identifying key issues for colleges and the implications for putting these into practice. The review of literature has helped to clarify the key themes to be used in the analysis of the six college case studies. These will be detailed in Chapter Three.

CHAPTER THREE

METHODOLOGY

Introduction

The primary purpose of this study is to examine the process of change for six colleges in the North West of England using a qualitative, interpretive paradigm, guided by two research questions.

1. What are the key changes that have taken place in the further education sector since incorporation in 1993?
2. What are the critical factors that determine that one college can manage change more effectively than another?

The research questions and the literature review have given rise several research objectives:

- a) To identify and consider the key changes affecting the further education colleges;
- b) To identify and examine the critical factors that determine that one college can manage change more effectively than another;
- c) To determine what is meant by effective change in the context of the six colleges;
- d) To determine, in the context of the colleges, their perspective on what have been the most and the least effective changes implemented, and to examine the change processes for some of these;
- e) To identify the main barriers to change within the six colleges;
- f) To identify strategies developed by the six colleges to manage change;
- g) To identify common issues and patterns;
- h) To contribute to the continuing debate within the case study colleges about the development of further education practice, through dissemination of the conclusions.

This thesis tends to take the argument that change in further education colleges has been so significant since incorporation in 1993 that colleges need to identify strategies for managing change rather than reacting to pressures. Inherent within this argument is the need for capacity-building. As highlighted in Chapter Two, capacity-building is not just about training but involves an enabling environment with an appropriate internal framework for developments (Lagcao, oneworld.net, accessed 2nd December 2004). It includes a combination of interventions to improve the internal management structures, the processes and procedures, as well as strengthening partnerships and access to information. The focus in capacity-building is 'to improve an organisation's performance in relation to its mission, environment, resources and sustainability' (ibid., 2004, p.1).

As stated previously, the two research questions were developed from the review of legislative policy in Chapter One and from the researcher's experience as a manager in a college of further education during the period 1989 to 1997. In Chapter Two, it was explained that several themes, relating to the effective management of change, have been identified from the review of literature. These themes have given rise to the interview questions that will be discussed later in the chapter.

The research focuses on exploration of the key issues and problems, which arose from the changes in six further education colleges during the period 1993 to 2000, and the colleges' strategies to manage the externally and internally generated changes. Intrinsic to this approach is an understanding that the purpose of research into educational management is to assist the development of more effective college management through supporting reflection of professional practice (Johnson, 1994, preface), and through informing educational judgements and decisions in order to improve educational action (Bassey, 2002, p.108). This is in contrast to 'discipline' research, which is more concerned with increasing theoretical knowledge of a discipline (Bassey, 2002, p.108). More specifically, this study is concerned with the realm of the six case study colleges' practical experience of managing change, their

values, experiences and organisational trends. The focus is on improving FE college practice in managing change as opposed to extending theory. This issue was fundamental in the choice of methodology: a qualitative paradigm.

The period since 1993 has been chosen because of the significant change required in response to the Further and Higher Education Act 1992, which, simultaneously, removed responsibility for colleges of Further Education and Sixth Form colleges from Local Education Authorities (LEAs) and created independent colleges within the newly defined Further Education (FE) sector. These independent corporations gained responsibility for their budgets, and the systems and policies inherent within such control.

In order to establish the context and process of change in further education a review of the literature on legislation and policy is provided in Chapter One. A key objective of the study is to identify clear guidance for the management of change within colleges, drawing upon theory and practice both in education and industry. The aim has been to undertake an inductive process by establishing a context of related theoretical and processual studies in which to set the current study. A review of the literature is presented in Chapter Two and aims to provide a theoretical framework for the analysis of the management of and the process of change. Much of the literature reviewed for these chapters is based within a business context. To some extent, this is appropriate as colleges became businesses at incorporation in 1993. However, their primary focus remains education and training within a business-oriented context. To provide a balanced approach, reference has also been made to more recent literature on the management of change in educational sectors (Coleman and Briggs, 2002; Briggs, 2002; Simkins and Lumby, 2002; Lumby 2001, Gunter, 2001, Morrison, 1998; Bennett et al., 1992; Fullan, 2001a, 2001b, 1993; Weil, 1994). These issues will be discussed in more detail in the next section in relation to the identification of the research context.

This chapter is organised into two sections. The first focuses on the research paradigm within which the study is undertaken and includes consideration of choice of methodology. The second section examines the way in which the research study has been designed, including how it developed initially. As well as the development of the research procedures including sampling and ethical protocols. This subsection also provides contextual details about each of the case study colleges. The last two subsections focus on the development of the research methods and the development of the strategy for data analysis.

1. The Research Paradigm

Review of the available literature during the first year of the research led to the identification of this study's research orientation as being within an interpretive, qualitative paradigm. Interpretive research focuses on action and understanding of individuals' interpretations of the world around them. As such, theory is emergent, arising from particular situations to give sets of meanings which yield understanding and insight into people's behaviour (Cohen et al., 2000 pp.22-23). Research questions, to a certain extent, also determine the style of research used (Bryman, 1988, p.106). It became clear early in the study that the qualitative, interpretive paradigm was appropriate to this research study for several reasons. The interpretive paradigm focuses on understanding the subjective world of human experience and is conducted through prolonged contact with the field or contextual setting. The contact with the case study colleges took place over the period between 1997 and 1998. The interpretive approach allows flexibility for themes to be emergent rather than 'a priori classifications on the collection of data' (Cassell and Symon, 1994, p.4). It is also concerned with 'ideographic description', which refers to an emphasis on the particular and individual, and understanding individual behaviour (ibid., 2000, p.7). . As such, it is less driven by specific hypotheses and allows flexibility in the research process, with responsiveness as the research progresses. Given the rapidly changing FE sector, such flexibility was considered important to take account of emerging themes. Initially, both qualitative and

quantitative paradigms were considered. The use of a quantitative approach has advantages. The main one being that it carries with it an aura of scientific respectability because of its focus on statistical data and as such, it conveys a sense of objective research (Denscombe, 1998, p.177). The quantitative, or positivist, paradigm assumes that human behaviour is essentially governed by rules and should be investigated by the methods of social science (Cresswell, 1994, p.4). Behaviour is seen as a response to external or internal stimuli and the cause of behaviour lies in the past (Cohen et al., 2000, p.19; Cresswell, 1994, pp. 4-6). The quantitative paradigm does not focus on the 'more open-ended, creative humanitarian aspects of social behaviour' and therefore, is 'unable to answer questions about many interesting or important areas of life' (ibid., 2000, p.19). More importantly, it does not take account of 'our unique ability to interpret our experiences and represent them to ourselves'. (ibid., 2000, p.19). This is important as the research objectives for this study are concerned with colleges' practical experience of managing change, their values, experiences and organisational trends. Phenomenology is perceived as a 'tradition' within the qualitative approach (Cohen et al. 2000, p.23; Cassell and Symon, 1994, p.2). It is a theoretical point of view, which advocates the study of direct experience, taken at face value, and one that sees behaviour as determined by the phenomena of experience rather than by external, objective and physically described reality (ibid., 2000, p.23). Neglect of the phenomenology of change, or how people experience change as opposed to how it might have been intended, is perceived to be 'at the heart of the spectacular lack of success of most social reforms' (Fullan, 1991, p.4). The research objectives relate to the phenomenology of change. The essence of qualitative research is 'rich' and 'deep' description. It describes contexts for interpretation and looks at the wider picture in which the research topic is embedded (Coleman and Briggs, 2002, p. 20). The context of each college is described later in this chapter. Perhaps the greatest strength of qualitative research is its ability to analyse what actually happens in naturally occurring settings as opposed to quantitative research, which is more narrowly defined at the outset (Silverman, 2001, p.259).

During the early stages of the study, a multiple-sited case study approach, within a qualitative paradigm, was identified as the most appropriate method for the research questions. The main factor underlying the decision to use a case study approach is that it would offer a means of comparing and contrasting themes across the six colleges. This would provide insight into specific instances, events or situations, so that a relatively full understanding of the 'case' would be possible. Initially, a quantitative method was considered, which would involve a survey of college managers across the sector. It was decided that this would not be an appropriate methodology because of the nature of the research questions, since a depth of information could be best achieved through research set within the context of several organisations. Hence, a case study approach was adopted. The aim is to enable the researcher to identify significant issues about the management of change through including as wide a range of practice as possible, given one researcher. There is no attempt to quantify the empirical data within the study but rather to identify key issues related to the management of change within the FE sector. In some instances, in order to give an idea of the importance of a theme emerging from the data, there is reference to the number of managers within a college who provided data on the theme in question. This approach reflects back to the earlier study, which concludes that research in further education requires further detailed and in-depth study of the range of institutions, ideally over a period of time, to explain and understand the diversity and nature of the further education experience (Hughes et al., 1996, p.10).

The educational case study has features that are appropriate to the nature of the research questions within this study (Bassey, 2002, p.109). It is conducted within a localised boundary of space and time. It considers key aspects of the organisation mainly in its natural context and within an ethos of respect for individuals. The ethical protocol is outlined later in the chapter. The emphasis is on understanding processes alongside their contexts (Hartley, 1994, pp. 208-209). However, the case study approach has both strengths and weaknesses. Such studies tend to be empirically-based ventures led by practitioners, which are intended to make a difference in the real world. They have a strong focus on improvement and the

transfer of successful practice, together with sufficient detail to facilitate replication and transfer and to allow practitioners to make their own judgements about relevance (Martinez, 2002, p. 108) and to 'experiment with the adoption of new approaches described in the research findings' (Bloor, 1997, p. 236). A fundamental issue, that supports the qualitative case study approach and the focus on the participants' experience, is the importance of the phenomenology of change in the process of change management. Phenomenology of change is 'how people actually experience change as distinct from how it might have been intended' (Fullan, 1991, p.4). As stated earlier, neglect of this area is perceived as a key factor in the 'spectacular lack of success of most social reforms' (ibid., 1991, p.4). Majority of the weaknesses, which relate to those in the qualitative paradigm, will be considered in more detail later in this section.

Some researchers', however, argue that there is no such thing as 'the case study approach', other than as a way of co-ordinating the research methods (Brown and Dowling, 1998, p.167). They argue that within the context of specific research studies, 'the use of the word 'case' is probably best interpreted as simply a way of describing one's sampling procedures' (ibid., 1998, p.167). In this research, the term 'case study' is used to describe the individual institutions within the sample and to make explicit some of the contextual features that are used and their dimensions of heterogeneity across the sample. The six colleges are not a representative sample but include a range of features that may be representative of the sector. The use of the term 'case study' is also relevant because the colleges are 'human systems that have a wholeness or integrity to them rather than being a loose connection of traits' (Sturman, 1999, p.103).

It has been identified that practitioners are the most 'reliable and eager audience for social research' (Bloor, 1997, p. 234). Bassey (2002, p.111) argues that case study research outcomes should be expressed in a readable way for the intended audience otherwise the outcomes are wasted. The aims of this study are to inform the judgements and decisions of practitioners, and to contribute to the body of research

by extending understanding of the management of change within the FE sector. The intended audience for this research study is primarily college managers and other researchers. To that end, it is a 'picture-drawing' case study that is predominantly a descriptive account, drawing together the results of the exploration and analysis of the case studies (Bassey, 2002, p.112). The discussion, however, also evaluates the data in relation to the review of literature and identifies key issues for colleges.

The value of theory is significant to the quality of the case study research. Case studies may begin with only a basic theoretical framework but they need to develop theoretical frameworks by the end, which inform and enrich the data, and provide not only a sense of the uniqueness of the 'case' but also what is of more general interest and relevance. Such a framework of theory provides discipline and focus (Hartley, 1994, pp. 209–211). The selection of a qualitative methodology using several case studies and semi-structured interviews as a method of research gave rise to some potential research weaknesses, which needed to be addressed early in the process to ensure the quality of the empirical work. These include authenticity issues such as reliability, validity and triangulation, ethical issues about access to organisations and use of data, and operational issues.

The objection most often raised to case study, and to qualitative methods in general, are the related issues of reliability, validity and generalisation to and across populations (Cohen et al., 2000, p.185; Walker, 1980, p.34). One perspective is that case studies, in not having to seek frequencies of occurrence, may replace 'quantity with quality and intensity', separating the 'significant few from the insignificant many instances of behaviour' (Cohen et al., 2000, p.185). It may be argued that 'reliability' is an impractical concept for case study, since by its very nature a case study is a unique, one-off event and difficult to replicate exactly (Bassey, 2001, p. 111; Bush, 2001, p. 59). Popper (1960; in Raphael, 1998, p. 54) argues for studies based on 'methodological individualism' with more detailed analysis of the 'logic of situations'. This would allow analysis of the forces that contribute to a specific event, an understanding of individual actions or group activities, and the prevailing

situational context. Such analysis would facilitate understanding of underlying trends and tendencies. An approach based on 'methodological individualism', it may be argued, would allow a move away from the traditional scientific empirical philosophy towards new traditions based on reality.

Reliability refers to whether the 'operations of a study, such as the data collection procedures, can be repeated, with the same results' (Yin, 1994, p. 144). As a concept, it also applies to the people involved in the research, and how they operate, as well as to the research methods they may use (Sapsford and Evans, 1984, p. 259). Regardless of research paradigm, the key issue is that all research methods and procedures should impose 'selective and organisational principles' when establishing the empirical basis for the data (Brown and Dowling, 1998, p.167). This involves a clear description of the research activity through the production of a coherent set of statements that are 'established and located within explicitly stated theoretical and empirical contexts' (ibid., 1998, p. 137). This may be referred to as the 'structural coherence' of a research study (ibid., 1998, p.137). This study has taken an approach of 'structural coherence' through an explicit description of the study and its research methodology and methods. The second criticism of qualitative research relates to the soundness of the explanations that it offers. This problem may be referred to as 'anecdotalism' and it raises questions about the validity of qualitative work (Silverman, 2001, p. 34). It refers to researchers being selective about using fragments of data from interviews to provide evidence in relation to specific conclusions or explanations (Bryman, 1988, p. 77). The strength of a qualitative study, which lies in its rich descriptions of social settings can, therefore, also be its weakness. In order to address this issue within this research, several measures have been undertaken.

Firstly, all interviews were recorded, then fully transcribed by an independent administrator. The administrator was encouraged to give feedback to the researcher on each interview in terms of the interview process. This was considered as part of ongoing reflective practice. The transcripts were then checked by the researcher

against the tapes and hand written notes taken at the time of the interview. This process was to ensure accuracy of transcription as well as to increase the researcher's familiarity with the data. A copy of the transcript was then returned to the interviewee for checking for accuracy and meaning. At that stage authorisation was sought in terms of use of data. Some interviewees indicated sections that they felt could not be quoted, in most instances because they felt that anonymity could not be assured. This had been previously agreed as part of the ethical protocol. Taking the interview findings back to respondents for verification is referred to as 'respondent validation' and increases confidence in the validity of the findings (Silverman, 2001, p. 233). All interviewees gave feedback on the transcripts, identifying and clarifying some issues of accuracy.

2. The Design of the Research Study

a) The Initial Stage of Research Development

A central issue for this and indeed any such study is a justification of why the research questions were chosen and how the study developed and was designed. As noted above, the research 'problems' arose out of this researcher's role as a manager in a further education college during the period 1989 to 1997. The pragmatic demands of change were a daily challenge and the researcher perceived two issues in the college, as a member of staff. Firstly, the specific college senior management team had no strategy to manage change and proceeded from one crisis to another, never quite having full control of the situation or identifying priorities. The second issue was that one or two colleges within the North West appeared to manage the process of incorporation and the required change more effectively than other colleges. Why? What factors contributed to this disparity?

The researcher's role as a manager in a college of further education is important to this study. Readers of research and researchers do not embark upon research that has a management focus without having some idea of what 'management' means to

them, or indeed what it means to others. We all carry preconceptions about what we think 'effective management is or ought to be' (Coleman and Briggs, 2002, p.6). Key assumptions this researcher had, emphasised the role of professional reflection and the importance of clear communications within effective management. Indications of effectiveness, within the researcher's assumptions of 'effective management' included good inspection grades, quality assurance systems which were not bureaucratic and which focused on improvements rather than mere compliance with paperwork, as well as a college reputation for stability and being 'a place where people would like to work'. Given the period of the research, the management of the process of introducing new staff contracts and conditions of service with the minimum of conflict would be an indicator of effectiveness. The Further Education Development Agency (FEDA) highlights that identifying a common definition of effectiveness for further education is difficult because of the diversity of FE which means 'many more dimensions to our understanding of effectiveness, such as social and employment skills'(1998, p.6). In recognition that effectiveness may mean different things to individuals, it was decided to include a question within the interview schedule to gain insight into what 'effectiveness in relation to the management of change' meant to the managers across a range of FE colleges. In this way, the case study managers' perceptions would add to the general body of knowledge about definitions of effectiveness in the FE sector.

Initially, during the first year, the research focused on the effectiveness of quality assurance systems across colleges. This process was aided by the researcher's role as chairperson of a regional quality network. Through the maintenance of and reflection on a research diary, in addition to formal and informal discussions with senior and middle management from a range of colleges, and a review of documents, it became apparent that the initial research focus would not allow sufficient breadth to answer the research questions satisfactorily. The researcher identified that focusing on quality management would be too narrow to answer the research questions.

Once the research focus had become more established, a decision was taken to approach the largest trade union in the FE sector to invite them to participate in the research. The aim was to get their perception on the management of change in the sector whilst maintaining the anonymity of the case study colleges. Letters were sent to the regional office explaining the nature and processes of the research. This was followed up by many phone calls and messages over the period of a year. There was no response, however, and the decision was taken that this aspect would have to be abandoned. There was no contact or two-way communication to enable an analysis of why they did not respond. Perhaps this was an unachievable aim and at that stage the research brief, or their involvement in it, may not have been sufficiently clear. Approaching other trade unions was considered but rejected as they would not have been sufficiently representative of the FE sector.

During the first year of developing and refocusing the research study a significant barrier encountered was the lack of research of the FE sector. Research undertaken by the Department of Continuing Education at the University of Warwick (Hughes, Taylor and Tight, 1996), examines existing research on FE. They argue (*ibid.*, 1996, p.1) that further education is characterised as 'ever changing' yet remains greatly 'under-researched' and, therefore, 'little understood by outsiders'. They criticise the available, albeit limited, literature on the sector as 'descriptive, policy-oriented and focused on single institutions'. This criticism relates to weaknesses in qualitative research as well as many research studies that focus on monitoring the implementation of policies rather than the development of the FE sector. In addition, they argue that critical, analytical, theoretical and comparative studies are rare. A perceived key strength of the existing literature, however, is that it is generated mainly from inside thereby providing a considerable body of descriptive material on the detailed experiences of individual colleges and members of staff (*ibid.*, 1996, p.8). They conclude (*ibid.*, 1996, p.10) that research in further education requires further detailed and in-depth study of the range of further education institutions, ideally over a period of time. They indicate that such research also critically demands the creation of frameworks, models or theories to

explain and provide understanding of the diversity and nature of the further education experience. This body of descriptive material on the detailed experiences of colleges, relates to research undertaken within an interpretive social psychology paradigm which focuses on action, where theory is emergent and arises from particular situations (Cohen et al., 2000, p.22).

With the research study redefined to focus on the management of change, the decision was taken to research across a range of colleges with the aim of considering a range of experience in the FE sector. An additional aim was to analyse the data in a framework of themes which were contextualised in the FE sector and which would help explain the data in a way that was accessible and meaningful within the context of colleges. This would provide a framework for establishing the importance of the study and a benchmark for comparison of its results with other findings (Cresswell, 1994, p.20).

As stated, one of the initial difficulties in this research study has been the fragmentation of the literature in relation to the complexity encompassed by the research objectives. One of the reasons why further education is complex is because it is the only sector involved in all levels, modes and forms of post-sixteen education and training. Given the lack of material on the management of change in further education and limited literature about the field as a whole, such a framework of themes could only arise from a careful review of available literature on the management of change, including the developing body of research in other educational settings.

The issue of the limited literature on the management of change in further education has been managed in several ways. The initial search terms of 'further education' and 'management of change' were broadened to include 'organisational change', 'organisational theories', 'organisational development', 'organisational effectiveness', 'management development', 'management in education', 'educational research', 'educational quality', 'educational administration', 'change

strategies', and 'change agents'. The range of search terms itself highlights the fragmentation of the literature. Marshall and Rossman (1989, p.31) identify the need to set research within a context of related studies. The reader of a study needs to know what research has been published about the problem. If little directly related research can be found then the researcher should review literature that is closely related to the topic (Cresswell, 1994, p.51).

The extensive literature review also highlighted another barrier, namely the wide range of research and theoretical perspectives. This indicated the need to define carefully the parameters of the perspectives to be included. The literature, albeit limited, set within an educational context helped in the process of defining the parameters of what was relevant to further education. Three categories of theory were defined. These are an outcome of extensive reading and are to ensure that the framework of literature supports the research process and analysis of data, and that they are cohesive, manageable and relevant to the context of further education,. The first category relates to the rhetoric of change. This involves literature research focused on the general debate relating to the process of change and what it means to an organisation. The second category of research involves theoretical perspectives relating to change contexts, but with a focus on the different levels of context: the individual, the college setting and the broader context. These include theories of post-modernism and those of chaos and complexity. Inclusion of such theories is relevant because the broader context in which further education operates is constantly changing. Also included in this category are theories of motivation, since during the period of research staff morale was very poor in many instances. Finally, as colleges are political organisations and this aspect could have a significant impact on the management of change, theories of power and influence were included. The third category of research focuses on theories relating to organisational elements including culture, structure, leadership and management, planning and teamwork. It also encompasses emerging theories of knowledge and capacity-building and the concept of learning organisations. The inclusion of such a category is significant if the critical factors that determine that one college may manage change more

effectively than another are to be identified by this research study. The review of literature in Chapter Two is organised under these three headings as part of the process of organising and managing the theory underpinning this research. In addition, as part of the process of ensuring the relevance of theories to the study, the focus is on relating it to further education and the management of change. Outcomes of this process were the research themes, which were used to define the research objectives and the research schedule.

The deficiencies in the body of literature have been outlined above; the main issue being that further education is greatly under-researched. This study found the literature relating to further education to be fragmented. The available literature is perceived to be descriptive, policy-oriented and, in general, focused on single institutions (Hughes et al., 1996, p.9). The key criticism here is that the research relates to the monitoring of the implementation of policy as opposed to research, which focuses on the FE sector. Whilst this adds to the body of material, it does not fully explain the diversity and nature of the sector. The aim of this study is to identify a theoretical framework to explain how several diverse institutions perceive and manage the process of change engendered by mandated national changes, internal pressures and sector-wide external pressures.

b) Development of the Research Procedures

As stated previously, the research study is within a qualitative, interpretive paradigm and during the early stages, a multiple-sited case study approach was identified as the most appropriate method for the research questions. This offers a means of comparing and contrasting themes across the six colleges. The six colleges, however, are not a representative sample but include a range of features that may be representative of the sector. The aim is to enable the researcher to identify significant issues about the management of change through including as wide a range of practice as possible, given one researcher. The intended audience for this research study is primarily college managers and other researchers. To that end it is

a 'picture-drawing' case study, which is predominantly a descriptive account, drawing together the results of the exploration and analysis of the case studies (Bassey, 2002, p.112). The discussion, however, also evaluates the data in relation to the research literature and identifies key issues for colleges.

The research methods used in this study, include document analysis and audio-taped semi-structured interviews. The empirical research took place during 1997 to 1998. During this period, interviews took place with key managers in each of the six colleges and included a review of contextual documents. Some of the documents, such as strategic plans and economic data, were requested before the interviews. Additional documents were identified during the course of the interviews, such as staff development and other documents related to change processes. These were analysed later. Documents such as inspection reports were collected and analysed throughout the full period of research, as they were published. Given the lack of comprehensive research across the FE sector and the size of the sample of case studies, there was a need to establish structures for the qualitative research design of this study. This involved the identification of themes through review of relevant literature. This may be defined as 'prior instrumentation' (Silverman, 2000, p. 88). The purpose of this process was to use themes derived from earlier research in both educational and industrial settings to allow analysis of data, while still allowing additional themes to emerge. The intention was not to restrict the opportunity for open responses but rather to add structure to the interview questions to support reliability during the interview process.

The goal of the qualitative research interview is to see the topic from the perspective of the interviewee, and to see why he or she has a particular perspective. The focus varies from a broad focus to a narrower focus on specific topics. A 'key feature' of the qualitative research interview is the nature of the relationship between the interviewer and interviewee, where the interviewee is a 'participant in the research, actively shaping the course of the interview rather than passively responding to the interviewer's pre-set questions' (King 1994, p.15). The desired characteristics of

qualitative research interviews include a low degree of structure imposed by the researcher, predominantly open questions, and a focus on 'specific situations and action sequences in the world on the interviewee' rather than abstractions and general opinions (Kvale, 1983, p.176). The main issue of the 'fitness for purpose' of the qualitative interview as a research method is that 'the more the researcher wishes to acquire unique, standardised, personalised information about how individuals view the world, the more he or she veers towards qualitative, open-ended unstructured interviewing' (Cohen et al., 2000, p.70). Reliability in interviews relates to whether similar results would be obtained using the procedure on different occasions. In this instance, there was only one researcher for thirty interviews across six colleges. Reliability depended on semi-structured interview schedules, with open-ended questions, and the researcher's awareness of the need for an interview protocol which ensured that she was low-key and asked the schedule of questions in the same way and used 'probes' identified during the interview pilot process. The need to pilot at least one interview was identified early on in the process. This is discussed in the section on developing the research methods. It was necessary, however, to generate a conversational style and a comfortable rapport whilst maintaining objectivity. To support this process, the interview schedules were sent to respondents prior to the interview. Communication took place with each person prior to the interview to explain the research, the protocols and to confirm that they agreed to be interviewed. Each interview started with factual information such as description of the respondent's role within the college. Preparation was thorough, prior to each interview, partly to ensure that the researcher was focused on the task. Many of the respondents were busy people such as principals and senior managers, and each interview, therefore, had to be planned effectively to ensure that they ran smoothly on the researcher's part. Interviewer bias is a further potential difficulty within qualitative interviews. This relates to the wording of the questions as well as to interviewer behaviours. How this was dealt with in terms of the wording of the interview questions will be dealt with in the next section, on the development of the interview procedures. Bias in terms of behaviour during interviews is a difficult concept. All researchers have assumptions about

their research topic and as stated in the introduction, never more so than in research that has a management focus. In this study the research questions partly set the focus for behaviour. They were generated through a critical interest in 'what is it that makes some colleges appear to manage change more effectively than others?' The researcher, as part of the first stage, became highly aware of the need for questions and probes that elicited further data without leading the respondent or demonstrating partisanship. Checking of this issue was through self-monitoring during each interview and listening to the tapes after each interview. In only one instance could this have happened because the respondent found it very difficult to provide detailed information but the interviewer felt that it was preferable to sacrifice depth of detail rather than lead the respondent. This can be identified in the data tables where some of the answers are limited or absent.

The use of multiple-site case studies may help the issue of generalisation, or external validity, as the problem may be minimised by replication of the study in another similar setting (Yin, 1994, p. 145). In addition to the checks in place, triangulation has been built into the research methodology. This is primarily a means of cross-checking data to establish its validity. It was felt that it would also help to ensure depth of information and understanding of each site. Triangulation may be defined as a process for 'comparing many sources of data in order to determine the accuracy of information or phenomena' (Bush, 2001, p. 68). There are two types: respondent triangulation and methodological triangulation (McFee, 1992 p. 216). Both of these have been used within and across the case studies. Respondent triangulation refers to the activity of asking the same questions of many different participants and has as its starting point the concept that the 'reality' of a situation can not be found from a single viewpoint (ibid., 1992, p. 216). This occurred within the six colleges and was particularly interesting when senior and middle managers had differing perceptions of the same situation. Methodological triangulation refers to using several methods to explore the same issue (ibid., 1992, p. 215) and allows comparison of two or more research solutions to the research question in order to validate the outcomes. The methods used in the study are semi-structured interviews and review of documents.

The use of observation as a research method was considered but rejected as it was judged that observation at each site would not be operationally realistic as an effective use of the one researcher's time, or an appropriate strategy for measuring the management of change. The documents reviewed took several forms. Those which were requested prior to the interviews included college strategic and operational plans, and statistical returns. Some of which are validated routinely by the funding body. The second type of documents were identified during the process of the interviews and included project plans, middle management programmes, minutes of project meetings and other individual documents. The purpose was to validate interview data in terms of accuracy. The final set of data was FEFC inspection reports: two for each college that were provided over a significant period. These provided additional external validation and further detail about leadership and management issues. The other method used was the scrutiny of detailed transcripts, which included additional information such as pauses, laughter and other indicators. Although these latter indicators were not formally analysed, they helped to provide context during data analysis.

A procedural issue that needs to be considered is that of the ethical framework for the research. Ethical issues and practice relate to all stages in the research process, from the nature of the research project itself, through the research context, procedures and methods of data collection, the type of data and how they are to be analysed, the nature of the participants, through to dissemination of outcomes (Cohen et al., 2000, p. 49). One of the key issues in qualitative research is respect for the dignity and privacy of participants (Busher, 2002, p. 74) throughout all stages of the research, including analysis and use of data. The strategies used to manage this aspect of the research were considered earlier in the section in relation to reliability and validity.

A framework of ethical rules was established to offer a means of ensuring informed participation, the privacy of the individual and protection of their rights (Busher, 2002, pp. 73-87; Silverman, 2001, pp. 270-271; Cohen et al., 2000, p. 60-64; Wragg,

2002, p. 145). Part of the framework was a code of 'informed consent' (Silverman, 2001, p. 201) which was used to ensure that potential respondents had the full range of information to make the decision about whether to take part in the research. Although, initial contact was through the college principal, a key part of the ethical framework was to ensure that the participation was voluntary. This was made explicit at every stage in the process, on initial telephone contact, in the follow-up letter sent to confirm details, in the interview schedule and verbally at the start and end of interviews. The key features of the framework were that all participating colleges and individuals would be anonymous. Researchers have a duty to avoid creating problems for participants and to the socio-political environment in which they work (Busher, 2002, p.83). To this end, the colleges would be coded by a letter, college A, B, C D, E, or F. Interviewees within those colleges would be known by generic titles that could apply to any college. Examples include: principal, vice-principal, director, cross-college manager, or head of faculty. All interviews would be conducted on the principle of confidentiality and recorded only with the agreement of the participant. Data from each interview would be confidential to the interviewee, who received a copy of the transcript to check for accuracy and content, with the right to decide which information could be published. The purposes of the research and the way in which the data would be used were made explicit to each individual (Cohen et al., 2000, p. 51). During the initial telephone contact with each respondent, and again prior to the start of the interview, permission to tape the interview was sought. None of the respondents identified any concerns about taping or transcribing the interviews. All participants were told that they would receive a copy of the outcomes and the recommendations of the report. Finally, participants could withdraw at any time.

The final procedural issue to be considered in this section is the choice of sample. This relates to both the sample of colleges and selection of the managers for interview within each college. The research study involved six case studies of FE colleges in the North West region selected from a sample frame of 72 institutions. Whilst they are not an adequate representation of the diverse range of FE colleges,

they were selected to incorporate elements of the variety of issues in the sector. In this respect, selection of the case study colleges was based on 'purposive sampling' (Silverman, 2000, p. 104) which was a key procedural issue with only one researcher. This choice of sample involves choosing a college to be involved as a 'case' because it 'illustrates some feature or process in which we are interested' (ibid., 2000, p.104). The purpose behind the choice of each college is explained later in this section when each college context is described. Review of available research indicated that, because it is a multi-site study involving a dimension of heterogeneity (Schofield, 1993, pp. 211-212), a finding emerging from the study would be more robust and thus more likely to be useful in understanding various other sites than one emerging from the study of several very similar sites. This was a factor when choosing the six colleges in that 'heterogeneity can be obtained by searching out sites that will provide maximum variation or by planned comparisons along certain potentially important dimensions' (ibid., 1993, p. 211). Whilst the study of several heterogeneous sites may increase the generalisability of qualitative research, there is a need to ensure the depth and breadth of description and understanding of the individual sites (ibid., 1993, p. 213). All of the case studies involved are general FE colleges, which encompass the largest proportion of the FE sector. It was decided not to include specialist agricultural colleges or sixth form colleges because of their very particular concerns and the different nature of the student body. The colleges were chosen using the researcher's knowledge of the North West regional colleges and through information that was in the public domain, such as publicity materials arising from certain aspects of the criteria, or inspection reports. Some colleges were considered, but rejected at an early stage in the process because after preliminary enquiries, the criteria for their choice were similar to or overlapped with other colleges already chosen. It may be argued that 'if the population characteristics are known, the degree of representativeness of a sample can be checked' (Arber, 1993, p.70). The issue with the FE sector colleges is that whilst there are some common issues across the sector, it is not a precisely defined population and each individual college is very much an 'individual case' made up of historical factors, local priorities and pressures, and internal culture.

Therefore, whilst the above statement about ‘the degree of representativeness’ may be valid, the sample of colleges chosen for the case studies are representative of a subsection of the sector only. The strength lies in the explicitness of their characteristics for their inclusion in the sample and the contextual description provided. Case studies can establish cause and effect, and one of their strengths is that they observe effects in real contexts, recognising that context is a powerful determinant of both causes and effects (Cohen et al., 2000, p. 181). In this respect the whole is more than the sum of its parts (Nisbet and Watt, 1984, p. 78). In this instance, the terms ‘comparability’ and ‘translatability’ may be more appropriate than reference to ‘generalisability’ (Goetz and LeCompte, 1984; in Schofield, 1993, pp. 206-207). Comparability refers to the degree to which the components of a study are sufficiently well described and defined so that other researchers may use the results of the study as a basis for comparison. Translatability refers to a clear description of the researcher’s theoretical stance and research techniques. The latter has been an aim within this study. The features for the choice of the six case study colleges are outlined below. The additional information is provided to ensure that readers of the research project have an understanding of the context within which each college operates. It is important to build an understanding of both the ‘small and big pictures’ in which change takes place as this is central to understanding educational change in the socio-political context of colleges (Fullan, 1991, p.4). The wider context or ‘big picture’ (ibid., 1991, p.4) was established within Chapter One. The statistical information was derived from each college’s FEFC inspection report, which cannot be referenced fully because of the need to maintain anonymity.

College A is a stable college both pre- and post-incorporation and this is a significant criterion in its choice. The college received good inspection grades in the first round of inspection, with a grade one for aspects of leadership and management. A key criterion, which is linked to its stability, is that it has not had any significant industrial relations problems in relation to the implementation of new contracts. The staff turnover is low and this feature is particularly noticeable amongst managers who are quite explicit about this issue. They like working in the

college, other managers would like a job there. The College was established early in the 1990s following the amalgamation of a tertiary college and a general FE college. It operates on two main sites seven miles apart, with three smaller centres in the surrounding area and several outreach centres offering adult education. Most of the students live in an area on the eastern edge of a city, which has been given European objective one status in recognition of its relative poverty. The population of the area has fallen by 20 per cent between 1971 and 1991. The minority ethnic population is low at less than one per cent. There is significant competition as five of the eleven secondary schools in the borough have sixth forms and several offer adult education courses. There are five general FE and sixth form colleges within easy travelling distance. In 1993–1994, there was a full-time equivalent staff establishment of 398, of whom 265 were teaching staff and 133 were support staff. By 1998, the staffing profile had changed to 406, of whom 354 were permanent staff (183 direct learning contact, 139 supporting direct learning contact, and 32 other support), 19 fixed term staff (11 direct learning contact, 8 supporting direct learning contact), and 33 were casual direct learning contact staff (FEFC inspection report, 1998). The estimated income for 1993-94 was £12,210,000. Fifty-six per cent of which derived from the FEFC work. The remainder of their income is from other sources such as European Social Funding (ESF) and work-based learning funding through the local Training and Enterprise Council (TEC). The average level of funding (ALF) for 1995-96 was low at £14.68 (FEFC, July 1996c, p.102), in comparison with the £17.84 sector median at that time. The ALF by the time of the second inspection in 1998, was converging upwards to £15.29. Since the college was established, student enrolments have increased by 30 per cent. The total enrolments for 1993-94 were 9,951. Only 1.2 per cent of those students were enrolled on higher education provision (FEFC, 1996c, p.102).

College B is a college with significant internally generated change. Such change was explicitly discussed both in the FE network forum and used for public relations. It was formed in the late 1970s by the amalgamation of a technical college, a college of art, and a college of higher education. It operates from three main campuses. To

the north of the town it has an eighteen-acre site. The 43-acre site to the east of the town has accommodation, which reflects its history as a higher education campus. The town centre site, a listed building, houses courses predominantly for adults. In addition, the college has seven school-based adult centres, five family and community centres, and a range of health and social service centres providing educational programmes for adults. Two further centres were in the planning process at the time of the research. In 1995, the FEFC inspection report (FEFC, 1995) identified that the college had, at the time of the inspection 14,114 enrolled students. Of whom 86 per cent were over the age of 19 years. Almost 12 per cent of students were on higher education programmes, most studying for BA Honours, higher national diplomas, and a taught MA degree. The college is recognised as a faculty of a university in a neighbouring city. The estimate income for 1993-94 was £16,165,000. Fifty-seven per cent of which derived from the FEFC, the remainder from other sources. In 1994-95, the college's ALF was average at £17.62 per unit. By 1998, the college's FEFC income was estimated as £15,045,000 with an ALF of £15.48. A slight downward convergence, which reflects the overall median downward convergence in the sector. The college achieved its 1993-94 target growth of eight per cent. The target growth for 1994 – 95 was twelve per cent, and at the time of the inspection, the forecast was that there would be a shortfall of four per cent.

The borough lies at the centre of a regional development area. The FEFC report (FEFC, 1995) highlights that unemployment within the borough was 6.5 per cent in November 1994. While minority ethnic group accounted, during that period for, 1.3 per cent of the population. Within the borough, there are seven schools with sixth forms plus a sixth form college. Three other sixth form colleges and four general FE colleges recruit students from within the district. During 1993-94, there was a decline of three per cent in the number of sixteen year olds proceeding to further education. Recruitment by College B of students over the age of twenty-five has increased by 6.5 per cent since 1993-94. In 1994–1995, there was a full-time equivalent staff establishment of 439, of whom 210 were teaching staff and 229

were support staff. By 1998, the staffing profile had changed to 454 staff in total, of whom 343 were permanent staff (153 direct learning contact, 60 supporting direct learning contact, and 130 other support), with 81 fixed term staff (65 direct learning contact, 4 supporting direct learning contact, and 12 other support), and 30 casual staff (one direct learning contact, 14 supporting direct learning contact, 15 other support) (FEFC inspection report, 1998).

College C is a college, which received poor FEFC inspection grades, and weaknesses in management, which resulted in a change in principal. This was widely publicised at the time. It was formed as a tertiary institution very early in the 1990s, bringing together seven secondary school sixth forms, three small further education colleges and a centre for skills development. The staff from these institutions brought with them differing skills, experience and professional practice. The inspection report (FEFC, 1993) highlighted that this resulted in a lack of a corporate identity and related cultural issues. It operates on two sites. The main site, formerly that of a teacher training college, occupies 35 hectares in an attractive, semi-rural location. It is five miles from the town-centre site that was the location of the former technical, art and design and adult education colleges, purpose built in the 1960s. Data drawn from the FEFC inspection report, which took place in 1993, established that the college was the main provider of post-16 education in the area. Since the formation of the college, most secondary schools in the area have not provided post-16 education. Six FE colleges are within relatively easy travelling distance of the college's main catchment area. Collectively they offer a similar range of vocational and other courses and so compete for students with College C.

In January 1993, unemployment in the area was 11.2 per cent, which was accounted for by the significant decline in the local traditional textile and engineering industries. In 1993, the minority ethnic population accounted for 7.9 per cent of local population.

The college's estimated income for 1993-94 was £18,482,000; 83 per cent of which derived from the FEFC. In 1995-96, the ALF was high at £27.73 (FEFC, 1996c, p.93). By the time of the second FEFC report in 1998, the estimated FEFC income was £14,117,000 with an ALF of £22.35; a downward convergence with still further convergence needed. In 1993, the college had 10,191 students, of whom only 24 were on higher education provision. Eleven per cent of students, a greater proportion than in the sector at that time, were in basic education provision. During 1993 the staffing establishment was 476, of whom 330 were teachers and 146 support staff. By 1998, the staffing profile was 407, of whom 279 were permanent (145 direct learning contact, 42 supporting direct learning contact, and 92 other support), 128 fixed term (67 direct learning contact, 35 supporting direct learning contact, and 26 other support) and no casual staff (FEFC inspection report, 1998).

College D: is a college, which achieved good FEFC inspection grades but had industrial relations problems, which were well-publicised. It is a large town-centre tertiary college, founded in the late nineteenth century as a technical college specialising in textiles and basic engineering. It became a technical college in the early 1980s following a reorganisation of post-16 education in parts of the borough. The main campus blends into the surrounding shopping and residential areas. Its buildings range from a listed centre to a modern single-storey technology block constructed in 1990s. Ninety-five per cent of activities take place on the main site. The remaining five per cent take place in seven outreach centres, six of which are shared with other community users. College D is an associate college of a local university and has franchise arrangements with five other universities. Eighteen per cent of the college's students progress onto higher education provision.

The college's catchment area has the lowest living standards in the borough and unemployment is high at 61 per cent (FEFC inspection report, 1996). Minority ethnic groups make up sixteen per cent of the total population. College D competes for students with a sixth form college, which is located half a mile from the main site, and four large FE colleges and large training providers. The college's income

for 1994-95 was £20,445,000, with over two million of that derived from sources other than the FEFC. The college's ALF for 1995-96 was £16.31, which is lower than the sector median of £17.84. By the time of their second inspection in 1999, the estimated FEFC income was £23,215,000 with an ALF of £16.14, a slight downward convergence. The increase in income was due to increased fundable student activity. At the time of the first FEFC inspection, in 1995, there were 18,433 students, 78 per cent of whom were part-time. Students from minority ethnic groups made up 25 per cent of full-time students. Twelve per cent of students were registered on higher education provision. Twelve per cent of students were enrolled on basic education courses which is a greater proportion than within the sector at that time.

In 1995, at the time of the first inspection there was a full-time equivalent staff establishment of 632, made up of 305 teachers and 327 support staff. By the second inspection in 1999, the staff profile had changed to 693 staff in total, of whom 613 were permanent (277 direct learning contact, 40 supporting direct learning contact, 296 other support), with 76 fixed term staff (64 direct learning contact, 1 supporting direct learning contact, and 11 other support), and four casual staff for other support (FEFC inspection report, 1999).

College E: is a college, which received good FEFC inspection grades but had well-publicised financial difficulties. It was established in the mid-1970s from a merger of two colleges and serves three boroughs. The college has six sites within an eight mile radius. In one borough, the college has been the only provider of post-16 education since the mid- 1970s. In the second borough, there is competition from two schools, which offer large sixth forms. In the third borough, the college provides education and training opportunities for adults. The college also enrolls students from three nearby towns. The competition for students throughout the county is strong as there are a large number of private training providers and four more FE colleges within fifteen miles.

The college offers courses in all of the vocational programme areas except agriculture, offering progression opportunities from entry and foundation levels to first degrees validated by three universities. In addition, it has a contract with the county council to offer leisure provision for adults and runs a significant programme of work-based training for the local training and enterprise council (TEC). The college also offers courses in sixty-one centres in the community, including home-based tuition and house groups for students of English for speakers of other languages (ESOL). Saturday classes are held at two of their sites and there is a small Sunday programme for the Asian community. Minority ethnic groups form a small proportion of the population in each of the three boroughs: one per cent, six per cent and two point five per cent respectively. The textile and engineering industries that once dominated the three boroughs have suffered a major decline, although the falling employment from these has been partly offset by growth in the service sector and in a number of small businesses.

The Directory of Colleges (FEFC, 1996c) indicates that the college's average level of funding (ALF) for 1995-96 was £17.82 per unit. The FEFC inspection report (FEFC, 1997) states that the college's ALF for 1996-97 was £18.08 per unit. The median for general further education and tertiary colleges for the same period was £17.97 per unit. The college fell short of its target for funding units with the FEFC in the 1995-96 teaching year. The recovery plan involved a programme of redundancies. The FEFC allocated 72 per cent of the college's total income in 1995-96. The income for 1995-96 was £11,471,000. At the time of the second inspection in November 2000, the estimated FEFC income was £12,079,000 for 1999, with an ALF of £16.82, a downward convergence (FEFC inspection report, 2000).

The FEFC inspection report (1997) identified that, at the time of the first inspection, there were 13,278 students, of whom 85 per cent were part-time students. The Directory of Colleges (FEFC, 1996c) states the enrolment figures for 1993-94 as 18,947, of which 404 were enrolled on higher education provision. By the time of the second inspection in 2000, the student numbers had dropped to 9,964 (FEFC,

2000). In 1994-95, there were a 380 staff, of whom 270 were full-time and 110 were part-time. By the time of the second inspection, the staff profile was 344, of whom 321 were permanent (115 direct learning contact, 70 supporting direct learning contact, and 136 other support), 23 fixed term staff (4 direct learning contact, 5 supporting direct learning contact, and 14 other support staff), and no casual staff (FEFC inspection report, 2000).

College F: is a college whose principal ensures that it maintains a high national and local public relations profile. It was founded in the mid-1970s as a tertiary college following the reorganisation of secondary education in the borough. The college has five sites; its major provision is on the main site, which is two miles from a town centre. The college recruits most of its students from the town but some, particularly part-time students, are attracted from a wide catchment area. In some parts of the town there is substantial long-term unemployment. Data drawn from the first FEFC inspection report identifies that in 1995, the unemployment rate for the town as a whole was 11 per cent, which rose to 26 per cent in the central ward of the town. The college is one of several institutions in the area competing to recruit students, particularly GCE A level students. A Catholic sixth form college is less than two miles from the main site and a major tertiary college is ten miles away. More locally, there are two eleven to eighteen schools, and a number of independent schools. The college has thirty-eight partner high schools with which they have established strong links. There are two further education colleges within travelling distance, which offer similar vocational courses.

The college's average level of funding for the financial year 1994-95 was £14.45 per unit and £14.60 for 1995-96. The median for general and further education colleges and tertiary colleges during the same period was £18.17 per unit. During 1993-94, 70 per cent of the college's income was derived from the FEFC. The total income for 1993-94 was £20,336,000. An inherited financial deficit, from pre-incorporation, had been cleared and reserves created. By the second inspection in April 1998, the ALF was £15.22, an upward convergence (FEFC inspection report, 1998).

Enrolments over the period from 1994 to 1998 have grown by approximately 30 per cent. The college has been particularly successful in increasing the proportion of adult students it recruits. Almost half the full-time students, at the time of inspection in 1995, were adults. At the time of their FEFC inspection in 1995, there were 18,096 students, of whom 69 percent were adults; and the remaining six per cent were under sixteen years, following school link courses. Ten per cent of the students were from minority ethnic backgrounds, which is a slightly higher proportion than in the town as a whole. In 1993-94, five per cent of students were registered on higher education provision. (FEFC, 1996c) By the time of the second inspection in 1998, student numbers had increased to 33,296 of whom 88 per cent were part-time (FEFC inspection report, 1998).

The first FEFC inspection report (FEFC, 1995) indicated that there was a full-time equivalent staff establishment of 528, of whom 317 were teachers and 211 were support staff. By 1998, the staff profile was 692 staff in total of whom 488 were permanent (258 direct learning contact, 203 supporting direct learning contact, 27 other support), 193 fixed term staff (135 direct learning contact, 43 supporting direct learning contact, 14 other support), and 12 casual staff for other support (FEFC inspection report, 1998).

As emphasised earlier in the chapter, the issue of heterogeneity within multiple site case studies is important in that it may increase the generalisability of qualitative research (Schofield, 1993, pp.211-212). Multiple site studies focus on the same issue in a number of settings using similar data collection and analysis procedures. Schofield (1993, p.211) highlights several relevant issues. Heterogeneity can be obtained by 'searching out sites that will provide maximum variation or by planned comparisons along certain potentially important dimensions'. Schofield also refers to the work of Firestone and Herriott (1993, pp.211-212) who identify a need to ensure the breadth and depth of description and understanding of the individual sites. They also identify that all other things being equal; a finding emerging

repeatedly in a study across many sites would appear to be ‘a good working hypothesis about some as yet unstudied site than a finding emerging from just one or two sites’. This section seeks to address the issues of breadth and depth of description and understanding by providing details of each of the colleges and make explicit the range of heterogeneity. The chart below makes explicit a comparison across the colleges at the time of their first inspection reports.

Comparison across Colleges at the time of their first inspection reports:

	College A	College B	College C	College D	College E	College F
Report Year	1993/94	1995/96	1993/94	1995/96	1996/97	1995/96
ALF	£14.68	£17.62	£27.73	£16.31	£17.82	£14.60
Total Income	£12.21 million	£16.165 million	£18.48million	£20.445 million	£11.471million	£20.335 million
Inspection Grade for Management	2	2	4	1	2	3
Enrolments 93/94	9,951	17,742	10,191	24,820	18,947	18,666
% HE	2%	12%	<1%	20%	2%	7%
No. of Sites	5	3	2	8	6	5
% income from FEFC	56%	57%	83%	64%	72%	72%
Expenditure on Staff salaries	68%	63%	68%	66%	74%	74%
No. Staff	398	439	476	632	379	528

It can be seen from the content of each case study that the colleges offer similar types of provision with some variations in proportion. The chart above indicates several differences:

- i) Two colleges (D and B) offer significant higher education provision;
- ii) There is a variation in the FEFC inspection grade for 'governance and management', with a range from 1 to 4 (on a five point scale where one is high);
- iii) There is variation in the level of funding with two colleges below the convergence zone of £17.00 to £17.20 (colleges A and F) and therefore,

their finances will improve with convergence. College C will have to ensure strategies for efficiency gains, as their ALF is significantly higher than the convergence figure and therefore, their FEFC income will reduce.

- iv) There is some variation across the colleges in total income, number of staff and student registrations. Two colleges (E and F) spend nearly three-quarters of their income on staff salaries. This is an issue particularly if registration targets are not achieved which could lead to a shortfall in FEFC income. For example, college E established a recovery plan in February 1996, which included a programme of redundancies.
- v) It has been indicated within the case studies, that colleges B and E had potential difficulties in meeting their FEFC registration targets.

Given these financial indicators it may be surmised that there is some variation in financial status, an issue that will be considered during the interviews. There are several other variations between the colleges. The first variation involves the maturity of the senior management team. For example, College C had a new principal in 1993-94. The second variation relates to industrial relations issues. For example, College D had significant industrial relations difficulties. The third variation is the number of sites and how long the college has been established as a college of further education. Several of the colleges had merged to form the existing college often from very distinct organisations.

The selection of the sample of managers to interview in each college was through negotiation with the college contact. The aim when selecting a sample is usually 'to study a representative subsection of a precisely defined population in order to make inferences about the whole population' (Arber, 1993, p.70). Such a sampling procedure is difficult in qualitative research. The case studies were not selected on a random basis nor are they a representative sample of colleges. The recruitment of participants to a research study is dependent on the study's aims. As this study is

concerned with an examination of the processes and management of change in each college, a structure was established for the sampling process relating to these aims, but negotiation was needed to identify the appropriate people. The sampling procedure was to include managers at strategic and operational levels, and those with key cross-college management functions relating to the management of change including the quality manager, the staff development officer, curriculum managers and managers of special projects. In deciding the number of participants to recruit, the amount of time and resources were critical factors. All interviews were taped and transcribed, and the quantity of data for one researcher had to be considered. It was identified that the time needed to transcribe taped interviews should not be underestimated (King, 1994, p.20). The original aim was to interview one senior manager and a maximum of five middle managers in each college. The colleges' structures differed and some had executive managers, which included the principal and vice-principal, senior managers and middle managers. The process had to be sufficiently flexible to take account of the different college structures and all participants were identified through discussion of individual manager's roles with the main contact in each college. A total of 30 interviews were undertaken across the six colleges.

The aims of this section were to consider the development of the research procedures including the sampling process. In addition, the aims were to establish a foundation of data for each college, which make explicit their individual contexts. An additional purpose of this process is to establish both internal and external constraints that will have an impact upon the management of change. The second aim was to make explicit the validity of the concept of heterogeneity.

In summary, it may be argued that the descriptions for each college provide a strong foundation for collection of the research data, highlighting key issues and constraints. The six case studies demonstrate the issues relating to heterogeneity within multiple-site studies.

c) Development of the Research Methods

As stated earlier in the chapter, the research methods used in this study include analysis of policy and planning documents produced incidentally by the colleges in their everyday activities; and audio-taped semi-structured interviews. All interviews would be undertaken on a one-to-one basis at a location and time agreed with each interviewee. All interviewees identified a room in their college for the interview to take place. Early in the development of the research methods, the use of a conventional structured questionnaire was considered as this would allow for quantitative analysis. However, this approach was rejected at an early stage, mainly because the research objectives involve exploring opinions, attitudes and beliefs. This relates to some extent to how individuals construct meanings to evaluate phenomena, which they experience (Brown and Dowling, 1998, p.63). The individuals would be asked to evaluate and describe complex and different experiences and make complex judgements and this is difficult if the responses are structured around a scale. Such in-depth information is necessary as this is a descriptive study researching how colleges manage the processes of change. It is important to remember that there may be multiple meanings of a situation or an activity (Silverman, 2000, p.36). A common approach, and the one used here, is to treat respondents' answers as 'describing some external reality (e.g. facts, events) or internal experience (e.g. feelings, meanings)' (ibid., 2000, p.122). Given this approach, however, it has been important to build into the research design methods of ensuring the accuracy of interpretation. The main method, as discussed previously, has been by triangulation using college documentation and FEFC inspection reports.

The next stage in the development of the research interview was to identify the type of interview. The structured interview was rejected because the research focuses on opinions, attitudes and beliefs and limited option responses, it was considered, would not provide this (Denscombe, 1998, pp.112-113). A semi-structured interview schedule was chosen with a clear list of issues to be addressed and

questions to be answered but with the use of probe questions to encourage the interviewee to elaborate points of interest. A 'probe' may be defined as a question used in an interview 'to gain further information, clarification, or which seeks to access underlying causes or reasons for a particular response' (Brown and Dowling, 1998 p.62). This definition was used to establish a set of planned probe questions. The reasons for this choice were that it would allow flexibility in terms of the order in which the topics were considered, but would allow the interviewee to develop ideas and speak widely on the issues raised by the researcher. The unstructured interview was rejected because of the potential disadvantage of not meeting the research objectives. In this latter approach, the researcher's role is to introduce a theme or topic and then allow the interviewee to develop ideas or pursue his or her train of thought (ibid., 1998, p. 113).

There were several stages in the development of the interview schedule. The interview schedule was developed from the research objectives and included some contextual information, which was verified through key college documents such as strategic and business plans. The initial schedule, which was piloted in two ways, included quite defined questions, some words that were not sufficiently specific, including 'external factors' rather than 'external pressures', and one value-laden and superfluous question. The question was: 'what do you think about the rate of change imposed on FE?'. The four individuals involved in the initial pilot phase of the interview development identified it as a redundant question and it was subsequently left out of the final schedule. The initial weaknesses included questions that were not sufficiently open, lack of clarity, too much jargon, and too complex questions, for example two questions in one. The process for piloting the interview schedule was two-fold. The first stage involved the researcher asking four experienced middle and senior managers in her own college to read and give feedback on the questions. The schedule was sent to these individuals and followed up by an informal meeting to discuss any questions of concern. At this stage several issues were highlighted as identified above. In addition, one suggestion was to divide the questions into sections because the questions appeared quite daunting on first reading. As the

interview schedule was to be sent to the interviewees' prior to the actual interview this could be an important issue to gain agreement for the interview to take place. The next stage in the pilot phase involved carrying out one pilot interview with an experienced senior manager. This identified some issues related to probe questions, bias inherent in the interviewer's tone of voice and facial expression and issues about allowing sufficient time for responses. The interviewee provided very relevant verbal feedback throughout the pilot interview and, at the end, was asked to reflect on the experience of being interviewed. It also highlighted that it was impossible and unnecessary to expect every respondent to provide the contextual information and that this should be negotiated with the main contact for each case study. As a result the interview schedule was revised and personal guidelines for undertaking the interviews established. These included issues such as neutrality of tone of voice and facial expressions to limit interviewer bias. Inherent in this was the need to establish, prior to the interviews, acceptable prompts such as, 'tell me more about', 'list some examples', 'what did you learn from it?', 'how did you feel about that?', 'what can you remember of it?', and 'what was your involvement in it?'. These were established early because of the need to consider how far the interviewer was willing to probe when interviewees had difficulty answering questions (Brown and Dowling, 1998, p.76; Wragg, 2002, p. 152). It is also a strategy to show that the interviewer is 'engaged and interested' (ibid., 1998, p.76). The most commonly used probe across all interviews was 'tell me more about', as a way of refocusing the interview when the interviewee had spoken at length on a topic but gone slightly off focus, or if greater expansion was needed. The pilot interview also highlighted the poor quality of the recording of the interview using a tape machine with an integral microphone as it picked up a lot of background noise.

As face-to-face interviewing is separate from the everyday activity of college managers and 'involves engagement with tasks designed specifically for the purpose of research', it involves a degree of manipulation of the context (Brown and Dowling, 1998, p.63). As a response to this, the use of documentary evidence was planned in two ways. Firstly, this involved documents relating to a common core of

information requested from all colleges prior to and during the first interview with the senior manager, plus the use of FEFC inspection reports and the Directory of Colleges. These included staff development plans and records, college strategic plans and operational plans outlining the stages in projects, and were analysed to provide common contextual description for each college and to validate some claims made in interviews, including changes in staffing. Some of this information is quantitative data and identifies size of the college, number of staff and inspection grades. There are several advantages to using the FEFC inspection reports, they complement and validate the data provided in the process of case study and help to develop a more complex picture of organisational life. The strengths and weaknesses against the FEFC quality criteria are explicitly stated in each inspection report as is the evidence-base for making judgements on each college. They also provide detailed contextual information on each college. The second type of documentary evidence could be called random in that it was identified during interviews and used to validate claims about aspects of staff development programmes, or change projects. The initial interview in each college was undertaken with the principal or most senior manager involved. At this time, documentary evidence was collected relating to the contextual information such as average level of funding, total funding units, finance rating, staff development plans, staffing levels and changes, and number of staff on new contracts. This provided part of the background information for each college detailed earlier in the chapter. This core of information was also validated against the college inspection reports and the directory of colleges (FEFC, 1996c). Two inspection reports were analysed for each college, which took place between 1993 and 2000. This was dependent on the FEFC inspection schedule but provided detail on themes such as communication, management style, and management and culture in general.

d) Development of Data Analysis Strategy

Analysis of data takes place throughout the entire research study, as it is 'an iterative and persistent part' of the process (Watling, 2002, p.263). For instance, initial

decisions were made about the type of analysis at the point of the decision to undertake a qualitative research study, using semi-structured interviews, as this approach generates a certain type of data (ibid. 2002, p.262). The strategy of data analysis by themes was identified at the initial stage of research, during the review of literature, but evolved throughout the research process. Initially, six themes were identified, but after reviewing the data, theme two, 'key change in the FE sector' was integrated into the theme 'change within the colleges'. Given the research methodology and specific methods, it was inevitable that the transcribed data produced by thirty in-depth, semi-structured interviews would be substantial with many transcriptions covering 20 pages or more. The analytical structure involves five themes which relate to the research objectives and the theoretical framework established in Chapter Two. While the interview schedule links to the research objectives, the specific themes do not follow the order of the interview questions but bring together the issues within broader themes. The aim was to establish themes for analysis of data while still allowing additional themes to emerge. The themes are:

1. College culture: This theme includes the interviewees' roles within the college, their involvement in the change process, the style of management promoted within the college and their own style, the college structure including communications and an awareness of the socio-political structures (Handy, 1999, pp. 181-191), and identification of training that has been provided to help managers in the change process. In addition, each respondent was asked to identify the skills required by managers in further education. This theme links directly to the theoretical framework in Chapter Two: 'organisational elements and change'.
2. Change within the Colleges: This theme relates to an examination of change within the college context. It involves examination of the most and least successful of the college changes and the underlying reasons for success or failure. More importantly, it involves identifying the key changes which have taken place in the colleges in response to both internal and external pressures.

This theme relates to the wider context and the college context and identifies those which are significant to the colleges.

3. Management of Change: The focus within this theme is on the identification of the key staff within each college in relation to the management of change. In addition, the theme examines the barriers to change, and the way in which these are managed. As part of this process, it allows examination of specific strategies which the colleges use to manage change.
4. Effective change: Each interviewee was asked to define 'effective change' within the context of further education. As stated earlier in this chapter, the inclusion of this question relates back to the FEDA research (FEDA, 1998, p.6) which highlights that identifying a common definition of effectiveness for further education is difficult because of the diversity of the sector.
5. Critical Success Factors: The focus of this theme is on the identification of some of the critical factors, as perceived by the interviewees, which determine that one college can manage change more successfully than another.

The process of data analysis involved several stages. First, as part of the ethical code, the transcripts were returned to the individual interviewee to check for accuracy and content, and for final agreement on use of the information. In a few instances, agreement was not given for the use of small sections of a transcript as a quotation. The second stage involved checking the validity of the information in the transcripts against college documentation. No significant discrepancies were identified. At the same time, the researcher listened to the taped interviews while reading the transcript and noted pauses, laughter and tone of voice on the transcript to gain further insight into the context. The third stage involved coding and analysis of the transcript data against the themes. At this stage, themes began to emerge strongly, such as the critical role of the middle managers and the lack of appropriate middle management training to support change. The data were then rechecked to ensure that all references to emerging themes had been identified. As stated earlier in the chapter, 'deviant-case analysis' was applied to ensure that the whole of each transcript was analysed and coded against the themes (Silverman,

2001, p.239). This process involved careful checking of the transcripts against the themes to identify any variance in respondents views at different stages in the interview. The final stages involved establishing data tables, for themes two to five, for inclusion in the thesis and final checking of their content against the transcripts for accuracy. Theme one was not tabulated because the content was less complex in structure and it was easier to summarise all responses. The investigation of 'deviant cases' and tabulation of data help to overcome potential weaknesses, such as 'anecdotalism', when quoting extracts from the interview transcripts (Silverman, 2001, p. 107). The 'danger of depending on such extracts is that one can use them to support a preconceived argument rather than to test it' (ibid., 2001, p. 107). While the extracts from the data are quoted within the discussion, they reflect the main viewpoint highlighted in the table.

There are several advantages and potential limitations of this strategy for data analysis. The limitations relate to the research paradigm and include the issues of validity, reliability, generalisation and the potential criticism of 'anecdotalism'. Strategies have been established to minimise these difficulties, as discussed earlier in the chapter. As explained above, in the case of 'anecdotalism', these include the use of deviant-case analysis and data tables for each theme in order to make explicit the key viewpoint for each interviewee, so that while extracts from interviews are quoted within the discussion they reflect the viewpoint highlighted in the data table.

A clear strategy had to be developed at an early stage in this study to manage the potential problem of the substantial quantity of data generated by the research methodology. As a strategy for managing this process and for making it accessible to readers of the study, there will be four data chapters: comprising one for reporting on and analysing the first three themes, plus one chapter, 'Effective Change', which integrates themes four and five. This strategy has been identified as part of the 'macrostructure' of the thesis to ensure that the 'data analysis chapters form a logical and sound whole' (Silverman, 2001, p.240). This approach also 'provides the reader with a guide to follow a long story' (ibid., 2001, p.242). A final chapter

brings together the issues arising from the analysis, consider the research questions and objectives, and draw conclusions. The advantages of this strategy for data analysis are that it is linked clearly to a theoretical framework and that the development of the themes is made explicit. It is important to remember that, as stated earlier in the chapter, this is a 'picture-drawing' case study, which draws together the results of the exploration and analysis of the case studies (Bassey, 2002, p.112).

This chapter has focused on a description and explanation of the research paradigm and methods. It has discussed the development of the methods and procedures, and actions taken to establish a structure of research principles to offset the perceived weaknesses of a qualitative paradigm. The context of each case study college has been described to allow the reader to understand both the context in which the research has taken place and the research findings themselves.

The next four chapters examine the research findings in relation to the five themes outlined above.

CHAPTER FOUR

RESEARCH FINDINGS: THEME ONE: COLLEGE CULTURE

Introduction

The purpose of this chapter is to present, discuss and analyse the research findings for theme one, college culture, and to discuss the findings within the context of the theoretical framework identified in Chapter Two. In the last chapter, it was identified that this research is predominantly a 'picture-drawing' case study which draws together the results of the exploration and analysis of the individual case studies.

Theme One relates to the thesis as a whole, in that culture has been recognised as a critical factor in how organisations function (Lumby, 2001, p. 243). Culture has different aspects to it. Defining and understanding culture are difficult because it may be deeply embedded within the structures of the college organisation. It has a 'thinking' side in the shared beliefs and a 'doing' side in the patterns of behaviour that this type of thinking drives (Egan, 1994, pp. 76-77). Therefore, within this theme, elements of culture will be analysed, including management style and an awareness of its impact on staff motivation; structure; roles and flexibility; development of managers; and communications. The key issues which came out of the review of literature in Chapter Two which are relevant to this theme include an awareness of the preferred culture and the formulation of a strategy for culture change through working with middle managers to provide a clear direction and focus for the organisation (ibid., 1994, pp.75-85). An important element for consideration is the style of management and an awareness of the impact of this on the organisational culture. To establish a preferred culture, then, as Egan suggests, consideration needs to be given to a straightforward organisational structure which encourages information-sharing and good communications (ibid., 1994, pp. 75-85). Adaptive cultures are the desired model. These are usually strong cultures which are sufficiently flexible to meet the changing needs of the organisation (ibid., 1994, p.20). A feature of

this model is the need to appoint and develop managers with the appropriate skills and positive attitude to human resource management. The data on management development and training will be analysed within the theme of college culture. Although colleges are complex organisations with 'multiple realities' or many cultures, the approach taken in this study is that a dominant paradigm exists in that 'there is likely to exist at some level a core set of beliefs and assumptions held relatively common by the managers' (Johnson, 1993, p.61).

The chapter is organised into four sections for each of the six colleges: roles and structure, style of management, training and skills for managers, and inspection report findings. Relevant issues arising from the analysis of data will be identified in each section. The final section in the Chapter will draw the issues together, for the six colleges, for analysis and discussion.

COLLEGE A: College Culture

a) Roles and Structure:

Five managers were interviewed, including three executive managers (the Vice-Principal, an Assistant Principal and the Director of Studies) and two middle managers both acting in a cross-college role, (a project manager leading an innovative project working with students and the Quality Manager). The College structure was described by the Vice-Principal as one which changes quite regularly:

the Principal is very pragmatic about it. He wants things that work and he likes it to be very simple in terms of his own control. At the SMT he wants to go to one person for information or action.

The basic pattern of the structure was described as a matrix rather than a departmental structure but with small curriculum sections, led by middle managers, but with cross college managers on a higher level of management. The Vice-Principal identified the structure as 'flexible', allowing the college to respond quickly to new initiatives. This relates to Egan's model of adaptive culture where there is sufficient flexibility to meet the changing needs of the organisation (1994, p.70). Another perceived advantage was that:

you haven't got any blockers in the system, you haven't got any really powerful heads of department, who act as barriers to change.
(Vice-Principal)

This demonstrates an awareness of the micropolitics of the organisation and an attempt to change culture through structure change. The Vice-Principal perceives that the cross-college managers and assistant principals have 'the clout to make things happen'. The same perception was not supported fully by one of the cross-college managers leading an innovative student project. He identified himself as responsible for initiation and management of change but felt that, as a cross-college manager, he had to implement change through section managers, working with them and convincing them that the change was beneficial. In addition, the section managers had the resources, including the staff and budget,

to implement change, which the cross-college manager did not have. Briggs (2002, p.67), talking about the difficulties associated with the middle manager role, discusses the potential role ambiguity between the specialists in any given management area and others whose specialist function intersects with theirs. Whilst the Vice-Principal has indicated empowerment in this role through his comment 'the clout to make things happen', the resource power remains with the section managers, and thereby creating barriers to the specialist cross-college manager role within the organisation. As discussed in the section on 'motivation theory and change', empowerment may be defined as 'involvement and support for people in change rather than abandonment' (Morrison, 1998, p.121). There are implicit barriers to effective change within this role of which the manager was aware. In his role, he is a potential change agent but is he sufficiently empowered to work effectively? Chapter Two highlighted that 'relationship-building is a key issue for leaders' (Fullan, 2001b, pp.101-102). Barriers such as those described above should have been identified in the planning stage of this cross-college project. Change, including the relationships with the section managers, is being left to depend on the negotiation skills of the middle manager.

The Quality Manager perceived his role in change as involving some element of initiation in terms of paperwork and a large element of support for curriculum sections. Both middle managers worked closely with the Vice-Principal. The Vice-Principal perceived his involvement in the change process to be one of management with initiation of ideas coming from other managers. Both the Assistant Principal and the Director of Studies perceived themselves to be involved in all stages in the change process.

Matrix structures allow for the development of cohesive and effective teams of specialists working towards objectives (Handy, 1999, p.131). As identified by the Vice-Principal, they allow for flexible use of staff to respond to new initiatives (Carnall, 1995, p.20). The college has not fully reviewed the structure including any barriers inherent within it. This issue will be reviewed again at the end of the Chapter. There is some variation in the managers' responses to their perceived role in the process of change. The cross-college middle managers' refer to 'support' for curriculum staff or working with them to convince them

that the proposed change would be beneficial. The Vice-Principal, however, perceived his involvement in the process to be one of management with the 'initiation of ideas' coming from others. These differences will be analysed in more detail in the final section of this Chapter.

b) Style of Management:

The perception of the college's style of management differed slightly at the different levels within the organisation. The Vice-Principal stated that the Principal was a 'strong leader, tough but fair'. In relation to new contracts he had explained to staff the consequences of not signing. He identified very clearly for the middle managers that 'if you don't sign I'm going to reorganise and you won't be a middle manager'.

The Director of Studies and Assistant Principal both perceived the college management style to be one of 'adaptability and flexibility'. The Assistant Principal explained that the College had to earn 50 per cent of its income from sources other than the FEFC and therefore needed to be responsive to change 'at a moment's notice if the situation demands it'. This approach of flexibility relates to having to generate additional income sources. In addition, he stated that the principal 'is very supportive, but expects staff to get on with their job and lets them make mistakes'. This demonstrates a culture where senior managers are allowed to make mistakes with an awareness that individuals' learn through this process.

In contrast, the middle managers perceived the style of management to be 'top down' with one manager stating that 'the senior management dictates the way in which the college will go forward'. This latter person said that the style of management was 'line management'. There appears to be a mismatch in perception between senior managers and middle managers and provides some indication of a lack of collaboration. Issues identified here relate to a lack of collaboration and involvement by middle managers in the development of strategy. Middle managers highlight 'being dictated to' which demonstrates a lack of dialogue, pervasive leadership or empowerment of these individuals. Yet

middle managers have to articulate the organisation's vision into practice and there appears to be limited dialogue in some areas of the organisation's work. Those operating an adaptive style of management would be aware of these issues and adjust accordingly. Four respondents said that their personal style of management matched the one, which they perceived to be the college style to be. As discussed previously in Chapter Two, managers at all levels in the college require an awareness of an adaptive management style and emotional intelligence (Goleman, 2000, pp.82-83). One middle manager indicated that his style of management was 'supportive and encouraging'. This, he felt, was in response to being a cross-college manager who did not line-manage any staff. Therefore he needed to work for 'co-operation' with others. It may also indicate a strategy for trying to 'encourage' others to do things in the absence of clear authority and empowerment (Briggs, 2002, pp.67-68).

c) Training and Skills for Managers:

There has been no specific training provided by College A for their managers to help them to facilitate the process of change. The Assistant Principal highlighted that training needs were identified through annual appraisal with a focus primarily on developments in their own subject or management areas. Other respondents reinforced these issues. The College had tried the Management Charter Initiative (MCI), a portfolio approach to Management NVQs several years earlier, but the initiative had failed and they had not had a middle management programme since then. As the College has team development days several times a year the Director of Studies expressed the opinion that:

change takes place automatically. We haven't got to worry about the theory of change and we haven't got to worry about giving people the skills to implement change. It happens.

The question to ask here is: would change be more effective if there was pervasive leadership, empowered teams and knowledge of the processes of change? This comment highlights a lack of awareness of capacity-building to ensure that managers and teams are able to respond effectively to changes which they encounter and improve continuously as participants in a learning organisation (Senge, 1990, p.14). The senior managers identified that managers

in FE should have specific skills related to undertaking their role. The Assistant Principal felt that there were generic management skills, which they would expect managers to have, plus the skills specific to their role. The Director of Studies stated that 'there probably is a gap for management training which perhaps ought to be more regulated for all managers'. In addition, he indicated that:

there's an assumption, isn't there, particularly if you've done a job for a long time, that you think you know everything there is to know about it.

In contrast the middle managers had very specific perceptions of the skills required by managers. The skill priorities they identified were managing people, followed by time management. They felt that all middle managers should have training in these areas because workloads had increased significantly, giving rise to issues related to these specific skills. As Fullan (2001a, p. 5) indicates one of the keys to successful change is improvement of relationships. The middle managers were aware of the importance of this issue. The post-modernist paradigm has a clear concept of knowledge management which relies on a culture of sharing and collaboration, effective communication and capacity-building. Order for complex change emerges through a web of relationships within an adaptive organisation and leadership through clear strategic management (Daft, 2002, p.13). Clear strategic management involves an awareness of internal micro-political barriers and the need to challenge them through building shared vision (Senge, 1990, p.274).

d) Inspection Reports:

College A has had two FEFC inspection reports during the post-incorporation period, which support some statements made during the research interviews. The first report (1994) states that, the 'college responds effectively to national initiatives'. A grade 2 was awarded for this area. Under Governance and Management, it states that 'the management structure is complex' and goes on to say that 'in spite of its complexity, the management structure works well'. In addition, 'lines of communication and accountability are clearly defined and are generally effective'. A grade 2 was awarded for Governance and Management.

The second inspection report was published in 1998, at which stage 'responsiveness' was no longer an inspection heading although it is noted under 'Management' as a key strength that the college has undertaken exemplary work in widening participation – a response to a government initiative. This report supports the respondents' perceptions of an effective management structure with 'clear functional roles for the assistant principals, with cross-college managers reporting to them'. The college achieved grade 1 for Management in this later report. In both reports, they received grade 1 for Quality Assurance.

COLLEGE B: College Culture

a) Roles and Structure:

Six managers were interviewed, including three executive managers (the Principal, the Deputy Principal and the Vice-Principal), two senior managers (the Director of Management Systems and a Head of a large curriculum area), and one middle manager, (the Staff Development Officer). At the time of interview, the Principal was due to leave to take up another appointment. When asked about the college structure, the Principal responded that he was 'not very bothered by structures. I've worked in all sorts, matrix, and ordinary structures; also I've been a principal twice'. He emphasised that he 'always say to people that restructuring is a process not an event. We're restructuring all the time here and eventually people have got used to it'.

He indicated that when he came to the College, they had previously tried a matrix structure which was 'very exciting, but very stupid'. He continued that:

nobody could work out where the next level was. The Chair of Governors couldn't understand what cross-college roles were and he kept asking about that and not getting any answers.

Then they tried a line management arrangement, which was the structure when he arrived at the College. He emphasised that 'I've kept the integrity of the structure I inherited, I suppose, but I've brought about some changes'.

The Principal's rationale for maintaining the integrity of the structure which he inherited was that the college had gone through significant instability because of changes in leadership, which had resulted in serious problems. He perceived that his primary role was to bring about stability but 'on the other hand, I had to bring about change, particularly cultural change, attitudinal change and a change in people's focus'. In addition, he felt that his role in the change process was 'to initiate change, leadership, be upfront, good communication and take people with you'.

The Principal's responses indicate some lack of understanding of the importance of the link between structure, culture and change. Strategic change may be defined as 'the shaping of strategy, structure and culture of an organisation over time' (Grundy, 1994, pp.19-20). However, given the College's history of structure change his reluctance to restructure again is understandable.

The Curriculum Head felt that her role in the change process involved fully understanding the nature of specific changes 'so that you can keep your teams of people informed and provide appropriate support, encouragement and work with them to ensure that your planning is relevant'. As a senior manager, she demonstrated a very strong 'affiliative' leadership style with a significant emphasis on developing good communications with her team, and an understanding that teams of staff have differing strengths and weaknesses. In addition, she stated that:

I think my role, really, is to be a strong leader who listens to what everyone has to say as far as possible. Some of them move more quickly than others and you've got to be prepared for that.

The Director of Management Systems and the Deputy Principal perceived their roles as being 'agents of change' to interpret FEFC requirements, communicate the requirements and ensure that they were implemented. In this respect, these two managers, see their role as clarifying the purpose of nationally mandated change. The Staff Development Officer also perceived herself as 'an important change agent in trying to shape culture and helping the principalship deal with change'. The Vice-Principal stated that his role in the change process had been 'fairly significant, though the real engine room for response to change has, in fact, been the current Principal'.

There does appear to be an awareness of the importance of communication but we need to ask whether it involves communication both ways – a dialogue with collaboration and empowerment. An understanding of the issues relating to links between structure and culture was not explicit. Leading in a culture of change, means creating a culture not just structure, for change (Fullan, 2001a, p.44). Some researchers argue that 'managing culture is one of the most important tasks of leadership' (Schein, 1997, p.5; Lumby, 2001, p.144).

b) Style of Management:

Five out of the six managers agreed on the style of management promoted within the College. This style was felt to be very influenced by the Principal's promoted style of 'can do and if not, why not'. Other supporting comments included a 'being responsible for' approach where managers were encouraged to take responsibility and get on with the job. The Staff Development Officer felt that the style of management was one of 'consultation, participation, openness and transparency'. There are elements here of Goleman's (2000, pp. 83-84) authoritative and pacesetter styles of leadership, with all of the issues inherent in those. An awareness of a need for other styles such as the affiliative which creates harmony and builds emotional bonds and coaching which focuses on developing individuals for future needs would support the culture change. The sixth manager, a member of the senior management team, proposed an alternative perspective as he felt that the Principal 'is very direct and wants to be aware of all the details'. He indicated that as a result of his management style, the Principal had taken some areas of authority, which should reside with managers, such as staff requisitions, 'so there has been an erosion of authority and an increase in responsibility and accountability'. This was the only voice of dissent and, while it was clear that some managers felt empowered, it highlights a potential lack of ability to delegate. The Principal espoused strong leadership and this was much admired by many of the interviewees. However, this management style does not indicate an empowering view of leadership at all levels (Morrison, 1998, p.212).

Personal styles of management reflected the College-promoted style. Descriptions of personal styles included 'open and communicative' from the Director of Management Systems and Staff Development Officer; 'open' from the Principal and Deputy Principal, and 'fairly democratic trying to delegate as much as possible but hopefully in so doing retaining authority, fairly intolerant of laziness' from the Vice-Principal. The Curriculum Head indicated that her style of management 'changed depending on the nature of the situation' which suggested an adaptive style. She stated that she liked to 'lead from the front and lead by example'.

c) Training and Skills for Managers:

All interviewees supported the information given by the Staff Development Officer. She had set up a management development programme in the previous two years, which had been established after a senior and middle management skills audit. The programme was designed to be a flexible series of management topic workshops. She identified that the programme had not been fully successful as many workshops had been cancelled because of the 'sheer pressure of time on managers'. For example, three provisional workshops on managing change had been set up and cancelled during the previous eighteen months. The reason for cancellation was because the Principal wanted to deliver the workshop and had to cancel on each occasion as a result of work commitments. The College had recently reviewed and revised the programme and were considering specific times for the workshops with 'pressure put on managers to attend'. The programme was being established based on issues identified by her and by senior managers. There did not appear to be much collaboration with middle managers on identifying their needs. If they felt it to be beneficial, they would not have to be 'pressured'. It can be argued that, middle manager development should be a priority as these managers are the key to articulating the College's vision and ensuring that it is translated into action. In this respect, they are critical to the change process (Bennett, 1995, p.18).

Five out of the six interviewees agreed on the skills needed by managers. The skills identified included people skills, IT skills, negotiation skills, coaching skills, change management skills, generic management skills including budgetary control and business planning, health and safety, marketing and problem solving. Additional skills highlighted included self-analysis from the Curriculum Head. This appeared to reflect her personal management style. The Vice-Principal stated that managers need to have 'boundless energy, be prepared to be a workaholic and make personal and domestic sacrifices'. He summarised this under 'enthusiasm, energy, drive and commitment'. He concluded that 'anybody who is not prepared to work like mad is brought to task and I would say that's a good thing and that's what happens'. This appears to make explicit the college's hidden values, norms and behaviours which underlie the 'can do' approach

espoused as the management style (Johnson, 1993, p.61). This does not reflect current management theories with their focus on valuing and empowering individuals.

d) Inspection Reports:

College B has had two FEFC inspection reports during the post-incorporation period, which support statements made during the research interviews. The Governance and Management (1995) section of the report states that 'after a five-year period of instability during which the institute has had three acting principals, the board and senior management now share a clear vision and purpose which are being translated into practice'. It goes on to say that 'the institute is now effectively led'. Whilst there is no specific reference to the management structure, the 1995 report notes that managers from across the college were involved in working groups and committees which have 'provided opportunities to develop a corporate approach to policy-making'. It indicates that 'clear progress has been made towards a cross-institute approach' but highlights that 'there remains scope for further reducing the tendency of the colleges to behave as separate organisations'.

At the time of the second FEFC inspection in November 1998, the Principal interviewed had left and the Deputy Principal had been appointed as Principal. In the report all cross-college grades had dropped by a grade: Governance and Management from grade 2 to grade 3, with Quality Assurance from grade 3 to grade 4. Two weaknesses relate to management, which is described as 'unfocused and ineffective senior management team' with 'a lack of accountability at middle management level'. In addition, the report states that 'managers have done much to improve communications within the college'.

COLLEGE C: College Culture

a) Roles and Structure:

Five managers were interviewed at College C, the Principal and four middle managers. When asked about the college structure, the Principal explained that at the point of incorporation in 1993, the previous principal was suspended and a director was appointed as acting principal. The acting principal restructured the College into ten schools with either two or three managers for each school. The management of the schools was split between curriculum and resources with unclear responsibilities. The current principal was appointed to start on the same day that the restructure was implemented. He stated that:

It would not have been my structure and the only thing that that I was able to implement at that time was that there were three deputies and I rationalised that down to one.

At the time of his appointment there were 63 managers in post, which he restructured to 43 during the first year of incorporation and which he had just reduced, at the time of the research, to 28. One of the School Managers explained that because of the current restructure of the middle managers, 'my role will change and I will only have partial responsibility for resourcing whereas, I've had full responsibility for resourcing within the School'. Her new role would include a 'cross-college function for quality and students'.

The Principal perceived his involvement in the change process as being 'aware of what changes are going on and how best you can support the college in moving towards that'. He did not share some principals' views about being 'autocratic and knowing it all'. He highlighted the need for staff involvement in strategic planning to ensure ownership. The Human Resource Manager and the Quality Manager, although cross-college middle managers, were both line managed by the Principal. They worked closely together and perceived their roles to be concerned with initiation of change across the College and support for implementation. This seems to support Briggs's view that a key facilitating factor of the middle manager role is having a 'champion' or 'someone with time for you' at the next level of hierarchy (2002, p.75). Both School Managers

indicated that they initiated change within their Schools and supported the implementation of college wide initiatives.

b) Style of Management:

Interviewees had mixed perceptions of the style of management promoted within the College, although all mentioned the empowerment of teams as a feature. The Quality Manager highlighted the level of staff consultation and discussion involved in major changes. The Human Resource Manager stated that 'it varies, there isn't a corporate style'. She emphasised that they had 'tried a coaching role for middle managers with empowerment of teams'. She felt that this approach had not worked fully because 'if you don't devolve decision-making and authority with the task then it's dumping and not true empowerment'. This showed awareness of the issues although the question here is 'why had her strong and valid opinion not been considered in the development of strategy?'

The Principal stated that the management style was 'conciliatory based on teams' with the intention of involving teams in decision-making. He indicated that this had not been fully successful as teams 'don't like making the difficult decisions, particularly those that affect themselves'. This issue comes back to the need for training for pervasive leadership, staff development, collaboration about strategy and commitment to a College's explicit and shared vision, values and norms through dialogue.

The Principal described his personal style of management as 'a kind of democratic structure where you've got staff involvement but inevitably you have to try to provide leadership'. He emphasised the need for 'ongoing communication and trying to have an open style of management'. He did, however, identify the disadvantage inherent in open communication where-by staff are informed of the implications of change and 'they perceive it as scaremongering and threats. They don't perceive it as a challenge to the institution and that's culture'. This reflects the history of the organisation and the 'autocratic' style of the previous principal. As Fullan highlights (2001a, p.5)

one of the keys to effective change is relationship building. This is embodied in learning organisations and the concept of knowledge sharing.

The middle managers described their personal styles as 'consultative', 'a coaching approach', and 'communicative'. These again demonstrate an 'affiliative' style of management concerned with 'creating harmony and building emotional bonds' (Goleman, 2000, pp.82-83).

c) Training and Skills for Managers:

All interviewees agreed on the training provided for managers to help facilitate the process of change. There had been standard sessions established for managers to update them on practical changes, including funding changes and changes to the inspection regime. In addition, the College had two management residentials each year. They had tried through external consultants to introduce change management training based on a management model which used business processes as its starting point. It then looked at inputs and outputs and their implications. It provided tools and techniques for problem solving to analyse change rather than react to it. The Human Resource Manager outlined that the consultants had worked mainly with senior and middle managers, but had also undertaken some work with team leaders. The consultants worked with the group of managers as 'change agents'. One of the Heads of School emphasised that she had found the training very useful as it looked at process and product, but that she had been unable to consolidate the training as it had been 'completely rejected' by senior managers. She indicated that the project had been rejected because 'some of the findings were quite painful for the organisation to admit'. No further information was provided. This could be seen as an attempt at capacity-building but it was difficult to access the data to gain understanding into the reasons for its failure.

The Principal explained that in the three years that he had been in post much of the focus of management development had been on looking at the culture of the organisation:

The emphasis has been on trying to get them to understand the nature of the business and how we operate and I don't think that we have been terribly successful.

He felt that the failure of the change management project had been due to 'fear culture, the threat of change because they know they've got to change but they're afraid to'. In addition, he explained that, when he started as principal, 40 per cent of staff had a schools background and were unused to business experience and many other staff had worked in the organisation for a significant number of years. He had started to change the culture through introducing 'a lot of staff who are new to the College and they are very different in their approach'. He indicated that staff who had been at the college for 30 years 'do not see it in the same way because the College isn't as it was 30 years ago and they don't see it as caring'. These responses highlight significant resistance to change and indicate barriers arising from the proposed changes. These changes appear to challenge staff value systems and demonstrate psychological barriers, where people resist the challenge to their security and emotional well-being (Morrison, 1998, p.122).

The Principal emphasised that a key skill required by managers in FE is the ability 'to respond in a culture of continuous change'. The second skill which he highlighted was financial management. Other managers agreed on the need for specific skills, for example, people management skills, time management, communication and presentation skills as well as financial management, information management, quality management and, as appropriate, curriculum management skills. In addition, one Head of School indicated the need for an ability to 'balance tasks, anticipate change and manage initiative fatigue'. These latter skills are aligned to the management of change. Fullan (2001a, pp.35-36) makes it clear that a key responsibility of leadership is to prevent initiative overload. The Quality Manager also indicated that interpersonal skills are the key to the effective management of teams.

d) Inspection Reports:

The 1994 FEFC inspection report supports the Principal's notion of a complex structure at incorporation. It states that 'the structure has long and sometimes unclear lines of communication, imprecise decision-making processes, and a lack of clarity over roles and responsibilities at senior management and other levels. The overlaps in managerial roles 'lead to tension between individuals, conflicting priorities, frustration and delay'. The College achieved grade 4 for Governance and Management. At the second inspection in 1998, the College achieved grade 2 for Management. The Report states that 'the college is now well led and effectively managed ...with a strong culture of teamworking'. The improvement in grades verifies claims made during interviews in relation to the changes in management and style introduced by the current principal.

COLLEGE D: College Culture

Roles and Structure:

Six managers were interviewed, including two executive managers one of whom was the Vice-Principal, who at the time of the interview was Principal Designate, and the Assistant Principal. Four middle managers were interviewed, including the GNVQ Co-ordinator, the Quality Manager, the Staff Development Officer, and the Learning Support Manager. The Vice-Principal stated that the college structure had not changed significantly since incorporation, at that stage a period of four years. The significant changes were the appointment of a financial controller for incorporation and the restructure from five faculties to four to reflect the diminishing curriculum areas. She highlighted that one of the problems with the current structure was that 'the curriculum cuts across faculty boundaries'. This had created some internal tensions and duplication of provision because of a lack of clarity. The College had a traditional, hierarchical structure with large faculties but with the change of principal were establishing consultation processes. A cross-college task group had been established to consider and resolve the issues relating to the curriculum.

All interviewees indicated that their involvement in the change process was one of initiation, followed by working with teams on implementation, and managing the process of implementation. The Vice-Principal, in addition, identified that certain cross-college initiatives 'like appraisal, I managed totally and I think if it hadn't been someone like a Vice-Principal managing it, it wouldn't have happened'. She indicated a concept of differentiation in her role in the change process by saying that other changes did not require her involvement.

b) Style of Management:

In College D at the time of the research, the Vice-Principal was Principal Designate and all interviewees reported that the out-going principal had had an autocratic style of management. The Principal Designate indicated that she would actively discourage 'aggressive management' and felt that 'there were

some heads of faculty operating that style of management'. The Assistant Principal identified two styles of management within the College. The first was 'top down' and the second was 'a pro-active approach based on collective responsibility'. Other managers felt that the style of management was in transition because of the change in principal and hoped for a more democratic, consultative style with the new principal. One manager highlighted the need for careful transition in styles of management by giving an example of a change in a faculty from an autocratic manager to one where the manager 'just lets people do their own thing and the whole thing's fallen apart'. All four middle managers described their personal management style as being 'supportive' or 'consultative'. This reflects their cross-college function and the need to work effectively with teams across the College where they have no line management responsibility. This approach relates to Briggs's (2002, p.67) issue of potential role ambiguity where 'middle managers intersect with specialists in any given management area' such as heads of faculty. The Principal Designate felt that her personal style was 'open and consultative'. Although one cross-college manager described the Principal Designate's personal style as 'you will' but explained that this was necessitated by her being 'very, very busy and a workaholic, and she tends to think that everybody else is as well'. This highlights Goleman's advocacy (2000) of the need for self-awareness of management style, its impact on others and the need for emotional intelligence. The Assistant Principal described his personal style as a mixture because of the pressure of being a member of a team of 70 staff but also the leader and therefore accountable. This highlights potential difficulties involved in being in the third tier line of management. Briggs (2002, p.66) describes this and the fourth (middle management) tier as having 'a key role in mediating tensions and change and in filtering competing messages from above and below'.

c) Training and Skills for Managers:

All interviewees reported that there had been no structured middle management training and more specifically no training for managers to help facilitate the process of change. Since incorporation, the College had established three middle management sessions each year which focused on information-giving and

allowed no time for managers to share practice or discuss management of common difficulties. These sessions focused on supporting external changes, such as, funding, quality and changes in the inspection regime. At the point of research, the College was planning a more structured timetable of middle manager meetings for the forthcoming academic year. As the Principal Designate explained, this programme would be a mixture of management training and information. She explained the difficulties as:

It's a definite weakness and part of the weakness is that we've got such a wide range of managers. Some who have been doing the job for the last 30 years and I'm not going to change that at this moment in time, and others who are very new. They're not really a composite group. We need to unpack that more.

Three managers identified effective communication as the key specific skill for managers in FE. Linked with this, they also indicated the need for good interpersonal skills and people management skills. All managers felt that information technology and financial skills were specific requirements. The Assistant Principal emphasised the need for managers to accept responsibility for all aspects of their role. Two middle managers felt that time management and organisational skills were important because of the quantity of paperwork involved in their role. The Quality Manager highlighted the need for managers to be:

politically aware, not just internal politics but all the external politics, as well, in relation to education. Market awareness is necessary – seeing the niche. A little more enterprise is what I'd call a lot of those skills, which probably weren't needed a few years ago.

The Staff Development Officer looked at the more emotional skills that managers need to have. They need the skills of:

being able to switch off, of being able to keep the job in perspective plus the ability to delegate, that's crucial. And knowing who and when it's safe to trust and who it's not. A lot of time can be wasted on not trusting people, on checking up too much.

The Principal Designate had a slightly different perspective on skills, in that managers need 'to have an understanding of how the bit they are managing fits in to the totality. I think that's a problem for some managers, they just don't

understand the totality'. This comment about the wider context in which change takes place, relates to Fullan's view that individuals need to have an understanding of the 'big picture' for change to be effective (2001b, p.7).

She emphasised the need for managers to take responsibility and gave as an example one issue identified during the previous summer:

It's about leading by example, I suppose, and again not all of our middle managers do that. Over the summer period last year we had a schedule of when middle managers were working. When I did random checks one faculty was very obviously not there.

This comment relates to values, norms and beliefs and being explicit about what these will be within the preferred culture. The respondents in this college demonstrate some awareness of the issues, and the preferred skills and behaviours required. From a knowledge building and collegial perspective, the value that would accrue from these individuals having mechanisms for sharing ideas would be significant.

d) Inspection Reports:

College D was inspected by the FEFC in 1996 and 1999. The 1996 report states that the 'college is exceptionally well managed' with 'effective channels of communication between staff at all levels'. The college achieved grade 1 for Governance and Management. In the 1999 report, Management achieved a grade 2 mainly because there was a weakness in aspects of financial control. The report noted that 'the college has a clear management structure, which is understood by staff. There are well understood lines of accountability, effective team structures at all levels and a range of appropriate cross-college committees'. The judgements about the management of the college in the 1996 report highlights that even with the previous principal's less than democratic management style, communication channels and overall management can be effective. It demonstrates that people with an authoritarian style can be effective leaders (Daft, 2002, p.124). The judgements in the 1999 report highlight elements of understanding of structures and accountability which indicate collaboration through the range of cross-college committees.

COLLEGE E: College Culture

a) Roles and Structure:

Four managers were interviewed: two executive managers including a Director responsible for business development, marketing and quality and the Finance Director, and two middle managers: a Head of Division and a cross-college manager whose role was to promote curriculum development. The Director for business development indicated that the college structure had changed regularly since incorporation. His rationale for regular change was:

I think that as organisations we are in an environment of change and you have to respond to each change itself. Therefore, you have to continually review how you operate and the effectiveness of your structures. That's part of the process.

He commented that a previous structure had compartmentalised functions such as sectors for curriculum, resources, and personnel. This structure had hindered communications and the ability to have an overview, which adversely affected decision-making. A restructure changed to divisions with some cross-college directorate posts and a focus on team structures with caseloading. Caseloading involves an allocation of workload, which could include the number of students or programmes for individual staff. He argued that this structure devolved decision-making closer to the point of delivery. The Head of Division provided a more pragmatic explanation. He stated that the rationale for the restructure was 'the pressure on reducing expenditure and there were retirements and a redundancy programme last year'. Such differences of perspective from differing tiers of management do not indicate open communication or collaboration. The pressure for decreased expenditure and efficiency had led to rationalisation of divisions, with sharing out of workloads amongst senior managers and additional roles devolved down to middle managers. Research has highlighted that 'workload' is a significant issue for FE middle managers, 'being on everyone's agenda' (Briggs 2002, p.75). The Finance Director perceived his role in the change process to be specifically related to 'advocating the need for change in a way that makes it more cost effective whilst maintaining some quality'.

The Director for business development perceived his role in change to be one of initiation, a catalyst with someone to assist and eventually take over the role. The Head of Division described his role as one of supportive leadership for the teams in his division in order to facilitate the identification and implementation of change. The cross-college manager described her approach as 'arriving out of a range of different experiences in different contexts. I read a lot, I research a lot, new and different ideas excite me'. She perceived herself as having vision and an ability to express it in her cross-college function.

b) Style of Management

The Director for business development provided a clear perspective on the corporate style of management:

It is to be supportive, to lead people rather than to supervise, control and direct. The staff philosophy is for people to be given the necessary authority and responsibility to initiate decisions that before they would have had to ask permission for.

He explained that college's documentation supported this philosophy that the desired culture involved empowerment of staff through an enabling structure. The Finance Director argued that the corporate style was the promotion of openness in communication. The middle managers very much focused on the team approach within the College. The cross-college manager indicated that:

It's very diplomatic. There's a problem when that isn't there. There's strong leadership in some parts. I would say it is not in others and where it's lacking is where it falls down. I'm sure there are a few egos there. I'm sure there are people who have done it for the last 27 years like this so I'll continue to do it like this. On the whole I would say that if you really want to do something and you've got the wherewithal, the Principal, particularly, would support you beyond belief.

Both middle managers indicated that their personal styles of management were based on 'encouragement and motivation of teams'. In addition, they emphasised the need for shared responsibility and distinct leadership at different levels in the College. The Director of business development felt that his style of

management depended on the nature of the situation at the time. He emphasised that:

whilst I would never seek to use an autocratic approach, on occasions I have pushed things through when I could have been more consultative and could have involved people more. Occasionally you've got to have a bit of drive and time is sometimes a luxury.

The Finance Director outlined his personal style as a listening approach, which considered all implications and made decisions based on information. He did qualify this statement, however, by indicating that 'I sometimes think I spend too much time listening to people because all I ever listen to are excuses as to why they can't possibly live within the budget that they've been given'.

These responses indicate a very mixed approach to management style and leadership. Feedback from interviewees indicated that the College culture allowed them to develop their own management style. There does not appear to be a corporate approach other than an open communication style. The middle managers indicated 'encouragement and motivation' of teams. These responses are similar to those given by middle managers in the previously reported colleges. They also help to identify the need for 'distinct leadership' at different levels in the College.

c) Training and Skills for Managers:

All respondents agreed that there had been no structured programme for middle managers. There had been a series of information-giving sessions on funding, quality systems, strategic planning and the inspection regime. The Head of Division indicated that:

it's such a diverse role as a Head of Division that you tend to pick up elements of the experience and expertise that you need, rather than training. It tends to be in many ways informal.

There was general agreement from all respondents about a core of skills required by FE managers. These included management of people, the curriculum and resources. In addition, time and financial management skills were considered

important. No respondents highlighted the need for effective communication skills. The Director of business development summarised the skills as:

It is about managing change otherwise you're just an administrator. We need to be responsive and support people in the organisation, getting them to share the goals of the organisation. Also, a lot of people in FE now suffer from stress and I guess maybe that's because there's a conflict between what they see the role as and what the job actually is, or how well prepared they are as people to manage it.

This demonstrates an insight into the requirements for effective change, but there appears to be a gap between the rhetoric and the practice as there has been no capacity-building through a middle management development programme.

d) Inspection Reports

College E was inspected by the FEFC in 1997 and 2000. The 1997 report states that the roles and responsibilities of the senior management team members 'are clearly understood by staff'. In addition, members of the senior management team 'work well together and provide good support for individual members of staff'. Staff speak 'positively of their relationships with management'. In relation to the College structure, the 1997 FEFC report highlights that 'the structure enables direct contact to be maintained between the curriculum teams, who have responsibility for courses, and the 'functional' teams, who support them in this work'. The report states that 'there is strong emphasis on a 'one-staff' culture and the advantages of teamworking'. The College achieved grade 2 for Governance and Management in the 1997 inspection. At the second inspection in 2000, the grade for Management increased to grade 1. The report states that 'the college has a clear, well-understood management structure with effective communications'. These judgements verify several of the points highlighted by interviewees. In relation to culture, the Director explained the college's preferred culture as 'empowerment of people through an enabling structure. The 1997 report's judgement of an emphasis on a 'one staff culture' supports this. In addition, reports clearly indicate the focus on 'teamworking'.

COLLEGE F: COLLEGE CULTURE

a) Roles and Structure:

Four managers were interviewed, including two executive managers (the Vice-Principal and the Quality Manager), one senior manager, a cross-college Dean and one middle manager (a Head of Department). The Quality Manager described the changes to the College structure since incorporation as 'quite significant':

I think we've streamlined even more and that has affected communications in the College. Although the structure change has increased our ability to make decisions, on the other hand we don't take staff with us because we don't have those communication and discussion mechanisms in place. I think we are in quite a vocal culture, people like to talk.

The Vice-Principal added to the perspective by describing the changes in staffing structures as 'like most colleges we now employ more non-teaching staff but within the departments'. He emphasised that the College's 'philosophy, is that you protect the student experience as far as you can'. Major changes had been made in terms of the responsibilities for data management. Posts had been created in each department called 'departmental business managers and it is their task to ensure that the data on the management information system is correct'. The number of departments had been reduced from ten to five and 'we've brought together all the administrative staff into larger units within the larger departments'. He indicated that this change 'gave us some economies of scale within the departmental management'.

All managers perceived themselves as having an active role in the initiation, implementation and the management of change. The Vice-Principal perceived his role as being one of 'changing expectations and attitudes'. He felt that he had undertaken this through his behaviour and what he had requested from people in terms of how they discharged their roles and the way in which they reported. The Head of Department as well as having direct management responsibility for the department which contained four Schools also had cross-college responsibility for initiating and managing curriculum change. This issue

indicates how roles have changed for middle managers since incorporation; it clearly indicates that middle managers operate in an environment of 'dispersed leadership' including participation in the development of strategy (Briggs, 2002, p.70). This also relates to the changing activities of senior managers since incorporation, a major consequence of which is an increase in a percentage of time spent on technical aspects such as business and financial planning. This has drawn the focus of senior managers away from pedagogical issues (Simkins and Lumby, 2002, p.15).

a) Style of Management:

There were some discrepancies in how the four respondents perceived the style of management promoted within the College. The Dean and the Quality Manager, both senior managers, felt that the move had been away from a democratic style to more of a dictatorial style. The Quality Manager indicated that 'we are very target-driven at the moment'. The middle manager, a Head of Department, felt that the style had become progressively more open and that 'it's a lot more open than I perceive other institutions to be'. This disparity relates to middle managers being more included in strategy since incorporation because of the change in focus of senior managers (Simkins and Lumby, 2002, p.15). The Vice-Principal felt that it was a difficult question and indicated that clearly much of the management style came from the Principal who had previously been a principal at a small sixth form college and had 'brought many of the attributes of that to this institution. He still runs an open door policy. If he's in and his door's open, anybody can talk to him and he's most approachable'. On the other hand, however, the Vice-Principal indicated that 'he isn't always that transparent or that open about some of the things that he has in his head, and he isn't here quite a lot'. He further clarified the situation by indicating that there were differing styles of management in the five large departments that, in some instances, were bigger in terms of funding than individual colleges.

The Dean felt that his personal style of management had changed away from a people-centred approach towards a more autocratic style with a greater focus on targets because 'that's what I'm being held accountable for'. This response

highlights one of the themes within the 'managerialist critique' (Simkins and Lumby, 2002, p.13) which emphasises the redistribution of power, and therefore accountability, since incorporation. The Head of Department indicated that his style was 'open and democratic'. He did state that on occasions he made decisions in a way that staff would perceive as 'autocratic' in style when the situation required it. This highlights an adaptive style of management. All managers need to consider the range of styles to allow them to be adaptive. The Quality Manager perceived her personal style as 'participative' and felt that there was, on occasions, a tension between her style and the general college style. She explained that this disparity was necessitated by the fact that as a cross-college manager, albeit at executive level, she did not have direct line management for staff and an autocratic approach would not work. The Vice-Principal explained his personal style as:

I try to be clear, I try to be honest and I try to be open, so that if people don't win their arguments at least they've got a right to a full explanation. I try to do the things that I say I will do when I say that I will do them, and I try not to set them completely unrealistic targets.

c) Training and Skills for Managers:

All respondents agreed that there had been no middle management programme or training to help middle managers facilitate change. The Vice-Principal explained that, although there had been no training across the College, it was recognised as a need. Discussions had taken place recently about the creation of a middle management training programme in-house. 'It hasn't happened yet but we've talked about the modules, the different types of skills and factual knowledge content you would need for a programme like that'. He went on to explain that he had undertaken a series of briefing sessions for all staff in the College. These included topics such as management of the College budget, funding methodology and curriculum issues. These sessions had been identified by individuals expressing a need rather than through a planned approach.

Three out of the four respondents argued that managers need specific skills in financial management, personnel management and IT skills. The Dean specifically felt that 'managers mainly need people management skills'. He indicated that there was too much emphasis on the 'number crunching' bit which 'can be very straightforward and easy'. On the other hand, he suggested that 'trying to carry people through periods of change, I think some people find that difficult'.

He explained that at incorporation, colleges brought in specialist expertise, for example, personnel specialists, financial specialists, management information managers and estates managers. He felt that this specialist input of skills into further education was critical as, initially, there was a lack of knowledge with regard to some areas of work, such as personnel. At that time, there were senior managers who 'didn't know about the disciplinary or capability procedures and certainly couldn't follow it through'. He continued by saying that, 'they wondered why disciplinary issues failed at the point of appeal when they found that they hadn't followed their own procedures'.

Linked to this issue, the Quality Manager emphasised that many managers in the College had been promoted in the belief that they would develop into managers but 'we've never had a significant management development programme to help them develop those skills'. This is a significant issue for middle managers as their workload and areas of responsibility have increased, yet there has been no capacity-building or management training to help them in their roles.

The Vice-Principal identified that financial management skills had some priority over people management skills in the College. In addition, the Quality Manager highlighted that good organisational and time management skills were required to ensure that managers could cope with their role. She also felt that effective communication and presentation skills were vital, as there were key managers who had a non-teaching background who 'are not good communicators in terms of standing up in front of a group and staff and explaining what their job role is'. She felt that any manager at that level ought to be able to explain to staff what

they are doing and indicated that 'they haven't been given any training or development to support them in that activity'.

d) Inspection Reports:

College F was inspected by the FEFC in 1995 and 1998. The reports support some statements made during interviews. The first report in 1995 states in the introduction that 'management is characterised by openness'. A grade 3 was awarded for Governance and Management. In addition, the report states that 'staff are involved in decision making through an academic board' but notes that the College has many committees which 'places excessive demands on some managers'. In relation to management structure, this first report identifies that there had been several changes since incorporation but that the current structure had 'successfully counteracted the tendency of faculties to operate in isolation'. In addition, 'deans and heads of department exercise creativity in their respective roles, the overall management structure is robust and well conceived'. It does observe, however, that some management roles 'lack clarity and focus'. The College received an improvement in grade from a grade 3 to grade 2 for Management in their 1998 inspection. This report states that 'the college management structure has been revised to ensure that all managers can contribute to decisions which affect them'. At this stage, the College had addressed issues raised in the first inspection by reducing the number of departments and committees. This had 'improved the co-ordination of cross-college functions'. In addition, the management structure is deemed to be 'effective' with an 'open and collaborative' management style. The 1998 report indicates an open and collaborative style of management which accords more accurately with the middle manager's perception of the college's style, than the senior managers' perception of a move to a dictatorial style. The two senior managers had been in post since before incorporation and their perceptions of a 'less democratic' style appears to reflect the changes in their job focus towards being 'very target-driven' and 'more accountable'. As indicated earlier, these change reflect a shift to the 'managerialist critique' (Simkins and Lumby, 22002, p.13).

THEME ONE: SUMMARY OF ISSUES AND DISCUSSION

There are several issues which have arisen out of the analysis of data. As identified in the introduction to this Chapter, these relate to management style and an awareness of its impact on staff motivation; structure; roles and flexibility; development of managers; and communications.

The college structures varied, from matrix with small curriculum sections (College A), to line management (College B), Schools (College C), faculties (College D) and divisions (College E) which had undergone some restructure and the introduction of cross-college managers. College F had a departmental structure which had been reduced from ten to five. In addition, heads of departments had cross-college responsibilities. These structures demonstrate the post-incorporation change towards cross-college managers in quality and areas of the curriculum. Few interviewees demonstrated an awareness of micropolitics and power within their structures. The Vice-Principal (College A) indicated that an advantage of the matrix structure is that 'you haven't got any really powerful heads of department who act as barriers for change' and that the cross-college middle managers were empowered through being on a higher level of management than the section managers. However, the cross-college middle manager highlighted that because the section managers held the resources, staff and budget, he had to implement change through the section managers by convincing them that the change was beneficial. There are two issues in relation to this finding. The College had not fully reviewed the structure and any barriers inherent within it. In addition, it demonstrates a lack of understanding of the different types of power within an organisation. In this instance, the section leaders hold 'resource power' (Handy, 1999, p.131) which is acting as barrier to change. Matrix structures allow for the development of cohesive and effective teams of specialists working towards the objectives. They have the advantage, as highlighted by the Vice-Principal (College A), of allowing for flexible use of specialist staff (Carnall, 1995, p.20). The Vice-Principal emphasised that the structure (College A) was 'flexible' allowing the College to respond quickly to new initiatives. This relates to Egan's model of adaptive culture where there is sufficient flexibility to meet the needs of the organisation (1994, p.70). This

flexibility, however, largely related to opportunities to generate new income sources. The divisional structure is a common pattern for colleges alongside some elements of matrix management for specialist areas. This allows colleges to introduce cross-curricular teams of 'specialists' for issues such as key and basic skills, pastoral tutors, marketing, quality and staff development. In this structure, accountability is pushed down the organisation (Carnall, 1995, p.19). A key issue is that interviewees' responses did not indicate any understanding of the broader context of changes required in the post-modernist paradigm, and that hierarchical, vertical structures no longer work in the current 'fast-shifting environment' (Daft, 2002, p.544). Management structures need to become flatter, more horizontal than vertical, with employees empowered to act independently and creatively, rather than performing routine, standardised jobs (ibid., 2002, p.544). With this approach comes the adaptive culture of the learning organisation which relates to an organisation's 'constant expansion of its capacity to create its future' (Senge, 1990, p.14). It is, therefore, not surprising that there have been no strategically planned and fully implemented, middle management programmes to increase capacity in any of the Colleges. This issue will be considered later in the section.

The responses of the most senior managers in each college varied in relation to their role in the management of change. The Principal (College B) talked about his role as being 'to initiate change, leadership, be upfront, good communication and take people with you'. This contrasted with the others (Colleges A, C, D, E) who, whilst having some role in aspects of the change process, did not support such a strong approach. The Vice-Principal (College A) highlighted that his role involved the 'management of change', with the 'initiation of ideas coming from other managers'. This reflected a similar approach on the part of the Principal (College C) of being 'aware of what changes are going on and how best you can support the College in moving towards that'. The Vice-Principal (College D) differentiated the change processes which needed to be led by her to ensure implementation. The Vice-Principal (College F) supported change by 'changing expectations and attitudes' through the way in which he managed as a role model. Apart from College B, the other responses reflect the changing activities of senior managers since incorporation with their increased focus on technical

aspects such as business and financial planning, monitoring of performance and links with external agencies (Simkins and Lumby, 2002, p.15). The Principal's (College B) involvement in change reflects his perceived management style as characterised by one senior manager who highlighted that the Principal 'is very direct and wants to be aware of all the details'. He indicated that this had led the Principal to take over some areas of authority that should reside with managers, which had resulted in an erosion of authority. This highlights some issues of delegation and empowerment. Empowerment will be considered later.

The middle and senior managers who lead curriculum areas had a different approach to their role in managing change. There is a clear focus on 'communication' and 'support'. One head of curriculum (College B) perceived her role as being to have a full understanding of specific changes 'so that you can keep your teams of people informed and provide appropriate support, encouragement and work with them to ensure that your planning is relevant'. Two managers also saw their roles as 'initiating change within their Schools' (College C). One head of division (College E) saw his involvement in change as one of 'supportive leadership'. This very much reflects more recent research in FE colleges about the changing role of middle managers since incorporation (Briggs, 2002, p.65). This research identified four dimensions in the work of academic middle managers. First, there is the bridging and brokering role when the policies and perspectives of senior management are translated into departmental practice. Second, there is a transformational dimension when the middle manager encourages coherence and group identity within a collaborative departmental culture. A third dimension is where the expert knowledge of the middle manager is used to improve staff and student performance. This may be known as 'supervisory leadership' (ibid., 2002, p.65). Finally, there is the dimension of representative leadership which emphasises the liaison role of the middle manager both in representing departmental interests and in enabling colleagues to develop their own liaison networks. In addition, several of these departmental managers had cross-college roles.

The cross-college managers had a slightly different approach to their involvement in change. The key issue which several managers highlighted was

that they did not line manage the staff through whom they were implementing the change process. In one instance, the cross-college manager (College A) observed that, although he was on a higher management grade than the section (curriculum) managers, they had the staff and budgetary resources and he had to 'work with them and convince them that the change was beneficial'. The Vice-Principal indicated that cross-college managers were empowered or 'had the clout to make things happen'. In this instance, the resource power remained with the section heads creating barriers to the specialist cross-college manager role within the organisation. Evaluation of barriers to change is needed during the planning stage.

The style of management varies across the six colleges. In some instances it was strongly influenced by the Principal's promoted style, as in College B where the style was 'can do and if not, why not'. This reflects the authoritarianism and pacesetter styles of leadership (Goleman, 2000, pp.83-84). Although, people who rate high on this authoritarian trait can be effective leaders (Daft, 2002, p.124). One senior manager proposed that the Principal's style 'is to be very direct and wants to be aware of all the details'. He indicated that the Principal as a result of his management style eroded some of the authority of other managers. This indicates a lack of ability to delegate and empower managers at all levels (Morrison, 1998, p.212). There were elements of a 'coercive' style of management in the Vice-Principal's response that 'managers need to be a workaholic and make personal and domestic sacrifices' and 'anybody who is not prepared to work like mad is brought to task'. The 'coercive' style is where the leader demands compliance (Goleman, 2000 p.86). Goleman found that the coercive and pacesetting styles negatively affect organisational climate (2000, p.86).

In three colleges, there was a disparity between how the leadership style was perceived by senior and middle managers. In College A, senior managers perceived it to be 'strong but fair', 'adaptable and flexible', and 'supportive'. However, by contrast middle managers saw it as 'top down' and 'line management'. This issue relates to a lack of collaboration and insufficient involvement by middle managers in strategy development. By contrast, senior

managers in College F indicated a move away from a democratic style to a more dictatorial style of management. However, a Head of Department, in the same college, perceived that the style had become progressively more open. The second inspection report, for this college, supported the move towards a culture of open communication. This disparity in perception relates to the practice of middle managers being more included in strategy development since incorporation because senior managers have an increased focus on technical matters rather than pedagogy (Simkins and Lumby, 2002, p.15). Another college (C) stated that they did not have a corporate management style. However, the Principal perceived his to be 'democratic' and this appeared to influence other managers' styles which included 'staff consultation' and 'empowerment of teams'. In addition, he emphasised 'communication' and 'openness'. The Human Resource Manager indicated that the 'empowerment of teams' approach had not worked fully because 'if you don't devolve decision-making and authority with the task then it's dumping and not true empowerment'. This showed awareness of the issues involved in empowerment. Middle managers tended to have a more affiliative style of management and used a range of terms including: 'supportive and encouraging' (College A), 'developing good communications' (College B), 'consultative', 'a coaching approach' and 'communicative' (College C and D), 'encouragement and motivation' (College E), and 'open and democratic' (College F), to reflect their approaches. An affiliative style of management is concerned with 'creating harmony and building emotional bonds' (Goleman, 2000, pp.82-83). In relation to cross-college managers, such an approach may also indicate the adoption of a strategy for trying to encourage others to do things in the absence of clear authority and empowerment (Briggs, 2002, pp.67-68). Within the FE sector, research indicates that whereas each college has managed the same external pressures, these differences are increasingly influenced by the management style and approaches to change that have been adopted in response (Weil, 1994, pp.25-26). Leading by empowering is a key principle, with the leader listening, acknowledging that the experts are those at the 'chalk face' that delegation is important and that bureaucracy should be removed (Peters, 1987, pp.380-390).

A significant issue which emerges, through the analysis of data, is the changing role of middle managers and their increased workload (Briggs 2002, p.75). Interviewees indicated this as devolution of responsibility and empowerment, and middle managers highlighted their involvement in the initiation and implementation of change processes. Many managers of curriculum areas had additional cross-college responsibilities. However, a further key issue is the lack of structured training to develop management skills. Capacity-building involves helping staff and the college communities to be able to respond effectively to changes which they encounter and so ensure continuous improvement. For capacity-building to take place, time and resources need to be invested in professional development and opportunities for collaboration (Fullan, 2001b, pp.233-234). None of the six colleges had a capacity-building strategy for their middle managers. Middle managers are the ones who 'articulate the vision' and on a day-to-day basis make the business of the college happen (Bennett, 1995, p.18). The middle manager role could also result in 'sent role conflict' (ibid., 1995, p.67) because of the simultaneous occurrence of demands from the groups above, who hold significant power, and from those below who are substantial in number, and who interact on a daily basis with students. Cross-college managers' roles in the College may lead them to experience potential 'role ambiguity' between specialists in any given area and others whose specialist functions intersect with their own (Briggs, 2002, p.70). Since incorporation, middle managers operate in an environment of dispersed leadership (ibid., 2002, p.70). There is a consensus that current training offered to middle managers is inadequate (ibid., 2002, p.75), while the key impediment to their role is their 'workload', and 'being on everyone's agenda' (ibid., 2002, p.75).

Colleges need to establish themselves as 'learning organisations with adaptive learning' (Senge, 1990, p.14). A key fundamental issue within this model is the need for effective training of teams to provide them with the skills, tools and authority to make decisions central to the team performance. Two case study colleges (C and E) had a focus on devolving power to teams. In one instance, it was perceived as devolving 'decision-making closer to the point of delivery' (Director, College E). All interviewees were very clear about the wide range of skills needed by managers to lead these teams but little had been undertaken to

provide the skills required. College C had attempted to provide change management training for managers and staff but this had failed significantly. The Principal indicated that its failure was attributable to aspects of the College culture. His responses highlighted significant resistance to change and barriers resulting from the proposed change challenging staff value systems (Morrison, 1998, p.122).

There is little evidence in the case studies to demonstrate a strategy for a 'preferred culture' through working with the middle managers in the organisation to provide a clear direction and focus for the organisation. Part of this model is to develop 'shared norms' of behaviour which set limits on the types of behaviours which will be tolerated (Egan, 1994, p.84). Very mixed messages about culture have arisen from the analysis of data. One clear message in relation to the emergence of managerialism is the focus on 'managerial approaches' and accountability since incorporation and the role of middle managers in establishing agendas and implementing change (Simkins and Lumby, 2002, p.13). While there was some rhetoric from senior managers about cultures of open communications and empowerment of managers, other comments by middle managers tended to dispute this view. Examples include middle managers 'being dictated to' (College A) and the insufficient analysis of the barriers to cross-college manager roles; the implied criticism of the Principal's style of management by a senior manager (College B) with a consequent erosion of authority; the notion of empowerment as 'dumping' (College C); the concept of the Principal, (College D) as a 'workaholic who tends to think that everybody else is as well; and the perception of senior managers that the management style had moved to a more dictatorial style (College F). These issues indicate that further research is needed in terms of culture, communications and the concept of empowerment in a college context. Research highlights the importance of effective communication as a fundamental condition of the management of change (Morrison, 1998 p.49). In order to facilitate a culture change, there needs to be a critical mass of leaders, with appropriate training, at all levels within the organisation (Egan, 1994, pp.75-85). A strategy for culture change, such as the one identified in College C, needs to include an audit of the embedded culture to determine what needs to be changed.

This chapter has considered 'college culture' in relation to the case study data and the theoretical framework and has identified that aspects of each college culture needs further development. Leading in a culture of change, as in FE colleges, means actively creating a culture, not just a structure, for change. This involves creating the capacity to selectively and critically seek, assess and incorporate new practices within an organisation (Fullan, 2001a, p.44). The data indicate the significance of the role of the middle manager in the process of change. However, little training had been provided in any of the colleges to promote capacity-building in relation to their wider remit. The development of the organisational culture is a key component in managing successful change and has to be addressed as a long-term feature, built into every change process. The culture of an organisation has to be matched and supported by the organisational structures (ibid., 2001a, p.44). One of the key issues emerging from the case study colleges is their focus on financial viability and the fact that, as a consequence, they are driven by targets. This focus on targets and financial viability has brought about a shift in focus from the curriculum to finance for all levels of staff. This plus the paradigm shift in power since incorporation away from lecturers and towards managers and students has contributed to a significant culture change in the sector colleges.

The next chapter presents, discusses and analyses the research findings for theme two, 'change within the colleges'.

CHAPTER FIVE

RESEARCH FINDINGS: THEME TWO: CHANGE WITHIN THE COLLEGES

Introduction

The purpose of this chapter is to present, discuss and analyse the research findings for theme two, 'change within the colleges', and to discuss the findings within the context of the theoretical framework identified in Chapter Two. This theme links to the research objectives and research questions. The purpose of this theme is to focus on change within each college and to examine the most and least successful, or least effective, of the college changes, and more importantly, the underlying reasons for success or failure.

Theme two relates to the thesis as a whole, in that it focuses on key change within the colleges, some in response to nationally-mandated change. In addition, this theme begins the process of examining the management of change through analysis of the perceived reasons for the success or failure of specific change projects.

COLLEGE A: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Assistant Principal	Staff are more flexible in the operation of their teaching duties (we now manage the staff, conditions are clear and integrated)	Appraisal procedure (well-planned, everyone involved, looked at other models, detailed procedures – 2 days to appraise each person. Staff thought it was a joke.)
Director of Studies	Widened participation in the Community (commitment at senior level, funding, someone to lead it, planned, identified relevant courses, structure of outreach centres, with staff)	Project: student participation in extra-curricula activities (planned, appointed someone, clear remit, person not a leader, resource implications not considered. We thought it would happen within the current framework. Staff still want it.)
Cross-college Project Manager	Retention project (lines of responsibility, systems for monitoring retention, standard letters, administrators to follow absence and monitor withdrawals)	Change of location of College library (moved to Media block for funding reasons - out of the way. Used less as a result. Reason for move never fully explained. Library staff, other staff and students didn't value the move)
Quality Manager	Last restructure: management for curriculum and resources brought together in the School Manager role. (Staff understood and supported the reason, divided loyalties, previously curriculum manager was not line manager, resources manager in School was line manager).	Some policies related to Quality (paper-based policies that were written just for inspection, staff were provided with copies, weren't consulted, not implemented as a result)
Vice-Principal	Quality system (introduced when the two colleges merged, new principal, Vice-Principal led the changes, visited places to look at different models)	MIS (works well for FEFC. They think we're good at MIS but not used internally for running the College. Not valued by managers because the information flow is one way, they get nothing from it. The MIS Manager effectively works full-time for FEFC).

Analysis of Data

A) Most Successful Changes

Each interviewee identified a change that they had either led or had been involved in, which will be analysed in turn.

i) Conditions of Service (Assistant Principal) This example involves the successful introduction of a new contract, which resulted in teaching staff more flexible in the operation of their teaching duties. Several reasons were identified for the success of this change. First, the Principal led the change throughout. In addition, he met with unions to negotiate and ensure clear communications. He also briefed staff in meetings. The Principal was open, honest, expressed the situation clearly and discussed implications of it not being implemented. Staff had an opportunity to discuss their individual contract with a senior manager, before they signed the new contract. This provided an opportunity to express personal reservations. Some staff decided not to sign and no pressure was placed upon them to sign. Managers signed their revised contracts before the teachers and the Principal emphasised their responsibilities to them clearly. He explained that if they did not want the responsibility then they need not be a middle manager. Some managers decided, at that stage, that the revised role and responsibilities would not suit them. In addition, the changes in conditions of service were built into the college structures, including individual timetables, departmental duties, quality team membership and other duties. Concurrently, the Assistant Principal worked on the infrastructure of personnel policies to support the change. This change was politically generated just after incorporation and as such it was external commitment which was triggered by management policies (Argyris, 2000, p.40). Individual colleges, however, had autonomy in how the changes were implemented. Certainly, staff did not support the aims of the change because it would change their conditions of service. The proposed changes in conditions of service generated a significant amount of anger across the FE sector. The Assistant Principal based the success of this example on the fact that the change had been implemented, resulting in more flexibly deployed staff. In relation to Fullan's guidance on the management of change (2001b, pp.108-109)

the following points are relevant. Change will be effective only under conditions that allow people to react, and in this instance the process of change allowed such an opportunity. Conflict and disagreement were voiced strongly at staff meetings in the college. These are fundamental to successful change. Progress occurs when steps are taken which increase the number affected (Fullan, 2001b, p.109). In this instance, managers signed first followed by staff. The change was completed without industrial action as a result of effective planning and communications.

ii) Community Education This was a change process related to widening participation in the community (Director of Studies). Several reasons were cited to justify the success of the change. Initially, the planning stage was extensive and considered other models of provision. There was a perceived need for the change in response to government initiative and the local context. The area is highly deprived, with a long history of unemployment including a very low status in the GCSE league table. There was consensus and commitment at senior level both in the college, in the LEA and from teachers. Moreover, the plan considered all factors affecting implementation, especially resources, with funding provided from the college budget for staff, materials and accommodation. In addition, the project made use of an existing network of centres from within the community structures, including churches, schools and other organisations, which helped to build community commitment. The interviewee explained that 'we've now built a whole structure out in the community, with courses that can start off as an interest, lead to a qualification and lead in to a college'. He went on to explain that there were now students in the college who 'would have been frightened at the thought two years ago'. The final issue is that responsibility for aspects of the curriculum were linked into the College's existing curriculum structure including development for staff. Fullan (2001b, p.109) argues that effective change is a 'process in development' and that concurrently, work should be undertaken on developing the infrastructure to support and sustain the change. As Morrison (1998, p.14) argues, effective change requires investment in structures, institutions, people, technological and psychological support. Change is multidimensional and this change has demonstrated planning on different dimensions (ibid., 1998, p.14).

iii) Project to Improve Student Retention (Cross-college project manager)

This project demonstrates characteristics similar to the previous change project, although on a different scale. The planning stage included visits to similar organisations to look at their models; a clear implementation plan was established over two years, including included a phased handover of responsibility to the Schools. A budget was provided in the first two years of the project. Through collaboration with Schools, the Manager established systems for monitoring retention and timescales for that process. The lines of responsibility were established within the Schools. A tier of administrators were appointed with one located in each School, where they had responsibility for following up absences and maintaining a database. The additional resources were well-received by staff and demonstrated senior management commitment. The point at which teaching staff saw the advantage was when the performance indicators for absence and retention started to improve dramatically. The project manager now monitors at a distance. There was a structure to this change process, with planning and an informed project manager. The organisational infrastructure was developed to integrate the new process and resources were allocated for staff. The implementation plan allowed for two years with the project manager withdrawing gradually and the formal structures sustaining the change. The process involved planned capacity-building to develop the skills and understanding of staff over a period of time.

iv) Restructure (Quality Manager) the key reason for the success of this change was a clearly identified need, which lecturers acknowledged and supported. Individuals react to and cope with change in a variety of ways, ranging from complete rejection to complete acceptance. Senge (1990, pp. 219-220) identifies a continuum for this motivation and non-compliance will occur when individuals see no benefits in the change. Within each School, in the previous structure, there was a separate system for resources and curriculum. Each School had two managers, the resources manager, who was the lecturers' line manager, and the curriculum manager. Lecturing staff, therefore, had divided loyalties. In the restructure, the two functions were brought together under one manager. After the restructure, the teaching staff were responsible to one person for both

aspects. As Morrison (1998, p.14) highlights change is a personal as well as an organisational matter. Teaching staff saw the personal benefits of the change. It supported them psychologically because it resolved their divided loyalties.

v) Establishment of Quality Systems (Vice-Principal) One reason for the success of this change is that it was dynamic, over time, rather than just an event (Morrison, 1998, p.14). Other reasons for the successful implementation was, that it was introduced at the time when the two colleges merged and the new principal arrived. 'It was all a time of complex change and people expected things to be different, new policies and systems' (Vice-Principal). As with the planning for the other changes outlined above, the Vice-Principal visited other organisations, looked at their models, and adopted elements suitable to the new organisation. In both inspection reports, in 1994 and 1998, the College received grade 1 for Quality Assurance. An added advantage was that the person leading the change was at executive management level and had been acting principal. He was given time to fulfil the objectives because the new principal told him that his new role was 'just quality, make us famous for quality'.

B) Least Successful Changes

Each interviewee identified a change that they had either led, or in which they had had significant involvement. Each will be analysed in turn.

i) Appraisal System (Assistant Principal) This change was not successful was because, although there was a detailed infrastructure for the process, the quality of the outcome was not 'fit for purpose' as it took two days for each appraisal to take place. One of the elements of 'effective change' is the requirement of an 'effective' outcome (Morrison, 1998, p.13). Fullan (2001b, p.109) argues for a consideration of all the factors, which can affect the implementation process. The implementation plan should consider and address these barriers to successful implementation. The staff did not take the process seriously and therefore, it was not implemented.

ii) Student Extra-curricula Activities (Director of Studies) A reason for the failure of this proposed change was ineffective planning. Within the initial change plan, there was an assumption that staff would give time to an extra-curricula activities framework on top of their current duties. The plan was not coherent because it did not consider all the factors that would affect the implementation process. In addition, although a person was appointed to lead and implement the plan produced by managers, they did not have the appropriate skills to lead the process. Inherent within this is that although the lead role for this process was made clear, the monitoring of the process by senior managers was ineffective. Accountability and responsibility for the success of a change process must be clearly allocated (Morrison, 1998, p.36). It was not a complete rejection of the values of the change, as it was reported that staff still wanted it, but lack of planning, lack of infrastructure and little thought to the resourcing of the change affected the outcome.

iii) Changed Library Location (cross-college project manager) This was identified as a change for 'political reasons'. There was no clear 'need' for the change other than it would generate funding, presumably linked to the development of Media curriculum. There was no consultation with staff in the library, nor with teaching staff or students. Research indicates that there have been significant cultural changes in the FE sector including increased customer expectations (Lumby, 2001, p.157). As a consequence, students would expect to be consulted on a change which affected them. Carnall (1995, p.6) argues that the first condition required for effective change to occur, is that the stakeholders have a good awareness of the proposed change so that they understand and believe in the vision, the strategy and the implementation plans. In this context, both students and college staff are stakeholders. This change process demonstrated none of the elements of effective, developmental change.

iv) Lack of Implementation of some Quality Procedures (Quality Manager) There are several underlying reasons for the lack of implementation of this change. First, the procedures were produced for inspection rather than from an identified need within the organisation. In addition, staff were provided with copies which were considered by senior managers to be self-explanatory and there

was no consultation during the developmental process. Finally, there was no implementation plan, which considered the quality procedures in their entirety. This change was not multi-dimensional; it only involved the materials and did not include approaches or beliefs (Fullan, 2001b, p.39).

v) The Management Information System (MIS) (Vice-Principal) the MIS system met the needs of the statistical returns to the FEFC but was not used internally for the running of the college. This links to change being a developmental process. The MIS could be used within the college except that no-one had planned for it initially. A planned approach for the extension of its use should include consultation with managers, in order to identify the college requirements and resource needs, and agree plans for its use. One potential limitation could be resources as the MIS staff time was taken up in meeting the funding body requirements. No organisation should attempt a change project without careful examination of whether such a change addresses priority needs (Fullan, 2001b, p.75).

COLLEGE B: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Dean of College	marketing department (3 years, marketing strategy developed, lines of responsibility, staff involvement, marketed internally, representatives from teams)	MIS systems (systems were established and meet the needs of FEFC but not yet used MIS internally to support College management. Managers are not using data to inform decision-making)
Director of Management Systems	Funding methodology (Director led project, attended seminars etc, clarified implications, produced briefing papers, briefings for middle managers, ongoing support)	New contracts (40% teaching staff not on new contract, acting principal decided to implement new contracts, the Deans told to implement them, a few weeks later the middle managers were told. No-one wanted to do it, Then it was left until the current principal came. It was badly handled)
Principal	Re-establishing the College image in the Town (used a network of contacts, talked to them about the College, controlled college image, Corporate image, used local press, involved in community, invited them in, good publicity.	No response given
Staff Development Officer	Appraisal scheme (Two schemes for teaching and support staff – merged into one. Consultation through an external body, working group, draft scheme, consulted staff, trialled, linked to the business planning.	Previous appraisal schemes (divisive, Not monitored, staff didn't value it because it didn't lead to anything. No link to college planning.
Vice-Principal	Central student services system (identified need, reviewed models through visits, plan for the change identified potential barriers, student services team with a representative from Schools established what they wanted, responsibilities, systems and procedures, worked with Schools, wrote clear guidelines and service standards, staff appointed. Worked with staff to get feedback)	Variability in the personal tutorial system (full-time courses have personal tutorial time allocated, some tutorials don't take place, others don't follow the content suggested. Reason – is we have added-on to the existing system with all its flaws and we've never gone back to the drawing board. Not all staff involved are right for the job. Variable quality, lacks co-ordination).

Analysis of Data

A) Most Successful Changes

Each interviewee identified a change that they had either led or in which they had had significant involvement. Each will be considered in turn.

i) New Marketing Department (Dean of College): A separate marketing department was established over a period of three years. This was a major structural change in the college to centralise and provide a corporate image for marketing. There was collaboration with the marketing group for the development of a marketing plan. The group had representatives from each department. This allowed time for staff to react, question and form their own position (Fullan, 2001b, p.108). The infrastructure was established with lines of responsibility and involvement within the departmental structure. Staff saw the advantage of a corporate image which increased motivation. The success of this change process is supported by research (Morrison, 1998, p.38) in that for planned change strategies to be effective, their implementation should not 'cut across' existing organisational practices or structures. In this instance, the infrastructure for this change was established within the existing departmental structure.

ii) Funding Methodology (Director of Management Systems) The implementation of the funding methodology, within this college, reflects a coaching model of leadership (Goleman, 2000, p.83). In this approach, the 'leader develops individuals for future needs'. The goal was that managers would understand and be able to use the funding methodology effectively within their planning. The key to its success was the ability of the 'leader' to understand the funding methodology, impart that knowledge to managers and enable them to use it practically. The Director, who led the change, ensured that he was well-briefed through networks. He provided a series of briefings to ensure that managers understood the process and its implications for practice and established communication channels for ongoing support. As stated earlier in the thesis, within an educational setting, where there is a focus and dependency on people to

support organisational effectiveness, the 'culture is developed and maintained through carefully managed communication' (Bennett, 1993, p.28).

iii) Re-establishing the College Image in the Community (Principal) When the Principal started at the college, he developed a project to re-establish the college's poor image in the community. A clear plan was established, through consultation with staff and an established steering group, of the preferred image. He used existing internal networks to disseminate and consult on the image. As a new Principal, this was an optimal time to implement the change as staff expected change. Its implementation was supported by an infrastructure of events, projects and extension of the college's work in the community, such as projects on basic skills and collaborative work with special schools. In addition, it was developed over time with the change in image sustained by the college infrastructure. It was a dynamic process over a period (Morrison, 1998, p.14). Furthermore, the Principal considered all factors that could affect this perception of image and through the steering group reviewed original ideas to continue its development (Fullan, 2001b, pp.108-109).

iv) Staff Appraisal Scheme (Staff Development Officer) This change demonstrates elements of an effective change process. An external body was employed to undertake objective, initial consultation work with staff. A working group was established with representatives from all college areas to develop a scheme and consider all factors affecting implementation. Following that, a second consultation was undertaken and revisions made. It was then trialled to see how it worked in practice. Finally, it was linked to existing business planning processes to ensure that the staff development element supported the departmental planning. Communication with staff was effective at all stages to ensure that they were informed fully. A key contributor to its success, is that it provided a process of 'clarification' with opportunities for implementers to work out their own meaning of the change (Fullan, 2001b, p.108).

v) The Centralisation of Student Services (Vice-Principal) Initially, the Vice-Principal visited other colleges to examine alternative models, before adapting the outcomes of this review to meet the College's needs. This process

helped in the clarification of the change, and consideration of the practical and quality issues for the change process. Fullan (2001b, pp.75-70) identifies four factors relating to effective change. These include need, clarity about goals and means, complexity, which involves identifying the difficulty and extent of the change, and the quality and practicality. The college need was to ensure a consistency of approach across the college. The plan for the change identified potential difficulties, such as staff resistance. Collaboration with staff helped to clarify and communicate the goals for the change process. This was followed by the establishment of an infrastructure of systems, policies, and physical and human resources. The Vice-Principal assumed that there would be resistance and conflict, although some staff welcomed functions like a central admissions. The quality of the process was evaluated through staff feedback.

B) Least Successful Changes

Four interviewees identified a change that they had either led or in which they had had significant involvement.

i) MIS System (Dean of College) The reason that this was considered to be unsuccessful was that the MIS system had been established to meet the needs of the FEFC but had yet to be extended to meet the college's internal needs. This is similar to College A's situation. The use of the MIS database needed to be developed further with a plan to meet the identified needs of different groups in the organisation. It is not an unsuccessful change as the system was established to meet certain needs, which it did effectively. This situation relates to defining the range of needs and requirements at the planning stage and throughout the implementation, and identifying all factors and their implications across all dimensions of the organisation (Fullan, 2001b, pp.108-109).

ii) Introduction of New Contracts (Director of MIS) This change had not been fully implemented. In contrast with College A where one person, the Principal, led the process, in this college the deans were 'told to implement the new contracts', followed a few weeks later by this responsibility being passed to the middle managers. There are several reasons for the lack of implementation.

Leadership has a critical role in changing the culture of an organisation (Morrison, 1998, p.153). In this instance, it can be identified that responsibility for the change was not allocated clearly. Therefore, planning for change was not effective. Unspecified means of implementation represents a significant planning problem at the implementation stage (Fullan, 2001b, p.77). The complexity of this change was either not identified or not acknowledged by managers who did not themselves fully support the change. Stakeholders, such as middle managers and staff, may have understood the change but, however, did not believe in the vision (Carnall, 1995, p.6). It was not planned effectively and therefore, encountered barriers to implementation. There was no effective consultation with staff. Only 60 per cent of staff transferred to the new contract. The Director was fully aware of the reasons for the failure.

iii) Staff Appraisal Scheme (Staff Development Officer) The previous appraisal scheme was identified as an example of unsuccessful change. It included a separate scheme for teaching and business support staff which was divisive. Staff motivation to participate was poor, as the perception was that the outcomes of appraisal 'didn't lead to anything'. Monitoring of whether the scheme was implemented was insufficient. Planning for the change was ineffective as there was no detailed examination of the factors affecting implementation, with no structure developed to support implementation, such as clear allocation of responsibility and use of the outcomes for organisational development. This change did not consider all factors affecting its implementation across all organisational dimensions (Fullan, 2001b, p.108).

iv) Personal Tutorial System (Vice-Principal) The student tutorial system, which had been in place for a number of years, was not implemented consistently. The perceived problems included some tutorials not taking place and others not following the guidance on content. This issue relates to Egan's 'shadow side activities' (1994, pp.5-6). These may be defined as the significant activities and arrangements that remain unidentified and undiscussed with staff. Everyone is aware of the problems but these are not discussed, nor resolved. Egan argues (1994, pp.213-214) that practising 'positive politics' starts with an 'institution-enhancing agenda' which makes explicit the values and espoused culture.

Planning had not taken account of the future needs of the organisation, including resource needs. As the Vice-Principal stated 'we need to go back to the drawing board'.

COLLEGE C: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Human Resources Manager	Locally agreed contract (Principal negotiated it with the Unions, explained it to the staff through briefings, conditions are clear and integrated, management responsibilities clear)	Executive Managers not operating strategically. (a 'hands-on' approach, need to operate strategically, creates barriers because they hold on to authority. Responsibility given to managers but not resources/decision-making powers. Managers need to be able to make mistakes to develop. Varies across the EM).
School Manager A	Quality systems (curriculum review) (consultation with staff, procedure produced, led by Quality Manager, consultant in, School Managers involved. Detailed implementation plan, staff briefings, trialled and reviewed. Quality Unit managed it across the whole college. Principal involved)	Last restructure (led by Principal. Previous structure, business manager and curriculum manager in each School, now one School Manager, plus programme leaders who manage a group of courses. Some middle managers now have a cross-college role, which they don't want. Some consultation but little choice really)
Principal	Curriculum review (involves classroom observation and internal inspection. Enormous resistance initially. Areas graded and published. QM led process. Model from visits and networks. Plan presented to SMT and Academic Board. Consultation. Resources. Briefing sessions and training. School Managers involved in inspection teams. Review reports to SMT. QM was very careful in planning and consultation.	Developing empowered teams' project (Consultants in to run it and they got it wrong. I don't think they understood colleges or measured this college right. Some indiscretions, people lost confidence in the process and were resistant.
Quality Manager	Classroom observation (As above details. FEFC inspector/consultant in to train the inspection teams – made up of managers. I met with Unions at the start to discuss and get their approval – eventually did. Built in confidentiality and a code of conduct for 'inspectors' and an appeals procedure. Staff now accept it; every area has been inspected. It was successful because we were very thorough)	Management of change project some of the work with consultants backfired. Confidence lost in their approach, didn't have the expertise or the interpersonal skills to take us through it, staff were angry. All models were industry-based. Almost like a set plan they used everywhere. It didn't fit in to our culture. It was about giving teams the tools and techniques to manage change.
School Manager B	Devolvement of funds to Schools: (as part of empowerment of teams, small pilot project, small budget to each School for staff development, identify at School level the annual priorities. Useful to get staff more committed to improvement. Can be linked to curriculum review.	Staffing changes: (confuses staff and people still go to the same person they always went to for information. Purpose not always clarified or understood by staff. Perhaps too many changes?)

Analysis of Data

A) Most Successful Changes

Each interviewee identified a change that they had either led, or in which they had had significant involvement. Where there has been overlap in examples of change then these are considered as one.

i) Locally Agreed Contract Several reasons were given for the successful implementation of this change. The first involved initial negotiations with the trade unions, allowing both sides to explain their position and negotiate. In addition, the change was led by the Principal, who planned opportunities to explain to staff the reasons for the proposed change. Finally, the conditions brought about by the change were clear, and built into timetables and structures. Morrison (1998, p.14) argues that change is personal as well as organisational and this process of negotiation allowed time for staff to discuss and look at Fullan's 'big picture' (Fullan, 2001b, p.78) which included the 'need' for efficiency cuts by the College. However, if a change is proposed that is dissonant with the attitudes, practices and beliefs of those affected, then resistance should be expected until those affected are prepared to change their attitudes (Burnes, 1996, p.320). Resistance is lower and less intense, the greater the extent of trust in the management, colleagues and unions (Morrison, 1998, p.125). At all stages in the process of negotiation between senior managers and the trade unions, staff were kept informed.

ii) Curriculum Review (Principal, Quality Manager, School Manager A) This change was identified by two managers and the Principal as an example of a successful change, for the reasons that staff were initially very opposed to any classroom observation scheme. The planning process was thorough and included negotiation with the trade unions, planned milestones, timescales and expected outcomes for the implementation process, examination of alternative models and collaboration with managers and staff. Certain safeguards were established as integral to the process, in order to increase staff trust in the observation process including a confidentiality clause and an appeals procedure. The Quality

Manager followed a change process model to ensure that implementation was effective. Communication channels were established with staff and trade unions to ensure a clear understanding of the process. The negotiations, the planning process and the first stage of implementation took place over a year. Briefing sessions were undertaken with staff during which the Quality Manager acknowledged and discussed their concerns. Training was provided for the 'inspection' team by an external consultant who was a part-time FEFC inspector and he moderated the initial grades. This was to allay staff anxieties. Morrison identifies (1998, p.127) ways of addressing resistance, particularly 'fear of the unknown', as providing extensive information and communication, identifying the exact concerns, clarifying aims and providing support. This change process was linked to a project highlighted by another interview, which involved the devolvement of funds to Schools to allow them to prioritise their staff development needs. Support for the introduction of the curriculum review process was provided through other staff development programmes within the College. The change was introduced in stages to allow confidence and trust to develop. This links to Morrison's view that resistance is linked to the extent of trust in the management, colleagues and unions (1998, p.125).

iii) Devolvement of some funds to Schools (School Manager B) This was identified as being part of a bigger project that was not successful. She emphasised that this was successful because it gave the staff in Schools some freedom to decide their staff development priorities. One of the keys to motivation is empowerment. Peters (1987, p. 283) advocates that the development of empowerment is through widespread involvement in decision-making, listening, recognising achievement and training and developing staff. The interviewee emphasised that part of the rationale for this change was to get staff involved and committed to college improvement. In addition, the use of these funds could be linked to preparation for curriculum review. The development of staff is a key motivational factor (Morrison, 1998, p.130). Furthermore, staff will be motivated by a sense of belonging to the organisation (Evenden and Anderson, 1992, p.208).

B) Least Successful Changes

Interviewees explained three examples of the least successful changes within the College.

i) Executive Managers with a 'hands-on' approach The Human Resources Manager identified that, whilst this was not a 'change', it affected projects and operational issues. Her concerns were that, because some executive managers would not relinquish authority, this was creating barriers and not allowing managers to develop, or have the opportunity to make mistakes. Although responsibility was delegated, this did not include resources or real decision-making powers. Egan (1994, p.196) argues that power relates to resources. Resource power is a major power-base in a power culture (Handy, 1999, p.184). Daft (2002) identifies several issues relevant to this situation. In a learning organisation, the leader's role is to give people the information they need and the right to act on it (ibid., 2002, pp. 554-555). It also involves the need to reduce the sense of constraint on staff. The creation of a learning organisation and the preferred culture allows experimentation, frequent mistakes and failures that enable learning (ibid., 2002, pp. 560-561). Lumby's (2001, pp.22-23) research identifies five spectra of leadership-management behaviour and the executive managers, as reported, appear to be behaving more on the day-to-day management end rather than the leadership end of the spectrum. Effective leadership is central to culture change in an organisation.

ii) College Restructure This project was identified, by the two School Managers, as the least successful change. The change was led by the Principal and involved restructure of the middle management tier. They identified it as unsuccessful because, although there was some consultation, this had little effect on the process. The managers indicated that they had felt powerless. This is the opposite of 'empowerment' with all of its implications for motivation. The second aspect was that role changes had confused staff because they still went to the original person for information. Effective change is a personal as well as an organisational matter (Morrison, 1989, p.14). Fullan (2001b, p.46) argues that in the long-term, effectiveness depends on developing internal commitment in which

the ideas and intrinsic motivation of the vast majority of staff in the organisation become activated. 'Along the way, authoritative ideas, democratic empowerment, affiliative bonds, and coaching will all be needed' (Fullan, 2001b, p.46).

iii) Management of Change project (Quality Manager, Principal) This project was led by the Principal using external consultants. The project aim was to provide teams and managers with the tools and techniques to manage change. It focused on capacity-building which involves helping staff to be able to respond effectively to changes that they encounter by ensuring that they have the skills and knowledge required (Fullan, 2001b, p.269). The reasons for lack of success were that the consultants did not understand the context of colleges and used models from industry. There were some indiscretions on the part of the consultants, which resulted in staff losing confidence in the consultants and resistance increased. Fullan (2001a, p. 125) argues that 'learning in context' is important as well as having opportunities to exchange information with others. In this situation, there appears to be dissonance between the attitudes, practices and beliefs of the consultants and those of the staff and, therefore, resistance should be expected (Burnes, 1996, p.320). These issues indicate weaknesses in the initial planning process, which should have considered the consultants as one factor that could affect implementation (Fullan, 2001b, p.109).

COLLEGE D: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Assistant Principal	MIS restructure (Clear responsibilities for MIS, for quality of information, for leading projects, previously overlap and some things not done, some conflict)	Revamped Business Centre (last year, hasn't worked because it lacks focus. The issues are: staffing for the Centre, poor brief for its function and lack of understanding across college. It's changed so many times and it hasn't worked)
GNVQ Co-ordinator	No response given	No response given
Learning Support Manager	Introduction of Inclusive Learning initiative (planned carefully, core group of 7, everybody in the team knew what they were doing, VP made sure everyone knew what the purpose was and the College's visions and values, we worked flexibly across systems and structures)	Inclusive Learning in some areas of the College (some areas don't want students with learning difficulties/ disabilities, didn't want to work on inclusive learning materials, difficult because of staff changes, line manager not strong, now working with their them, inclusive learning is a college core value, they need to respond)
Quality Manager	Preparation for Inspection (led by VP, series of briefings for all staff, prepared inspection newsletter – gave updates, reminders, timescales, guidance on what was needed, bulletin board, ongoing communication via divisions)	Attitudes to cross-college manager roles (restructuring led to powerful faculties. Devaluated cross-college roles, internal competition between faculties not healthy, Attitude of bigger: more students, bigger budget. Cross-college manager – sell yourself, have to be seen as effective within 3 months or you might as well give up. Cross-college staff don't have students 'not seen as earners – just spenders, you just create work- so go away!)
Staff Development Officer	Investors in People Award (involved all staff, strong support from VP, planning group with heads of division and business support staff. Initial stages - briefing staff and selling the idea. Systems for communication and staff development linked to business planning. It took a few years. A developmental process).	Resource-based learning RBL: (VP led it and wrote a paper on it for Executive Group, Head of Library chaired a group looking at RBL – which got nowhere. It used to meet and produce reports – it really only operated on paper. An academic exercise, it never engaged people. Some areas developed their own RBL materials but cross-college initiative never worked, it wasn't implemented)
Vice-Principal	Quality systems (started with course review. Developed systems and committees over several years so they fit in together. Sub-committees: academic board for quality, quality procedures handbook. Inspection team and performance indicators. Used strategic planning process to develop it stage by stage over several years, ongoing staff development and training)	Record of Achievement initiative has fizzled out in some areas (some middle managers didn't fully implement it and responsibility was given to them. I've got the Quality Manager and the Academic Standards Committee to do a review of progress, and each area has produced an action plan)

Analysis of Data

A) Most Successful Changes

Each interviewee identified a change that they had either led or in which they had had significant involvement.

i) MIS Restructure (Assistant Principal) Change was initiated because of conflict within the management information team over roles and responsibilities. The restructure established roles around specific responsibilities and functions, and ensured that there was no longer any overlap. In addition, responsibilities for projects and checking of the quality of data were made clear. Senge (1990, p.237) identifies that the discipline of team learning involves 'mastering the practices of dialogue and discussion'. Teams should have opportunities to meet to allow exploration of complex issues of relevance to their work (ibid., 1990, p.237). Katzenbach and Smith (1993, p.151) emphasise that to address the characteristics of 'stuck' teams, including a lack of enthusiasm and an unwillingness to own responsibility, then the team will need to revisit its brief, to inject new approaches, to provide new information and to strive for small rewards. What was not explicit was whether the process improved some of the communication problems within the team. This important as a key measure of successful reform in educational organisations is whether relationships improve (Fullan, 2001b, pp.101-102).

ii) Introduction of the Inclusive Learning Initiative (Learning Support Manager) This change was in response to the Inclusive Learning Report (HMSO, 1996). Colleges were required to undertake an audit of inclusive learning across all curriculum areas and to produce a plan for implementation, with the establishment of a staff development programme and support from a central team. In the initial stages, the College announced its core values in relation to inclusive learning. This supported the clarity of purpose (Fullan, 2001b, p.77), an important factor in effective change. A core planning team was established involving seven specialists in relation to inclusive learning, who would also offer

support to staff. The Vice-Principal encouraged the planning group to 'work flexibly across systems and structures'. This relates to learning organisations where 'structures are more horizontal than vertical and staff are empowered to act independently and creatively' (Daft, 2002, p.544). However, while initial aspects of this change process were 'successful', the barriers to full implementation of this change are discussed in the section on least successful changes.

iii) Preparation for Inspection (Quality Manager) Preparation for inspection was a new process to the College. The way in which this process was led relates to a coaching model of leadership (Goleman, 2000, p.83), whereby the leader of the change project develops individuals for future use. The key is knowledge management, the understanding of the individual leader and their ability to communicate this to participants. Several channels of communication were established, including staff briefing sessions, a newsletter, a bulletin board and communication through existing meeting structures in the college. The clarity and purpose was made clear to staff, as well as the timescale. The quality standards for inspection were specified by the FEFC, and inspection reports for similar colleges were used in briefings to identify issues relevant to each curriculum area. There are several reasons for the success of this change. It was led by an executive manager and planning for effective communication was thorough. Within inspection processes, an individual's work is judged and they are provided with feedback. Therefore, staff motivation would be a feature of this change. Motivation theory is central to the management of change within FE colleges because effective change in many respects hinges on the people within the organisation, their involvement and development (Harvey-Jones, 1988, p.249). Implicit within this concept is an acknowledgement that most individuals have considerable personal and emotional investment in the organisation in which they work.

iv) Investors in People (IIP) Award (Staff Development Officer) This change was identified as successful because it integrated business support staff with teaching staff for the first time. The process was well documented through the IIP programme, contents and standards for quality development. The Principal made

a public commitment to develop all staff in order to support the organisational objectives, values and mission. Planning for implementation was thorough with a detailed plan. The business support staff were very committed and participated fully. A key issue was that IIP is people focused and change concerns people more than content (Morrison, 1998, p.15). Developing the college staff is a core value of the culture of IIP. Morrison argues that developing staff is a key motivational factor (1998, p.130).

v) Developing Quality Systems the Vice-Principal led this change over a several-year period. It was only when systems were established that a middle manager was appointed to manage them. A key reason for the successful implementation of the systems was that the development was a strategic objective and therefore within the existing college structures. Inherent in this process is that faculties have to convert strategic objectives into operational plans. The second reason for success is that the change was a 'process in development' and was supported by a developing infrastructure of policies, quality procedures, responsibilities within job descriptions, and extensive staff development (Fullan, 2001b, p.109).

B) Least Successful Changes

Interviewees identified three examples of the least successful changes in the college.

i) Revamped Business Centre The Assistant Principal explained that the reasons for lack of success were that the Business Centre lacked focus and college staff did not understand its purpose. This demonstrates a problem in relation to the initial planning stage which hindered its implementation. As a result, the Business Centre had been restructured on several occasions. Fullan (2001b, pp.75-79) explains the characteristics of the change process which are relevant to this situation. First, was there a 'need' identified for the Centre at the initial stage. Second, if staff did not understand its purpose then this may be as a result of a lack of clarity about its goals and function. In addition, there may be

complexity in relation to staff's understanding of where this Centre fits in to the 'bigger picture' of the College. Finally, the interviewee highlighted an issue in relation to the number of staff in the Centre.

ii) Inclusive Learning Initiative (Learning Support Manager): Further to comments made earlier, some areas of the College were reluctant to implement this initiative. This initiative required a culture change throughout the College in relation to involving students with learning difficulties and/or disabilities in all curriculum areas. There had been a change of staff in a specific area resulting in an attitude change. Fullan (2001b, pp.108-109) highlights several issues relevant to the situation. Lack of implementation may be due to reasons other than complete rejection of the values of the change. There may be an underlying anxiety due to insufficient skills to work with students with learning difficulties and/or disabilities. Moreover, in a large change process there should not be an expectation that all groups will change immediately. Progress occurs when it is implemented in steps to increase participation. This should be built into the plan. Planned opportunities to discuss the change with others will lead to capacity-building, will allow people to react, to form their own position and to request technical assistance from the core team of specialists. If the staffing has changed in the area, then perhaps they missed out on some stages of the change process. As it was a college-wide change, was it included in the strategic plan which would require conversion into action in the departmental business plan.

iii) Attitudes to cross-college manager roles (Quality Manager) A range of reasons were outlined for the lack of success in reducing barriers to these roles. She indicated that there had been a culture change created by restructures which had resulted in an imbalance of power between cross-college staff and those in the faculties. Resource power is a major power-base in a 'power culture' (Handy, 1999, p.184). However, Briggs (2002, p. 67) identifies that cross-college service managers are largely judged by the efficiency and effectiveness of their service whereas those running curriculum areas will be judged by their student outcomes. As the Quality Manager argues, 'you have to sell yourself; you have to be seen as effective within three months or you might as well give up'. There is potential

role ambiguity between the faculties and the cross-college manager whose functions will intersect. As the primary function of the College is teaching and learning, responsibility for the product may be seen as taking precedence over responsibility for the process. As Briggs (2002, p.68) identifies, a 'hierarchy of middle managers may unofficially develop, where curriculum managers see themselves as more important than college service managers, and are unwilling to acknowledge and use their expertise'. Effective planning for change should examine the nature of power-bases throughout the organisation.

iv) Resource-based Learning Project (RBL) (Staff Development Officer) The lack of implementation of an RBL project was highlighted, as it seemed to consist only of reports of meetings. A Vice-Principal produced a discussion paper which led to the establishment of a RBL group. The group met and produced reports. However, it was perceived that 'the whole process was an academic exercise which never engaged people'. Although, some areas developed their own RBL materials. Morrison highlights (1998, p.15) that 'change concerns people and not content'. The fact that the hairdressing and catering divisions developed their own resource-based learning materials indicated their specific need. The cross-college change project lacked a collaborative approach and did not harness the creativity within the organisation. No implementation plan was developed, and staff across the college, who would use the materials, were not consulted. As a result of this poor planning for change, the project was not implemented.

v) Record of Achievement Initiative: the Vice-Principal identified that this initiative had not been consistently implemented or maintained in all areas of the college. Fullan (2001a, p.35) identifies that it is the responsibility of leaders to ensure that an organisation does not have innovation overload. It may be that this project had 'fizzled out' in some areas because they had prioritised initiatives or that they may not have perceived a need for it. In either case, it highlights weaknesses in the strategic planning for the change process. The response of the Vice-Principal demonstrates some acceptance of an 'implementation dip' (Fullan, 2001b, pp.90-91) and that both 'pressure and support' are necessary for success.

The process of a review of progress and an action plan would provide both pressure and help to identify if, and where, support was needed.

COLLEGE E: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Director (business development, marketing)	Curriculum Project (renovated an old mill as catering training restaurants (2), hotel, reception. Culture change to take curriculum areas out of college, flexible open access, change traditional systems and start again from planning. Changed delivery. Some areas in college wound down as a result. Most staff find the change beneficial – change in practice. Director led it, persistence and planning, collaboration, inspection drove it forward)	Caseloading (successful but further potential. (Reason: strategy by senior managers, communicated to middle managers who agree and ‘understand’ what needs doing and set about motivating people to deliver it – a triangle. Danger: some people ‘agree’ what’s supposed to be going on but don’t really agree nor understand. Affects communication to the next group and confused messages to those delivering it. Sometimes it goes round the triangle several times which doesn’t help. Middle managers need to agree, understand, promote and support change that has been agreed by the majority.
Finance Director	No response	No response
Head of Division	Caseloading project (not the most successful but potential if it is funded correctly, perceived as an efficiency measure. Changed delivery of programmes, amount of time spend in front of groups, class sizes monitored–greater accountability. Principal led it, with working group, consultation with staff, developed scheme, ran pilot in appropriate areas, used those people to inform others. Now ‘driven’ by heads of division to ensure communication with teams.)	Caseloading (I know I said that caseloading has been the most effective but some teaching staff would say it had not been effective. A bit of a paradox. It has potential and we will continue to develop, support and win staff over)
Learning Development Manager (LDM)	Learning resource centre (linked with key skills) (students who have used the workshop for key skills have improved achievement. It evolved through discussion, looking at the whole learning process, the types of activities and support and what could be achieved centrally. LDM initiated and led it. It’s still developing as more resource-based materials needed for key skills workshops. Developed tracking and monitoring systems. it has been a resource more staff have used, success has increased awareness).	Unitisation of curriculum (Externally funded project, initiated by Principal, to look at curriculum and break it down into chunks, aim to promote progression. Very learner-centred. Failed: a forthcoming inspection, no infrastructure, as with all these projects we could generate evidence and be funded. Curriculum staff not interested. the Principal generates ideas, they’re given to someone to manage and a middle manager had little power and influence with staff. The structure now supports projects. I enjoyed doing it and we were well funded)

Analysis of Data

A) Most Successful Changes:

Three interviewees identified a change which they had either led or in which they had had significant involvement.

i) Curriculum Project The Director led this project and his criteria for success were that it had brought about improved curriculum practice, supported a total review of the curriculum delivery in these areas, injected motivation through new premises and resources, allowed new systems to be developed and brought about a change in culture. It involved the renovation of an old mill as training restaurants, hotel accommodation and a reception area. These areas of the curriculum moved out of the College. The key points identified, are that it was a high profile project and staff felt that if they failed then they would be left behind. Where there was resistance, then the curriculum area was 'wound down' as this would be the new method of delivery. An influencing factor was a FEFC inspection planned for the end of phase one of the project. The change strategy was a collaborative team approach from planning, through the establishment of an infrastructure of systems and procedures, to implementation. None of the existing traditional methods, materials or procedures were appropriate in the new project. Carnall (1995, p.170) argues that business process re-engineering is a good example of how to achieve change and specifically, a change in culture. This works on the basic premise that you start from the beginning again and plan effectively having learnt from mistakes. He (Carnall, 1995, p.171) emphasises that like all effective change projects there needs to be the characteristics of awareness, capability and inclusion. These characteristics should be included in the outlined strategy. First, those involved must understand the change, its objectives and their role in it. There were opportunities for full understanding, as the project team was made up of all the staff involved and the Director. Second, capability relates to an ability to handle the new tasks and new work situations, plus a strategy for capacity-building. The former may, perhaps, be a reason why some areas were 'wound down'. Given that, staff must be helped to acquire the necessary capabilities to handle the new tasks and work situations. Finally, to be

successful, staff need to be 'included' in the change process, to feel that they value the new objectives, and help to 'choose'.

ii) Case-loading Project The Head of Division identified this as 'not the most successful project but with the potential to be'. There are several issues. First, it was intended to empower staff but efficiency gains had limited some resources. Some staff, therefore, perceived it as 'cuts through another route' and failed to see its potential. In this situation, the clarity of the project appears to have been clouded by resource issues. Effective implementation is a process of clarification and involves ongoing re-clarification (Fullan, 2001b, p.108). Second, it was successful in that it changed the way programmes were delivered. As Morrison (1998, p.14) indicates 'practices often change before beliefs'. However, collaboration from the start of the process and a capacity-building approach would support the extension of the project (Daft, 2002, p.167). Third, the project was, at the time of the research, 'being driven by Heads of Division in order to ensure effective communications with teams about resource allocations'. In this respect there was some distributed leadership of the project (Fullan, 2001b, p.137) where there are leaders at all levels of a project. Briggs (2002, p. 75) argues that 'having a champion at the next level of hierarchy' supports developments. The Heads of Division appear to be undertaking the 'champion' role in relation to resources.

iii) Learning Resource Centre (Learning Development Manager) This initiative related to the development of a centre to support key skills. Several issues may be identified. The project developed from a discussion about the process of learning and the nature of central support. A need for the centre was identified through staff consultation. The Centre was established by restructuring existing resources, including staff and computers, and established resource-based materials for key skills workshops. The underlying reason why this project was successful is that there was an identified need, and through collaboration, sufficient staff saw the benefits of centralised key skills delivery. More specifically, outcomes for those students have improved. The increase in student achievement has raised awareness and motivation amongst other staff. This

change project has been a process in development with the infrastructure developed concurrently (Fullan, 2001b, p.108).

B) Least Successful Changes

The interviewees highlighted two examples of the least successful changes in the college.

i) Caseloading: (Director and Head of Division) Two interviewees identified this change as being 'successful', but with more potential than achieved. The underlying reason for this perception was explained by the Director. In the initial stage of the change process, the communication channel was through middle managers. The Director perceived that some middle managers agreed to the project and indicated understanding of the process, when this may not have been the case. This undermined communication to the next level of staff when they had to implement it. Moreover, the message and objectives of the change were no longer clear. Briggs (2001, p.69) identifies that a fundamental role of the middle manager is 'transactional leadership' whereby 'strategy is translated into action'. In Briggs's research, middle managers perceived themselves as 'bridging the gap', 'taking college objectives and interpreting them', and as 'bridges and brokers' (Briggs, 2002, p.69). The key to effective change is awareness ('I know, I understand'), inclusion ('I value, I will') and capability ('I can, I can cope') (Carnall, 1995, p.171). In addition, effective change will only take place under conditions that will allow people to react, inform their own position and discuss the implications (Fullan, 2001b, p.108). Clarity of goals and means is a key characteristic of effective change (ibid., 2001b, p. 76). In this project communication was through the middle managers, during which process the message and objectives were changed which created a barrier to meaningful discussion. This indicates that the College did not effectively identify barriers to the implementation of this change at the planning stage.

ii) Unitisation of the Curriculum (Learning Development Manager) Several reasons may be identified as to why this project was unsuccessful. First, the Principal initiated the project and passed the management of it on to a middle manager who did not have the power of position within the structure to implement

the project. Empowerment may be defined as 'power sharing, the delegation of power or authority to subordinates in the organisation' (Daft, 2002, p.294). The second reason is that curriculum staff, that needed to be involved, did not perceive a need for the change and were focused on a forthcoming inspection. Third, effective change occurs when all of the factors affecting implementation are considered (Fullan, 2001b, p.109). This project, however, was externally funded and was used for capacity-building by the manager involved to develop staff skills, knowledge and understanding for future change (Daft, 2002, p.167).

COLLEGE F: Focus on Change within the College

	Most Successful (reason)	Least Successful (reason)
Cross-College Dean	Incorporation and changes in funding methodology (complex FEFC funding documents, Dean responsible, went to briefings, and networks with other colleges to share ideas, clarify issues and help understanding. Briefings for all staff to raise awareness.)	Use of performance indicators (PI) for quality (big mistake to try to generate PI's from strategic plan. Too many, unmanageable. We had a huge list which was meaningless and did not change anything. Not prioritised.
Head of Department	Extension of the Curriculum (Five-step curriculum, potential to progress from Entry level to HE provision. Project managed through departmental Board of Studies, all teams involved through project tasks. Initial resistance to Entry level but because it was all in an open forum, peer pressure, discussion and collaboration caused some culture change. Pressure that widening and focusing the curriculum would enhance financial security)	The communication system (Aim: a system that conveys a management view, presented in a way that staff appreciate and have some influence on. Dealing with knowledgeable, articulate people. It's a 'top down' process, not always appreciated or welcomed. Large college, lots of information and numerous changes. Vital to disseminate information and the implications to promote discussion. Channels other than meetings to give a consistent message. Cascade briefings: no opportunity for questions.
Quality Manager	Investors in People (IIP) award (Principal commitment to staff in briefing sessions, discussion of implications. Management residential to produce plan. Circulated to all staff. Quality Manager led. Appraisal, a strategic approach to staff development and staff induction developed through cross-college groups, led by Quality Manager. Staff development more coherent and planned. Business support staff fully involved with equal rights whereas before it focused on the curriculum side. A shift in culture.	Appraisal system (Reason why it was not successful is that we never got commitment from the top. Lots of staff development: 2 days each for appraisers and appraisees. Principal did not attend the training. All other managers attended. Now we have some managers who say they're too busy to appraise. Staff in Business Support have taken it on – they like the focus. It has never been seen as a valuable management tool.
Vice-Principal	Development of Department Manager posts (objective to change the culture of attitude about who's responsible for what. To do that, reduced number of departments (from 10 to 5), gave us economies of scale. Managers had to apply for jobs and a key to effective change is making sure you get the right people for the job, otherwise the structure is meaningless. The management at that level improved.	Introduction of Community Membership (group of people with brilliant ideas, not well implemented. It wasn't successful because the person heading it up is 'brilliant on ideas, short on implementation'. The second level manager was the 'energy' behind the implementation, he moved which took a lot of the steam out of it and we didn't replace and that was a big mistake.

Analysis of Data

A) Most Successful Changes

Four interviewees identified a successful change, which they had either led or in which they had had significant involvement.

i) Incorporation and Funding Methodology (Dean): The method of change was based on a coaching model of leadership (Goleman, 2000, p.83) where the 'leader develops individuals for future needs'. The interviewee developed his knowledge of the complexities of the funding methodology and interpreted that information for other staff. The primary goal was that managers would understand and be able to apply the funding methodology effectively. In addition, he identified that all teaching staff needed to understand the methodology and briefed them. The key to success was the ability of the 'leader' to understand the funding methodology, impart that knowledge to managers and enable them to use it practically. The Dean applied the principle of 'learning in context' which involves learning in the setting where you work and through networking with other local college managers (Fullan, 2001a, p. 126). This principle is a characteristic of a learning organisation.

ii) Extension of the Curriculum This change was successful for several reasons. First, it was integrated within the existing planning and development structure of the department. As stated previously, the effectiveness of change is enhanced under conditions that allow people to react, to form their position, to interact with other implementers and to request technical assistance (Fullan, 2001b, p.108). The overall change was broken down into project tasks relating to an individual's work. Second, there was a pressure for change generated by concern within the FE sector about job security. Resistance, therefore, was reduced (Morrison, 1998, p.125). Third, there was collaboration through discussion at meetings, which helped to enhance the team's capacity and their problem-solving approach (Daft, 2002, p.167). Finally, peer pressure was brought to bear on team members who tried to limit the widening of participation. Fullan (2001a, p.118) argues that 'peer pressure along with peer support' occurs in collaborative organisations, or in this case, department. This is termed 'lateral

accountability' (ibid., 2001a, p.118) and ensures that people do not get away with superficial compliance or even subtle sabotage.

iii) Investors in People (Quality Manager) This change was a whole-college strategy for achieving the Investors in People Award. It had high priority and support from the Principal through a series of briefings, which emphasised the preferred culture of the organisation. Opportunities were provided for staff to ask questions of the Quality Manager during a series of consultation and collaboration exercises. The interviewee highlighted that it was successful because it was given priority within the College and explicit commitment from the Principal. Moreover, it was perceived to have a benefit to the College because it provided a process to strategically manage staff development. In addition, it integrated business support staff into the structures, where there had been a divide prior to this change. The focus of IIP is on people and the principal feature running through the characteristics of change is that 'change concerns people more than content' (Morrison, 1998, p.15). In addition, IIP is about training staff within the strategic context of the organisation and its development. As Morrison argues, 'developing staff is a key motivational factor' (1998, p.130).

iv) Development of Department Manager Posts The Vice-Principal was explicit in identifying the reasons for the success of this change. The pressure to reduce the number of departments from ten to five arose from a need for economies of scale. An additional pressure was to rationalise the academic functions to prevent duplication within the curriculum. A third pressure arose from the variability of middle managers in relation to their skills and ability to perform the changing role after incorporation. The change process involved announcement of a new structure, followed by a period of consultation. New enhanced job descriptions, reflecting the changing role, were produced and all middle managers had to apply for the revised posts. The Vice-Principal emphasised that two managers did not apply and were 'happy' to return to being teachers. He indicated that this process ensured that 'you got the right people for the job'. Furthermore, he identified that the quality of middle managers had improved considerably since the restructure. Briggs (2002, pp. 66-67) argues that the role of the middle manager is pivotal to change within colleges of further

education. Middle managers are 'crucial to the effectiveness of the whole college since they are the ones who 'articulate the vision' on a day-to-day basis (ibid., 2002, p.67).

B) Least Successful Changes

The interviewees identified four examples of least successful changes in the college.

i) The Use of Performance Indicators The Dean highlighted that the pressure for continuous improvement had resulted in change overload. This specific change process was not successful for several reasons. First, there was no consideration of the factors involved in implementation (Fullan, 2001b, p.108). This project resulted in a long list of performance indicators, which covered all aspects of the strategic plan. The list was so long that it could not be managed by managers nor monitored. Second, there had been no consideration of prioritisation of performance indicators to help the College to best develop its culture. A critical factor in effective change is clarity of goals and in this case, there were too many for the College to achieve (Fullan, 2001b, p.76). It is the responsibility of leaders to ensure that change overload does not happen (Fullan, 2001a, p.35).

ii) Communication System The Head of Department identified that a communication system or 'cascade briefing' process was undertaken to ensure that information and key messages were consistent. However, it was a 'top down' process, which left little room for interaction or questions. Moreover, 'staff do not appreciate the method' (Head of Department). Jelinek and Schoonhoven (1991, p.86) argue that 'shared information is the foundation of participation in decisions', moreover, as the number of people, the size and complexity of the organisation increases then 'the number of potential communication links rises rapidly'. In addition, they argue (ibid., 1991, p.87) that cultural values, norms and expectations must provide a context within which open communication, personal responsibility for outcomes and shared focus on problem-solving can occur. The College needed to identify and understand the role of knowledge in

organisational performance and to set up the corresponding mechanisms and practices that make knowledge sharing a cultural value (Handy, 2001b, pp.77-78). This understanding of the role of knowledge within the College's preferred culture should consider differentiation of roles and varying communication mechanisms.

iii) Appraisal System The Quality Manager identified clearly that the appraisal system had not been fully implemented because the Principal showed by his actions, as opposed to his rhetoric, that the system was not a high priority. Egan (1994, p.116) argues that 'once people are recognised as leaders, then even symbolic acts on their part can be very powerful. They capitalise on opportunities to send messages about cultural change'. In this instance, some managers had interpreted the 'message' and 'are too busy to appraise' (Quality Manager). In addition, the weaknesses in this change relate to insufficient planning, by the senior management team, at the initial stage with a failure to discuss and identify roles and responsibilities at all levels.

iv) Introduction of Community Membership (Dean) Several reasons may be highlighted to explain why this change had not been implemented. First, the project group, including the leader, had 'brilliant ideas which were not very well implemented'. In addition, the second-level manager with the 'energy' and presumably the ideas for implementation moved to another role. At that stage, the College missed an opportunity to reformulate the project group. Finally, the College needed to consider the team membership when establishing the project team. Walker and Henry (1991, p.4) argue that managing innovation is a task for teams, which include those 'that generate ideas and those that focus on constraints, those that innovate and those that adapt: in short a balanced coalition between original thinkers and those that provide direction and stability'. The team needed members with an ability to implement not just creative thinkers. Detailed planning should have included identification of potential barriers to implementation.

Theme Two: Summary of Key Issues and Discussion

There are several key issues which have arisen out of the analysis of data. As identified in the introduction to this Chapter, these relate to a focus on specific examples of 'the most and least successful' changes within the College and analysis of the underlying reasons for success or failure. This summary will be organised into two sections to discuss issues in relation to the most successful and the least successful changes. The intention is not to revisit each project but to highlight key features in relation to the effective management of change.

A) Most Successful Changes

This section relates to one of the research questions in relation to the critical factors which determine that one college can manage change more effectively than another. In this section, the focus is on an examination of successfully implemented change in order to identify key features of effective change for colleges. The key question is 'what are the features that contributed to the successful implementation of these change projects?'

Analysis of the data highlights several issues. Of the 27 examples of successful change projects, ten were in response to nationally-mandated change. These included changes such as the introduction of changes in staff conditions of service (new contracts), responses to government papers and initiatives including widening participation and inclusive learning, introduction of quality systems and preparation for inspection, and changes in the funding methodology. The first issue is that they were college-wide changes which were led by senior managers or the Principal made a public commitment to their implementation. With the exception of the inclusive learning initiative which will be considered separately, the change projects were planned in detail and introduced slowly.

Detailed planning included elements such as planning for implementation appropriate to the college culture, including a locally agreed contract which was negotiated with the unions and staff. Other colleges, in the FE sector, tried to introduce a nationally agreed contract which was less flexible. Colleges A and C

both introduced the new contracts successfully after negotiations with the unions, and briefings for staff. In both instances, the infrastructure was developed concurrently including personnel policies, or the changed conditions integrated into timetables and other duties. College C also negotiated with unions and staff as part of the introduction of the curriculum review which included classroom observation. This was introduced in response to the national imperative for quality and standards. As part of this infrastructure, they developed safeguards including a confidentiality clause and an appeals procedure, which increased staff confidence in the process. In addition, these colleges planned for conflict and disagreement. Key features in this process are management style, college culture, a degree of flexibility and negotiation, planned communication channels with opportunities for staff to voice their disagreement or discuss the changes individually. As stated previously, change will be effective only under conditions that allow people to react and discuss the implications (Fullan, 2001b, pp.108-109). A strong feature in the college-wide change projects is their focus on quality of implementation rather than on pace. They were dynamic over time, rather than just an event (Morrison, 1998, p.14).

Fullan (2001b p.109) argues that effective change is a 'process in development' and that concurrently, work should be undertaken on developing the infrastructure to support and sustain the change. The successful projects for the establishment of quality systems (Colleges A and D) or for preparation for inspection (College D) were processes in development. College D formalised their planning for the introduction of the quality systems by the faculties interpreting the College's strategic objective within their business plans. Other features of college-wide changes included implementing planned change within the existing structures and networks in order to develop the curriculum into the community (community education, College A). Additional features in this project included an allocated resources budget for staff, materials and accommodation. Roles and responsibilities were clearly allocated. Effective change requires investment in structures, institutions, people, technological and psychological support (Morrison, 1998, p.14). Other college-wide change projects incorporated a coaching model of leadership (Goleman, 2000, p.83), (Funding methodology, Colleges B and F). In this model one senior manager had responsibility for

implementing the change with a focus that 'the leader develops individuals for future needs'. The goal was that managers and staff would understand and be able to use the funding methodology effectively. The emphasis in these projects was on planned communication and support. In each case the 'leader' ensured that they were well-briefed and able to impart their knowledge to others. Within educational settings, where there is a focus on people to support educational effectiveness, the 'culture is developed through carefully managed communication' (Bennett, 1993, p.28). In summary, the key features of these nationally-driven change projects were thorough planning which understood that change is multidimensional, and which demonstrated planning across different dimensions such as time for implementation, the need for effective communication, development of the infrastructure and awareness of existing structures and of the culture (Morrison, 1998, p.14). The funding methodology change projects were less complex but were based on knowledge management which relies on a culture of sharing and collaboration.

The inclusive learning initiative, which was identified as a most successful as well as a least successful change, had difficulties with implementation in some areas of the college. Detailed planning should have taken account of barriers to implementation across the college. In the area of working with students with disabilities and/or learning difficulties, a priority should have been a strategy for capacity-building to provide staff with the skills, knowledge and understanding. The College should have expected and planned for some level of resistance and planned the project in stages to allow staff to see positive role models in practice. This initiative was only partly successful, as culture change should be built into each change project (Egan, 1994, p.124). Some aspects of this relate to the project to extend the curriculum (College F) where there was some resistance to widening participation at Entry level. This level includes students with learning difficulties and/or disabilities. However, in this instance, opportunities for collaboration and discussion were built into the project plan which helped to promote capacity-building. In addition, peer pressure was brought to bear on team members who tried to limit the widening of participation.

The other successful change projects highlighted other features of effective change. First, the introduction of Investors in People (IIP) is a highly structured process which is a 'process in development' (Fullan, 2001b, p.109), and incorporates development of an infrastructure of human resource policies and procedures. Its distinct feature is its focus on the strategic development of staff with the integration of teaching and business support staff. It is people-focused which supports effective change, as change concerns people more than content (Morrison, 1998, p.15). A second feature was that several projects gained staff support which enhanced motivation and contributed to successful implementation. Staff motivation increased in the student retention project (College A) when student absence and retention improved. Another example, was when student achievement improved with centralised key skills delivery and staff support for the project increased (Learning Resource Centre, College E).

Finally, some of the successful projects related to restructures within the colleges. One example is the curriculum project (College E) which involved a substantial change for several curriculum areas in the way in which they delivered their courses. Where there was resistance, the area was 'wound down' (Director). In other areas, however, there staff were motivated because it was a high profile change and teams were involved in planning and development. This change related to business process re-engineering which is a good example of how to achieve change and, more specifically, a change in culture (Carnall, 1995, p.170). The case-loading project (College E) is a good example of implementing change in a culture where staff lacked trust in management. It was successful in terms of changes in programme delivery but 'practices often change before beliefs' (Morrison, 1998, p.14). Trust is an intrinsic part of the capacity-building model, as well as distributed leadership and social cohesion (Hopkins and Jackson, 2002, p.95). There were some aspects of distributed leadership built into the project through the heads of division role. Another feature of restructure projects is the use of existing college infrastructures, as for planned change strategies to be effective, their implementation should not 'cut across' existing organisational practices or structures (marketing department, College B).

B) Least Successful Changes

Analysis of the data identifies many reasons for the lack of success of these projects. In many instances, the reason was a lack of coherent planning in relation to the multidimensional nature of the change. A critical factor in effective change is clarity of goals (Fullan, 2001b, p.76). The colleges did not clearly identify what it was that they wanted from the change, or indeed, its purpose within the College. Examples include the communication system (College F) which did not allow for discussion of issues, an issue that was linked to the college culture and values. In addition, the purpose of the business centre (College D) was unclear and staff, therefore, lacked understanding. College B had not clarified their goals in terms of what they wanted from the MIS system for internal purposes. Nor was there clarity of purpose for the staff appraisal scheme (College B). Another aspect of insufficient planning relates to the cross-college manager roles (College D). This links to college culture, micropolitics and the identification of barriers at the planning stage. In this situation, culture change needs to be built into every change project (Egan, 1994, p.124) and the significance of the fact that 'culture is developed and maintained through carefully managed communication' (Bennett, 1993, p.28). Ultimately, challenging internal politics starts with a shared vision and an openness of culture (Senge, 1990, p.274). The management of change project (College C) highlights the importance of identifying barriers to implementation during the planning process. Planning for effective change must consider all dimensions of the change and embrace the different levels and all aspects of an organisation (Morrison, 1989, p.14).

Other projects were poorly monitored or leadership responsibility had not been clearly allocated. An example of allocation of responsibility was at College B for the introduction of new contracts. This project lacked leadership and the responsibility was devolved down the College from the Deans to the middle managers. This is an example of how leadership has a critical role in changing the culture of an organisation and in promoting effective change (Morrison, 1998, p.153). Commitment is a feature of effective change which was lacking in some

projects. Introduction of the appraisal system at College F, demonstrates the importance that commitment does not just relate to words but also to actions.

In some instances, assumptions were made about aspects of the change project. This feature links to ineffective planning. One example of this is the lack of implementation of some of the quality procedures (College A). In this project senior managers considered that the procedures were self-explanatory so staff were provided with copies to read and implement, without discussion or opportunity for collaboration. A second example at College A is where senior managers assumed that staff would give time to the extra-curricula activities framework on top of their current duties.

A final feature of the least successful change projects highlights the importance of clear and accurate communications. This was highlighted in College E's project on caseloading. The planned communication channel was through the middle managers. In some instances, they may not have supported or understood the process which resulted in distortion of the message and objectives of the change to lecturers. Clarity of goals and means is a key characteristic of effective change (Fullan, 2001b, p.108)

The focus of this chapter has been on an examination of the management of change through analysis of specific change projects. The purpose of the analysis has been to identify features of the change process that affect the effectiveness of the change. In conclusion, Fullan (2001b, pp.75-70) identifies four factors relating to effective change. These include identified need, clarity about goals and means, complexity, which involves identifying the difficulty and extent of the change, and the quality and practicality.

The next chapter presents, discusses and analyses the research findings for theme three, 'the management of change'.

CHAPTER SIX

RESEARCH FINDINGS: THEME THREE: THE MANAGEMENT OF CHANGE

Introduction

The purpose of this chapter is to present, discuss and analyse the research findings for theme three, the management of change, and to discuss the findings within the context of the theoretical framework identified in Chapter Two. As stated previously, this research is primarily a 'picture-drawing' case study which draws together the results of the exploration and analysis of the individual case studies.

Theme three relates significantly to this thesis, in that the management of change is central to the research objectives. Data analysis will take account of the theoretical framework for the management of change, discussed in Chapter Two. The key issue which was highlighted by the review of literature which is relevant to this theme, in addition to management of change, is the importance of leadership in the management of change. Without effective leadership, the 'process is doomed from the start' (West-Burnham, 1994, pp.93-96). Fullan (2001a, p.33) argues that much of the advice in change management literature is 'general and unclear about what to do'. This has led him to believe that while 'change cannot be managed', people can understand and perhaps lead it (ibid., 2001a, p.33). This view is supported by Mintzberg et al. (1998) who argue that the 'best way to manage change is to let it happen' (ibid., 1998, p.324) but to identify the factors involved in the change as opposed to using a linear or step process. This approach emphasises the need for careful planning for change.

As discussed previously, there are five desired components of leadership which represent 'independent but mutually reinforcing forces for positive change' (Fullan, 2001a, pp.3-6). The first component involves moral purpose, which is defined as 'acting with the intention of making a positive difference in the lives of those

involved' (ibid., 2001a, p.5). For the second component, it is essential for leaders to understand the change process (ibid., 2001a, p.5). The third component highlights that the single key factor common to every successful change initiative is that relationships improve. So leaders must be 'consummate relationship builders' (ibid., 2001a, p.5). The fourth component is that leaders should constantly generate and increase knowledge inside and outside the organisation (ibid., 2001a, p.6). This involves both knowledge creation and sharing. The final component of leadership is 'coherence making' (ibid., 2001a, p.6). Leaders should have the ability to seek and foster coherence.

Carnall (1995, p.220) identifies a checklist of highly complex leadership skills which are subdivided under four categories, 'preparing for, planning, implementing and monitoring changes'. The checklist is designed to help individuals review their skills in the area of planning and managing change. Checklists have a use in certain circumstances but their major limitation is that individuals may see them as a definitive list and as change is a multidimensional, non-linear, dynamic process then leaders of change should always review and plan within the context and knowledge of the prevailing factors. In addition, Fullan proposes (ibid., 2001a, p.7) a set of personal characteristics which are labelled the 'energy-enthusiasm-hopefulness constellation' and which all effective leaders possess. These types of leaders 'bury themselves in change, naturally build relationships and knowledge and seek coherence to consolidate moral purpose' (ibid., 2001a, p.7).

Throughout the research interviews, many managers talked about commitment. Argyris (2000, p.40) qualifies commitment into external and internal commitment, which differ in how they are 'activated' and in the 'source of energy they utilise'. External commitment is 'triggered by management policies and practices that enable employees to accomplish their tasks'. Whereas, internal commitment derives from 'energies internal to human beings that are activated because getting a job done is intrinsically rewarding'. A key issue in relation to this research is that 'when someone else defines objectives, goals and the steps to be taken to reach them,

whatever commitment exists will be external' (Argyris, 2000, p.41). This issue needs to be considered by leaders of change during the planning phase including the identification of potential barriers to the process. Educational change is often seen as problematic because of the skills, knowledge and attitudes of those involved rather than the nature of the change (West-Burnham, 1994, pp.93-96).

Within this chapter, three areas will be analysed for each of the six colleges. The first involves identification of the key staff in the management of change and analysis of related issues. The second is identification of the barriers to change for each college. The third area involves the identification and examination of each college's strategy for change, with consideration of the coherence of the strategy. An analysis of the issues from each college will be considered with a discussion of the key points from all of the colleges at the end of this chapter.

COLLEGE A: The Management of Change

	KEY STAFF in the process of change	Barriers to Change	Strategies for Change
Assistant Principal	Project Manager, Curriculum Manager,	Trade Unions, Staff, Managers, 'Traditions'	Get the information, cascade it, develop it, review it, monitor it, change it, restructure, put policies and systems in place to support it. Get involved in national pilots, inter-college visits, and time out for course teams to develop (report). Occasionally consultants, projects, Staff development,
Director of Studies	Everybody, Senior managers, Middle Managers, Section Managers, Cross-college managers	Existing students, Long serving Staff Uncertainty	Restructured internally where we needed to clarify responsibilities (senior and middle managers). Back up change with resources. Revise and develop policies. Special projects where we identify a need. Use consultancy as needed. Identified skills needed and put on staff development,
Cross-college project manager	Vice-Principal, Assistant Principals, Middle Managers, Section Managers	Long-time staff, Engineers and people who work on the harder edge of IT, The pace of change itself.	I'm not aware of any coherent strategy to manage change. Development of teams through going out for development days.
Quality Manager	SMT, Middle Managers, Cross-college Managers	People who feel overworked/ undervalued, The new contract	Use of Quality Teams has been helpful. Restructured, Not aware of any overall strategy to manage change. Relates to specific change.
Vice-Principal	Middle Managers	'The Old Guard' Pay	Team meetings probably support change most. Making sure communications are good, giving staff lots of opportunities to discuss issues with senior managers. We have a culture of allowing people to make mistakes. Culture supports change. Trust and respect – the staff respect the Principal. Tend not to use consultants – we prefer to do it. Being flexible enough to respond to change. Use problem-solving groups and then disband them.

Analysis of Data

a) Key Staff in the Management of Change:

All five interviewees identified middle managers as being key staff in the management of change. Only three interviewees identified senior managers as being central to the management of change. However, specific differences were identified for each of their roles in the change process. This reflects Simkins and Lumby's (2002, p.15) research, which identifies that senior managers have changed their profile of activity since incorporation to a greater focus on business and financial aspects. The role of the Principal was perceived, by the Director of Studies and the Quality Manager, to be the 'driving force' in relation to the College, in order to provide vision and project the image of the College. Three managers identified the Vice-Principal as a 'key person' in the strategic management of change. His specific role was perceived to be to clarify vision internally for the managers. The cross-college project manager argued that 'the senior managers help in the day-to-day management and they will have the strategic vision to drive things forward'. However, the Quality Manager suggested that 'in the end, the people actually implementing change are the middle managers and they are the key to it all'.

All interviewees agreed that the middle managers had a central role in the change process. The Vice-Principal emphasised that 'middle managers are the key to everything. If they're ineffective, then the College is ineffective'. In addition, the role of curriculum middle managers had changed since incorporation. The Director of Studies explained that in an earlier structure, job descriptions had been inflexible, the curriculum managers had developed the curriculum, while school managers were told to 'stay out of the curriculum, your job is to supply staff, rooms and equipment'. These two roles were integrated into one management role in the Schools. The main purpose of the change had been to make roles more flexible. Cross-college managers were not perceived, by interviewees, to be any more significant in the change process than curriculum middle managers. The Assistant Principal highlighted that the project manager of any change project was vital. He,

or she, was expected to lead the change as part of their workload and to have the skills to do so. As highlighted, however, in Chapter Four, there has been no significant middle management training within the College although there is an expectation that they have such skills. The Director of Studies explained that 'everybody has a role to play in the implementation of change'. He emphasised that it was the role of managers to ensure that all staff were aware of and understood the implications of the change and how they could best support it.

B) Barriers to Change:

The interviewees highlighted several barriers to change within the College. The main barriers to change were identified as the attitudes of some staff, at all levels, and some existing students, perceived 'traditions', damage to relationships created by pay and conditions. The Assistant Principal indicated that the Trade Unions had, on some occasions, created significant barriers.

Several issues were highlighted in relation to staff and student attitudes in the College. 'There is a need to provide an opportunity for open debate about the issues in relation to the change'. Assistant Principal argued that this would be a 'healthy' approach. The Director of Studies proposed that 'some students already at the College are extremely conservative about change'. He argued that there was a real need to consult with them and consider their opinions. The Vice-Principal indicated specific resistance to change from staff that had been in FE for a long time. He further clarified these as the 'people who have been in FE for 30 plus years and who remember how it was in the good old days'. More generic aspects in relation to change within the FE sector had influenced attitudes. More specifically, it was highlighted by the cross-college project manager that, 'the pace of change has led some people to lack enthusiasm for change in general'. In addition, it was also emphasised that 'uncertainty about what is happening nationally with curriculum which has been a big barrier'. The 'new contract and the increased workload has left people little time and enthusiasm for change' (Quality Manager). He expanded this by saying that 'people will resist change who either feel overworked and at the end

of their tether or if they feel undervalued'. These responses do not indicate that the culture of a learning organisation has been promoted within the College with the associated concepts of distributed leadership and a strategy for building capacity through the development of skills and knowledge across the organisation.

The main approach advocated by interviewees for reducing this resistance was through being honest with staff, creating and maintaining good relationships, explaining the full picture, being careful 'not to get to the point where we abuse the fact we've got a good staff and that goodwill is very high' (Quality Manager). The Vice-Principal emphasised 'if we could have given decent pay rises as a reward for improvements in efficiency I think that would have helped the whole process'.

c) Strategies for Change:

From analysis of the responses the following themes can be identified which the College used as strategies for change:

i) Restructuring: This process has been used by the College to clarify roles and responsibilities and to ensure flexibility and responsiveness to change. This specifically related to the rationalisation of school managers where lines of management were not coherent. One restructure which had implications for cross-college was the integration of marketing and school liaison. The purpose of the restructure was to improve the efficiency of the functions, the clarity of roles and to improve lines of communication with curriculum staff. Linked to this college strategy of restructure for change was the development of the infrastructure to support such changes including job descriptions, policies and procedures. The inherent danger with formal systems is that information no longer flows to people at the chalk-face who can then use it to do their jobs better. There is awareness in the responses of the need for clarity of purpose through better communication.

ii) Use of Existing Structures: This strategy relates to the Schools meeting structure within the College. These meetings also functioned as quality groups.

One of the strategies within this structure was outlined as 'get the information, cascade it, develop it, review it, monitor it and then modify it' (Assistant Principal). This indicates that the School meetings were the primary communication channels for the College. In addition, the Vice-Principal emphasised that 'the thing that supports change most are team meetings, opportunities for teams to discuss things and feed their views back'. Part of this process was that he received copies of quality team minutes, which gave the teams a direct line to senior management. He indicated that they always 'get an answer – they don't always like the answer but there is a route there and opportunities to feedback'. All interviewees were aware of the need for clear communication. In a learning organisation, management structures need to become flatter, more horizontal than vertical, with employees empowered to act independently and creatively rather than performing routine, standardised jobs (Daft, 2002, p.544). The question here is whether this structure relied on routine or promoted creativity and empowerment.

iii) Special Projects and Teams: This strategy was used by the College in response to perceived need. The Vice-Principal explained the strategy that they used in the short-term as 'we get a working group together to just solve a particular problem and then it disbands'. This could be something for a limited time or projects such as the cross-college Retention project, which lasted two years and established an infrastructure before it disbanded. Other examples included participating in national projects or pilots as a way of building capacity within the College.

iv) Staff Development: was highlighted as a key element of the College's internal structures to support the sustainability of change. One specific example highlighted was linked to the retention project. This was explained as the need to provide staff with skills in 'motivational interviewing'. This approach was used with students in order to enhance the retention aims of the project. A second example involved the provision of staff development on approaches to flexible learning to support ongoing curriculum change. Senior managers advocated that

staff development needs should be considered at all stages in the change process. An area where staff development was insufficient was for people in new roles who 'have struggled to find their feet' (Director of Studies). This deficit has implications for the changing role of middle managers. A capacity-building strategy should consider the broader organisation with a focus on preparing staff for context-based solutions (Fullan, 2001b, p.269). In this respect, it includes not just staff development but a range of opportunities for collaboration within a culture of a learning organisation (ibid., 2001b, pp.233-234).

v) Team Development: On an ongoing basis during the year, course teams went to a local Teacher's Centre for a day to review progress and look at developments. Senior managers considered this part of team development although no restrictions were placed on the team in relation to focus or content. At the end of each year teams reported to senior management on progress and developments. The notion of the learning organisation is concerned with opportunities for collaboration across teams as well as within teams.

vi) Consultants: The College only used consultants occasionally and for specific purposes. For example, at the start of the Retention project, an external agency undertook interviews with students, on behalf of the College and tried to identify the key issues relevant to student retention. The Vice-Principal indicated clearly that, 'I don't rate consultancy because in the end you still have to do the work yourself'.

vii) Inter-College Visits: The Assistant Principal emphasised that this strategy was used if the need was clearly identified and justified. If such criteria were met, then staff were able to arrange visits to other colleges. There was a requirement that the information from the visit was disseminated within the College. Within the concept of the learning organisation is the need to establish a network for collaboration, both internal and external to the organisation (Fullan, 2001b, p.269).

The middle managers indicated quite clearly, that they were not aware of any coherent strategy for managing change. The Vice-Principal reinforced this issue by explaining that, 'there is no specific process other than the fact that change is happening all the time and it's something that you do routinely'. It is clear, however, that they were confident in their choice of strategies, a process that they linked to the individual context of the change. However, there is no indication of a system to manage the process coherently or to prioritise all of the changes within the College. This is a significant issue in a context where the 'new contract and the increased workload has left people little time and enthusiasm for change' (Quality Manager).

College B: The Management of Change

	KEY STAFF in process of change	BARRIERS TO CHANGE	STRATEGIES FOR CHANGE
Dean of School	We all have a responsibility and role to play, Principal as a role model, Middle Managers	People who don't understand the full picture, Chinese whispers – getting a clear message through	Clear policies and procedures, Staff development, revision of roles and responsibilities,
Director of Management Systems	No response	People who don't understand	No response
Principal	You identify opinion-formers at various levels, Middle Managers,	NATFHE some die-hards, Too many initiatives coming out from government	No response
Staff Development Officer	Middle Managers	Long-time FE staff Feeling of overload	Through professional development help to change culture. We've run several teambuilding events, led by a consultant, strategic planning, changes in structure,
Vice-Principal	Principal, Vice-Principal, Deans of School, Middle Managers	A caucus of teaching staff, NATFHE Insufficient money,	New systems, policies and procedures, staff training (a major vehicle for change), Some new structures, revision of roles and responsibilities, Projects, a bit wary of consultants, team approach throughout the organisation.

Analysis of Data

A) Key Staff in the Process of Change:

All interviewees highlighted the importance of middle managers in the process of change. The Dean of College emphasised the involvement of all staff in the process of change. More specifically, the Principal was perceived as a role model of good practice in the change process and in giving a lead to others (Dean and Vice-Principal). The Principal argued that a key element in the management of change was to identify 'opinion-formers' at the different levels and try to 'win them over' and use them as agents to support change. This refers partly to the concept of distributed leadership with an awareness of the power-politics of the organisation. However, for this to be effective there would need to be authority and empowerment of these individuals (Harris, 2002, p.22). In addition, challenging internal politics starts with building shared vision, as without a genuine sense of common vision and values, there is nothing to motivate people beyond self-interest (Senge, 1990, p.274). Senior managers acknowledged that the role of middle managers was integral to the effective management of change (Principal), and as 'the implementers' (Vice-Principal). This acknowledges the 'bridging and brokering' and the 'transformational' roles of middle managers, whereby the policies and perspectives of senior managers are translated into practice and their staff are encouraged to cohere and establish a collaborative culture (Briggs, 2002, p.65). Management Forums were held in the College several times a term with all senior and middle managers present and with an open agenda. In addition, an Academic Services group was used to collaborate with middle managers and provide a forum for discussion.

B) Barriers to Change:

The interviewees highlighted that the main barriers to change were the attitudes of some staff. It was perceived that such attitudes arose from a general lack of understanding, messages incorrectly transmitted, long-serving staff, Trades Unions,

and as a result of the change in conditions of service. In addition, the fact that the College had insufficient money was perceived as a barrier.

Managers expanded further on specific issues in relation to attitudes to change. 'Some staff that have been here a long time are wedded to the old FE philosophy. You learn to live with it and work round it' (Principal). This barrier was endorsed by the Vice-Principal. 'A key barrier to change, in a college this size, is getting the message through as accurately as possible, unchanged and undiluted. Chinese whispers don't help' (Dean). This response reflects significantly on the communication channels. Several interviewees identified that a barrier to change was people not having a full understanding of the change. Neglect of the phenomenology of change, or how people actually experience the change, is central to the 'lack of success of most social reforms' (Fullan, 1991, p.4). One of the legacies of incorporation is that brought about by the shift in power away from lecturers and towards students and managers (Lumby, 2001, p.144). This, plus the change in conditions of service, has left some staff in FE colleges suspicious of management objectives and de-motivated. The Principal identified national initiative overload as a barrier. It was felt that this, plus an increased workload, had created some of the staff resistance (Staff Development Officer). Insufficient money to make accommodation changes in order to support some change initiatives was perceived as a barrier by the Principal.

C) Strategies for Change:

From analysis of the responses, the following themes can be identified which the College used as strategies for change:

i) Restructure: The College had used this approach in order to bring about change. More specifically, restructure of aspects of the College linked with revised roles and responsibilities, and updated policies and procedures to support the change. Policies and procedures were college-wide and held in a staff handbook.

'We're moving into phase two of our staff handbook where policies have very clear operational guidelines and an audit process to monitor implementation' (Dean). The College used the staff handbook as a way of ensuring clear communication about the structure of the change.

ii) Staff Development: Two interviewees emphasised staff development was fundamental to any change process. The Staff Development Officer described it as 'a change agent in helping to shape culture'.

iii) Team-building Events: The College had used team-building events as part of their approach to managing change. More specifically, there had been several team-building events for managers, sometimes using a consultant (Staff Development Officer). However, in general, the College was quite 'wary' of consultants (Vice-Principal). The Vice-Principal indicated that the College 'is based on a team approach'. This reflected the notion that staff were organised in operational teams throughout the College although no specific teambuilding activities had been undertaken.

iv) Strategic Planning: The Staff Development Officer emphasised that the human resource development strategy was linked to and supported the strategic plan. However, the Vice-Principal indicated that the strategic plan did not link specifically to any process for the management of change within the College.

Managers were not aware of any coherent strategy or system for the management of change. In addition, there is no indication of a system to prioritise all of the changes within the College. At an operational level, there is the team structure within the organisation and some use of project management principles. The strategies outlined indicate an awareness of the need for staff development, clarity of roles and effective communications. However, responses indicated little awareness of the concept of the learning organisation and its need for opportunities for staff to share information and collaborate across teams. Although staff development is perceived

as 'fundamental to any change process', there is no strategy for capacity-building which incorporates the strategic development of staff skills, knowledge and understanding and which increases the ability of staff, throughout the organisation, to act as leaders of change (Fullan, 2001b, p.196).

COLLEGE C: The Management of Change

	KEY STAFF in process of change	BARRIERS TO CHANGE	STRATEGIES FOR CHANGE
Human Resources Manager	Principal, Curriculum Director, we need 'change champions'	Executive Managers, NATFHE	Staff training – to share good practice - communications. Consultants Development of team leader role.
School Manager A	School Managers	Don't think we have any as such	Curriculum review, consultants and projects, Team development. Revision of roles and responsibilities, new structures, staff training, new policies and systems. The communication of these in meetings.
Principal	Senior Executive team, Middle Managers	Long serving staff, some Senior Managers Internal politics, NATFHE, new contracts, paperwork overload	No response
Quality Manager	Myself, one curriculum manager, Human Resources Manager. Long-term by team leaders	Less and less barriers, some Middle Managers, The culture of the comfort zone, inertia and related structures.	Focus on communication Consultation.
School Manager B	Senior Managers and teaching staff	Sometimes academic staff, sometimes it's the nature of the individual, sometimes the change.	Staff training. We work with staff teams on new policies and procedures. Team meeting discussions – communications.

Analysis of Data

A) Key Staff in the Process of Change

There was inconsistency in response to this question amongst the interviewees. Three interviewees highlighted the importance of executive managers in the change process. School Manager B identified teaching staff but not middle managers. Whereas School Manager A indicated only the importance of curriculum managers. The Quality Manager highlighted all levels of staff with the exception of executive managers. More specifically, the following points were emphasised. The Human Resources Manager advocated the need for 'change champions' among the Executive team. She felt that where there was a significant change it would be beneficial for a 'champion' to be identified to demonstrate commitment and leadership. This perception relates to the concept of distributed leadership but does not specifically acknowledge their need for authority and empowerment. The School Managers emphasised the key role of curriculum managers in the management of change. 'I think you always get the individuals who are interested in the changes and improvements and probably all of the school managers are interested in that (School Manager B). This does not, however, indicate a responsibility for change. School Manager A argued that within their role they would be 'expected to lead in most things'. The Principal highlighted the importance of the senior management role. He explained that 'senior managers set the tone and the standards; their behaviour is absolutely critical. It has to be a corporate approach'. More specifically in relation to change, the Quality Manager identified that the Human Resources Manager, one curriculum manager and herself were the key people in the management of change projects across the College. Although she indicated that, 'hopefully in the long-term it would be implemented by team leaders'. This disparity in perceptions indicates the lack of a capacity-building strategy for the College. In addition, if roles and responsibilities for managing change are not clear across members of the College management team, then it indicates that there is not a shared culture of identifying and empowering leaders of change.

B) Barriers to Change:

A range of barriers to change were identified by the interviewees, including some executive and senior managers, the Trades Union, some long-serving staff, internal politics, some middle managers, the culture of comfort zone and inertia, college structures, and paperwork overload. School Manager A was unable to identify any barriers within the organisation and the Quality Manager indicated that the number of barriers was becoming less. School Manager B argued that resistance varied depending on the nature of the individual and the change. Managers expanded further on specific issues in relation to the management of change. The Human Resources Manager highlighted that in some instances, senior managers' resisted change. The Principal endorsed this perception that at senior level there were people who did not like change. He emphasised, however, that the key issue was supporting a culture of change as a unified senior management team. The Quality Manager identified that barriers were created by some middle managers. She expanded by explaining that there was a gap between strategic and operational levels, as 'some people in Schools genuinely do not know where we are going or their role within it'. More specifically, she emphasised that, 'you can hide behind that confusion, but it creates a barrier in the system because it lacks coherence'. The College was planning staff development at middle manager level to ensure that all middle managers understood where they contributed to strategy and the operational issues. This does not, however, indicate a coherent strategy for building capacity across the College and all of the related culture involved in a learning organisation.

The Principal highlighted that 'anything that has external influences will act as a barrier and you can't remove politics. One of the greatest challenges here is getting people to see us as an independent organisation and not merely trying to satisfy external influences'. Argyris (2000, p.40) acknowledges this when he discusses commitment. External commitment is 'triggered by management policies and practices that enable employees to accomplish their tasks' (ibid., 2000, p.40). External commitment differs internal commitment in how they are activated, as internal commitment derives from the motivation 'internal to human beings' which

is activated because 'getting a job done is intrinsically rewarding' (ibid., 2000, p.40). This relates to the organisation's culture which was further endorsed by the Quality Manager. She emphasised that one of the main barriers had been a 'culture of comfort zone with a certain amount of inertia, because enough is enough, so they've stayed in their boxes and been quite vocal about why they shouldn't get involved'. In addition, she identified that another big barrier linked to the culture was 'the inflexibility of some managers to change'.

C) Strategies for Change:

From analysis of the responses, the following themes can be identified which the College used as strategies for change:

i) Consultants: The College had used this strategy as a key part of their change management process. It had not always worked effectively, as described in the last chapter, but they had revised the change management project with another consultant and were continuing in a low-key way. This included a project on the development of the team leader role, which was identified as central to the change process. The focus of this project was on building staff capacity to manage change. As discussed in the previous chapter, this was introduced within clear analysis of the culture of the organisation and potential barriers.

ii) Restructure: The College had used this approach in order to bring about change. More specifically, the purpose of the most recent restructure of Schools was to improve efficiency and develop a greater coherence for strategy implementation. Linked to this strategy was the development of an infrastructure to support the change including revised role specifications, and where appropriate policies, procedures and related staff training.

iii) Curriculum Review: It was emphasised that this approach had proved to be an effective strategy for change. The review process, as a form of internal inspection, included teaching observation and included, in detail, the work of

curriculum areas. The outcome of review was an action plan for the curriculum team. School Manager A highlighted this process as ensuring significant change in the quality of the way in which Schools and teams operated.

iv) Communication: Four interviewees highlighted the importance of effective communication in the change process. The Cross-college Managers used the existing meeting structure to explain new policies and procedures to small groups or make presentations on aspects of change. The Quality Manager explained that a focus on communication was required to support the change process and ‘to prevent gaps’. She emphasised that, ‘anything new, I communicate on a one-to-one basis or in small groups. I also consult with staff in this way’. In addition, she explained that members of the Quality Unit attended meetings to explain the Unit’s role and responsibilities to staff to prevent misunderstanding. Moreover, she highlighted that this helped to build and maintain relationships. As part of this strategy, the Quality Manager brought individuals together in groups in order to share good practice across a range of topics. The final strand of this strategy was School meetings where proposed changes were discussed at initial stages to allow staff to discuss the implications. This strategy highlights an understanding by the Quality Manager of the importance of direct and clear communication and discussion during change processes. In addition, it emphasises the need for collaboration across formal boundaries which is implicit within the culture of a learning organisation.

The main College strategy for change was the use of consultants and a focus on communication in relation to change at all stages. Planning was very detailed and cross-college managers had developed project management skills through training from consultants. There are indications within this College case study of awareness amongst managers of the need for a capacity-building strategy and for opportunities for collaboration and discussion of practice, within an ‘open’ culture.

COLLEGE D: The Management of Change

	KEY STAFF in process of change	BARRIERS TO CHANGE	STRATEGIES FOR CHANGE
Assistant Principal	Principal, certain Senior Managers, some Middle Managers	People who are resistant to change, teaching staff are resistant to some changes, NATFHE, competition, funding sometimes. People's attitudes and some systems.	Staff training is crucial for middle managers. Changes in structure, new policies and procedures. Consultancy Consult with staff and students (surveys). Communicate with staff Information is important.
GNVQ Co-ordinator	Principal, Cross-College Managers (key), Deans of Faculty, Division Heads	Management – depending on the change, first teaching staff, second, division heads Traditional FE	New policies and procedures. Consulted with staff on those. Undertaken staff training. Set up projects and working parties.
Learning Support Manager	Middle Managers particularly working cross-college.	People who aren't well-informed, internal competition between the faculties, An ostrich attitude.	New systems revised policies and structures. Staff development. Clarify roles and responsibilities. Some projects. Inter-college visits. Team development, Consultants.
Quality Manager	Principal, Deans and Student Services (cross-college managers)	Hard to identify a group – individuals who don't like change, The size of the College, sheer volume of work, people with a natural resistance to change, fear and anxiety	New systems and policies. Improved consultation about change. Staff and manager development. Structural changes and clarification of roles and responsibilities. Set up projects. Emphasis on team development at all levels.
Staff Development Officer	Vice-Principal, Learning Support Manager, Staff Development, Assistant Principal Student Services, and Learning Support	NATFHE, some Middle Managers, Staff attitude, Faculty structures, New contracts.	Whole College Staff days which are useful to disseminate information. Restructured, with revised roles and responsibilities, new job specifications. Staff development.
Vice-Principal	Principal and Senior Management team and Middle Managers	Senior Managers or Middle Managers, General Office staff,	New systems, policies, training, restructured. Additional funding for projects from external bodies. Lots of staff development. Revised roles and responsibilities.

Analysis of Data

A) Key Staff in the Process of Change:

Interviewees emphasised the importance of senior and some key middle managers in the process of change. Senior managers include the Deans whereas middle managers include the heads of division. The following issues were highlighted. The pivotal role of the Principal was identified, by four interviewees, as key to change in the initial stage in order to demonstrate commitment. The Vice-Principal Curriculum was perceived, by two interviewees, to have initiated a substantial amount of change and to have led certain change projects where she had identified a need and the potential for resistance. All six interviewees highlighted the key role in change management of middle managers, specifically the cross-college managers whose responsibility it was to manage change projects across the College. This role involved collaboration with heads of division and deans of faculty to ensure implementation within curriculum areas. 'If it's going to happen then middle managers have to take it on board. I think that's recognised now' (Learning Development Manager). This response reflects an acknowledgement of the range of dimensions of the work of middle managers in the process of change. It does not, however, indicate the range of skills required to undertake these complex aspects of their changed role since incorporation. Nor does it emphasise the need for strategic planning for building capacity.

It was acknowledged that significant change had been introduced through Student Services and this structure included the Assistant Principal (Student Services) and the Learning Support Manager. Interviewees highlighted that managers within this area had been key to the implementation of national initiatives such as widening participation and inclusive learning. The Assistant Principal chaired a group of senior tutors who had been effective agents of change. Learning Support staff 'have worked in faculties with teaching staff and have changed attitudes enormously' (Staff Development Officer).

B) Barriers to Change:

The main barriers to change were highlighted as the attitudes of some staff at all levels, both teaching and non-teaching, due to internal competition, anxiety, lack of understanding, personality traits, changes in conditions of service and volume of work. The Trades Union was specifically highlighted as a barrier on some occasions by two interviewees. In addition, the structure of the College and funding were identified as barriers. More specifically, the Learning Support Manager identified that the faculties were very strong and large structures. She argued that this meant that 'some people within those faculties do not want to collaborate with other faculties even though they are running the same courses'. In addition, she emphasised that 'the power-base is incredible which makes it difficult when you are trying to implement changes across faculties'. Furthermore, she highlighted that messages were interpreted differently. 'Each Dean gets the same information in SMT meetings but then you find that each faculty is doing it differently because they have interpreted it differently'. She argued that this was the major barrier to change within the College. The Staff Development Officer highlighted that 'some middle managers have really stifled staff who wanted to develop things and take things forward'. This, she proposed, was because of 'an inability to be flexible, a fear of change and a fear of getting things wrong themselves if they allow change'. In addition, she linked this to the strong power-bases of the faculties. The Quality Manager highlighted that 'middle managers need far more training in actually listening and talking, and in how to manage people who resist change. In addition, skills in how to make difficult decisions. There has been no training for that'. In contrast, however, the Vice-Principal proposed that general office staff were resisters of change because 'no-one understands the whole picture, change is frightening and they may have worked together for years'. She was referring to a specific change project which was a basis for other changes and during which, there had been significant resistance from this group of staff.

Interviewees emphasised that providing information, talking to people, working round people and reorganising, were ways of dealing with these barriers. There was

no solution offered for the powerful structures within the College other than working round them. From the data, this appears to be a college which has strong power-bases in its structure. Rather than just working round these, in order to develop a non-political culture requires openness in communications (Senge, 1990, p.274). This will be discussed in greater detail in the final section of this chapter.

C) Strategies for Change:

From analysis of the responses, the following themes can be identified which the College used as strategies for change. As some overlap with themes from previous colleges, they will be detailed only where issues are different:

i) Staff Training: All interviewees identified staff training or middle manager development as an important element in middle management meetings specifically updating and review of operational issues. However, as highlighted above, by the Quality Manager, middle managers need training in managing people and specifically, during change.

ii) Restructuring: All interviews highlighted some element of restructuring as a way in which the College managed change. The purpose of this was to allow further clarification of roles and responsibilities, to emphasise a different focus to roles or to promote a change in culture. Changes in structure had taken place at all levels. Interviewees indicated an awareness of the need to rebuild the infrastructure through new systems, and revised policies and procedures.

iii) Information and Communication: The Quality Manager argued that the College had improved its consultation with staff on change projects over the past three years. All interviewees were aware of gaps in communication and a need to ensure that clear accurate messages reached all staff. Their strategies for this included attending faculty meetings, having a number of set staff development days each year for information-giving, discussion about changes and a carousel of workshops for staff to attend. One of the College protocols is that when staff

undertake inter-college visits, they must disseminate this information on one of these College days. The Learning Support Manager, however, highlighted an important issue in that key messages from the senior management team meetings were being interpreted differently by the faculties. She argued that this was a major barrier to implementing change across the College which is linked to the power-bases of the faculties and the organisational culture. This gives rise to two issues. The first links to the planning of change and the need for individual faculties to plan how they will implement the proposed change as a strategic change. The second issue involves the monitoring of change and the allocation of responsibility for this process.

iv) Team Development: This strategy for managing change was identified by four interviewees. All teams took part in a series of team development 'away-days' or in residential settings. This included faculties, divisions, and senior managers. The focus of these events, however, was on review of the quality of their provision and planning for improvement, rather than on the management of change across the College. In most instances, teams set their own agenda for these events.

v) Projects: Some projects had been undertaken internally and the College had successfully bid for widening participation and inclusive learning project funds. The College strategy was to bid for national projects, as appropriate, to develop the level of skills. In this instance, consultants were used.

The College's overall strategy for the management of change was not clear and may have been attributable to the fact that they were in a transition stage between one principal leaving and the other taking up the post. As highlighted earlier, the College had significant power-bases within their faculty structure which some respondents indicated hindered communications and made change difficult. Cross-college managers were experienced in project management and the College was involved in several national initiatives. There was little evidence, however, of the

need for a strategic approach to capacity-building and the power-bases within the structure would hinder the development of a culture of a learning organisation.

COLLEGE E: The Management of Change

	KEY STAFF in process of change	BARRIERS TO CHANGE	STRATEGIES FOR CHANGE
Director (business development)	Senior Managers, Middle Managers, Team Leaders, All staff	People who fear change, Insecurity.	Developed a learning policy file – framework for guidance. Staff handbook explains policies, systems and procedures. Restructured Staff training. Projects with external funding. Consultancies and team development.
Finance Director	Cross-College Managers	Groups of staff who see their future threatened likely to be teaching staff	Staff training. Used Bulletins to inform. Group sessions for budgets – also consultation.
Head of Division	Team Leaders and Heads of Division; Directors and Managers	People who are frightened, not secure, mainly long service teaching staff, Lack of communication, mixed messages from Government, the speed of change.	Working groups with practitioners and team leaders. Team action plans are based upon a curriculum review are taken through 'quality student group' (senior managers). Meeting and it allows them to voice concerns.
Learning Development Manager	Director (business development) Cross-College Managers, Vice-Principal	Divisional Heads, the divisions because of the structure, Staff attitudes.	Structures need to be reviewed to ensure that systems, policies and procedures are working. It is important to understand your roles and responsibilities. Quality systems and quality standards are attached to everybody's function. Staff training. Projects.

Analysis of Data

A) Key Staff in the Process of Change:

A range of managers were identified as key to the process of change including senior and middle managers, team leaders, cross-college managers, heads of division, directors, and the Vice-Principal. However, the Director emphasised that all staff had a role to play. More specifically, team leaders in the College were identified clearly as the facilitators of change by two interviewees. Middle and cross-college managers were identified as key to change management by three interviewees. The Learning Development Manager emphasised the key role in change was that of the cross-college managers, as they had a broader view and 'a vested interest in everybody'. In contrast, the Head of Division argued that the key was the 'relationship between the team leaders and the Heads of Division'. These latter interviewees were perceiving change from their own perspective of operation rather than from a whole college perspective.

B) Main Barriers to Change:

The responses from interviewees were very similar to those in the previous colleges. The perceived barriers included staff that fear change, possibly through a sense of insecurity and were identified as mainly teaching staff. This category included those staff who had been in further education for many years, and who had seen an erosion of their conditions of service and their power-base within the College. It was emphasised that some managers could resist change for the same reasons, particularly if change meant that they had to work harder (Head of Division). More specifically, the Learning Development Manager highlighted that because of the structure, power-bases and history of the College, heads of division sometimes acted as powerful barriers to change. The nature of the cross-college role will identify barriers to implementing change. In their planning for change, colleges need to investigate the middle manager role in order to identify features of the 'environment for management' which facilitate and impede the middle managers' role (Briggs, 2002, p.63). Interviewees emphasised that their approach to resistance from staff would be through working with the staff. However, this was a generic response and

no specific details were provided as to what format this would take. The responses did not indicate a planned strategic approach for overcoming resistance such as the development of openness in communication or establishing the elements of a learning culture.

C) Strategies for Change:

From analysis of the responses, the following themes can be identified which the College used as strategies for change:

i) Information: Providing or clarifying information was highlighted as a change strategy by all interviewees. One example identified that the College has devised a learning policy file including frameworks of good practice, which related to all stages of the learning process. In addition, the staff handbook signposted where staff could get information and support. The Director indicated that this was a strategy to support change because 'it explains policies, systems and procedures'. Briefings were identified as another way of communicating information. The Finance Director had briefed groups of staff on funding to ensure that everyone was working to the same information. These are very structured approaches to communication and do not relate to an 'adaptive learning' culture which promotes the development of strategy through collaborative links both within and among similar organisations (Senge, 1990, p.550).

ii) Team structure and Development: The Director indicated that work had been undertaken on team development but that this process was ongoing as 'it was a complex process getting teams to operate'. The Head of Division highlighted another strategy, in that many changes were planned and implemented through working groups or teams with their manager. In the post-modernist paradigm, with a 'fast-shifting environment' the more formal structures are disbanded in favour of a horizontal structure based on self-directed teams (Daft, 2002, p.544). There are two implications for the College. The first involves the empowerment of teams in relation to the degree of self-direction. The second relates to the culture of the

organisation and whether it promotes the 'adaptive learning' involved in a learning organisation, including the effective training of teams to provide them with the skills, tools and authority to make decisions.

iii) Curriculum Review: had been instrumental in effecting change because the review, or mini-inspection, was undertaken with a senior management group to look at the work of the team and negotiate an action plan for change. This is very focused on curriculum delivery and preparation for inspection.

iv) Restructuring: The Learning Development Manager highlighted that restructuring was used to clarify and refocus roles and responsibilities. This also related to new roles which had been identified within existing structures, in some instances using external funding. For example, two business development posts were financed through a charity and a petrochemical firm was funding two marketing posts. These initiatives were both through sponsorship and were being used to effect change. However, not all projects were formalised or planned in detail, such as the business development roles. More specifically, a head of division had been identified to work with the two Business Development Officers as a link to enable teams to be more responsive to the work of these two new staff. This did not appear to be a formal project.

v) Consultancies: The Director emphasised that consultants were used selectively when it was considered to be of benefit to the College, but not as a consistent strategy for the management of change.

vi) Projects: Three interviewees highlighted that projects were undertaken when required. One example of this strategy is that inspection was treated as a project with a project team and a plan. In this instance, a consultant assisted with self-assessment reports. This approach had been used consistently on several major projects where the outcome was important to the College.

The College had a strategy for change through project management but no formalised coherent strategy for the management of change. One strategy was highlighted as the development of teams which was perceived by the Director as 'a complex process getting teams to operate'. From analysis of the data, there was no indication that the College had a coherent strategy to empower these teams or to promote the development of strategy through collaboration. The focus of the teams was on case loading of their workload which, as highlighted previously, was perceived by some staff as being an efficiency-saving approach. This College had had industrial relations problems because of redundancies and there was a lack of trust by some teaching staff. The cultural issues had not been addressed as part of the strategy for the management of change.

COLLEGE F: The Management of Change

	KEY STAFF in management of change	RESISTORS OF/ BARRIERS TO CHANGE	STRATEGY FOR CHANGE
Cross-college Dean	Principal, Middle Managers.	Those with power and influence. Power-bases. Change in status of FE teachers,	Inform about change but can't force. Planning sessions - problem-solving approach. Encourage ideas and debate. Restructures, as needed, a change in roles and responsibilities. Involve staff. Trust in management is important. Staff training. Consultants as appropriate and projects for change.
Head of Department	People within the Schools, Principal, Quality Manager, Finance Director, Vice-Principal.	People who came into FE to be educationalists. Lack of time, financial constraints	Internal staff development long-term training. New structures, clarified roles, responsibilities. Mini-inspections have helped. Projects. Consultants to develop team building and curriculum days as teams.
Quality Manager	Principal, Quality Manager, Human Resources Manager	Some established teaching staff, Some Managers, some cultural issues with Business Support Managers. College culture, sometimes budget cuts, absence of cross-college forums,	We inform through a communication brief - staff don't like it. Also a staff meeting. Staff training - helped in the introduction of new systems. Working groups for specific projects. New policies and procedures and briefing for staff.
Vice-Principal	Middle managers and Heads of Department, Deans, and Vice-Principal.	Poor communication. Lack of understanding, the size and complexity of the College,	New policies as a result of the strategic plan. Staff training. New structures. Revision of roles and responsibilities. Project Management

Analysis of Data

a) Key Staff in the Process of Change:

All interviewees identified senior managers as well as middle managers as being central to the management of change. More specifically it was emphasised that the Principal should be a figurehead who demonstrated commitment to each significant change within the College (Dean). Whilst the Head of Department identified that all staff within the Schools should be responsible for implementation, the change should be 'driven' by someone with authority, such as the Principal or the Quality Manager.

The Quality Manager argued that the middle managers needed to be supported to introduce change as 'in this college they're not in the position to initiate change and they should be'. As a response to identified weaknesses within the College relating to management of change, the Principal had taken over line-management of the Heads of Departments to support their development as managers. The Vice-Principal advocated that it was this 'third tier of middle management who should be driving' change. The College, in this instance, had monitored the process of change and identified weaknesses in management. There was no indication of a strategy for building capacity throughout the College. Neither was there a strategy which included the development of an approach to distributed leadership and empowerment of staff. Awareness, within the College, that Heads of Department were being line-managed by the Principal in response to a perceived weakness in their ability could have the potential to hinder their authority. The managerial critique in further education, argues that lecturers have been co-opted into management roles (Simkins and Lumby, 2002, p.13) and many have not received training for their management roles.

B) Barriers to Change:

The interviewees whilst highlighting some staff attitudes to change as a barrier also identified other key issues. Three respondents identified barriers relating to power cultures within the College. More specifically, the size and complexity of the

College has created barriers to implementing change. The College is located on five sites in the town, more than 30 sites across the Borough, and more than twenty franchise operations. In addition, the Dean highlighted some of the micropolitics of the College by indicating that 'those people who resist change more are those who have a vested interest in things not changing and this tends to be those with positions of power and influence'. He indicated that this type of barrier was the most difficult to change and it was generally acknowledged within the College who those resisters were. Interviewees were aware of the paradigm shift in FE since incorporation and suggested that the change in the status of teaching staff was a real barrier to change. Two interviewees emphasised that some teaching staff resisted because the role of the lecturer and the culture of FE had changed significantly and 'it's not what they came into the job for'. More specifically, the Dean argued that 'they were the highest status' at one time but 'now there's been a change in balance because the colleges rely as much on business support staff for financial reasons'. The absence of specific forums for cross-college managers was considered to hinder the process of sharing of practice and the collaboration on change projects, as well as creating barriers to the development of working relationships (Quality Manager). In addition, the Quality Manager emphasised that managers, she included, should 'do a bit more listening'. This relates to management style and the culture within the College. A cultural difference between curriculum managers and managers of non-teaching areas was highlighted by the Quality Manager. Heads of non-teaching functions had found two areas of cultural change difficult, the notion of internal customer and the process of self-assessment. She argued that they found the concept of self-assessment alien in that 'the identification of weaknesses is perceived as undermining their position'.

C) Strategies for Change:

From analysis of the responses, the following themes can be identified which the College used as strategies for change:

i) Information Management: All interviewees emphasised that information management is a key issue in the College due to the nature of its size and complexity. Formal structures are used for this process although both the Vice-Principal and the Quality Manager identified that the strategy of 'Communication College Brief' had not been well received by staff because 'they feel that they are being talked at and they want to discuss (Vice-Principal). The Quality Manager expanded on this theme by stating that 'the directive that we've given is that managers give out the information and collect the questions but don't answer them'. This briefing was followed by an open forum where the Principal answered the questions and discussion was promoted. Both of these interviewees were aware of the limitations of this approach and the staff dislike of the process. This was a highly structured process which contrasts with the adaptive approach within learning organisations, where collaboration and discussion are promoted.

ii) Project Management: Elements of this strategy was identified by all interviewees. The Vice-Principal emphasised that it was a specific strategy that the College used regularly and he argued that 'we try to pick people best qualified for the role'. However, it must be emphasised that middle management training had not been provided. The Dean highlighted that within this model, a problem-solving approach was taken during the planning stages. Both the Dean and the Head of Department explained that the College did not use extensive consultancy because they had in-house skills that they preferred to use.

iii) Team Building: The College strategy for this process was that teams had 'away days' for review and planning purposes. The Dean indicated that 'it also encourages ideas and debate and a problem-solving approach'. In addition, two years prior, the College had brought in consultants to work with groups of staff on team building including developing relationships. The Head of Department stated that 'it was very, very productive but it hasn't been repeated since'. The focus, for this strategy, was on the curriculum or operational area and did not relate to cross-college change.

iv) Restructuring: In line with the other colleges, restructuring had been used as a strategy for change, supported by new systems and procedures. One major new structure had been the establishment of a Quality Unit to co-ordinate the monitoring of quality across the College. This had been supported by an infrastructure of policies, procedures, with clarification of roles and responsibilities at all levels and across all departments. Concurrently, extensive staff development had been undertaken to support the implementation of the change.

As outlined above, the key College strategy for change was project management as well as the use of information management strategies. Some interviewees highlighted the weaknesses in this latter system but accepted it because of the size and complexity of the College. There was no cohesive strategy for the management of change and the 'cascade brief' which was the main communication strategy, was disliked by staff as it did not allow for formal discussion within the team. It is controlled communication in contrast to the preferred open communication within the learning culture, where knowledge is shared and ideas generated to bring about improvement (Daft, 2002, pp.556-557).

Summary of Key Issues Arising from the Analysis of Data for Theme Three

A) Key Staff in the Change Process

From analysis of the data, several issues may be identified. While all of the colleges acknowledged the key roles of senior and middle managers in the change process, the different levels of managers were perceived as have a differing focus to their role. This reflects a fundamental change within the FE sector since incorporation which relates to the change in focus of senior managers. Senior managers in FE have changed their profile of activity including increased time spent on business and financial aspects, and links with external agencies (Simkins and Lumby, 2002, p.15). This has drawn their focus away from pedagogical issues. Case study responses indicate that the focus of the senior managers' role was to provide direction and demonstrate commitment. College F provided feedback on how a perceived lack of commitment on the part of the Principal had negatively affected implementation of a change. In other instances, senior managers led change where resistance was significant, for example, the introduction of new contracts and conditions of service. None of the responses include the argument that managing the culture of the organisation is one of the most important tasks of leadership (Schein, 1997, p.5). In contrast in College E, where the focus was on teams, team leaders were identified as being key staff in the process of change and as discussed earlier in the thesis, College E has devolved responsibilities to curriculum teams through the process of case-loading. However, there was little indication of an approach of distributed leadership and empowerment within this strategy. The focus of this approach was on case loading for workload and the approach had the advantage of allowing them some flexibility within allocated resources. However, there are implications for training to provide them with the skills, tools and authority to make decisions.

Analysis of data clearly highlighted the increased importance of middle managers in the management of change. In some instances, cross-college middle managers were

perceived to have a more significant role in the change process as was identified in College C. Briggs (2002, p.65) emphasises the 'bridging and brokering' role of middle managers where the policies and perspectives of senior managers are translated into practice. This view was reinforced by the Vice-Principal at College A, who stated that 'if the middle managers are ineffective then the College is ineffective'. Two colleges had issues relating to the level of skills of some middle managers. In College F, the Principal had taken over line-management of the Heads of Departments to support their development as managers. As colleges have highlighted the key role of middle managers in the process of change, a related weakness is the lack of management development for middle managers, or indeed of any capacity-building strategy. Research by Simkins and Lumby (2002, p.18) supports the key role of the middle manager and states that 'middle managers and others are key players in determining the ways in which the process of cultural change unfolds'. However, managers at all levels play key roles in mediating the impact of the government's agenda for change within colleges (ibid., 2002, p.18). Gleeson and Shain (1999, p.487) argue that in doing so these managers are 'actively involved in the reconstruction of professional and managerial cultures in this volatile sector'. However, Simkins and Lumby (2002, p.17) argue that for those in 'middle management' roles, who mediate communication between senior management and lecturers, cultural change seems to be even more complex than for senior managers. Simkins and Lumby's research confirms feelings of ambivalence and ambiguity, with middle managers' loyalties divided between managing and teaching, concerns about increasing role size and complexity, and a sense of their autonomy and authority being undermined. Part of the reasons why the Principal in College F took over the line-management of the Heads of Departments in order to support their development as managers related to this sense of divided loyalties (Vice-Principal).

B) Barriers to Change:

Analysis of the data identified several issues. The first highlighted that all of the colleges perceived a range of staff attitudes to be barriers to the process of change.

Interviewees had a high level of awareness of the underlying reasons for these attitudes and tended to work round them. Effective communication was perceived as a good strategy for overcoming these barriers. However, there was no coherent strategy for communication within any of the colleges. A related issue to attitudinal barriers involved the changing status of teaching staff in the FE sector, as well as the changing conditions of service. Interviewees acknowledged the resulting staff demotivation and its effect on staff willingness to change.

The second issue which was highlighted through analysis of the data related to micro-politics and power as barriers to change within some colleges. In College D, large faculties were highlighted as power-bases that created major barriers to change. Cross-college managers particularly found these barriers difficult. The responses did not highlight any specific strategies to these types of barriers other than to 'work round them' (Learning Support Manager, College D). Although this college was in the transition period for a new principal, there was no indication of a strategy to develop a preferred culture. An additional barrier, linked to micro-politics and the College culture was concerned with the accuracy of messages and their translation by middle, or even senior managers, within the colleges. As stated earlier, the development of a non-political culture requires openness in two ways of communication (Senge, 1990, p.274). The first involves 'participative openness', where there is a norm of speaking openly and honestly about important decisions (ibid., 1990, p.274). The second is 'reflective openness' which involves the capacity to continually challenge one's own thinking (ibid., 1990, p.274). The change to a preferred culture will be discussed further in the next section.

C) Strategies for Change:

Analysis of data highlighted a range of strategies for change management. All colleges used restructuring as a strategy to bring about change. In one instance, in College D, where a specific group of staff were barriers to change. This process included the related infrastructures such as revised role and responsibilities, policies

and procedures. All colleges highlighted restructuring as a strategy although these related to specific areas of each college, rather than a whole college restructure. In most instances the purpose was to clarify or refocus roles and responsibilities, or to improve efficiency. Only one college (College D) referred to a need to change culture through restructure. Each had an awareness of the need to support the change by revised roles, responsibilities and updated policies and procedures. In some instances, colleges used staff development to support the implementation of the change. However, analysis of the data indicates that none of the colleges had a strategy for capacity-building within their organisation. This had been attempted within College C but had not been successful because of lack of planning and identification of barriers within the organisation. This will be discussed further at the end of this chapter.

Five colleges identified the use of team development or team structure as a strategy for change. This included the use of consultants to develop team building at all levels, team 'away-days' and the use of teams within the structure for communications about change processes. In some instances, the focus of these team days were on a review of their operations with identification of improvements, as opposed to using these days for the implementation of a college-wide change. This refers to change at operational level rather than a strategic approach to college-wide change and the main focus was on the quality of their operations as part of their quality assurance and improvement process. There was no reference to clear empowerment of these teams as part of a strategic approach. College E was developing a team approach to curriculum delivery based on case-loading which devolved responsibility to the teams to allow flexibility in the use of allocated curriculum delivery hours. The Director indicated that this process of development was ongoing as 'it was a complex process getting teams to operate'. This does not reflect a strategy for capacity-building.

Four colleges used special projects for change management and there were several staff with experience in this area. In addition, this includes the use of short-term

problem-solving teams and project teams. Four colleges identified strategies focused on communication to promote change or to disseminate information. One college, because of its size, was trying to develop an information strategy but had acknowledged the inherent problems in their approach. Staff development was highlighted, by three colleges, as an important component of an effective change process. All colleges acknowledged that they did not have a middle management programme to support and develop managers. All colleges incorporated staff development in change projects particularly where staff needed to implement new policies and procedures. Three colleges used consultants but only College C used consultants as a key strategy for change. As discussed earlier, this approach was not successful because the planning did not take account of the barriers within the college. Two colleges were using curriculum review or internal inspection to effect change in curriculum areas. Curriculum review, however, was very course-focused rather than promoting cross-college change. Only one college indicated the use of strategic planning for change management. The Vice-Principal at College A indicated that they did not use strategic planning for change management because strategic objectives were used as signposts for the College's development and they needed to be able to respond flexibly if required.

Colleges were unable to provide details of a coherent approach to change management or leadership, and more specifically details of how they prioritised change projects to prevent initiative overload. Analysis of the data with identification of the range of individual strategies for change, discussed earlier indicates a lack of a coherent college strategy and insufficient knowledge of the elements involved in effective change management. There are many implications for the colleges. The first, which relates to all of the colleges, involves the development of the preferred culture of a learning organisation. In order to promote such a culture change, management structures need to become flatter and more horizontal than hierarchical, with employees empowered to act independently and creatively (Daft, 2002, p.544). The second implication relates to adaptive learning which involves effective and ongoing training to provide individuals and teams with the

skills, tools and authority to make decisions central to team performance (Senge, 1990, p14). A third implication is that of effective communication, which is central to this model and is based flatter structures with networks of shared information through collaboration (ibid., 2002, pp.556-557). The fourth implication for the colleges, which is implicit within this argument, is a strategy for capacity-building in order for staff to deal with change in context. Capacity-building involves helping staff and the college to be able to respond effectively to changes that they encounter by ensuring that they have the skills and knowledge required (Fullan, 2001b, p.269). The fifth implication which is intrinsic to the capacity-building model, it has been argued, is 'distributed leadership along with social cohesion and trust' (Hopkins and Jackson, 2002, p.95). Distributed, or dispersed leadership focuses on 'engaging expertise wherever this exists within the organization' rather than just through formal position (Harris, 2004, p.13). In practice, it means giving authority to others throughout the organisation and empowering them to lead (Harris, 2002, p.22). Analysis of the data from each of the colleges highlighted a lack of awareness of the range of implications for changing to the preferred culture of the learning organisation which would provide the framework for managing change for improvement and would reduce barriers to change such as strong power-bases.

In the introduction to this chapter, the five components of effective leadership (Fullan, 2001a, pp. 3-6) indicated the complexity of skills required. Analysis of the data indicates several gaps in these skills across the colleges. The data did not allow measurement of the 'moral purpose' of the leaders involved. This is defined as 'acting with intention of making a positive difference in the lives of those involved' (ibid., 2001a, p.5). However, few of the managers understood all of the elements involved in the process of change. More specifically, there was no indication that the interviewees understood that the key factor common to every successful change initiative is that relationships improve (Fullan, 2001a, p.5). Few interviewees demonstrated awareness that leaders of change should constantly generate and increase knowledge inside and outside the organisation (ibid., 2001a, p.6). The final component of leadership is 'coherence making' (ibid., 2001a, p.6) and as stated

above, the data did not demonstrate a coherent approach to the management of change within any of the colleges. These are significant issues in relation to the effective management of change, because as stated in the introduction to this chapter, without effective leadership, the 'process is doomed from the start' (West-Burnham, 1994, pp.93-96).

The next chapter presents, discusses and analyses the research findings for themes four and five, 'effective change'.

CHAPTER SEVEN

RESEARCH FINDINGS: EFFECTIVE CHANGE

Introduction

The purpose of this chapter is to present, discuss and analyse the research findings for themes four and five. Theme four focuses on effective change. Each interviewee was asked to define 'effective change' within the context of further education. As stated previously, the inclusion of this question relates back to research which highlights that identifying a common definition of effectiveness for further education is difficult because of the diversity of the sector (FEDA, 1998, p.6). Theme five focuses on the identification of some of the critical success factors, as perceived by the interviewees, which determine that one college can manage change more effectively than another.

These two themes relate significantly to this thesis which examines the effective management of change in six FE colleges. Within this context, it is important to clarify what is meant by 'effective change' for managers working within the sector. Data analysis will take account of the theoretical framework for the management of change, discussed in Chapter Two, and specifically a consideration of 'effectiveness'.

It is relevant, here, to establish the context by defining 'change'. Change may be regarded as a continuous and dynamic process of development that involves a 'reorganisation in response to felt needs' (Morrison, 1998, p.13). It is a process of transformation either initiated by internal factors or external forces, which involves individuals, groups or institutions, and leads to a 'realignment of existing values, practices and outcomes' (ibid., 1998, p.13). Implicit within this definition is the importance of a clear assessment of need within context, the planning, the priorities,

and the consideration of all implications including those for staff. In addition, it includes consideration of the consequences if the need is not met, how it can and should be met, the resource implications and the actual operations. In relation to its effectiveness it is based on a 'need' established within an individual context, leading to a realignment of the existing values, practice and outcomes in practice. This relates to a change in culture and the importance of relationships. Fullan emphasises (2001b, p.110) that there is no complete answer to effective change as it is very much a process of clarification. This approach, however, has implications for the skills, knowledge and understanding of the leaders of change, which links to a strategy for capacity-building. Inherent within this is that leaders must be 'consummate relationship builders' (ibid., 2001a, p.5).

This chapter is organised into two sections. Section 1 considers theme four and focuses on the definition of 'effective change' within the further education context, as defined by the interviewees. It also examines their perceptions of the nationally mandated changes with the identification of the most and least meaningful of the changes and their underlying reasons. These data relate directly to the research questions. The key issues arising from the analysis of data for each college will be considered in more detail at the end of this section. Section 2 examines theme five, which focuses on interviewees' perception of the critical factors that determine that an individual college can manage change more effectively than another.

SECTION 1: Theme Four: Effective Change

COLLEGE A: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Assistant Principal	Has it worked? Is it better at the end of the process than it was at the beginning. Has the change been effective and worth doing?	1. Having to document and prove everything.(drowning in paperwork) 2.TDLB qualifications for teaching staff (nobody can convince me that teachers improve because of having it)	Incorporation (this business is about students and since incorporation we've had more of them.)
Director of Studies	Ensuring that whatever changes implemented aren't simply a knee-jerk reaction. Is it of benefit to the students and college? To what extent quality is maintained.	New inspection regime (we are inspection driven to a large extent)	The funding mechanism (unit funding has supported developments in curriculum)
Cross-college project Manager	Changes that result in more students reaching their potential or their primary learning outcomes.	The inspection process (lots of paperwork, too brief and superficial to be able to measure properly what goes on in colleges)	The funding mechanism (the linking of funding to student numbers has made us more efficient as to how the money is spent)
Quality Manager	Effective change helps to drive the college forward, For the students to make the best of their time in college.	New contracts (it's placed an awful unnecessary burden on a lot of staff) (De-professionalised the profession)	Incorporation (created a much more pleasant environment)
Vice-Principal	Something that gets more students into the college and produces more success for students.	MIS (takes up too much time and resources)	The inspection process (it's forced colleges to develop, the bad side is the excessive paperwork)

Analysis of Data

a) Definition of Effective Change

Analysis of the data highlights the following key points. All of the respondents have identified dimensions of effective change and its outcomes. The Director of Studies acknowledged the need for planning for change, that there must be added-value or benefit from the change, and that quality is an issue during the change process. Four out of the five interviewees have identified that change must be of benefit to the students as well as to the College. Fullan (2001a, p.10), in relation to effective outcomes in the schools sector, suggests that 'good things for schools are enhanced student performance'. Other dimensions he cites are the 'increased capacity of teachers, greater involvement of stakeholders, engagement of students, all-round satisfaction about going further, and greater pride for all in the system' (ibid., 2001a, p.10). These dimensions relate to capacity-building, collaboration, customer satisfaction, perceived benefits from the change and enhanced college culture. The key issue emphasised is that change is about people and relationships more than content. However, interviewees did not highlight the impact of change on the staff or their capacity to implement change more effectively.

b) The Least Meaningful Change

Analysis of the data highlights that the five interviewees identified three least meaningful changes since incorporation. The first of these relates to an increase in bureaucracy. All interviewees, except the Quality Manager, identified issues in relation to increased bureaucracy and paperwork. The Assistant Principal argued that gaining the TDLB qualifications was a paper-based exercise that 'does not bring about improvement'. Training and Development Lead Body, (TDLB) qualifications were introduced as a process to improve assessment and verification, primarily because of a large number of unqualified staff delivering National Vocational Qualifications (NVQ) in the private sector. As discussed in Chapter One this is part of the tension between having staff with relevant vocational qualifications and those with teaching qualifications. The other three interviewees referred to increases in

documentation primarily through inspection. The Vice-Principal highlighted the constraints of statistical returns to the FEFC which had required an increase in staff and other resources for the College's management information system (MIS). The Quality Manager focused on people rather than systems when he identified the new contract and its impact on staff workload. The issue about the increased bureaucracy relates to a 'modernist' perspective on organisations which is perceived as bureaucratic, hierarchical and inflexible (Morrison, 1998, p.2). Morrison (ibid., 1998, p.2) cites Hargreaves (1994) who perceives most large educational institutions as typifying modernistic conceptions of education. It may also reflect a position of FE colleges in transition after incorporation with the shift towards post-modernism with its 'focus on flexibility, responsiveness, consumerism and client satisfaction' (ibid., 1998, p.2). Moreover, it may be an internal response to the external requirement for inspection. In this respect, it may reflect on insufficient planning for this process.

c) The Most Meaningful Change

Analysis of data highlights an increased consensus on this issue. Incorporation was identified by two of the interviewees as the most meaningful change. It was emphasised that this was because it had led to growth in the number of students which 'is the College's business' (Assistant Principal). In addition, it had brought the freedom to improve the College's accommodation (Quality Manager). This reflects the potential for increased budget, based on the revised funding methodology with a greater flexibility to manage budgets after incorporation. Two interviewees supported this area of change by identifying the funding mechanism, which was introduced after incorporation, because in their perception it had increased efficiency and effectiveness, as well as supporting curriculum developments. The Vice-Principal highlighted the positive aspects of the revised inspection process because it had enhanced the culture change in colleges, although he acknowledged the negativity of increased paperwork.

COLLEGE B: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Dean of College	One that you can justify to staff	New contracts (hard to justify to staff)	Incorporation (allowed the College to develop)
Director of Management Systems	No response given	MIS returns (takes excessive staff time)	Funding formula (linking of funding to students has increased opportunities for efficiency)
Principal	Improves relationships with staff and students.	ISR (the cost, it has not improved anything)	Autonomy (incorporation has allowed us to set some of the agenda and make improvements)
Deputy Principal	People feel able to and have had an opportunity to criticise it	MIS (takes an incredible amount of resources)	Funding formula (generated a business atmosphere)
Staff Development Officer	Generating and keeping a corporate health and pride	New contracts (staff overload)	Funding (funding units have allowed a focus on the learning process)
Vice-Principal	Providing a quality product, carrying your staff along, should have a spin-off in the community.	Incessant demand for statistics (it has reached absurd proportions)	Drive for quality and inspection (has led to a change in culture)

Analysis of Data

a) Definition of Effective Change

Several key points were highlighted by the analysis of data in relation to defining 'effective change'. 'Effective change' is one that can be justified to staff (Dean of College). Part of this definition included staff involvement in the change, although, staff collaboration would prove more effective than 'justification'. Fullan (2001a, p.5) identifies that one of the keys to successful change is the improvement in relationships, as the Principal identified. An 'opportunity to criticise' (Deputy Principal) relates to collaboration as does 'carrying your staff along' (Vice-Principal). The Staff Development Officer emphasised 'generating and keeping a corporate health and pride' which relates to the College culture. The Vice-Principal argued that 'effective change' should 'have a spin-off in the community'. Both of these elements link to Fullan's (2001a, p. 10) dimensions of effective change which include a 'sense of pride' and a 'sense of being valuable to the community'.

b) The Least Meaningful Change

The five interviewees highlighted two changes, since incorporation, that were not meaningful to them. The first related to the statistical returns (MIS) to the Funding Council (Director and Deputy Principal). This change included the Individualised Student Record (ISR) because that is the data upon which funding claims are based. Their reasons for emphasising this as the least meaningful of the changes related to the substantial increase in staff resources required to manage the process. The Dean and Staff Development Officer cited the new staff contracts as the second least meaningful of the changes, as they perceived that these were difficult to justify to staff and their introduction had resulted in increased staff workload. The introduction of new contracts was difficult for the sector. However, how these were introduced depended upon how each college responded to the situation, including the nature of the contract, and in many instances, reflected the style of management, the culture and the staff-management relationship. Within this sample of six colleges, some introduced new contracts with relatively few problems.

c) The Most Meaningful Change

Analysis of data highlights three areas of meaningful change. The first is incorporation itself, as well as the autonomy for colleges which had resulted from it. The reasons for this choice were that it had allowed the College to develop, set some of its own agenda, and make improvements (Dean and Principal). The second area identified was the funding mechanism. Three interviewees identified this was because of reasons of increased opportunities for efficiency, its focus on the process of learning allowing appropriate support to be funded and its promotion of a business 'atmosphere' (Director, Deputy Principal, and Staff Development Officer). The third area of change was identified, by the Vice-Principal, as the drive for quality and inspection. He emphasised that this process had allowed the College to bring about a culture change. These three areas of change are very similar to those chosen by College A and for similar reasons.

COLLEGE C: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Human Resources Manager	A clear articulated vision, so people are convinced of benefits, a clear strategy for the process, then at the end you can say that's what we set out to do. Honesty with people about resistance. If people don't see the benefits then forget it.	The total focus on finance (when accountants start to drive the college you have lost the balance)	Quality (FE has not been quick to move and with a lot of inefficiencies in the sector, quality is helping to improve colleges)
School Manager A	Students achieve more and are satisfied	Reactive decision-making (because we don't always know all the variables)	Inspection (it has helped raise standards in the sector)
Principal	If a consequence of what you are doing internally improves students' circumstances	Funding methodology (enormously complicated)	Incorporation (focused our attention on why we are here - students)
Quality Manager	A clear strategy & rationale, implementation plans with milestones, incremental improvement, clear target, monitoring, good communications throughout, staff training to support, support from the top and commitment.	TDLB (it has not been helpful and has annoyed staff)	Quality and accountability (we have to be more responsive to students)
School Manager B	Planned	TDLB (totally meaningless and pushed by awarding bodies)	Incorporation (freedom to develop as organisation)

Analysis of Data

a) Definition of Effective Change

The interviewees highlighted some key elements of effective change. As indicated in the table, the Human Resources Manager identified many components of effective change, including clear vision, planned strategy and honesty in communication. However, her last comment about 'if people don't see the benefits, then forget it' belies Fullan's advice (2001b, p.109) to review where there is lack of implementation as people may not be rejecting the values in the change'. This issue links to the process of clarification and a need for awareness that disagreement is fundamental to successful change. Highlighting 'honesty in communication' is important because it relates to 'false clarity', where the interpretation of change is over-simplified (ibid., 2001b, p.77). The Quality Manager's definition included several elements of the process of change, such as strategy, a plan with milestones and targets, good communications, commitment, and staff training. This also included outcomes of successful change, with the notion of 'incremental improvement' and 'developing the infrastructure to support the change' (Fullan, 2001b, p.108). However, while she identified 'communications' as an element of effective change, she did not emphasise collaboration. The remaining three interviewees highlighted the outcomes of 'effective change' in the benefit to students and improvement in their circumstances. School Manager B's response was very limited in that effective change was 'planned'. This response did not demonstrate an understanding of the process of change.

b) The Least Meaningful Change

Analysis of data demonstrates that interviewees identified three least meaningful changes since incorporation. The first relates to funding and finance. The Principal described the funding methodology as complicated but indicated that if it was made simpler then it would be less flexible. This is in contrast to Colleges A and B who perceived the advantages. While, the Human Resources Manager expressed concern that a focus on finance could reduce the focus on students and learning. In this researcher's experience, this was a real concern across the FE sector. It may have

arisen from the changing role of senior managers after incorporation with a greater proportion of their time focused on business and financial aspects and less time on pedagogical issues (Simkins and Lumby, 2002, p.15). The second area of least meaningful change was identified as the TDLB qualifications. Both the Quality Manager and School Manager A highlighted this process as 'meaningless to staff'. This is similar to the response from College A. In contrast, School Manager A highlighted reactive decision-making as the least meaningful change since incorporation because the 'variables in any situation are not always clear'. This issue has been identified previously, for example, in relation to funding when some information is provided by the FEFC and applied retrospectively. The response also reflects on the College's approach to managing the spectrum of change in FE.

c) The Most Meaningful Change

Analysis of the data highlights greater consensus in relation to identification of the two most meaningful changes since incorporation. The first area of change identified was the quality and inspection process as these 'are establishing and raising standards in the sector' (School Manager A). In addition, colleges are now 'more accountable' (Quality Manager) and 'quality is helping to improve colleges' (Human Resources Manager). This reflects a positive, cultural approach to the greater accountability since incorporation. The second area of change identified was incorporation. This was perceived by two respondents (Principal and School Manager B) as having provided the freedom to develop as an organisation with an increased focus on students. These areas of reflect the responses from Colleges A and B.

COLLEGE D: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Assistant Principal	Change that improves the quality of provision, built upon people working together	Funding methodology (some colleges are under-funded because the ALF hasn't gone up as quickly as it should)	Incorporation (it allowed initiative)
GNVQ Co-ordinator	That is discussed with the people who are going to implement it	New contracts (were badly handled)	Key skills (important skills for students to have)
Learning Support Manager	People understand the change	New contracts (it did a lot of damage)	Incorporation (it's pushed change through colleges and they've become more efficient)
Quality Manager	Staff are aware of the issues	MIS (too detailed, too time-consuming)	Student-centred (the right focus)
Staff Development Officer	That produces the results that you wanted, a process of identifying where you want to get to.	Funding mechanism (staff find it's complexity frustrating)	The pressures for quality (it has brought about change and that has helped staff feel good)
Vice-Principal	No response given	Competition (destructive we should be working together for the good of the community)	Incorporation (choice about where to develop and how to make efficiencies)

Analysis of Data

a) Definition of Effective Change

Only five out of the six interviewees provided a definition. The definitions highlighted some of the components of effective change without demonstrating understanding of the process of change. Two interviewees identified that 'staff should be aware of or understand the change'. While this is only one element of the change process, it does not emphasise that collaboration would enhance understanding and support change. The Assistant Principal acknowledged the importance collaboration with people 'working together' to provide effective outcomes. Whereas, the Staff Development Officer identified the need for planning, as part of a 'process of identifying where you want to get to'. These are two components of a complex process. Her definition has some relationship to Burnes's (1996, p.151) definition that organisational change comprises of three elements, including the process of choice which refers to how organisational decisions are taken; the trajectory process which is the history of where the organisation is coming from and its vision of where it is going to; and the change process which is how the vision will be realised in practice.

b) The Least Meaningful Change

Analysis of data identified a range of least meaningful changes since incorporation. The first was the funding methodology and the responses emphasised the complexity of the funding methodology and that the average level of funding (ALF) had not converged upwards as quickly as they needed (Assistant Principal and Staff Development Officer). The Learning Support Manager and the GNVQ Co-ordinator highlighted that the new contracts were 'badly handled and damaging' to the sector. This reflects on the culture of the College, as previously in Chapter Four, the outgoing principal's management style was described as 'autocratic'. The Quality Manager argued that the data requirements for the FEFC were too detailed and time-consuming for staff. This was highlighted by College B. The destructiveness of competition, between colleges, was emphasised by the Vice-Principal when collaboration would serve the interests of the community better. Competition was

generated by the need for colleges to meet growth targets for increased student numbers in the period after incorporation. As identified in Chapter Three, all six of the case study colleges had several competitors in their catchment area.

c) The Most Meaningful Change

Analysis of data identified four 'most meaningful' changes. The first, incorporation, was identified by three of the interviewees (Vice-Principal, Learning Support Manager, and Assistant Principal) and they perceived it to have promoted independence, allowed initiative, encouraged greater efficiency, and provided choice about the way in which colleges should develop. Incorporation has been identified by Colleges A, B and C as the most meaningful change. The second area of change, the pressure for quality, was identified by the Staff Development Officer and also relates to choices by Colleges A,B and C. She argued that this had brought about change and established college standards which helped staff feel good, particularly when inspection outcomes were good. The third area, highlighted by the Quality Manager, was a change to a student-centred approach. She argued that this focus had arisen from incorporation with its clear inspection focus. The final area of 'most meaningful change' was identified as key skills by the GNVQ Co-ordinator. She emphasised that this change was most meaningful because it provided students with the essential skills required for work and life.

COLLEGE E: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Director (business development)	Bringing people to understand and believe	Competition (lost opportunities to share)	Being client-centred (responding to their needs is the right approach for colleges)
Finance Director	Change that is beneficial to the organisation	MIS (very complex and wasteful of resources)	Incorporation (choice and ability to choose part of your own agenda)
Head of Division	The systems - things that produce an effect	Some efficiency measures (combining groups, making groups bigger)	Awareness of student needs (being accountable for meeting those needs. – culture for college)
Learning Development Manager	People understand the change and support it	Inspection (statistics, tracking and reporting)	Incorporation (responsibility for decisions)

Analysis of Data

a) Definition of Effective Change

The interviewees demonstrated limited understanding of the key elements of effective change and the process of change. The Director and the Learning Development Manager argued that people need to understand and to support the change. Although, the Director emphasised 'bringing people to understand and believe', he did not specify the process by which this could be done. The definitions focused on only one aspect and did not emphasise the need for a collaborative process for staff to reach that understanding, nor did it demonstrate an understanding of the processes involved in staff motivation or commitment. The Finance Director highlighted that for change to be effective, it had to be beneficial to the organisation. The Head of Division's definition is limited in that it focuses on 'the systems – things that produce an effect'. However, an organisation is the sum of the people involved, and, therefore, the collaboration and development of relationships as well as the planning, process and infrastructure need to be highlighted.

b) The Least Meaningful Change

In relation to the least meaningful change, each interviewee identified a separate area of change. The first was the increased competition which has resulted in lost opportunities to share ideas and projects with other colleges (Director). This is in line with the response from the Vice-Principal in College D. The second area related to the management information system and the statistical returns to the FEFC. The Finance Director emphasised that these were very complex and require 'a lot of staff to input, produce reports and validate the data'. This area of change was also identified by College D. The third related to the efficiency measures since incorporation which had had an impact on the student experience, for example, increasing class sizes and resulting in combined groups for teaching (Head of Division). This area has not been identified by any of the other colleges, except as a positive. The fourth area of change was highlighted by the Learning Development Manager who cited the inspection process because of its requirement to produce significant evidence, and statistical reports. College A highlighted increased

paperwork and bureaucracy as a least meaningful change. Although, Their Vice-Principal perceived inspection as positive but highlighted the negativity of the increased paperwork. However, interviewees from Colleges B, C and D identified inspection as a positive development for the College. As stated previously, differing perceptions may arise from aspects of planning and management of the process.

c) The Most Meaningful Change:

Analysis of data highlighted that the four interviewees identified two areas of meaningful change. The first was incorporation with its resulting autonomy for colleges which had allowed them to make decisions that affect the organisation and its work (Director and Learning Development Manager). This area of change has been identified by each college as meaningful. The second was the more client-centred approach since incorporation with the increased focus on student needs and being accountable for meeting those needs. The interviewees indicated that this was a moral imperative for a college. The increased focus on student needs arises from two sources. The first is the paradigm shift towards customer orientation that has developed within the FE sector since incorporation (Morrison, 1998, p.2). The second is that inspection, the requirement for College charters and the funding methodology have all focused on meeting the needs of students.

COLLEGE: F: Effective Change

	Definition of Effective Change	Least Meaningful Change (reason)	Most Meaningful Change (reason)
Cross-college Dean	Successful students	Evidence and records (all the associated paperwork which has little significance to the student-teacher relationship)	Incorporation (taking responsibility for staffing and personnel issues)
Head of Department	One that is well-publicised so people know what's happening, they can have a say or can influence the change process	Not able to identify one	The Funding methodology (still the main source of income and flexible)
Quality Manager	Supported by the Principal, senior managers and staff	Increased efficiency gains (the inequality of the system of ALF convergence)	Increased customer-focus (it's what the college should be about)
Vice-Principal	A change which gives people a sense of purpose and direction, and a sense of confidence in their own workplace	League tables for Colleges (it only relates to 16-19 year olds)	Incorporation (a significant event but lacking a little in its implementation)

Analysis of Data

a) Definition of Effective Change:

Analysis of the data identifies that definitions included some of the elements in relation to effective change. Two interviewees, the Head of Department and the Quality Manager, emphasised the importance of people being informed about change with commitment from staff at all levels. The Head of Department highlighted effective change as one that 'is so well-publicised' that people know what is happening and have an opportunity to 'influence the change process'. This latter definition, albeit limited in scope, demonstrates awareness of the need for staff involvement and effective communications. The Dean's definition emphasised 'successful students' which while it is an appropriate outcome for any college (Fullan, 2001a, p.10), does not demonstrate an understanding of the complexity of change. The Vice-Principal's definition focuses on 'clarity of purpose and a sense of confidence in their workplace'. This definition accords with Fullan's (2001a, p.10) concept of 'employee pride' as an element of effective change.

b) The Least Meaningful Change:

Data analysis highlighted individual areas of change identified by three of the interviewees. The first response related to increased evidence and record-keeping which he indicated was not fundamental to the effective student-teacher relationship (Dean). This response is in line with College A, who identified the increase in bureaucracy since incorporation. The second interviewee identified increased efficiency gains since incorporation as the least meaningful change (Quality Manager). This area referred to her perceived inequality of the convergence of the average level of funding (ALF), because the College had a low ALF and convergence towards the median was slow. This would result in increased budget. The Quality Manager perceived that colleges with higher ALFs were benefiting from higher income during convergence. This issue was not highlighted by any of the other colleges who, in most instances, emphasised the complexity of the funding methodology a least meaningful change. The third change identified by the Vice-Principal related to the league tables for colleges which only included students aged

16-19 years when much of the College's work related to students aged 19 years or over. This was not identified by interviewees in the other colleges.

c) The Most Meaningful Change:

The four interviewees identified three changes since incorporation as meaningful. Incorporation was highlighted by two interviewees as the most meaningful change (Vice-Principal and the Dean). Their reasons for this choice included increased responsibility for personnel matters and the event itself. Interviewees at all of the colleges have identified incorporation as a meaningful event. It links to both relationships with LEAs and the autonomy gained after incorporation. Although, the Vice-Principal identified that corporation boards were less dynamic than required and had done little to influence the sector as a whole. The Head of Department identified the second change as the funding methodology. Other interviewees have perceived the positive benefit of the funding methodology. This he argued was still the main source of income and its flexibility allowed focused support of the learning process. The third area of change, which was identified by the Quality Manager, was the increased customer-focus since incorporation. She argued that 'it's what the College should be about'.

Theme Four: Summary of Key Issues and Discussion

Analysis of the responses from interviewees' at all six colleges identifies the following:

a) Definition of Effective Change:

This section considers one of the research questions 'what is meant by effective change in the context of the six colleges? The following key issues should be considered. First the interviewees demonstrated varying degrees of insight into the complexity of the change process. Majority highlighted one or two elements of effectiveness but some managers provided very limited definitions, which demonstrated little knowledge of the process. Some respondents made no reference to outcomes. Fullan (2001b, pp.108-109) emphasises that the plan for the change process must address the factors known to affect implementation. Some knowledge of the complexity of the process is required by managers and as Fullan argues (2001b, p.109) 'knowledge of the change process will improve the range of resources from which we draw but should never represent the sole basis for decision'. Only three respondents demonstrated insight into the process. The Principal at College B emphasised that effective change should improve relationships with staff and students. Fullan (2001a, p.5) identifies that one of the keys to successful change is an improvement in relationships. The Human Resource Manager and the Quality Manager at College C provided broader definitions which demonstrated understanding of the complexity of effective change.

A second issue involves the fact that a limitation to defining 'effective change' is that change is multidimensional. Effective change is 'a response to real needs and felt needs' (Dalin et al., 1993, p.134); it is a developmental process which consists of 'some transformation or continual development of initial ideas' (Fullan, 2001b, p.108). In addition there are several fundamental elements involving the process of clarification, as well as 'conflict and disagreement' (ibid., 2001b, pp.108-109). Finally, to be 'effective change', there needs to be collaboration as well as capacity-building and problem-solving opportunities (ibid., 2001b, pp. 108-109). For change

to be effective, the outcomes must involve a 'change in practice' with an impact on three dimensions including the material dimension, approaches and beliefs (ibid., 2001b, p.39). As stated previously, it is difficult to define effective change in colleges (FEDA, 1998, p.6). However, in order to demonstrate some understanding, a definition should focus on process as well as product, and include understanding of the elements involved in the change process, as well as intended outcomes. Few of the interviewees demonstrated the range of understanding.

b) Least Meaningful Changes in the FE Sector Since Incorporation: Of the An analysis of the responses from the twenty-nine managers across the six colleges, the following 'least meaningful' changes can be identified.

- i. Funding, Finance and Efficiency: Six interviewees identified this as the least meaningful change since incorporation. The key reasons cited were the complexity and the inequality of the system. Four interviewees highlighted the complexity of the funding methodology and perceived that the focus was on financial issues as opposed to learning. As stated earlier, this perception may have arisen from the shift in focus of senior managers after incorporation with a greater proportion of their time focused on business and financial aspects and less time on pedagogical issues (Simkins and Lumby, 2002, p.15).
- ii. Statistical Returns (MIS): Six interviewees highlighted the resource-intensive nature of providing statistical returns to the FEFC. This included the increased number of staff involved in this area since incorporation. One of the changes in the sector since incorporation has been the increase in staff to support the developing infrastructure in colleges as they are now businesses.
- iii. New Contracts: Five interviewees emphasised the damage done to staff relations within the sector by how the contracts issue was undertaken. As a

result of this change, staff workload had increased. Colleges had autonomy to manage the introduction the new staff contracts and in some cases it was very badly managed. It was dependent on how they responded to the need for this change and the effectiveness with which they managed the process.

- iv. Inspection and Increased Evidence Keeping: Five managers highlighted the increased requirement to document everything as a source of evidence for inspection. The main concern was linked to being inspection-driven, with excessive paperwork. In contrast some interviewees emphasised the positive aspects of the inspection process. The inspection process did not dictate a specific quantity of evidence, therefore, through effective planning; colleges had the autonomy to identify appropriate and manageable sources of evidence.
- v. TDLB Qualifications: Three managers emphasised very strongly that the process of providing a portfolio of evidence for achieving these qualifications did little to add to the staff competencies and added to the increase in paperwork across the sector.
- vi. Increased Competition: Two managers highlighted the damage to collaboration and the waste of resources caused by increased competition. They indicated that colleges should be collaborating to provide an improved service to the community. Increased competition was as a result of the individual college targets for the growth in the number of students, in the post incorporation period.
- vii. Reactive Decision-making: One manager indicated the frustration of making reactive decisions without all of the information required, specifically from the FEFC in relation to funding allocation. Effective planning for change should take account of unknown variables.

viii. League Tables: One manager highlighted the invalidity of the college league tables which recorded achievements for students in the 16 to 19 year category when majority of the College provision is with the over 19 years group.

c) The Most Meaningful Changes in the FE Sector Since Incorporation

All thirty managers across the six colleges responded to this question. Analysis of their responses identifies what they perceive to be the five 'most meaningful' changes within their colleges since incorporation.

- i. Incorporation: Thirteen managers identified the process of incorporation as the most significant change. They were positive about the perceived benefits to their colleges which provided autonomy to develop the College individually and greater control over financial aspects.
- ii. Funding: Six managers emphasised the flexibility of the funding mechanism and its focus on the learning process and student support. This is in contrast with the four interviewees who perceived it to be the least meaningful of the changes primarily because it was perceived to be a complex system.
- iii. Quality and Inspection: Five interviewees highlighted the significance of these processes in helping to improve the colleges and the standards offered. Several interviewees emphasised that it had helped to promote a change in college culture.
- iv. A Greater Student-Focus: Four managers indicated that this had been a key change since incorporation, which had been driven by inspection and the funding methodology. More specifically, the funding methodology has focused on funding different activities in the student time at a college such as on-entry, on-programme, learning support and achievements. This has helped to promote a greater student-focus on all aspects of their learning.

- v. Key Skills: One GNVQ Co-ordinator with responsibility for key skills highlighted that the planned introduction of these qualifications in September 2000 was significant because of the needs of students to demonstrate these competencies. This is not a general perception within FE colleges and reflects the manager's greater understanding of this area of work because of the nature of her role.

SECTION 2: Theme Five: The Critical Success Factors

Introduction

The focus of this theme is to consider the critical factors that appear to determine that an individual college can manage change more successfully than another. Interviewees were asked an open question about these critical success factors and the tables in this section illustrate the 29 responses. The Principal in College B did not provide a response to the question. Themes were identified, based on the responses, which resulted in the coding of responses. The number in brackets in the key summary at the end of this section indicates the number of responses in that theme and indicates the relative significance of each theme.

COLLEGE RESPONSES

COLLEGE A	CRITICAL FACTORS
Assistant Principal	The culture and structure of the organisation, the Principal
Director of Studies	How committed are the staff to the success of the organisation, fluidity of structure.
Cross-college project Manager	Ability of senior management team to communicate their vision and goals. Staff feel a sense of identity and belonging.
Quality Manager	Allowing staff to have an opinion. Staff feeling valued. Drawing a balance between efficiency and effectiveness. Staff-student relationships.
Vice-Principal	Quality of the Managers, Principal.

COLLEGE B	CRITICAL FACTORS
Dean of College	Strong Principal and a strong management team, they have to demonstrate that they listen and act on feedback from staff, flexible organisation structure, clear lines of responsibility and authority – clear but flexible.
Director of Management Systems	Communication, Effective planning of change, Ability to communicate and convince staff of the need for change, Staff morale and receptiveness to change,
Principal	No response
Staff Development Officer	Managing finances effectively, promote the right cultural climate. I don't really know.
Vice-Principal	History and context of the organisation, state of the competition, prudent financial management, Principal and management team that works hard and selflessly, works with each other and leads by example. Politics of the management team.

COLLEGE RESPONSES

COLLEGE C	CRITICAL FACTORS
Human Resources Manager	Senior management team, their commitment and support to change. Quality of the Middle Management. Ability of senior management set the vision and communicate it. Linked to this the ability of middle managers to communicate the vision and make it happen.
School Manager A	Integrity within management is a critical factor, In relation to getting the people and their tasks right. Supporting with staff development. Some colleges are just fortunate that geographically they're in an area where students perform better. Other colleges are unfortunate with the competition.
Principal	Tight financial control and cash management. Low staff costs. Other sources of income. Committed staff where everybody works hard in favour of the College. Flexible contracts and working practices. Flexible and innovative delivery methods. Investment and resources, particularly capital. Structures are important, flatter, more flexible, empowered, working with teams, Managers working to release staff potential. Good leadership is crucial and clarity of goals. Right culture, ensuring people feel valued.
Quality Manager	Management of change, using the right approach and selling the benefits. And making sure everyone understands the reason for the change. Senior management support and mentors to actively 'push' the change. Ensuring coherence in the planning. Having a clear strategy.
School Manager B	Senior management ability to operate strategically. Flexibility in terms of the system, attitudes and approaches.

COLLEGE D	CRITICAL FACTORS
Assistant Principal	Leadership that's prepared to be accountable. Attitudes that are helped by the ability of leaders to communicate.
GNVQ Co-ordinator	Senior management, Should be able to listen and understand the key changes.
Learning Support Manager	Well-co-ordinated senior management team and clear lines of communication. Training.
Quality Manager	Leadership, organisation should always be evolving. Senior managers should have the skills.
Staff Development Officer	Leader's personality. Credibility, energy and clear-headedness. Make sure everybody is involved. Need a vision and modifying this in the light of reality. Attention to detail.
Vice-Principal	Key people at all levels. Right people in the right job – enthusiastic and can communicate. Abilities of Corporation Board and their relationship with SMT. Resources at right level. Credibility in the local community.

COLLEGE RESPONSES

COLLEGE E	CRITICAL FACTORS
Director (business development)	Organisations are about people. Effectiveness is how people respond to change – it's about people. How you communicate the values and train people. Personal objectives of the people are in harmony with the organisational objectives. Committed staff. Comes from direction from the top, establishing a shared vision.
Finance Director	Leadership in its widest context.
Head of Division	Size of the college, number of sites. History of the College. New markets so not totally dependent on FEFC.
Learning Development Manager	Leadership. A common strategic approach and mission. Clarity of responsibility at every level in the College.

COLLEGE F	CRITICAL FACTORS
Cross-college Dean	Principal and his relationship with the corporation board. The way the senior managers and Principal communicate with staff. The type of value system you communicate. Appropriate style of management. Communicate rather than impose change.
Head of Department	The people themselves. Methods that they use to make the change.
Quality Manager	Attitude of the person at the top, the supportiveness of the top team. Attitude, commitment and stamina of people driving the change. Comes down to people.
Vice-Principal	Quality of the staff and good luck. A clear sense of purpose.

Summary of Key Issues: Critical Success Factors

The twenty-nine interviewees identified the following critical factors to indicate why one college can manage change more effectively than another.

a) Leadership by the principal and senior management team was identified as the most significant critical factor in the management of change (19). In addition, only two responses related to 'distributed leadership' (Finance Director, College E and Vice-Principal, College D). Only one interviewee (Dean, College F) made direct reference to management style as opposed to responses such as 'strong principal' (Dean, College B). Management style relates not just to the principal but also to aspects of distributed leadership. In the long-term, effectiveness as a leader depends on developing the internal commitment and culture which activates the motivation of majority of the staff (Fullan, 2001b, p.46). In addition, leadership is perceived as the key link between strategy, the organisational structures, and the roles and activities within the organisation (Burnes, 1996, p.151).

b) The ability of the principal and senior managers to communicate the vision and goals (14) was the second most significant factor. This factor is linked with the leadership provided by senior managers and also involved 'allowing staff to have an opinion (Quality Manager, College A). An additional factor involved an ability to 'communicate rather than impose change' (Cross-college Dean, College F). Communication is a fundamental condition of the management of change. Within an educational setting, where there is a focus and dependency on people to support organisational effectiveness, the 'culture is developed and maintained through carefully managed communication' (Bennett, 1993, p.28).

c) Staff-management relationship, in that staff feel valued and have a sense of belonging. This factor also includes the morale, quality and commitment of the staff (10). It relates clearly to the culture within the organisation. Motivation theory is central to the management of change within FE colleges because

effective change, in many respects, hinges on the people within the organisation, their involvement and development (Harvey- Jones, 1988, p.249). As stated previously, the phenomenology of change, or how people experience change in practice, should not be neglected by an organisation as it is central to the 'lack of success of most social reforms' (Fullan, 1991, p.4). A significant key to staff motivation appears to be empowerment (Morrison, 1998, p.131), which may be defined as 'involvement and support for people in change rather than abandonment' (ibid., 1998, p.121). However, empowerment requires a strategy for capacity-building in order to provide the skills and knowledge to promote distributed leadership. Although, it must be argued that, 'capacity is seriously undermined if it does not have quality leadership' (Fullan, 2001b, p.146).

d) Effective management of finance including other sources of funding as well as FEFC funding (8). Management of finance is not included by researchers as a key element in the effective management of change.

e) The history and context of the organisation, including competition within the area (7). The trajectory process, which is the history of where the organisation has come from and its vision for the future, is one of the three elements of organisational change. The other two are the process of choice, which refers to how decisions are taken within the organisation, and the change process, which is how the vision will be realised in practice (Burnes, 1996, p.323).

f) The quality of the managers (6). Only one interviewee referred directly to the quality of the middle managers as a critical success factor (Human Resources Manager, College C). This response demonstrated an understanding of the increasingly significant role of the middle managers since incorporation as the ones who 'articulate the vision' (Bennett, 1995, p.18) in their 'bridging and brokering role' (Briggs, 2002, p.65).

g) The College culture (5) including the promotion of the 'right' culture, the values and micropolitics. It is important to remember that strategic change is the 'reshaping of strategy, structure and culture of an organisation over time' (Grundy, 1994, pp.19-20). Adaptive cultures are the preferred model. They are usually strong cultures that are sufficiently flexible to meet the changing needs of the organisation (ibid., 1994, p.91). In order to facilitate a culture change, an organisation should identify what type of culture that they need to support their business (Egan, 1994, p.110). In addition, a key principle is to build in culture change to every key project or change effort (Carnall, 1995, pp.167-168).

h) A flexible structure (5). Interviewees highlighted the need for flexible structures without qualifying what this meant in practice. The structure of an organisation is made up of the 'deliberate, formal systems and processes of authority, power, decision-making and relationships' which allows the organisation to fulfil its work (Charan, 1996, p.19). Structure makes a difference but it is not the main point in achieving success (Fullan, 2001a, p.44). The inherent danger with formal systems is that they become so entrenched that information no longer flows down to the staff at the chalkface who can then use it to do their jobs better (O'Neill, 1994, pp.112-113). With the substantial amount of change in the FE sector since incorporation, it has been argued that in order to survive, colleges need to become 'more flexible, responsive, adaptive and engaged in continuous development and change (Morrison, 1990, p.148). For this to occur, several researchers argue a need to develop as learning organisations (Senge, 1990, p.14; Morrison, 1998, p.148; Fullan 2001a, pp.136-137; Fullan 2001b, pp.270-271; Daft, 2002, p.544). Within this perspective, traditional organisations with strong vertical hierarchies no longer work in the current 'fast-shifting environment' (Daft, 2002, p.544). Management structures need to become flatter, more horizontal, with employees empowered to act independently and creatively rather than performing routine, standardised jobs (ibid., 2002, p.544). Such a structure should create opportunities for open communication and collaboration across teams.

i) Staff development undertaken (3). This does not explain fully the extent of staff training required for the process of change. Colleges need to have a strategy for capacity-building in order to help staff to have the skills, knowledge and confidence required to deal with change (Fullan, 2001b, p.269). Intrinsic to the capacity-building model is 'distributed leadership along with social cohesion and trust' (Hopkins and Jackson, 2002, p.95).

j) Lines of responsibility and authority are clear (2). However, as part of the concept of the learning organisation, structures should be more horizontal and less rigid. While authority is an important element of distributed leadership, it should be not so formal as to prevent a flow of communication and collaboration.

k) The relationship between the Corporation board and the senior management team (2). This relates to effective communication between all stakeholders as a fundamental requirement of change.

l) The Staff-student relationship (1). This is an outcome of the effective management of change and a preferred culture, as well as a critical success factor.

m) Effective Planning of change (1). Only one interviewee identified the importance of effective planning of change as a critical success factor. Strategic planning for the management of change is linked to the 'reshaping of strategy, structure and culture of an organisation over time' (Grundy, 1994, pp.19-20). A lack of understanding of the importance of this process may be linked to a lack of understanding about transformation of the culture. Restructuring is a strategy that the six colleges appear to use frequently, yet the links between structure, culture and strategy do not appear to be understood.

Theme Five: Summary of Issues and Discussion

It can be seen from the above data that the top three critical success factors, identified by the managers within the six colleges, to indicate why one college can manage change more effectively than another, relate to leadership, communication of the vision and goals, and relationships. These also relate to the culture within the organisation. Fullan (2001a, p.5) also emphasises, that effective leaders are good at 'relationship building'. In addition, Goleman's research (2000, pp.82-83) has demonstrated that different leadership styles must be learned and used in different situations as adaptive leadership. Fullan (2001a, p.47) argues that in a crisis an organisation needs leadership that 'welcomes differences, communicates the urgency of the challenge, talks about broad possibilities in an inviting way, and creates mechanisms that motivate people to reach beyond themselves'. It is this aspect of leadership that needs greater understanding in the six colleges. Only one interviewee highlighted the issue of management styles. There are several concepts related to effective management of change that were not highlighted by the interviewees. The first, which was mentioned by only one interviewee, is the concept of 'distributed leadership' specifically in relation to the role of the middle managers. This is surprising, when interviewees highlighted the central role, of the middle managers, in the management of change in previous data chapters. Although, staff development was identified by three interviewees, the second concept that was not emphasised sufficiently was the notion of a capacity-building strategy to ensure that staff have the skills, knowledge and understanding to manage change. This appears to be an area in which the managers lacked understanding. The third is the need for flexible structures within a concept of a learning organisation. Although, the notion of flexible structures was identified by three interviewees, an understanding of the implications of this for communication and collaboration was not well-developed. The fourth was the concept of a preferred culture. Only five out of the 29 interviewees proposed this as a critical success factor and did not expand beyond indication of the 'right' culture, college values and micropolitics.

Again, managers do not appear to have an in-depth understanding about transforming the culture. Fullan (2001a, p.44) argues that 'leading in a culture of change means creating a culture (not just a structure) of change. However, as identified in the previous chapter, all of the colleges used restructuring as a strategy for the management of change. The fifth area where there appears to be a lack of understanding is in the significance of the effective planning of change. Other factors, identified by interviewees, such as finance, history of the organisation, quality of managers, structure and staff development are factors relating to a college's infrastructure. They were identified less frequently than the other critical success factors and some such as the quality of the managers, the structure and staff development, as discussed above, are significant success factors.

Overall Conclusions: Themes Four and Five

This aim of this chapter was to present, discuss and analyse the research findings for themes three and four. Theme four focuses on interviewees' definitions of 'effective change', while theme five focuses on identification of the critical success factors which determine that one college can manage change more effectively than another. Both themes are examining perceptions of 'effectiveness'. In addition, theme four examined perceptions of the 'most' and the 'least' meaningful of the nationally mandated change in the FE sector. What are the significant issues that have been identified from analysis of the data.

In relation to definitions of 'effective change', the interviewees demonstrated varying degrees of understanding of the complexity of the change process, with some very limited definitions. Only three interviewees showed insight into the process of change.

The least meaningful changes in the FE sector since incorporation were identified as the focus on funding, finance and efficiency, the statistical returns to the FEFC because of the staff-intensive nature of this process, the introduction of new contracts, and inspection with its focus on increased evidence keeping. The most

meaningful change since incorporation was identified as incorporation itself. Thirteen managers were very positive about this event and the benefits from autonomy. The flexibility of the funding methodology and its focus on the learning process was cited by six managers. In contrast to interviewees who cited inspection as a negative process, five interviewees highlighted the benefits of quality and inspection on developing the culture of the college.

Analysis of perceptions of the critical success factors to indicate why one college can manage change more effectively than another, three appropriate areas were identified clearly. These relate to leadership, communication of the organisation's vision and goals, and relationships between staff and managers. As discussed previously, there were quite significant gaps in knowledge including the role of effective planning of change, the need for a strategy for capacity-building, the concept of 'distributed leadership' particularly in relation to middle managers, the practical implications of flexible structures, and the notion of transforming the organisational culture.

These gaps in knowledge relate to a lack of understanding of the range of practical elements involved in change. There is a correlation with the limited definitions of effective change in section one. In conclusion, several researchers' emphasise the importance of managers having an overview of organisational theories and concepts to provide a framework for managerial decisions (Argyris and Schon, 1978, p.5; Bush, 1989, p.19; Handy, 1999, p.16). These researchers' emphasise the links between an understanding of the theory, and its relevance to the practical environment through analysis of each situation, followed by action and implementation.

The next chapter examines the significance of this research study in relation to the research questions and makes conclusions and recommendations.

CHAPTER EIGHT

CONCLUSIONS AND IMPLICATIONS FOR PRACTICE

Introduction

This purpose of this chapter is to examine the significance of this research study in relation to the research questions, and to identify specific issues arising from the research data, as well as to make conclusions and emphasise implications for practice in the FE context. In addition, the process of research is reviewed with identification of further areas for research. The four chapters on the research findings have presented analysed and discussed data in relation to the five themes which arose from the research questions and objectives, including college culture, change within the colleges, the management of change and effective change, as well as identification of perceived critical success factors for effective colleges. Each of those chapters concluded with summaries and discussions. Therefore, the focus of this chapter will be on general conclusions with significant issues highlighted in relation to the research questions. The structure of the review and discussions relates to the themes and through those to the research questions. The research questions are:

1. What are the key changes that have taken place in the FE sector since incorporation in 1993?
2. What are the critical factors that determine that one college can manage change more effectively than another?

A) Significant Issues in Relation to the Research Questions

i) College Culture

Chapter One highlighted the range of legislation, prevailing attitudes and government papers that have helped to shape and define the FE sector. Analysis of the data in this thesis has identified a range of issues and key changes highlighted by managers in the six colleges, which have been examined within the theoretical framework established in Chapter Two.

The first significant issues, highlighted through the analysis of data, relate to changes in college culture (Chapter Four), a theme which also included college structures, senior and middle management roles in the management of change, style of management and management training. It is important to emphasise that leadership is perceived as having a critical role in changing the culture of an organisation (Morrison, 1998, p.153). However, the interviewees demonstrated little understanding of the components of college culture or that strategic change is the 'reshaping of strategy, structure and culture of an organisation over time' (Grundy, 1994, pp.19-20). Five interviewees identified college culture, including promotion of the 'right' culture, as a critical success factor to indicate why one college can manage change more effectively than another. However, the responses were not detailed.

As identified, in Chapter Two, 'we are moving from a modernist world and its modernist conception of the world and industry to a post-modern world and a postmodernist conception of the world and industry' (Morrison, 1998, p.2). This is a shift away from bureaucracy and hierarchical structures towards flexibility, more horizontal and fluid structures, information management and greater of technology, collaboration, client satisfaction and the notion of learning organisations. Has this shift been reflected within the colleges?

There has been a discernible paradigm shift in the FE sector both towards customer orientation (Morrison, 1998, p.2) as well as a cultural shift in power, away from lecturers and towards students and managers (Lumby, 2001, p.144). This change has been supported by the introduction of a range of new jobs to support a focus on customer service and business support. Interviewees highlighted the change in culture which reflects the change in dominant paradigm in further education since incorporation (ibid., 2001. p.144). The significant changes highlighted by interviewees related to those brought about by the process of incorporation, resulting in a greater focus on business efficiency and quality improvement. One of the key issues emerging from the college case studies is their focus on financial viability and the fact that, as a consequence, they are driven by targets. This focus on targets and financial viability has brought about a shift in focus from the curriculum to finance which has permeated, in some degree, to all levels of staff. This is in contrast with the postmodernist focus on customer satisfaction. Some colleges highlighted the increase in contentious bureaucratic systems and paperwork since incorporation. Linked to the increase in bureaucracy, the operation of the management information systems (MIS) for the statistical returns to the FEFC created tensions because they required substantial staff resources. Also because some colleges had not defined how they could use MIS for internal management purposes. In addition, interviewees' perceptions were divided on whether the funding methodology was beneficial in comparison with those who perceived it as part of the complex bureaucracy. A significant issues arising from the analysis of research data was the tension in the six colleges in relation to business efficiency and educational delivery.

Of necessity, the cultural shift in power away from lecturers and towards students and managers has resulted in several issues, highlighted by the analysis of data. The first has affected the way in which staff operate. The emergence of managerialism and the implementation of a diverse range of policies, including new staff contracts, have established a distance between managers and teaching staff. Other researchers call this 'cultural distancing' (Leader, 2004, p.74). Analysis of data in relation to barriers to change (Chapter Six) highlighted a range of staff attitudes which served

as barriers to change projects. Interviewees had a good level of awareness in relation to the underlying reasons for these attitudes and tended to 'work round them'. Interviewees' argued that attitudinal barriers were related to the changed status of teaching staff in the FE sector, as well as the changed conditions of service and an increased workload. In College E, barriers were perceived to be created by 'people who are frightened' or 'not secure'. This was a college which had had redundancies because of efficiency gains. Two colleges implemented the new conditions of service without industrial dispute. However, in one instance (College A), middle managers had to sign their contracts first, with several reverting to lecturing roles rather than sign the revised contract for conditions of service. The introduction of new contracts at College C was unsuccessful because managers within the organisation did not take responsibility and it was poorly led. All of these issues, as well as the diverse range of nationally-mandated change, have contributed to 'cultural distancing' between staff and managers.

The second issue arising from the shift in culture in FE is the changing role of the senior managers. Analysis of research data indicated a clear focus on business and financial issues, by senior managers, with a move away from pedagogic concerns. The Human Resources Manager (College C) expressed concern that a focus on finance could reduce the focus on students and learning. Several interviewees articulated similar views. It appears that the management teams need to balance business goals with pedagogic values (Leader, 2004, p.74).

The most significant issue, however, highlighted from an analysis of data involves the changing role of middle managers in relation to the paradigm shift in FE, as well as the changed focus of senior managers. Some middle managers have been empowered through incorporation and the development of the managerialist approach in FE colleges. However, there are high demands placed on middle managers in terms of their effectiveness in their role. Interviewees in all colleges emphasised the pivotal role of middle managers particularly in the management of change. A Vice-Principal (College A) stated that 'middle managers are the key to

everything. If they are ineffective, then the College is ineffective'. The managerial critique in FE argues that lecturers have been co-opted into management roles (Simkins and Lumby, 202, p.13). All cross-college middle managers participating in the research study had originally been lecturers. However, none of the six colleges had established a coherent strategy for capacity-building to support the managers' development. Analysis of the data supported recent research findings concerning the role of middle managers in FE (Briggs, 2002, p.65); by highlighting that they have a 'transactional leadership' role in converting strategy into action. Analysis of the data, however, indicated that middle managers in some colleges appeared more empowered than others. There were clear links with the style of management in the College. Middle managers at College A perceived the management style to be 'top down' with a perception of 'being dictated to'. This does not reflect empowerment. At College B, one manager expressed concerns that the Principal had taken over some areas of operational responsibility, some of which should have resided with middle managers. This reflected the Principal's style of management which was an authoritative, pacesetter approach (Goleman, 2000, pp.83-84) of 'can do and if not, why not'. His style had greatly influenced the style of most of the managers interviewed. At College C, the cross-college middle managers had greater empowerment than the Heads of School, whose role was less defined resulting in a recent, restructure of their roles and responsibilities. This relates to both empowerment and definition of roles. The style of management at College C was based more on communication. College D had a structured line management approach for cross-college managers which had resulted in them having substantial responsibilities, but little empowerment. The style of management was mixed because it was in a period of transition from an authoritative principal. In addition, a previous restructure had resulted in large, powerful faculties which hindered the cross-college managers' roles. This issue will be considered later. In College E, difficulties were identified about quality of the transactional leadership role of some middle managers, who distorted the message and objectives about the proposed caseloading approach to their teams, which undermined the project. The style of management varied in College D but the corporate approach was described as

supportive leadership. In another College (F) middle managers were perceived to have a need 'to be supported in this college, as they're not in the position to initiate change and they should be' (Quality Manager). This had resulted in the Principal taking over the line-management of the heads of departments. Perceptions of the style of management, in College F, varied with senior managers perceiving it as having shifted from a democratic style to more authoritative, whereas a middle manager described it as becoming progressively more open. In several instances there were discrepancies between the senior and the middle managers' perceptions of the style of management. This indicates areas for improvement in communication and collaboration.

Analysis of data highlighted that cross-college middle managers in some colleges (College B, C and E) were more empowered than curriculum middle managers and their roles reflected a distributed leadership approach. However, the colleges had not undertaken analysis of organisational factors which created barriers to cross-college middle managers undertaking their jobs. Several managers highlighted specific barriers created by micropolitics and imbalances in resource power. However, little action had been taken in relation to changing the culture involving large, powerful faculties, in College D, that had been created through a restructure. The emerging role of the curriculum middle managers and cross-college managers is primarily an operational management role particularly in the management of change. However, the cross-college middle managers, at College C, had involvement in strategy development as they were line-managed by the Principal. Others indicated a lesser involvement in strategy development. A restructure at College C resulted in curriculum middle managers having additional responsibility for managing specific cross-college projects. The analysis of data appears to indicate that the roles of the middle managers were still evolving and that, in many instances, their roles lacked some definition in relation to their position in the structure. Another emerging role change, since incorporation, has been devolvement of increased responsibility to curriculum teams. This reflects the changing operational role of middle managers. Increased responsibility was devolved to teams at College E through the

introduction of caseloading. At College C some budget for staff development was devolved to curriculum teams.

Analysis of case study data highlighted that the Colleges placed little focus on college structures in relation to the impact that it had on the culture of the organisation. All colleges had formal, hierarchical structures with some aspects of the matrix system for cross-college teams. Each of the colleges had used restructuring as a strategy for the management of change in areas of the college. The purpose of this process was to clarify roles and responsibilities, or in one college, where staff were creating barriers to effectiveness (College D). Colleges had a clear understanding of the infrastructure of policies, procedures and revised roles and responsibilities needed to support restructure. As discussed previously, in some instances, the formal structures created barriers to cross-college manager operations for managing change. Five interviewees identified the need for 'a flexible structure' as a critical success factor for managing effective change. However, their responses did not reflect understanding of the concept of a learning organisation.

ii) The Management of Change

The four chapters on the research findings have presented analysed and discussed data in relation to aspects of the management of change. This section will focus on identifying specific issues arising from the research data in relation to the examination of the management of change in this study. There are several key issues that have arisen from analysis of the data in relation to the management of change. The first issue is that the colleges did not have a coherent strategy for the management of change across the College, which incorporated a strategy to promote capacity-building. However, analysis of successful change projects, in Chapter Five, highlighted that some college-wide, nationally-mandated change projects were well-planned including identification of communication channels, allocation of responsibility and resources, strategies for integration into existing college structures, consultation and collaboration. These were planned effectively to take

place over time. In these projects, colleges demonstrated understanding of change management principles.

The second issue is that, although, some colleges could successfully implement college-wide change projects, examination of the least successful changes highlighted inconsistency in approach. Analysis of data identifies several fundamental reasons for this. In some instances planning was weak or had not taken place. A significant issue in many projects was planning which did not identify the clarity of the purpose of the change. Where planning had taken place, it did not reflect the multidimensional aspect of the change project. Planning for effective change must consider all dimensions of the change and embrace the different levels and all aspects of an organisation (Morrison, 1989, p.14). The management of change project (College C) exemplifies the importance of identifying barriers to implementation during the planning phase. One of the reasons for the lack of success of this project is that the consultants leading the change did not understand FE colleges and the materials they used related to industry, which created a barrier to acceptance of the change management model.

The third issue is that analysis of case study data indicated that staff development to support change, focused on the knowledge and understanding that staff needed to implement a system or policy. Interviewees did not demonstrate understanding of the components of capacity-building. As stated previously, capacity-building involves helping staff to be able to respond effectively to changes that they encounter by ensuring that they have the skills and knowledge required (Fullan, 2001b, p.269). More specifically, this relates to increasing the motivation and the problem-solving capacity and 'know-how' of leaders within the organisation to help lead others in generating commitment (ibid., 2001b, p.269). Central to the capacity-building model is the concept of 'distributed leadership' (Hopkins and Jackson, 2002, p.95). As indicated, the colleges did not have a strategy for capacity-building in relation to their middle managers, although it is acknowledged that their role is intrinsic to the management of change. There is a demand within the six colleges

for effective middle managers, yet paradoxically, it is the extent to which they are enabled to be effective leaders that will ensure their valid contribution to the strategic development of the college.

Analysis of the data in relation to 'effective change' (Chapter Seven) highlighted several significant issues. Few interviewees were able to define effective change in any detail; although three managers demonstrated greater understanding of the change process. Majority highlighted just one or two of the elements of effectiveness and some managers provided very limited definitions, which demonstrated little knowledge of the process. Some interviewees made no reference to outcomes of the change process. Arguably, managers can only operate effectively when there is an understanding of the complexity of change, the components of the change process and the phenomenology of change. This issue relates to capacity-building. The first three critical success factors, identified by the interviewees, to indicate why one college can manage change more effectively than another, relate to leadership, communication of the vision and goals, and relationships. These indicate an understanding of some of the elements of change management. As highlighted previously, in relation to effective management of change, without effective leadership, the 'process is doomed from the start' (West-Burnham, 1994, pp.93-96). Within an educational setting, where there is a focus and dependency on people to support organisational effectiveness, the 'culture is developed and maintained through carefully managed communication' (Bennett, 1993, p.28). Finally, a key measure of successful reform in educational organisations is whether relationships improve (Fullan, 2001b, pp.101-102). The top critical success factor identified by interviewees was leadership by the principal and senior management team. Only one interviewee identified the concept of 'distributed leadership' in relation to middle managers. Staff development was highlighted by only three interviewees. While effective planning for change was highlighted by one interviewee. These indicate some gaps in knowledge in relation to effective change and a lack of detailed knowledge of how the different elements of the change process interact with each other.

The colleges identified a range of strategies that they used for the management of change. As highlighted previously, all colleges had used restructure as a strategy for change. Five colleges identified the use of team development or team structure as a strategy for change. This included the use of consultants to develop team building at all levels, team 'away-days' and the use of teams within the structure for communications about change processes. In some instances, the focus of these team days were on a review of their operations with identification of improvements, as opposed to using these days for the implementation of a college-wide change, or for collaboration. There was no reference to clear empowerment of these teams as part of a strategic approach. The focus was on devolvement of responsibility. Four colleges used special projects for change management and there were several staff with experience in this area. In addition, this includes the use of short-term problem-solving teams and project teams. Four colleges identified strategies focused on communication to promote change or to disseminate information. However, colleges were unable to provide details of a coherent approach to change management, and more specifically details of how they prioritised change projects to prevent initiative overload.

The interviewees examined the changes that have taken place since incorporation and identified the most and least meaningful changes of these. For the three top meaningful changes, thirteen managers identified incorporation because it provided the autonomy to develop and manage the college. Six managers emphasised the flexibility of the funding methodology with its focus on the learning process. Five interviewees highlighted the significance of the quality and inspection processes in helping to promote a change in culture. In relation to the three least meaningful changes, six managers identified funding, finance and efficiency. The reasons cited were the complexity and inequality of the system. Six interviewees highlighted the resource-intensive nature of providing the statistical returns to the FEFC. While five interviewees emphasised the damage done to staff relations within the sector by how

the new contracts were introduced. These indicate the significance of nationally-mandated change for some managers working within the FE sector.

B) Reflections on the Research

The focus of this section is to review the research study, with reflections on the aims, objectives and methodology, and areas for further research. The research questions and aims have supported the progress of this research study over several years. The initial research questions were refocused through reflection after the first year of the study which then helped to focus the review of literature, leading to the research objectives and the interview schedule. Although a quantitative paradigm was initially considered, a qualitative research paradigm was considered more appropriate to the aims of the study. A minor disadvantage of using a qualitative research method such as interviewing relates to the quantity of data generated. However, a clear strategy was identified at an early stage to manage this potential problem. Initially, the aim was to produce one data chapter. However, upon reflection and further reading, it was decided to produce four data chapters with the aim of making the data and outcomes more accessible to readers of the study. The strategy that has supported the process of research most has been a reflective research diary. This has included notes from interviews, details of strategies in relation to the research and data, and reflective notes as the thesis developed.

The significant issues that have arisen from the research relate to the role of the middle managers, the identification of the most and least meaningful changes since incorporation, the identification of the critical success factors in relation to effective change within the context of FE colleges, and the analysis of the most and least successful change which identified aspects of change management in context. The aim is that these will generate discussion within the FE sector as part of a strategy for capacity-building which should focus on preparing staff for context-based solutions as part of a local problem-solving capacity (Fullan, 2001b, p.196).

Further research is required in several areas, including: strategic planning for building capacity in colleges, developing information management strategies in colleges of varying size and complexity, the role of academic and cross-college middle managers or distributed leadership in colleges and colleges as learning organisations.

C) Implications for Practice

What are the implications for practice within colleges from this research study? Three significant principles should be remembered as intrinsic to the management of change:

- a) Change is about people, and building relationships should be central to effective change.
- b) A change strategy should be flexible and developed from an understanding that change is dynamic, developmental, multidimensional and related to the social context in which it occurs.
- c) The purpose of effective change and effective change leadership is to ensure that 'more good things happen' and 'fewer bad things happen'. This relates to fewer aborted change efforts, less wasted effort and resources, demoralised staff, and fewer examples of uncoordinated reform (Fullan, 2001a, p.10).

The analysis of the data in relation to the management of change and the theoretical framework highlights a number of implications for practice.

1. Colleges require a strategy to monitor and manage the level of innovation and change that takes place within the organisation and to develop their change strategies. The six colleges identified, within their existing structures, groups and forums which were well placed to undertake this role. From a practical perspective such a group could consider the implications of each change for the College on a multidimensional level: accommodation, staffing and other

resources, the effect on staff and students' experience, as well as a monitoring role to ensure that the organisation did not become overloaded with change. The implications of this are that all managers need to understand the complexities of the change process.

2. Managers at all levels should have the ability, skills and knowledge not only to understand change, to act as leaders of change and ensure coherence, but the capacity to understand how the larger culture, structures and norms will react to their efforts. This has implications for how senior and middle managers collaborate on strategy and on information sharing. It also has implications for how well middle managers involve staff and interpret information to allow implementation.

3. A strategy for capacity building should be developed alongside other strategies of empowerment, collaboration and reduced constraints within the organisational structure. This relates to 'the potential each of us has to do more and be more than we are now' (Daft, 2002, p.167) and a need to extend the knowledge and skills of staff and managers and their ability to work co-operatively together towards more coherent practice. Colleges can expand and develop leadership capacity alongside pervasive leadership; and college capacity through collaboration and empowerment.

4. A capacity-building programme for managers should facilitate full understanding of the complexities and components of the change process, including the factors affecting implementation, the stages of change and of the multidimensional elements. As well as, systematic training in management and management styles and their impact on the organisation, their appropriateness in situations and the implications. The aim is to understand adaptive styles of leadership. Finally, understanding of emotional intelligence linked to leadership, as well as the phenomenology of change including motivation and relationship building. Managers need to understand the benefits of resistance

and how to use it within change. This should include understanding of micropolitics.

5. Managers require an awareness of the elements of the organisational culture and the factors that contribute to it. In addition, practical examples of effective communication channels in FE colleges and their advantages and disadvantages. College management teams should identify, through audit and collaboration, those elements of the culture that need changing. This process should consider Egan's 'shadow side' of organisations, which is defined (Egan, 1994, p.4) as 'all the important activities and arrangements that do not get identified, discussed, and managed in decision-making forums that can make a difference'. It should also consider the micropolitics and power, particularly in relation to the role of cross-college staff. The Principal should make explicit the espoused beliefs, values and norms of the preferred culture and subsequently, these cultural elements should be built in to all change projects. The reculturing should be based on trust, integrity, openness and honesty from all managers. Senior managers should provide the lead in this change and provide positive role models. It should be based on a genuine collaborative work culture, which allows staff to learn through mistakes.

6. The senior managers require strategies to empower and develop middle managers, team leaders and team members. Empowerment should include devolvement of specified responsibility, authority and resources. Managers and teams should be provided with the skills, information, tools (problem-solving approach), motivation and authority to make decisions central to their work. There should be planned team learning at all levels, which will help to foster dialogue and confirm commitment to the explicit and shared vision, values and norms. The review of the culture could be the starting point for this process. Collaboration can help to develop strategy and motivation. Managers and teams should be part of the process. As highlighted in the case studies, senior managers will need to develop this strategy as a learning process to ensure they

identify how to be involved and how not to undermine the process. They will need to consider their own attitudes, concerns and behaviours to ensure that they are empowered to 'let go'.

7. Senior managers need to understand distributed leadership and that leadership is not about hierarchy. This should be implicit within college values. Potential leaders are at all levels and the organisation should have a strategy to identify and support their development in the essential competencies, skills and expertise. This process may be made easier through empowered middle managers and teams. Creation of leaders through providing teams and individuals with experience, coaching and good role models would support and sustain change in the College. Such a model enhances a learning organisation.

8. The structure of the organisation should meet its needs. Managers should have an understanding of the types of structures and their implications. Through this process they may identify that horizontal, fluid structures based on networks of internal and external relationships will allow enhanced flexibility and adaptability. It would help to improve culture, collaboration and limit power-bases. Structural constraints on staff need to be reviewed to allow collaboration, open communication, sharing of ideas and encourage creativity. A few colleges had tried aspects of this learning culture as elements of change projects but without applying a strategy to the whole college. Inter-college visits would be part of the networking.

9. Aligned to collaboration and cultural changes in terms of promoting improved relationships, a strategy should be developed for knowledge creation and sharing. This links to capacity building and the concept of learning organisations. It should be part of promoting preferred culture by inclusion of a core value on knowledge building and sharing. The mechanisms for allowing this to happen should be integrated across team structures. One college had

initiated sharing of good practice, which staff valued but such an approach needs to be integrated within planned opportunities. Networking, collaboration and sharing should be planned at all levels and used to enhance innovation.

This research argues for the need for enhanced management and leadership of change through empowerment of all staff, adaptive situational management styles, enhanced development of middle managers as a priority and a move towards the development and practice of learning organisations.

In conclusion to this thesis, Fullan (2001a, p.48) summarises elements of the research with:

To recommend employing different leadership strategies that simultaneously and sequentially combine different elements seems like complicated advice, but developing this deeper feel for the change process by accumulating insights and wisdom across situations and time may turn out to be the most practical thing we can do.

This is the challenge to colleges and the priority for senior and middle managers.

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APPENDIX A

INTERVIEW SCHEDULE

MANAGEMENT OF CHANGE IN FE

Schedule of Research Interviews

Focus:

- Rate of change
- Change Projects and processes
- Critical factors for management of change effectively

Contextual Information

- ALF: what was funding pre-incorporation: What was ALF? What is it now? Implications of changes.
- Total funding units – number of students, target units next year, outcomes.
- Performance against FEFC performance indicators – *Measuring Achievement*.
- College Budget and sources: currently, how has this changed since incorporation?
- Finance rating from FEFC.
- College structure: description – implications. How has it helped/hindered change? Barriers – strategies to overcome barriers.
- Achievement of quality kitemarks – some details. Significance.
- Staffing: Number of academic staff, support staff, managers. Changes since incorporation:
 - business support staff
 - teaching staff
 - managers
 - change in ratios in staffing profile.
- New contracts: type (locally negotiated/CEF, issues,). Deployment of staff on new contracts.
- FEFC inspection reports – grades, data.

Interview

Introductory Questions:

- Interviewee's role in College. Involvement in change – level, type, experience of etc.
- Style of management promoted in the College – description.
- Interviewee's style of management – how would they describe it?
- Training provided for managers to help in their roles, anything related to change management or skills. College-wide, personally.
- Managers in FE: specific skills required.
- Identification of key changes that have taken place in FE since incorporation.

Focus on College: Change

- Key changes that have been made in the College in response to external pressures
- Key changes that have arisen from internal pressures.
- Current key external pressures affecting colleges: outline effects, changes that will need to be made next year as a result.
- Define 'effective change' in context of FE colleges.
- Nationally mandated change – Which has been the least meaningful and why? Which has been the most meaningful and why?
- Thinking about change in the College:
 - Examples of change processes/projects interviewee has been involved in/preferably led:
 - Which has been the most successful – why?
 - Which was the least successful and why?
 - Who led these changes?
 - Staff attitudes – did they support, value etc.
 - Outcomes of these changes.
- Key staff in the College in relation to change: initiation, facilitation, managing etc.
- Main barriers to change – or resistance and why? Strategies to overcome resistance.
- Role strategic planning plays in change.
- Outline specific strategies used for managing change – processes.
- Information about communication channels. Effectiveness.
- Identify the critical factors which determine that one college can manage change more effectively than another.