THE ROLE OF EVALUATION IN THE PLANNING
PROCESS: THE RHETORIC AND THE REALITY

A STRATHCLYDE CASE STUDY.

by

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SYNOPSIS.

In Britain today, the case for planning is fully
accepted and comprehensive planning has been with us
for many years. The main challenge and focus of planning's
attention now, ought to be with improving the process,
so that what takes place in practice is more related and
relevant to community needs and desires. Evaluation is
considered to play a vital role in the improvement of
public policy-making. Until relatively recently evaluation
has been a surprisingly neglected part of that process.

Attention has been given to advancing the methodological
and technical aspects of plan/policy evaluation. However,
there has been little emphasis on its appropriate role in
the planning process. The few studies which have been
undertaken including Lichfield et al's seminal contribution
have only discussed pre-evaluation.

This study examines the role of post-evaluation in
the planning process and the implications that it has for
improving the public policy-making process.

Part one is concerned with the rhetoric - the concepts
and theory underpinning the role of evaluation in the
planning process. Chapter one outlines the aims and scope
of the study and discusses those factors contributing
to an increased need for evaluation.

Chapter two focusses attention on the planning process
and the way in which evaluation fits into that process.
Different models of the process have different implications
for the role of evaluation.

Chapter three looks at the institutionalisation of
evaluation into the planning process. It examines the
government procedures and structures within which planning
takes place and the consequent implications this has for
the role of evaluation. The dearth of legislation serves
to illustrate the lack of importance attached to evaluation.

Chapter four, builds on the first three chapters
and develops a typology of potential roles which evaluation
might play in the planning process.

Part two looks at the reality - by examining the extent
to which these potential roles have been achieved in
practice. The support for and constraints against an
enhanced role for evaluation are discussed and tentative
recommendations made.

Chapter five examines the role of evaluation in the
planning process of a local authority, namely Strathclyde
Regional Council. This empirical research considers various
of the evaluative machinery and the views of elected
members and officers in the Council. The typology con-
structed is used as a framework for this appraisal.

Chapter six discusses the emergent issues and draws
tentative conclusions. From an understanding of the reasons
of support for and constraints against evaluation, some
tentative policy recommendations are made to make for an
improved and a more effective public policy-making process
and local government.

ACKNOWLEDGEMENTS.

TABLE OF CONTENTS

LIST OF FIGURES

PART ONE

THE RHETORIC

CHAPTER 1.

INTRODUCTION.

"We must continually learn to unlearn much
that we have learned, and learn to learn
that we have not been taught. Only thus
do we and our subject grow."

R.D. Laing
The Politics of the Family and Other Essays 1972.

This quotation encapsulates several themes central
to this study: the emerging view of planning as a
continuous cyclical process; the need for flexibility
and adaptability in the planning process in order that
policies maintain their relevance, (one of Lichfield's
(1979) requirements for an acceptable planning system);
the necessity for local government to become a learning
system; and the need for humility in recognition that
there is no single consensual 'public interest'. Hence
there can be no single ideal plan or policy, even without
considering the effects of change on the process.

1.1   Aims and Methodology.

The aims of this study are four fold: to discover
how the nature and hence the role of evaluation is
influenced by the nature of the planning process and the
framework of government procedures and structures within
which it takes place; to so develop a typology of potential
roles that evaluation might play; to use this typology
as a framework for appraising its actual role in a
local government context - a case study of Strathclyde
Regional Council; and on the basis of this appraisal to
make recommendations for enhancing this role.

The exposition of its potential role will encompass:

(a) the _level_ of activity, active or passive;

(b) the nature or _type_, for example coordinative or educative;

(c) the _depth_ of the activity.

The latter (c) involves the adoption of Rivlin's (1971) classification.

(1) Estimation of the extent and nature of the problem and identification of who benefits and who loses from present policy.

(2) Comparison of benefits between programmes in order to determine whether it is better to shift resources from one programme to another.

(3) Distinguishing between the relative effectiveness of different approaches and methods of solving problems and delivering services.

A number of hypotheses are generated from this,

(1) The role of evaluation will have evolved and extended over time with the changes in philosophy and approaches to planning. It is expected there will be a gap between that advocated in theory and that achieved in practice.

(2) The low profile of evaluation, has been as much due to the narrow concept, definition and hence role of evaluation adhered to by both officials and members, as to any resistance to it per se.

(3) One would expect greatest development and formalisation of evaluation, in a large 'one party' authority such as Strathclyde. It is likely to present less organisational and political difficulties in that context.

1.2 Scope of the Study.

This study is not intended to be an exhaustive
discussion of evaluation. Rather, an attempt to draw
together those elements which appear most appropriate
to discovering both the potential and actual roles
that evaluation might and does play in the planning
process. By understanding the real constraints,both
on these roles and on the formalisation of evaluation
into the planning process, one might then prescribe
realistic ways of enhancing the role it plays.

Clearly the emphasis is on the application of
evaluation in local government. Therefore, I shall
discuss the methodological and technical issues of
evaluation only in so far as they have a bearing on
this. Much of the existing evaluation literature has
predominantly dealt with those two aspects.

1.3 Definitions.

The definition of evaluation adopted obviously
has implications for the roles one ultimately attributes
to it. Definitions of evaluation abound. They range
from those that emphasise the information seeking aspects
of evaluation such as Greenberg (1968):

> "the procedure by which programs are
> studied to ascertain their effectiveness
> in the fulfillment of goals"

and Suchman (1967):

> "the determination...of the results...
> attained by some activity to accomplish
> some valued goal or objective."

to those stressing the judgemental characteristics of
evaluation exemplified by Scriven (1967):

> "methodological activity which combines
> performance data with a goal scale."

Glass (1971) defines evaluation as an attempt to assess
worth or social utility. Suchman (1969) describes it as

> "a general process of making judgements
> of worth".

Its role may be restricted because of adherence to a
strict rigid definition.

There are essentially two instances whereby evaluation
impinges on the planning process. Firstly, at the stage
where alternative plans/policies are considered. At this
stage evaluation is employed to facilitate choice, between
these in order to determine the 'best' one. This is
commonly known as pre-evaluation. The second instance is
after a plan/policy has been implemented. At this stage
evaluation is employed to assess the impact the plan/
policy has had. This is commonly known as post-
evaluation. The prime difference between the two is
that there are data rather than speculations for the
latter. It is therefore possible to ask a much more
complicated series of questions about the relationship
between an action and an outcome. In this way, post
evaluation provides greater scope for considering the
role of evaluation and for improving public policy-
making.

Post-evaluation is usefully thought of, as taking
two broad forms: in one it is the consideration of an
ongoing plan/policy; in the other it is the de post facto
consideration of a plan/policy. These can be labelled
respectively formative or prospective and summative
or retrospective evaluation. (Scriven 1967)

I shall focus my attention on the post-evaluation
of plans/policies. A broad definition of evaluation
will be adopted,

> "an assessment of the performance and
> impact of plans/policies on a community."

Both post-evaluation and the application of
evaluation have been surprisingly neglected areas of
research. They are becoming increasingly important
areas, for reasons to be discussed. King (1976) has
noted that little has been done in these fields of
post evaluation and application. Heclo, declares
this as

> "one of the most rapidly expanding and
> least well mapped areas of political
> science."

(Heclo 1972)

As King (1976) remarks, one could not draw up a biblio-
graphy of British literature in this area as Dolbeare
(1975) has for the United States. We rely heavily on
U.S. experience in this field. It may not be transfer-
able. Application is of the utmost importance. The true
test of any method or technique such as evaluation is
whether it can be used. The few studies that have been
carried out have almost entirely, only considered pre-
evaluation. This is illustrated by the Notts-Derby
Study (1969) the Coventry-Solihull Study (1971).
Even Lichfield et al (1975) in their book entitled
"Evaluation in the Planning Process" concentrate
exclusively on pre-evaluation. Post evaluation is
not even considered. The exception is a study by Gillis
et al (1974) on monitoring.

Implicit in the above discussion is the assumption
that evaluation is 'a good thing'. There is an implicit
assumption that public policymaking, implementation
and performance are not perfect at present, and that
evaluation can help in their improvement. Planning is
supposedly carried out for the benefit of the community.
It should ensure that its policies remain relevant,
and are having the desired effects.

It would be foolish and naive to suggest that
evaluation offers the new Excalibur to local government.
Evaluation may serve to clarify issues and expose con-
flict. It may, as is proposed in this study, be more
than a judgement of whether a plan/policy has been a
success or failure. It can determine the reasons
behind success or failure and hence help to foster a
learning system of government. However, it will not
of itself 'solve' problems. It is but one of the inputs
to the political decision-making process.

1.4 The Level of Evaluation - The Active-Passive Continuum.

Various factors have coalesced recently to highlight
the need for evaluation to be incorporated into the
planning process. They have also created conditions which
serve to make it more likely that it will be in the
future. There are both, push and pull factors, endogenous
and exogenous to the local government system. They are
all working in the same general direction - to enhance
the role of evaluation by moving it towards the active
end of the continuum.

1.5 Factors Contributing to an Enhanced Level of Evaluation.

(a) Change and Uncertainty

As Rose (1976) and Travis (1969) argue respectively

"Change is one of the few certainties of life"

and

"Nothing is more inevitable than change"

Indeed, as Bennis et al (1972) argue, it is an acknowledge-
ment of change that makes us plan. The planner assumes
the world will continue to change and that this may have
undesirable effects, if it is not guided. An implicit

assumption of the public planning process is that it is necessarily concerned with future action and hence it must concern itself with change. If the underlying rationale of planning is to aid human development, which is itself the purposeful contrivance of change, then it must deal with change and respond to the inherent uncertainty on which action is based.

There are several areas in which change impinges on the planning process. Firstly, there are changes in the environment, which local government seeks to control and direct. As Eversley (1979) put it

> "the last time this country experienced
> a relatively 'stable state' (Schon 1967)
> must have been a century or two ago
> before the first Industrial Revolution.."

> "since then change has taken place at
> an ever-increasing rate"

Change is endemic in our society. Its economic, social, political and environmental attributes are constantly changing. The total population and its constituent elements alter, the economic and employment situation constantly change and there are shifts in social structures, attitudes and aspirations. These shifts will have important implications for the range, type and approach taken in the services provided by local government. Local government must respond to and perhaps anticipate the changes which are taking place.

Secondly, the aspirations and values of the community, on which the plan/policy is based, alter. To maintain its relevance, the plan/policy must alter to optimise these.

Change leads to uncertainty. Friend (1977) identifies three components of uncertainty which permeate the

planning process. These correspond to the discussion
above on change. They are: uncertainty in the knowledge
of the external operating environment; uncertainty as
to the future intentions of contiguous policy systems;
and uncertainty as to the set of appropriate policy
values in the community. As Friend (1977) points out,
uncertainty undermines policy. Change and uncertainty
then inevitably lead to plan/policy obsolescence.

> "The greater the degree of uncertainty,
> the greater the likelihood that plans
> right today will be wrong tomorrow."
>
> (Trist 1968)

Plans/policies are based either implicitly or
explicitly on a series of assumptions about the way
in which the environment works and of the way a policy
can guide development at one point in time. If it is
to remain a relevant and useful context for decision-
making its performance must be reviewed and policy
re-evaluated in the light of any significant changes.

Schon (1967) in his concept of the "loss of the
stable state", describes the extent to which local
government is acting in a highly uncertain environment.
It cannot respond to situations before they have been
superceded.

Implications for the Role of Evaluation.

Change and uncertainty provide the backcloth
for contemporary planning practice. The planning
process must acknowledge this, if it is to become
and remain relevant and effective. We can never remove
uncertainty entirely, only the passing of time can do
that. We can reduce it to more manageable proportions.
Clearly, plans/policies can never keep up with change.
It is impossible by definition. However, it is imperative
to develop some capacity to move with it. There is a

need for greater flexibility and adaptation (Jefferson
1973). Paradoxically,

> "the more turbulent the environment
> the more equilbrium they seek –
> failing to realise that the only
> equilibrium that can be obtained
> in a turbulent environment ⁃ is
> dynamic – like a ship in the sea"
>
> (Ackoff 1978)

Plans/policies therefore cannot be precise statements
but rather contingency arrangements. They must be robust
a concept developed by Gupta and Rosenhead (1968) to
describe the number of 'good' outcomes that are left
open or made possible by the actions taken.

As acknowledged by the R.T.P.I. symposium of 1976,
we must attempt to look objectively at what kind of
planning system is needed to satisfy these conditions of
change and uncertainty. It implies the need for the
planning process to be effective, flexible, action-
oriented and adaptive to local needs and change. Evaluation
may help in the realisation of this process, by enabling
the local government system to become more of a learning
process. Feedback will heighten the awareness of changes
in both the environment and in values.

> "The wise problem-solver constantly monitors
> solutions to past problems to be sure they
> are meeting his expectations. If they are
> not, he finds out why, and modifies them"
>
> (Jefferson 1973)

In addition,

> "Monitoring the environment, tracing out
> effects and side effects, analysing the
> environment could present us with
> a much firmer basis for policy formulation
> than we have now – its the business of
> learning"
>
> (Eddison 1973)

The learning process is dependent not just on the
feedback that evaluation provides. It will only come
about if evaluation is linked to the decision-making
process.

Intuitive approaches to the evaluation of policy
may be sufficient in a slowly changing environment.
In the turbulent environment described, there may be
a need for a more integrated systematic approach to
evaluation. This may call for its formalisation into
the planning process.

This discussion draws out one of the dilemmas
posed by evaluation in practice. It is not possible
or indeed desirable to attempt to continue analysis
until one has a full understanding of the problem,
because the problem is itself changing.

> "At some point one has to stop and
> take action".

> (F. Wedgwood-Oppenheim, 1972)

It is therefore imperative to pitch evaluation at
an appropriate level for the problem under consideration.
That is, in terms of financial resources, time and
manpower. A broader concept of evaluation may serve to
make it more acceptable and hence more likely to be
adopted by local government.

Evaluation presents an opportunity for taking
account of change and uncertainty in the local govern-
ment system and environment. It may thus serve to
improve decision-making and to enable the planning
process to become more flexible and adaptive.

(b) The "Era of Restraint".

This term was first coined by J.D. Stewart (1977)
to mark the end of planning for growth and to herald the

era of planning in a period of decline.

Broadly speaking, until the mid seventies, local
government administered a rising level of expenditure
and an expanding range of services. Between 1954-1974
local authority expenditure rose at twice the rate of
G.N.P. and increased as a percentage of public ex-
penditure from 23% to 31%. Benington (1975) described
this period as that when

"local government has become a big business".

Since then, however, it has become increasingly
clear that the scope for continued growth in public
expenditure is severely constrained. The White Paper
on Public Expenditure (Cmnd. 7746, 1976) confirmed
that the previous era of expansion was over. Particularly
since the present government took office in May 1979,
there has been a new and much sharper emphasis on
the need to reduce expenditure and to achieve maximum
value for money, that is efficiency. Efficiency and
effectiveness are not the same thing. As planners
we must ensure that adherence to the former is not
at the expense of the latter. Local government
expenditure did not decline by the 14% forecast in
the White Paper (Cmnd.7746). The cutbacks are cuts
in previous planned growth rather than in real terms.
Hepworth (1980) examines changes in local government
expenditure. He states that it actually rose up to
1979-1980. It is set to decline by 3.9% in 1980-1981.
The White Paper (Cmnd.7439, 1979) bears this out.
It shows an overall increase in expenditure from
£46,608 million at 1978 survey prices for 1979-1980
to £46,748 million for 1980-1981. Figure 1 illustrates
these changes in local government expenditure.

FIGURE 1.

Changes in local authorities' expenditure plans in each survey (United Kingdom) 1974-75 to 1980-81

Month and year of survey	(% change over previous year)						
	1974-5	1975-6	1976-7	1977-8	1978-9	1979-80	1980-1
Current expenditure							
Jan.1975	8.6	4.0	3.1	2.4	2.2		
Feb.1976		4.3	0.4	-0.3	-0.7	0.5	
Jan.1977			2.7	0.2	-0.6		
Jan.1978				1.0	1.0	1.1	1.0
Jan.1979					2.9	2.1	1.6
March 1980						2.1	-3.9
Capital expenditure							
Jan.1975	-2.5	-6.4	-3.0	-0.9	-0.6		
Feb.1976		-12.3	-12.4	-6.0	-4.6	-2.5	
Jan.1977			-15.8	-24.1	5.9		
Jan.1978				-7.8	6.6	2.7	1.3
Jan.1979					-0.6	3.1	1.0
Mar.1980						-1.4	-15.7
Ratio capital/ current expenditure:							
March 1980 survey	0.50	0.42	0.36	0.29	0.25	0.24	0.21

Sources: various Public Expenditure White Papers.
Source: Hepworth (1980) p.7.

Although it has not been as severe as the myths portray, any cuts albeit in planned growth will have repercussions on the services provided. To a large extent, the resources available determine the type and standard of service provided. One must consider resource constraint simultaneously with the demand for services. There is a continued high level of both needs and expectation by the public. This is not merely for access to services but increased quality of service.

Resource constraint necessitates priorities to be established. These ought to be on a rational basis to ensure that the best projects in terms of impact and effectiveness are preserved. Not, arbritary axeing of the last in, first out - or the vetoing of new projects.

Eversley (1975) suspects that we have not yet correctly or sufficiently adjusted to planning in an era of decline. He argues that periods of expansion encourage the development of certain skills in planning but lead to the neglect of others. As R. Young suggests (1977)

> "When money is plentiful there is little
> need to pose the question 'why'. There
> is no need to set priorities"

In addition, Stewart (1977) discusses how growth can be used to conceal conflict. But,

> "In the harsher climate of retrench-
> ment, conflict may replace consensus"

Implications for the Role of Evaluation.

Planning in a period of decline, requires a change in focus from the preparation of plans towards a greater

understanding: of the environment it seeks to control; of resources, their control impact and outcome and of learning.

It is in times of resource constraint that we must support the most needy. Evaluation may help by providing an informed basis for the government of difference (Stewart 1977). It is a mechanism for learning. It can determine who gains and who loses from particular plans/policies. By comparing the benefits of different programmes, it may aid in setting priorities. It might provide a basis for improving modes of service delivery which again will aid in the setting of priorities. Hatry and Dunn (1971) place great importance on the allocation of funds to measure effectiveness, in order to make better use of resources.

The fiscal crisis has undoubtedly forced local authorities to take seriously the need to evaluate their policies. As Young (1977) points out, it is paradoxically the worst possible time to do so. Evaluation is more likely to be perceived as a threat to budgets and hence more likely to be resisted. However, one would expect a more active role for evaluation, with increased financial stringency.

(c) Local Government Accountability.

> "The age of government accountability
> is with us"
>
> (Hellibꞏoe 1978)

Suchman (1967) describes this as when

> "social institutions...are required to
> produce 'proof' of their legitimacy
> and effectiveness, in order to justify
> society's continual support".

Dye (1978) describes the previous attitude whereby it

was more or less taken for granted that once a law
was passed and the money allocated and spent - that
the problem was taken care of. There was no regard
for the vicissitudes of implementation or the
reliability of the theory of causality. However,
there has been growing discontent both from the
public and from within local government itself, at
its impotence in solving problems. Many old problems
still remain. The housing problem shows no sign of
going away instead, it changes form, every decade
or so. New problems emerge:- the Inner City problem
and Multiple Deprivation. Nelson and Longbottom (1978)
discuss the growing feeling that resource allocation
ought to be managed more effectively to improve the
benefits to the public.

Local government is in the position of a monopoly
supplier. As Schulze (1968) argues, business relies
on profit and turnover to act as a regulator on the
quality of decisions. Local government has no such
regulator to say when it is not productive, when it
could be more efficient, or when plans/policies
should be displaced.

The R.T.P.I. (1979) stated

> "Planning is rightly going to be
> increasingly called to account for
> its performance".

It expressed a concern that all departments ought to
use available resources to the full.

At the end of the day, planning will be judged
by its performance and impact not on the purity of
its motives.

Accountability demonstrates the political nature

of the planning process. In a pluralist society there
can be no single public interest and there can be no
single 'best' plan/policy. The redistributive effects
of policy will always mean that pleasure to some is
pain to others.

> "it matters in a political economy who
> pays and who profits"
>
> (Webber 1971)

A politician in pursuing a policy to meet a particular
end must constantly check to see if those ends are
being met. Indeed, he must check whether the 'ends'
themselves have altered.

This factor (c) must be considered in conjunction
with the previous (b). At the same time as there has
been a relative cut in resources, there has been a
rise in the expectations of the public, with regard
to service provision. The local government role has
expanded from providing services which could not
otherwise be met or were better so provided. Now it is
expected to meet all demands, and to take initiative.
Stewart (1980) describes these respectively as the
'maintenance' and 'change' roles of local government.
He argues that the former has been predominant in the
past, but the latter is of most importance now and
needs to be strengthened.

Implications for the Role of Evaluation.

Evaluation has an important role to play in making
local government more accountable. Councillors might
be expected to welcome it. As one protaganist put it
evaluation

> " is of unequivocal importance and
> of indisputable political virtue..
> it is politics"

It would enable them to demonstrate the effects of
their policies. It might also however reveal some
unpalatable facts. If policies were not having the
desired effects, evaluation may establish why, in
order that they might be altered. Evaluation would
support and encourage the 'change' role of local
government.

The combination of factors (b) and (c) put local
government in somewhat of a 'Catch 22' situation.
Many see local government to be facing a crisis. As
Jackson (1976) reminds us, the Chinese ideographic
for 'crisis' is 'opportunity'. Evaluation could seize
this opportunity to establish itself as an integral
part of the planning process.

Evaluation naturally made little sense in a self
satisfied context, when impact and performance were
not perceived as problems. Now, the seeds of discontent
are sown and flourishing. This will undoubtedly enhance
the role evaluation can play in the planning process.

CHAPTER 2.

THE PLANNING PROCESS.

In order to fully understand the role that evaluation can play in the planning process, clearly one must examine this process. Naturally, different definitions and different methods of operation used in the planning process, will have repercussions on, and implications for, the role that evaluation can play. These factors determine the way it is or is not fitted into the process. One might postulate, that if the planning process were significantly redefined, either conceptually or in form, then this role would also be transformed.

This chapter attempts to outline a broad conceptual framework of what can be identified as the process of planning, its intrinsic meaning, in order to structure the discussion of the role of evaluation in the planning process. The limited number of conceptual schemes considered, are of necessity oversimplified. The definitions of planning and the planning process are not as comprehensive in scope as would be possible were this study devoted to these subjects per se.

2.1 Definitions of Planning and the Planning Process.

Planning is often portrayed as meaning all things to all men. The multitude of definitions applied to it, bear this out. The Oxford English Dictionary simply states, that to plan is

"to arrange beforehand"

Planning is essentially purposefully contrived change because it is directed towards the achievement of a specified goal. The purpose of planning is surely to assist human development towards the achievement of its goals. It is implicitly assumed that change will continue

to occur without it, and that this may have undesirable effects. It is also implicitly assumed that planners can, indeed, change the future.

There is a distinct pattern in the types of definition applied. One can discern a movement away from those which emphasise the regulation of land-use,

> "Planning is a conscious exercise of the
> powers of combination and design."
>
> (Abercrombie, 1933)

to those which encompass social, economic and environmental factors.

> "The planner...is an allocator of scarce resources".
>
> (Eversley,1973)

More recently planning is regarded as a form of control, guiding change.

> "Planning is a process for controlling
> the environment"
>
> (Notts Derby Unit/Gillis et al. 1974)

McLoughlin (1969) describes it as the control of complex systems, in order to achieve homeostasis. According to Eversley (1973) it is interventionist

> "it is social action"

Friedmann (1959) defined it as,

> "an activity by which man in society
> endeavours to gain mastery over himself
> and to shape his collective future by
> power of this reason. Planning is
> nothing more than a certain manner of
> arriving at decisions and actions, the
> intention of which is to promote the
> social good of society undergoing
> rapid changes".
>
> (Friedmann, 1959)

One clearly discerns a movement from the consideration
of planning as an impartial apolitical technical process.
It is now portrayed as a contentious highly political
process.

> "Planning is a political not a technical
> process."
>
> (McLoughlin, 1969)

This view is re-echoed by Friend and Jessop (1969) where
it is regarded as

> "a process of strategic choice"

They identify the 'government system' acting on behalf
of and responding to the 'community system'.

Obviously, what one considers planning to be and
the purposes it is intended to serve, will have an
important influence on the process generated to fulfill
this. The preceding discussion illustrated shifts in
the definition of planning. As Sarly (1972) expounds,
the definitions clearly demonstrate that there have
been some fundamental changes in what one considers
to be the scope and purpose of planning. Parallelling
these, there has been a movement away from the consider-
ation of the planning process in operational terms as
a linear sequence Fig.2.1, towards that of it as a
'continuous cyclical process', Figure 2.2. (McLoughlin,1969).
Dror (1963), Webber (1965) and Faludi (1971) all regard
the process as a continuous activity in the sense that
it has no definite beginning or end.

This process is characterised by recognisable
stages (see Fig.2.2). These are the same as those of
the linear process, survey analysis and plan or action,
but in addition include implementation and review stages.
It therefore includes not only input, flow and output,
but also, feedback.

FIGURE 2.1. THE LINEAR PLANNING PROCESS.

SURVEY
↓
ANALYSIS
↓
GOAL FORMULATION
↓
IDENTIFICATION OF OBJECTIVES
↓
EVALUATION OF ALTERNATIVES
↓
SELECTION FOM ALTERNATIVES
↓
IMPLEMENTATION
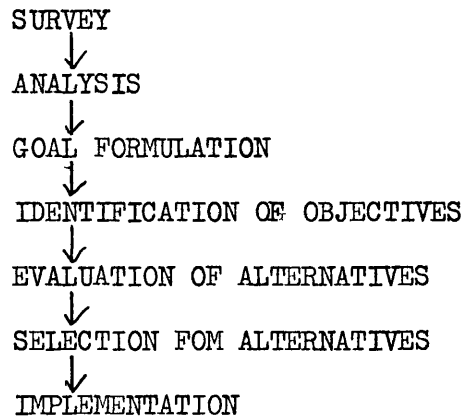
FIGURE.2.2. THE CONTINUOUS CYCLICAL PLANNING PROCESS.

ENVI RONMENT IS SCANNED ←— — — — — —
(needs and desires of the
community.)

GOAL FORMULATION AND IDENTIFICATION OF OBJECTIVES. ←——

STUDY OF POSSIBLE COURSES OF ACTION ←————
to achieve objectives.

EVALUATION OF ALTERNATIVES ←————————

SELECTION FROM ALTERNATIVES ←————

ACTION TO IMPLEMENT THE PLAN/POLICY ←————

MONITORING ←——————————

REVIEW AND POST EVALUATION OF THE PLAN/POLICY ————
AND THE CONTROL MECHANISM.

Feedback Loop
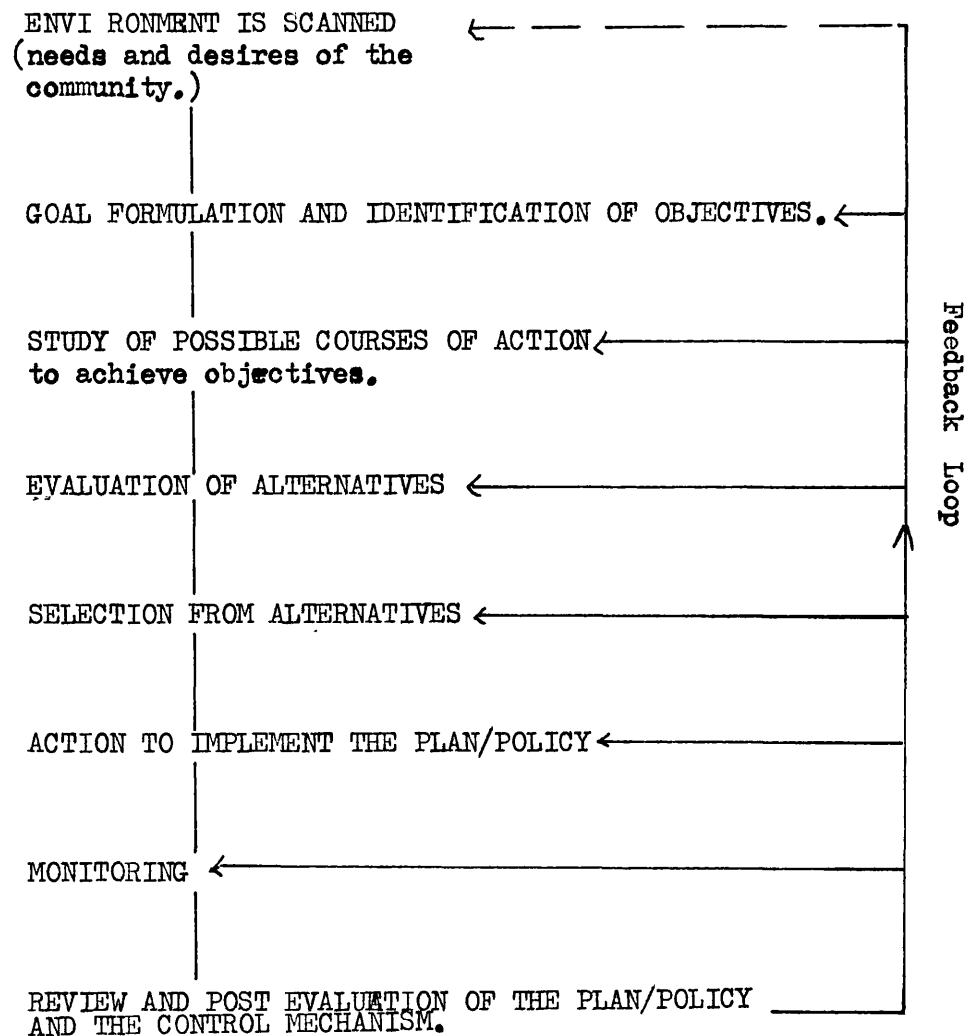
The R.I.P.I. (1974) support this emerging concept
of the planning process and,

> "Look on planning much more as a process
> and much less in terms of the land-use
> fulfillment of plans."

If one asks, what planning is for, several answers
spring to mind. Justifications range from the distributive
and social justice arguments of (Harvey, 1973), to
externality and market system deficiency arguments. These
are mainly negative reasons. On the positive side as
Dror (1968) emphasises, the significant output of the
planning process is its _effect_ on social situations.
Thus, the key to understanding the role of evaluation
in the planning process is to find out the way in which
it contributes to this output. This is to be more fully
discussed in chapter four.

Another emerging concept of the planning process
is that it is goal - oriented, (Perraton, 1974) and
(Haynes, 1974) and in some sense rational. The former
is supported by Meyerson and Banfield (1955) who feel
that planning ought to seek to choose the means which
best promote the most valued ends. The latter is promoted
by Faludi (1971). To be precise, he sees the process as
lying somewhere between the dimensional extremes of
the rational deduction and disjointed incrementalism
models of planning. These models are to be discussed.

An increasingly popular view is that of planning as

> "planning an activity centrally concerned
> with the linkage between knowledge and
> organised action.
> (Friedmam and Hudson, 1974)

Implications for the Role of Evaluation.

Despite the impression given by the above discussion;
that a definition of planning and the planning process

eludes consensual agreement, all the definitions
indicate that it is future-oriented. As such, it is
therefore subject to the difficulties and consequent
implications that change and uncertainty bring. These
have been outlined in the previous chapter. Suffice
to note, they serve to enhance the role of evaluation,
moving it along towards the active end of the active
passive spectrum.

If planning is concerned with control of a system
or more realistically with its guidance, there must
be some mechanism to detect significant changes. For
control to be effective, it must direct and more
importantly respond to change. Evaluation has a role
to play therefore in the collection and analysis of
information - feedback.

If one considers planning to be a political process,
in the same vein as Friend and Jessop (1969), then
evaluation must play an essential role. If the 'government
system' is regarded as acting on behalf of and responding
to the 'community system' then plans/policies, must be
based by definition, on the goals and objectives of
that community. Not, on those of the plan/policy producers.
These change over time. Evaluative studies can help
by determining whether plans/policies are still relevant,
to community needs and desires. Furthermore, this con-
sideration of planning necessitates an evaluation of
the impact of plans/policies in order to ascertain
whether they are having the desired effects.

It has been established that the key to understanding
the role of evaluation in the planning process is to
find out the ways in which it contributes to output
or effect. Evaluation, as a formal assessment of the
comparative advantages and disadvantages of a project,
can bring to light when a given plan/policy is not

living up to its expectations, causing harmful effects
or indeed, underlining its success. This in turn may be
used to alter the plan/policy, so that it has an improved
desirable impact and effect on the given situation.

The notion of the planning process as a continuous
and cyclical has profound implications for the role of
evaluation . Figures 2.1 and 2.2 demonstrate, that the
essential difference between a linear planning process
and a continuous cyclical one, is a feedback loop.
Evaluation provides this feedback and as such is the
critical element in the realisation of a continuous
cyclical planning process. Evaluation enables the process
to respond to change.

A continuous planning process supposedly consists
of the systematic continuous, forward looking application
of the best information available. As such, it necessitates
the constant re-examination of traditions and decisions
in order to adapt and adjust policies. Eddison (1975)
argues strongly that for a process to be continuous it
must of necessity be based on learning.

> "Planning is the process of preparing
> a set of decisions for action in the
> future directed at achieving goals by
> optimal means and of learning from
> the outcome and possible new sets of
> decisions, new goals to be achieved."
>
> (Eddison 1975)

and

> "Learning and feedback are not fashionable
> glosses to planning but the crucial links
> which give the dynamic to the process...
> The whole essence of planning is that it
> is dynamic and that the approach to it
> should be likewise"
>
> (Eddison, 1975)

The following section intends to examine various
models of the planning process and draw from these,
implications for the role of evaluation. It is not
proposed to give an in-depth analysis of the various
stages of these processes. These are readily apparent
from the description. To reiterate, there are two
points where evaluation fits into a planning process.
At the selection of alternatives stage - pre-evaluation
and of concern here, during or after the implementation
stage. (See Figure 2.2) - post evaluation.

2.2 Models and Modes of Planning.

(a) The Rational - Deductive Model.

The rational ideal model, has always played a
major role in planning ideas and still is, to some
extent, the dominant paradigm of planning according
to the profession. However, of late, academics have
moved somewhat from this stance. As described by Etzioni

> "Rationality is the widely held concept
> of how decisions ought to be made."
>
> (Etzioni, 1967)

It is suggested that as man and society have become
more sophisticated, so they both attempt to become
and assume that they are more rational. Hence the view,
as Bird (1968) has suggested, that valid planning can
exist, only in a society that attempts rationality
and that a rational society must necessarily involve
planning in some form. Dahl purports that

> "planning is more and more regarded as
> equivalent to rational social action,
> that is, as a social process for
> reaching a rational decision."
>
> (Dahl, 1959)

Sarly (1972) argues that undertaking planning, necessarily obliges the planner to be explicit and rational in his activity, in order to reduce uncertainty in his understanding of the problem and to expand the scope of his considerations beyond the matter immediately at hand. The goals towards which the planning process is oriented are prescribed to be pursued by optimal means, that is, they are rationally deduced.

These considerations underline to some extent why rationality has been such a tempting norm to planners. As Regan remarks,

> "The assertion on all sides is that
> decisions can and should be as rational
> as possible."

(Regan 1978)

Planners have sought refuge in this, attempted comprehensive planning and maintained political non-alignment.

Others, disagree with the views expounded above. Some, such as Simmie (1974) question whether planning can ever be rational.

The rational model is composed of:

(1) Clarification of objectives or values
(2) Survey of all alternative means of reaching objectives
(3) Identification of all consequences, including side-effects or by - products of each alternative means
(4) Evaluation of each set of consequences in the light of the objectives.

As such it is a goal oriented, comprehensive, ends-means model of planning. As (1) points out, it is not devoid of a value base.

There are many limitations to this model and these have been taken up by Braybrooke and Lindblom (1963) in their assertion for the incrementalist model. They criticise the synoptic ideal on the grounds that it is neither possible nor even desirable.

The limitations of this model include:

(1) It assumes perfect knowledge of goals and values;

(2) It necessitates a comprehensive analysis of the situation. One must both know and understand all variables. In reality, one could not even identify them all;

(3) It assumes one can identify all relevant alternatives;

(4) It assumes one can evaluate the consequences of all these alternatives;

(5) It assumes one can thus choose the 'best' one to implement. This assumes, that it is possible to implement and more importantly that there is a solution to the problem within our capacity to control.

Braybrooke and Lindblom (1963), state that this synoptic ideal is not suited to the problems of man as a problem-solving animal. The operational shortcomings include,

(a) It is not suited to human intellectual limitations

(b) It is not adapted to the inadequacy of information

(c) No account is taken of the costliness of analysis

(d) No account is taken of the failure to create adequate evaluation methods and weighting methodologies. Nor that evaluation is not as yet systematic.

(e) There is no acknowledgement of the connectedness of fact and value.

(f) It is not appropriate to the openess of real systems.

(g) It is not adaptive to the need for strategic sequence of analysis and implementation

(h) It does not consider that goal setting is complex, conflictory and ambiguous. Even in the absence of social disagreement there is great difficulty in specifying goals. To elaborate, Banfield argues that

> "society has no goals except at the level
> of vague generality"
>
> (Banfield 1965)

and Millward suggests that

> "concrete meaningful goals do not always
> exist, sometimes cannot be articulated
> and seldom are agreed upon even within
> the confines of a specific agency'
>
> (Millward 1968)

(i)   There is no account taken of political variables
      or the importance of vested interests.

(j)   It assumes certainty and stability.

These points illustrate the narrow and utopian nature
of this model. It is an ideal, as such, it has virtues.
Both Faludi (1971) and Dykman (1969) denounce it as
purely idealistic although they consider it has potential.
Unlike Lindblom (1959), Banfield (1959) on finding that
organisations do not engage in rational planning, continues
to uphold this model as an ideal. He regards the adoption
of means to ends as a valid and rewarding concept.

If there is a great disparity between the ideal of
rational comprehensive planning and the reality of
governmental decision-making as Banfield (1959) and
Schon (1967) suggest, then what is the worth of having
a rational mode of analysis? Both, demonstrate how
problems militate against the planning process ever
becoming a truly rational process. Decision makers may
not have any intention of making a rational decision.
Indeed, as Lichfield (1968) suggests, good decisions
can be reached through other means such as prejudice,
power, precedent and politics.

Implications of the Model for the Role of Evaluation.

All these issues are pertinent to the idea of
formalising evaluation into the planning process. For,

to some extent, evaluation itself might be likened to a rational process.

There are contrary influences of this model for the role of evaluation. It might be expected to play a major and active role, for the model explicitly recognises it, as stage four. The model requires the consideration of all alternatives and their evaluation. On the other hand, the theory of this model is formulated on the principle of complete certainty. It assumes complete and perfect information and therefore specifically excludes learning. In this case evaluation would have a negligible role to play because if it is considered that the 'best' has been done (all alternatives are considered and the 'best' chosen) then the best possible impact will already be attained and the raisan d'etre of evaluation removed.

This model is an ideal to strive for and indeed one that practising planners work towards. It is important to recognise its limitations, in order to improve its fulfillment. Evaluation could contribute towards the attainment of greater rationality in the planning process. It could do so by providing more information in the form of feedback from the environment, of changes in it and of the effects of policy. In order to achieve the optimum solution, a decision-maker must know the courses of action open to him, their costs and returns.

An important role envisaged for evaluation might be in the validation of the goals and objectives of the rational process. These are taken as given in the model. However, they are likely to alter over time. Evaluation might aid in maintaining the relevance of this rational process over time.

An emergent issue, is that of complete and perfect information. Information is always necessary to decision-makers, but given the finite nature of resources which

can in practice be devoted to gaining additional in-
crements of information, (time financial and manpower)
a decision must be taken about the amount of information
required. Evaluation must itself be evaluated. Some
balance must be struck between resources spent in this
manner and on provision of services. Too much information
is fruitless as diminishing returns set in. Some decisions
for plans/policies may only require intuitive subjective
judgement not a systematic formal evaluation. An analogy
with a card game may serve to illustrate this point.
If one played Patience in a purely rational manner, one
is most likely to 'win' though it may take a long time
to do so. If one played as one does in reality, taking
chances based on some subjective judgement, one might
lose but one might also win, in a much shorter time.
This begs the question of just what is the most
appropriate depth and extent of evaluation and analysis.

If the rational process is taken too literally
it runs the risk of introducing a conservative bias
towards the production and implementation of 'safe'
policies. Less support would be given to perhaps innovative
ideas, with relatively high chances of failure even
though the opportunity for accomplishing such proposals
may be significant. Millward (1968) suggests that this
has important implications for pressing social problems,
where high risk programmes must be tried. Once again,
one might make the same reservations about the formalisation
of evaluation into the planning process.

No one would actually advocate irrational decision-
making. The real problem, as I see it, has been the rigid
restricted form that both the rational process and
evaluation have taken up till now. This technical narrow
concept has clouded the perception of practitioners in the

field. It has served to denignate the role assigned
to evaluation. Hence Wildavsky's (1969) plea, to
"rescue policy analysis from P.P.B.S". The implication
being, otherwise it too will suffer from the latters
reputation. P.P.B.S. has been put forward as a form
of rational decision-making. In practice, it has tended
to be a system or set of techniques - a narrow inflexible
set.

What then of the planners zeal for a rational process
of decision-making? If it is not defined too strictly,
there is an important role for evaluation in the progressive
movement towards rationality. One could propose that
human action is rational in so far as it pursues ends
that are possible, within the conditions of the situation.
Be means, which amongst those available, were considered
to be the best adapted to this end, for reasons verifiable
by evidence, experience of past decisions and a value
system. Evaluation and the creation of a learning system
of government can supply this evidence and experience.

(b) The Incrementalist Model.

From the previous discussion on the limitations of
the rational decision-making process, Braybrooke and
Lindblom (1963) assert that in reality decision-making
tends to be:

(1) incremental, that is it tends towards relatively
     small changes at the margin.
(2) remedial, in that decisions are made to move away
     from problems rather than toward goals.
(3) serial, in that problems are not solved at one
     stroke but are rather successively attacked.
(4) exploratory, in that goals are continually being
     redefined or newly discovered.

(5) fragmented or limited, in that problems are attacked by considering a limited number of alternatives rather than all possible alternatives.

(6) disjointed, in that there are many dispersed decision points.

This model is based on what is purported to be the empirical character of plan/policy making. As such they assert that it is more likely to be effective than the traditional notion of synoptic or rational comprehensive idealism, which they maintain is impossible to attain anyway. Although this model may indeed be more realistic, in that it accords more with how decisions are actually made, and meets the characteristic difficulties of synoptic planning, it is questionable whether for those reasons it is therefore a 'better' model. Rationality may be a preferred normative model and incrementalism a better descriptive model.

According to this model, the planner would not attempt comprehensive planning. Rather he would work with segmented and incremental policy problems as they arose. Analysis would be partial. Plans would be envisaged as short run reactions to problems. There would be no attempt to define or articulate goals, rather, merely to describe the problems foreseen and how they might be dealt with. The planner would not attempt to devise means to meet particular ends (as he did in the rational model). Instead, he would select ends appropriate to the available means. There would be no attempt to identify all the possible alternative solutions to a problem . Nor, any concern with unforeseen effects which might arise. All decisions, plans/policies, are considered as marginal adjustments to the current situation. The baseline from which planners work are the current policies, not some ideal.

Implications of the model for the Role of Evaluation.

As Etzioni (1967) suggests,

> "Democracy must accept a relatively high
> degree of incrementalism...because of
> the greater need to give gain support for
> new decisions from many and conflicting
> subsocieties, a need which reduces their
> capacity to follow a long run plan."

Dror (1968) argues that this model would be fine, if
one was sure that the results of past/present policies
were effective and relevant and given a relatively
stable environment. We do not know about the former
conditions, paradoxically because of the lack of
evaluation. However, it has been previously argued
that the environment within which local government works
and seeks to control, is a rapidly changing, turbulent
one.

On the one hand, as there is no attempt made at
comprehensiveness, then the role of evaluation might
be negligible and/or passive. The incremental, remedial,
serial, fradmented and disjointed elements of this process
would also result in a limited role for evaluation.

Yet, on the other hand, it does acknowledge that
change will occur, albeit at the margin. Indeed, flexibility
and adaptability at the margin, are the essence of this
model. In this sense the role for evaluation is likely
to be enhanced. If one considers change to be on the
basis of small serial remedial steps it could be argued
that this would facilitate a place for evaluation. The
amount of data required, the number of variables to be
controlled and thus the potential cost of evaluation
would be reduced.

Clearly, it would be a reactive role and somewhat
passive in the sense that it would be ad hoc in nature,
and peripheral to the process of decision-making.

One of the most important limitations of this
role is that it leads to conservation. It reinforces
inertia and supports the status quo. It is an anti-
innovative force. It may result in unjust planning
and costly opportunity costs, by not initiating
radical changes if these are needed. Evaluation could
increase its awareness that such changes are needed.

It does not attempt to define goals. This would
pose great problems for evaluation. Goals and objectives
provide the basis for comparison. In its proposal to
have no consideration for side-effects, one can discern
a fairly low profile for evaluation. Consideration of
this sort is on underlying rationale of evaluation, but
this model does not perceive this to be of any importance.

In recognition of the fact that this is the process
or model most close to reality, one might distinguish
a role for evaluation, in attempting to enable in-
cremental decisions to be taken in a more rational manner.
It could do so, by the application of more facts and
knowledge to the process. At the end of the day though
final decision rests with elected members and evaluation
findings will form but one part of their overall con-
sideration.

Given that decisions are taken at the margin,
evaluation studies could become a device to help a
decision maker, by contributing to his bargaining power.
(Quade 1976)

This model has repercussions for the formalisation
of evaluation into the planning process. It regards
review as being partial and reactive, in response to a
particular stimulus. That is it is advocates evaluation
on an ad hoc basis.

By way of summary Dror (1975) in his forward to

Skitt's (1975) "Practical Corporate Planning" remarks
that "muddling through" or "disjointed incrementalism"
implies a positive outcome, in the sense that somehow
one "gets through". This mode of decision-making has an
underlying assumption, namely, that the mud is not more
than three feet deep. When the mud is ten feet deep,
clearly some other method for "getting through" is
necessary. Dror (1975) sees this other method as
corporate planning based on constant and rapid learning.
Clearly, this other method includes a major role for
evaluation.

(c)   The Mixed-Scanning Model.

This model was developed by Etzioni (1967) in
criticism of both the rational-deductive and the
incrementalist models. As Dror expounded (1963)

> "What is needed is a model which fits
> reality while being directed towards its
> improvement".

This model is a synthesis, an attempt to combine the
strongest features of the other two models. It involves
a two phase decision-making process.

(1)   A broad sweep or scan of planning problems and
      options assessed against their value. These are
      all considered in low detail.

(2)   Within the above, decision-making proposals are
      considered incrementally. These are considered
      in very great detail.

Implications of the Model for the Role of Evaluation.

This model explicitly acknowledges the need for
review of implementation, and hence there is potentially
an active role for evaluation. In order to realise its
ambitions, evaluation would need to be central to the
process and hence of a more systematic nature than has

occurred to date. In scanning for new alternatives, problems and goals,evaluation will be critical. We can see here a move from the first of Rivlin's (1971) classification - the extent and nature of the problem to an attempt to take stock of what 'package' fits best and even towards how to improve delivery of a particular 'package'.

This model acknowledges that different situations call for different decision-making techniques. Hence, that evaluation does not have to be of a standard uniform type, but rather ought to be pitched at an appropriate level according to the task or role it is supposed to perform. This model includes the acceptance of elements of risk which any action in-volves and as such it compliments the view of man attempting to gain control over his environment and yet seeking to learn from the consequences of his action. Once again, evaluation as part of a learning process is an important feature of this process.

(d)   The Adaptive - Iterative Mode of Planning.

Due to the vagaries of change and uncertainty many critics feel that long term planning is not possible or desirable. Although plans/policies change the environment, the environment conversely changes both the plans/policies and the interrelated set of concepts underlying the planning process.

As Hart (1976) documents, a significant body of opinion began to crystallise during the sixties, around the belief that planning, it it were to remain effective, should operate as a reciprocal system. Adaptive planning is then an attempt to build in flexibility into the planning process.

In 1969, Friend and Jessop stated their belief in the difficulty of formulating strategies which were sufficient to cope with all conceivable contingencies.

The complexity of the system and our imperfect under-
standing of it, prevented it. Therefore, they proposed
that planning must become in some sense an 'adaptive
process'. Flexibility would be of the utmost importance
in this process, to keep choice open for the future. It
is not to be seen as a promotion of vagueness but
rather commitment compatible with a range of alternative
future strategies. As Wedgwood-Oppenheim (1972) purports
adaptive planning.

> "appears to provide a practical framework
> for planning under conditions of un-
> certainty"

Hart (1976) also sees this process as improving on the
satisficing high and incremental policy-making in
accepting a   degree of uncertainty. Adaptive planning
is considered necessary in order to take explicit account
of uncertainty.

Adaptive planning differs from disjointed incrementalism
in at least four distinct ways: In the adaptive planning
process

(1)   There is deliberate search for potential future
      problems,

(2)   Choices are based not only on current action, but
      future implications.

(3)   Decisions and effects may be incremental but they
      are chosen not to avoid disruption but <u>consciously</u>
      as a result of exploration of long run and wide
      ranging considerations.

(4)   It uses issues not problems as a base. It means
      not only tackling <u>current</u> problems but scanning
      existing activities to search for potential
      future problems.

The output/outcome of the adaptive planning process
is not a plan as such but action of immediate concern
and a deeper understanding of both current and future
problems.

Information can only reduce uncertainty it cannot eliminate it. Hence, this process is cyclic and continuous. Adaptive planning is as Hart (1976) suggests, an iterative process, involving repeated cycles of formulating alternative futures, evaluation and refinement. A plan/policy is produced and implemented. More information and evaluation is carried out and the plan/policy is modified. New problems arise and new solutions are advocated.

Implications of the Model for the Role of Evaluation.

This process involves not just response to change but also creating change. In its acknowledgement of uncertainty and the need to reduce it, it explicitly advocates an active role for evaluation in a continuous planning process. Flexibility is seen as a necessary response to the requirement of maintaining effectiveness and relevance. The adaptive planning process relies on feedback from past experience and current policy, to apply this to both current and future problems and solutions. This mode of planning has all the characteristics of a learning process. In terms of the type or depth of evaluation, this process really only embraces the first of Rivlin's (1971) typology.

Evaluation is central to this model of planning, it enables it to identify and so respond to significant changes. Almost by definition adaptive planning can be no more than an ideal if there is no monitoring or evaluative mechanism.

(e) The Systems Approach.

According to the Oxford English Dictionary, a system is

> "a complex whole, a set of connected things
> or parts, a department of knowledge or
> belief considered as an organised whole."

The definition of any particular system is arbritary
and defined systems exist within larger systems. Friend
and Jessop (1969) identify the government system and the
community system. Planning is at the interface between
the two. Of particular relevance to this study, is that
a system also exists in relation to an environment, and
the system may be 'open' or 'closed' in relation to
that environment. The local government system under
discussion here, might be best considered as an 'open'
system. Open systems are in a continual state of inter-
action with their environment and hence can never reach
a state of pure equilibrium. However, relative stability
may be achieved by a continuous relationship between
inputs, flows and outputs. Burns and Stalker (1961)
also distinguish between 'mechanistic' and 'organic'
or 'adaptive' systems. The latter is the most typical
of human decision-making processes. Systems analysis is
the analysis of systems which according to Catanese and
Steiss (1968) involves the separation of a system with
its component sub-systems in order to examine the
relations to one another and to the system as a whole.
It is a direct descendant of operational research which
was a method for solving tactical and strategic problems
of a military nature during the last war. Its goal
was the optimisation of resource allocation and it has
since been adapted in business and industry as a
technique for optimising the performance of a system.

Of late, the systems approach has been increasingly
applied in the social sciences and public policy. A well
known attempt to apply such an approach to an important
area of government was that of P.P.B.S. in the United
States Department of Defence in the early sixties.
President Johnson then advocated extending its use
to all government departments. In the United Kingdom
the systems approach to planning was first advocated by
McLoughlin (1969) and Chadwick (1972).

Clearly if one considers the definition of planning
as that of the control, or perhaps more realistically,
the guidance of complex systems such as cities and
regions rather than merely land use regulation - then
this approach will have considerable relevance in
providing a conceptual framework. The systems approach
supports the idea of a continuous adaptive planning
process, of necessity. In order to explain this necessity,
one must consider in more detail the nature of a system,
and the control of systems. The literature on cybernetics
is of relevance as it may be defined as

"The control and regulation of complex systems".

N. Weiner defined cybernetics in 1948 as

"the science of control and communication
in the animal and in the machine"

Ashby (1956) proposes it as the art of 'steermanship'.
He also sees it as offering a hope of providing effective
methods for the study and control of systems that are
'intrinsically extremely complex'.

The planner is concerned with a system, the object
of which is to perform a specified function. The object
of his deliberate control is to maintain the output which
will satisfy the system's requirements. That is, the
needs and desires of the community on whose behalf it
is working. If the plan/policy is deemed to be correct
at a given time, the control is aimed at providing
direction and conformance to the plan or the maintenance
of variations from it, within tolerable limits. As
conditions needs and aspirations alter, so the output
of the government system, the plan/policy must be brought
into line.

The basic elements common to every control situation
are; (1) a controlled situation; (2) a sensory device
or method for measuring that condition; (3) a control
unit or equipment which will compare the measured data
with the planned performance and which directs a correcting

mechanism which is capable of bringing about a change
in the operating system.

The controlled situation of relevance to planning
is the evolving system that is being planned. The
basis of control is the comparison of changes in the
system, actual against proposed. On the basis of this
information feedback on actual performance, the system
may then adjust accordingly in order to increase
homeostasis. The plan/policy's goals and objectives
will change over time, partly as a result of changes
in the system and partly in response to extra system
pressures. See Fig. 2.3 for a diagrammatical re-
presentation of a control process. In order to maintain
the performance of the system within tolerable limits,
the planner must naturally be continuously aware of
the state of the system. This necessitates monitoring
and evaluation, so as to provide a continuous flow of
relevant information about those changes and to provide
some basis for the consideration of whether they are
significant changes or not. Evaluation can be proposed
having a major role in providing a feedback loop to
the decision makers.

Feedback.

From the foregoing discussion one can see that
evaluation fits into the planning process as feedback.
It supplies the results of past decisions and actions to
be then fed forward to the decision makers. This may
allow for changes in the plan/policy to occur and it aids
therefore in the creation of a learning process. As
McLoughlin (1969) argues,

> "If we wish that policies are relevant to
> the needs of the community there must be
> feedback from the action level to the
> review of policy. If we wish policies to
> result in effective programmes, the same
> is true."

FIGURE 2.3. A CONTROL PROCESS
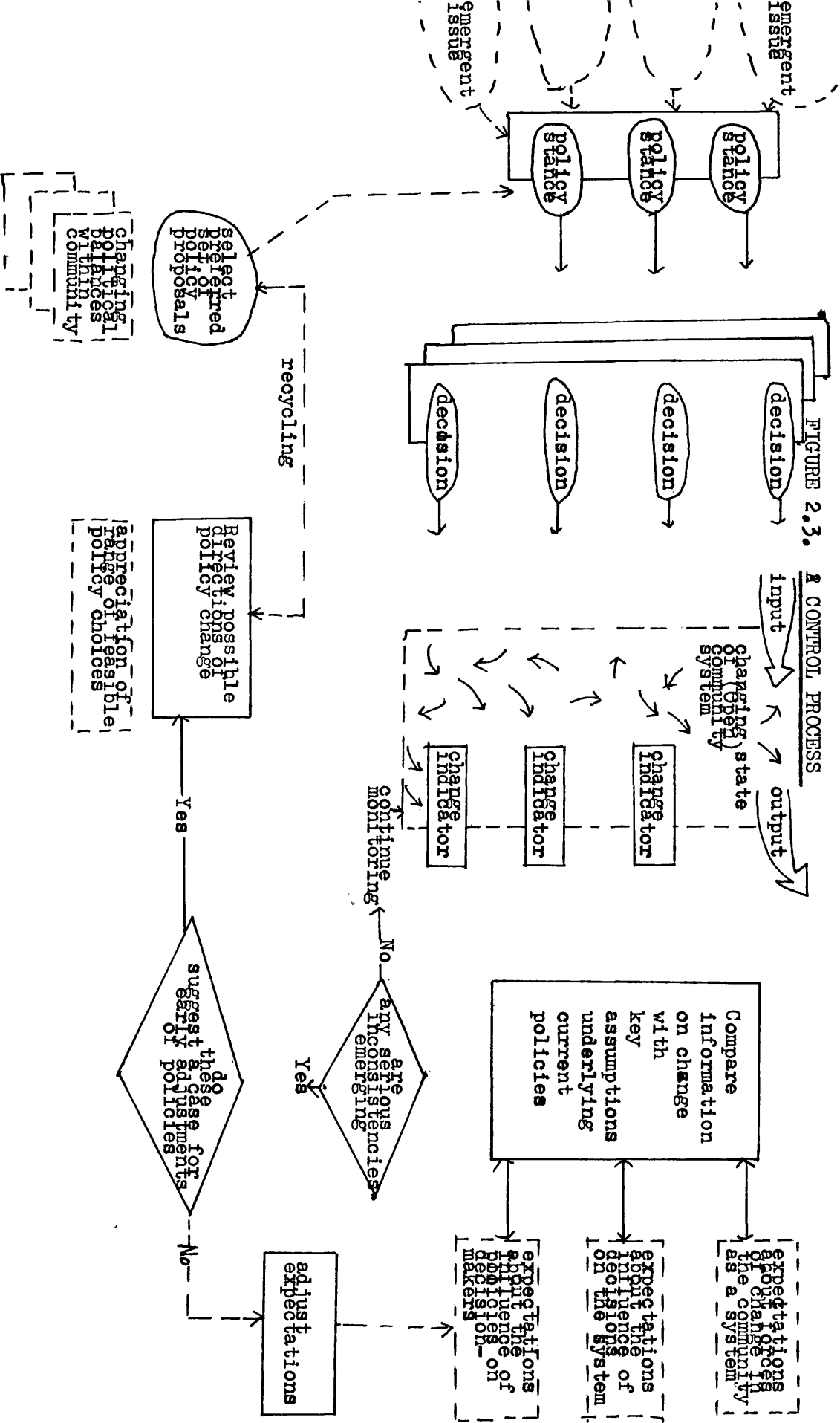
Source: Institute of Operational Research Interview (G. Lind) 1980.

A control situation relies on feedback. Feedback
is simply the input of information about the effects
of control on the system. It is a form of negative
entropy. Information feedback of a negative type enables
a system to perceive and correct the deviations from a
given course. The ultimate function of negative feedback
processes is to establish "homeostasis" or internal
stability. All highly complex systems are reputed to
achieve or seek to achieve this state. Biological
systems maintain homeostatic equilibrium by a form of
more or less automatic thermostat. However, doubts
have been expressed as to whether the homeostatic
principle can apply to all complex systems.

Some systems, such as social systems, the planning
and local government system would fit in this category,
clearly counteract entropy and thus adapt to the
environment by growth and expansion . Hence, the broader
interpretation of homeostasis as more the preservation of
the character of the system. Ashby (1960) argues that
after a disturbance of some kind, a system regains stability.
This system state may not be the same as the former one,
when disturbed again it may once more become stable at
another state. This characteristic is termed 'ultrastability'.
Successive ultrastable states represent levels of system
adaptation. Ultrastability is a condition reached through
the action of positive feedback which has the effect of
reinforcing or amplifying some change in the system.
The condition of stability is the goal or objective pro-
posed by the system.

The typical control situation previously discussed
as relevant to the planning and local government situation,
strives to achieve both a degree of homeostasis and
ultrastability through the forces of negative (deviation-

controlling) and positive (deviation - amplifying)
feedback, respectively. There is a process of adaptation,
of the evolving system to the plan/policy and of the
plan/policy to the system changes. This is not by itself
enough to ensure successful control. The system must
also incorporate a learning mechanism using this feedback.

Implications for the Role of Evaluation.

An important emergent implication from the preceding
discussion is that evaluation is, in the same manner
as feedback, of little value unless it results in corrective
action being taken. It is necessary but not sufficient on
its own, a learning mechanism must be set up. Similarly,
there is a need for evaluation to be linked not only
to the planning process, but also to the political decision-
making process for feedforward to occur. The formalisation
of evaluation into the planning process by the creation
of a unit to carry out this task (that is structural
systemisation) alone, will permit feedback to occur but
not necessarily allow feedforward to the decision making
process. If this is the case, evaluation will be restricted
to a narrow role of information analysis rather than the
broader one of an aid to policy formulation or the creation
of a learning system.

Evaluation acts as the pulse-taker or as Pearson (1970)
describes it as an "early warning system" of changes
occurring in the environment. If it is linked to the
political process it may even set up criteria to determine
whether these changes are significant or not. It may aid
in the decision of whether and how to respond to that
change. Although clearly those decisions are ultimately
the prerogative of the elected members.

If one subscribes to the systems approach then one
must necessarily include the implications of a feature
such as the "Law of Requisite Variety". Ashby's law (1956)

is a fundamental principle of cybernetics control and
system regulation. It states that if the regulation
of the system is to be effective, then the variety in
the control device must be at least equal to that of
the system disturbances. The planning process attempts
to control a high variety world. The control mechanism
must therefore be capable of being sufficiently flexible
and adaptive so as to match up to this variety.

If one is attempting to control the outcomes of a
large number of actions which result in a continuous
flow of change through time, then, the control mechanism
which is keeping the system on this course must also be
continuous. If one defines planning as the control of
a complex system then the planning process must also
be continuous. The essential feature of a continuous
process as opposed to a linear sequence, is a feedback
loop, hence the importance of evaluation. A plan/policy
is a description of the preferred or desired future
state of a system. The implementation of this plan/
policy is the control or guidance of the system along
this path. This necessitates a monitoring and evaluation
device to act as an early warning system by heralding
deviations from this course. Evaluation aids in the
comparison of the actual and desired states and in
identifying significant changes in the system. Evaluation
can aid in the revision of a plan/policy by making
decision-makers aware of the state of the system and
advising action. New goals may be identified and new
objectives identified as the whole process is brought
full circle and recycled.

There are two methods to achieve homeostasis or
ultrastability, peculiar to complex systems. Firstly,
by internal organisation and secondly, by the capacity
of the system to anticipate and absorb disturbances from
the environment. The latter enables the system to remain

viable, as the results of the comparison between actual
and desired states, are fed back into the model in order
to amplify its predictive powers and increase the
sensitivity of the control device. The latter makes it
a better regulator of change. The key to control is
comparative analysis of the states of the system.
Evaluation is of paramount importance for by definition
it is the key to control.

A factor determining the effectiveness of a control
mechanism such as planning is the rate of response.
It must be rapid enough to amend a deviant situation
before the system alters again and becomes incompatible
with the corrective response. This rate is obviously
dependent on the time taken to sense and process in-
formation as well as time taken in the prescription of
the necessary regulatory action, be this remedial or
modification of the plan/policy, and in initiating
that control.

If evaluation is the key to control and the
effectiveness of that control is dependent on the
rapidity of response, then the planning process if it
is to be effective must move towards becoming a rapid
learning process. The mere existence of high variety
and rapid response will not of themselves ensure
successful control of the system. Ad-hoc plan/policy
reviews may not be sufficient to demonstrate when change
is needed. The Census, five yearly reviews or even
annual blanket surveys may prove too infrequent a process.
Ad hoc reviews usually only occur in response to a
particular stimulus, such as a crisis or the need for a
decision. In this way, where there is no such stimulus,
whole areas of concern may never be subject to even
ad-hoc review. Rapidity of response underlines the need
for evaluation to be able to supply the feedback required

at a moments notice. This calls for more systematic
evaluation. Rapidity of response also underlines the
point that to be of use in the decision-making process,
the results must be ready before the decision is taken.
Perfection information is worthless, if it is too late
to be incorporated. The 'Law of Requisite Variety'
demonstrates the importance of variety. Evaluation
need not be a standard inflexible procedure but pitched
at an appropriate level for the task at hand. McLoughlin
(1969) envisaged a continuum of major reviews at longish
intervals which mesh with special action exercises, until
the day to day processes of control were reached.

Wilson (1968) interprets this law as implying the
need for a wide range of institutions to be involved
in the planning of urban systems. Evaluation may have
an important coordinative role as a medium of liason and
communication. It can aid institutions develop an awareness
of the common task. (Sir G. Vickers 1965).

Systemic Planning.

The systems approach has had a significant effect
on the traditional method of planning based on a narrow
land use base and the production of a static plan.

As an approach to planning it implies adherence
to the rational decision model and is irrevocably tied
to the concept of a continuous cyclical process. It
requires that goals and objectives be rendered explicit
in order to supply performance criteria against which
the future system is first designed implemented and
finally evaluated. The systems approach to planning is
valuable in its attempt to explain and understand the
complex environment and man's relationship with it.
McConnell (1969) states that the systematic approach
to understanding the complexities of cities is un-
doubtedly the beginning of a new town planning.

This approach has its limitations, just as any other. Dr. Hoos (1969) is critical of the possible misapplication of formal models contstructed in the spirit of natural sciences, to social policy. The latter area is concerned with unpredictable and at times unquantifiable activities. She is also critical of the growing inclination to substitute mathematical technologies for hunch, experience, judgement and wisdom. She too, would appear to have fallen into the trap of defining evaluation as a type of mathematical technology. It can be, as is proposed in this study, a much broader process ranging from hunch and experience through to mathematical technology.

In the likes of an engineering or a biological system, the components are tangible, the variables controlled and the outputs identifiable. In the social sphere, the crucial elements often defy definition and control and do not behave according to a set of rules. There may be a danger that evaluators may introduce a subtle bias in favour of measurables and tangibles, at the expense of the often more crucial intangibles. Taking this one step further, a bias may be introduced at the policy formulation stage, to only produce plans/policies that were in some sense evaluable. This is unlikely to occur unless evaluation were formalised into the planning process. Even then it would have to wield much more power than it does at present. Were this to occur however, it would result in 'safe' 'conservative' planning at the expense of more radical expermentation, to discover new solutions. Evaluation would then stagnate at the first of Rivlin's (1971) classification.

This approach cannot be put forward as a panacea. One must be aware of the fact expressed by Pahl (1969) in a review of McLoughlin's book (1969)

> "that many young acolytes will rush into
> the delights of systems analysis and
> forget that techniques are only tools"
>
> (Pahl 1969)

The real debate ought to be concerned with what use
we should make of them.

There has been a considerable backlash of scepticism
to it, in the United States. It is still very much in
vogue in British planning practice.

This approach underlines a point of significance to
the adaptive planning process also. Structure flexibility
of a plan/policy is not of itself sufficient to enable
the sort of continuous evaluation process of implement-
ation which the proponents of these two types of planning
seek to achieve. Whilst the plan/policy may indeed possess
the capacity for change, there has been up till now no
associated mechanism for indicating whether change would
be appropriate or the instigation of that change. Evaluation
could fulfill this role. This has been one of the main
arguments for the formalisation of evaluation into the
planning process. The mere fact of change does not
determine whether or how decision makers will respond.

2.5 Conclusions

The preceding discussion has established the various
ways in which evaluation has fitted into the planning
process: the nature of this evaluation in terms of its
level, type and depth; and the implications this had
had for the formulation of evaluation into this process.

Different models have implied different and at
times contrary implications for the role of evaluation.
Indeed, even within a given model, contrary influence
make it difficult to draw any hard and fast conclusions.
Empirical research, might shed light on the outcome of

contrary influences. However, it is likely that it will
depend very much on the circumstances of a given local
authority. These might be expected to include political,
administrative, organisational and personal factors.
It would be possible to make generalisations for some
of these but not all. The case-study of Strathclyde
Regional Council elaborates on these emergent issues.

It has been noted that there has been a movement
towards the systems approach and the rational model.
The development and application of these have been ex-
plored. Attention has been drawn to both their promising
advantages and, some of their major limitations and their
implications for the role of evaluation.

As planning becomes increasingly complex in both
its scope and operation, there is naturally a certain
attraction for a clearly defined ideal planning process
to facilitate its management. It has been implicitly put
forward that evaluation, systematic evaluation is an
integral part of that process. Whether it should be formalised
into this process, or to be more explicit whether it ought
to be formalised in an 'ideal package' form is debateable.
I would argue that it ought not be imposed as a conceptual
idea but be allowed to develop as it is shaped by the user
for his requirements. There is therefore a place for
intuitive hunches and judgemental evaluation. There is
little evidence to show that a single ideal process is
any more valid than a single ideal plan (previously de-
nounced). Just as a plan can be viewed as a set of
elements combined to satisfy requirements at a point in
time, so then ought the planning process and evaluation
be seen.

However, unless the means are provided to measure
the rate of progress towards any particular goal then

the planning process becomes arbitrary.

It is all very well to consider in conceptual, abstract terms, the implications the planning process holds for the role of evaluation. It is another, to observe which, if any of these processes have been fully or partially carried out in practice. Up to this point the roles discerned have been merely potential roles. The following chapter discusses the institutionalisation of evaluation into the planning process.

CHAPTER 3.

THE INSTITUTIONALISATION OF EVALUATION THROUGHOUT THE HISTORICAL DEVELOPMENT OF PLANNING.

Parallelling the conceptual changes in the planning process outlined in the previous chapter, there have also been statutory and practical changes, pertinent to the role of evaluation. This chapter attempts to examine the growing practical influence of these conceptual ideas, by tracing their impact on the contemporary government reports, statutory legislation and central government advice. It is intended that this will provide a link between the conceptual role that has evolved for evaluation in the planning process and the empirical research to follow. This is conducted by observation of the way in which evaluation has become institutionalised into the planning process, by a demonstration of the changes in philosophy and subsequent changes in approach to planning. To some extent, these will define the changing roles evaluation might play which is partly dependent on the nature of planning thought and practice at any given time.

Hence, this chapter is not intended to present a detailed account of the history of planning. Rather, it endeavours to draw from the historical development of planning, those features and events which would appear to have a bearing on the role of evaluation in the planning process, both conceptually and in practice.

For the purposes of this study, I have divided up this development into distinct periods which I feel are recognisably discrete, in terms of both, in some way delineating the role evaluation can play and in illustrating the way in which planning has moved through the models

described in chapter 2.

Clearly, planning practice will be influenced by and follow on after, the articulation of the "current" ideas of academics. Several reasons for this gap between theory and practice are proposed. Namely: the time lag both for ideas and educational changes to filter through to practitioners; inertia to change; Schon's (1967) 'dynamics of conservation'; lack of adequate data and information systems. Bearing this in mind, it is in some ways distortive to so divide up the historical development, because the events and philosophical changes arising in one period will follow on or indeed not be picked up at all until the following period.

3.1 The Period Pre-1950.

Although the first real planning legislation was not passed until 1947, The Town and Country Planning Act, the previous years were important in laying the philosophical foundations of planning thought and practice until the fifties. Ideas from the previous century achieved formalisation in these statutes.

As Bruton (1974) describes, the origins of town planning lay in the social reforms the nineteenth century. Planning was performed through the medium of physical plans and was very much a reaction against the 'evils' of the Industrial Revolution. This was, according to Diamond (1977) the era of the "City Safe".

This period also included the era of the "City Beautiful" (Diamond, 1977). Cherry (1974) proposes that two features of the Renaissance and post Renaissance made important contributions to the development of planning ideas in the nineteenth and twentieth centuries. Firstly, the social vision of ideal communities and secondly, the idea of architectural order. These paved

the way for the utopian tradition and futurism of planning. They laid the foundations for end-state planning which worked towards blueprint solutions.

Another reason for the emphasis on the "City Beautiful" was the fact that at this time, planning was shaped by the influence of architects, engineers and lawyers. Not surprisingly then, there was a marked leaning toward physical planning and lane-use regulation. One of the first textbooks on planning was that of R. Unwin's (1909) entitled "Town Planning in Practice" and subtitled "The Art of Designing Cities and Suburbs".

There was an increased emphasis on planning by the early forties. A Ministry of Town and Country Planning had been established for the reconstruction efforts of war damaged cities.

Abercrombie's "Greater London Plan" (1944) and "Country Plan" are examples of both the unitary end-state approach to planning and the 'master plan' attitude.

This period evolved around a belief that

> "the pace of future change was expected
> to be slow, and therefore a plan for a
> 'once and for all' expected change was
> perfectly reasonable."
>
> (Cherry, 1974)

A series of reports executed by central government committees brought together the ideas about planning and laid the intellectual foundations for the subsequent legislation: The Barlow Report (1940); the Scott Report (19 4 2)

The statutory planning process emanated from the 1947 Town and Country Planning Act. It provided the basis for post-war land-use control and it centred on

the Development Plan. The primary objective was the
production of a detailed land-use plan and hence the
planning process was geared towards plan-making as
an end in itself. The planning process could be best
described as a linear sequence, in the Geddesian
tradition of "survey, analysis and plan". The essential
function of the system was end-state planning, working
toward blueprint solutions. Despite the fact that the
1947 Act had made deliberate provisions for the review
of plans every five years.

The war had promoted the idea of a national con-
sensus. There was a belief in a single public interest
and an orthodoxy of opinion as to what the country
wanted. Planning was considered to be a technical and
politically neutral process. As Cherry (1974) suggests,
there was a certainty about the nature of the problems
to be tackled and of the methods to be used to tackle
them.

3.2   Implications for the Role of Evaluation.

For the reasons stated above, particularly those
on certainty and stability, this was a self satisfied,
contented and unquestioning period. It is therefore
not surprising that there was little or no consideration
of implementation or review of the 'plan'. It was not
perceived to be necessary. There was no notion that a
gap might occur between the actual and desired results.
There was therefore no place for evaluation in this
linear planning process. This period best accords with
the rational comprehensive model of planning, set in
a climate of certainty.

Paradoxically this was also the period when
evaluation would have been easiest. Planning was then

regarded as merely the organisation and management
of the physical environment (although its foundations
lay in ideas of social reform). Indicators of performance
would have been more conducive to measurement, than the
problematic social indicators required for performance
evaluation today. In addition, planning focussed on
meeting a single objective rather than the multiple
objectives of the contemporary period.

3.3   The Period 1950 - 1970.

There had always been regard to social problems.
As previously discussed the town planning movement was
built on this, as was the Garden City Movement. However,
up until the fifties, the major impetus of planning was
in physical terms. This period heralded the beginnings
of "social planning" and explicit recognition of the
social environment and social aims of planning. The
Committee on the Qualifications of Planners, (The
Schuster Committee, (1950) in some way provides an
enlightened description of the proper concern of town
planning and its policy field. The Committee concluded,
that definitions of town planning in the statute book
made it clear that this was referring to: "planning
the use and development of land" but in so doing,
raised large questions concerning social and economic
objectives, both nationally and locally which have a
profound effect on the lives of people in any area.
It emphasised the inherent interconnectedness of
problems and put forth the view that because of this,
problems which find their spatial expression in physical
development plans, cannot merely be conceived of, in
terms land-use and location. The report also recognised
that planning ought to be concerned more with 'getting

things done' and emphasised the importance of implement-
ation. One can therefore see the linear planning process
grow, to one of "survey analysis plan and implementation".

The Planning Advisory Group (P.A.G.) Report (1965)
emphasised the need for a more 'adaptive' approach to
planning. It endorsed the view that to remain effective,
the planning system needed both to respond to and reflect
change. In its review of the planning system, its
criticisms were most pertinent to this study. Firstly,
the fact that it was essentially based on land-use,
secondly, that it gave the appearance of certainty and
stability and thirdly there were problems of plan
obsolescence. The Report concluded that detailed land-
use development plans as enacted by the 1947 Town
and Country Planning Act, were no longer suited to
the rapidly changing situations of the sixties. The
conclusions and recommendations of this Report were
given statutory recognition by their embodiment in the
1968 and subsequent 1971 Town and Country Planning Acts.
The latter is included in this period despite its date,
for continuity.

The preceding discussion clearly illustrates a
shift in emphasis and explicit acknowledgement of change
and uncertainty. As Foley (1964) discusses, planning
needs to be based on a greater understanding of the
system and its development over time. It must

> "seek to influence various of the
> development forces at work rather
> than aiming at a future metropolitan
> form as a goal."

(Foley, 1964)

With the introduction of the aforementioned Acts,
the Development Plan has been superceded by the new two
tier system of development plans. Under this system, a

Structure Plan is prepared which is a general statement
intended to embrace physical, economic and social policy
proposals. This is to provide a broad strategic frame-
work within which the more detailed development proposals
of the Local Plans will fit. Of relevance to this study
are the proposals contained in this legislation which
state explicitly, the necessity for some form of evaluation
in the process. In particular, Section 6 (1. of the 1971
Town and Country Planning Act asserts:

> "...it shall be the duty of the local
> planning authority to institute a
> survey of the area...and in any event
> to keep all such matters under review."

There was then statutory recognition for evaluation and
an expression of the vision of the PAG Report that plan
making should be a continuous process. Subsequent central
government advice elaborates on the implications of these
statutory requirements. Circular 98/74, "Structure Plans"
emphasises the need to keep the plan up to date and
considers that an explanation of the means of monitoring
and reviewing it, should be part of the submission to
the D.O.E. The Circular states that Structure Plans
are or will be based on assumptions of population and
employment trends which rarely remain accurate for more
than a few years. Hence, the basic assumptions on which
the trends are based will require to be regularly monitored
and adjustments made, if necessary. The policies of the
plan will also have to be regularly examined and a full
review of the plan undertaken, if these prove to be
fundamentally changed.

> "Planning in short, is a continuous
> process which is not completed when
> a plan is produced. The plan is
> necessary as a statement of the
> authority's intentions at a particular
> time for the initiation, encouragement
> and control of development, but the
> assumptions on which these intentions
> are based must be regularly monitored
> and the plan must be amended if and
> when necessary"
>
> (D.O.E. C98/74 Section 2d)

and

> "Plans must not be allowed to degenerate
> into static blueprints...if plans are
> not kept up to date they will soon lose
> much of their relevance".
>
> (D.O.E. C98/74 Section 2d)

Structure plans are not regarded as definitive statements
but rather as an initial basis on which to build a con-
tinuous improved planning process.

One discerns a shift in emphasis from plan-making as
the ultimate goal and output of the process, towards the
incorporation of new information and past experience
for planning as an continuous process. This idea of
planning was suggested by Faludi (1971) and was at that
time a revolutionary statement. Plans were then still
regarded as land-use blueprints, with no consideration
to implementation or review. The deficiency of the
blueprint process was argued cogently by Petersen,
(1966).

> "Blueprints cannot be used successfully to
> plan entities as complex as cities or
> national economies. The attempt to plan
> such units deductively leads either to a
> systematic distortion of reality through
> monistic theories, or to an escape from
> reality altogether,through Utopian
> thinking".

The sixties also marked the period of the first strategic and sub-regional plans. There are not statutory documents but they serve to highlight the feelings and opinions of the planners of the day. They emphasised both land-use and social and economic issues. These were the first practical proposals incorporating evaluation proposals. However, they focussed on pre-evaluation of plans/policies rather than post evaluation. Yet, the Leicestershire (1969) and Notts/Derby (1969) plans recognised the necessity to take account of change. The Teeside Plan (1969) claimed that long run planning was not possible because of uncertainty and hence the need for planning to become more flexible.

Another plan, the 1969 Greater London Plan explicitly acknowledges that

"planning dealt with a complex inter-
dependent and dynamic environment"

(Hart, 1976)

The Report of Studies on the Greater London Plan (1969) noted, that account must be taken of social and demographic changes. These two examples and Bruton's description (1974) of the difference between planning in 1947 and 1968 serve to illustrate the movement from planning with confidence and certainty towards an end product, to planning for uncertainty, in a complex interconnected environment. Simply making the best use of existing resources and resisting dramatic interventions in the system to achieve some desired end.

The sixties marked the period of an increased awareness that Britain was a pluralist society and the consequent erosion of the idea that there was a

single public interest whose interests planning served. From this point on, planning was no longer regarded as an apolitical process.

This period was one of expansion, growth and rapid change. Willmott (1969) and Cullingworth (1973) explores some of these changing trends. There was a reiteration of some of the emergent threads of the Schuster Report (1950) in particular, the interrelatedness of problems. Several reports underline this focus and supported the critique of local government: The Buchanan Report (1963) which discussed the inter-relationship between traffic and the environment; the Plowden Report (1967) and the Seebohm Report (1968). All testified to the growing discontent and awareness that problems could not be dealt with along conventional departmental lines. Many old problems remained and new ones emerged. Hence, the call for 'across the board' approaches.

The sixties laid the foundations for what may be described as

> "a search for new forms of urban management"
> Stewart (1974)

3.4   Implications for the Role of Evaluation.

By definition, a movement towards flexible, responsive, and adaptive planning will enhance the role that evaluation is likely to play in the planning process. The statutory and practical recognition of evaluation bears witness to that.

There has been a departure from a myopic view of planning as a series of one-shot attempts at optimisation, to a logical basis for the creation of a planning that leads to better performance. Planning is becoming less and less a matter of precise proposals and more a

matter of ideas and policies loosely assembled and
intended to be kept under constant review. In terms
of the planning process outlined in chapter two,
this period best accords with the incrementalist or
adaptive models and particularly with that of 'mixed
scanning'. Within that, there was still a search for
rationality.

The dissatisfaction from both within and without
the local government system and the general questioning
nature of this era is likely to enhance the role of
evaluation. Although this would essentially be in
terms of information feedback it may be expected to
also consist of feedforward to the decision-makers as
an aid in policy formulation.

The increased recognition of planning as essentially
a political process in a pluralist society, may have
contrary influences on the role of evaluation. On the
one hand, the elected member may welcome evaluation,
as a way to demonstrate the effects his policies are
having on the community. On the other hand, in recognition
of the redistributive effects of policy, evaluation
may pose a threat, by explicitly recognising that some
must 'lose'. In addition, if one acknowledges that
planning is a matter of judgement and political choice,
then evaluation can only help to improve the basis
on which decisions are taken. It cannot prescribe
'solutions'.

As far as administrative and organisational
implications are concerned this period presented the
first statutory duty to evaluate. The role of evaluation
was undoubtedly enhanced by this, in terms of making
it more active. From a fairly cynical viewpoint
however, evaluation was imposed on local authorities

from the outside. It may therefore be carried out with
some reluctance or at best without conviction or
realisation of the benefits it can bestow. In practice,
there may be no real committment to evaluate and this
will have an important bearing on the sort of role
ascribed to it and the depth of that role.

3.5   The Period 1970-1981.

By the early seventies, the influence of those
ideas and theoretical developments described in chapter
two and in the previous section of this chapter became
apparent. At least, they were advocated as that which
ought to occur, even if they were not fully carried
out in practice.

In particular, is the example of the influence
of the systems approach, as expressed by McLoughlin
(1969) and Chadwick (1972). From the previous con-
ception of the production of a static plan, the
planning process was now seen as an essentially dynamic
cyclical process. Planning was now considered to
involve the control of complex systems. The contemporary
legislation, that is, the 1971 Town and Country Planning
Act underlines this development. As Argenti (1968)
describes, there was a clear movement towards regarding
the plan as merely the beginning of the process rather
than its pinnacle.

This period witnessed the ravages of inflation.
As previously discussed, 1974 heralded the end of the
growth era, with all the attendant implications for
evaluation that this has brought about.

There is a dearth of statutory legislation pertinent
to the potential role evaluation might play in this
period. However, it is considered that both the advent

of local government reform and the rise of corporate
and inter-corporate planning, have had considerable
impact on the role and informal institutionalisation
of evaluation in the planning process.

The call for reform came in the sixties. Several
strands underpin the movement, both positive calls
for a new system and negative outcrys in criticism
of the old system. An example of the former was the
growing interest in and experiments with, new 'rational'
approaches to decision-making which were seen as making,
potentially, a major contribution to the improvement
of government policy-making. In Central Government,
the 1970 White Paper on the 'Reorganisation of Central
Government' introduced P.A.R. (Programme Analysis and
Review) as a supplement to P.E.S. (Public Expenditure
Survey) and established C.P.R.S. (Central Policy Review
Staff). P.A.Rs were in depth studies of departmental
programmes designed to assess how effective they were
in attaining their objectives. C.P.R.S. was established
in order to review the government's overall strategy
in applying its programme and to undertake specific
study projects to evaluate the government's policy
and possible options available. Local government in
emulation, sought to introduce more 'rational'
methods of decision-making. Most of these amounted to
the introduction of M.B.O. (Management by Objectives)
or P.P.B.S. (Planning, Programming, Budgeting Systems).
Both are technical, rigid processes. Hence, Wildavsky's
concern (1969) to "Rescue policy analysis from P.P.B.S."
lest it should become tarnished by the reputation of
P.P.B.S.

One of the deficiencies of the old system was,
that it had been set up to cope with nineteenth century

problems. Policies were fragmented and this was further
reinforced by the internal management and committee
structures. These problems were exacerbated by the
rapid expansion of local authority services and
outmoded geographical boundaries. Services were neither
efficient or effective. These problems had repercussions
on local democracy. Once articulated these deficiencies
were given official voice in a number of Reports:
The Redcliffe-Maud Report (1969), The Report of the
Royal Commission on Local Government in England; the
Mallaby Report (1967) on the staffing of local govern-
ment; The Bains Report "The New Local Authorities,
Management and Structure" (1972); and their Scottish
counterparts, The Wheatley Report "The Royal Commission
on Local Government in Scotland" (1969) and the Paterson
report "The New Scottish Local Authorities" (1973).
These expressed the feelings that various government
Reports had previously, Plowden (1967), Buchanan (1963)
and Seebohm (1968), that, local government should become
more efficient and effective in tackling problems.
To this end, they required a more coherent method of
policy formulation and improved co-ordination between
services in order to rectify the 'evils' of depart-
mentalism and professionalism which restricted a
comprehensive 'total approach'. Evidently, the blame
for this inaccessible and unresponsive government was
put squarely though implicitly on the shoulders of
administrative rationality. Hence, because of the
definition of the problem, the methods proposed to
rectify the situation were seen purely in terms of
structural reform. Although one might argue that
structure is an essential prerequisite for processual
and behavioural reform, it cannot be regarded as
sufficient on its own to bring these about. To some

extent, this study also emphasises administrative
rationality rather than the popularisation of
support or fiscal inadequacy as the important factor
in an effective adaptive and responsive local govern-
ment. Evaluation is depicted as a process or method
to be formalised into the machinery of local govern-
ment. However, clearly the evaluation of plans/
policies may serve to bring out the reasons behind a
policy's success or failure. In this way it may
demonstrate the importance of the other factors for
effective government.

Final reform in Scotland was based on Wheatley's
recommendations for a two-tier structure of region and
district authorities. Central government accepted
these proposals in its White Paper of February 1971.
(Cmnd 4583) and the final proposals became law in
the Local Government (Scotland) Act of 1973.

As far as dissatisfaction with the internal
structure of the authority was concerned there were,
according to Stewart and Eddison (1975), two root
causes. The first was an awareness that the tradition
of management, whereby a local authority was regarded
as a collection of essentially separate services,
staffed by separate professions, was inappropriate
to the management of a local authority facing in-
creasingly complex and interrelated problems in its
environment. They had grown in response to the problems
of the last century and this had been further strengthend
from within by the 'esprit de corps' of the separate
professions. Departments, were no longer centred on
current problems.

The second was an awareness of the need for an
authority to review its activities in the light of
changing needs and problems. Kakabadse (1977) notes
that where review had been undertaken in the past

there was an inbuilt bias towards the authority as a
"producer of services". Success was measured by the
quantity rather than the quality of service provision.
There was little questioning as to whether objectives
were being achieved or whether the most appropriate
methods were being employed. Corporate planning is

> "Corporate planning means planning as an
> authority rather than by departments in
> the major areas of the authority's work..
> It implies that planning is carried out
> in the knowledge of defined and agreed
> objectives, that once formulated are
> plans for action and are flexible and
> responsive to change."
>
> (Skitt, 1975)

It is a move towards a comprehensive approach. The
corporate rationale is, according to Stewart (1974)
in pursuit of a truly responsive local authority and
a learning organisation.

One must consider the characteristics and common
elements of the corporate process, because these will
determine the effect it may have on the role of
evaluation. Stewart (1973) outlines these characteristics
as explicit policy-making and goal formulation, systemic
policy review, an increased concern for environmental
analysis explicit identification of the authority's
objectives, a need for policy analysis and a concern
for output measurement. Nelson and Longbottom (1977)
emphasise five key issues which are the concern of
corporate planning in practical terms. Firstly, what
is the department trying to achieve? - its objectives.
Secondly, what services are contributing to these?
Thirdly, what resources are allocated to these?
Fourthly, what is actually being achieved 'output'
and 'impact'? Fifthly, what changes could be brought
about in resource allocation and service provision to
increase the contribution to these objectives.

The integrated planning process according to Grey (1972) must fulfill five conditions. It must be: outward looking, recognising that the needs of the community must come before its needs; anticipatory, it does not merely react to problems but anticipates future needs and changes; systemic, recognising that problems are interconnected; flexible, continually adopting decisions to take account of uncertainty; and self critical; evaluating the extent to which it achieves its stated objectives both in terms of efficiency and effectiveness.

These reforms in management may have contributed to the popularisation of evaluation in the planning process, despite the fact that they are not statutorily defined. An examination of the Paterson Report (1973) reveals where allowances have been made for the inclusion of evaluation in the planning process, as designed for Scotland. Paterson (1973) argues that the process of corporate management is

> "to carry out a systematic and continuous review of the programmes in the light of progress made and of changing circumstances"

and

> "to measure real achievement in relation to the stated objectives"

and

> "An essential characteristic of the process is its continuous cyclical nature"

Structure partly determines process. Paterson (1973) proposes the establishment of a Policy and Resources Committee. He stresses that the organisation and evaluation of performance, is a vital task

> "so vital that we see this as the main
> function of the Policy and Resources
> Committee".

Paterson (1973) commends P.P.B.S. as a system but
rejects it as being too sophisticated and expensive
to install.

The seventies have witnessed a growing interest
in intercorporate planning. It encapsulates the
sentiments expressed in the opening citation of this
study - the need for humility. It appreciates that
local government is not the only body responsible for
the management of the environment. It recognises that
urban problems seldom fall neatly within the remit of
a single agency.

> "The difficulty of dividing policy space
> into exclusive units, of necessity leads
> to 'multiple organisational interaction'
> in functional areas in much the same way
> as happens in geographical space".
>
> (Aitkenhead, 1979)

We cannot rely on goodwill to coordinate the plans/
policies of disparate bodies. There are many instances
such as Donnison (1973) describes, of this failure
to coordinate action, to the disbenefit of the community.
He relates how a Community Development Project on
Educational Priority Area and a 'Shelter' housing
project were set up in Liverpool, in different areas
and unrelated. The potential impact of such projects
was diluted and dissipated. Meyerson and Banfield (1955)
illustrate this problem in relation to public housing
programmes in Chicago.

Intercorporate planning underlines the interrelated-
ness of problems and the need for all agencies to develop
an

> "appreciation of the common task"
>
> (Sir G. Vickers, 1965)

Figure 3 illustrates the complexity of intergovernmental
relationships.

FIGURE 3. INTERGOVERNMENTAL RELATIONSHIPS.
AND THE COMMUNITY SYSTEM.

S.S.H.A.

SCOTTISH DEVELOPMENT AGENCY

NEW TOWNS

PROFESSIONAL/LEGAL
MEDICAL

ACADEMIC INSTITUTIONS

COMMUNITY COUNCILS

SCOTTISH OFFICE
S.D.D.

STRATHCLYDE REGIONAL
COUNCIL
ALL DEPTS.

TRADE UNIONS

NALGO
GOVERNMENT SYSTEM
COMMUNITY SYSTEM

M E D I A

GENERAL PUBLIC

C.O.S.L.A.

D.H.S.S.

HEALTH BOARDS

DISTRICT COUNCILS

PASSENGER TRANSPORT
EXECUTIVES

VOLUNTARY AGENCIES

TENANTS ASSOCIATIONS

CHURCH

Paterson (1973) emphasises the need for

>"close harmonious cooperation among
>authorities".

Both corporate and intercorporate planning stress that planning is for the community.

A recent development has been a movement towards greater politicisation of the planning process. Attempts have been made to develop machinery for greater political control and simultaneously more rational decision-making.

3.6   Implications for the Role of Evaluation.

Clearly, this period has made substantial inroads for systematic policy analysis and evaluation. One would expect it to play a much more active and broader role. Legislation is a good way behind current planning thought. Where attention has been given, it has been to pre rather than post evaluation. There is a dearth of legislation and central government advice in relation to the applicability of evaluation in this period. This demonstrates the relatively low level of importance attached to it. However, this may prove to be advantageous, by an analogy with P.P.B.S. in the United States. P.P.B.S. was heavily criticised and thrown out because of its narrow inflexible and technical nature. So, the role of evaluation may be enhanced and extended precisely because it has not been statutorily defined and conceived. Its role might be expected to evolve according to local conditions, with due regard to the constraints imposed by its administrative and organisational setting. Of course, the corollary is that if it is not on statute, it will not even be considered by an authority. Local government is widely documented as a conservative animal and resistant to change. (Schon 1967) and (Wildavsky 1972).

Corporate planning emphasises the importance
for local government to understand the environment
it seeks to control and purports to act on behalf of.
Evaluation has therefore an important potential role
to play in educating both elected members and officials
as to what is going on and what effects their policies
are having. This may help prevent the situation where

> "A local authority undertakes many
> Too often it knows but little of their
> impact. A service is provided. That is
> assumed to be enough. "
> (Stewart 1971)

Corporate planning enhances its role because it
explicitly stresses adaptive planning. It also under-
lines the need for effective planning and government,
by greater systematic review of policies in the light
of changes both in the environment and in the aspirations
of the community. Eddison (1971) describes the method
to achieve responsive planning in a corporate planning
process,

> "Continuously monitoring the environment
> and evaluating the policy in the light
> of any changes."

Two characteristics of the corporate planning process
are of particular relevance to this discussion. Firstly,
the concern for effectiveness rather than merely efficiency.
There is no value in efficiently carrying out the wrong
policy. The second is the shift in emphasis from ad-hoc
to systematic policy review. As Gillis et al (1964)
narrate some form of review is usually carried out. It
is of an ad-hoc and reactive nature. Without some
stimulus such as a crisis, it is unlikely to occur.
In this way, many areas are never reviewed.

Adaptive and responsive planning requires for its fulfillment, the means whereby continual refinement of policy can be built into the system. Co-ordination may be put forward as a means for more effective local government. It will be seriously weakened if we improve co-ordination - but of the same old policies!

Structural reform is important because to some extent, the behaviour of both officials and members is moulded by it. For instance, if a monitoring and evaluation unit or a research and intelligence unit is established, it is likely that evaluation will have a more influential role than if this were not the case. The case for it will have already been made. However, structural changes of themselves will not be enough. They provide the bones (Eddison 1971), the framework. As such, they are essential prerequisites for systematic evaluation, but they are not sufficient for it to come about. Attitudes, the confidence of top management of its value and the commitment of all staff are more important determinants of its successful establishment. These may take a long time to achieve.

Evaluation, may contribute to more coherent 'rational' policy formulation in the corporate planning process. By providing relevant feedback it may make policy makers aware of gaps in provision or achievement. Eddison (1973) proposes four attributes of improved decision-making:-

" (1) Decisions are likely to be better if we know what it is we are trying to achieve.

(2) Decisions are likely to be better if information is available as to how resources are being deployed as between objectives rather than as between a department or committee responsible for implementation.

(3) Decisions are likely to be better if
    the effectiveness of current programmes,
    policies and projects are evaluated.

(4) Decisions are likely to be better if
    alternative ways of achieving an
    objective are considered and analysed."

These give evaluation a role of primary importance in
decision-making. Whether these have penetrated into
practice is another matter. Although evaluation may
aid problem solving and contribute to more 'rational'
decisionmaking, it will not of itself 'solve' problems
or provide ready made solutions. At the end of the
day this is a matter of judgement, of political choice.
Evaluation can only identify and clarify issues and
expose conflict. In this way it may help to make it
more productive.

The seventies accords best with the 'mixed scanning'
model of planning with a leaning towards increased
rationality. Evaluation has a role to play in 'scanning'
the environment for significant changes. The implications
of this model for evaluation have been previously
discussed (chapter 2).

The implication of the 'era of restraint' have
been documented. (chapter 1)

The emergence of intercorporate planning gives
evaluation a potential new role to play as a médium
of liason and communication. It could contribute to
the development of an

"appreciation of the common task"

(Sir G. Vickers 1965).

It could contribute to the development of the 'reticulist'
function as outlined by Friend and Jessop (1969). This
function is not merely a hypothetical theoretical develop-
ment. It is a necessary component of effective action by
government.

The emergence of a repoliticisation of the
planning process has profound implications for the
potential role of evaluation. It can contribute to
more 'rational' decision-making. In the past, this was
on an incremental basis. Decisions were taken (where
possible) by the party caucus and therefore without
the benefit of officers advice. They were taken
frequently on purely a cost basis. Councillors are
now anxious to become more involved in the real
policy matters, rather than trivial day to day ad-
ministration. Evaluation can enhance their awareness
of needs and achievements. It can set a learning process
in motion. If the members take the upper hand, by
determining what issues are to be evaluated when and
how, they will gain greater political control over
the running of the authority.

Evaluation studies must generate information
which is of more than historical interest and in a
form which bears on the realities of its context.
Perhaps it ought to take another leaf out of P.P.B.S's
book. An important reason for its failure, was surely
because its success was dependent on removing much
of the ambiguity which is central to the political
process. We must be aware of this constraint and
build it in. For systematic evaluation to work and
its potential roles to be fulfilled, there must be
political will behind it. So far, the emphasis has
leant heavily on the official side. This may well
have hampered the role of evaluation in the past.

These implications bestow a potentially enormous
role for evaluation. If corporate and intercorporate
planning were practised as they are prescribed this
would indeed be the case. At present, many of these

are concerns which have still to be realised.

Several reasons suggest they may remain as purely potential roles. Its role is hindered because there is no systematic mechanism to demonstrate when something is wrong and change is needed. There is no process to decide what ought to be evaluated, that is, in terms of programme areas, clients or issues. There is customarily a gap between what is thought of as conceptually ideal and that which is practised. There is naturally some time lag between the thought, the decision and the action. There are technical and methodological problems inherent in any evaluation process. (Suchman 1967), (Weiss, 1972) and (Rossi and Williams 1972). In brief, one of the first steps in evaluation is the identification of goals and objectives. In the real world these are multiple and often conflict. They are often nebulous desires such as 'improving the quality of life'. There has been a lack of relevant data particularly of the 'soft' variety. Evaluation takes up resources. A balance must be struck between further analysis and the use of the resources in providing services. It has only been ten years or so since the systems approach, corporate planning and adaptive planning were first advocated. Hence, ten years since there was explicit recognition of the need for evaluation. This may not be long enough for planning education to reorient itself from the traditional planning methods and practice, or for an administration to overcome inertia, the *dynamics of conservatism'' (Schon 1967). There is still a general feeling that the 'plan' is the essential ingredient of the process.

Despite these obstacles, it is at least commonly agreed that the process ought to be a continuous cyclical one and evaluation is an integral part of that process.

CHAPTER 4.

A TYPOLOGY OF POTENTIAL ROLES.

From the two preceding chapters, it would appear that
the foundations have been laid for a dynamic and growing
role for evaluation in the planning process. In conceptual
terms the planning process has bestowed on evaluation
an essential role. It is the critical link in the practical
realisation of a continuous cyclical planning process.
The institutionalisation of evaluation in the planning
process has in practice, lagged somewhat behind the
pioneering developments of planning thought.

This chapter intends to build on the findings and
implications of the previous two, in order to develop
a typology of potential roles that evaluation might play
in the planning process. Some of these roles have already
been cursorily described. Others, are put forward because
they raise important questions for both the future role
of evaluation in local government and indeed the future
role of local government.

This typology will be applied to the local government
situation in the case-study of Strathclyde Region in order
to assess how far these roles have developed in practice.

There are problems in demarcating roles in this way.
There is much overlap between roles and the roles are
not mutually exclusive.

To some extent, the roles that evaluation can play
in the planning process of local government, are dependent
on the role of local government. Stewart (1980) in Cameron
(1980), identified two such roles, a 'maintenance' and a
'change' role. The latter consists of both directive and
responsive change. Stewart (1980) states that in the past
the 'maintenance' role has been predominant. He asserts
that if local government is to become more effective

then the 'change' role needs to be developed. Evaluation
is of paramount importance to a change role. Therefore,
one might postulate an enhanced role for evaluation.

4.1   Level of Evaluation - The Active-Passive Continuum

The level of evaluation may be fitted in somewhere
along an active-passive continuum. That is, in relation
to the degree to which the type of role is utilised in
practice. A role may be actively pursued and all pervasive
or it may be passively pursued, of negligible importance
and peripheral to the local government system. Between
these two extremes there are numerous possibilities.

4.2   Type of Role.

The nature and scope of the evaluative mechanism is
dependent to a large extent on the type of feedback it
is expected to produce and the role it is expected to
play. It is dependent on the nature of the demand for
it. Hence, a limited concept and perception of its
usefulness will produce an inbuilt bias to assign it, a
limited role. The Youth Volunteer Force (1976) argue
that the roles will be different because of the different
intentions, the instigators have for wanting evaluation.
For instance,   they may be the sponsors of the
project, the managers or the consumers.

There are essentially two sorts of functions a role
may fulfill. Namely, a diagnostic function, whereby it
seeks to determine the current position and a prescriptive
function, whereby it may result in the adjustment of
action within established policies or a review of the
plan/policy.

(a)   Informative fact-finding Role - Feedback.

Until relatively recently this role was the most
commonly accepted definition of evaluation. Information

supply is the lifeblood of an effective evaluation system.
Indeed, all the roles to follow are built on this one.
The essence of this role is not merely information collection,
(more the realm of monitoring) but the assessment of its
significance, its analysis presentation and consequent
application to the decision making process.

This role may be likened to the first of Rivlin's
(1971) classification in that it clarifies the dimensions
of the problem. It helps to answer the seemingly simple
but often unanswered questions such as, what the programmes
are, who they are for and what they are achieving. Output
and performance information of action and conditions across
a city is important if one purports to be practising positive
discrimination.

This role is of the utmost importance for without the
ability to gauge performance, criticisms are unconfirmed,
solutions are largely guesswork and the planning process
is arbritary. Evaluation may help to challenge 'sacred
cows' by making the results of actions explicit. In
this way it may foster innovation in service provision and
delivery - the second and third categories in Rivlin's
(1971) classification.

Information and review are essential if policies are
to maintain their relevance.

Information helps to amplify the understanding of
the system which local government seeks to control. It
thereby helps to reduce the inherent uncertainty.

(b)   Control Role.

The perspective of evaluation gained from organisation
theory is that it is a controlling process, binding the
organisation together. Evaluation can play a control role
by maintaing the plan/policy on its course and altering
this course when the need arises.

By detecting changing trends in the system, the assumptions of the plan/policy and the needs and aspirations of the community, evaluation checks both the performance and the relevance of plan/policies. As Argenti (1968) states, there will always be a gap between the desired and actual outcomes. Evaluation may halp to close this slightly.

Unlike biological systems, local government does not have an automatic regulator to cause adjustments in a predetermined way, in the event of changes. Evaluation thus becomes a management tool for control, by informing the policymakers when a plan/policy is diverging significantly from its desired course.

(c) Advisory Role - Feedforward.

A monitoring and evaluation unit can produce abundant evaluations and information. However, the informative role is meaningless if it is not linked to the political decision making process. Evaluation has an advisory role to play in the communication of information.

Having discovered discrepancies between the actual and desired outcomes of a plan/policy, it may advocate preventative, compensatory or accomodative action.

This role in combination with (a) and (b), if thoughtfully conceived and designed, could be a powerful tool in the attainment of the much desired but as yet elusive aim of flexibility.

(d) Aid to Decision-making - Policy Formulation.

This role is necessarily linked to (c). It emphasises that the ultimate success of evaluation is determined to a considerable extent by its ability to translate information into meaningful advice for a local authority. This will then according to Eddison (1973) provide a sounder

basis for policy formulation.

> "Monitoring the environment, tracing out
> effects and side effects, analysing the
> environment would present us with a much
> firmer basis for policy formulation."
>
> (Eddison 1973)

Clearly, if one is aware of the consequences of
past decisions then subjective judgement is reduced. This
will raise the level of debate and facilitate more rational
decision-making. Choices must be made. There will never
be enough resources to do all one might wish. Hence,
priorities must be established. Particularly with the
prospect of 'no growth' local authorities will need to
establish priorities.Evaluation may make this a more
rational process.

Eddison (1973) has proposed four determinants of
improved decision-making. (See Section 3.3). Evaluation
can contribute to the achievement of all of these.

Evaluation has a role to play in policy formulation,
not just in providing evidence when a decision is being
taken on existing or new policy. It can do so by dis-
covering problems and difficulties in areas in which no
policy has yet been formulated. This discovery may be
accidental, whilst evaluating a current policy. On the
other hand it may have been commissioned to look into
this area. Either way it will play a critical role in
the consequent policy formulation.

Evaluation is not carried out in a vacuum, but in
an institutional environment. Planning policies are not
the result of purely technical processes. They are pro-
posed, defined, debated and adopted via political processes.
Policy changes or new policies can be determined only via
political processes. Evaluation results cannot remove
political judgement and will. It is merely a tool to aid
judgement not a substitute for it. Evaluation will con-
stitute just one piece of evidence actually used in decision -

making. The evidence it puts forward may be clearly
logical and scientific, and it may have an important
place, but rarely will it be decisive. Other political,
organisational and administrative considerations will
have a dominant influence. Prejudice, ideology, per-
suasion and bargaining may all be brought to bear,
in order to arrive at a decision. Personal factors
may be of importance. Judgements about the quality
of particular individuals may be crucial in determining
whether a plan/policy is to be carried out.

(e) Educative Role.

Evaluation educates officers, elected members and
the public alike. It does so by making them aware of
the impact and results of past and current plans/policies.
It facilitates the development of a greater understanding
of the system under control. The particular influences
on the different actors described, are dealt with under
their respective sections. Suffice to note that this
education enhances the councillors role, can improve
public participation, co-ordination between different
agencies and increases general knowledge on which plans/
policies are based.

(f) Learning and Knowledge Building Role.

The aim of an action plan/policy is to achieve a
desired state. For various reasons discussed earlier,
the actual and desired outcomes rarely coincide. Repeated
refinements of policy, by learning from past experience
could lead to some convergence. Evaluation can provide
a platform for learning, on which future policy can be
based. The only knowledge we can be certain of is past
knowledge. Evaluation provides the results of past
experience and performance. It thus enables more reliable
causal inferences regarding the impact of social policies

and projects to be made. This may be used as a basis for
improved forecasting for future policy.

Evaluation has a significant role to play in the
understanding of the causes and consequences of plan/
policy decisions. It can improve our knowledge of both
society and societal behaviour. The evaluation of past
and current policies can give policymakers insight as
to which, where and why certain policies have failed in
the past and more importantly to demonstrate successful
policies. Evaluations must go beyond merely assessing
whether a plan/policy has been a 'success' or a 'failure'
and discover why this has been so. These results may
then be taken into account in subsequent policy formul-
ation. Figure 4.1 outlines the process of evaluation and
figure 4.2 depicts possible reasons for 'failure' or 'success'.

Any policy may be thought of as representing a theory
or hypothesis in that the decision-makers decide to carry
it out and expect it to cause certain predictable effects.
If these do not occur there may be many explanations.
On the one hand the policy may not have activated the
causal process that would have culminated in the intended
goals. This is a failure of the policy in terms of its
implementation. On the other hand, it may have set the
prescribed 'causal' process in motion but this did not
have the desired effect. In this case failure is
attributable to the theory or cause-effect relationship
behind the policy. Whether intervention results in the
subsequent attainment of the ultimate goal is dependent
on the validity of this theory. Suchman (1967) dis-
tinguishes between process evaluation,- the extent to
which a programme is implemented according to its stated
guidelines, and impact evaluation - the extent to which
a policy causes a change in the intended direction.
The difference is important for a learning system. If

Figure 4.1. THE PROCESS OF EVALUATION.

GENERAL CONCERNS
(selected policy topics and
organisational issues;
general ideas)

↓

questions in relation to
each plan/policy and
the processes associated with it.

↓

WHAT IS (OR IS NOT) GOING ON ?
(e.g. idea generation, proposals,
implementation.)

↓

WHAT IS THE PERFORMANCE IN
RELATION TO CRITERIA?
(e.g. improved understanding
of the area, more sensitive
policies, better relationships)

↓

WHY ARE THERE SUCCESSES AND
FAILURES?
(e.g. 'blockages' in admin.
processes, priorities, skills.)

↓

WHAT IS THE RESPONSE TO
SUCCESS AND FAILURE?
(e.g. roles of central units,
monitoring systems, relationships.)

DATA, COMPARISONS,
COMMENTARY AND HYPOTHESES
FOR DISCUSSION WITH
PEOPLE INVOLVED.

↓

GENERALISED AND
CONTINGENT LESSONS.

FIGURE 4.2. REASONS FOR THE SUCCESS OR FAILURE OF PLANS/POLICIES

POLICY IMPACT
ACHIEVEMENT-
PPERFORMANCE

TRADITIONAL
EVALUATION
ENDS HERE

SUCCESS

FAILURE

THEORY OF CAUSALITY
(accomplishment)

IMPLEMENTATION
(effort)

THEORY OF CAUSALITY
(accomplishment)

IMPLEMENTATION
(effort)

as above.

COMMUNICATIONS
-confusion over
-inadequate
-channels
-inherent diff-
iculties
-speed of communi-
cation
-misunderstandings

STRUCTURES
-departmental
-organisation
-liaison roles
-role conflicts
-central/st local
involvement

RELATIONSHIPS
-competing priorities
-inter-party conflic
-attitudes
-capacute to negotia-
te and compromise

COMPLEXITY
-policy design and
-processes
-requirement to sat-
isfy several groups

CHANGE
-shifts in resource
availability
-availability of
organisational chan

RESOURCES
-skill, workload,
-leadership,
-financial,

a policy is not implemented as intended, then one ought
not be surprised if it does not have the desired effects.
It is important to establish the reasons for failure, so
that we do not 'throw out' approaches unduly. If one
can determine why a policy has failed, adjustments can
be made in the ongoing policy and/or in any new policy.
Many reasons attributed to a failure of implementation
such as communication, structure, resources and relation-
ships are amendable to alteration. Where the failure is
due to invalid theory, evaluation can bring this to
the attention of academics and researchers. In so doing,
it may help both in the expansion of knowledge, and in
the use of the most up to date theory in the provision
and delivery of public services. Evaluation can thus
improve decision-making by making us more aware of the
reasons behind success and failure, and hence to
explicate and refine that practice principles that
underlie programming efforts.

Plans/policies often give rise to unforeseen and
undesirable effects. Evaluation may make us more aware
of these and able to learn from them. For instance, in
the early sixties many authorities judged that the
development of high rise flats would provide a large
number of relatively cheap homes while avoiding excessive
requirements for building land. In the event, there was
much evidence suggesting that these were not suitable
for families with children. Obviously the 'success' or
'failure' of the policy in providing the right number
of homes is less important than the associated undesirable
social consequences.

(g) Bridging Role

This role is a natural progression from the previous

one. Evaluation studies may help to bridge the current
gap between the needs of applied fields and the accomplish-
ment of basic research, and between decision-makers in
local government and academics. This would give practitioners
access to research which is of direct value to them and
which is both relevant and sensitive to real issues.
From within local government, the research based in
academia is too often described as delivering the wrong
goods, at the wrong time.

Evaluation can help to bridge this gap. Hoole (1978)
believes that for both policy and theory buidling reasons
we need to understand better, the impact of activities
designed to bring about political, economic and social
change.

Clearly no one would advocate using outmoded techniques,
methods and approaches. Evaluation in its bridging role,
would facilitate the application of the most up to date
effective methods, by speeding up the filtering process
between the two. This process is diagrammatically re-
presented in figure 4.3.

(h) A Change Agent.

Evaluation may identify the need for a change in
policy. Change is necessary in order that the authority
keeps up with the rapidly changing society it aspires to
control. It is necessary for an authority to be adaptive
and flexible. Evaluation may determine when significant
deviations from a plan/policy occur and identify the
need for change thus supporting a continuous responsive
planning process. Evaluation cannot of itself produce
change. It acts as a catalyst for it. Other considerations
previously discussed have a dominant influence. In addition
evaluation studies may discover that improved educational
attainment is gained by improving the living conditions and
employment opportunities of a family. A local authority

FIGURE 4.3 THE RELATIONSHIP BETWEEN ACTION AND RESEARCH

searching
for useful
theories

developing
new theories

experiences arising
through contacts between
scientists and decision-makers

INTERPRETATION

WHAT TO DO?

dissemination of what
is discovered

action
research in
depth

scanning of
many action
situations
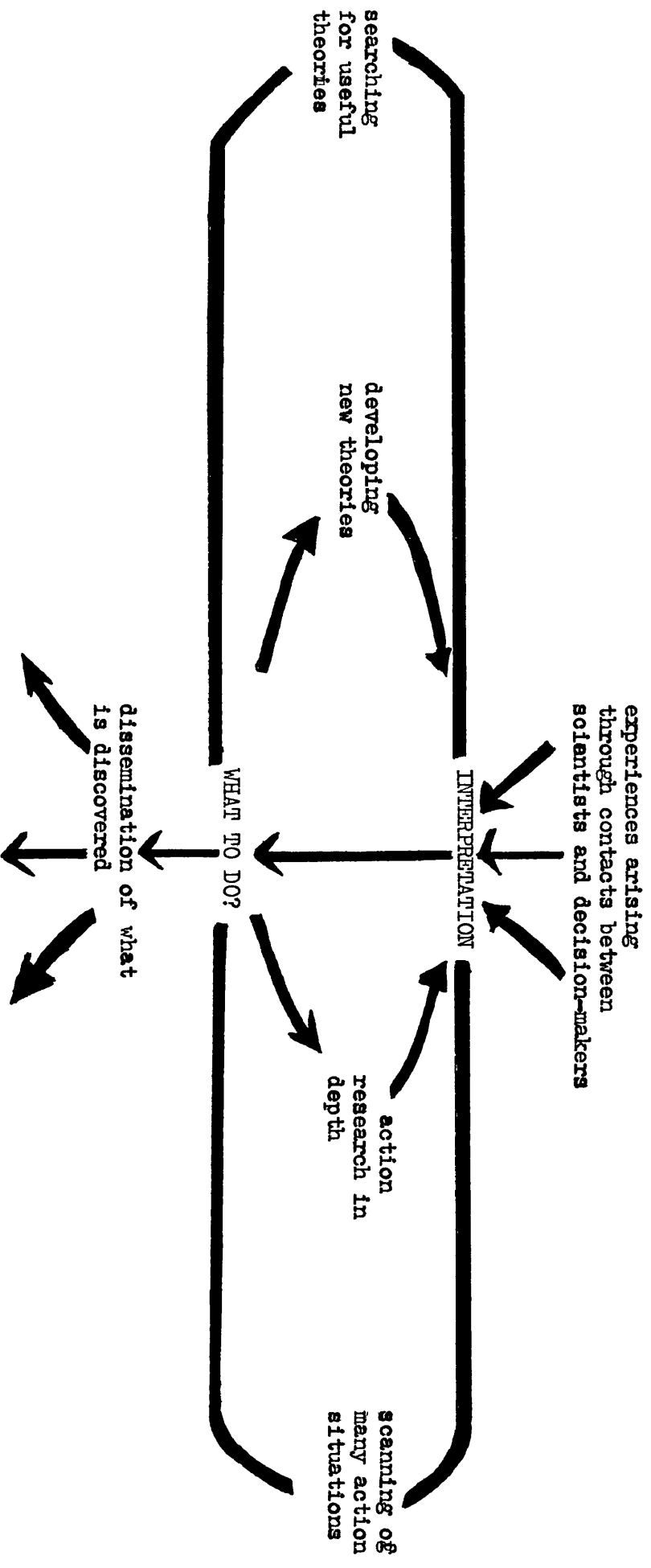
Source: Friend,et al. (1977)

does not have control over the latter variable, it is
subject to regional and national influence. Hence, it
cannot initiate change to remedy the situation.

(i) Innovative Role.

Evaluation provides a safety-valve against the
dangers of experimentation. It permits the testing of
new policies on a small scale with a variety of con-
ditions, for use in the guidance of large projects.
It can give advice on decisions as to whether and under
what conditions to set up similar projects in different
areas. It therefore contributes to more innovative
planning, and the discovery of new and improved approaches
to service provision, within an authority.

This role may also enhance innovation between
authorities. Evaluation can offer generalisations, lessons
and guidelines, to those considering the adoption of such
projects/plans/policies, which will help them to decide
whether and in what form to go ahead. This cross-fertilis-
ation of ideas and practices may greatly enhance the
effectiveness of local government.

This role underlines the need to view evaluation as
a broad flexible concept. The form and scope of evaluation
will be necessarily different depending on whether it is
an ongoing operational project, a demonstration experi-
mental project, a model or prototype. The latter types
will necessitate great flexibility and a variety of
conditions. The former calls for a 'tighter' more con-
trolled evaluation.

Were this potential role to be developed, we would
be approaching the second and third categories in Rivlin's
(1971) classification.

(j) Co-ordinative Role - Liason and Communication.

Evaluation may provide a medium of liason and
communication both within and between local authorities.

> "It is clear that a gulf of understanding
> exists between those responsible for
> forward planning and those responsible
> for implementation."
>
> (Harris and Scott 1974)

Evaluation by deliberately setting out to assess the
effectiveness of plan/policy-making and to channel
this information back into the plan/policy-making process,
helps to co-ordinate the activities of a planning depart-
ment.

Between local authorities and other public agencies
evaluation has a role to play in furthering an 'appreciation
of the common task' (Sir. G. Vickers, 1965).

This role is vital for the effective working of
the two-tier planning system where decision-making
is fragmented between different agencies with different
sets of objectives. Some services are the joint re-
sponsibility of different tiers such as leisure and
recreation and physical planning, others are closely
linked such as housing and social work.

> "With the present division of responsibilities
> and reluctant collaboration between District
> councils this may be difficult to achieve
> but it is essential if the process (of
> planning) is to retain its validity over
> time"
>
> (Loew, 1973)

Brazier and Harris (1975) suggest this calls for
'connective planning' and consider evaluation to be one
of the keys to liason, co-operation and co-ordinated
decision-making. They have no illusion that evaluation
will remove conflict. However, by clarifying and exposing

it, evaluation may create a platform for negotiation
and resolution.

Evaluation plays the role of a 'reticulist' (Friend
and Jessop 1969). It can create and use informal net-
works of communication, sound out opinion and bring
issues which require joint decision-making to the
attention of the appropriate people. Friend and Yewlett
(1974) describe it as a trouble-shooter.

(k)   Advocacy Role - Enhance Public Participation.

Evaluation may focus and inform public participation
in the planning process. It may give a community greater
leverage with the authority and thereby help them to
shape their own development. In the interests of local
democracy evaluation results should always be made public.

An Evaluation study ought to incorporate the views
of the community. Scott (1976) argues that their evaluation
of a plan/policy is an important measure of government
performance, as much as any other indicator. Indeed
one could argue that if we purport to plan for the needs
and desires of the community, then their evaluation of
a plan/policy's performance is the important indicator
of success or failure.

> "Client participation is not a luxury in
> evaluation. It is a necessity."
>
> (Bush and Gordon 1978)

A systematic evaluation process fully integrated into the
planning and churning out assessments of success and
failure, will be of little value if,

> "A successful poverty programme to
> the government is an unsuccessful
> programme to the poor."
>
> (J. Higgins 1978)

(1) Politicisation of the Planning Process.

Local government was not created in order to administer services. Any agency might do this local government was created to facilitate democracy and to act as a framework to determine what the community needs.

Of late, there has been much concern by councillors over a feeling of minimal political involvement and a consequent call for their role to be revitalised. The general discontent arises from the day to day administrative trivia involved in the committee system. Councillors express a desire to become more actively involved in the real policy questions and policy formulation.

Evaluation has an important role to play in this repolicisation of the planning process. It will enable facts to be put before members so that they can review their stance on particular issues. It will enable the political will to be more clearly specified and im-plemented and resource allocation to more closely reflect their priorities.

Evaluation may help to overcome the constraints of the present committee system by focussing issues on a more 'across the board' approach.

Evaluation results may lend some objectivity to the division of rival claims by different services/departments for scarce resources.

Evaluation of plans/policies may enhance the role of the backbencher. It will promote greater understanding of the environment and the policies under the auspices of the Council. Greater understanding may improve communication. Members are both better qualified and more confident to question policy. They may feel a greater sense of purpose and involvement which by increasing morale, may also serve to enrich debate. In this way,

evaluation may serve not only to improve policy-making
through continual refinement but to enhance local
democracy and repoliticise the planning process.

There are political influences which hinder the
development of this role of evaluation. By identifying
the 'winners' and the 'losers' from current policies
it may constitute a threat to members anxious not to
lose votes. Its very strengths then are also its
weaknesses. By probing deeply it exposes crucial choices.
Many members may therefore shy away from the formalisation
of evaluation into the planning process. Some argue that
if policies were truly not effective and people felt
strongly enough there would be pressure for change.
Any change in adance of such pressure is seen to be
not only unnecessary (let sleeping dogs lie) but un-
democratic (R. Young 1977).

Evaluation has always been considered on the officials
and administrative side of an authority. The review of its
institutionalisation bears witness to this. However Bains
(1973) states that

> "the regular monitoring and review of
>   programmes against defined objectives
>   is a responsibility which must rest
>   principally on the members"

Information is the essence of power.

If the evaluation function and system were controlled
by the political side of an authority it would provide
a powerful method of control over the administrative side.
This would mean that the political leadership would decide
what issues were to be evaluated, when and by whom.
Evaluation would undoubtedly contribute to the repoliticis-
ation of the planning process.

.4.3 <u>Depth of Role</u>

Rivlin (1971) proposed three categories. These have

been set out in chapter one. It is noted here, because
it provides part of the typology of roles to be used as
a framework in the following chapter.

4.4 Conclusions.

Numerous diverse potential roles have been developed
for evaluation to play in the local government context.
Figure 4.4 illustrates the typology derived from the
previous chapters and extant literature. These will
require different treatment in terms of their depth
and their level of objectiveness. The rigour of evaluation
ought to be appropriate to its use. The co-ordinative role
does not necessitate in-depth probing, merely an indication
of the effects policies are having and where gaps and
duplication arise. On the other hand the learning role
requires rigorous evaluation of a technical nature, in
order to elucidate the determinants of success or failure.
Evaluation is itself subject to evaluation as it ought
to be weighed against the benefits to be derived. Marris
and Rein (1974) demonstrate the destructive influence of
'purely scientific' approaches to evaluation when applied
to approaches of urban renewal. This may help to answer
the criticisms levelled at evaluation in methodological
and technical terms. Evaluation need not be solely re-
garded as a highly objective technical exercise. This
is neither possible (Suchman 1967 and Weiss 1972) nor
it is argued here, is it desirable. It is difficult to
imagine cost-benefit analysis or P.P.B.S. taking on more
than a couple of these roles. Yet, these two are often
regarded as the personification of evaluation. Evaluation
must be a messy fuzzy process if it is to fulfill its
potential roles.

This chapter has sounded a note of caution to the

FIGURE 4.4. THE TYPOLOGY OF ROLES - (POTENTIAL)

DEPTH OF
ROLE

RIVLIN'S
CLASSIFICATION

high (3)

medium (2)

low (I)

active

CONTINUUM

passive

TYPE OF ROLE
e.g. Co-ordinative.

e.g. Educative

* A

* B
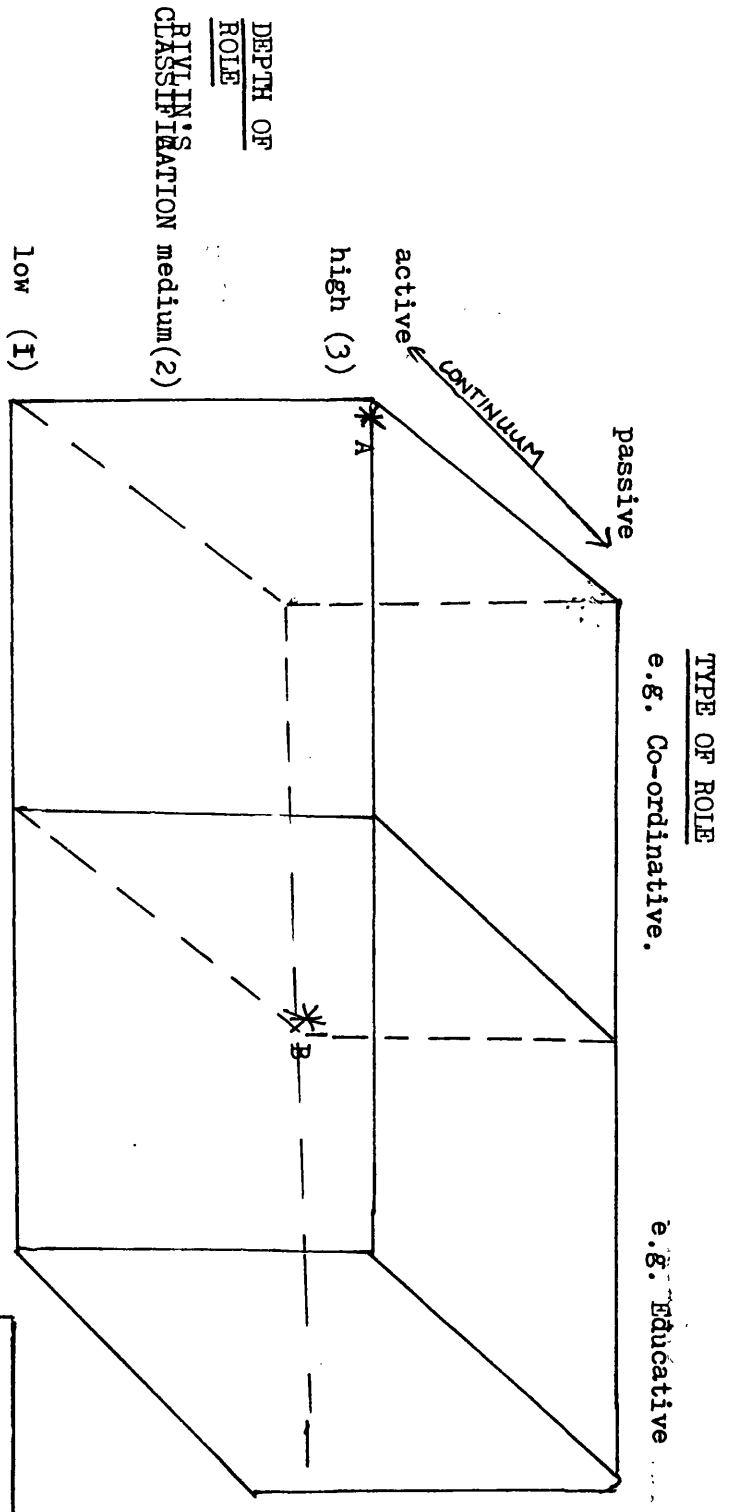
Key

* A - An Active Level and
        in-depth role

* B-   A Negligible Level
        and Superficial Role

formalisation of evaluation into the process. It may
be absorbed by the bureaucracy and became a rigid uniform
concept. If it is considered in too narrow terms it may
be incapable of providing answers to problems.

Two important issues that must be addressed are
firstly, how a local authority initiates and sustains
efforts towards the accomplishment of these roles.
Secondly, where the momentum comes from, for the con-
fidence and ability to tolerate the threat it brings.
We have previously attributed some of the required
momentum to external factors such as inflation, the
era of financial restraint and concern over effective-
ness and accountability. Where has its support come
from? This is to be analysed in the following chapter,
alongside an appraisal of the degree to which the
potential roles derived, have been achieved in practice.

PART TWO

THE REALITY

CHAPTER 5.

FROM THE RHETORIC TO THE REALITY – A CASE STUDY OF THE ROLE OF EVALUATION IN THE PLANNING PROCESS OF STRATHCLYDE REGIONAL COUNCIL.

This chapter explores the role that evaluation actually plays in the planning process of a local authority, namely, Strathclyde Regional Council. The intention is to discuss the concepts hypotheses and assertions previously introduced, in relation to Strathclyde Region. The typology of potential roles constructed in the previous chapter is used as a framework for the appraisal of just how far these roles have developed in practice. There will undoubtedly be some gap between the possibilities and prevalent practice. However, by identifying the problems of combining the political life of an organisation with analytic awareness, one would then be able to use this understanding of the constraints imposed to enhance its role in the future.

5.1 Methodology.

There are essentially two parts to this empirical research,

(1) Various parts of the evaluative machinery of the planning process are examined in relation to the developed typology, in order to examine the level, type and depth of the role, of evaluation. Each begins with a short resume of the history of its initiation, its purpose and essential elements. It is impossible to give a complete picture, examples are taken which demonstrate where different roles have been taken up by evaluation, or are likely to be in the future.

(2)   A discussion on the role and importance
      of evaluation from the officials and elected
      members viewpoint, in order to put the former
      aspect into perspective. This section will
      give an indication of the future role for
      evaluation by elucidating the climate of
      opinion towards it, in terms of their
      attitudes, beliefs and perceptions of it.

5.2 Limitations.

This part of the study involved the examination of
government documents, Council minutes and newspapers.
Numerous interviews were conducted with officials, elected
members and others currently involved (See Appendix 1)
This served both to verify and supplement the former
information. Indeed so little documentation exists on
the evaluative machinery of the process that the chapter
is mainly dependent on the interviews. This in itself
says a lot for the importance and influence afforded to
evaluation in the planning process.

Therefore, it must be borne in mind that there is
the possibility of distortion, a tendency for vagueness
and exaggeration. In addition those involved will naturally
colour everything with their personal bias and value
judgement. At times there were difficulties in studying
the process in terms of confidentiality.

The most serious limitation is that there is only
one case study. Therefore, there is no means of comparison
to provide a basis for reliable generalisations to be
made. However, any role developed in Strathclyde Region
could potentially be developed in any other authority,
ceteris paribus. It is most probable that in a large
progressive authority such as Strathclyde there will have
been a good deal of scope for the development of evaluation.
Hence, it will provide a good example of the difficulties
encountered in developing these roles and formalising
evaluation into the planning process.

Most of the remarks are applicable to any local government process and hence this will permit some tentative conclusions to be drawn on this basis.

5.3 Strathclyde Region - Background.

Strathclyde Region is one of the most populous regions in Scotland. Indeed, it contains approximately half the Scottish population some 2·5 million. It is the second largest of the nine mainland regional authorities established in Scotland after local government reorganisation in 1975, under the 1973 Local Government (Scotland) Act. It is a large progressive authority which has introduced corporate planning.

5.4 Evaluative Machinery.

(a) The Physical Planning Department Research & Intelligence Unit

Strathclyde Region does not have an evaluation unit as such to evaluate projects and programmes. This is important in itself in accounting for the low profile of evaluation. Although not sufficient in itself for evaluation to play a leading role, it is a necessary prerequisite.

However both the Physical Planning and the former Policy Planning Unit have research and intelligence units. The concern is predominantly with monitoring and the production of data rather than with its analysis and evaluation. The Physical Planning unit produces performance indicators and small area statistics which are used in the evaluative machinery. This type of evaluation is the informative control role. It is a technical exercise. Appendix 2. It most closely coincides with Rivlin's (1971) first classification. It establishes the extent and nature of the problem and who 'benefits' and 'loses' from current

policy. It is purely descriptive, it offers no solution
to the problem.

Strathclyde Region in its Regional Report (1976)
emphasises two key factors, namely:-

> "(a)   the need to increase the number of
>   jobs in the Region; and
>
> (b)   the need to tackle urban deprivation."

These are the key issues in the Structure Plan also.
These are then the goals of the planning process. As
previously discussed the key to identifying the role of
evaluation is to ascertain the way in which evaluation
contributes to the output of the planning process.

The Regional Report (para. 18.15) does state the
intention to monitor its services. The Secretary of State
in his reply, stated that he expected the objectives to
be also reviewed.

The Research and Intelligence Unit monitors the
Regional Report, Structure Plan and the Deprivation
Strategy. The latter intends to

> "ensure the effectiveness and sensitivity
> of all services operating in the areas of
> need."

> Strathclyde (1976b)

The Policy Planning Research and Intelligence Unit also
had an input to these Departments were asked where they
had directed and redirected resources. The submissions
were bland. For example, the Education Departments
statement that policy impact was incorporated into the
budget as far as resource provision and the needs of the
service would allow. It gave no details in terms of the
actual amounts.

The Demographic Indicators Study 1974-76 published
in 1979 was an attempt to monitor conditions in the Region
in order to establish whether the 114 and the 45 Areas for
Priority Treatment identified in the Regional Report and

based on an analysis of 1971 Census data were still those
in greatest need. These 45 provide the framework for the
Council's deprivation policy. In order for it to maintain
its relevance one must be sure that these are still the
most needy areas. In this case the role of evaluation
was intended to be advisory and an aid to decision-making.
As one protagonist put it

> "It is intended that the data contained in
> the Report will provide objective information
> to review the Council's APT's, but it is
> recognised that this must be part of a
> wider consultation process."

That is, that evaluation is just one input to the decision-
making process.

Another example is that of the "Social Needs and
Social Work Resources" study. This examines APT's and
the urban programme funds. Here the role is predominantly
one of information too, though they hope

> "that some of the issues raised by this
> information will occasion the re-
> examination of existing policies and will
> stimulate a debate on future resource
> planning.

(Interview)

(b) <u>Policy Review Groups and the New Chief Executive</u>

The Regional Council in determining its overall
organisation and structure at reorganisation in May
1975, wanted to adopt the corporate management process
and new organisational concepts advocated by Paterson (1973).
However, for reasons of continuity of service, and staff
matching they settled for an interim management structure.
At the same time, they decided that the structures and
issues would be reviewed at a future date when sufficient
operational experience was available, but before the
provisional arrangements had become firmly entrenched.

At the end of their first year in office in 1976, the
Council held a seminar at Seamill to consider the past
year's events and experiences. It discussed the implications
of local government reorganisation on the councillor and
ways to enhance his role. The concept of Policy Review
Groups emerged from this seminar. They were to be ad-hoc
bodies capable of permitting the councillor to study
selected policy issues "across the board".

> "Since reorganisation the Labour Group
> have been attempting to secure greater
> political control over the administration".
>
> (Cllr. R. Young)

They felt that the committee system did not permit

> "a careful and sustained examination by
> members of the nature, basis and effects
> of policies"

nor an indepth analysis of issues which

> "straddle the boundaries of service committees"
>
> (Strathclyde Labour Group 1976)

There was a general feeling that structural changes for
corporate planning were all on the officers side, and
this balance needed to be redressed. There was no structure
whereby he could

> "gain systematic insights into the problems
> of service delivery and future needs"
>
> (Strathclyde Labour Group 1976)

There was concern over the failings of the existing political
structures to allow councillors to monitor and review policy
performance and to act to facilitate optimal use of
scarce resources.

Accordingly, in December 1976 two Policy Review
Groups were set up. One, on the organisational and

departmental structure of the Council, the other, on
departmental policy in relation to Community Development.

The Policy Review Group on Departmental Structures.

This Group conducted a review of the roles, structures
process, practices, relations and staffing levels of all
Departments.

> "with a view to improving the efficiency and
> effectiveness of the Regional Council's
> management structure".
>
> (Strathclyde Regional Council 1978)

It consisted of ten members with Councillor Stewart as
the Chairman of a political 'core'. The exercise included
numerous officers many seconded full-time, for eighteen
months from the Management Services Department and senior
officers of Depute status to give the results weight.
Hundreds of staff were interviewed to give their opinions
on the structure and organisation. This ensured grass-
root involvement and acceptance, of the evaluation.

Its overall conclusions were that the Executive
office as proposed by Paterson was

> "too loose an arrangement to deal
> effectively with the practical
> complexities of the organisation",
>
> (Strathclyde Regional Council 1978)

in decision-making, policy formulation, implementation,
coordination and review.

> "The existing structure represents a
> barrier to the full achievement,
> of and benefits of the corporate
> approach".
>
> (Strathclyde Regional Council 1978)

The individual elements of the planning process from
policy formulation to monitoring and review were dispersed
and fragmented among the Departments. This caused

duplication, basic data was generated from different
Departments. This was seen to negate the essential
integrated and cyclical nature of the corporate
process. In order to rectify this the Group recommended
a Chief Executive Department be established. They felt
that structural weaknesses had to be rectified first
before process one.

The Chief Executive Department.

This was to consist of the amalgamation of the
Department of Administration, the Policy Planning Unit
the Industrial Development Unit and parts of the Physical
Planning Department. There would then be a unified control
and coordination, over policy formulation implementation
and review. The Chief Executive is to have five Deputes
each responsible for the planning, co-ordination and
monitoring of all initiatives within their remits.
The Chief Executive as the central co-ordinator is a
vehicle for evaluation. It exercises a monitoring and
review process in order to produce feedback on what is
going on throughout the organisation and to take
corrective action where this is deemed necessary. All
Reports to Committees pass through it to enable a
consistency to develop and to ensure that duplication
and overlap of service provision do not occur or at
least are kept to a minimum. It is the overseer of the
urban programme to be discussed. In relation to this
the Chief Executive sees that aid goes to the risk
areas and that the balance of funding lies more or less
with new approaches and innovative schemes, rather than
with those services which are properly mainstream.
It is seen as a means of achieving and sustaining a
close working relationship with the senior politicians

of the ruling administration. Therefore, it acknowledges
the need for political commitment and will to tackle
particular issues. In this way it is possible for the
Chief Executive Department to identify broad areas of
policy to which the ruling party are committed and to
exercise a policy analysis role in those areas. Mr. I.
Stuart the Depute for the Personal Services section of
the Chief Executive states that this basically comprises
of an analysis of

> "what we are doing now, why we are
> doing this, what the problems are,
> searching for alternative solutions
> and which of these shall be used"

He states that one needs the commitment of all officers
down to the grass roots level.

> "Unless all the staff know what we are trying
> to achieve overall then it will be impossible
> to get the feedback which is essential if
> we are to evaluate the policies and take
> corrective measures if necessary to so
> ensure that the ultimate aims and objectives
> of our policies are realised to the satis-
> faction of the Council and to the community
> it serves."

(Mr. I. Stuart, Depute Director)

The Policy Review Group is an example of evaluation of
a management structure. The conduct of evaluation in
this setting is likely to create somewhat different
problems in the formulation of the evaluation study,
its relations and in particular the personal interests
of the 'evaluators' and utilisation of the findings.
This type of evaluation is concerned with broad objectives
and policy questions. As such, it does not constitute
a threat to an administrator. The whole system is under
attack but the threat is impersonal. This type of
evaluation will tend to stress adjustive mechanisms and

> "monitor the impact of council and other
> public bodies on the area, from the
> viewpoint of the community."

<div align="right">(I. Hill)</div>

One of the methods of doing this is in the production of
an annual "Community Report".

They are also to study the

> "existing deployment of staff and other
> resources, to see whether resources can
> be diverted to meet newly identified
> needs without asking for additional
> budgetary allocations."

<div align="right">(E. Farquar)</div>

This evaluative mechanism emphasises the co-ordinative
role of evaluation both within and between the authority.
The A.D.T's will consist of all agencies involved in a
particular area and may help them to highlight issues
that need resolution. It also emphasises the participative
role of evaluation. The Community Reports, on the same general
lines as the Community Review adopted in D.O.E. Sunderland
Study (1973), will incorporate the views and evaluation
of performance of the community. In the sense that the
teams will see how the Council performs they are acting
in the control role as previously defined. The results
of the review will identify where projects are not
having the desired results and hence it takes on a
learning role, when these are fed back into the policy-
making process.

It remains to be seen whether an analysis of the
deployment of staff and resources is in fact carried out.
If a diversion of resources does occur from certain
services and methods of service delivery to others,
then one will have increased the depth of evaluation
considerably. This would mean a movement from merely
describing the 'winners' and 'losers' to more
constructively discovering what service has the most
effect and how to improve the impact of a given service
or method of delivery.

Officer - Member Groups.

This evaluative mechanism was another initiative undertaken largely as a result of the Seamill Seminar in June 1976. This was a mechanism designed to strengthen political purposiveness and control in the decision-making of Strathclyde Region. The Strathclyde Labour Group regard this as a move towards

> "a more relevant and responsive system of
> local government"
>   (Strathclyde Labour Group 1976)

Four groups were established in child care, addiction, mental handicap and after care of offenders. The origins of the idea lay within the Social Work Department and derived from the need to create structures for staff consultation. The inclusion of councillors came later. The Groups are co-chaired by a councillor and an officer. The members are from the sub-committee of the Social Work Committee. The officers come from various levels within the Social Work Department. Initially, four Groups were set up on child care, addiction, service to the offender and services to the mentally handicapped. The remits of these groups specify the intention to review the policies and practices of the Social Work Committee and Department.

The Group consulted various bodies and members of staff at all levels to submit proposals for improved services. It was an attempt to demonstrate that the views of field workers could directly reach and influence policy-makers despite the organisational impediments. Appendix 3.

The Reports "Room to Grow" (1978), Collusion or Cover-up (1978), Who Cares (1978) and "Services to the Mentally Handicapped "contained many radical recommendations requiring additional expenditure. The "Room to Grow" Report (1978) contained 190 recommendations, many of which are unimplementable. If proposals are not feasible one cannot

be surprised if they are not carried out. The Reports
called for changes in the policy of other Committees
as well as the Social Work Committee. They identified
necessary shifts in the policy of other agencies to
contribute to the social welfare of the community.

> "As these review processes have emerged
> accidentally, from a mixture of
> councillor and staff concerns - there
> has been little thought given to their
> organisation and linkage to mainstream
> policy-making - whether formal or
> informal".
>
> (Young and Jay, 1979)

They evolved, they were not centrally set up. They have
no executive power. To be effective in policy formulation
they may need to be synchronised with the processes they
seek to influence. Members were drawn exclusively from
the Social Work Committee and Department. However, clearly
this does not enable a real critical examination of
existing policies in other Departments. Other Departments
must be integrated into the review and not just confronted
with their recommendations. This was the case of the
Education Department in relation to the "Room to Grow"
Report (1978).

These reviews have helped to produce commitment.
They have played an educative role for both members
and officers alike. One protagonist stated that as a
result councillors

> "tend to be a lot more informed."

It is an informal approach which leads to more questioning
and meaningful discussion. By breaking down the traditional
barriers between officers and members they promote increased
and productive relations. Members are less dependent for
advice and respond more positively and critically. Greater

understanding provides a firmer base for policy-making
and make it a more constructive two way process.

By picking up on problematic areas they fulfill a

"trouble-shooting role"
(R. Young)

They have enabled improved co-ordination between
Departments and between the authority and bodies by
examining issues on an "across the board" basis. They
encourage a corporate approach as they are connected
up to policy-making levels and down to grass-roots level,
albeit on an informal basis. They have provided the
political muscle for improved negotiations with the likes
of central government and the Health Boards, where
alterations in their policy was felt necessary. What has
effectively emerged is an additional source of new policies.
Though, the procedure and links to the central policy
process have not yet been formally established.

Though they clearly play an important role, it is
essentially a peripheral one. Firstly, they are not meshed
in to the central policy process. Another manifestation
of their peripheral nature is the fact that officers are
nominated into these groups. They may not be the most
enthusiastic or committed officers. Staff turnover could
mean a loss of continuity. For most of their working time
the officers must operate on functional lines.

Most importantly one can discern the role that this
evaluative mechanism plays in the policisation of the
planning process. There is widespread political commitment
for the mechanism amongst the influential councillors.
The Majority Group Leader and the Secretary to the Labour
Group rigorously promote this idea. Subsequently, the
strong party line prevails. This commitment is not
surprising as the Labour Group were instrumental in
setting the mechanism up.

If these are to be effective political structures
to control the administrative side of the process, then
the political side must gain tighter control over the
process by which issues are selected. The Regional Report
process enabled the Council to define the major issues
confronting it, and the extent to which departmental
policies were relevant to these problems. This process
no longer exists. This begs the question of how to
ensure that they are continuing to direct their attention
to key community problems. These mechanisms if developed
would go a long way to fulfilling this need.

To put this role into perspective these mechanisms
only apply to the Social Work Committee and Department.
Of late, Education members and officers have been introduced
to overcome some of the problems discussed. There is still
minimal political involvement in other areas. Some regard
this as a unique pioneering experiment to make local
government more democratic and responsive. Others, see
it as a

"time-consuming exercise which threatens
to produce more conflict."

(Interview)

The most important factor relevant to their future is
whether there is real commitment to these Groups or
whether they are regarded as Labour academic cliques.

By an examination of one of these Groups, the
Addiction Group, the various roles played by this evaluative
mechanism become clearer. The role of aiding policy formul-
ation is most pronounced. Until this Group was set up there
had been no statement of commitment by the Council to this
problem (I. Wilson). There was virtually nil local
authority provision and the voluntary sector provision
was aimed predominantly at the single homeless. The Groups
fulfilled a co-ordinative role, they met with the Brewers
Society, the Scotch Whisky Association, the Scottish Football

Association, the Health Boards and numerous others. See Appendices (4,5,and6). A Report of the Development Sub-Committee of Social Work on 29th January 1981 recommended that the Regional Council should make an approach through the Convention of Scottish Local Authorities to the Secretary of State for a national ban on alcohol advertising. It also recommended that the Regional Council should initiate a ban on all alcohol advertising over which it has control in response to C.O.S.L.A. Social Work Committee's approach to Regional and District Authorities to take such a step. (D. Scott, The Scotsman 1980). It was generally felt, that the revenue lost some £75,000 was barely measureable in relation to the Council's overall budget and would bear no relationship to the political kudos which such a decision would promote. The recommendation was approved (Social Work Committee, Development Sub-Committee, 29.1.81).

In the light of the experience of this first wave others have been set up. At the moment there are eight working groups at various stages of activity:

(i)   Children's Hearings (established more than two years ago)
(ii) The role of the Leisure Department (established in the early summer of 1979).
(iii) The first two years of the secondary school system (established in November 1979); Remit - see appendix. 8.
(iv) The role of F.E. colleges (established in November 1979); Remit See Appendix.9.
(v)   The problems of the disabled (established in November 1979); Remit see Appendix.10.
(vi) The review of the Structure Plan
(vii) The T.P.P.
(viii) Vacant/surplus Council property (In Buildings and Property minute of December 1980).Appendix 11.

The first two of these groups will be phased out in the very near future; the three which were established in

November 1979 will be issuing interim reports in the
next few months.

The next wave of working groups are likely to be in
the fields of Highways and Transportation and Employment
Strategy - as well as a monitoring group for the Deprivation
strategy.

These groups are not formalised into the planning
process. This has been to their advantage in that they
can cut corners and make speedy responses. It is also
working against them in terms of their credibility, status
and ultimate impact on the workings of the authority.
Many protagonists feel that their systematic formalisation
into the process will have a deadening impact, they will
become bureaucratised.

Monitoring Groups.

There are currently four such groups in Child Care,
After Care of Offenders, Mental-Handicap and Addiction.
These were established to take up the recommendations of
the four officer-member groups discussed. Their job was
to put flesh on the general framework and policies set
out in the Reports, to negotiate and 'sell' them to
outside agencies and Departments, and to monitor sub-
sequent events, implementation and provide feedback to
the Social Work Committee.

They consist of six councillors and six officers.
One of these is from the Education Department in an
effort to overcome the difficulties previously discussed.
They are still clearly Social Work structures. In many
ways they are a more radical piece of machinery as there
is no time limit on their existence. They play a purely
advisory role and as with the Officer-Member Groups are
not centrally defined. They have played a co-ordinate
role visiting and negotiating with such bodies as the
District Councils Health Boards and academic institutions,
with varying degrees of success. A lot of this is related
to the enormous number of recommendations. Monitoring
Group is somewhat of a misnomer as most of their work
has concentrated on 'selling' policies rather than
monitoring.

The implementation of the recommendations is undertaken by Divisional Implementation Schemes. Glasgow Division has so far successfully implemented recommendations 5, 7, 9, 12 and 15 of the Addiction Officer Member Group (See Appendix 7.)

They have played a co-ordinative role between Departments and helped to move towards a more corporate approach. In this regard, they established joint review groups with Education on each of the officer member group reports. Although this did not result in complete agreement between Departments it served to expose where conflict existed and made for negotiation and compromise on an informed basis.

Similar to the previous groups they have played an educative role for members and officers alike. They are seen as a framework of accountability for the staff and the Officer-Member Groups and as a means of indicating political commitment. They play an important role in the politicisation of the planning process.

They do not want to be formalised into the planning process.

> "Their strength lies in their unilateral
> commitment, their flexibility of style,
> their access to any unit or individual
> and the ability to study issues and
> recommend solutions".
>
> (R. Young)

There is a danger that they may become self perpetuating talking shops. They have no power and as such their very informality and lack of clear contact with the formal policy making machinery may work against them.

In direct contrast to the Officer Member Groups they have had no public participation involvement. In monitoring the Regional Council's policy it will be important to rectify this.

A number of projects illustrate the role evaluation
plays in the planning process.

(e) <u>Area Initiative Schemes</u>.

These were set up as part of the Multiple Deprivation
Strategy. It involves a joint approach with the District
Councils. It is essentially a policy of area co-ordination
established in seven of the forty-five A.P.Ts namely
in Maryhill, North-West Kilmarnock, Doon Valley, Faifley/
Hardgate, Renton and G.E.A.R. Each area has a co-ordinator.
The main aim of the initiatives is to promote a level
of service which is

> "improved in quality, more corporate and
> more sensitive to the needs of the
> community"

<div align="right">(A. Newlands)</div>

Set up in 1977 a decision on their future was to be taken
in January of this year. It has not yet been finalised.
Initially they were set up for a three year life span.

The Scottish Office were anxious to promote this
idea (Urban Renewal Unit) because it represents the most
significant committment to date by local authorities
jointly, to apply an area-based approach to the problem
of multiple deprivation. They were considering the
possibility of extension of the programme and its
potential elsewhere in Scotland. They felt it was
important to draw from the programme's experience,
lessons which could inform the future development of
this type of policy. An evaluation would fulfill this
requirement and that of the decision as to their future.

The Institute of Operational Research were commissioned
to evaluate the Initiatives. Their brief as G. Lind
describes was

"to describe and assess the basic policy
management elements of the strategy, in
a way which provides an ongoing cumulative
evaluation of its development and general
effectiveness as an innovative policy
mechanism... of it as a policy approach
or mechanism through a study of the
organisational and policy processes it
stimulates...It does not require us to
monitor the actual impact of the Initiative
on the areas - that is a matter of the
Local Authorities themselves."

(G. Lind)

This evaluation illustrates the role of evaluation in
its co-ordinative role. Also in developing an awareness
of the 'common task' , the Initiatives evaluation have
helped to develop and strengthen, new and existing,
formal and informal communication networks. In this way
it has acted as a 'reticulist'.

The description of the type of evaluation to be
conducted emphasises the constructive elements of
rather than the destructive. Evaluation is to have a
learning and knowledge-building role, to pass on to
other authorities considering this type of approach
via the Scottish Office. This evaluation seeks to find
out why a policy did not work not just to terminate
at a judgement of its success or failure.

"A splendid failure may be more important
than limited solid achievements in this
context because it may lead to a greater
understanding"

(G. Lind)

It is also intended that the role includes giving
advice to policy management. How much it will influence
the decision on the future of these Initiatives is
debateable. Many of the protagonists had different views
as to what the evaluation was supposed to consist of.

This could have serious repercussions on its utilisation.
Many felt that it was to be a substantive evaluation of
the impact the Initiatives had made - I.O.R. presume
this will be done by the authorities themselves.

Each Initiative has developed in relation to its
situation, they are not uniform structures. One can
learn from comparison between them, by noting the
different styles of co-ordinators, functioning of
area teams and roles of elected members and how these
have contributed to its success or failure. Evaluation
as a change agent and innovator may enable this
experimental project to become an operational programme.

The depth of the role is greatly increased in this
instance. This role encompasses stage three of Rivlin's
classification (1971). That is, it seeks to determine
more effective modes of service delivery. It does so
by evaluating the policy mechanism rather than just the
outcome of a project, and the way in which this can be
improved.

(f) <u>Urban Aid Programme.</u>

This programme was launched in July 1968 to help
tackle the social problems of deprived communities.
The legislation (Local Government Grants Social Need)
Act 1969 enabled the Secretary of State to pay 75%
grant to

> "local authorities who, in his opinion,
> are required in the exercise of any of
> their functions to incur expenditure
> by reason of the existence in any
> urban area of special social needs"

The grant is available both for local authority projects
and for those which the local authority approves, but
which are carried out by a voluntary organisation. The

budget for Strathclyde Regional Council amounts to
some £5½ million. There are guidelines for disbursement
both for geographical area and type of project. The
grant is normally available for three years although
the Scottish Office are open to persuasion to allow
funding for a further two years. Evaluation is clearly
necessary to allow the Council to assess which of three
options it should take: to submit the project for a
further two years funding to absorb the project within
the Department (Education or Social Work) or to terminate
the project. After the five year period a choice must
again be made to cease or absorb the projects.

With the public expenditure cutbacks to mainstream
services, this programme represents the surest source of
development in the future; particularly with regard to
new and innovative projects.

The evaluation carried out in this area is the most
systematic of all in the authority. This is because it
is a condition in the funding. Indeed, a couple of
protagonists regarded this as the <u>only</u> evaluation of
projects that went on in the authority. This is tied
up with the factor previously discussed that evaluation
is carried out only in response to a stimulus, such as
the requirement for a decision to be made.

It has been recognised by officers and members
that

> "a more effective monitoring and reporting
> system was required for certain innovative
> projects."
>
> (I.Hill)

The impetus for improved evaluation comes

> "in view of the increased expenditure"
>
> (I. Hill)

There are difficulties involved in dealing at full committee
with these evaluation reports: There are a great deal of

them; there is a lack of time for detailed questioning; and a lack of opportunity for the members to meet the staff involved and question them about their work.

An important consideration is that these evaluation reports are written by those involved in the project. There is therefore likely to be some bias for the continuation of the project - or at the least, less than detached objectivity. This type of individual project evaluation directly challenges the worthwhile- ness of specific activities and more importantly of specific individuals. These reports are predominantly bland descriptions, there are no uniform guidelines for the structure of such a report.

Over the past years as the Urban Programme has grown dramatically in size, it has become practice to work with much more summarised information. Approval is sought 'in principle'. The Scottish Office has accepted this reduction in information and so approved these projects, trusting that the Council will there- after secure their effective implementation. For many projects, this system is satisfactory. However, for a number of projects it is difficult to subsequently evaluate these because of the lack of a detailed project specification. The practical aims, targets and the means adopted for these are not laid down. This practical framework is an essential prerequisite of successful evaluation at political and officer level at a later stage. These considerations have led to the application for two 'project development workers' or 'evaluators' attached to the Chief Executive. These would be deployed in the selection, detailed specification and evaluation of innovative Urban Aid projects.

"It is hoped that these would lead to
an increased understanding of the impact
made by projects and make it easier for
the Council and the Scottish Office, to
take informed decisions regarding the
implications of the results achieved
for the mainstreams of Education and
Social Work".

<div align="right">(I. Hill)</div>

The evaluation of this programme draws out numerous roles
that evaluation is currently playing. It is an advisory
agent and an aid to decision-making in that it helps
to determine the fate of projects after their period of
funding expires. It plays an innovative role and acts as
a catalyst for change because it may enable innovative
projects to be absorbed into the mainstream budgets.

This programme evaluation only addresses itself to
the first of Rivlin's (1971 classification.

(g) <u>Experimental Programmes</u>.

One such innovative project is examined here in
order to explore the roles that evaluation plays in
practice.

The Family Learning Units (FLU) project was
initiated by the Department of Education of the Regional
Council during 1977-1978. The Council intends to extend
the project for three years. These units are presently
established in three Glasgow schools, North Kelvinside,
St. Columba's of Iona and St. Mungo's.

The ultimate goal of the FLU project is to reduce
the incidence of academic failure and drop-out at the
secondary school level, particularly among youth living
in areas of urban deprivation. The project seeks to
accomplish this goal by bringing families and school
staff together to jointly address the social adjustment
and learning problems of students making the transition

from primary school to secondary school. A central
premise of the FLU approach is that parents can and
should play an important role in both educating their
children and nurturing their children's "commitment to
schooling".

It is a demonstration or pilot project. It was
recognised that too great a degree of specificity may
limit opportunities. Therefore, no rigid rules or
guidelines were laid down, each evolved according to
the needs of the pupils, their families and schools.

The Policy and Resources Committee have sought
funds for the appointment of evaluators

> "The project has reached a critical
> juncture. Now is the time to take
> stock - to sift the rich anecdotal
> data that has been accumulated, to
> scrutinise FLU and school records
> for evidence of impact, and to so
> plan very deliberately the next
> steps in the programme's development."

(I. Hill)

This would involve ascertaining what change has been
accomplished, under what conditions it has been accomplished
and what barriers to change have been encountered. One
predicts that this process of self-study will reveal
both strengths and weaknesses of the current program
and suggest changes that might be made to improve program
implementation and ultimately program impact on families
and children.

The process of self-examination recommended here
can be viewed as "formative evaluation"..not intended
to assess the ultimate merit of the program (e.g.
whether the FLU project causes a reduction in drop-
outs) but to provide information that is useful to
program staff in improving program operations and im-
plementation.

Although the Strathclyde Regional Council is
ultimately interested in knowing whether the FLU
program can reduce academic failure and drop-out,
a prior question is whether the program can effect
those changes within and between social institutions..
families, schools, and social service agencies..
believed to be prerequisite to achieving the ultimate
goals. Thus, formulating clear operational objectives
that represent the prerequisite intermediate impacts
is a necessary step toward summative evaluation of
the program.

Demonstration programmes are meaningless without
evaluation. The objective is to develop a model or
prototype for future operational programmes. The
education report is expected

> "to provide the material for decision-making
> by the appropriate committees, as well
> as material for the use of professionals
> in analysing the impact of the projects
> and learning from their successes and
> failures."
>
> (I. Hill)

Clearly evaluation is taking on an innovative role.
The results of this study may mean that such an approach
is adapted by the Education Department on a much grander
scale throughout the Region. There is a learning and
knowledge-building role in that the study may determine
whether the integrated involvement of pupils, families
and schools really has an effect on the incidence of
academic failure or school drop-out.

To some extent one can envisage this project as
fulfilling the second of Rivlin's (1971) classification.
It may help to determine whether this approach is more
successful than the more traditional methods of education.

5.5 The Role and Importance of Evaluation from the Councillors and Officials Viewpoint.

The previous section gave the impression of a considerable advanced role for evaluation in the Region. This section will put this into perspective. For although it fulfills many of the roles it is peripheral to the overall planning process, ad-hoc, reactive and shallow in depth.

In answer to the question what is the most pervasive form of evaluation prevalent in the Region came,

"Gossip and rumour"
(Interview)

Although the idea is essentially an attractive one in principle, (all those interviewed saw the potential benefits it could bestow) in practice it is regarded as almost impossible to achieve. Hence despite stating that it is

"an unequivocal and indisputable political virtue"

there is resistance to it or at least a lack of positive support for it.

A frequent reason given for the pancity of evaluation was that it was too expensive in time and effort, particularly in the present economic climate. This may be a valid point but if the Region is politically committed to tackling the problems and issues laid out in the Regional Report and the Structure Plan - namely urban deprivation and unemployment, then to make any real impression, they need to know whether the present policies are working, and if not, why not and change them. Only by developing Rivlin's (1971) classification can they judge the comparative benefits of different programmes and improve delivery within a given service. The initial high costs of evaluation are likely to fall off over time. An official pointed to the irony whereby at a time of scarce resources evaluation was both more necessary to set priorities and more difficult to establish. He stated

that the members needed tangible evidence such as
buildings to hold them accountable to the public.
Monies allocated to evaluation will not generally
be 'seen' in the same way.

There was some antagonism toward it

"It is just a window-dressing exercise"

and

"Without subjective judgement it floats
in a vacuum"

Unlike Caro (1971) suggests, it was not greatly considered
to be a substitute for action. Nor, Suchman's (1978)
eyewash, whitewash or submarine categories. Evaluation
is judgemental and as such constitutes a threat to
individuals responsible. As Caro (1971) suggests

"the staff have invested considerable time
effort and sentiment in the programmes."

Evaluation is usually undertaken when there is some dis-
satisfaction to puzzlement or a decision to be taken.
It is reactive. Hence, the evaluation is bound to pose
a challenge to their effectiveness. The programme personnel
have to operate under assumptions of success and an evalu-
ation constitutes a questioning of these assumptions.
A project is often some officials 'baby'. There will be
some resistance to evaluation. Objective evidence of
programme effects have not been
for modifying programmes. As one official stated,

"It takes a peripheral role. We do not
do it, because no-one really wants us to.
Challenging questions on the need for
programmes and their effects are not
raised so we do not need it."

(Interview)

Most officers seemed quite satisfied with the informal
impressionistic intuitive forms of evaluation. They did
not perceive a need for systematic formalised evaluation.

One officer said it merely put an information gloss
on what he already knew.

A couple of protagonists regarded it as

"a waste of resources in attempting to
measure the unmeasurable".

Programmes tended to be couched in broad vague terms
which is not conductive to evaluation.

An official stated "that there was not sufficiently
developed machinery to undertake systematic evaluation".
An elected member said the most efficacious form of
evaluation for their purposes was practical and applied
not academic. He stated that the intangibles were most
important and that evaluation must have an empathy with
the people.

This accounts for on the one hand the councillors'
abhorrence at the lack of evaluation and yet on the
other their reluctance to formalise systematic evaluation
into the process. It is not quite the unequivocal virtue
described, but rather suits people some of the time but
not all the time. Members felt it was their role to
evaluate policy in their constituency.

Evaluation is inherently political, inviting as it
does the consideration that policies do not always lead
to the effective realisation of the advanced objectives.
In this way its very rationale and raison-detre is its
downfall.

"It is political to reveal 'winners' and
'losers'. It can create conflict."
                              (Interview Councillor)
This conflict is exposed when each group can no longer in
the absence of data and analysis live cocooned in the
belief that it is everyone else who is wrong. It stops
buck-passing.

These impressions are important for this is the way
change comes about in an organisation. People plugging
away for oragainst a method or approach. The balance
seems to lie in favour of a growing role for evaluation,
all agreed on the potential benefits it could bestow.

5.6 The Current Position.

This section attempts to draw together the various
roles played by evaluation in Strathclyde Region.

Although there has been no systematic formalisation
of evaluation into the planning process, it is, ad hoc
in nature, progress has been made. In terms of the
typology, evaluation does not just play an information
collection and analysis feedback role. It also plays
an advisory and control role by the work of the Physical
Planning, Research and Intelligence Unit. Evaluation aids
in the decision making and policy formulation parts of
the process - well illustrated by the work of the officer
member and monitoring groups. It has resulted in policy
where there was none previously. Attention has been given
to apply it to experimental innovative projects such
as the Family Learning Unit in order to learn from the
strengths and weaknesses of such a programme. These
results may lead to innovative changes in the mainstream
of the Education Department. Such results may enhance
theory building in this area also. There has been an
important educative role for members and officers alike
again associated with the work of the officer-member
groups and monitory groups. Not a great deal has been
accomplished with regard to the co-ordinative role
 though progress has been made by the monitoring
groups attempts to implement the recommendation of the
officer-member Reports. Little progress has been achieved
in taking on a participative role. Overall there is

considerable opportunity to develop the approach further.
The Member-Officer and Monitory Groups have greatly
enhanced the politicisation of the planning process.
They have provided new political structures for
corporate planning Councillors are better able to pursue
their real political function.

In terms of the depth of the roles outlined by Rivlin
(1971) little has been achieved in practice. The Physical
Planning, Research and Intelligence Unit carries out the
first category. The Policy options exercise could go some
way to meeting the second, if it was carried out on a
more systematic basis. At the moment many 'sacred cows'
are never considered as an option. One Councillor in-
timated that for many projects no-one had any idea
what was spent on them or the effectiveness compared to
alternatives. The exercise is purely judgemental. There
is no basis for deciding that one project is better
than another. In a small way the I.O.R. evaluation of
the 'area' policy mechanism approaches Rivlin's (1971)
third category, though there is no measure of comparison
and it has not been established whether one approach is
more effective than another or why some projects succeed
in one area and not in another.

In order to draw tentative conclusions and make
policy recommendations one must understand the support
for and constraints against more systematic evaluation.
The most important of these according to this analysis
are political backing, and the perceptions and attitudes
of the protagonists.

Where the roles have most successfully developed
such as in the Officer-Member Groups there was strong
consistent political support. Particularly, from the

academic and most influential party members, the upper
echelons of the Labour Group. In many ways this derives
from the stable political position in Strathclyde.
Indeed, the Group were responsible for setting up these
innovations in evaluation and policy formulation. It
is of no value to state scientifically logical or
obvious recommendations, they must be sensitive to
the political realities of the authority or they will
not be utilised. The scientifically rational may not
be politically feasible.

The reality of evaluation appears to be related
to the perception of those concerned as to how useful
they expect it to be. Also how its use might affect the
existing organisation and management and particular
people in it. It depends on where they stand, their
position. The upper echelons of an organisation may
stand to lose power and are more likely to see it
as 'rocking the boat'. Fieldworkers are more likely to
welcome it. Committment is important if it is to have
any real impact and overcome the problems associated
with its introduction.

Strathclyde is a long way from the *self-evaluating
organisation" (Wildavsky, 1972). He regards evaluation
and organisation as contradictory terms, the one seeking
change and the other stability. To a large extent, this
case-study bears this out, the organisational administrative
and political forces elucidated, hinder a greater develop-
ment of evaluation.

Given the pessimistic nature of most writings on the
utilisation of evaluation (Weiss, 1972), I began the
study fully expecting that the major problem would be
to find that it had any effect - that there was any role,
save the traditional one of information collection and
analysis.

Clearly the reality is considerably more complex and less dismal than my original impressions led me to expect.

Evaluation is used not for the 'grand decisions' but in a more subtle manner. It is not used in the visible coherent clear cut ways expected. The results of the interviews suggest that it is generally considered in too narrow definitive terms. Most protagonists defined it as a method of analysis similar to cost-benefit analysis a couple assumed that cost-benefit analysis and P.P.B.S. was what I meant when I used the term 'evaluation'. It was regarded as information collection.

> "That's what the Research and Intelligence
> Unit do."
>
> (Interview)

However on closer examination evaluation does play a broad role. It provides additional information to a problem and so reduces the uncertainty of the decision-maker. It can confirm facts already known.

> "It verified my suspicions"
>
> (Interview)

It essentially plays the part of a catalyst providing an impetus to start a policy or to speed things up by clarifying and reinforcing issues and arguments.

Figure 5 illustrates how far the potential roles have been achieved and how far along the road Strathclyde Region have come according to Rivlin's (1971) classification.

FIGURE 5. THE TYPOLOGY OF ROLES - STRATHCLYDE. (ACTUAL)

KEY

* Position of Evaluation.
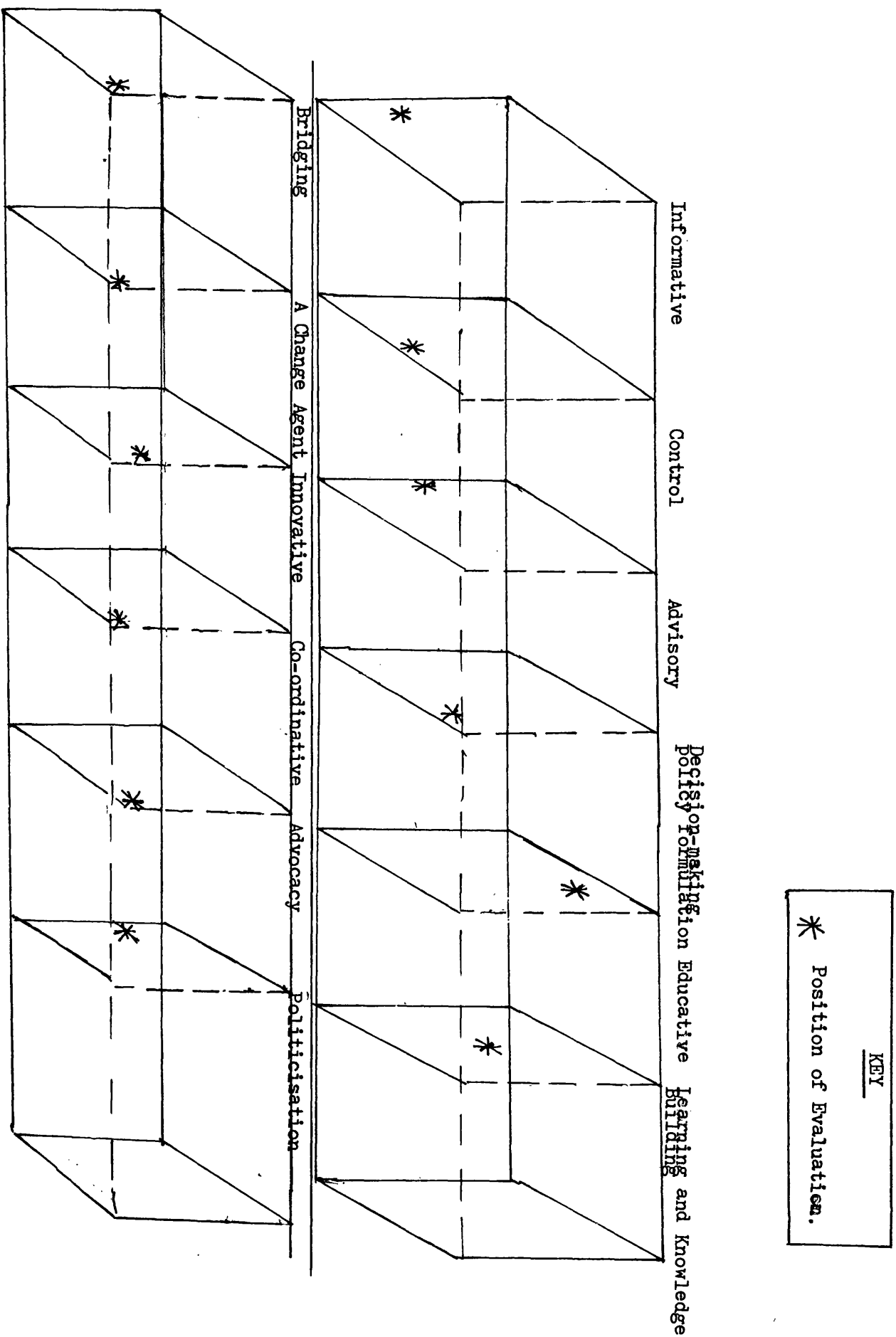
CHAPTER 6.

CONCLUSIONS AND RECOMMENDATIONS.

This chapter seeks to draw conclusions from the foregoing description and analysis of the rhetoric and reality surrounding the role of evaluation in the planning process. Using the insights gained in relation to the gap between the theory and the practice, it prescribes some tentative policy recommendations for narrowing this gap and for improving the planning and public policy-making process.

6.1 Conclusions – Resume.

This study set out to examine the role of post evaluation in the planning process, in theory and in practice. The process largely determines the role played. The emerging view of planning and the planning process is that it is goal-oriented, moving towards the rational model, adaptive and a continuous cyclical process for the control of complex systems. These have implications for the role that evaluation might play in the process. Evaluation is the feedback loop the key to control of the system. By definition, moves towards adaptive planning will enhance the role of evaluation for without feedback and a learning mechanism it cannot be realised. Evaluation is the critical element that turns a linear planning process into a cyclical one. The systems approach proposes that one way to develop a system commensurate with reality is by creating a continuous process. This will require a greater emphasis on evaluation than has hitherto been the case. To be an effective control mechanism the response rate must be high. This necessitates a more systematic process of evaluation formalised into the planning process. Evaluation provides the means towards greater rationality in the process.

The nature of the planning process is largely
determined by statutory legislation. No legislation
for evaluation existed until the sixties, with the
passing of the 'Town and Country Planning Acts' 1968
and 1971, which introduced the Structure Plan process.
It is therefore not surprising that evaluation has
taken a back seat. The rise of corporate and inter-
corporate planning though not statutorily legislated
for has had important implications in the popularisation
of evaluation and its informal institutionalisation.
Both call for a more responsive effective local government.

As hypothesised, the role of evaluation has evolved
and extended over time with the changes in philosophy
and approaches to planning.

Various potential roles can be assigned to evaluation
in terms of its level, type and depth. In practice, as
hypothesised, there is a gap between that proposed
conceptually and that actually achieved. The case-study
accords best with the mixed-scanning model of planning
with a leaning towards rationality. The implications
of this for the evaluative role have been discussed.
They require it to be systematic. The empirical research
relates to the 1970-81 period discussed in Chapter three,
with its attendant implications for the role of evaluation.
As hypothesised the role of evaluation has been well
developed in Strathclyde at least in terms of the breadth
of roles. Despite the strong rationale for it, the roles
are shallow in depth. Evaluation is ad-hoc and reactive
in nature and peripheral to the main planning process.
It is not immediately visible or coherent rather it
plays a subtle clarifying and reinforcing role.

6.2 Recommendations.

In Britain today, the need to plan is fully accepted

and comprehensive planning has been with us for many years. The main challenge and focus of planning now ought to be with the improvement of the process so that what takes place in practice is more related to the needs and desires of the community.

Given the tenets of this analysis, what recommendations can be made to enhance the role of evaluation, close this gap and to so improve the planning and policy-making processes of local government in general and Strathclyde in particular, in terms of a more sensitive co-ordinated and timely response.

The case-study highlighted the major factors creating this gap in an organisational context. Others have been noted previously.

(a) Attitudes and Commitment.

These can create and foster either a supportive or hostile climate for evaluation. It gains status and credibility if it is supported by the top management. To create a 'self-evaluating organisation', all staff down to grass roots level will have to be infused with this evaluation ethic. As Yavitz and Schnee put it, to see it

> "not as a luxury but rather a basic and
> vital need"
>
> (Yavitz & Schnee 1977)

As hypothesised its low profile was as much due to its narrow definition as to any resistance to it per se. It must be seen in broad terms, not narrowly defined or highly technical but rather,

> "The determination (whether based on opinions,
> records, subjective or objective data) of the
> results (whether desirable or undesirable;
> transient or permanent; immediate or delayed)
> attained by some activity (whether a programme
> or part of a programme, a drug or a therapy,
> an ongoing or one shot approach) designed to
> accomplish some valued goal or objective.
> (Whether ultimate, intermediate or immediate
> effect or performance, long or short range)"
>
> (Suchman, 1978)

Recommendations:

Greater in-service training is required both to speed up the filtering process between current planning thought, education and practice and to make staff aware of the overall objectives of the organisation, thereby encouraging a self critical ethic. Members and Officers tend to regard themselves at present as working for a particular Department or Committee.

Little attention has been given to Rivlin's (1971) third classification - whether one mode of service delivery is superior to another. Some system of incentives ought to be set up to encourage more efficient and effective services.

Greater attention ought to be given to evaluation in planning education.

(b) Political Support.

To be effective evaluation must have the political will behind it. This is more likely to come about where members take an active part in the evaluation. The support of a single ruling Majority Party will greatly enhance the role of evaluation.

Recommendation:

Greater attention must be paid to involving the political side of the organisation than has hitherto been the case. They ought to decide what issues are to be evaluated when and by whom. Joint Working Groups ought to be set up for all Departments not just Social Work.

(c) Formalisation into the Planning Process.

To be successful in providing a context for decision-making clearly it must be linked into that process. Evaluation is more likely to be ignored if it is peripheral and lacks status or power.

Recommendation:

In Strathclyde Region both the Officer-Member Groups
and the Monitoring Groups ought to be linked to the
Policy and Resource Committee. They would gain credibility
and greater status would be given to their recommendations,
than the bland acceptance from some Departments and out-
side agencies to date.

(d) Public Participation.

In many ways the rationale for evaluation and client
activism overlap. Both are concerned with the delivery
of effective services. Little has been done to increase
the involvement of the community concerned to eavluate
its services. This must be rectified.

(e) Dissemination.

There ought to be a greater dissemination of the
results of evaluation studies on a national basis. This
would encourage a cross fertilisation of ideas and
enable authorities to learn from others. This is particularly
important when setting up new and innovative projects.

(f) A Continuous Cyclical Review.

The Officer-Member Group Reports were produced in
1978. They need to be updated as the problems have changed,
even before their recommendations have been fully im-
plemented. This process of revisal and reassessment could
be made to recur on a cycle of some number of years,
providing a cyclical process of service review and forward
planning. This would constitute a major advance in
local government administration.

(g) Resource Allocation

Little has been achieved in terms of the depth of
the role of evaluation. In some ways this is not surprising

because of the difficulty of shifting resources across departmental lines, were it to be found that one service was more beneficial than another - the second of Rivlin's (1971) classification.

(h) Co-ordination.

The co-ordinative role is proving to be difficult for Strathclyde. The situation might be eased if the Monitory Groups focussed on a few issues rather than hundreds. The Region has vaious links with external agencies. For example, the District Councils, liason take place for the Housing Plan, the Local Plan and the Monitoring Groups. Representation ought to be co-ordinated to prevent duplication and to provide a united front for the consideration of policy changes.

6.3: Future Directions.

What is the likely future for evaluation? Cameron (1977) considers that the most serious deficiency in British planning and policy-making is

> "the pancity of rigorous evaluations of
> planning and policy effects. We are
> brilliant at thinking up new policy
> weapons, we have skillful...
> administrators who implement the
> politicians wishes, but we are misers
> when it comes to spending upon
> evaluations of what policy has or has not
> achieved."

There will always be methodological and technical problems associated with the introduction of evaluation. The magnitude and difficulty posed by these does not make it any less important or invalidate the general case for it. If Local Government has any impact which it is

responsible for it must evaluate in order to prevent
disappointing results arising from albeit good
intentions.

It would be folly to argue that all the problems
and deficiencies of present plans/policies could be
swept away by greater evaluation. As Quade (1977)
argues,

> "There are always considerations that
> cannot be handled quantitatively, or
> systematically, there may be problems
> with no solution. In the end politics
> and intuitive judgement must rule."

Evaluation can be but an adjunct to the judgement,
intuition and experience of decision-makers.

There are dangers with formalising evaluation into
the planning process. It may lead to conservative 'safe'
planning by introducing a bias to only adopt plans/policies
that were in some sense evaluable. It may make decision-
makers fearful of taking decisions without irrefutable
evidence and so lead to

"paralysis by analysis"
(R. Young)

Perhaps the greatest contribution it can make is
in its educative role, by facilitating the development
of a greater understanding of the system the causes and
consequences of policies for officers members and the
public alike. In this way, it can help to improve the
public policy-making process by creating a more
sensitive timely and co-ordinated government response.
We will never find the optimum method of service delivery,
we can only try to improve. Perhaps the last words ought
to be those of Rivlin (1971)

> "Until programmes are organised so that
> analysts can learn from them and systematic
> experimentation is undertaken on a significant
> scale prospects seem dim for learning how to
> produce better social services."

(Rivlin, 1971)

(c. approx. 35,000 words)

APPENDIX I

<u>LIST OF INTERVIEWS</u>

MR. I. STUART   DEPUTY DIRECTOR OF PERSONAL SERVICES

                         CHIEF EXECUTIVE

MR. I. HILL   CHIEF EXECUTIVE DEPARTMENT

MISS E. FARQUAR   CHIEF EXECUTIVE DEPARTMENT

MR. A. NEWLANDS   CHIEF EXECUTIVE DEPARTMENT

MISS I. WILSON   SOCIAL WORK DEPARTMENT

COUNCILLOR R. YOUNG   SECRETARY OF THE LABOUR GROUP (GREENOCK 1)

COUNCILLOR A. VIOLA   (EASTERHOUSE)

MR. G. LIND   INSTITUTE OF OPERATIONAL RESEARCH.

INDICATORS FOR MONITORING PERFORMANCE IN THE 45 APTs.

Indicator

Population:	0 - 4
	5 - 15
	17 - 18
	Economically active
	Retired
Housing:	Number of local authority houses
	Long-term vacancy rate
	Transfer requests
	Reason for transfer
Unemployment:	Age analysis
	Duration analysis
Social work:	New case referrals
	Children in care
Children's panel:	New referrals by age
	Reason for referral
Education:	Attendance
	Free school meals
	School
	Adult literacy
Health:	Infant mortality
	Birth rate
	Morbidity statistics
Crime:	Total crimes and offences
	Selected crimes and offences
	Child offenders
Transport:	Journey to work mode
	Average travel to work cost
	Frequency and bus service
Shopping:	Shopping basket costs

EXAMPLE OF RELATIONS OF OFFICER MEMBER MONITORING GROUPS
AND WORKING GROUPS WITH EXTERNAL BODIES.

Recommendations   As given - see Appendix.

Scot. Office   Examples Yes/No, small, moderate, large.

Health Board

Scot. Health
Educ. Unit

District Council

Educ. Committee

C.C.E.T.S.W.
Training Estab.

Vol. organisation

Computer services

D.H.S.S.

Capital implications
for S.R.C.   Financial, manpower, staff.

Revenue implications
for S.R.C.

Speed of implement-   Under review, immediate, medium term,
ation   part implementation, early, short term,
                                long term, negotiations to begin.

To be implemented within
Department

Progress   In hand, some progress, nil, some,
                                current policy measures, limited.

Comments   Other agencies, councillors.

MEMBERS OF THE OFFICER/MEMBER GROUP ON ADDICTION

Councillors   A. Long (co-chairman)
                J. McCorkindale
                L. McGarry
                W. Perry
                D. Walker

Mr. D. Campbell	Principal Social Worker, Douglas Inch Clinic (Resigned 3.10.77).
Mr. B. Coyle	Senior Social Worker, Douglas Inch Centre and Charing Cross Clinic (from Oct. 1977).
Miss M. Forsyth	Information Officer, Ayr Division.
Mr. K. Gardner	District Social Work Manager Glasgow North District (Co-chairman).
Mr. J. Henderson	Field Work Teacher, Kerelaw School (from Oct. 1977).
Mr. D. Higgins	Principal Social Worker, Gartloch Hospital.
Mr. K. Hutton	Mental Health and Family Casework Consultant - Renfrew Division (Resigned Oct. 1977).
Mr. B. McGinnie	Divisional Organiser (Development) Lanark Division.
Mr. D. McKendrick	Divisional Organiser (Fieldwork and Community) Lanark Division.
Mrs. A. Pilley	Senior Social Worker, Southern General Hospital.

Co-opted

Mrs. M. Emery	Area Health Education Officer - Argyll/Clyde Health Board (Nov. 1977).
Dr. J. Hubley	Research Fellow, Paisley College of Technology.
Dr. P. Mullin	Charing Cross Clinic.
Strathclyde Police Community Involvement Branch	Supt. MacIntyre, replaced by Supt. Izatt.
Strathclyde Police Drugs Squad	Detective Chief Inspector Beattie, replaced by Detective Chief Inspector Rogers.
Dr. Joyce Watson	(Resigned Sept. 1977).
Research Assistant	Miss M. Prooth, University of Glasgow, Job Creation Project.

MONITORING GROUPS ON ADDICTION

ADDICTION (11)

Member-Chairman:	Councillor Wm. Perry
Officer-Chairman:	K. Gardner, District Manager, Glasgow North
Others:	Councillor John McCorkindale
	Councillor Donald Masterton
	Councillor Jas. Gibson (Education)
	Councillor Andrew Ferguson
	Councillor Alexander Viola
	B. McGinnie, Divisional Organiser (Development) Lanark Div.
	G. Isles, C.D. Jay, Regional HQ
	Hamish Allan, Social Worker, Renfrew Div.

ADDICTION - Identify area teams and centres in each division, discuss notes at monitoring group meeting and take up points arising at the Divisional Advisory Group meeting.

ADDICTION

Craigneuk Centre - Wishaw
Area Office - Castlemilk
Area Office - Greenock Central
Scottish Football Assoc. - 16 April 1980
  (Advertising & Sponsorship)

FULL MEETINGS OF THE MONITORING GROUP OVER PAST SIX MONTHS

ADDICTION

29th May (Joint meeting with offenders)
27th May
21st April
16th April
21st March
22nd February
25th January
17th December 1979

ADDICTION – CONCLUSION OR COVER UP?

REPORT OF OFFICER-MEMBER GROUP OF THE COUNCIL'S SOCIAL WORK COMMITTEE ON ADDICTION AND ALCOHOL ABUSE IN STRATHCLYDE.

SUMMARY OF RECOMMENDATIONS.

(1) Regional Council to seek dialogue with Area Health Boards on joing planning of Services. (18)

(2) Regional Council to pursue de-criminalisation of drunkenness with Scottish Office and Crown Office. (21)

(3) Grants Sub-Committee to consider interlinking arrangements between voluntary organisations in determining award of grants. (22)

(4) Voluntary bodies to be funded for the life of the administration. Such bodies to be seen as working in partnership on an agency basis. (22)

(5) A programme of day care provision to be undertaken. (23)

(6) Participation by voluntary groups in management and work of day centres to be part of criteria for grant aid. (24)

(7) Appropriate social work staff to be identified and given in-service training. (25)

(8) Discussions with training bodies regarding course content on subject of alcohol abuse. (25)

(9) Secondment of staff to proposed full time course at Paisley College of Technology. (31)

(10) Establishment of post of Principal Social Worker (Addiction) (25)

(11) Establishment in consultation with other bodies of Centre of Excellence as Pilot Project. (26)

(12) Establishment of Pilot Recovery Programmes. (26)

(13) Research resources for study of incidence of alcohol related problems in Social Workers' work loads. (31)

	Done	Started	To do

(4) **Funding voluntary bodies for the life of the administration** — Done ✓, Started ✓

Only three bodies applied and hence so funded.

(5) **Programme of day care provision to be undertaken** — Started ✓

10 Urban Aid projects approved for: Saltcoats, Renton, Faifley, Alban House, Priesthill, Hamilton, Wishaw, Inverclyde, Blantyre and Coatbridge.

2 further projects proposed: GEAR and Drumchapel.

(6) **Voluntary groups to participate in day centres as part of criteria for grant aid** — Done ✓

Now regularly considered when grant applications assessed.

(7) **Social Work staff to be identified and given in-service training** — Done ✓

7 members of staff have now attended the Paisley College Course and in-service training courses completed in 2 Divisions. The remaining Divisions will have run courses before the end of this year.

(8) **Discussions with training bodies re including alcohol abuse in course content** — Started ✓

Some approaches to training colleges have been made but with little positive response to date.

(9) **Secondment of Staff to Paisley College** — Done ✓

See (7) above.

Recommendation	Implementation		
	Done	Started	To do

(10) <u>Appoint Principal Officer (Addiction)</u>

(11) <u>Establish centre of excellence as</u>
<u>pilot project</u>   (no longer recommended)

Some already developing networks of
services, e.g. in Clydebank, Paisley
and Inverclyde are moving towards being
such centres. Hence, operationally,
there would be no advantages in establish-
ing a separate pilot project at this time.

(12) <u>Establish Pilot Recovery Programmes</u>

Despite continual emphasis being placed
on the need for these with Divisions, no
proposals have yet been put forward. A   ✓
PRP is under consideration in Glasgow
Division.

(13) <u>Research on incidence of alcohol</u>
<u>related problems in case loads</u>

A pilot study was made but was in-   ✓
conclusive and other studies remain
to be initiated.

(14) <u>Committee debate on priorities –</u>
<u>taking into account alcohol related</u>
<u>factor</u>   (no longer recommended)

It is now considered that dealing
with alcohol problems should be a
normal and integral part of many
facets of Social Work rather than
attempt to place this service in
competition with other services in
areas of e.g. child care, offenders
etc.

Recommendation	Implementation		
	Done	Started	To do

(15) Provision of residential facilities

With financial and professional
support the first hostel for female
alcoholics in the Region has been
established in Clydebank and there
is an approved Urban Aid project for
a Group Home in Lanarkshire. ✓ (Started)

Other proposals by voluntary bodies
are being supported by the Department
e.g. extension of the Church of
Scotland hostel provision at Inchbank,
Glasgow.

(16) Examination of DHSS report on prevention ✓ (Done)

(17) Implementation of SED Curriculum Paper 14

Both topics have been examined at
length by the joint Social Work
and Education Sub Group.

(18) In-Service training for teachers on)
(19) Education Committee to determine)
when this begins)
(20) Educational activities to be undertaken) ✓ (Started)
in consultation with the Scottish Health)
Education Unit and Health Education)
Departments of Health Boards)

These matters have also been given
emphasis at the joint Sub group meetings
and agreed in principle.

(21) In-Service training for Youth and Community Workers ✓ (To do)

Not yet embarked upon.

	Recommendation	Implementation		
		Done	Started	To do

(22) <u>Community education to consider possibility of adult education classes</u>)
(23) <u>Health Education programmes on alcohol to be monitored and research provided</u>)

      (22)(23) — To do ✓

Topics also raised at the joint Sub-group meetings but not yet commenced.

(24) <u>Discuss with District Councils advertising on hoardings; equivalent space donated to education; publicity in libraries; education for Licensing Board members</u>

      (24) — Started ✓

These needs were emphasised at the series of meetings between the Social Work Committee and the District Councils in 1979. The educational use of hoardings has been examined in consultation with the Scottish Health Education Unit and its advertising advisers from which it was concluded that considerable resources would be required, if it were to be effective, and these are not available at the present time. A series of Seminars for one Licensing Board (East Kilbride) was undertaken.

(25) <u>A six month ban on TV alcohol advertising to be sought.</u>

      (25) — Started ✓

Alcohol advertising is one of the items associated with the issues which have been identified for discussion with central government. The subject of advertising is also being explored with the Highways & Transport Committee.

Recommendation	Implementation		
	Done	**Started**	**To do**

(26) <u>Ensure the continuation of the Industrial Alcoholism Unit</u>

Grants have been made which meet this requirement. The Unit has also moved to new premises in West Regent Street (by direct arrangement with the Health Board pending finalising terms of the lease to the Region).   ✓ (Done)

(27) <u>Industry and commerce to be urged to formulate employee alcohol policies</u>   )
)

(28) <u>Lead to be given by positive approach to the Region's own employees</u>   )
)

Resources are being concentrated initially on the Region's own needs, although the Principal Officer (Addiction) has also responded to requests for advice from a number of major industrial concerns.

(29) <u>Secretary of State to be urged to make stated commitment to the services and resources</u>   )
)
)   ✓ (Started)

(30) <u>Secretary of State to be urged to set up Advisory Council on Addiction</u>   )
)

These are also issues for discussion with central government and preliminary discussions have been held with officials of the Scottish Office. In the meantime additional resources have been made available from central funds for the provision of additional services.

Recommendation		Implementation		
		Done	Started	To do
(31)	Partnership with the Scottish Council on Alcoholism to be explored)))	✓		
(32)	Grant Aid to be given to Local Councils on Alcoholism))	✓		

Regular meetings between the Social Work Department and the Council and its Local Councils have been established and significant additional support provided and partnership developed.

| (33) | Discussions to be held with drink manufacturers re assistance in combating alcohol problems | | ✓ | |

Approaches to the industry's trade associations are in hand which indicate their willingness to participate.

| (34) | Planning Group to be established for development of Services | | ✓ | |

A major report on operational proposals for corporate planning of Services is now under consideration by management and planning groups in two Divisions have already been established.

The above review shows that:

for 11 recommendations (32%) implementation has been completed

" 17 " (50%) implementation has commenced;

" 4 " (12%) implementation remains to be started;

" 2 " (6%) implementation is no longer recommended.

—

34 (100%)

WORKING GROUP ON SECONDARY SCHOOLING (S1, S2)

Remit.

To review the provision and organisation of secondary education in years S1 and S2 with particular reference to the following areas:

1. The transition from primary to secondary education

2. (a) The concept of education at S1 and S2 as a period of orientation through a common course of study for all pupils

   (b) The class organisation required by the above concept.

3. Curriculum content

4. Teaching methods

5. Assessment - aims and procedures

6. Parental involvement

7. Attendance - truancy

8. The role of guidance

9. School management structure

10. The transition from S2 to S3

Time-table.

The Working Group agreed procedures for the carrying out of its remit and indicated its intention to complete its report to the Policy and Resources Committee by December 1980.

PROPOSED REMIT OF THE WORKING GROUP ON THE ROLE OF FURTHER EDUCATION COLLEGES.

The remit of the Working Group on the Role of Further Education Colleges will be:-

(1)　to produce by December, 1979 a plan of course provision for session 1980/81;

(2)　to produce a plan of course provision for the long-term future, having regard to the need for flexibility in the Further Education Service to permit timeous response to changing needs;

(3)　to relate the plan of course provision in Colleges to other Further Education provision outwith Colleges and to make recommendations as to their future inter-relationship;

(4)　in the above process:-

　　(a)　to identify and examine areas of provision requiring priority consideration over the next few years;

　　(b)　to examine the distribution of course provision and suggest any necessary rationalisation;

　　(c)　to suggest changes in the allocation of resources in the context of any rationalisation of provision; and

　　(d)　to consult appropriate agencies as necessary; and

(5)　to report and make recommendations by 14th November, 1980.

THE WORKING GROUP ON THE PHYSICALLY HANDICAPPED

The remit of the Working Group on the Physically Handicapped will be:-

"1.   to identify the needs of physically handicapped people of all age groups

2.   to examine the efficiency and effectiveness of services and assistance to the physically handicapped that are available in Strathclyde Region

3.   to indicate any changes and new developments in both service and assistance that may be required to meet present and future needs, with a ranking of priorities

4.   to report and make recommendations by April 1981."

NOTES:

Service and assistance in the above context refers primarily to the provision by Strathclyde Regional Council but the Working Group will feel free to comment on services to the physically handicapped provided by other agencies if this seems appropriate.

The review of existing services for the physically handicapped will cover not only the nature, scale and range of such services, but also their quality. Current and future developments will also be considered. Staff, individuals and other agencies will be consulted where appropriate.

11th November 1980. Buildings and Property Monitoring Group.

Remit.

(1) To examine the question of how non-operational property
     was being dealt with and how procedures could be improved.
     In relation to the time taken for properties to be
     declared surplus to the Service Committees requirements.
     The extent of maintenance on vacant properties for future
     use.

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